



North Ayrshire Council
Comhairle Siorrachd Àir a Tuath

Audit and Scrutiny Committee

A meeting of the **Audit and Scrutiny Committee** of North Ayrshire Council will be held remotely on **Tuesday, 16 November 2021** at **10:00** to consider the undernoted business.

Arrangements in Terms of COVID-19

In light of the current COVID-19 pandemic, this meeting will be held remotely 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>. In the event that live-streaming is not possible, a recording of the meeting will instead be available to view at this location.

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 (i) the Meeting of the Audit and Scrutiny Committee held on 14 September 2021 and (ii) the Special Meeting held on 27 September 2021 will be confirmed and the Minutes signed in accordance with Paragraph 7 (1) of Schedule 7 of the Local Government (Scotland) Act 1973 (copy enclosed).

3 Local Government in Scotland: Overview 2021

Submit report by the Head of Service (Finance) on the findings of the recent national report (copy enclosed).

4 Local Government Benchmarking Framework (LGBF) 2019-20 Data Analysis (Data Released May 2021)

Submit a report by the Head of Service (Democratic) on an analysis of the Council's performance within the Local Government Benchmarking Framework (copy enclosed).

5 2020/21 Complaint Report

Submit report by the Head of Service (Democratic) providing information on the Council's complaint performance and the volumes and trends of complaints received in Financial Year 2020/21 (copy enclosed).

6 Strategic Risk Register 2021/22: Mid-year Update

Submit report by the Head of Service (Recovery & Renewal) providing a mid-year update on the progress with actions related to the Strategic Risk Register (copy enclosed).

7 Internal Audit Reports Issued

Submit report by the Head of Service (Finance) on the findings of Internal Audit work completed between September and October 2021 (copy enclosed).

8 Internal Audit and Corporate Fraud Action Plans: Quarter 2 Update

Submit report by Head of Service (Finance) on the progress made by Council Services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as 30 September 2021 (copy enclosed).

9 Internal Audit Plan 2021/22: Mid-year Update

Submit report by the Head of Service (Finance) providing an update as at 30 September 2021 on progress made in delivering the 2021/22 Internal Audit Plan (copy enclosed).

10 Corporate Fraud Team Update

Submit report by the Head of Finance on the work of the Corporate Fraud Team between April and September 2021 (copy enclosed).

11 Urgent Items

Any other items which the Chair considers to be urgent.

12 Exclusion of the Public - Para 1

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

Non Disclosure of Information

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

13 Investigation Reports Issued

Submit report by the Head of Service (Finance) on investigation reports finalised since the last meeting (copy enclosed).

Webcasting - Virtual Meeting

Please note: this meeting may be recorded/live-streamed to the Council's internet site, 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 recorded/live-streamed.

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Audit and Scrutiny Committee Sederunt

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

Chair:

Apologies:

Attending:

At a Meeting of the Audit and Scrutiny Committee of North Ayrshire Council at 10.00 a.m. involving participation by remote electronic means.

Present

Marie Burns, Margaret George, Alan Hill, Davina McTiernan, Tom Marshall, Donald Reid and John Sweeney.

Also Present

Anthony Gurney.

In Attendance

P. Doak, Head of Service, HSCP Finance and Transform and A. Reid, Lead Allied Health Professional Adviser (Health and Social Care Partnership); C. Dempster, Senior Manager, Roads, C. Hope, Senior Manager, Facilities Management, L. Kirk, Senior Manager, Economic Development and Regeneration and J. Cameron, Senior Manager, Physical Environment (Place); C. Devoy, Manager, Education (Communities); M. Boyd, Head of Finance, F. Walker, Head of Service, J. Hamilton, Senior Manager, A. Lyndon, Senior Manager, L. Miller, Senior Manager, A. Craig, Head of Service (Democratic Services), A. Little and D. McCaw, Committee Services Officers (Chief Executive's Service).

Chair

Councillor Burns in the Chair.

1. Chair's Remarks

The Chair agreed, in terms of Standing Order 9.4, to vary the order of business with regard to Agenda 3 Petition: Winton Street and Hill Street, Ardrossan, to allow the Lead Petitioner to be contacted regarding his attendance at the meeting and be given time to join.

2. Declarations of Interest

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

3. Minutes

The Minutes of the Meeting of the Audit and Scrutiny Committee held on 1 June 2021 were confirmed and the Minutes signed in accordance with Paragraph 7 (1) of Schedule 7 of the Local Government (Scotland) Act 1973.

The Committee agreed that the Head of Service (Democratic Services) request an update with regard to progress in terms of minute item 16.1: SEPA Reclassification of North Coast as Area of Potential Flooding, from the Flood Team, SEPA and the Senior Management Development Officer in the Planning Service.

4. Audit and Scrutiny Self Evaluation

Submitted report by the Head of Service (Democratic Services) on the outcome of the second self-evaluation of the Audit and Scrutiny Committee undertaken as part of improvement actions identified in the External Audit Interim Report 2018/19. Appendix 1 to the report detailed the findings arising from the self-evaluation, together with improvement actions.

The Committee (a) noted the findings of the self-evaluation as detailed in Appendix 1 to the report; (b) agreed to approve the improvement action identified in Appendix 1 to the report; and (c) agreed to repeat the self-evaluation exercise on an annual basis.

5. Annual Governance Statement to the Scottish Housing Regulator 2020-21

Submitted report by the Executive Director (Place) on the Council's Annual return on the Charter 2020/21 submission and endorsement of the Annual Assurance Statement for submission to the Scottish Housing Regulator. The Annual Assurance Statement was detailed at Appendix 1 to the report.

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

- the increase in the average length of time taken to complete emergency repairs during the Covid-19 pandemic where safe systems of work and sanitising processes required to be implemented;
- non-emergency repairs which were logged but not undertaken during the Covid-19 restriction period resulting in a substantial backlog which impacted on response times; and
- different landlord practices in relation to the period prior to re-letting of void properties and on repair works carried out during this time.

The Senior Manager (Physical Environment) undertook to contact Building Services to determine whether current processes on tenant contact in relation to repairs could be improved and feed back to the Committee in this regard.

The Committee agreed (a) that the Committee Chair sign the Annual Assurance Statement detailed at Appendix 1 to the report; and (b) to note (i) the Annual Return on the Charter submission 2020-21; (ii) the supporting evidence provided to demonstrate compliance with the regulatory framework; and (iii) the Council's non-compliance with its legal gas safety responsibilities due to the Covid-19 pandemic, including that all outstanding gas safety checks for 2020/21 have now been carried out.

6. Proactive Approach to Derelict Sites

Submitted report by the Executive Director (Place) providing an update on the production of a register of derelict sites across North Ayrshire, requested at a meeting of the Committee on 1 June 2021.

The Council received funding from the Scottish Government Place Based Investment Programme (PBIP) which aims to bring sites and buildings back into positive use and also from the Vacant and Derelict Land Fund (VDLF) which aims to tackle long term vacant and derelict land. The allocations made under PBIP and VDLF were summarised in section 2.14 of the report and section 2.16 of the report detailed the range of existing powers and legislation which the Council can utilise in relation to derelict sites.

The development of the Regeneration Delivery Plan (RDP) and Local Development Plan (LDP) identified several sites which are not in positive use and where there is an overlap between these records. Combined, the records identified over 250 sites in need of redevelopment, most of which are in private ownership.

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

- timescales regarding the PBIP funding allocations for development of a place framework for Kilwinning and a pilot project for Largs and Saltcoats;
- prioritisation criteria and background briefs currently being prepared in terms of delivery frameworks to support funding allocated through the PBIP and VDLF;
- alternative funding options being considered to allow progress within the current financial year; and
- locality funding as a potential option for consideration.

The Senior Manager, Economic Development and Regeneration undertook to share links with the Committee to the external Vacant and Derelict Land Register and Buildings at Risk Register, together with the internal Regeneration Delivery Plan.

The Committee agreed to note the update and progress to date as detailed in the report.

7. Internal Audit Reports Issued

Submitted report by the Head of Service (Finance) on the findings of Internal Audit work completed during May and August 2021. The findings from eight audit assignments were detailed at Appendix 1 to the report, together with the respective executive summaries and action plans.

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

Temporary Posts and Contracts

- development of an automated report to Heads of Service highlighting posts which expired 3 months prior; and
- potential training issue for Managers.

Procurement Cards

- training around procurement card spending and limits; and
- scope for a further audit review in this regard.

The Committee agreed (a) to note the outcomes from the Internal Audit work completed as set out in the report; and (b) to receive a further report in terms of the Procurement Cards Audit to a future meeting of the Committee prior the end of the current Administration period.

8. Internal Audit and Corporate Fraud Action Plans: Quarter 1 Update

Submitted report by the Head of Service (Finance) on the progress made by Council Services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as at 30 June 2021. Appendix 1 to the report provided full details of five Internal Audit actions which were not completed within the agreed timescale.

The Committee agreed to note (i) the current position with the implementation of the Internal Audit and Corporate Fraud actions; and (ii) challenges which were faced by those services which have not implemented actions within the previously agreed timescales.

9. Council Plan Progress Update: Year End 2020/21

Submitted report and received presentation by the Head of Service (Democratic Services) on progress in relation to priorities set within the 2019-24 Council Plan and providing an update on the response to the Covid-19 pandemic as at March 2021. Appendix 1 to the report presented the full Progress Update for each of the priorities with Appendix 2 detailing the Supporting North Ayrshire Together update on the response to the Covid-19 pandemic. Appendices 3 and 4 provided Performance Indicators from the Council Plan Performance Framework and the progress against the Council Plan overall actions with an estimate of performance status respectively.

Members asked questions in relation to:-

- the significant variance and decline in household waste recycling (CP-31);
- any examples of best practice in relation to Participatory Budgeting (PB) and ways forward involving communities;
- the dip in relation to PB being as a result of the Covid-19 pandemic as in-person community engagement procedures could not be carried out in the normal way;
- a report on measures to be taken in relation to improving engagement with communities being brought forward to the Committee;
- the rate of procurement to local business and links to community wealth building which could be considered by the Committee in more detail; and
- a warning triangle which indicates a decline including in future an action point with an explanation.

The Committee agreed (a) to note (i) the progress of the Council Plan as at 31 March 2021, including replacement of an indicator (section 4.6) and target amendment (section 4.8); and (ii) the response to the Covid-19 pandemic to date; (b) that a report on measures to be taken in relation to improving engagement with communities in connection with participatory budgeting be brought to a future

meeting of the Committee; and (c) that a report on procurement with local business be brought to a future meeting of the Committee.

10. Council Plan 2019-24: Delivery Plan Refresh 2021-22

Submitted report by the Head of Service (Democratic Services) on the Council Plan Delivery Plan as at June 2021. Appendix 1 to the report detailed the full Delivery Plan with Appendix 2 showing the Action Tracker for existing overall actions.

The Committee agreed to note the Council Plan Delivery Plan for 2021-22.

11. Petition: Winton Street and Hill Street, Ardrossan

Submitted report by the Head of Service (Democratic Services) on the terms of a petition received supported by 308 signatories, urging the Council to take action in respect of resurfacing and lighting of the lane which runs between Winton Street and Hill Street, Ardrossan. The report outlined the terms of the petition as detailed below:-

“That the Council adopt the lane which runs between Winton Street and Hill Place in Ardrossan to allow the undertaking of resurfacing and lighting installation works to take place, given that at present and for the previous few decades the surface has been and continues to be in such a state of disrepair and has inadequate lighting that it is a hazard to residents and all others that use it, in particular the local school children and their families”.

The Committee considered that it had enough information to proceed to consider the terms of the Petition in the absence of the Lead Petitioner.

A briefing note by the Head of Service (Commercial) was detailed as an Appendix to the report and advised that the lane in question is a private road and does not form part of the adopted public road network and is consequently not maintained by the Council as roads authority. The lane was part of the Eglinton Estate which was transferred to Fairhold Limited in 1997. The roads service wrote to Fairhold on 18 May 2021 advising of the petition and the works required by them to bring the road up to an adoptable standard. Correspondence has taken place with Fairhold in terms of clarity of the location of the lane and a copy of Title showing Fairhold's interest in the land, together with photographs of the location, was provided to Fairhold on 16 August 2021. A further response is awaited.

Members asked questions and were provided with further information in relation to the length of the road in question and that costs included lighting, drainage, reconstruction etc.

Councillor Sweeney seconded by Councillor Marshall moved that the Committee (a) accept the recommendation from the Officers' report to (i) note the efforts undertaken by the Roads Service on behalf of the private residents to date in urging the landowner to meet their responsibilities in respect of the private road; and (ii) instruct the Roads Service to continue to pursue Fairhold on behalf of local residents to undertake improvements and offer up the lane for future adoption as part of the

public road network; and (b) agree not to take the petition forward by making a recommendation to Cabinet and dismiss the petition.

There being no amendment, the motion was declared carried.

12. Exclusion of the Public – Para 1

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

13. Investigation Reports Issued

Submitted report by the Head of Service (Finance) on investigation reports finalised since the last meeting.

Noted.

The meeting ended at 11.40 a.m.

Audit and Scrutiny Committee
27 September 2021

At a Special Meeting of the Audit and Scrutiny Committee of North Ayrshire Council at 10.00 a.m. involving participation by remote electronic means.

Present

Marie Burns, Davina McTiernan, Tom Marshall, Donald Reid and John Sweeney.

In Attendance

M. Boyd, Head of Finance, D. Forbes, Senior Manager, Financial Management, L. Miller, Senior Manager, Financial Services, A. Craig, Head of Democratic Services and C. Stewart and D. McCaw and Committee Services Officers (Chief Executive's Service).

Also In Attendance

K. Watt (Deloitte).

Chair

Councillor Burns in the Chair.

Apologies

Alan Hill

1. Declarations of Interest

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

2. Annual Report on the 2020/21 Audit

Submitted report by the Head of Finance on the annual audit report for 2020/21 and received a verbal update by the External Auditor. Appendix 1 to the report detailed letters of representation to be signed by the Head of Finance as the responsible officer for North Ayrshire Council. The External Auditor's report, which summarised the findings of their audit, was attached as Appendix 2 to the report.

Karlyn Watt of Deloitte provided a verbal report on the appendices to the report, including highlighting quality indicators in terms of the impact on the execution of their audit and also the two significant risk areas namely (1) Recognition of Covid-19 Related Income, and (2) Management Override of Controls which were both "green" and satisfactory.

The Committee agreed to (a) note the findings of the 2020/21 audit of the financial statements as contained in the External Auditor's annual report at Appendix 2; and (b) approve the audited Annual Accounts for signature.

The meeting ended at 10.10 a.m.

NORTH AYRSHIRE COUNCIL

16 November 2021

Audit and Scrutiny Committee

Title:	Local Government in Scotland: Overview 2021
Purpose:	To inform the Committee of the findings of the recent national report.
Recommendation:	That the Committee (a) notes the findings of the Audit Scotland report and the challenges highlighted in relation to the Covid-19 pandemic, and (b) notes the significant actions by North Ayrshire Council, its staff and its partners in responding to these challenges.

1. Executive Summary

- 1.1 Audit Scotland recently published its national report 'Local Government in Scotland: Overview 2021'. This report reflects on the impact of the Covid-19 pandemic on the delivery of Council services, the initial response of Councils to the challenges and the progress being made in supporting the recovery within local communities. A link to the full report is attached as follows:

[Local Government in Scotland 2021](#)

- 1.2 The review complements the Audit Scotland report 'Local Government in Scotland: Financial Overview 2019/20' which was reported to Committee in June 2021.
- 1.3 The review analyses the key characteristics of the response to the pandemic in terms of Communities and People, Service Delivery and Partnership Working and Resources and Governance and identifies a number of key messages learned over the period.

2. Background

- 2.1 The Local Government in Scotland: Overview 2021 is based on evidence gathered throughout the initial response phase of the pandemic and includes financial data to the end of February 2021. It provides an independent overview of the issues and challenges faced by Councils, their partners and communities and provides a range of case studies which exemplify the various responses to these challenges.

2.2 The report highlights the context in which Councils continued to deliver services across communities including unprecedented economic and social impacts, additional financial pressures and service demand, negative impacts across communities and the need for new service delivery models. The key characteristics of these responses have been analysed across Communities and People, Service Delivery and Partnership Working and Resources and Governance.

2.3 The report identifies a number of key messages in each of these areas, including:

- Communities and People:
 - The Covid-19 pandemic is having a profound impact on all aspects of society including the economy, jobs and the physical and mental health of the public;
 - Relationships with communities have been vital;
- Service Delivery and Partnership Working:
 - Levels of service disruption have varied;
 - Some services were delivered virtually;
 - The workforce demonstrated the versatility to take on new roles;
- Resources and Governance:
 - There were significant changes in council governance structures and processes;
 - Councils continue to face significant financial challenges and these have been exacerbated by the pandemic;
 - The Scottish Government has provided substantial additional financial support but the nature and timing of funding has created further challenges for councils;
- General:
 - Councils have started to plan for longer term recovery from the crisis;
 - There has been some ongoing learning resulting from the emergency response to the pandemic

2.4 Full details of North Ayrshire Council's response to the pandemic has been reported to members throughout the year with the latest report "Supporting North Ayrshire Together – An Update on Our Response to the Coronavirus Pandemic" being considered by the Audit and Scrutiny Committee on 14 September 2021. This highlighted a number of key statistics for the period from September 2020 to March 2021, including:

- 33,152 calls received by our Community Hubs and 96,465 food deliveries made;
- 60,000 shopping vouchers worth £1.7million provided to children eligible for free school meals;
- 3,194 pieces of IT equipment such as Chrome Books, iPads, Wi-Fi routers and SIMs provided to our pupils to access online learning;
- An average of 1,002 children were cared for at our Childcare Hubs during January and February;
- Over four million items of PPE were supplied including over one million masks during the year;
- £14million of grants has been distributed to local businesses since September. This is in addition to £24.16million of business grants and £312,000 of newly self-employed hardship grants provided to our residents during the first six months of the pandemic;

- We contributed to national projects such as the Carnegie UK Trust's Covid-19 and Communities Listening Project;
- Our first fully online Joint Cabinet saw 110 of our young people share their views alongside our Council Cabinet, senior officers, Members of the Scottish Youth Parliament and the Youth Council Executive;
- We assisted 285 residents into employment; and
- We supported our workforce's wellbeing to ensure they could continue to provide high quality services including through the introduction of Wellbeing Warriors, employees trained in mental health first aid, to support colleagues and Health and Wellbeing Hubs for care teams.

2.5 The Audit Scotland report also highlights a number of lessons learnt throughout its analysis, including:

Communities and People

The impact of Covid-19 has been extremely detrimental for many of Scotland's most vulnerable people and communities. The impact will be long-lasting and will significantly increase inequalities. Recovering from the pandemic will require tackling inequalities to be a priority.

As councils may look to embed longer-term changes to service provision as seen during the pandemic, it is important that they are adaptable in their approach, to ensure that services are reaching communities in the right way. Councils need to understand the needs of those experiencing digital exclusion and put a strategy in place to ensure equal access to services for all citizens and communities;

Action taken by communities has been vital in supporting councils and their partners to deliver an emergency response. Partnerships that were well-established before the pandemic had a smoother transition into the response phase and acted more quickly than others.

The importance of strengthening relationships with communities has been apparent. Greater flexibility in decision-making structures has been an effective tool for communities, empowering them while allowing the council to operate more efficiently. Giving communities more scope to use initiatives like this will be important in the future but must be balanced with the return of robust governance arrangements and continued openness and transparency in decision-making.

Service Delivery and Partnership Working

Councils must closely monitor the impacts of service changes and disruptions on people and communities. There are growing concerns about the effects of service disruptions on different groups, for example the impacts of moving school education into homes and online on disadvantaged and vulnerable children and young people, and of reduced or paused care services on people who rely on them and their carers. Councils must develop targeted responses to tackle both the immediate negative impacts of the pandemic and the long-term inequalities that have been exacerbated.

As councils embrace longer-term digital service provision, they must balance the efficiencies digital services bring against the needs of communities and the workforce. Citizens must be at the heart of decisions about the services they rely on.

Councils and their staff have been at the centre of unprecedented efforts to protect and support people and communities through the Covid-19 pandemic. Demands on people have been intense, and both council staff and the citizens they serve will need continued targeted support through the move to recovery and renewal. Councils' recovery and renewal efforts must be informed by comprehensive understanding of the issues that affect all those who live and work in their communities, and the positive partnerships built on during their initial response should be a core element in this. The impacts of the pandemic, particularly its unequal impacts on groups in society and the awareness it has raised of issues of fairness and equality, the importance of community and the value of local services are all key to deciding future priorities for public services and what 'building back better' might mean for communities.

Resources and Governance

The timing and nature of funding for local government is creating pressure and uncertainty for councils beyond the current financial year. Funding is being provided incrementally and the lack of certainty regarding future budgets makes effective short- and medium-term planning very difficult for councils. Covid-19 will have long-term impacts on councils and the communities that they serve. Councils are likely to require additional support to address the challenges of remobilising services, and supporting social and economic recovery. If additional funding is provided with specific conditions or is ring-fenced for specific purposes councils will then be forced to make difficult prioritisation decisions with potential negative impacts on other services. A lack of flexibility in future funding may lead to a differential impact on service delivery and exacerbate existing financial sustainability risks.

As reported in Local government in Scotland: Challenges and performance 2018, services such as planning, cultural services, environmental health and roads have borne the brunt of service cuts in recent years. The trend has been one of larger reductions to relatively smaller service areas with no change in real terms to social care and education spending. The increased financial constraints created by Covid-19 are likely to create a further risk to recovery should smaller services face further cuts. This will adversely affect councils' ability to provide importance services that people and communities rely on.

Councils have reacted well to the changing environment and have acted quickly to implement new governance arrangements that are safe and flexible. Although delegation to officers and emergency committees was undertaken at some councils in the early stages, it is welcome that all 32 councils now have arrangements in place to support remote meetings. It is likely that the requirement for remote meetings will continue for some time, therefore all councils should ensure that public participation is facilitated as soon as possible to provide openness and transparency in decision-making.

Councils' medium-term financial plans will need to be updated to reflect the significant financial impact of the Covid-19 pandemic. Although considerable challenge and uncertainty still exists, it is important that councils have a plan in place that identifies medium-term impacts so that steps can be taken to manage risk and plan effectively. Good medium-term financial planning, based on modelling various future scenarios and focusing on clear priorities, is more important now than ever.

2.6 North Ayrshire Council's response to the challenges posed by the pandemic have continually developed over the course of the last 18 months with regular reporting through Cabinet on the development of specific strategies to address the issues identified. Following the initial response phase, the focus of many of these strategies has been on the recovery and renewal required to repair much of the damage inflicted on our communities and businesses by the pandemic. Key strategies and plans approved by Cabinet during this period have included, but not limited to:

- Covid-19 Financial Impact 2020/21, June 2020
- Food Support to Families in Response to the Covid-19 Pandemic, June 2020
- Education Local Phasing Delivery Plan, June and December 2020
- Recovery and Renewal Strategy, September 2020
- Covid-19 Financial Recovery Plan 2020/21, September 2020
- Covid-19 Economic Recovery and Renewal Approach, September 2020
- Long Term Financial Outlook 2021/22 to 2030/31, December 2020
- NALL Recovery and Renewal Plan, February 2021
- Green Jobs Fund, February 2021
- Discretionary Business Support Fund, February 2021
- General Services Revenue Estimates 2021/22 to 2023/24, March 2021
- Regeneration Delivery Plan, March 2021
- NAC Recovery and Renewal Funding and Investment Proposals, June 2021

2.7 The Council's response to the pandemic has also been subject to external assessment by the Council's external auditors, Deloitte LLP. Their reports on 'Audit Dimensions and Best Value' and the 'Report on the 2020/21 Audit' examined North Ayrshire Council's response to the pandemic and its impact on the areas of Financial Management, Financial Sustainability, Governance and Transparency and Value for Money. Among their key findings the auditors noted:

- It is positive to note that the Council has reassessed its medium and long term financial planning to take into consideration the impact of COVID-19 and has a clear picture of the financial challenges it faces;
- The Council has continued to make good progress during 2020/21 with transformation, in particular the development of the Recovery and Renewal Strategy and Renewal Programme in response to the COVID-19 pandemic;
- It is also positive that the Council has started to consider the impact COVID-19 has had on the workforce via the Future Working Environment project and is actively engaging with staff as part of this;
- Strong leadership has been demonstrated in the collaborative response to COVID-19 in working closely with partners, including the Council, Health Board, third sector, volunteers and private providers; and
- We are pleased to see that the Council are responding to demand for changes in service delivery as a result of the pandemic.

3. Proposals

3.1 It is proposed that the Committee (a) notes the findings of the Audit Scotland report and the challenges highlighted in relation to the Covid-19 pandemic, and (b) notes the significant actions by North Ayrshire Council, its staff and its partners in responding to these challenges.

4. Implications/Socio-economic Duty

Financial

4.1 None.

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 None.

Community Wealth Building

4.7 None.

5. Consultation

5.1 No consultation has been required in the preparation of this report.

Mark Boyd
Head of Service (Finance)

For further information please contact **David Forbes, Senior Manager (Strategic Business Partner)**, on **01294 324551**.

Background Papers

Annual Report on the 2020/21 Audit - Audit and Scrutiny Committee, 27 September 2021

NORTH AYRSHIRE COUNCIL

16th November 2021

Audit and Scrutiny Committee

Title:	Local Government Benchmarking Framework (LGBF) 2019/20 Data Analysis (Data Released May 2021)
Purpose:	To provide an analysis of our performance within the Local Government Benchmarking Framework
Recommendation:	That the Audit and Scrutiny Committee agree to note the results of the LGBF indicators as at 2019/20

1. Executive Summary

- 1.1 The Local Government Benchmarking Framework (LGBF) is a national framework which collates performance information from each of Scotland's 32 councils. The most recent data available relates to 2019/20, prior to the Covid-19 pandemic. The data was released in May 2021, three months later than previous years due to the pandemic.
- 1.2 The Local Government (Scotland) Act 1992 places a statutory duty on all Scottish Councils to deliver Best Value. This means ensuring that there is good governance and effective management of resources with a focus on improvement, to deliver the best possible outcomes for the people of North Ayrshire.
- 1.3 [Our Performance Strategy](#) outlines our duty of Best Value including the Account Commission's Direction 2018 on Public Performance Reporting which "requires the Council to report on information drawn from the Local Government Benchmarking Framework in particular and from other benchmarking activities".
- 1.4 The LGBF provides benchmarking data on 97 indicators (as at 2019/20) covering a wide range of key service areas. Due to the large scope of the LGBF, not all indicators are priority areas for our Council, so variation in performance is to be expected. Our priorities are outlined within [our Council Plan](#).
- 1.5 The Corporate Policy, Performance and Elections Team have provided an analysis of our performance. As the data relates to a period prior to the pandemic, as well as the subsequent delay in the release of the data, it is felt that including improvement activity based on 2019/20 performance would not be appropriate. Many of our services remain impacted by our ongoing response to the pandemic, our service delivery has adapted and we are now entering a period of recovery and renewal. The report therefore provides a summary of performance only and Directorates are using this information alongside learning from the pandemic to look at individual improvements at service level.

- 1.6 Improvement activity will be included in future reports where appropriate following analysis of further LGBF data releases. This will include guidance on approaching any better performing councils to learn from their approach.

2 Background

- 2.1 A critical element of Best Value is scrutinising the performance of our Council and sharing our performance with residents, communities, businesses, and other stakeholders via our public performance reporting arrangements. Our Council publishes detailed performance information through key publications such as our Mid-Year and Year-End Council Plan Progress Reports, Annual Performance Reports, LGBF Reports and our [Performance Dashboard](#).
- 2.2 The LGBF enables us to gain greater insight into our performance through comparing performance, understanding differences and learning from others to help drive improvement and deliver better outcomes for the people of North Ayrshire.
- 2.3 The LGBF data for 2019/20 has been published by the Improvement Service through their [“My Local Council”](#) tool on their website, which allows comparisons with other local authorities.

3 Key Highlights

- The range of indicators has increased, with the introduction of seven new measures. These have been grouped into two new themes “Tackling Climate Change” (two) and “Financial Sustainability” (five). Of the 97 indicators, data is available for 87.
- Short-term (one year) comparisons are available for 83 indicators:
 - **47 (57%) indicators have improved**
 - **28 (34%) have declined** with a further **six (7%) marginally declining**
 - **two (2%) remain unchanged**
- 87 indicators can be compared to the Scottish Average:
 - **47 (54%) indicators are performing better than the Scottish Average**
 - **39 (45%) below the Scottish Average**
 - **one (1%) is the same as the Scottish Average**
- In terms of quartile, out of 32 local authorities our Council is in:
 - The **top quartile (ranked 1st to 8th) for 23 (26%) indicators**
 - The **bottom quartile (ranked 25th to 32nd) for 15 (17%) indicators**
 - In total, **51 (59%) indicators are in the top two quartiles (ranked 1st to 16th)**
- Satisfaction with Council services has **improved in four of the 11 satisfaction indicators** since 2018/19. Seven of these indicators are based on three year rolling averages.
- Our Council Plan Performance Framework 2019-24 contains 34 performance indicators of which nine are sourced from the LGBF. Of these nine indicators, **six improved** and **three declined**.

4 Proposals

- 4.1 That the Audit and Scrutiny Committee agree to note the results of the LGBF indicators as at 2019/20.

5 Implications/Socio-economic Duty

Financial

- 5.1 None.

Human Resources

- 5.2 None.

Legal

- 5.3 None.

Equality/Socio-economic

- 5.4 There are no equality/socio-economic implications arising from this report. Some of the indicators detailed in the LGBF relate to equality.

Environmental and Sustainability

- 5.5 There are no environmental or sustainability implications arising from this report. A number of the LGBF indicators relate to environmental issues.

Key Priorities

- 5.6 Implementation of effective benchmarking practices and scrutiny of performance across the Council will help support our strategic priorities.

Community Wealth Building

- 5.7 None.

6 Consultation

- 6.1 The Executive Leadership Team have been consulted on this report.

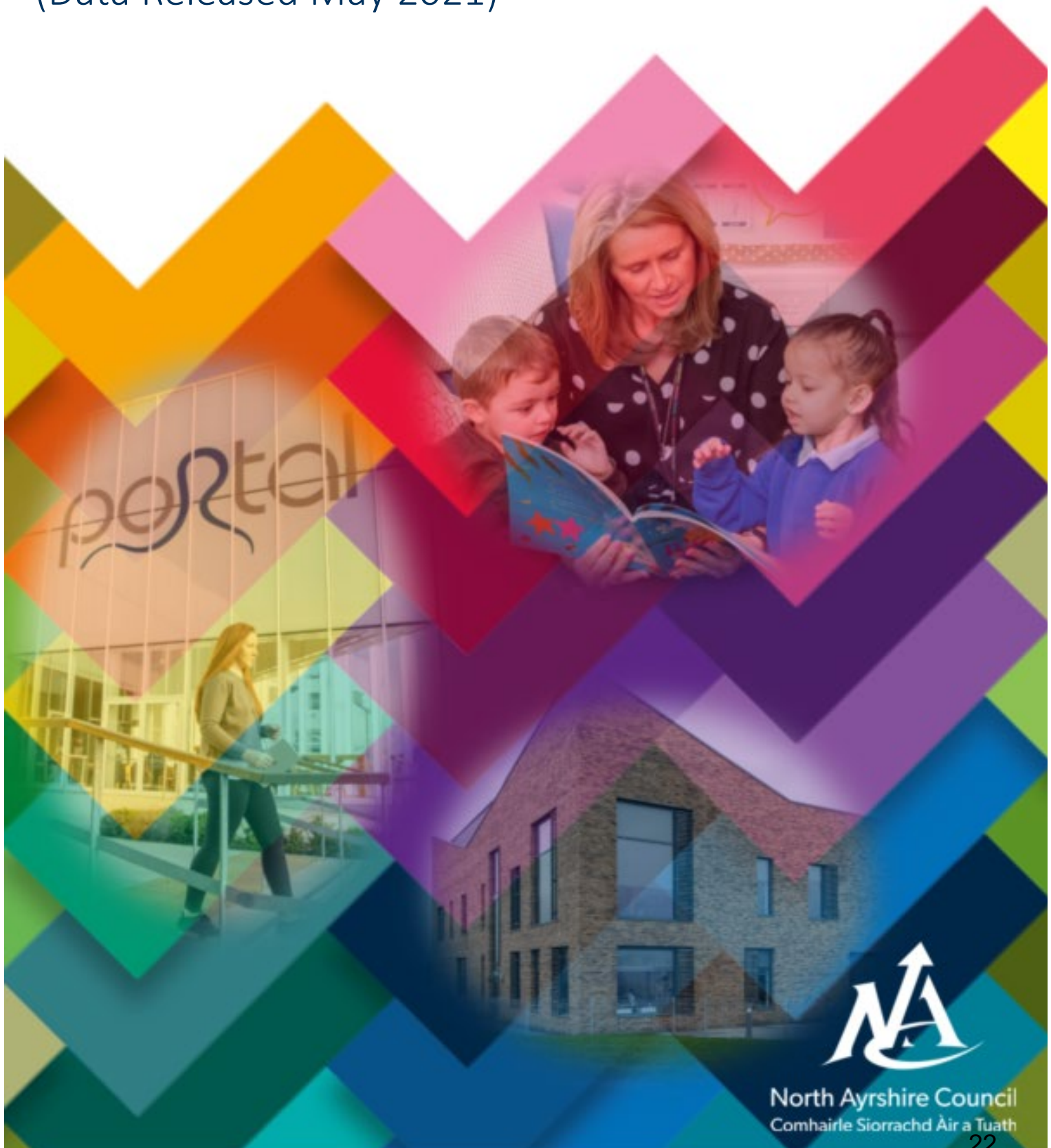
Aileen Craig
Head of Service (Democratic)

For further information please contact **Isla Hardy, Senior Policy and Performance Officer (Corporate Policy, Performance and Elections)**

Local Government Benchmarking Framework

2019-20 Data Analysis

(Data Released May 2021)



North Ayrshire Council
Comhairle Siorrachd Àir a Tuath

Contents

2019/20 Data At A Glance.....	1
Introduction	2
About the Data	2
Data Trends	3
Summary of Performance	4
Rank	6
Quartile	8
Scottish Average	9
Satisfaction	10
Council Plan Indicators.....	11
Family Groups.....	14
Directorates and Services	16
Chief Executive Services.....	16
Financial	16
Performance.....	19
Communities and Education Directorate.....	22
Financial	22
Performance	25
Satisfaction	30
Place Directorate	32
Financial	32
Performance	35
Satisfaction	40
Health and Social Care Partnership	42
Financial	42
Performance	44
Satisfaction	47

97

indicators for
2019-20

87

short-term
comparisons

54%

of indicators
above Scottish
average

57%

of indicators improved
short-term,

68%

long-term
(where comparison available)

45%

of indicators
improved
ranking

23

indicators
in top quartile

17

indicators
remain in top
quartile

Introduction

The Local Government Benchmarking Framework (LGBF) provides an opportunity to benchmark our performance with other local authorities in Scotland. It is administered by the Improvement Service in partnership with SOLACE and highlighted within the Accounts Commission's Direction 2018 which defines how local authorities can demonstrate that they are achieving Best Value for the people they serve. As a result, many of the indicators are used within our Council Plan. Further information on Best Value, Direction 2018, LGBF and benchmarking can be found in [Our Performance Strategy](#).

This report analyses our performance relative to other local authorities, details LGBF indicators used within our Council Plan and segments the full range of indicators by service. The most recent data (released in May 2021) relates to 2019/20 and pre-dates the Covid-19 (Coronavirus) pandemic lockdown period. As a result, though this report details our performance as at 2019/20, it does not contain comments on planned improvement activity as we are now entering a period of recovery and renewal. An overview of Council Plan actions as at 2021/22 to support our priorities can be found in our Council Plan Delivery Plan on our [website](#).

The LGBF brings together a range of performance indicators covering nine key themes detailed in the table to the right. The 2019/20 data has introduced two new themes. These are "Financial Sustainability" and "Tackling Climate Change".

LGBF Themes	
Adult Social Care	
Children's Services	
Corporate Services	
Culture and Leisure	
Economic Development	
Environmental Services	
Financial Sustainability	
Housing	
Tackling Climate Change	

By recording the same indicators as other local authorities across a wide range of themes we can identify opportunities to learn from each other. In addition, local authorities with similar traits such as geography and deprivation are categorised into "family groups" to enable as close as a like for like comparison as possible ([see Family Groups section](#)).

About the Data

The most recent LGBF data was released by the Improvement Service in May 2021 and relates to 2019/20. This is three months later than usual due to the Covid-19 (Coronavirus) pandemic. There are 97 indicators across the nine themes. The number of indicators has increased from 90 to 97 (8%) between 2018/19 and 2019/20. They are themed as follows:

Breakdown of indicators by theme and data collection			
Theme	No. of Indicators	2019/20 Data Available	
Adult Social Care	11	11	100%
Children's Services	31	23	74%
Corporate Services	10	10	100%
Culture & Leisure	8	8	100%
Economic Development	10	10	100%
Environmental Services	15	15	100%
Financial Sustainability	5	5	100%
Housing	5	5	100%
Tackling Climate Change	2	0	0%
Total	97	87	90%

The 97 indicators have been segmented into overall genres (see below).

- Financial – All financial related performance
- Performance – All non-financial and non-satisfaction related performance
- Satisfaction – All satisfaction performance. Seven of the 11 satisfaction indicators are based on a rolling three-year average

Breakdown of indicators by areas and data collection			
Theme	No. of Indicators	Data Returns	
Financial	26	26	100%
Performance	60	50	83%
Satisfaction	11	11	100%

There are three time periods used to compare data. Full details are below:

Comparative Years		
Description	Start	End
Short Term	2018/19	2019/20
Medium Term	2016/17	2019/20
Long Term	2010/11	2019/20

Data Trends

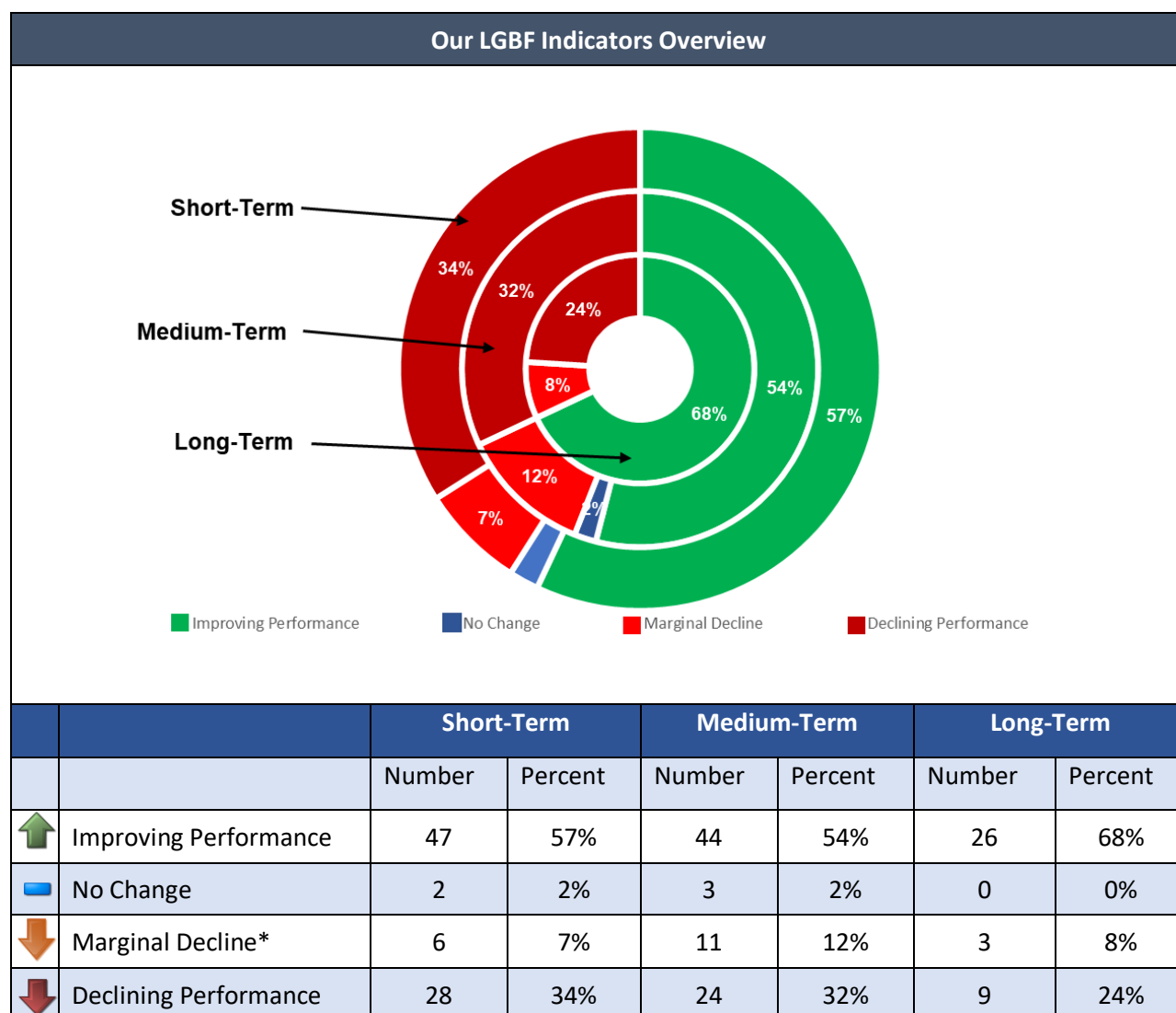
Within the current dataset, 87 of the 97 indicators have data available for 2019/20 as some indicators are recently introduced or have expected time delays. In addition, trend data may not be available for certain time periods for the remaining 87 indicators depending on when they were introduced into the LGBF. A breakdown of comparable data is shown to the right.

Breakdown of comparable data		
Comparison Year	No. of Indicators	%
Short Term	83	95%
Medium Term	82	94%
Long Term	38	44%

To assess performance the terms “improved” or “declined” are used in this report, rather than referring to data as “increased” or “decreased”. This terminology is used as for some indicators a value increasing is improved performance (such as satisfaction), however, for some indicators a value increasing is declining performance, (such as cost indicators).

Summary of Performance

Where a short-term comparison is available, 57% of all indicators have improved, 2% have not changed and 41% have declined (though 7% have declined only marginally). Medium-term, 54% of indicators have improved and long-term, 68% have improved. The table below examines this in more detail.

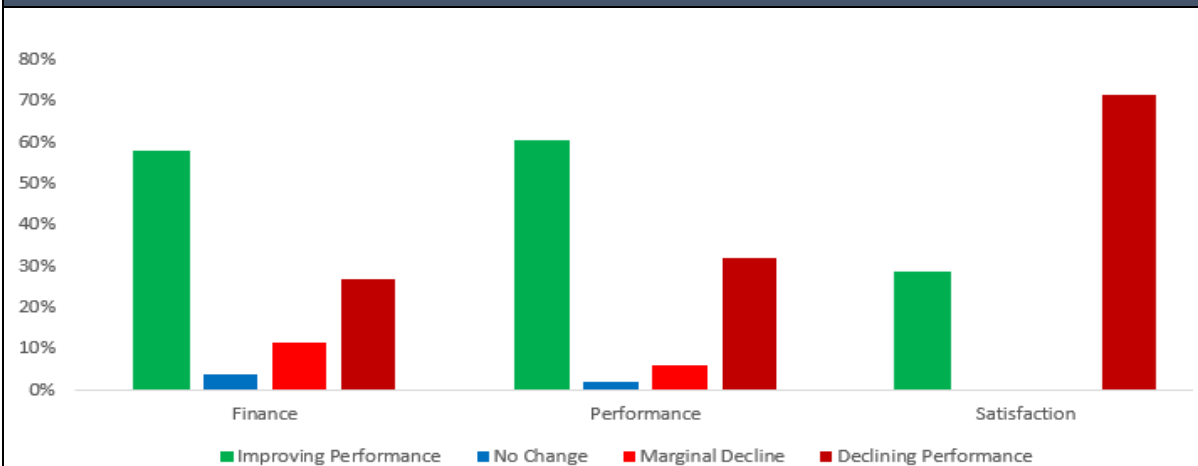


*Marginal decline - where the variance is less than 5%.

As shown in the table below, when viewed per genre over the short-term (one year) period, 58% of financial indicators and 60% of performance indicators have improved. This is in comparison to the satisfaction indicators, where there was an improvement in 29% of indicators and a decline in 71% since 2018/19. Over the long-term 71% of financial indicators and 67% of performance indicators have improved. Overall, this shows the majority of measures have improved over the past ten years in terms of financial and performance indicators. However, at this overall level the data cannot determine whether the same indicators are continuing to improve each year, whether results are due to an unusual baseline figure in 2010 or significantly improved performance during 2019/20.

Seven of the 11 satisfaction indicators are rolling three-year averages and have comparisons available. The current performance timescale for the three-year averages spans 2017-2020. As a result, it can take some time for improvements to impact on these indicators. Detail on each individual indicator is explored in more detail in the [Directorates and Services](#) section of this report.

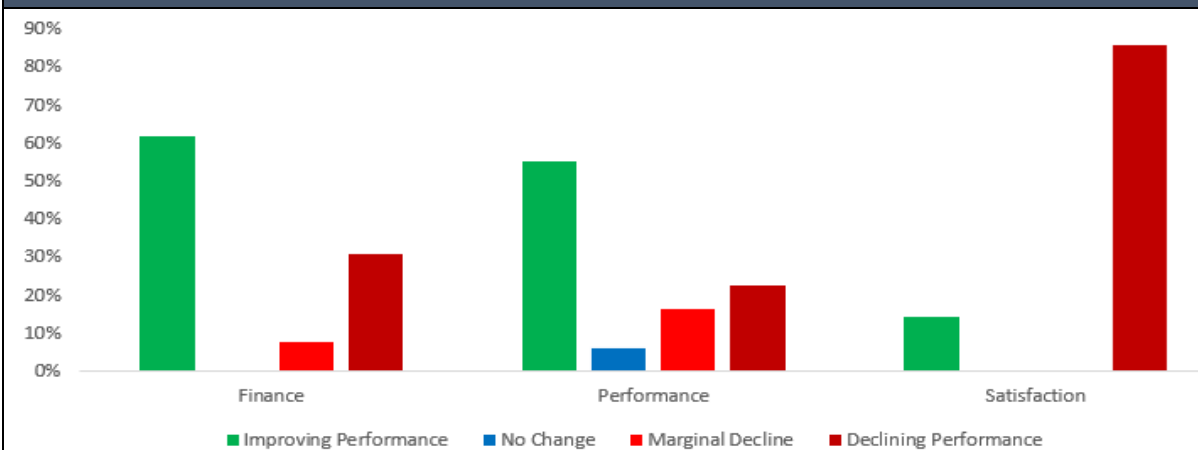
Our LGBF Indicators by Genre - Short-Term



		Financial		Performance		Satisfaction*	
		Number	Percent	Number	Percent	Number	Percent
↑	Improving Performance	15	57.69%	30	60%	2	29%
→	No Change	1	3.85%	1	2%	0	0%
↓	Marginal Decline	3	11.54%	3	6%	0	0%
↘	Declining Performance	7	26.92%	16	32%	5	71%

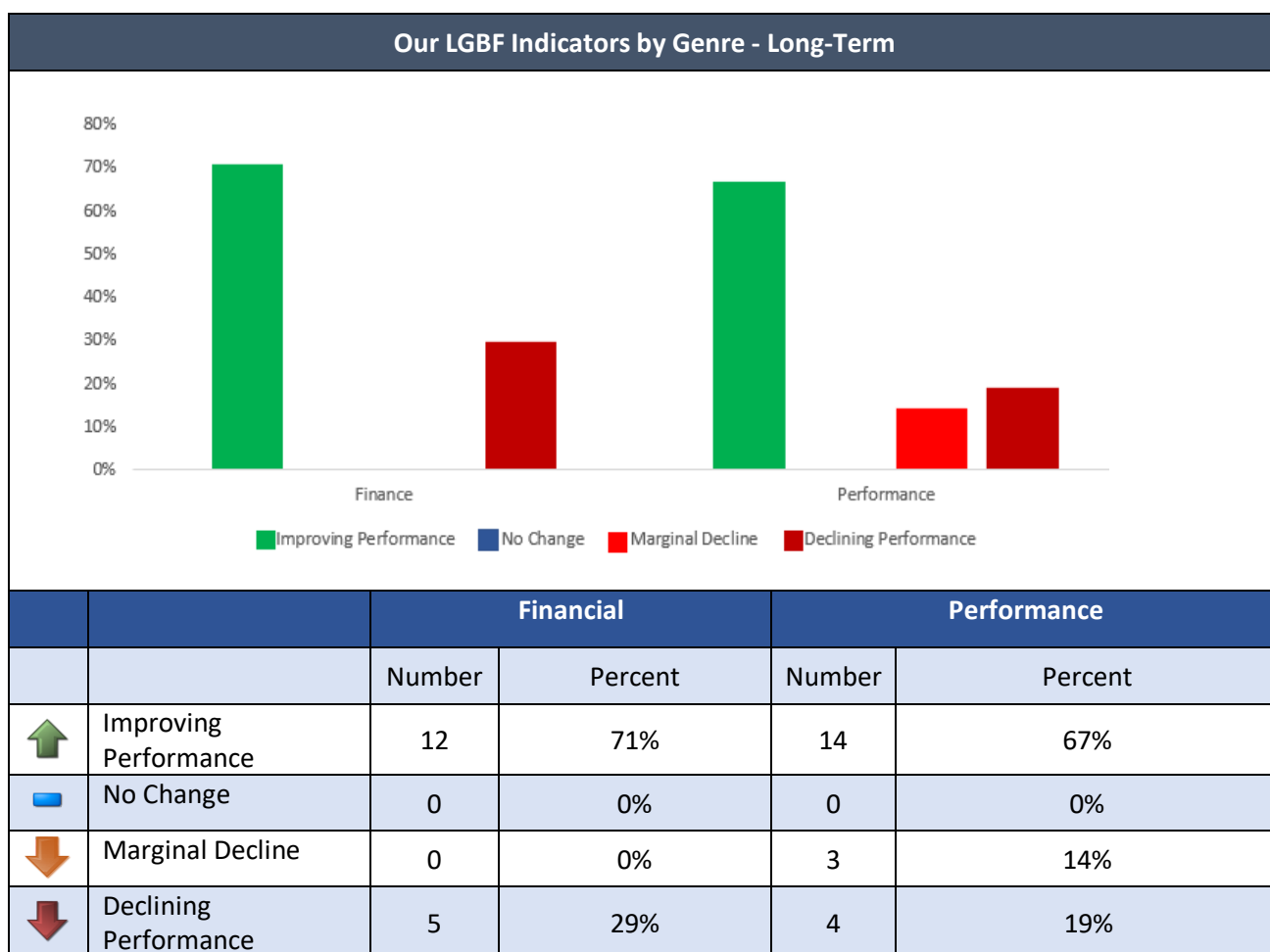
*Seven of the 11 satisfaction indicators have comparisons available

Our LGBF Indicators by Genre - Medium-Term



		Financial		Performance		Satisfaction*	
		Number	Percent	Number	Percent	Number	Percent
↑	Improving Performance	16	61.54%	27	55.1%	1	14%
→	No Change	0	0%	3	6.1%	0	0%
↓	Marginal Decline	2	7.69%	8	16.3%	0	0%
↘	Declining Performance	8	30.77%	11	22.4%	6	86%

*Seven of the 11 satisfaction indicators have comparisons available



Long term data for satisfaction relates to 2014, so is excluded.

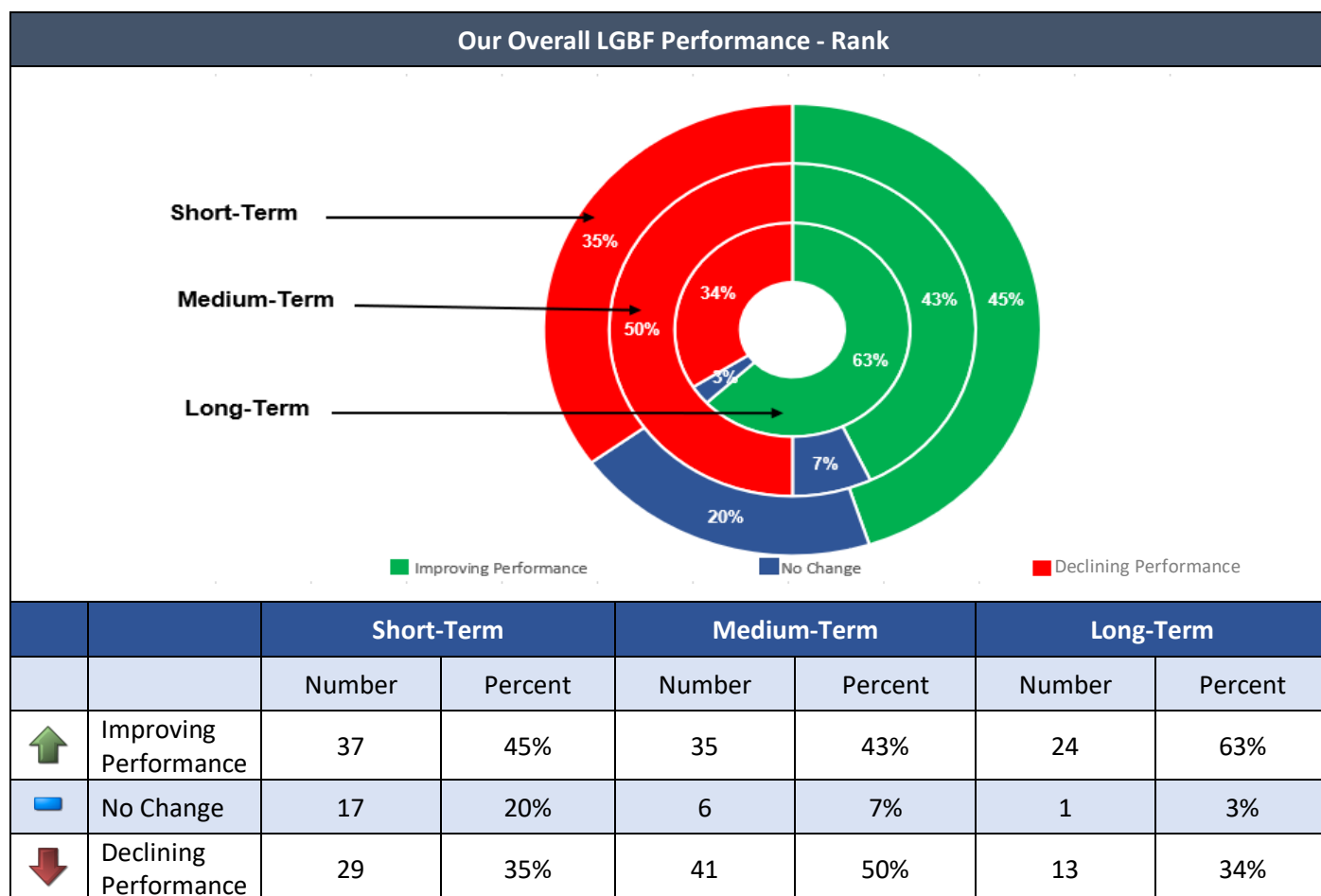
Rank

Ranking is a useful tool in comparing performance between all 32 local authorities in Scotland, however an increase in ranking does not necessarily correspond to better outcomes for our residents. The purpose of ranking is to easily identify local authorities we can approach to learn from. An accurate comparison is highly dependent on each council's strategic approaches. For example, a low cost per visit indicator may result in an increased ranking, however cost per visit can be affected by a decrease in the number of venues in the same way as an increase in the number of visitors. Similarly, the percentage of unemployed people assisted into work can be greatly affected by whether a local authority is assisting highly skilled unemployed residents, or those who need substantial support. Ranking is therefore a useful tool but must be used cautiously.

Our Council has been ranked in the top three for 11% of our indicators for the past two years:

Top Three Ranking		
Comparison Year	No. of Indicators	%
2019/20	10	11%
2018/19	10	11%
2016/17	9	10%
2010/11	4	9%

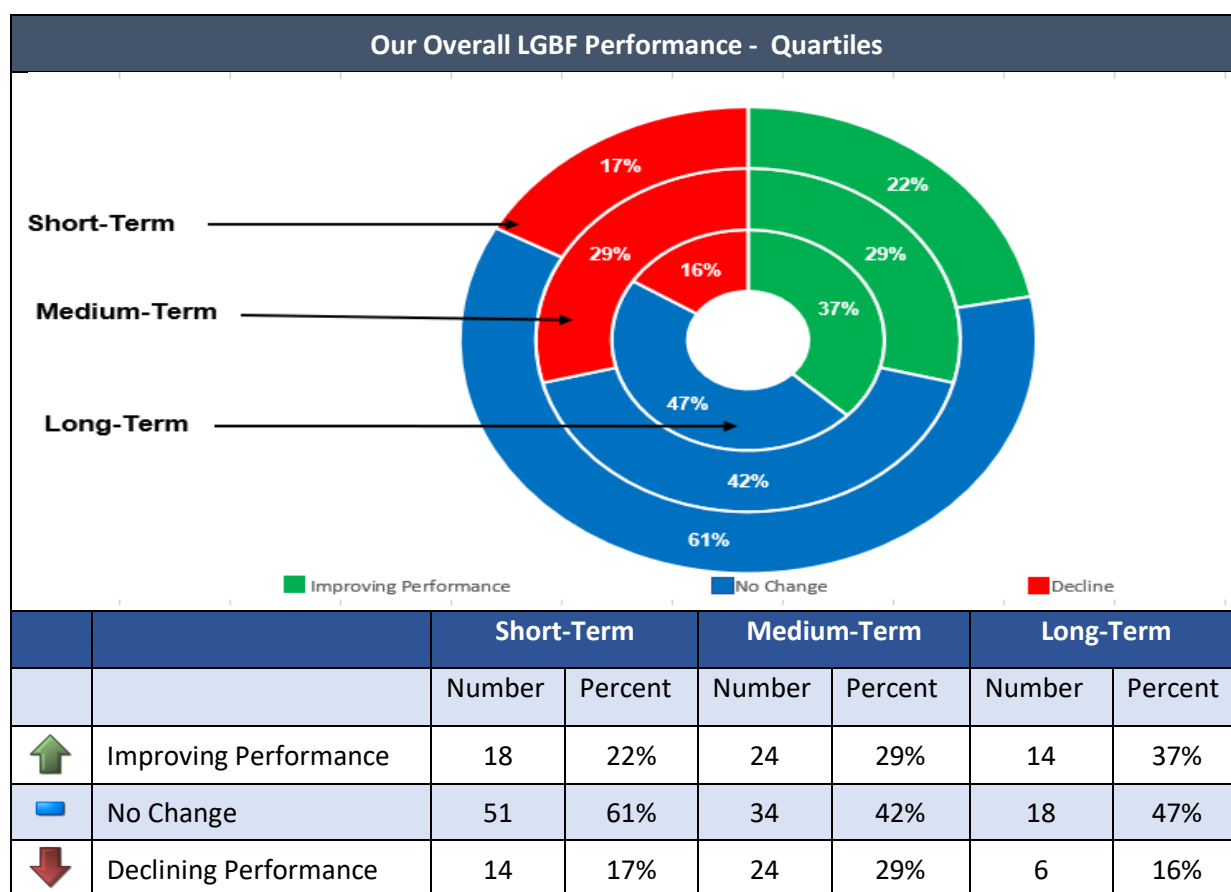
We have seen an improvement in rank for 45% of indicators, a decline in rank for 35% of indicators with the remaining 20% the same as the previous year. The medium term shows 43% of indicators improved their rank. Over the long term, 63% of indicators have improved ranks, though fewer comparisons are available. The table below looks at this in more detail.



Quartile

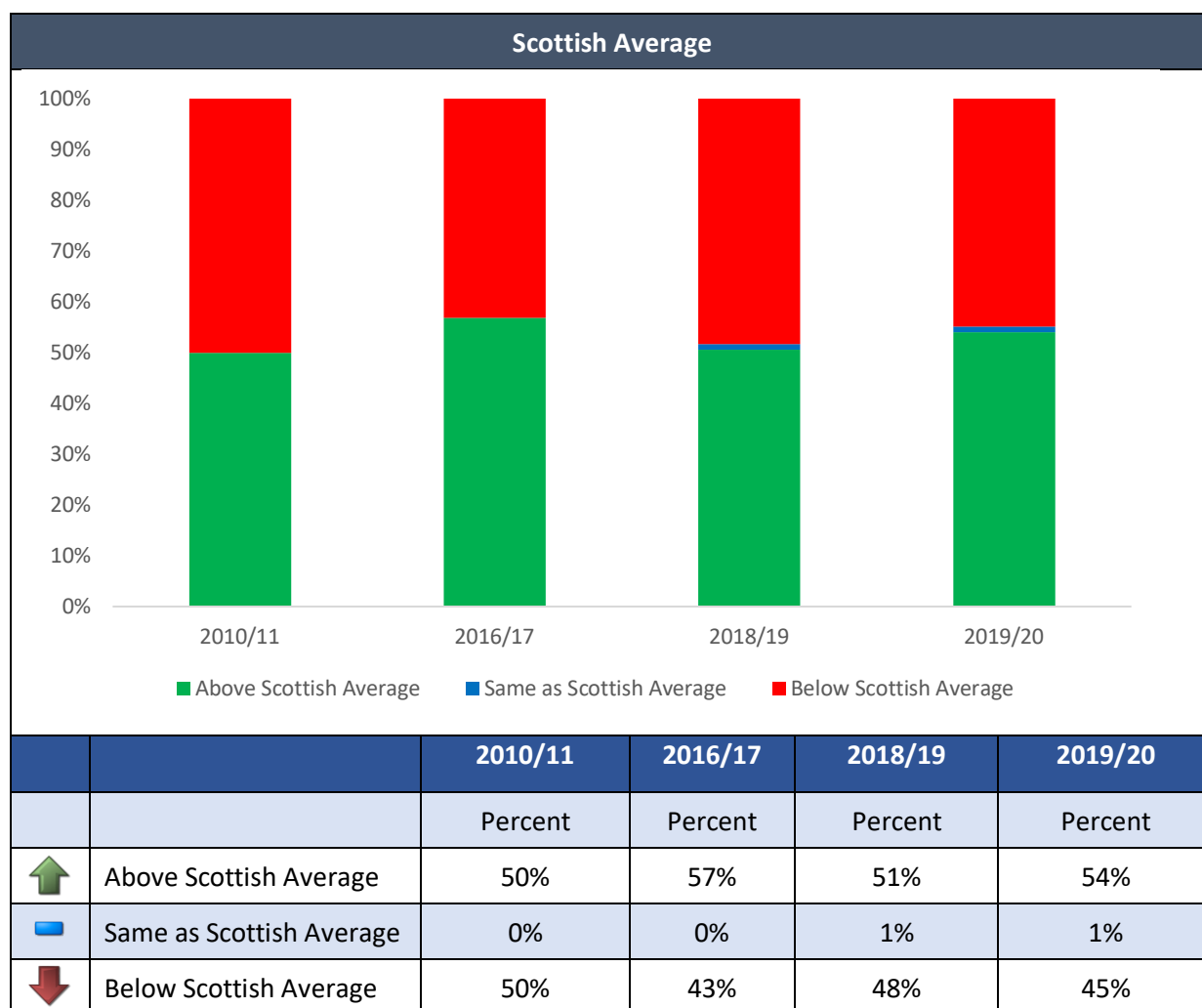
Quartiles group the rankings into four sections, with the 1st Quartile showing ranking positions 1-8 for each local authority and the 4th Quartile showing ranks 24-32. It is less prone to fluctuations year on year, particularly where results for all councils for an indicator are very similar. In the short term, 22% of indicators have improved their quartile, with only 17% declining. In the long-term, 84% of indicators have either improved or not changed their quartile.

'No-change' can be the result of our Council already being in the top quartiles, so is not necessarily an indication of poor performance. For 2019/20 there were 23 indicators in the first quartile (compared to 28 in 2018/19) and 17 indicators have remained in the top quartile since 2018/19. The chart below shows our quartile performance in the short, medium and long term.



Scottish Average

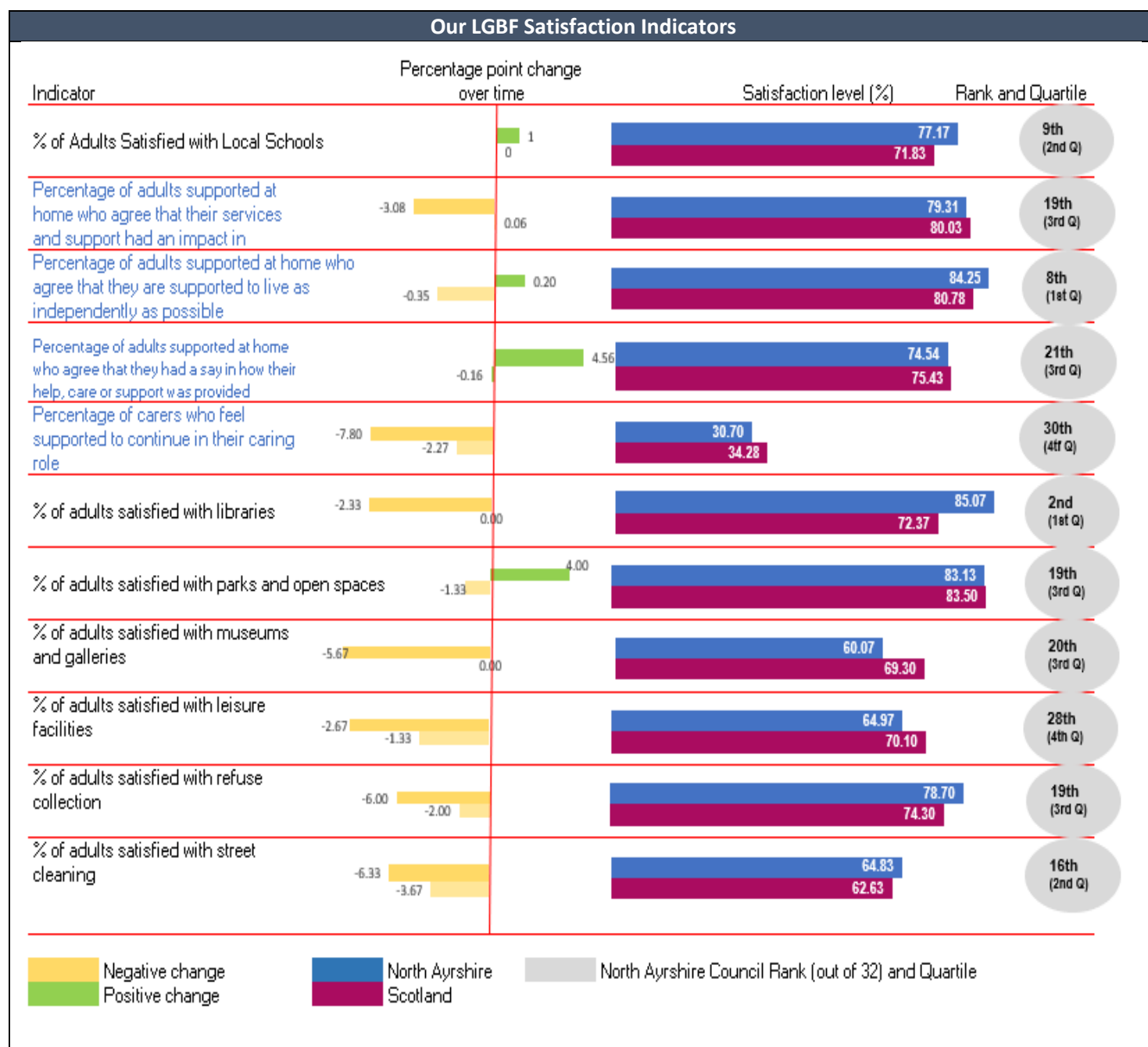
This section looks at our performance compared to the Scottish Average in more detail. Our performance is above the Scottish average for at least 50% of the indicators across the short, medium and long-term. During 2019/20 we performed above the average in 54% (47) of the indicators. The highest was in 2016/17 when 57% (50) of our indicators were above the Scottish average. The table below looks at this in further detail. Direct comparisons with all Scottish local authorities for each indicator are available through the Improvement Service [“My Local Council” online tool](#).



Satisfaction

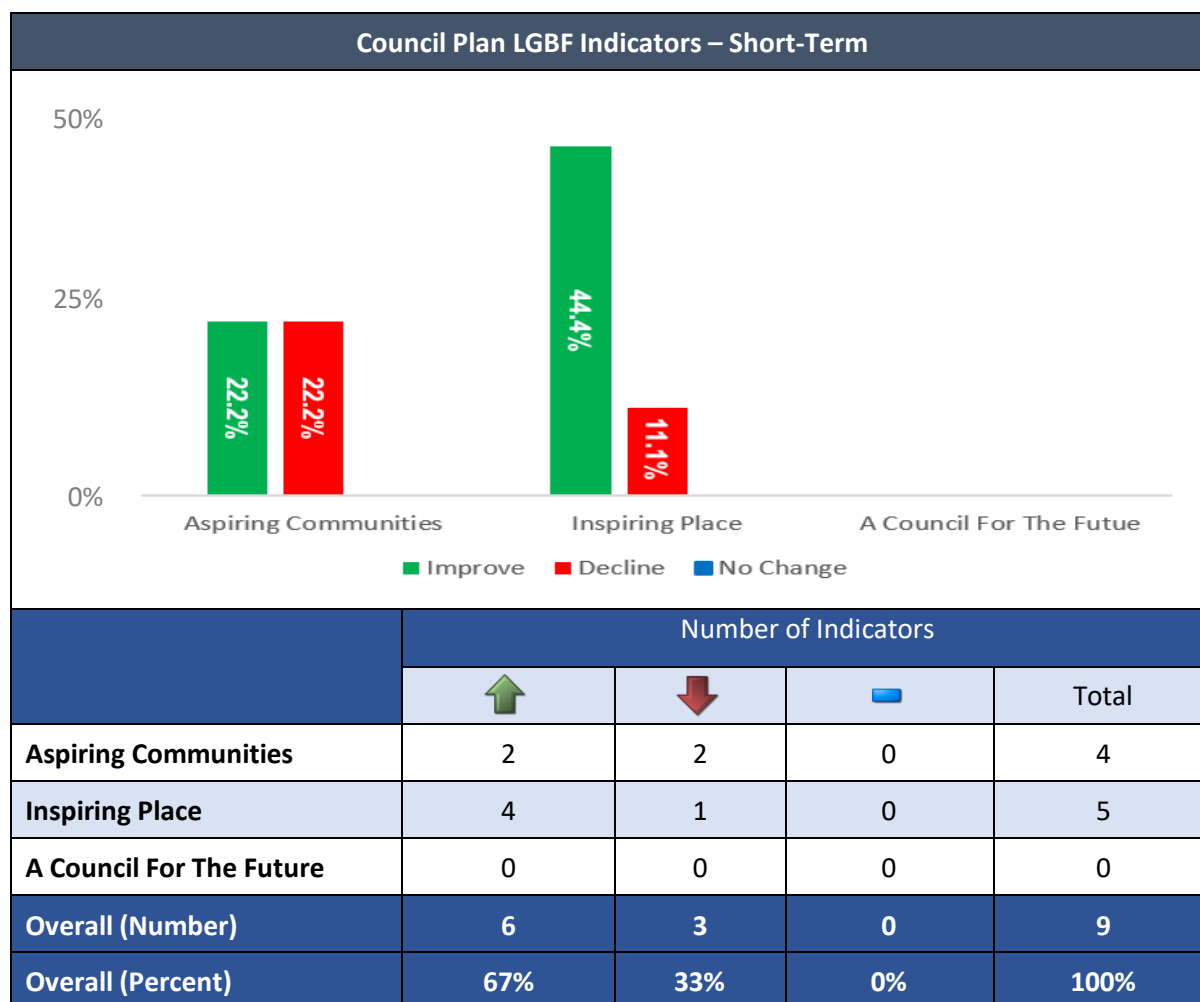
Within the LGBF dataset there are 11 indicators that look at customer satisfaction. Seven of the eleven indicators are based on three year rolling averages with current data relating to 2017-20 and compared in the short term to 2016-19. Four indicators are recorded every two years and are highlighted in blue, they are compared against 2017/18.

The majority of satisfaction indicators are sourced from the Scottish Household Survey and the Improvement Service recognises this source has limitations at local authority level and cannot represent the full adult population of North Ayrshire due to varying and limited sample sizes. Work is ongoing with councils across Scotland to improve the robustness of these indicators. Currently the confidence interval of the three-year rolling averages is 5.5%.



Council Plan Indicators

The Council Plan sets out our priorities for the period 2019-24. The Council Plan is supported by the Performance Framework which includes 34 performance indicators (including nine LGBF indicators). As at 2019/20, performance had improved in 21 (66%) of the performance indicators included in the Council Plan Performance Framework, declined in nine (28%) and two had no change (6%) since 2018/19. No comparative data is available for two indicators.



















































As a comparison, at year end 2019/20 the Council Plan Performance Framework showed 69.2% of indicators on target, 11.5% slightly adrift and 19.2% significantly adrift of target.

Council Plan LGBF Indicators - Performance Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Data -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Proportion of Pupils Entering Positive Destinations	94.04%	92.45%	↓	27	22	↑	4	3	↑
% of procurement spend spent on local enterprises*	17.43%	16.65%	↓	27	27	▬	4	4	▬
Proportion of people earning less than the living wage	24.3%	16%	↑	19	9	↑	3	2	↑
% of people aged 65 and over with long-term care needs receiving personal care at home	66.68%	69.42%	↑	8	4	↑	1	1	▬
% of operational buildings that are suitable for their current use	91.01%	90.89%	↓	9	10	↓	2	2	▬
Proportion of properties receiving superfast broadband	93.7%	94.1%	↑	16	18	↓	2	3	↓
% of council dwellings meeting Scottish Housing Standards	99.19%	99.36%	↑	3	2	↑	1	1	▬
Street Cleanliness Score	94.5	94.64	↑	12	11	↑	2	2	▬
% of total household waste arising that is recycled	54.6%	56.34%	↑	8	6	↑	1	1	▬



* This indicator is based on the Improvement Service calculation of % of procurement spend. On 31st August 2021 Cabinet approved the replacement of this indicator within our Council Plan with a more accurately calculated procurement spend indicator for 2021/22 onwards. However as at 2019/20, the LGBF indicator was reported as part of our Council Plan.

Council Plan LGBF Indicators – Scottish Rank (SR) and Family Group (FG)

Reference	Description	2010/11		2016/17		2018/19		2019/20		Movement					
		Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
CHN11	Proportion of Pupils Entering Positive Destinations	-	-	22	4	27	7	22	4					-	-
ECON4	% of procurement spend spent on local enterprises	29	7	28	8	27	8	27	6						
ECON7	Proportion of people earning less than the living wage	-	-	25	7	19	6	9	2					-	-
SW3a	% of people aged 65 and over with long-term care needs receiving personal care at home	21	6	12	6	8	4	4	1						
CORP-ASSET1	% of operational buildings that are suitable for their current use	4	2	5	2	9	2	10	3						
ECON8	Proportion of properties receiving superfast broadband	-	-	18	4	16	3	18	4					-	-
HSN3	% of council dwellings meeting Scottish Housing Standards	11	2	3	1	3	1	2	1						
ENV3c	Street Cleanliness Score	14	6	29	7	12	4	11	2						
ENV6	% of total household waste arising that is recycled	10	5	5	2	8	2	6	3						

Family Groups

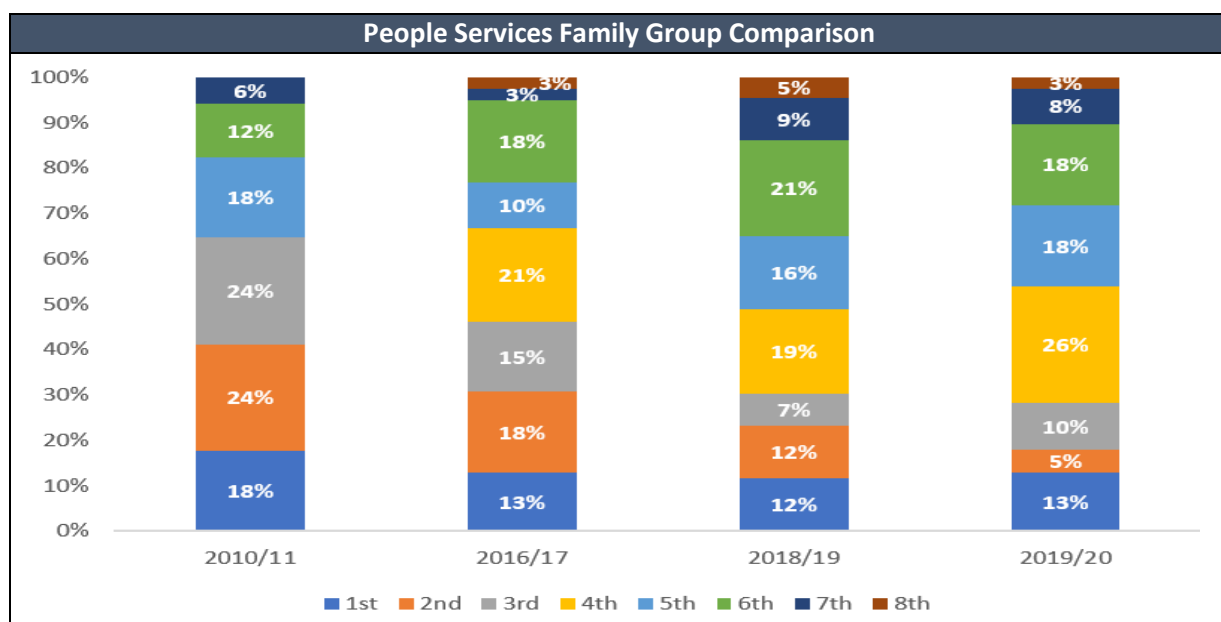
Family groups enable local authorities to make as close to a like for like comparison as possible with other councils by grouping those within similar traits such as levels of rurality or deprivation.

North Ayrshire Council's LGBF Family Groups	
People Services (Family Group 4)	Other Services (Family Group 2)
 <p>For indicators relating to Children, Social Work and Housing, North Ayrshire Council is grouped with the following Councils:</p> <ul style="list-style-type: none"> • Comhairle nan Eilean Siar • Dundee City Council • East Ayrshire Council • North Lanarkshire Council • Inverclyde Council • West Dunbartonshire Council • Glasgow City Council 	 <p>For indicators relating to Corporate Services, Culture & Leisure, Economic Development, Environmental Services, Financial Sustainability and Tackling Climate Change, North Ayrshire Council is grouped with the following Councils:</p> <ul style="list-style-type: none"> • Perth and Kinross Council • Stirling Council • Moray Council • South Ayrshire Council • East Ayrshire Council • East Lothian Council • Fife Council

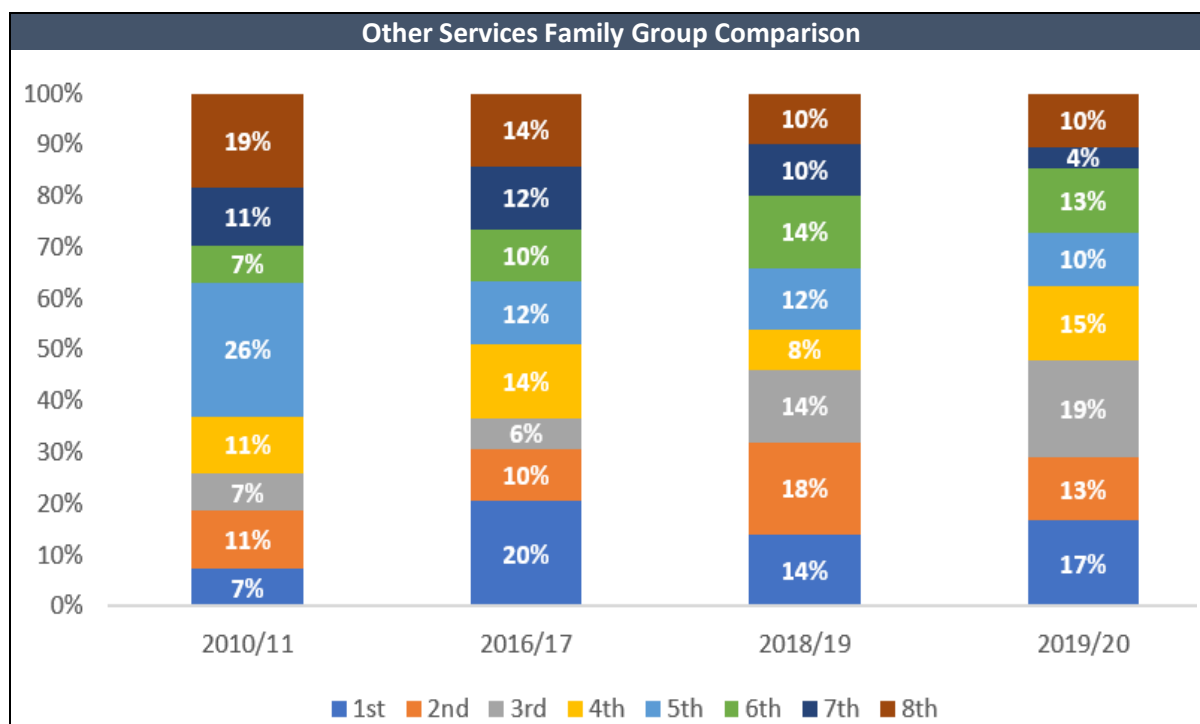
Direct comparisons with all Scottish local authorities are available through the Improvement Service [“My Local Council” online tool](#).

The charts below segment our performance in terms of percentage of indicators in each rank within each family group. Not all local authorities provided data for all indicators in the most recent LGBF data release. The following charts are based on available data.

During 2019/20, within the People Services Family Group 13% of our indicators were ranked at number one and 54% were ranked between one and four. Only 3% of People Services Family Group indicators were ranked lowest at rank eight.



Within the Other Services Family Group 17% of all indicators were within rank one and 64% of our indicators were ranked one to four. In comparison, 10% of our indicators in the Other Services Family Group were ranked lowest in rank eight.



Directorates and Services

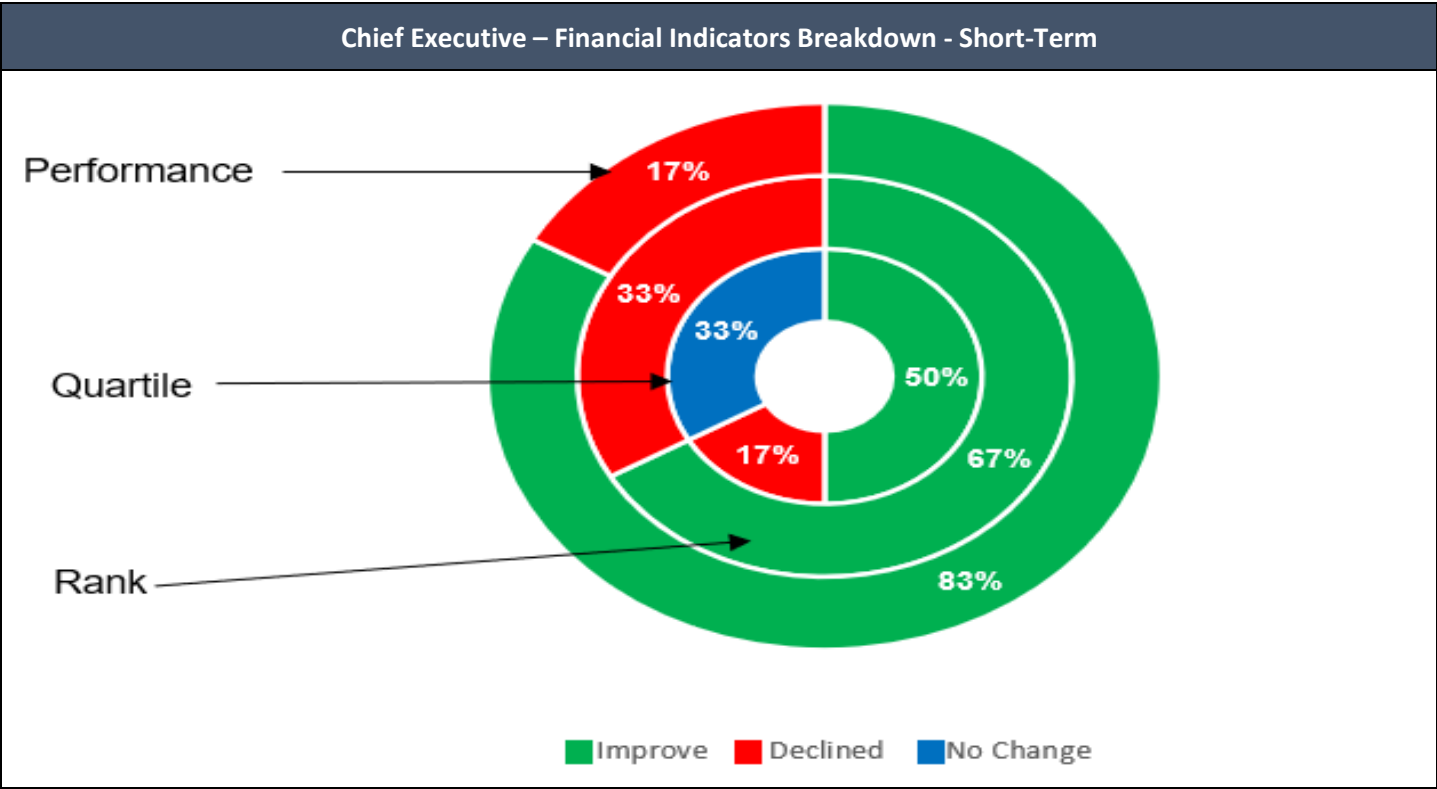
This section explores the LGBF performance of our directorates and services.

Chief Executive Services

Our Chief Executive services have a total of 13 LGBF indicators. These are split by the following:

Financial	6
Performance	7
Satisfaction	0

Financial

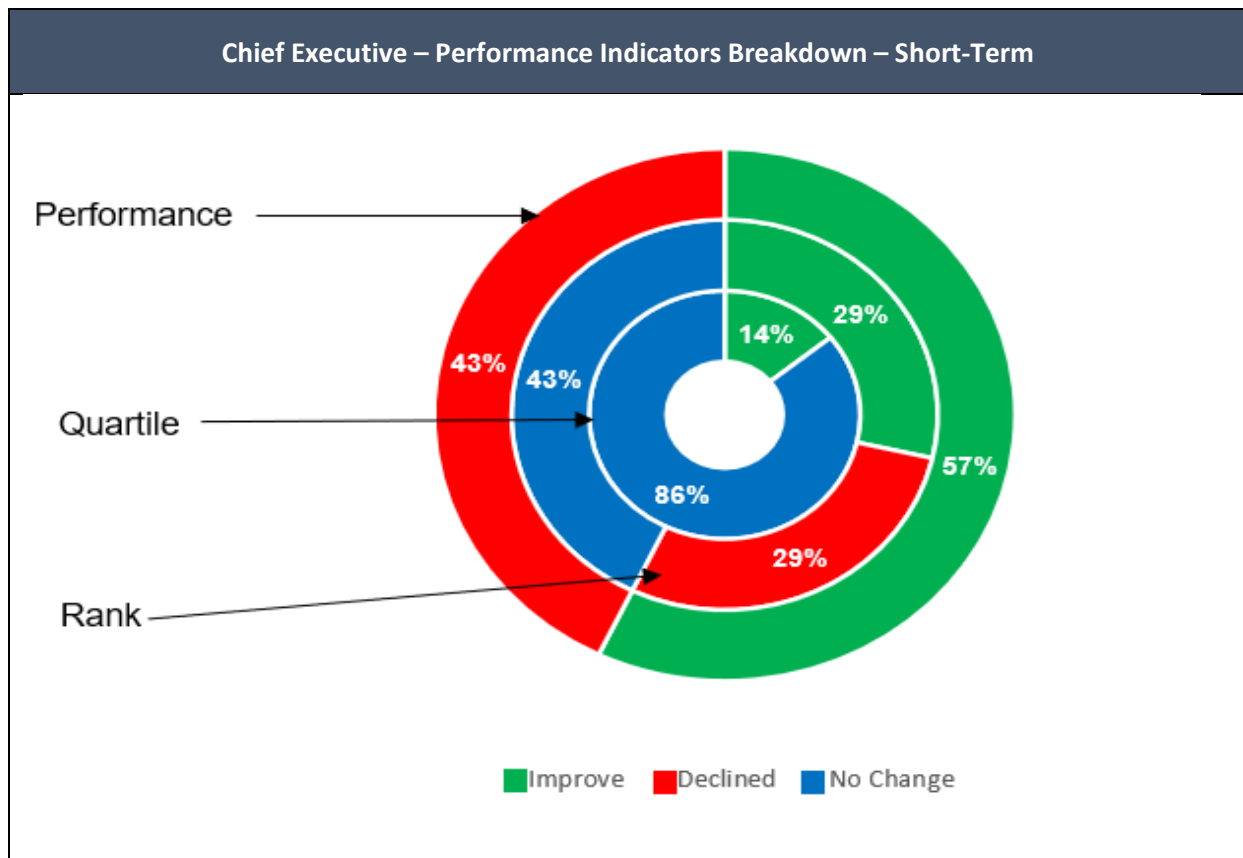


Of the financial indicators that fall under the Chief Executive services, in the short-term, 83% of the indicators have seen an improvement in performance and 66% have seen an improvement in the medium-term.






















Chief Executive Services – Financial Indicators - Performance Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
The cost per dwelling of collecting council tax	7.3	4.71	↑	16	5	↑	2	1	↑
Total useable reserves as a % of council annual budgeted revenue	8.6	9.1	↑	29	28	↑	4	4	▬
Uncommitted General Fund Balance as a % of council annual budgeted net revenue	2.1	2.8	↑	21	12	↑	3	2	↑
Ratio of Financing Costs to Net Revenue Stream - General Fund	4.9	4.5	↑	4	6	↓	1	1	▬
Ratio of Financing Costs to Net Revenue Stream - Housing Revenue Account	15	17.1	↓	8	10	↓	1	2	↓
Actual outturn as a percentage of budgeted expenditure	98.39	99.32	↑	22	15	↑	3	2	↑

Chief Executive Services – Financial Indicators - Detail																	
				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan Pl (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
	✓	CORP 4	The cost per dwelling of collecting council tax	13	5	10	4	16	6	5	3	📈	📈	📈	📈	📈	📈
		FINSUS1	Total useable reserves as a % of council annual budgeted revenue	-	-	26	7	29	7	28	6	📈	📈	📉	📈	-	-
		FINSUS2	Uncommitted General Fund Balance as a % of council annual budgeted net revenue	-	-	23	8	21	6	12	4	📈	📈	📈	📈	-	-
		FINSUS3	Ratio of Financing Costs to Net Revenue Stream - General Fund	-	-	5	1	4	1	6	1	📉	📊	📉	📊	-	-
		FINSUS4	Ratio of Financing Costs to Net Revenue Stream - Housing Revenue Account	-	-	5	1	8	2	10	3	📉	📉	📉	📉	-	-
		FINSUS5	Actual outturn as a percentage of budgeted expenditure	-	-	24	6	22	6	15	5	📈	📈	📈	📈	-	-

Performance



Of the performance indicators that fall under the Chief Executive services, in the short-term, 57% of the indicators have improved. This is the same for the medium-term which also saw an improvement in 57% of the indicators.

Chief Executive Services – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Support services as a % of total gross expenditure	2.70	2.71		2	2		1	1	
% of the highest paid 5% employees who are women	59.33	60.79		5	5		1	1	
The gender pay gap (%)	2.81	1.78		13	12		2	2	
Sickness absence days per employee (non-teacher)	11	8.94		12	2		2	1	
% of income due from council tax received by the end of the year	94.28	93.35		29	32		4	4	
% of invoices sampled that were paid within 30 days	94.89	93.27		13	16		2	2	
% of procurement spend spent on local enterprises	17.43	16.65		27	27		4	4	

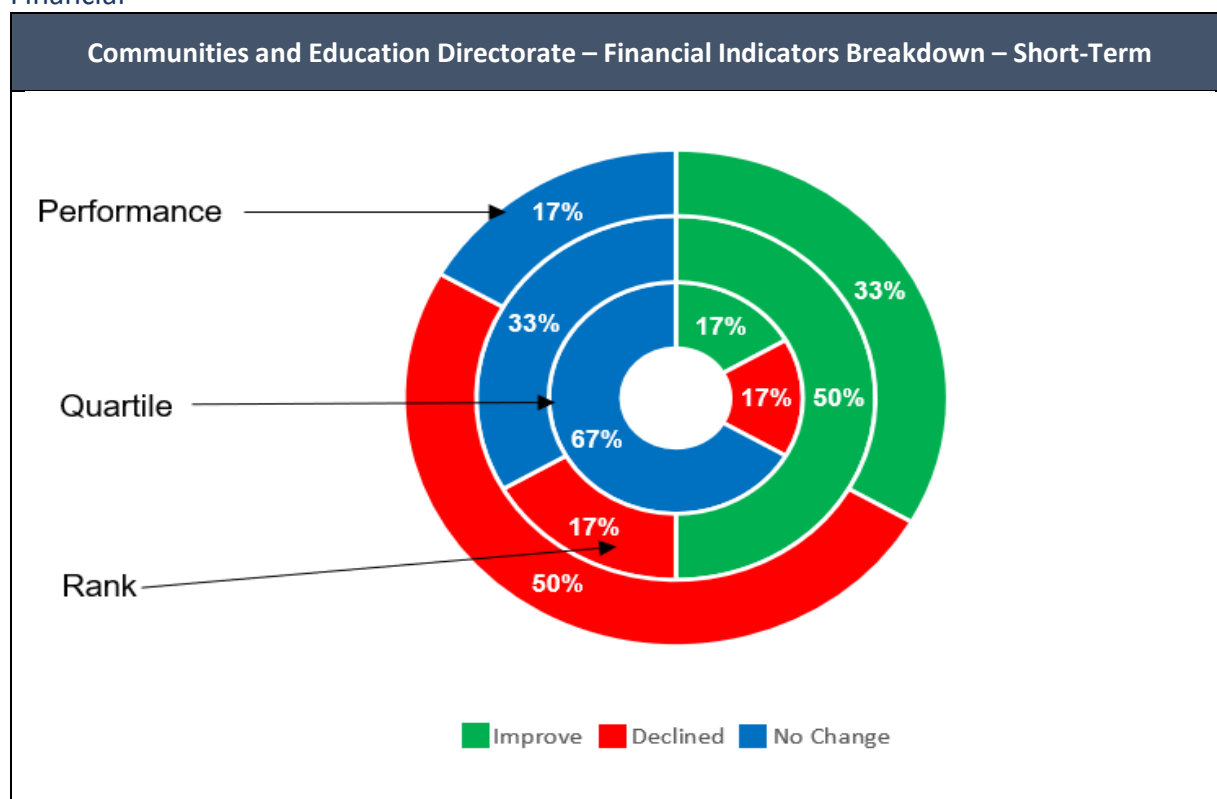
Chief Executive Services – Performance Indicators - Detail																	
Council Plan PI (P)	Council Plan Priorities	Reference	Description	2010/11	2016/17	2018/19	2019/20	Movement						SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend
				Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Long-term Trend	FG Long-term Trend				
		CORP 1	Support services as a % of total gross expenditure	2	1	1	1	2	1	2	1						
		CORP 3b	% of the highest paid 5% employees who are women	14	4	7	1	5	2	5	2						
		CORP 3c	The gender pay gap (%)	-	-	7	3	13	5	12	5						
	✓	CORP 6b	Sickness absence days per employee (non-teacher)	1	1	16	6	12	5	2	2						
	✓	CORP 7	% of income due from council tax received by the end of the year	27	8	28	7	29	7	32	8						
	✓	CORP 8	% of invoices sampled that were paid within 30 days	21	5	18	4	13	3	16	4						
✓	✓	ECON4	% of procurement spend spent on local enterprises	29	7	28	8	27	8	27	6						

Communities and Education Directorate

Our Communities and Education Directorate has a total of 33 LGBF indicators. These are split by the following

Financial	6
Performance	23
Satisfaction	4

Financial

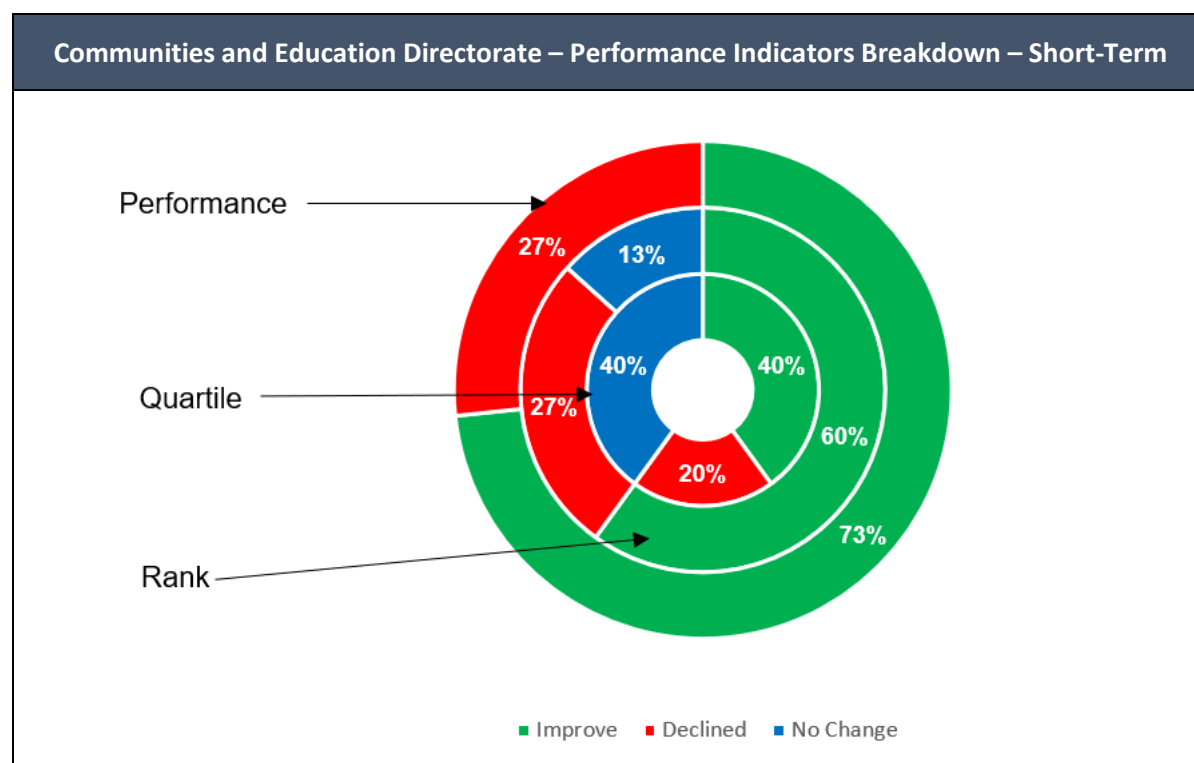


Of the financial indicators that fall under Communities and Education Directorate, in the short-term, 33% of the indicators show improved performance. This is the same as in the medium term, however in the long-term 67% of indicators saw a rise in performance.

Three of these indicators relate to cost per pre-school, primary and secondary pupil. Due to the particular challenges North Ayrshire faces in terms of deprivation, a higher investment in our young people relative to other local authorities (shown as declining performance in terms of rank) should not necessarily be viewed as negative performance.

Communities and Education Directorate – Financial Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Cost per attendance at sports facilities	1.78	1.79	↓	8	8	▬	1	1	▬
Cost per library visit	2.46	2.20	↑	16	18	↓	2	3	↓
Cost of museums per visit	0.40	0.39	↑	3	2	↑	1	1	▬
Cost Per Primary School Pupil	£5,913	£6,253	↓	28	27	↑	4	4	▬
Cost per Secondary School Pupil	£7,702	£7,538	↑	25	21	↑	4	3	↑
Cost per Pre-School Education Registration	£6,452	£8,098	↓	27	27	▬	4	4	▬

Communities and Education Directorate – Financial Indicators - Detail																	
				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		C&L1	Cost per attendance at sports facilities	23	5	20	5	8	2	8	3						
		C&L2	Cost per library visit	7	3	8	3	16	5	18	6						
		C&L3	Cost of museums per visit	5	2	1	1	3	1	2	1						
		CHN1	Cost Per Primary School Pupil	26	6	16	3	28	7	27	6						
		CHN2	Cost per Secondary School Pupil	15	2	23	6	25	6	21	4						
		CHN3	Cost per Pre-School Education Registration	23	3	21	4	27	5	27	6						



Of the non-financial / satisfaction indicators assigned to our Communities and Education Directorate, 73% have seen an improvement in performance in the short-term. This is in comparison to the medium-term where 60% of the indicators showed improved performance.

Communities and Education Directorate – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
% of Pupils Gaining 5+ Awards at Level 5	60%	61%	↑	23	20	↑	3	3	▬
% of Pupils Gaining 5+ Awards at Level 6	35%	38%	↑	29	22	↑	4	3	↑
% of Pupils from Deprived Areas Gaining 5+ Awards at Level 5 (SIMD)	48%	46%	↓	7	10	↓	1	2	↓
% of Pupils from Deprived Areas Gaining 5+ Awards at Level 6 (SIMD)	16%	19%	↑	14	13	↑	2	2	▬
Proportion of Pupils Entering Positive Destinations	94.04%	92.45%	↓	27	22	↑	4	3	↑
Overall Average Total Tariff	792.94	805.28	↑	28	27	↑	4	4	▬
Average Total Tariff SIMD quintile 1	627	599	↓	14	17	↓	2	3	↓
Average Total Tariff SIMD quintile 2	781	813	↑	10	10	▬	2	2	▬
Average Total Tariff SIMD quintile 3	850	973	↑	22	11	↑	3	2	↑
Average Total Tariff SIMD quintile 4	1011	1054	↑	19	13	↑	3	2	↑
Average Total Tariff SIMD quintile 5	1157	1164	↑	18	18	▬	3	3	▬
% of P1, P4 and P7 pupils combined achieving expected CFE Level in Literacy	73.85%	-	-	12	-	-	2	-	-
% of P1, P4 and P7 pupils combined achieving expected CFE Level in Numeracy	79.44%	-	-	14	-	-	2	-	-

Communities and Education Directorate – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Literacy Attainment Gap (P1,4,7 Combined) - percentage point gap between the least deprived and most deprived pupils	21.99%	-	-	15	-	-	2	-	-
Numeracy Attainment Gap (P1,4,7 Combined) - percentage point gap between the least deprived and most deprived pupils	17.13%	-	-	13	-	-	2	-	-
% of children meeting developmental milestones	80.82%	83.27%	↑	28	23	↑	4	3	↑
% of funded early years provision which is graded good/better	93.22%	96.5%	↑	16	8	↑	2	1	↑
School attendance rate	92.14%	-	-	29	-	-	4	-	-
School attendance rate (Looked After Children)	88.78%	-	-	8	-	-	1	-	-
School exclusion rates (per 1,000 pupils)	13.23	-	-	7	-	-	1	-	-
School exclusion rates (per 1,000 'looked after children')	81.02	-	-	5	-	-	1	-	-
Participation rate for 16-19 year olds (per 100)	90.53	90.56	↑	25	26	↓	4	4	▬
Sickness absence days per teacher	5.53	5.53	▬	8	11	↓	1	2	↓

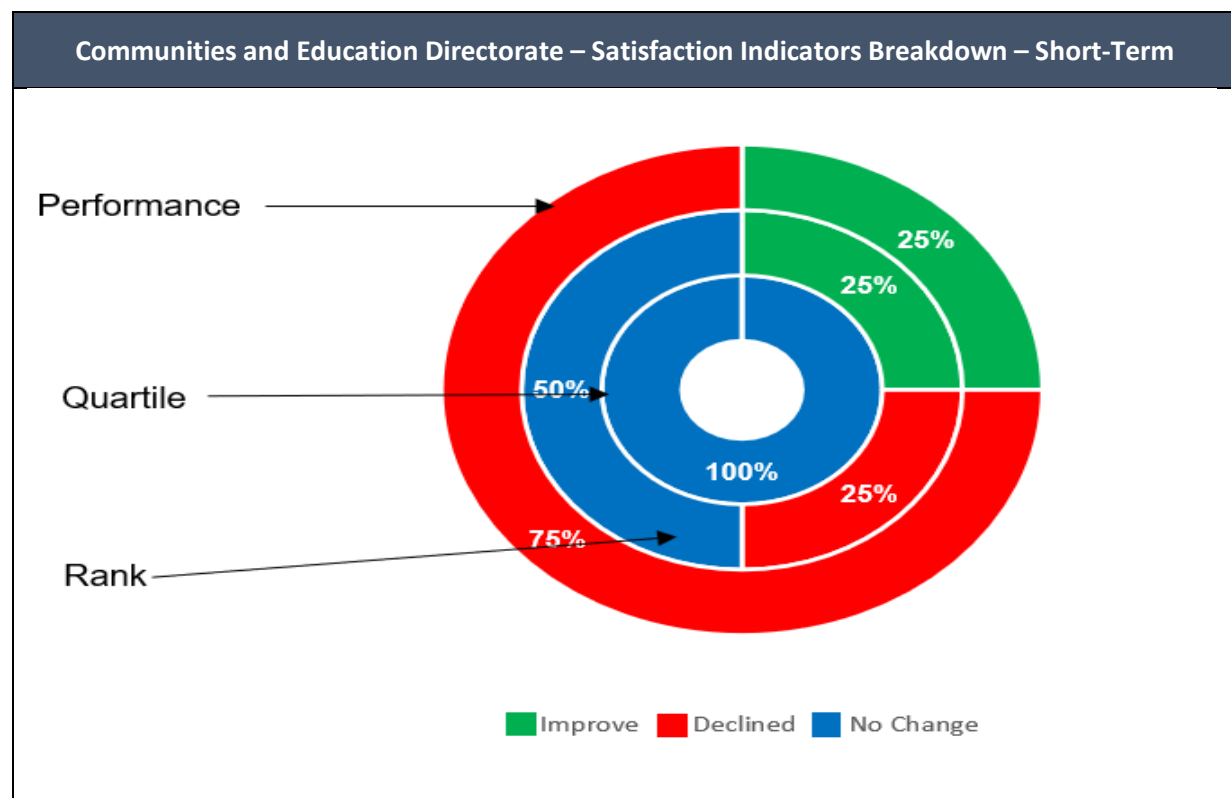
Communities and Education Directorate - Performance Indicators - Detail

				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		CHN4	% of Pupils Gaining 5+ Awards at Level 5	-	-	14	2	23	4	20	4	↑	↓	↓	↓	-	-
		CHN5	% of Pupils Gaining 5+ Awards at Level 6	-	-	18	2	29	7	22	4	↑	↑	↓	↓	-	-
		CHN6	% of Pupils from Deprived Areas Gaining 5+ Awards at Level 5 (SIMD)	-	-	7	2	7	3	10	4	↓	↓	↓	↓	-	-
		CHN7	% of Pupils from Deprived Areas Gaining 5+ Awards at Level 6 (SIMD)	-	-	8	2	14	5	13	4	↑	↑	↓	↓	-	-
✓	✓	CHN11	Proportion of Pupils Entering Positive Destinations	-	-	22	4	27	7	22	4	↑	↑	↓	↓	-	-
		CHN12a	Overall Average Total Tariff	-	-	18	3	28	5	27	7	↑	↓	↓	↓	-	-
		CHN12b	Average Total Tariff SIMD quintile 1	-	-	4	2	14	4	17	6	↓	↓	↓	↓	-	-
		CHN12c	Average Total Tariff SIMD quintile 2	-	-	9	4	10	5	10	5	↓	↓	↓	↓	-	-
		CHN12d	Average Total Tariff SIMD quintile 3	-	-	5	2	22	8	11	4	↑	↑	↓	↓	-	-
		CHN12e	Average Total Tariff SIMD quintile 4	-	-	10	3	19	6	13	5	↑	↑	↓	↓	-	-
		CHN12f	Average Total Tariff SIMD quintile 5	-	-	12	4	18	5	18	6	↓	↓	↓	↓	-	-
		CHN13a	% of P1, P4 and P7 pupils combined achieving expected CFE Level in Literacy	-	-	-	-	12	2	-	-	-	-	-	-	-	-
		CHN13b	% of P1, P4 and P7 pupils combined achieving expected CFE Level in Numeracy	-	-	-	-	14	2	-	-	-	-	-	-	-	-

Communities and Education Directorate - Performance Indicators - Detail

				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		CHN14a	Literacy Attainment Gap (P1,4,7 Combined) - percentage point gap between the least deprived and most deprived pupils	-	-	-	-	15	6	-	-	-	-	-	-	-	-
		CHN14b	Numeracy Attainment Gap (P1,4,7 Combined) - percentage point gap between the least deprived and most deprived pupils	-	-	-	-	13	5	-	-	-	-	-	-	-	-
		CHN17	% of children meeting developmental milestones	-	-	24	4	28	4	23	1	↑	↑	↑	↑	-	-
		CHN18	% of funded early years provision which is graded good/better	-	-	5	4	16	2	8	2	↑	↓	↓	↑	-	-
		CHN19a	School attendance rate	17	2	27	6	29	8	-	-	-	-	-	-	-	-
		CHN19b	School attendance rate (Looked After Children)	4	1	17	1	8	2	-	-	-	-	-	-	-	-
		CHN20a	School exclusion rates (per 1,000 pupils)	22	2	10	4	7	1	-	-	-	-	-	-	-	-
		CHN20b	School exclusion rates (per 1,000 'looked after children')	3	1	5	5	5	6	-	-	-	-	-	-	-	-
		CHN21	Participation rate for 16-19 year olds (per 100)	-	-	23	3	25	3	26	4	↓	↓	↓	↓	-	-
	✓	CORP 6a	Sickness absence days per teacher all	7	2	17	5	8	3	11	4	↓	↓	↑	↑	↓	↓

Satisfaction



Of the four satisfaction indicators that fall under the Communities and Education Directorate, only one has improved performance in the short term (% of adults satisfied with local schools). All are rolling three-year averages, therefore changes in performance can take up to three years to filter through.

Three indicators have declined in the short and medium-term, however our library satisfaction remains at the second highest ranking of all local authorities in Scotland and ranked first within our family group with 85.1% of adults satisfied with libraries.

Communities and Education Directorate – Satisfaction Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2016/19	2017/20	Performance -/+	2016/19	2017/20	Rank -/+	2016/19	2017/20	Quartile -/+
% of adults satisfied with libraries	87.4	85.07	↓	2	2	▬	1	1	▬
% of adults satisfied with museums and galleries	65.73	60.07	↓	17	20	↓	3	3	▬
% of adults satisfied with leisure facilities	67.63	64.97	↓	28	28	▬	4	4	▬
% of adults satisfied with local schools	76.17	77.16	↑	13	9	↑	2	2	▬

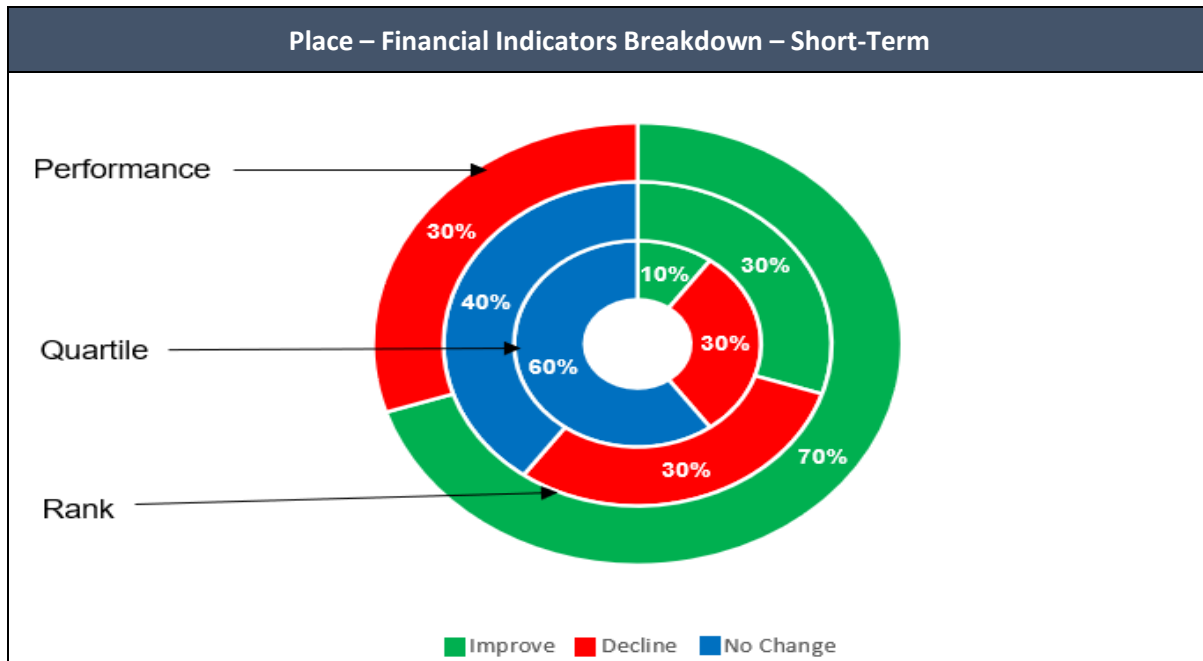
				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
	✓	C&L5a	% of adults satisfied with libraries	-	-	2	1	2	1	2	1	▬	▬	▬	▬	-	-
		C&L5c	% of adults satisfied with museums and galleries	-	-	13	4	17	5	20	8	↓	↓	↓	↓	-	-
	✓	C&L5d	% of adults satisfied with leisure facilities	-	-	23	8	28	7	28	8	▬	↓	↓	▬	-	-
		CHN10	% of adults satisfied with local schools	-	-	13	5	13	4	9	3	↑	↑	↑	↑	-	-

Place Directorate

The Place Directorate has a total of 35 LGBF indicators. These are split as follows:

Financial	10
Performance	22
Satisfaction	3

Financial

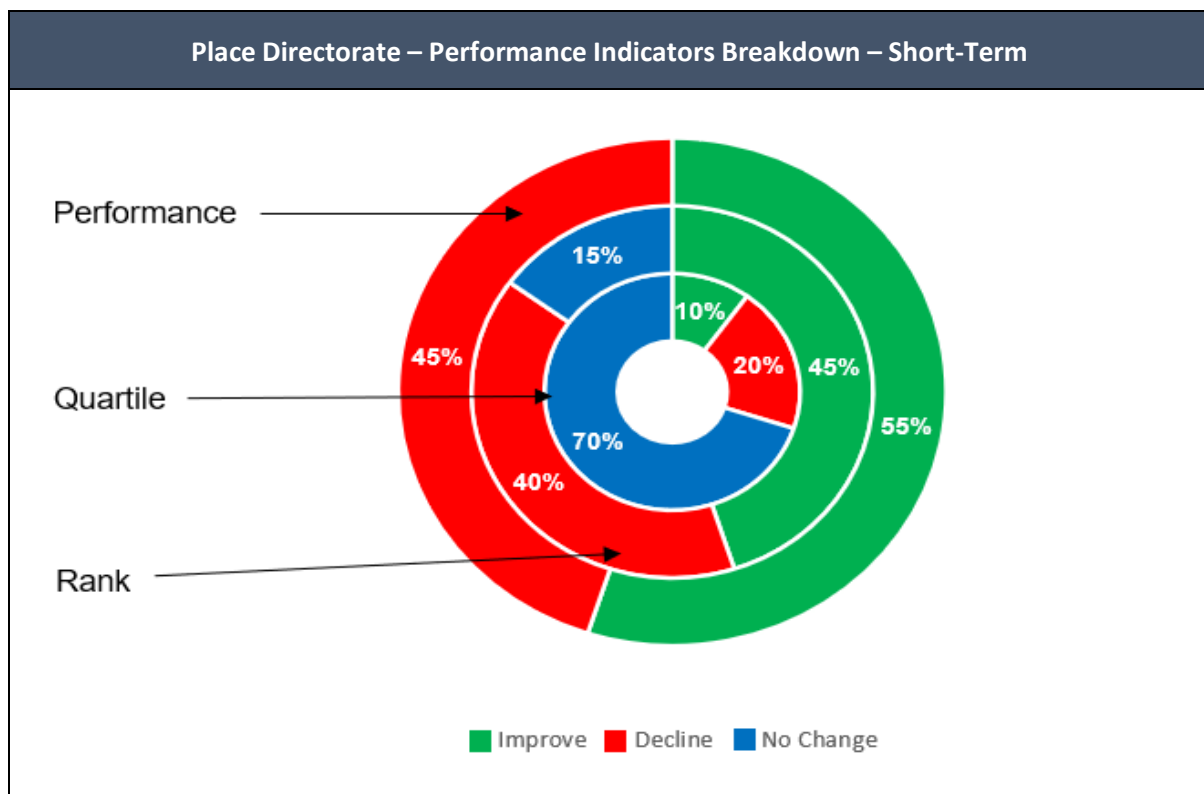


Of the financial indicators that fall under the Place Directorate, in the short-term, 70% of the indicators show improved performance. The medium-term shows an improvement across 80% of the indicators.

Place Directorate – Financial Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Cost of parks & open spaces per 1,000 population	£18,568	£22,592	↓	12	21	↓	2	3	↓
Net cost of waste collection per premise	£53	£55	↓	7	13	↓	1	2	↓
Net cost of waste disposal per premise	£105	£97	↑	22	15	↑	3	2	↑
Net cost of street cleaning per 1,000 population	£17,357	£15,897	↑	24	24	▬	3	3	▬
Cost of roads per kilometre	£11,480	£9,967	↑	16	16	▬	2	2	▬
Cost of Trading Standards and environmental health per 1,000 population	£12,571	£11,667	↑	2	1	↑	1	1	▬
Cost of Trading Standards per 1000	£2,658	£2,598	↑	3	1	↑	1	1	▬
Cost of environmental health per 1,000 population	£9,913	£9,069	↑	5	5	▬	1	1	▬
Cost of planning and building standards Per Planning Application	£3,565	£4,213	↓	8	17	↓	1	3	↓
Investment in of Economic Development & Tourism per 1,000 Population	£120,140	£108,335	↑	23	23	▬	3	3	▬

Place Directorate – Financial Indicators – Detail																	
Council Plan PI (P)	Council Plan Priorities	Reference	Description	2010/11		2016/17		2018/19		2019/20		Movement					
				Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		C&L4	Cost of parks & open spaces per 1,000 population	23	5	28	7	12	3	21	5	↓	↓	↑	↑	↑	▢
		ENV1a	Net cost of waste collection per premise	-	-	11	1	7	3	13	3	↓	▢	↓	↓	-	-
		ENV2a	Net cost of waste disposal per premise	-	-	22	8	22	7	15	7	↑	▢	↑	↑	-	-
		ENV3a	Net cost of street cleaning per 1,000 population	28	8	21	6	24	6	24	6	▢	▢	↓	▢	↑	↑
		ENV4a	Cost of roads per kilometre	14	5	16	5	16	6	16	5	▢	↑	▢	▢	↓	▢
		ENV5	Cost of Trading Standards and environmental health per 1,000 population	17	3	8	2	2	2	1	1	↑	↑	↑	↑	↑	↑
		ENV5a	Cost of Trading Standards per 1000	-	-	10	4	3	2	1	1	↑	↑	↑	↑	-	-
		ENV5b	Cost of environmental health per 1,000 population	-	-	12	4	5	1	5	1	▢	▢	↑	↑	-	-
		ECON2	Cost of planning and building standards Per Planning Application	26	8	16	5	8	2	17	4	↓	↓	↓	↑	↑	↑
		ECON6	Investment in of Economic Development & Tourism per 1,000 Population	19	7	28	8	23	8	23	8	▢	▢	↑	▢	↓	↓

Performance



Of the performance indicators assigned to the Place Directorate, 55% of the indicators have improved performance in the short-term. This is in comparison to the medium-term where 63% of the indicators saw improved performance.

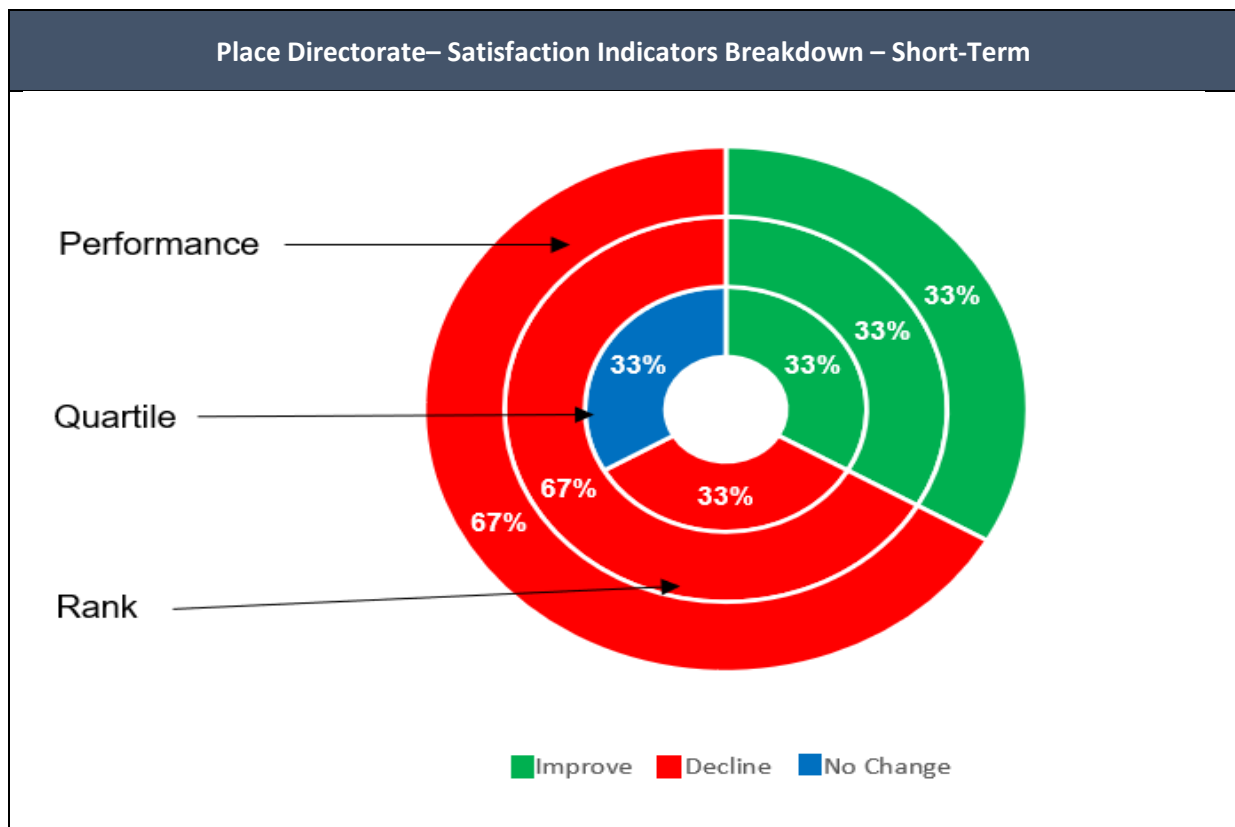
Place Directorate – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
Street Cleanliness Score	94.5	94.64	↑	12	11	↑	2	2	▬
% of A Class roads that should be considered for maintenance treatment	37.3	38.78	↓	30	30	▬	4	4	▬
% of B Class roads that should be considered for maintenance treatment	40.36	36.83	↑	29	25	↑	4	4	▬
% of C Class roads that should be considered for maintenance treatment	48.65	46.93	↑	30	30	▬	4	4	▬
% of U Class roads that should be considered for maintenance treatment	33.85	33.65	↑	12	11	↑	2	2	▬
% of total household waste arising that is recycled	54.6	56.34	↑	8	6	↑	1	1	▬
Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year	3.34	3.65	↓	3	3	▬	1	1	▬
% of rent due in the year that was lost due to voids	0.45	0.61	↓	1	4	↓	1	1	▬
% of council dwellings meeting Scottish Housing Standards	99.19	99.36	↑	3	2	↑	1	1	▬
Average number of days taken to complete non-emergency repairs	5.45	6.3	↓	5	9	↓	1	2	↓
% of council dwellings that are energy efficient	98.43	98.38	↓	1	2	↓	1	1	▬
% of operational buildings that are suitable for their current use	91.01	90.89	↓	9	10	↓	2	2	▬
% of internal floor area of operational buildings in satisfactory condition	95.6	94	↓	8	12	↓	1	2	↓

Place Directorate – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
% of unemployed people assisted into work from council operated / funded employability programmes	16.97	20.13	↑	11	6	↑	2	1	↑
Average time per business and industry planning application (weeks)	6.7	5.1	↑	3	1	↑	1	1	▬
No of business gateway start-ups per 10,000 population	21.66	21.75	↑	8	5	↑	1	1	▬
Proportion of people earning less than the living wage	24.3%	16%	↑	19	9	↑	3	2	↑
Proportion of properties receiving superfast broadband	93.7%	94.1%	↑	16	18	↓	2	3	↓
Town Vacancy Rates	9.99%	12.55%	↓	15	21	↓	2	3	↓
Immediately available employment land as a % of total land allocated for employment purposes in the local development plan	63.03%	60.82%	↓	9	10	↓	2	2	▬
CO2 emissions area wide per capita	6.20	-	-	25	-	-	4	-	-
CO2 emissions are wide: emissions within scope of LA per capita	5.85	-	-	20	-	-	3	-	-

Place Directorate- Performance Indicators - Detail																	
Council Plan PI (P)	Council Plan Priorities	Reference	Description	2010/11	2016/17	2018/19	2019/20	Movement						SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend
				Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Long-term Trend	FG Long-term Trend				
✓	✓	ENV3c	Street Cleanliness Score	14	6	29	7	12	4	11	2	↑	↑	↑	↑	↑	↑
		ENV4b	% of A Class roads that should be considered for maintenance treatment	31	8	28	6	30	8	30	7	▬	↑	↓	↓	↑	↑
		ENV4c	% of B Class roads that should be considered for maintenance treatment	29	7	24	5	29	7	25	5	↑	↑	↓	▬	↑	↑
		ENV4d	% of C Class roads that should be considered for maintenance treatment	31	8	31	8	30	8	30	8	▬	▬	↑	▬	↑	▬
		ENV4e	% of U Class roads that should be considered for maintenance treatment	13	4	8	3	12	4	11	3	↑	↑	↓	▬	↑	↑
✓	✓	ENV6	% of total household waste arising that is recycled	10	5	5	2	8	2	6	3	↑	↓	↓	↓	↑	↑
	✓	HSN1b	Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year	-	-	3	1	3	1	3	1	▬	▬	▬	▬	-	-
	✓	HSN2	% of rent due in the year that was lost due to voids	1	1	1	1	1	1	4	1	↓	▬	↓	▬	↓	▬
✓	✓	HSN3	% of council dwellings meeting Scottish Housing Standards	11	2	3	1	3	1	2	1	↑	▬	↑	▬	↑	↑
	✓	HSN4b	Average number of days taken to complete non-emergency repairs	-	-	12	3	5	2	9	3	↓	↓	↑	▬	-	-
	✓	HSN5a	% of council dwellings that are energy efficient	-	-	1	1	1	1	2	2	↓	↓	↓	↓	-	-
✓	✓	CORP-ASSET1	% of operational buildings that are suitable for their current use	4	2	5	2	9	2	10	3	↓	↓	↓	↓	↓	↓

Place Directorate- Performance Indicators - Detail																	
Council Plan PI (P)	Council Plan Priorities	Reference	Description	2010/11		2016/17		2018/19		2019/20		Movement					
				Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		CORP-ASSET2	% of internal floor area of operational buildings in satisfactory condition	17	5	1	1	8	3	12	3						
		ECON1	% of unemployed people assisted into work from council operated / funded employability programmes	-	-	13	2	11	4	6	3					-	-
		ECON3	Average time per business and industry planning application (weeks)	-	-	2	1	3	3	1	1					-	-
	✓	ECON5	No of business gateway start-ups per 10,000 population	-	-	5	2	8	2	5	2					-	-
✓	✓	ECON7	Proportion of people earning less than the living wage	-	-	25	7	19	6	9	2					-	-
✓		ECON8	Proportion of properties receiving superfast broadband	-	-	18	4	16	3	18	4					-	-
		ECON9	Town Vacancy Rates	-	-	-	-	15	5	21	6			-	-	-	-
		ECON10	Immediately available employment land as a % of total land allocated for employment purposes in the local development plan	-	-	29	7	9	1	10	2					-	-
		CLIM1	CO2 emissions area wide per capita	25	6	25	6	25	6	-	-	-	-	-	-	-	-
		CLIM2	CO2 emissions are wide: emissions within scope of LA per capita	19	4	20	5	20	5	-	-	-	-	-	-	-	-

Satisfaction



Of the three satisfaction indicators assigned to the Place Directorate, in the short and medium-term, one (33%) of the indicators shows improved performance. All three satisfaction indicators are rolling three-year averages therefore it can take some time for a change to filter through into these results.

Place Directorate – Satisfaction Indicators – Performance, Rank and Quartile									
Description	Performance			Rank			Quartile		
	2016-19	2017-20	Performance -/+	2016-19	2017-20	Rank -/+	2016-19	2017-20	Quartile -/+
% of adults satisfied with parks and open spaces	79.13	83.13	↑	26	19	↑	4	3	↑
% of adults satisfied with refuse collection	84.7	78.7	↓	6	19	↓	1	3	↓
% of adults satisfied with street cleaning	71.17	64.83	↓	11	16	↓	2	2	▬

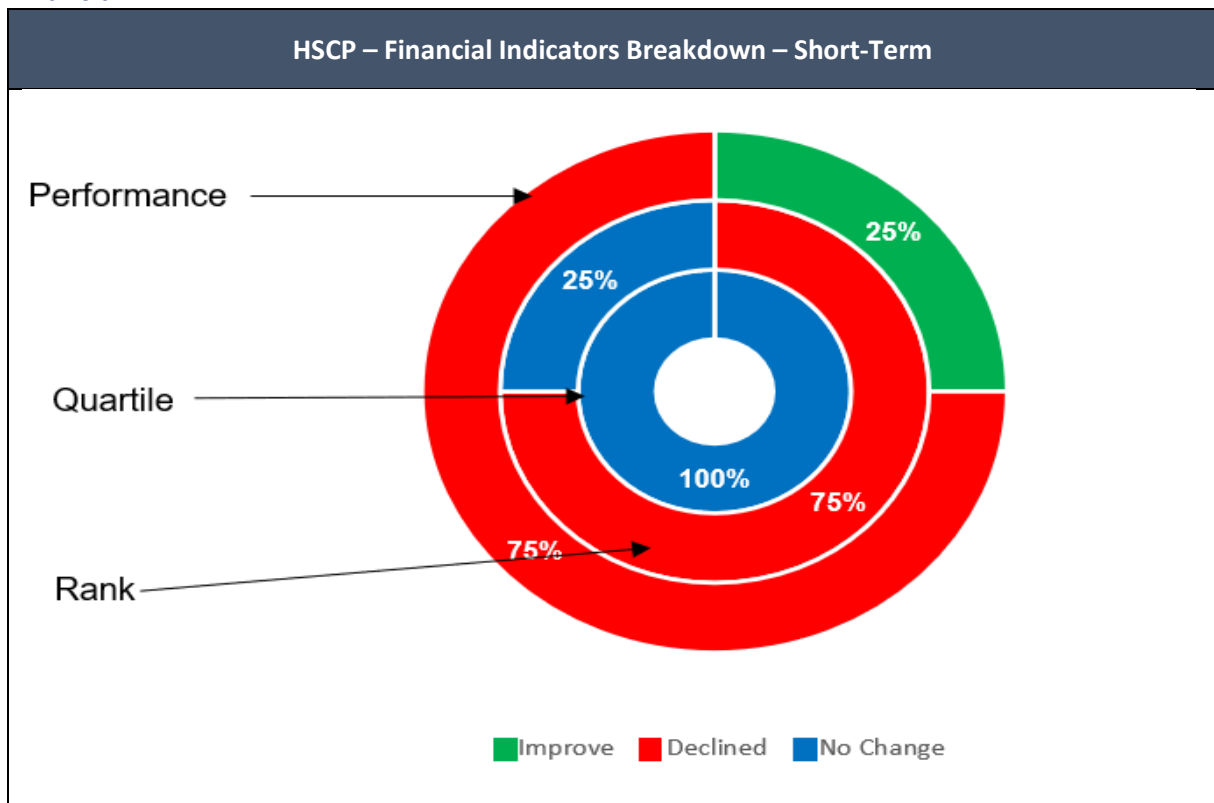
Place Directorate – Satisfaction Indicators – Detail																	
				2010-14		2014/17		2016/19		2017/20		Movement					
Council Plan Pl (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		C&L5b	% of adults satisfied with parks and open spaces	-	-	26	8	26	8	19	6	🟢	🟢	🟢	🟢	-	-
		ENV7a	% of adults satisfied with refuse collection	-	-	7	1	6	1	19	4	🔴	🔴	🔴	🔴	-	-
		ENV7b	% of adults satisfied with street cleaning	-	-	9	4	11	4	16	4	🔴	🟡	🔴	🟡	-	-

Health and Social Care Partnership

The Health and Social Care Partnership has a total of 16 LGBF indicators assigned to them. These are as follows:

Financial	4
Performance	8
Satisfaction	4

Financial

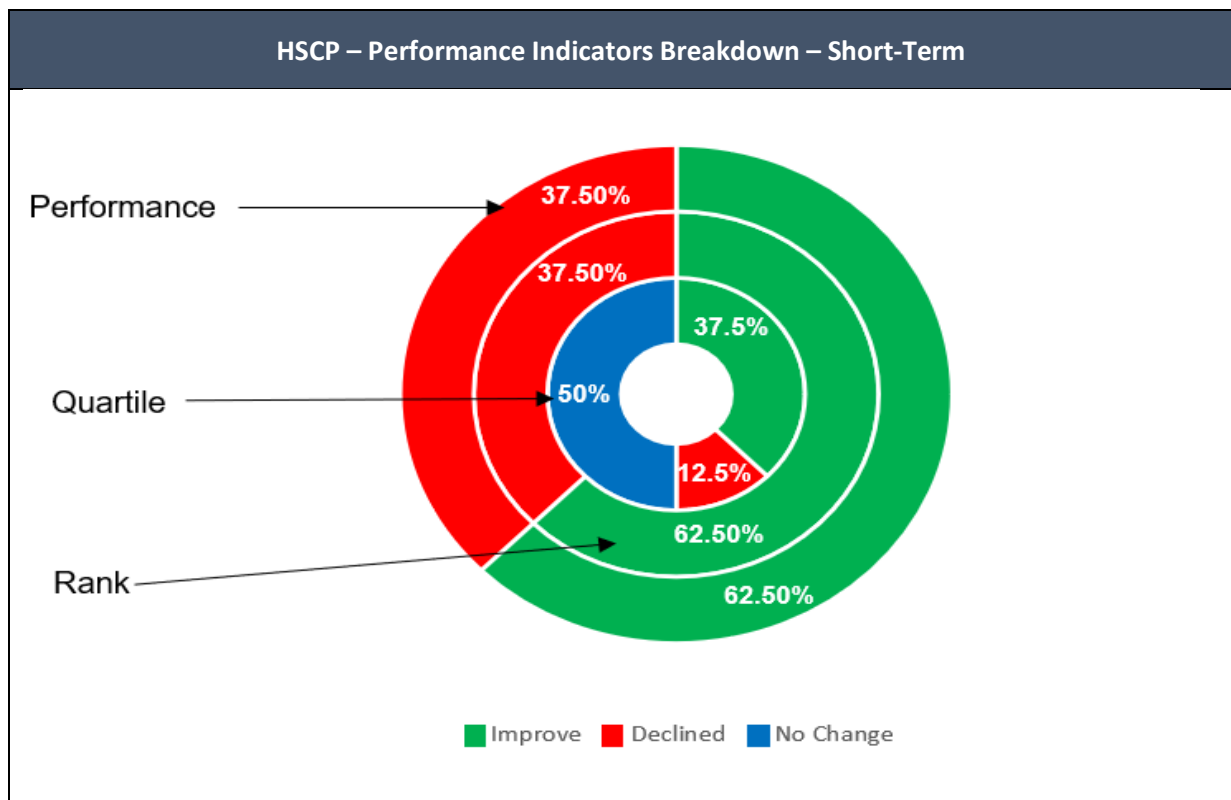


Of the financial indicators that fall under the HSCP, in the short-term, 25% of the indicators have seen an improvement in performance. This is in comparison for the medium-term which saw 50% of the indicators improve.

HSCP – Financial Performance – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
The Gross Cost of "Children Looked After" in Residential Based Services per Child per Week	£3,288	£3,598	↓	9	14	↓	2	2	■
The Gross Cost of "Children Looked After" in a Community Setting per Child per Week	£324	£309	↑	15	15	■	2	2	■
Home care costs per hour for people aged 65 or over	£25.92	£27.59	↓	19	21	↓	3	3	■
Residential costs per week per resident for people aged 65 or over	£401	£405	↓	15	16	↓	2	2	■

HSCP – Financial Performance – Performance, Rank and Quartile																	
				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan Pl (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
		CHN8a	The Gross Cost of "Children Looked After" in Residential Based Services per Child per Week	19	3	6	2	9	3	14	4	↓	↓	↓	↓	↑	↓
		CNH8b	The Gross Cost of "Children Looked After" in a Community Setting per Child per Week	14	5	17	5	15	6	15	5	▬	↑	↑	▬	↓	▬
	✓	SW1	Home care costs per hour for people aged 65 or over	25	7	26	7	19	4	21	5	↓	↓	↑	↑	↑	↑
	✓	SW5	Residential costs per week per resident for people aged 65 or over	18	3	11	3	15	4	16	4	↓	▬	↓	↓	↑	↓

Performance

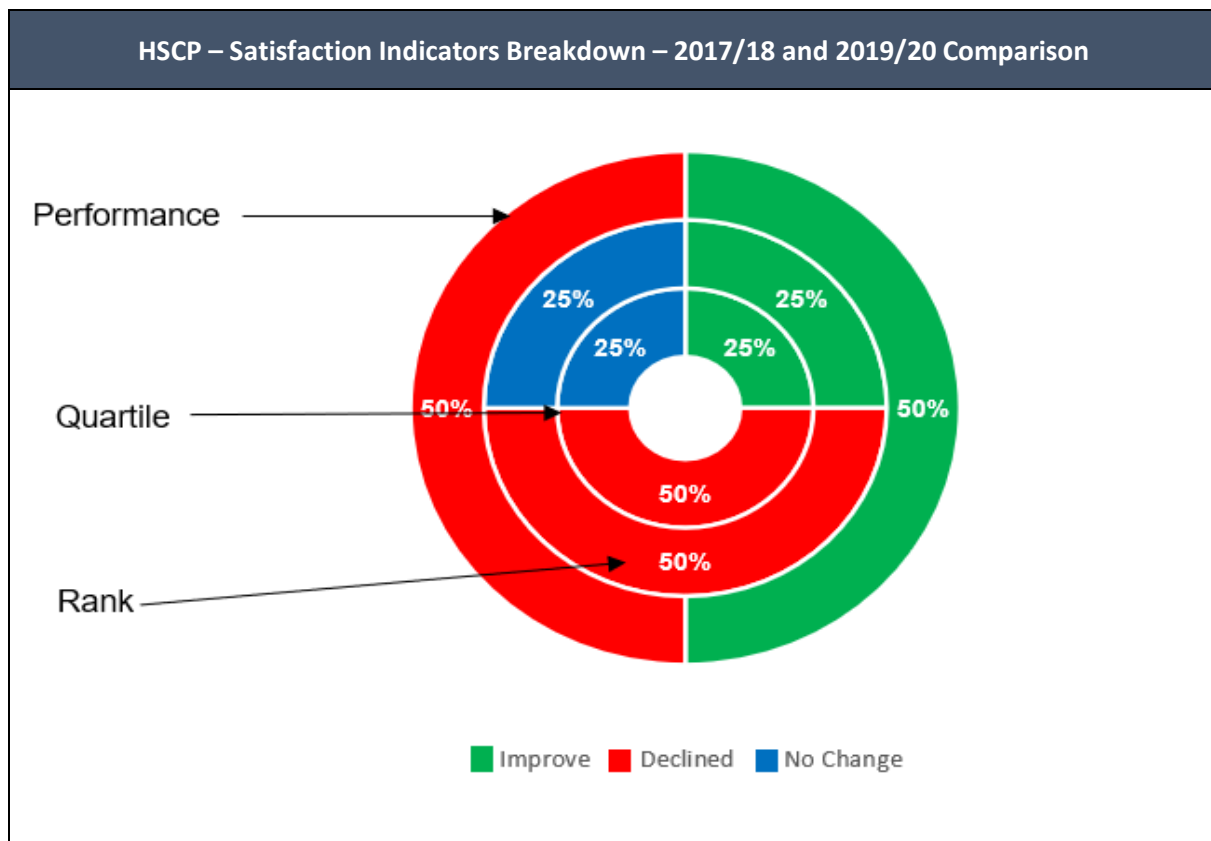


Of the performance indicators assigned to the HSCP, 62.5% of the indicators have seen an improvement in performance in both the short and medium term.

HSCP – Performance Indicators – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2018/19	2019/20	Performance -/+	2018/19	2019/20	Rank -/+	2018/19	2019/20	Quartile -/+
% of children being looked after in the community	88.18%	90.26%	↑	20	15	↑	3	2	↑
% of child protection re-registrations within 18 months	7.17%	15.04%	↓	21	29	↓	3	4	↓
% LAC with more than 1 placement in the last year (Aug-July)	21.82%	18.26%	↑	18	14	↑	3	2	↑
Self Directed Support (Direct Payments + Managed Personalised Budgets) spend on adults 18+ as a % of total social work spend on adults 18+	3.14%	3.56%	↑	26	27	↓	4	4	▬
% of people aged 65 and over with long-term care needs receiving personal care at home	66.68%	69.42%	↑	8	4	↑	1	1	▬
Rate of readmission to hospital within 28 days per 1,000 discharges	111.4	112.25	↓	22	20	↑	3	3	▬
Proportion of care services graded 'good' (4) or better in Care Inspectorate inspections	81.93%	87.18%	↑	16	6	↑	2	1	↑
Number of days people spend in hospital when they are ready to be discharged, per 1,000 population (75+)	1126.18	1328.71	↓	25	30	↓	4	4	▬

























HSCP – Performance Indicators – Detail																	
				2010/11		2016/17		2018/19		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Short-term Trend	FG Short-term Trend	SR Medium-term Trend	FG Medium-term Trend	SR Long-term Trend	FG Long-term Trend
	✓	CHN9	% of children being looked after in the community	16	5	23	8	20	6	15	5	🟢	🟢	🟢	🟢	🟢	🟡
		CHN22	% of child protection re-registrations within 18 months	-	-	21	6	21	5	29	7	🔴	🔴	🔴	🔴	-	-
		CHN23	% LAC with more than 1 placement in the last year (Aug-July)	-	-	17	6	18	6	14	6	🟢	🟡	🟢	🟡	-	-
	✓	SW2	Self Directed Support (Direct Payments + Managed Personalised Budgets) spend on adults 18+ as a % of total social work spend on adults 18+	20	3	28	6	26	4	27	6	🔴	🔴	🟢	🟡	🔴	🔴
✓	✓	SW3a	% of people aged 65 and over with long-term care needs receiving personal care at home	21	6	12	6	8	4	4	1	🟢	🟢	🟢	🟢	🟢	🟢
		SW6	Rate of readmission to hospital within 28 days per 1,000 discharges	21	5	26	6	22	6	20	6	🟢	🟡	🟢	🟡	🟢	🔴
		SW7	Proportion of care services graded 'good' (4) or better in Care Inspectorate inspections	-	-	17	4	16	6	6	3	🟢	🟢	🟢	🟢	-	-
		SW8	Number of days people spend in hospital when they are ready to be discharged, per 1,000 population (75+)	-	-	13	5	25	7	30	7	🔴	🟡	🔴	🔴	-	-


Satisfaction



There is no short-term data available for HSCP satisfaction indicators as they are recorded every two years. However, between 2017/18 and 2019/20 performance improved in two of the four indicators.

HSCP – Satisfaction Performance – Performance, Rank and Quartile									
	Performance			Rank			Quartile		
	2017/18	2019/20	Performance -/+	2017/18	2019/20	Rank -/+	2017/18	2019/20	Quartile -/+
% of adults supported at home who agree that their services and support had an impact in improving or maintaining their quality of life	82.39%	79.31%	↓	9	19	↓	2	3	↓
% of adults supported at home who agree that they are supported to live as independently as possible	84.05%	84.25%	↑	8	8	▬	1	1	▬
% of adults supported at home who agree that they had a say in how their help, care or support was provided	69.98%	74.54%	↑	28	21	↑	4	3	↑
% of carers who feel supported to continue in their caring role	38.5%	30.7%	↓	13	30	↓	2	4	↓

HSCP – Satisfaction Performance – Performance, Rank and Quartile																	
				2013/14		2015/16		2017/18		2019/20		Movement					
Council Plan PI (P)	Council Plan Priorities	Reference	Description	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	Scottish Rank	Family Group Rank	SR Two Year Trend	FG Two Year Trend	SR Four Year Trend	FG Four Year Trend	SR Six Year Trend	FG Six Year Trend
		SW4b	% of adults supported at home who agree that their services and support had an impact in improving or maintaining their quality of life	31	8	22	8	9	2	19	5						
		SW4c	% of adults supported at home who agree that they are supported to live as independently as possible	31	8	19	7	8	1	8	3						
		SW4d	% of adults supported at home who agree that they had a say in how their help, care or support was provided	27	8	20	6	28	7	21	5						
		SW4e	% of carers who feel supported to continue in their caring role	31	8	11	4	13	4	30	8						

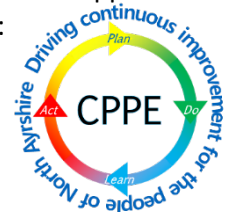


The Corporate Policy, Performance and Elections Team welcome any feedback you may have. We strive to make our Council and reports as accessible as possible and appreciate opportunities to discuss how this can be achieved. For further information please contact:

The Corporate Policy, Performance and Elections Team

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Email: NorthAyrshirePerforms@north-ayrshire.gov.uk



NORTH AYRSHIRE COUNCIL

16 November 2021

Audit and Scrutiny Committee

Title: **2020/21 Complaint Report**

Purpose: To inform the Audit and Scrutiny Committee of the Council's complaint performance and the volumes and trends of complaints received in Financial Year 2020/21.

Recommendation: That the Committee notes the report and the information provided.

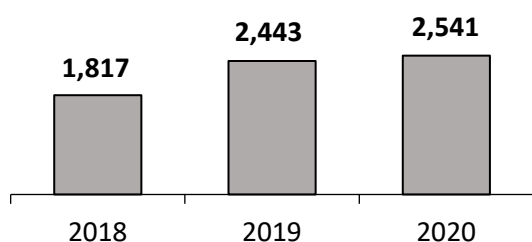
1. Executive Summary

- 1.1 This report details complaint information relating to North Ayrshire Council during 2020/21, covering the period 1 April 2020 to 31 March 2021.
- 1.2 To allow comparisons the report also details complaint data covering 2018 and 2019.
- 1.3 Performance is measured through a number of Scottish Public Services Ombudsman (SPSO) performance indicators, some of which have national targets.
- 1.4 When considering the complaint report, it should be noted that whilst the coronavirus pandemic and lockdowns caused major disruption to the Council, it continued to operate many services and critical and key services were maintained.

2. Background

- 2.1 This section contains statistical information and commentary on some of the key complaint performance indicators. More information relating to the indicators can be found in the attached report.

2.2 *Volume of complaints received and closed*



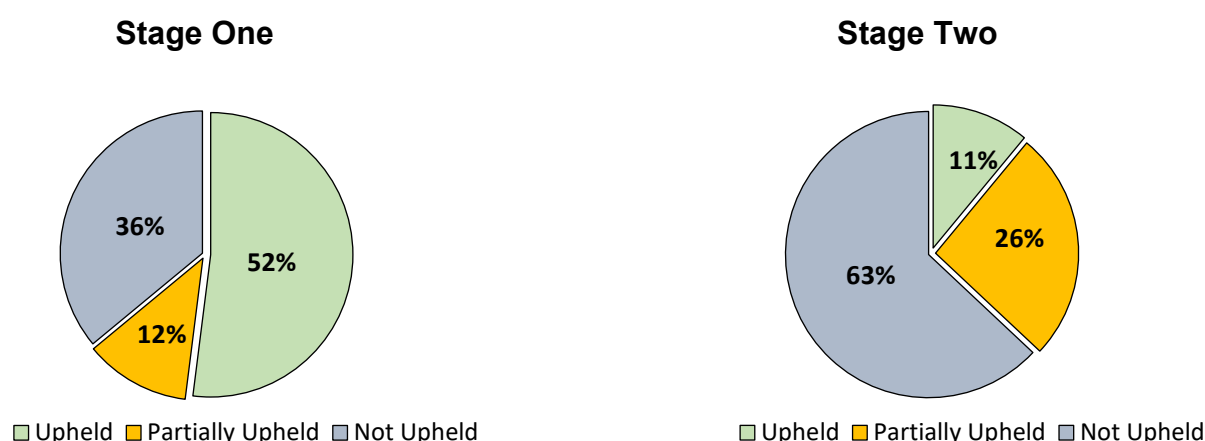
2.2.1 Whilst the Council introduced measures and changed policies, processes and practices to combat the Covid-19 pandemic, there has only been a 4% increase in complaints when comparing 2020 with the previous year.

2.3 **Complaints closed at each Stage**

	2018/19	2019/20	2020/21
Stage One	1,685	2,302	2,417
Stage Two	132	141	124

2.3.1 Whilst there is no national target for the number of complaints to be closed under each Stage, the Council always seeks to maximise closure at Stage One as complainants receive a quicker resolution compared to Stage Two, reduces the impact on complaint handlers' time and reduces the possibility of SPSO referrals.

2.4 **Complaint outcomes**

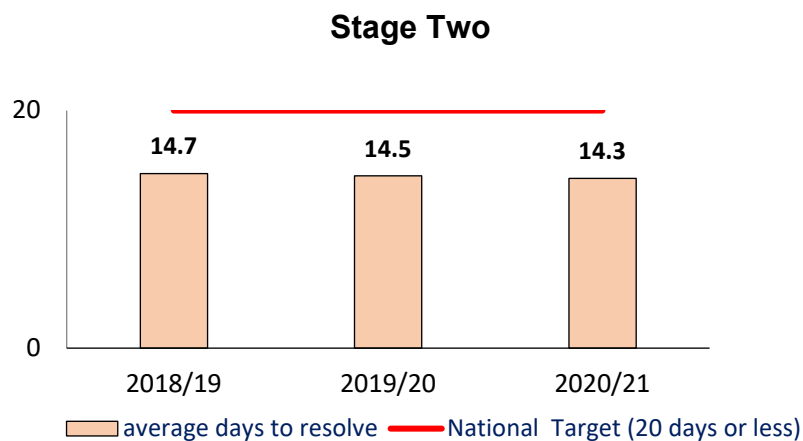
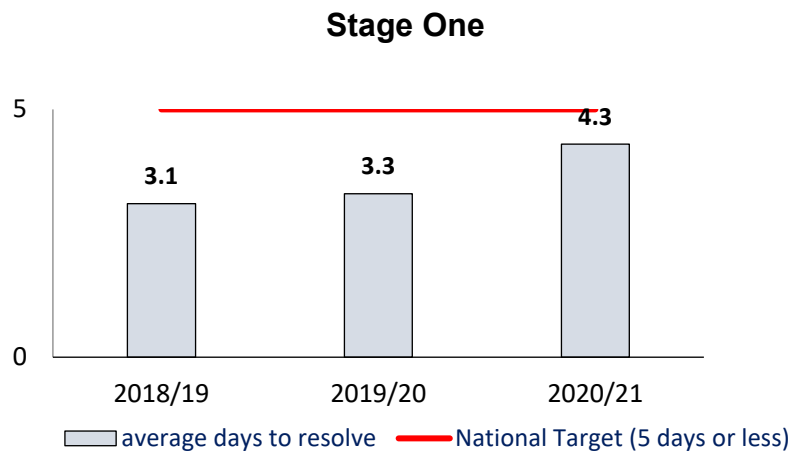


2.4.1 Analysis shows the majority of upheld or partially upheld Stage One complaints related to Waste Services (primarily missed bin collections) but it should be noted we empty over 102,000 household waste bins each week. As this equates to approximately 5 million collections each year, from a complaint perspective this results in a very small complaint rate.

2.4.2 It should be noted that the Council maintained its bin collection service during the pandemic which some other local authorities were unable to accomplish.

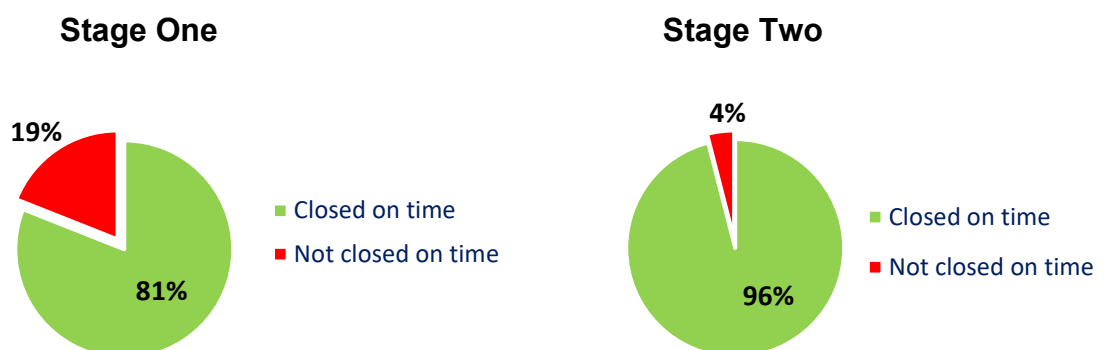
2.4.3 Many complaints that were not upheld related to policy/procedure changes introduced by the Council in response to Covid- 19.

2.5 Average time in working days for a full response at each Stage



2.5.1 The average time in working days for a response under both Stages has met the SPSO target response timescales for the last three years.

2.6 Complaints closed within timescale



2.6.1 The national target for complaints closed under Stage One is 80% or above and the target was exceeded.

2.6.2 The national target for complaints closed under Stage Two is 85% or above and again the target was exceeded.

2.6.3 Given the exceptional circumstances the Council faced during the year, it is worth noting the Council still exceeded both targets.

2.6.4 Further details of complaints not closed on time are contained in the attached report.

2.7 *Complaint timescale extensions*

2.7.1 Stage One complaints should be responded to within 5 working days but can be extended an additional 5 working days under certain circumstances. Stage Two complaints should be responded to within 20 working days but again Services can extend the timescale of these to a date in the future if certain circumstances are met.

2.7.2 A total of 74 complaints had their timescales extended during the year and just over half were Stage Ones. Reasons for extension included complainants and individuals being unavailable to assist with investigations, additional information having to be sought to support investigations and issues arising from the Covid-19 outbreak

2.8 *Trends identified from upheld/partially upheld complaints*

2.8.1 Key complaint topics for upheld or partially upheld complaints within some Services are noted in page 9 of the attached report.

2.8.2 'Alleged employee behaviour' appears as a key topic but the definition is broad and can be used where complainants perceive employee actions or behaviour to be unacceptable. Where any unacceptable behaviour has been identified, appropriate action will have been taken to address.

2.9 *Changes or Improvements made as a result of complaints*

Not all Services can implement improvements as a result of complaints due to a number of factors, including the feasibility of making changes and resource/budget considerations. That said, improvements were made in some Services as a result of complaints received during the year and a selection are noted in page 14 of the attached report.

2.10 *Compliments*

The Council received 270 compliments during the year. Some praised specific individuals or teams, some related to more than one Service and some were raised by employees complimenting other employees. A selection can be found in page 15 of the attached report.

2.11 *Coronavirus impact*

2.11.1 From March 2020 the Council continually assessed the impact of the Covid-19 outbreak and its ability to continue to deliver critical and key services. Service delivery was maintained across all critical and key services and other Services continued to operate.

2.11.2 Around 8% of all complaints closed during the year related directly or indirectly to the pandemic. Further information regarding Covid-19 related complaints can be found in page 16 of the attached report.

3. Proposals

3.1 It is proposed the Committee approves the report and recognises NAC performance in relation to the information contained in Section 2 above.

4. Implications/Socio-economic Duty

Financial

4.1 None.

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 The Two Stage Complaint Handling Process supports the Council's key priority of delivering more effective and efficient service provision. It demonstrates commitment through focussing on determining trends to service improvement and delivery for North Ayrshire residents, customers and visitors

Community Wealth Building

4.7 None

5. Consultation

- 5.1 A working group comprising officers from a number of Scottish Local Authorities is producing a standard Complaint Handling Satisfaction Survey that Councils can issue to complainants to capture their views and feedback on how their complaints are handled. As this piece of work was suspended due to the Covid-19 outbreak any update on progress will be provided in the 2021/22 half yearly complaint report.



Aileen Craig
Head of Service, Democratic Services

For further information please contact **Aileen Craig on 01294 324197**

Background Papers

Please find attached



Corporate Complaints 2020/21 Annual Report



Contents

	Page
Introduction	3
1 Volume of complaints closed	4
2 Volume of complaints closed on time at both Stages	7
3 Volume of complaints not closed on time per Directorate	7
4 Key complaint topics	9
5 Average time in working days for a full response	11
6 Extended complaints	13
7 Complaint Outcomes	14
8 Improvements made as a result of complaints	15
9 Compliments	16
10 Coronavirus impact	17
11 ALEO complaints	18
12 SPSO complaint referrals	21
13 Glossary	23

Introduction

North Ayrshire Council always seeks to deliver the best services possible to its customers and residents but it is recognised that dissatisfaction will sometimes occur. When it does we want to know what went wrong, why it went wrong and what we can do to make things right.

The Council recognises valuable lessons can be learnt from complaints which are defined as being expressions of dissatisfaction from members of the public about actions, or lack of actions, or about the standard of service provided by or on behalf of the Council.

The Council's complaint handling procedure (CHP) has two stages for handling complaints from the public:-

1

Stage One complaints (also known as *Frontline Resolution*) are straightforward, non-complex complaints the Council can resolve at the initial point of contact or as close to the point of service delivery as possible. The Council has up to 5 working days to resolve these.

2

Stage Two complaints (also known as *Investigations*) are complaints the Council is typically unable to resolve at Stage One and requires more time to carry out further investigation. This may be because the nature of the complaint is complex, serious or high risk. The Council has up to 20 working days to resolve these.

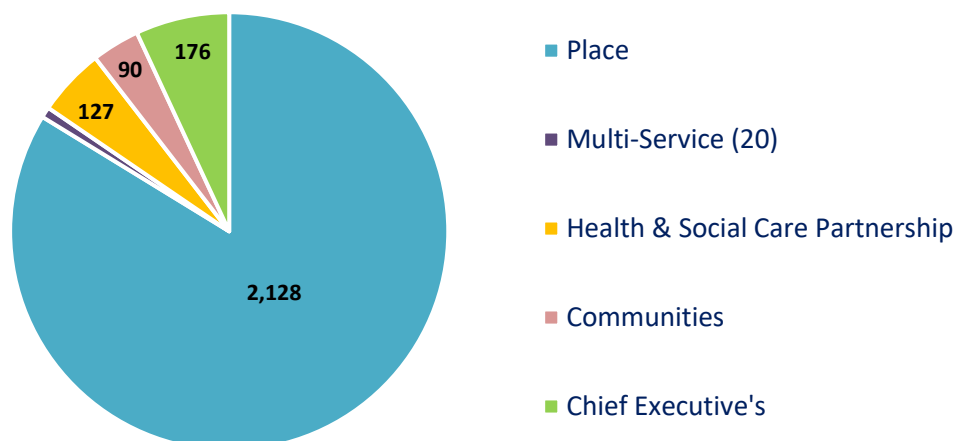
This report details the Council's complaint handling performance covering financial year 2020 (1 April 2020 to 31 March 2021). Performance is measured via several Scottish Public Services Ombudsman indicators (some of which have national targets) and complaint data relating to previous years has been included in certain sections to allow comparisons to be made.

This report also contains details of complaints received that relate directly/indirectly to the Coronavirus (Covid-19) pandemic. It should be noted that whilst the outbreak and lockdowns caused major disruption to the Council, it continued to operate many services and critical and key services were maintained.

Reporting on complaints is a statutory requirement and is monitored by Audit Scotland.

1 Volume of complaints closed

2,571 complaints were received during 2020/21 and 2,541 were closed. The chart below provides a breakdown per Directorate:



The following tables highlight complaints closed per Directorate under each Stage:

Place	Stage One	Stage Two
Building Services	156	3
Business Team	2	-
Facilities Management	14	-
Housing	130	28
Planning	2	3
Property Management & Investment	71	1
Protective Services	11	1
Regeneration	2	1
Roads	55	1
Streetscene	112	-
Waste Services	1,532	3
Total	2,087	41

Multi-Service	Stage One	Stage Two
Complaints involving more than one service	13	7
Total	13	7

Health & Social Care Partnership	Stage One	Stage Two
Children, Families & Criminal Justice	28	24
Health & Community Care	42	23
Mental Health	2	2
Support Services	5	1
Total	77	50

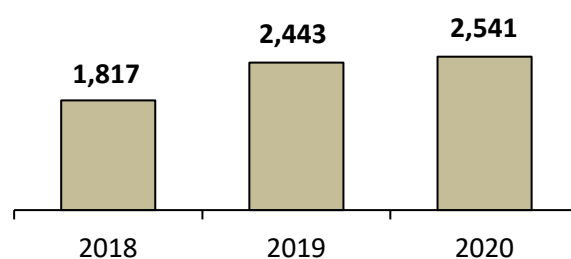
Communities	Stage One	Stage Two
Community Learning & Development	1	-
Education (HQ)	43	19
Education (Schools)	25	1
Sports & Activity	1	-
Total	70	20

Chief Executive's	Stage One	Stage Two
Customer Services	167	4
Democratic Services Management		1
ICT	1	-
Legal	2	1
Total	170	6

- Although there is no target for the volume of complaints handled under each Stage, the Council seeks to maximise closure at Stage One wherever possible and 95% were handled at this Stage during the period.
- Some Services handled all their complaints at Stage One.
- Whilst 60% of all complaints received related to Waste Services (the majority being missed bins and assisted pullouts), the Service empty over 102,000 household waste bins each week. As this equates to approximately 4.9 million collections over the year, 0.03% of these collections resulted in complaints being raised. The Council overcame operational challenges and maintained its bin collection service during Covid 19 .
- Complaints received that related to measures the Council took to combat Covid-19 can be found later in this report.
- Multi-Service complaints have a table of their own as they are not attributed to one Service.

Year on Year comparison

The graph below shows a comparison of the volume of complaints received each year over the last three years:



The table below shows the volume breakdown for each Directorate over the last three years (based on the Council's new 2020 structure):

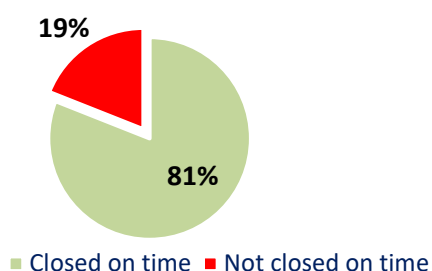
Directorate	2018	2019	2020	Variance (2019 – 2020)
Chief Executive's	275	188	176	-6%
Communities	185	136	90	-34%
HSCP (Social Work complaints)	122	125	127	neg.
Place	1,235	1,978	2,128	+7%
Total	1,817	2,427*	2,521*	+4%

*Multi-service complaints have been excluded to allow for true Directorate comparisons

- Whilst the Council had to introduce measures and change policies, processes and practices to combat the Covid-19 pandemic, there has only been a 4% increase in complaints when comparing 2020 with the previous year.
- Two Directorates saw reductions in complaints received when comparing 2020 with 2019.
- It should be noted that a previous reorganisation of the Council in 2019 resulted in some services aligning with other Directorates. This should therefore be considered if reflecting on the 2018 complaint volumes for each Directorate with subsequent years.

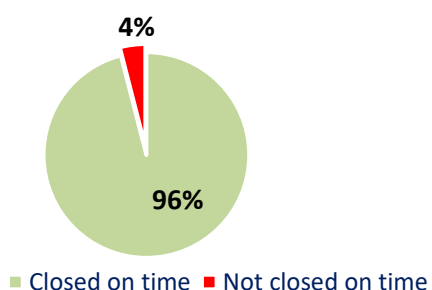
2 Volume of complaints closed on time at both Stages

Stage One



- The national target for closing Stage One complaints on time is 80% and above.
- The volume closed on time includes extended complaints that met their new due dates.

Stage Two



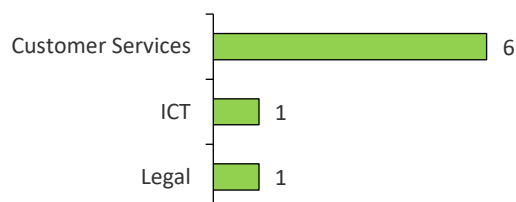
- The national target for closing Stage Two complaints on time is 85% and above.
- The volume closed on time includes extended complaints that met their new due dates.

3 Volume of complaints not closed on time per Directorate

This section provides details of complaints not closed on time under each Stage and includes extended complaints that did not meet their new timescales.

Stage One

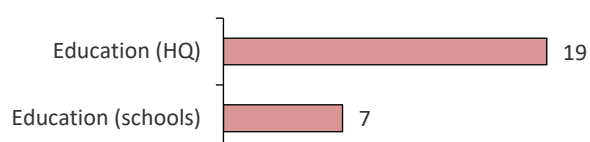
Chief Executive's



Notes

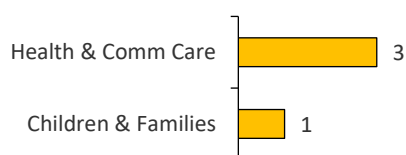
Reasons for these complaints breaching included services being unable to contact complainants to discuss the issues raised and complaints being incorrectly routed when logged.

Communities



Some of these complaints breached due to their complexity and complaint handlers being unable to contact complainants to agree complaint elements. Some also breached due to schools closing due of the pandemic, causing difficulties accessing paperwork and files to investigate complaints.

HSCP (Social Work complaints)



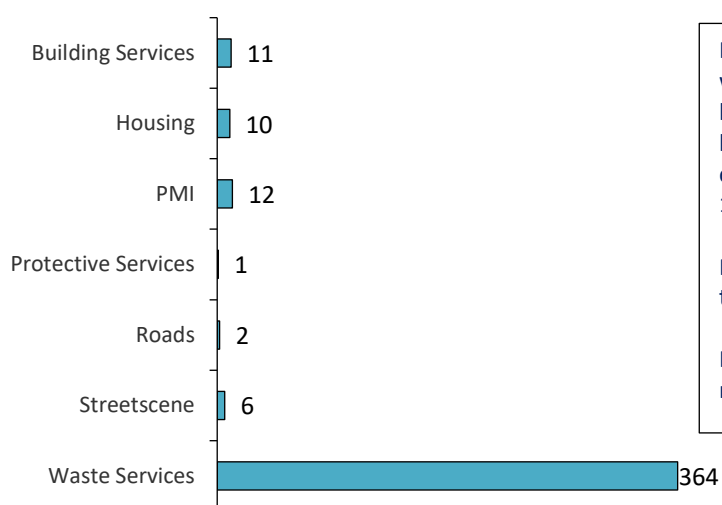
These complaints breached due to complainants being unavailable to assist with investigations and investigations being impacted as a result of Covid-19 restrictions.

Multi-Service



Reasons for these multi-service complaints breaching included relevant employees not being available to assist with investigations (as a result of Covid-19 implications) and technical problems encountered with the complaint workflow system.

Place



Reasons given for Place complaints not meeting the 5 working day timescale included complaint handlers not being available to progress complaints and complainants being unavailable to assist with investigations. Some complaints also breached due to factors related to Covid-19 measures and restrictions.

Many complaints that breached were closed only one or two days beyond their due dates.

Regarding the volume of Waste complaints that did not meet timescale, see the additional commentary below.

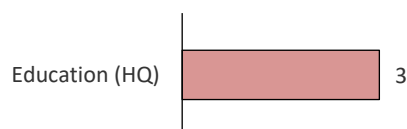
Covid-19 and impact on Waste Service

Whilst Waste Operations had to re-write operational risk assessments and change operating arrangements as a result of Covid-19, during the first 6 months of the pandemic there were no instances of coronavirus within the workplace, however, the second phase throughout the winter period proved more challenging. This was mainly due to competing demands for resources, particularly as it was a fairly severe winter and road gritting was equally as high a priority as waste collection. During that time Waste Operations were unable to rely on the support previously provided from the Roads and Streetscene services (as it did at the beginning of the pandemic) and further challenges arose with several employees testing positive for Covid-19 and periods of self-isolation. Nonetheless, the service managed to maintain service delivery throughout, although there was pressure on some service areas such as bin deliveries and more recently the seasonal demands of the brown bin service.

It is important to consider the above when reviewing complaint data for Waste Services in this report. It should also be recognised that North Ayrshire Council was one of only a few local authorities in Scotland that managed to maintain a normal waste collection service during the pandemic.

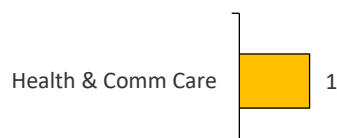
Stage Two

Communities



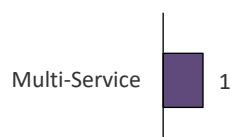
These complaints were sensitive in nature and required further investigation. Extensions could therefore have been considered for these.

HSCP (Social Work complaints)



This complaint breached due to investigations being hampered by Covid-19 restrictions.

Multi-Service



This complaint breached due to a technical issue with a shared mailbox.

4 Key complaint topics

Key topics for upheld and partially upheld complaints for Services are listed below. Services will not be listed if there were low complaint volumes that did not allow meaningful analysis.

Chief Executive's

Service	Key complaint topic(s)
Customer Services	<ul style="list-style-type: none"> Communication

Communities

Service	Key complaint topic(s)
Education (HQ)	<ul style="list-style-type: none"> Sensitive issues relating to teachers and/or pupils Alleged employee behaviour

HSCP (Social Work complaints)

Service	Key complaint topic(s)
Health & Community Care	<ul style="list-style-type: none"> Service provision/delivery

Place

Service	Key complaint topic(s)
Building Services	<ul style="list-style-type: none"> Follow Up appointments Quality issues
Housing	<ul style="list-style-type: none"> Anti-social behaviour
PMI	<ul style="list-style-type: none"> Gas Central Heating (incl. maintenance)

Streetscene	<ul style="list-style-type: none"> • Quality/lack of grass cutting
Waste Services	<ul style="list-style-type: none"> • Missed bins (all colours)
	<ul style="list-style-type: none"> • Missed pull outs (all colours)
	<ul style="list-style-type: none"> • Bins not delivered
	<ul style="list-style-type: none"> • Household Recycling Centres
	<ul style="list-style-type: none"> • Failed bulky uplifts
	<ul style="list-style-type: none"> • Domestic bin spillages
	<ul style="list-style-type: none"> • Alleged employee behaviour

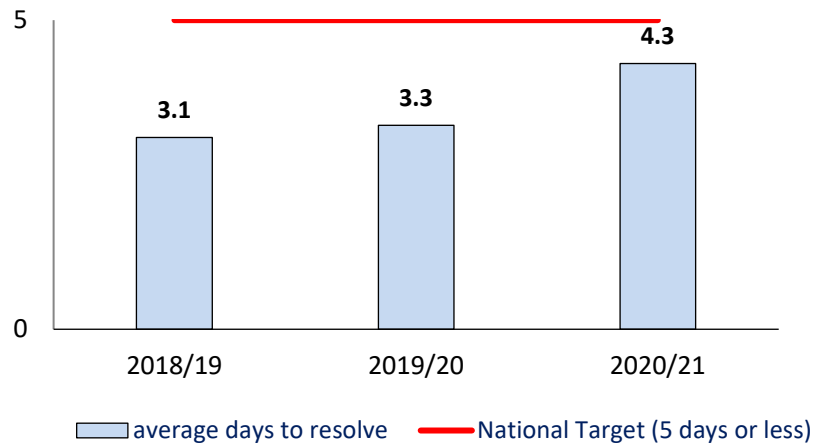
- 'Alleged employee behaviour' appears as a key topic for some Services but the definition is broad and has been used where complainants perceived employee actions or behaviour to be unacceptable. This could include instances where:
 - The attitude of employees was considered inappropriate
 - The content/tone of letters from employees was considered inappropriate
 - Employees made inappropriate comments or offered inappropriate advice
 - Employees were considered 'officious' when quoting procedures, policies or regulations

Where unacceptable behaviour was identified by Services, appropriate action will have been taken to address.

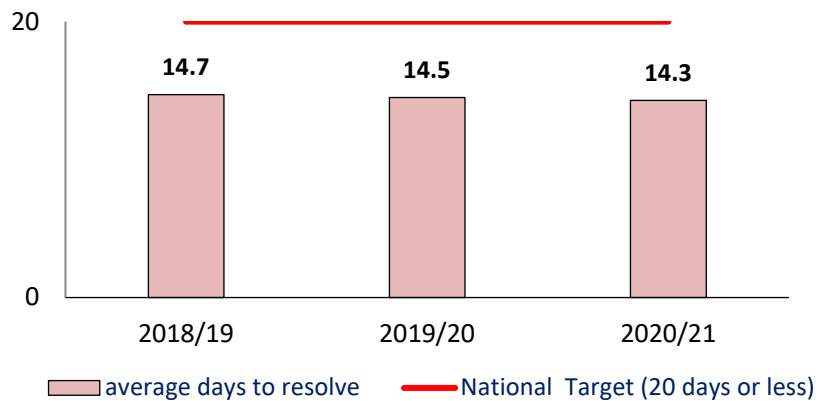
5 Average time in working days for a full response

The average time in working days to close complaints under both Stages during the period is noted below. Values for previous years have been included to allow comparisons to be made and any complaints that had their timescales extended have been excluded from the calculations.

Stage One



Stage Two

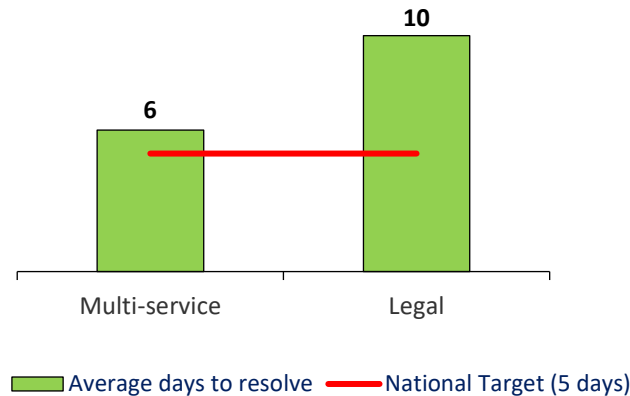


- The average time to close complaints under both Stages has consistently exceeded target.

The bar charts below detail Services that did not meet the average time in working days for a response under either Stage. Services that met the target are not listed and any complaints that had their timescales extended have been excluded from the calculations.

Chief Executive's

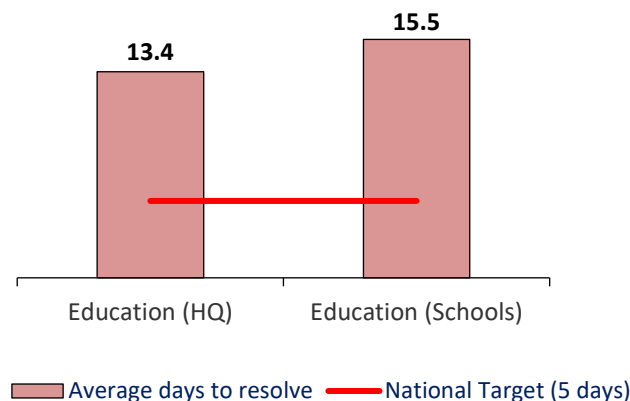
Stage One



One Legal-related complaint took 19 days to resolve, resulting in the average number of days target not being met. The complaint was complex and related to the sale of some land. This complaint could have been considered at Stage Two. A small number of multi-service complaints did not meet timescale due to investigations being hampered by Covid-19 restrictions and delays in services identifying some complaints were multi-service.

Communities

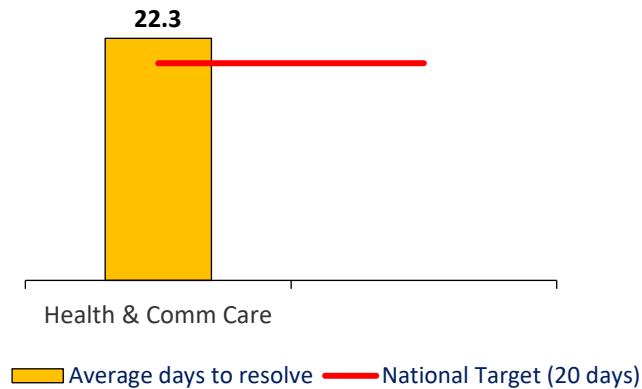
Stage One



Some Stage One complaints for Education HQ and schools did not meet their timescales, resulting in the average number of days target not being met. The main reason for this was complaints no longer being able to be progressed or concluded as a result of Covid-19 measures that were introduced.

HSCP (Social Work complaints)

Stage Two



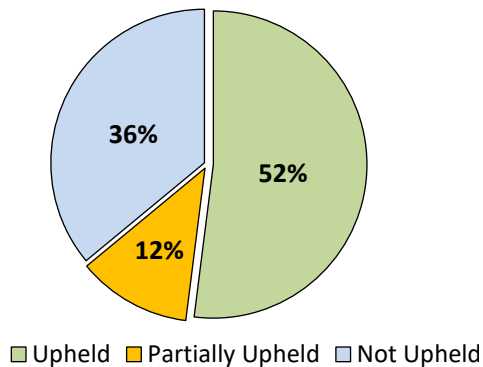
A Health & Community Care Stage Two complaint was closed on working day 72, directly resulting in the average number of days target not being met for the service. The delay was due to the impact on service delivery and resourcing issues as a result of Covid-19 restrictions. This complaint could have had its timescale extended.

6 Extended complaints

- 74 complaints had their timescales extended during the year - 38 at Stage One and 36 at Stage Two). The complaints related mainly to services within the HSCP (62%) and Place (31%) Directorates.
- There were numerous reasons for extending, including complainants and individuals being unavailable to assist with investigations, additional information having to be sought to support investigations and issues arising from the Covid-19 outbreak (see section 10 for more information).
- Of the 74 complaints that had their timescales extended, 87% were closed within their new due dates.

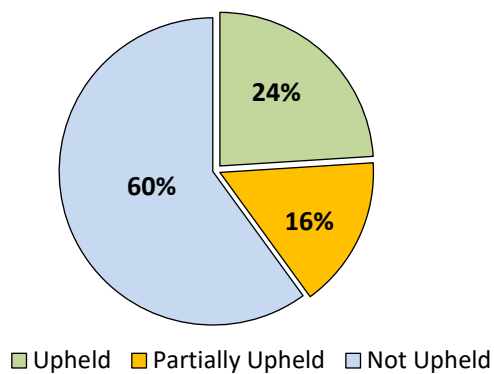
7 Complaint Outcomes

Stage One



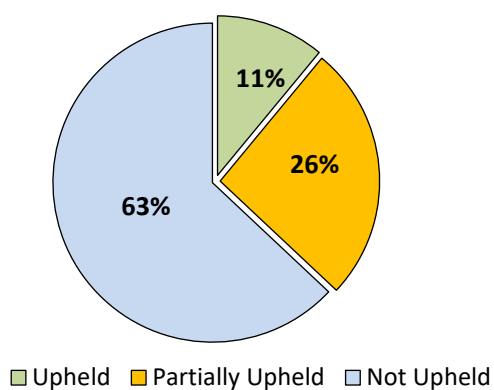
- Of all the complaints upheld and partially upheld* at Stage One, many related to Waste Services and in particular bin collections. This was anticipated given issues the service encountered as a result of Covid-19.
- Many complaints not upheld related to policy/procedure changes as a result of Covid-19.

Given the high volume of upheld missed bin collection complaints during the year, the chart below shows the outcomes with these complaints excluded. As you will note, there is now a significant difference when comparing the upheld and partially upheld figures between both charts:



*Partially Upheld complaints are complaints that contain two or more complaint elements and at least one of them is upheld

Stage Two



- Stage Two complaints that were upheld or partially upheld* were split across mainly services within Communities, HSCP and Place.
- Stage Two complaints not upheld related mainly to policies or regulations and complaints that were determined to be unproven/unfounded.

Up to 31 March 2021, a complaint that meets our complaint criteria could be upheld, partially upheld or not upheld. From 1 April 2021, a fourth outcome became available to use called 'Resolved'. Resolved complaints are where the Council has taken action to address the problem/issue without making a decision on whether there were any failings (this would happen where we agree a solution with the complainant at the outset without needing to actually investigate the complaint). This new outcome will typically only apply to complaints handled at Stage One.

Details of 'Resolved' complaints will appear in future complaint reports, beginning with the H1 2021 complaint report.

8 Improvements made as a result of complaints

Some improvements were made as a result of complaints received during the year and a selection is noted below.

What happened?	What we did
A driver complained about road works at a roundabout where the diversion took them up a rural road.	The driver was advised that there were numerous signs advising the road was closed and additional signs had also been erected since the works had started. The driver commented that a 'local access only' sign could have been erected and this suggestion will be considered for any future works planned at this location.
A tenant complained about flooding in his front garden due to a grille, causing disruption to the tenant and immediate neighbours	Although the grille meets regulatory requirements, the Council will replace this with an improved design which will be less likely to trap material coming down-stream. The Council will also increase the monitoring regime carried out by the on-site staff.
A gas boiler broke down and the tenant had difficulty contacting the right department to arrange a repair.	The contractor will provide clearly marked emergency contact details on their new installations. Also, the Council's contact centre will be provided with correct out of hours emergency contact details for the contractor to ensure notifications of call-outs are routed correctly. As a result of this complaint the contractor will now be able to more quickly diagnose and rectify unusual faults of this nature.
A contractor engineer visited a Council property to change an external gas box but did not inform the occupants of his arrival.	The contractor has introduced a process where engineers will advise occupants they have turned up to complete work even if only outside access is required.
A complainant raised an issue regarding information about household income contained in Tax Credit Award correspondence.	The Council will review the correspondence surrounding Tax Credit Award Notices and make changes to make clear to parents how to obtain household income details.
A resident booked a special uplift which went to an incorrect address.	When it was determined that the resident's customer record showed a previous address, the system was updated to reflect the new address, the special uplift items were removed and an apology was offered to the complainant. Consideration is being given to include the address of the special uplift when uplift confirmation emails are issued to customers.

9 Compliments

Over 270 compliments were recorded cross-Council during the year and whilst they cannot all be highlighted in this report a selection is noted below.

"I reported a dangerous tree which was removed promptly. I would like to pass on my compliments to Business Support and Streetscene for the prompt action"

Multiple compliments were received for Building Services regarding the "fantastic", "brilliant" and "amazing" jobs that joiners, electricians, plumbers and other staff have carried out over the last year.

Multiple compliments were received regarding the service provided by HSCP Care at Home staff during the Covid-19 pandemic. Comments included that they provide a fantastic service with personal care support as well as offering emotional support at a time when families are unable to visit.

"I want to say a huge thanks to Angela Watson, Library Assistant. She went above and beyond to assist with my membership. A great job, thank you!"

"Just want to say thanks to those working in the Local Offices, those who may still be at their desks or working from home, those in Waste Services who are still collecting our waste and other staff who are carrying out other essential jobs during this historically remarkable time, you are doing a great job and deserve our thanks and gratitude. Thank you"

"I just wanted to say I think the Council is doing a wonderful job during the lockdown. The specific information on your website about all the services and support available is comprehensive and helpful. The speed with which you set up the Community Hubs is amazing. The Q and A session held by the Leader of the Council and the Chief Executive was comprehensive and helpful too"

"I had a query with council tax and it was dealt with by a nice lady in the Contact Centre. She was polite, efficient and a credit to your team"

Multiple compliments were received for Waste Services thanking drivers and crews for continuing to maintain a collection service during Covid-19.

"Congratulations to the Council regarding food boxes being issued to families on benefits whose children receive free school meals. These goods really help to feed families and are so much better than vouchers as it means fewer visits to the supermarket are necessary. Well done NAC!"

"Thanks to John Mack in your Planning Team for his prompt, clear response to my question. Well done and thanks for all you do for us at this time"

(multiple similar compliments were also received from people who benefitted from this initiative)

Multiple compliments received for Roads regarding repairs and faults being addressed swiftly during the last six months.

10 Coronavirus impact

From March 2020 the Council continually assessed the impact of the Covid-19 outbreak and its ability to continue to deliver critical and key services. Whilst robust business continuity plans were already in place, these unprecedented circumstances presented substantial challenges to the Council and service provision in some services was affected.

Of the 2,541 complaints closed during the year, 8% related directly or indirectly to the pandemic. Below is a table detailing the Directorate and Service breakdown.

Directorate	Service	No. of Covid-19 related complaints	Volume that were policy-related*
Chief Executives	Customer Services	15	10
	Legal	1	1
Communities	Community Learning	1	1
	Education (HQ)	5	4
	Education (schools)	1	-
HSCP	Children & Families	5	1
	Health & Community Care	4	-
	Support Services	2	-
Multi-Service	Involves multiple services	5	3
Place	Building Services	33	21
	Facilities Management	1	-
	Housing	3	2
	PMI	14	12
	Protective Services	4	2
	Roads	8	7
	Streetscene	39	38
	Waste	60	43
TOTAL		201	145

* These were Council policies and procedures that were revised/updated to combat the pandemic

Looking at services that received Covid-related complaints, analysis identified:

- Some **Customer Services** complaints related to long waiting times. Some of the reasons behind this included increased call volumes, additional workloads due to handling outbound calls for Test & Protect and the balance of work/home life as employees were working from home. Some complaints also related to Council tax/second home reductions not being offered during the lockdowns.
- Some **Education** complaints related to school closures and children having to be taught from home.
- Some **HSCP Health & Community Care** complaints related to delays to service provision.
- Some **Building Services** complaints related to the change in policy where only emergency repairs were to be carried out.

- Some **PMI** complaints related to a reduced service as a result of contractors having to close their offices/businesses.
- Some **Protective Services** complaints related to the closure of non-essential businesses.
- Some **Roads** complaints related to the closure of the Council's car parks.
- The majority of the 39 Covid-related **Streetscene** complaints related to grass cutting/general maintenance being suspended and the time taken to phase it back in
- Covid-related complaints about **Waste Services** related mainly to the closure of the Household Waste Recycling Centres, the suspension of special uplifts, missed collections (due to redeployed employees being unfamiliar with the service) and new bin requests only being processed for new properties.

11 ALEO complaints

An Arms-Length External Organisation (ALEO) is an organisation formally separate from a local authority but still subject to its control and influence. North Ayrshire Leisure Limited (NALL) is an ALEO for North Ayrshire Council and this section highlights complaints handled by NALL using the same Two Stage procedure the Council operates. Note the statistics only cover Q1 to Q3 2020 as the Q4 2020 report had not yet been approved by the NALL Board when this report was created.

Complaints received per Business Area and Complaint Category

Business Area	Complaint Category	Volume
LEISURE		
Irvine	Activities & Programming	10
	Facilities General	12
	Facilities Cleanliness	1
	Customer Service	20
	Marketing/Promo	0
	Policy/General	6
Three Towns	Activities & Programming	24
	Facilities General	2
	Facilities Cleanliness	1
	Customer Service	5
	Marketing/Promo	0
	Policy/General	8
Garnock & Kilwinning	Activities & Programming	0
	Facilities General	3
	Facilities Cleanliness	0
	Customer Service	1
North Coast & Arran	Activities & Programming	4
	Facilities General	8
	Facilities Cleanliness	10
	Customer Service	3
	Policy General	1

PHYSICAL ACTIVITY		
Active Lifestyles	Activities & Programming	1
	Customer Service	0
Community Sport	Activities & Programming	0
	Customer Service	0
Support Team	Customer Service	27
	Policy General	3
	Marketing/Promo	0

- 150 complaints were received by NALL during the year.

Complaints per 1,000 visits for each department

Department	Complaint Volume	Attendances	Complaint Rate
Leisure	126	185,431	0.70
Physical Activity	1	13,777	0.07
Support Team	23	n/a	n/a

- Whilst the above table only highlights complaint volumes for the first three quarters of 2020/21, the volume of complaints received over the period is negligible compared to the number of people visiting NALL facilities/venues (irrespective of the Covid-19 lockdowns).

Complaint categories by volume

Category	Volume
Facilities General	25
Facilities Cleanliness	12
Customer Service	56
Activities and Programming	41
Policy/General	16
Marketing and Promotion	0
Total	150

Three-year Complaint Category comparison

Category	2018/19	2019/20	2020/21
Facilities General	44	23	25
Facilities Cleanliness	6	7	12
Customer Service	16	22	56
Activities & Programming	35	27	41
Policy/General	6	17	16
Marketing/Promotion	0	4	0
Total	107	100	150

Complaints handled at each Stage by category

Category	Stage One	Stage Two
Facilities General	14	9
Facilities Cleanliness	1	9
Customer Service	41	12
Activities and Programming	21	21
Policy/General	9	5
Marketing and Promotion	0	0
Total	86	56

Examples of complaints received

Category	Nature of Complaint	Response/Action
Facilities General	Customer complained that there was no access to the toilets and locker room at Ravenspark Golf Course, despite noticing that a cleaner was in attendance.	Apology offer to the customer and advised that although the Company is able to provide periodic site cleaning services, it is only enough to maintain those areas and not keep them open for use. Also advised that Government guidelines state that such facilities should remain closed.
Facilities Cleanliness	Customer complaints received regarding the 'downgrading' of the cleaning schedule at Vikingar KA Studio.	Apology offer to customers with explanation that additional measures put in place such as 'Fit4Access' and additional cleaning stations still allow the Company to operate within Government guidelines maintaining customer throughput at a safe and steady level.
Customer Service	Customer complained about funds being debited from their account. They assumed that their membership had been frozen.	Apology offer to customer and arranged for the two payments taken to be refunded and their status set to frozen (all customers were notified prior to direct debits recommencing giving them the option to freeze their memberships).
Activities & Programming	Customer complained about the lack of provision within our pools which is preventing various supported groups from participating in activities.	Apology offered to customer with a response that across all venues the Company has taken a phased approach to restarting activity in-line with Scottish Government guidelines to ensure they are keeping staff and customers safe.

12 SPSO complaint referrals

The Scottish Public Services Ombudsman (SPSO) is the final stage for complaints about Local Authorities in Scotland. The SPSO has published its 2020/21 referral statistics and the table below details the volume of complaints (relating to North Ayrshire Council) that were referred to the SPSO during the year:

Type of Complaint	Volume
Consumer Protection	1
Economic Development	1
Education	3
Environmental Health & Cleansing	1
Finance	3
Housing	8
Legal & Admin	4
Other	1
Planning	2
Roads & Transport	1
Social Work	2
Subject unknown or Out of Jurisdiction	1

- The SPSO received 937 complaints about Scottish Local Authorities during 2020/21 and 2.8% related to North Ayrshire Council. This referral rate is consistent with previous years (typically between 2% to 3%).
- The highest number of referrals made to the SPSO about the Council related to Housing but this was expected given many of the Local Authority referrals made to the SPSO during the year related to Housing or housing services.

The outcomes of the North Ayrshire Council complaints referred to the SPSO are noted below.

Stage	Outcome	Volume
Advice	Premature	7
	Unable to proceed	3
Early Resolution	Discretion – Insufficient benefit would be achieved by investigation	1
	Discretion - Good complaint handling	11
	Right of appeal to court/tribunal/Scottish ministers (s 7 (8))	1
	Time limit (s 10)	1
	Unable to proceed	1
Investigation	Fully upheld	1

- The majority of the referrals made by North Ayrshire complainants were resolved by the SPSO at the Advice or Early Resolution stages. Only one complaint was taken to investigation where it was upheld and some recommendations made (which the Council implemented).

- Many of the referrals at Advice stage were premature i.e. complainants approached the SPSO before exhausting the Council's Two Stage process.
- The majority of complaint referrals handled at Early Resolution were discretionary in nature, meaning the Council had discretion in terms of how to resolve them. It is pleasing to note many were considered 'good complaint handling' complaints, meaning the SPSO was satisfied with the way in which the Council handled them.

More details regarding complaint referrals for North Ayrshire Council can be found on the SPSO website at <https://www.spsa.org.uk/decision-reports>.

13 Glossary

Term	Explanation
Stage One	Stage One (aka <i>Frontline Resolution</i>) aims to resolve straightforward customer complaints that require little or no investigation. Any employee may deal with complaints at this stage and they can be resolved via any channel. The main principle is to seek resolution at the earliest opportunity and as close to the point of service delivery as possible. Stage One complaints must be responded to within 5 working days unless an extension (a maximum of 5 additional working days or 10 if the complaint relates to Social Work) is requested and approved by a senior manager. The Council should, however, always aim to resolve these types of complaints within 5 working days.
Stage Two	Not all complaints are suitable for Frontline Resolution and not all complaints will be satisfactorily resolved at that stage. Complaints therefore handled at Stage Two (aka <i>Investigation</i>) typically require a detailed examination before the Council can state its position. These complaints may already have been considered at Stage One, or they may have been identified from the outset as being complex, serious or high risk and needing immediate investigation. The investigation under a Stage Two should establish all the facts relevant to the points made in the complaint and give the customer a full, objective and proportionate response that represents our final position. Stage Two complaints must be responded to within 20 working days unless an extension is approved by senior manager in conjunction with the customer. Stage Two complaints require a written response, signed by a senior manager.

Complaint criteria

When an expression of dissatisfaction is received the Council determines if the issue falls into one of six complaint categories:

- A service the Council should be providing is not being provided (or is not available)
- A request for a service was provided but not to an appropriate standard
- A request for service has not been answered or actioned within the agreed timescale
- A Council employee was rude, unhelpful or unprofessional
- A Council employee did not attend an appointment or call-out on a date/time agreed
- The complaint relates to a policy (internal or external)

If the issue being raised relates to one or more of the above, the matter is considered a complaint and will be recorded and handled as such. If not, the matter will be handled as something else i.e. a request for a service, observation or enquiry and processed accordingly.

END OF REPORT

NORTH AYRSHIRE COUNCIL

16 November 2021

Audit & Scrutiny Committee

Title:	Strategic Risk Register 2021/22: Mid-year update
Purpose:	To provide Audit & Scrutiny Committee with a mid-year update on the progress with actions related to the Strategic Risk Register.
Recommendation:	That Audit & Scrutiny Committee notes the mid-year update on the 2021/22 Strategic Risk Register.

1. Executive Summary

- 1.1 The Council's most significant risks are identified through the Strategic Risk Register, which is refreshed annually and was last approved by Cabinet on 23rd February 2021.
- 1.2 The Audit and Scrutiny Committee previously identified the requirement to submit a mid-year update report on the Strategic Risk Register.
- 1.3 This report and the appendix demonstrate progress made by the Council in mitigating against the potential impact of the Strategic Risks.

2. Background

- 2.1 The Council's most significant risks are identified through the Strategic Risk Register, recognising the challenges facing the Council within the current financial year and demonstrating the arrangements in place for managing those risks.
- 2.2 The Strategic Risk Register is refreshed annually and was last approved by the Cabinet on 23rd February 2021.
- 2.3 The 2019 self-assessment of the Audit and Scrutiny Committee identified a number of improvement actions – one of these was the introduction of a mid-year update report on the progress made with mitigating these key risks.
- 2.4 The register is attached at Appendix 1 and provides an update on what was approved by Cabinet in February 2021. The next full refresh of the risk register will take place early in the new year, will go to Cabinet for approval in March 2022 and thereafter be reported to Audit and Scrutiny.

- 2.5 To help plan for this a horizon scanning exercise will be conducted in January 2022 with members of the Corporate Risk Management Group. There are emerging risks such as Blackstart (power failure) and the new National Care Service and they will be considered for inclusion in the Strategic Risk Register 2022/23.
- 2.6 Where relevant, key actions from the Council Plan Delivery Plan have been linked to the risks and progress shown at mid October 2021 and these actions are more strategic in nature. Some risks are managed as 'Business as Usual', through the appropriate operational plans within Services or through current controls.
- 2.7 The Strategic Risk Register identifies the most significant risks which the Council faces at the present time.

Very High Risks

- 2.8 There are four strategic risks classed as 'Very High' (scoring 17-25):

Financial Environment (risk score 20) – this risk reflects the ongoing financial challenge faced by the Council. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Inequalities (20) – this highlights the socio-economic inequalities faced in North Ayrshire. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Financial Sustainability of the Health and Social Care Partnership (20) – this reflects the ongoing financial challenges faced by the Partnership and the risk these present to the Council. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Note: The risk score was reduced from 20 to 16 at the six month review.

COVID-19 Impact on Service Delivery (20) – there is a developing risk to the Council from the ongoing impacts from the pandemic. This risk was tabled and accepted at Cabinet in March 2020. The Strategic Risk Action Plan has been updated and included within Appendix 1.

High Risks

- 2.9 There are four strategic risks classed as 'High' (scoring 10-16):

Cyber Security (16) – this reflects the increasing risk from external cyber-attack which is being faced by all organisations. The Scottish Government has put in place a cyber-resilience action plan which the Council is complying with. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Transformation (16) – this reflects the wider risks associated with delivering the current Transformation programme and developing a pipeline of future initiatives. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Climate Change (16) – this risk was reassessed following the declaration by the Council of a climate change emergency during 2019. The Strategic Risk Action Plan has been updated and included within Appendix 1.

Community Capacity Building and Empowerment (12) – this highlights the challenges associated with community empowerment. The Strategic Risk Action Plan has been updated and included within Appendix 1.

3. Proposals

- 3.1 Cabinet is requested to note the mid-year update on the 2021/22 Strategic Risk Register.

4. Implications/Socio-economic Duty

Financial

- 4.1 None.

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 A successful risk management framework helps to underpin the delivery of the Council's strategic priorities in the Council Plan 2019-2024.

Community Wealth Building

- 4.7 None.

5. Consultation

- 5.1 The Strategic Risk Register has been reviewed in consultation with the Executive Leadership Team and the Corporate Risk Management Group.

Thomas Reaney
Head of Service (Recovery and Renewal)

For further information please contact **Alex Fitzharris, Risk Manager (Recovery and Renewal)**, on **01294-324515**.



Background Papers


None.


Risk Code	SRR2122_R01	Risk Title	Financial Environment		Latest Note Date	20-Oct-2021
Risk Owner		Mark Boyd				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
<p>The risk is that the level of funding from Scottish Government to local government will require the Council to take increasingly difficult and challenging decisions, potentially operating with increased levels of risk to ensure service delivery and investment in assets align with available resources. Although the 2021/22 local government settlement represents an increase of 0.84% in core grant funding, this has to continue to be looked at within the context of financial pressures facing the council including pay, contractual and demographic pressures over the short, medium and long term. The continuation of single year settlements makes effective medium and long term financial planning challenging. It is recommended that following the settlement and within the wider financial pressure context, the risk score remains unchanged at this time. Any consideration to change this will only occur following a sustained period of annual growth in core revenue funding.</p> <p>The Council is exposed to financial risk as a result of the financial performance of the IJB; more detail on this is set out at risk SRR03.</p>		Funding not keeping pace with demand and cost means that there will be a reduction in some service areas potentially resulting in higher risks for service users.	<p>Robust monitoring of the Council’s revenue and capital budgets is in place as well as regular reporting of financial performance of the IJB to Cabinet and Audit and Scrutiny.</p> <p>To assist financial planning The Long-Term Financial Outlook (LTFO) to 2030/31 was approved at Council on 16 December 2020 - this is the cornerstone of the Council's financial planning in the medium to long term.</p> <p>The Council is currently preparing to deliver a balanced budget for 2022/23 with work being progressed to further develop the Transformation and Renewal programme over the period 2022/23 to 2030/31. Additional pressures have been identified through additional national insurance contributions and energy. Current level of reserves may provide some short-term funding solutions as well as progressing the identification of sustainable savings.</p> <p>Based on the outturn position in 2020/21 for the IJB, the annual debt repayment to the Council of £1.497m was achieved, therefore reducing overall debt to £3.796m. This position is further supported by the creation of a potential surplus position to help enable the delivery of the IJB Transformation programme.</p>	4	5	
Status		Risk 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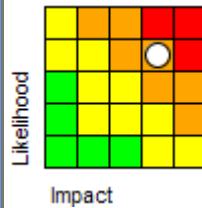
Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
Regular financial monitoring of Revenue and Capital Budgets	28 January 2021: Bi-monthly monitoring 20 October 2021: Bi-monthly monitoring is being undertaken.	31-Mar-2024	Mark Boyd	
Deliver balanced Budget for 2021/22	28 January 2021: No update 20 October 2021: Action Complete.	04-Mar-2021	Mark Boyd	
Develop Renewal Programme monitoring framework to capture and monitor plans to address funding gap over medium and long-term	28 January 2021: Governance arrangements have now been agreed and include programme development and monitoring through the Transformation Board and ELT. 20 October 2021: Action Complete.	31-Mar-2021	Mark Boyd; Thomas Reaney	
Maintain Financial Governance Arrangements for IJB	28 January 2021: Bi-monthly monitoring. 20 October 2021: Bi-monthly monitoring is being undertaken	31-Mar-2024	Mark Boyd	






Risk Code	SRR2122_R02	Risk Title	Inequalities		Latest Note Date	20-Oct-2021
Risk Owner		Audrey Sutton/Caroline Amos				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures		Likelihood	Impact
<p>North Ayrshire residents, and in particular certain excluded groups, will experience increasing levels of poverty and its effects, as a result both of the economic situation and Covid-19.</p> <p>Health inequality is closely linked to poverty, employment and people's earliest experiences as children, and will increase.</p> <p>The population of North Ayrshire is projected to fall over the next 10 years but there will also be a larger proportion of the population considered dependent (not economically active).</p>		<p>The impact on specific risk groups is greatest for our children, young people and families, unemployed people and those in in-work poverty and people exposed to the risks of drug and alcohol addiction.</p> <p>Demand for HSCP and Council Services will increase.</p> <p>As reductions in resources increase, early intervention and prevention activities are at risk, thus increasing the potential for an increase in costly crisis interventions.</p> <p>The local economy will be impacted by reduced spending power by economically inactive residents.</p>	<p>Tackling inequalities is a strategic priority of the Community Planning Partnership (CPP), the Council and the HSCP.</p> <p>Current poverty-related controls fall into two categories: measures to address the root causes of socio-economic inequalities – income through employment or benefits – and mitigation measures to minimise the impacts of poverty. A range of strategies are in place: Fair for All, Children’s Services Plan, the Child Poverty Action Plan, Economic Renewal Strategy, Community Wealth Building, the Ayrshire Growth Deal.</p> <p>The HSCP tackles inequalities in areas of economy, health and community. Through the HSCP strategic plan, the Partnership sets out actions to tackle inequality through its Partnership Pledge and across its strategic priorities.</p> <p>The Alcohol and Drug Partnership has a focus on drug and alcohol misuse, with a focus on reducing the numbers of drug related deaths.</p> <p>The ‘Housing First’ programme provides tenancies for the most vulnerable homeless people in North Ayrshire, initially targeting households with addiction and mental health issues on discharge from prison.</p> <p>Through Covid-19 responses a whole system approach is being developed to support residents through a place based model.</p> <p>We continue to progress work to fulfil our commitment in equality of opportunity in employment for all our employees.</p>		5	4
Status		Risk Score	<div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><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Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
<p>Many of the current controls are in early stages of implementation:</p> <p>Fair for All (ongoing)</p> <p>Children's Services Plan (new plan)</p> <p>Child Poverty Action Plan (new annual plan)</p> <p>HSCP Strategic Plan (new plan)</p> <p>Economic Renewal Strategy (new strategy)</p> <p>Community Wealth Building (new strategy)</p> <p>Ayrshire Growth Deal (in ongoing development)</p>	<p>27 January 2021:</p> <p>Each of these strategies, taken together, and further developed and implemented, should make a significant contribution to inequalities.</p> <p>20 October 2021:</p> <p>Actions are being progressed and remain within the Target date for completion.</p>	31-Mar-2024	Audrey Sutton/Caroline Amos; Caroline Cameron	
Recovery & Renewal Strategy Implementation	<p>27 January 2021:</p> <p>The implementation of this strategy includes children and young people service transformation, locality working via hubs and place-based approaches to joined up service provision</p> <p>20 October 2021:</p> <p>Actions are being progressed and remain within the Target date for completion.</p>	31-Mar-2022	Thomas Reaney	

Risk Code	SRR2122_R03	Risk Title	Financial Sustainability of the Health and Social Care Partnership		Latest Note Date	20-Oct-2021
Risk Owner		Caroline Cameron				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
<p>Uncertainty of future funding against growing demand and demographic pressures.</p> <p>Resources have not kept pace with the demand for and cost of social care services.</p> <p>Covid-19 has the potential to impact our ability to meet an on-line budget position and ensure repayment of debt.</p> <p>In earlier years, the HSCP did not manage to contain spend within the delegated budget, but a surplus was recorded in 2020-21. Outstanding debt to the Council is currently £3.807m following a repayment of £1.486m in 20/21. A similar repayment will be made at the end of 21/22.</p> <p>Current Scottish Government proposals to introduce a National Care Service (NCS) by 2026 will significantly impact on the IJB. A consultation on the NCS closed in November 2021 and legislation will be developed.</p>		<p>Funding levels could result in savings being made that are not in alignment with the strategic plan. This could impact on the future demand levels e.g. reduction in early intervention and prevention means that future demand is increased.</p> <p>Funding levels increase the requirement to transform services at scale and pace.</p> <p>If the Covid-19 response is not fully funded the IJB may be required to recover any overspend in-year. The Partnership requires to put in place a financial recovery plan if there is a significant projected overspend.</p> <p>In 2020-21, the Partnership was in an underspend and is also projecting a year-end underspend for 2021-22.</p> <p>The impact of the National Care Service will become clearer as legislation is progressed.</p>	<p>The IJB actively monitors the financial position with regular detailed reporting. Directors of Finance of the Council and Health Board have oversight and regular updates are provided to the Council's Cabinet.</p> <p>There is an integrated approach to managing the totality of NHS and Council resources delegated to the IJB. A Medium-Term Financial Plan is being developed for 2022-25.</p> <p>Previous financial settlements have seen both partners meet the Scottish Government settlement conditions with any additional resources passed to the IJB.</p> <p>The IJB has uncommitted reserves of £4.151m (at 01/04/21).</p> <p>Significant funding has been provided to IJBs for the Covid-19 response, supported by regular financial returns to the Scottish Government. Costs were fully funded in 20-21 and the expectation for 21-22 is again that all Covid related costs will be supported.</p> <p>The Partnership has a Transformation Board overseeing the programme of service re-design.</p>	4	4	
Status		Risk Score		Change in Score	Approach	
Reducing		16		Reduced from 20 to 16	Tolerate	



Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
Sustainability - Budget outlook report and budget setting paper are effective but further action is required.	20 October 2021: 1) Integrated Strategic Plan and Budget 2) Refresh the medium-term financial plan for 2022-25	31-Mar-2022	Caroline Cameron; Paul Doak	
Budget Monitoring - Regular budget monitoring reports to IJB are effective.	20 October 2021: No additional actions planned at this time but will keep under review.	31-Mar-2024	Caroline Cameron; Paul Doak	
Corrective Action – Transformation Board is effective	20 October 2021: No additional actions planned at this time but will keep under review.	31-Mar-2024	Caroline Cameron; Paul Doak	

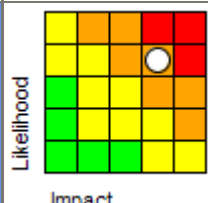
Risk Code	SRR2122_R04	Risk Title	Cyber Security		Latest Note Date	20-Oct-2021
Risk Owner		Fiona Walker				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
<p>The potential compromise of business operations or a data breach orchestrated via either digital channels or the IT infrastructure. This can include targeting of the user base. Risk derives from both Council operations and those of its supply chain.</p> <p>The increasing importance of delivering services through digital channels and maximising efficiency through effective and secure use of technology. This includes a growing adoption of cloud-based computing resources which extend processing capabilities, and associated risks, beyond the Council’s network.</p> <p>The Covid-19 pandemic has accelerated the adoption of remote and mobile working practices by staff. While this ensures business continuity, such a distributed work force increases the complexity of protecting against cyber and data protection risks.</p>		<p>Failure by Services to adopt and comply with strategies, policies and procedures may result in a failure to adequately ensure the desired levels of cyber-security required to maintain and protect council systems and data.</p> <p>There may be a significant impact on the authority through the release of personal and/or sensitive information resulting in a loss of public confidence and significant financial loss incurred through fines and service disruption.</p> <p>A successful cyber-attack (malicious external or internal action) on the Council’s IT environments could also result in significant service disruption, loss of income streams and possible data loss.</p> <p>Impacts of a cyber-attack could include economic (i.e. inability to collect online payments), societal disruption (i.e. loss of diaries and client appointments), and reputational damage (i.e. loss of public confidence in digital services).</p>	<p>It is recognised that it is not possible for any organisation to expect to be completely protected against continually evolving cyber threats. A threat actor with sufficient motivation, resource and capability will be able to compromise the most secure system.</p> <p>The Council takes a sociotechnical approach to reducing risk by continually developing protective measures through technical, organisational and people-focused controls.</p> <p>Technical controls are implemented in areas such as network defences, secure configuration of systems, user authentication, malware protection, and vulnerability management. These are based on best practice and independently tested on an annual basis to confirm their effectiveness in accordance with compliance schemes.</p> <p>The Council maintains a comprehensive set of policies, standards, guidelines, metrics and reporting mechanisms as part of its information security governance structure. A comprehensive training and awareness programme is delivered to nurture a cyber-aware workforce and culture.</p>	4	4	
Status		Risk Score		Change in Score		Approach
Stable		16		No change		Treat



Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
Security Controls and Compliance – Overall, the current controls remain effective. However, they are continually reviewed to ensure they remain effective in countering emerging threats and risks.	21 January 2021: PSN IT Health Check assessments and compliance certification. 20 October 2021: Completed - Certification achieved in September 2021	31-Mar-2021	Fiona Walker	
	21 January 2021: Introduction of improved authentication controls, such as removal of password expiry and deployment of multi-factor authentication. 20 October 2021: In progress – New password policy is being incrementally introduced to Corporate and Education networks. Multi-Factor Authentication is being introduced to the Corporate networks in different phases of users.	31-Dec-2021	Fiona Walker	
	21 January 2021: Deployment of new anti-malware solution. 20 October 2021: Completed – New Sophos client has now been deployed to all endpoints and servers.	30-Jun-2021	Fiona Walker	
Remote Working Security Controls – These have shown to be effective during the pandemic response with limited need for additional solutions.	21 January 2021: Deployment of a new remote access Always-On VPN service in-line with new best practice. 20 October 2021: Completed – New VPN service now deployed.	31-Dec-2021	Fiona Walker	
Incident Detection and Response – Recent cyber-attacks on public sector organisations highlight the need for robust incident detection and response procedures and technologies. The current response procedures been shown to be effective based on incidents experienced so far, however detection capabilities will need to be reviewed and improved.	21 January 2021: Review of existing monitoring controls 20 October 2021: In progress – Initial review of existing monitoring controls completed, however further work required to introduce procedures for dealing with alerts. Revised Target date of 31st December 2021.	31-Dec-2021	Fiona Walker	

	<p>21 January 2021: Development of a strategic approach on protective monitoring and incident response</p> <p>20 October 2021: Completed – Strategic approach agreed to partner with an external security services provider to introduce a managed security operations centre. A pressure bid has been submitted for 2022/2023.</p>	30-Sep-2021	Fiona Walker	
	<p>21 January 2021: Implementation of new protective monitoring technologies and procedures.</p> <p>20 October 2021: In progress – Awaiting outcome of pressure bid before proceeding with implementation.</p>	31-Dec-2022	Fiona Walker	
	<p>21 January 2021: Review the benefits of Cyber Insurance and procure, if appropriate.</p> <p>20 October 2021: In progress – Risk assessment underway with Aon to enable the brokering of cyber insurance quotes.</p>	30-Jun-2021	Fiona Walker	
Training and Awareness – The pandemic has impacted on the cyber training programme with the long-term cancellation of all classroom-based training. However, a new online course was launched to compensate for this.	<p>21 January 2021: Review effectiveness of online course.</p> <p>20 October 2021: In progress – Review of effectiveness still to be undertaken.</p>	30-Jun-2021	Fiona Walker	
	<p>21 January 2021: Re-instate classroom training, when possible.</p> <p>20 October 2021: In progress – New Teams-based training beginning in October 2021.</p>	31-Dec-2021	Fiona Walker	
	<p>21 January 2021: Use the Cyber Scotland Week national campaign to increase cyber awareness</p> <p>20 October 2021: Completed – Awareness activities undertaken in February 2021.</p>	28-Feb-2021	Fiona Walker	





Risk Code	SRR2122_R05	Risk Title	Transformation			Latest Note Date	20-Oct-2021
Risk Owner		Thomas Reaney					
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures		Likelihood	Impact	
There is an overarching corporate risk that transformation and change management activities, which are core to the future delivery models and long-term financial sustainability of both the Council and Health and Social Care Partnership, fail to deliver.		<p>Failure to deliver transformational change will impact on the Council’s financial sustainability, effectiveness of service delivery and delivery of the outcomes set out in the Council Plan 2019-24 and the Local Outcome Improvement Plan (LOIP).</p> <p>Failure to deliver the HSCP Transformation programmes across the Partnership, involving North Ayrshire Council (NAC) and NHS Ayrshire & Arran (NHSAA) services may lead to the identified outcomes not being delivered; resulting in financial instability, reduced performance, deteriorating patient outcomes, and reputational damage within North Ayrshire Health and Social Care Partnership (NAHSCP).</p> <p>Failure to embed cultural transformation activities may lead to difficulties in building future workforce capacity and in ensuring we have an engaged, skilled and knowledgeable workforce to meet service demand.</p>	<p>The transformation programme aligns to the Council Plan and is monitored via the Executive Leadership Team (ELT) and the Transformation Boards.</p> <p>A Benefits Tracking monitoring has been developed to ensure financial and wider outcomes, aligned to our Transformation plan, are captured.</p> <p>HSCP have an established Transformation Board to closely monitor progress with plans, regular updates on programme to the IJB and regular meetings with the Chief Executive and S95 Officer to review progress and mitigation plans. IJB will approve budget and Strategic Plan for 2021-22 in March 2021 which will align financial plans with transformational strategic change ambitions.</p> <p>Cultural transformation activities continue to evolve to support the Council’s transformation and improve effectiveness and capability. This includes sharing learning and skills, engagement, design experiments and a whole systems approach to transformation and change.</p> <p>Our workforce planning approach utilises a variety of tools and techniques, such as career development, succession planning, vacancy management, redeployment and early release schemes to ensure our workforce requirements for the future, in terms of skills and capabilities, are planned. Each Head of Service has a workforce plan, and these are monitored six-monthly with continued HR support and guidance to ensure service review and redesign of the workforce is on track.</p>		4	4	
Status		Risk Score	<div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><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Strategic Risk Action Plan				Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG	
Existing controls remain effective and are constantly reviewed. However, in order to enhance these, additional actions have been developed	<p>21 January 2021: Develop a new Benefits Tracking Tool to capture financial savings and other benefits, such as environmental gains. The tool should also include potential medium-long terms savings (up to 10 years ahead) and workforce planning.</p> <p>20 October 2021: This action is now complete</p>	30-Jun-2021	Mark Boyd; Thomas Reaney		
	<p>21 January 2021: Develop governance arrangements around the reporting and management of the Transformation Programme.</p> <p>20 October 2021: This action is now complete.</p>	30-Jun-2021	Thomas Reaney		

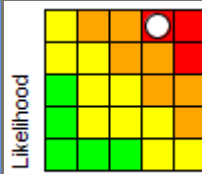
Risk Code	SRR2122_R06	Risk Title	Climate Change		Latest Note Date	20-Oct-2021
Risk Owner		Yvonne Baulk				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
<p>Climate change is expected to continue and worsen in the future if no action is taken, with increases to mean global temperatures, sea level rise and the increasing frequency and severity of weather events such as floods, heatwaves, droughts and storms.</p> <p>More frequent and intense heavy rainfall events increase the risk of soil erosion and flooding.</p> <p>Rises in mean sea level increases risks of coastal erosion, flooding, saltwater intrusion and soil salinisation (risk to agricultural land and freshwater habitats).</p> <p>Severe weather is already affecting public services across Scotland, with operational, reputational, financial and legal consequences.</p> <p>There is also an ongoing impact of severe winter weather including snowfall and freezing temperatures which impact service delivery and the integrity of our roads open space and buildings infrastructure. This shift in weather patterns caused by climate change is also affecting biodiversity across Scotland.</p>		<p>Increased frequency of severe weather conditions and flooding events may lead to more instances of damage to Council infrastructure and property, interruptions to service delivery and increased demands on services, often with little notice.</p> <p>Risk to life, transport disruption and pollution to the local environment, as well as impact adversely on the local economy if businesses are unable to operate.</p> <p>Council requirement to provide immediate response and manage the adverse effects of more frequent and severe weather emergency situations, including support to local communities and businesses.</p> <p>The Council is required to comply with the ‘Public Bodies Climate Change Duties’ under the Climate Change (Scotland) Act 2009. These duties require the Council to assess the risks, threats and opportunities associated with climate change and identify actions to increase resilience to climate change.</p>	<p>North Ayrshire Council declared a Climate Emergency in June 2019, committing to act on climate change and reduce carbon emissions. In January 2020 the Council approved the target to become net-zero carbon by 2030.</p> <p>The third iteration of the Environmental Sustainability & Climate Change Strategy is being finalised and will be presented to Cabinet in Spring 2021 for approval. Climate Change Adaptation has been included as a workstream within the new strategy, utilising Adaptation Scotland’s Capability Framework to ensure North Ayrshire takes a strong, proactive approach to adapting to climate change</p> <p>The Flood Risk Management Strategy has been developed into a 6-year plan which began in 2016. A second plan, which will follow on, is in development.</p> <p>In addition, actions to mitigate Climate Change risk are held within strategies such as the Core Paths Plan, Outdoor Access Strategy, Local Biodiversity Action Plan, and Weather and Winter Emergencies Plan. Asset management plans are in place which are regularly reviewed for our Roads, Fleet, Housing, Property and Open Spaces.</p> <p>Furthermore, through the Ayrshire Civil Contingencies Team there are emergency planning arrangements in place in the event of severe weather and flooding conditions causing major disruption and damage to the area or to individual communities within it.</p>	4	4	
Status		Risk Score	 Likelihood Impact	Change in Score	Approach	
Stable		16		No change	Treat	

Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
<p>Reducing Carbon Emissions:</p> <p>North Ayrshire Council declared a Climate Emergency in June 2019, committing to act on climate change and reduce carbon emissions. In January 2020 the Council approved the target to become net-zero carbon by 2030.</p> <p>We have seen a significant reduction in overall carbon emissions in the first half of 2020/2021 from 17,184tCO2 to 9,738 tCO2.</p> <p>Existing controls remain effective and are under review as our response to climate change develops and we progress towards achieving net zero by the 2030 target.</p>	<p>26 January 2021:</p> <p>Implementation of the 3rd Environmental Sustainability & Climate Change Strategy, which Includes a Roadmap with actions towards achieving the target. The ESCCS 3 contains workstreams:</p> <ul style="list-style-type: none"> • Affordable Warmth • Green Economy • Transport and Travel • Natural Environment • Sustainable Operations • Carbon Absorption • Climate Change Adaptation, which follows Adaptation Scotland's Capability Framework, to build a climate resilient North Ayrshire. <p>Ongoing work to support renewable energy generation, energy from waste, increased energy efficiency in domestic and non-domestic properties, active travel and actions within the North Ayrshire Local Biodiversity Action Plan.</p> <p>20 October 2021:</p> <p>Actions are being progressed and remain within the Target date for completion.</p>	31-Mar-2023	Yvonne Baulk	
<p>The Flood Risk Management Strategy:</p> <p>This has been developed into a 6-year plan which began in 2016. The strategy involves taking a proactive approach to flood protection, using modelling to identify vulnerable assets. Assets will then be protected on a prioritised basis taking financial damages and other impacts such as danger to life and disruption into account.</p> <p>Existing controls remain effective and are under review as our response to climate change develops and we progress towards achieving net zero by 2030 target.</p>	<p>26 January 2021:</p> <p>To continue the implementation of the flood risk management strategy and to develop the next flood risk plan. Adaptation to the impacts of climate change can be seen in the Flood Protection Schemes being developed and delivered in the Upper Garnock Valley and Millport.</p> <p>20 October 2021:</p> <p>We will continue the implementation of the flood risk management strategy and develop the next flood risk plan. Adaptation to the impacts of climate change can be seen in the Flood Protection Schemes being developed and delivered in the Upper Garnock Valley and Millport. CCTV inspections of culverts are undertaken along with a monthly programme of trash screen inspections. Trapped debris is removed from watercourses on a regular basis.</p>	31-Mar-2022	David Hammond	

Risk Code	SRR2122_R07	Risk Title	Community Capacity Building and Empowerment		Latest Note Date	20-Oct-2021
Risk Owner		Rhona Arthur				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
<p>Unrealistic timescales for implementation of aspects of legislation of the Community Empowerment Act (Scotland) 2015, such as Community Asset Transfer.</p> <p>Pressure to support community capacity building and the variation of needs within a reducing workforce.</p> <p>Duplication of effort across HSCP and Locality Partnerships to foster community participation and deliver engagement activities.</p> <p>Complying with the complex consultation legislation in service redesign.</p>		<p>Where the risk is not managed effectively the potential benefits of community capacity building and empowerment may be lost.</p> <p>Widening inequality gap between those communities where levels of capacity and engagement with the empowerment agenda are high and those with less social capital where interest remains low, which constrains the ability to influence the planning and delivery service.</p> <p>Any disconnect between the Council’s aspirations, community appetite for increasing ownership of assets and what communities themselves feel able and prepared to commit to can result in community assets reverting back to Council.</p> <p>Accelerating asset transfer risks losing services and facilities.</p> <p>Over-engagement carries disengagement and engagement fatigue.</p>	<p>Ongoing commitment to community empowerment and locality partnerships from CPP.</p> <p>Six locality partnerships and alignment with HSCP locality arrangements.</p> <p>Leadership of the CPP Senior Officers’ Group.</p> <p>Enabling approach with community partners and support with third sector interface to build capacity and identify opportunities for growth and sustainability.</p> <p>Reviewed guidance and processes relating to asset transfer, allotment and Community Councils.</p> <p>Participatory budgeting approach local grants, commitment to PB with partners and leading practice in mainstreaming participatory approaches</p> <p>External funding bid help for groups through regular meetings with third sector, funders and funding officers.</p> <p>Membership of The Consultation Institute.</p> <p>Additional investment of £1m for a Community Asset Transfer Start Up Fund, prioritising additional staffing capacity to support CAT in Connected Communities and TACT.</p>	3	4	
Status		Risk Score	Heat Map	Change in Score	Approach	
Stable		12		No change	Tolerate	

Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
<p>Implementation of CEA:</p> <p>Existing controls remain effective and are keep under review to monitor the impact of Covid-19.</p>	<p>26 January 2021:</p> <p>Ongoing Locality Partnerships and Community Asset Transfer programme.</p> <p>Further development of Locality Hubs and participatory budgeting approaches.</p> <p>Implementation of NA Food System and Food Growing Strategy.</p> <p>20 October 2021:</p> <p>Actions are being progressed and remain within the Target date for completion.</p>	31-Mar-2024	Rhona Arthur	
<p>Implementation of CEA:</p> <p>Existing controls remain effective and are keep under review to monitor the impact of Covid-19.</p>	<p>26 January 2021:</p> <p>Completion of Best Value Audit Review 2020 actions.</p> <p>20 October 2021:</p> <p>Action ongoing. A review of priorities was completed in June 2021. The consultation on the priorities took place during the difficult COVID-19 context and was extended to take account of the challenging environment. The locality action plans are being aligned and updated to incorporate the revised priorities. Deadline revised from June 2021.</p>	30-Mar-2022	Rhona Arthur	
<p>Staff capacity:</p> <p>Existing controls remain effective and are keep under review to monitor the impact of Covid-19. <i>Staffing capacity increased with CAT Start Up Fund June 2021.</i></p>	<p>26 January 2021:</p> <p>Continue to refine processes and develop staff skills, working closely with organisations and third sector through Community Empowerment Collective.</p> <p>20 October 2021:</p> <p>Actions are being progressed and remain within the Target date for completion.</p>	31-Mar-2024	Rhona Arthur	
<p>Alignment of engagement:</p> <p>Existing controls remain effective and are adapting to respond to the impact of Covid-19.</p>	<p>26 January 2021:</p> <p>Share the learning from the Arran Locality Partnership Pilot.</p> <p>Continue to develop the NA Virtual Community Centre and Engagement Hub.</p> <p>Digital participation and social inclusion initiatives to support engagement.</p>	31-Mar-2024	Rhona Arthur	

	20 October 2021: Actions are being progressed and remain within the Target date for completion.			
Consultation: Existing controls remain effective and are adapting to respond to the impact of Covid-19.	26 January 2021: Continue to work closely with The Consultation Institute regarding service change and to keep staff skills updated. 20 October 2021: Actions are being progressed and remain within the Target date for completion.	31-Mar-2024	Rhona Arthur	

Risk Code	SRR2122_R08	Risk Title	Covid-19 Impact		Latest Note Date	20-Oct-2021
Risk Owner		Thomas Reaney				
Risk Proximity Factors		Consequences / Impact	Existing Risk Control Measures	Likelihood	Impact	
Repeat waves of the pandemic and new strains emerging. There are ongoing and interrelated strategic risks impacted by the pandemic ranging from increased technology/cyber risk, financial, supply chain, inequalities to how this affects our transformation ambitions. Concurrent' resilience risks such as EU Exit and 'Blackstart' power resilience risks add a layer of complexity to the ongoing management of the pandemic.		Reduction in Council service provision in order to redirect and focus on prioritised activities or impacts on efficiency due to enhanced 'Covid secure' controls. Delays to key plans, objectives and projects. Consequences from this period including financial loss, backlogs, socioeconomic, health and mental health impacts on our staff and communities. The disruption to proactive work in the community has been detrimental to inequalities, poverty, socio-economic and health workstreams.	Strategic, tactical and operational response groups formed. Effective internal and external digital communication strategy in place. Covid-19 hub model adopted during response by North Ayrshire and Anchor Community Partners. The 'North Ayrshire Food System' has been developed to ensure enhanced resilience. Ongoing interpretation of guidance, involvement with national and local resilience partners and horizon scanning. Increased work on concurrent resilience risk planning. Refreshing the approach to Business Continuity Management. Work to identify recovery, renewal and transformation opportunities.	5	4	
Status		Risk Score	 Likelihood Impact	Change in Score	Approach	
Stable		20		No change	Treat	

Strategic Risk Action Plan			Date Updated	20-Oct-2021
Analysis of Effectiveness of Controls	Further Action Required	Target Date for Completion	Officers Responsible	Current Status: RAG
<p>Recovery:</p> <p>Existing controls remain effective and are under review as situation develops. However, in order to enhance these, additional actions have been developed</p>	<p>21 January 2021:</p> <p>Fulfilment of the Councils renewal and recovery strategy and associated action plan.</p> <p>20 October 2021:</p> <p>Recovery and Renewal strategy and action plan are in progress.</p>	31-Mar-2022	Thomas Reaney	
<p>Business Continuity:</p> <p>Existing controls remain effective but are under review to ensure lessons from Covid-19 are incorporated.</p>	<p>21 January 2021:</p> <p>Revise Councils approach to business continuity including the development of an electronic Business Continuity Plan.</p> <p>20 October 2021:</p> <p>A revised business continuity process is in place and services are engaging to fulfil their obligations, however, there have been some time and resource issues causing delays to submissions.</p>	31-Oct-2021	Thomas Reaney	

NORTH AYRSHIRE COUNCIL

16 November 2021

Audit and Scrutiny Committee

Title:	Internal Audit Reports issued
Purpose:	To inform the Committee of the findings of Internal Audit work completed during September and October 2021.
Recommendation:	That the Committee considers the outcomes from the Internal Audit work completed.

1. Executive Summary

- 1.1 The Council's local Code of Corporate Governance requires effective arrangements to be put in place for the objective review of risk management and internal control. Internal Audit is an important element in this framework as it reviews internal controls and offers Elected Members and officers an objective and independent appraisal of how effectively resources are being managed.
- 1.2 The remit of the Audit and Scrutiny Committee includes the monitoring of Internal Audit activity. The submission and consideration of regular reports assists the Committee in fulfilling this remit.

2. Background

- 2.1 This report provides information on Internal Audit work completed during September and October 2021. An internal control review has been completed in respect of the area detailed in Appendix 1 to this report. The aim of the review is to provide assurance that the internal control framework within the area examined is appropriate and operating effectively.
- 2.2 The findings from the audit assignment have been notified in writing to the Chief Executive, the Section 95 Officer and the relevant Executive Director and Head of Service on the completion of the assignment. This has also included an action plan with recommendations for improving internal control. Appendix 1 includes the report and action plan from the audit assignment issued during the period.
- 2.3 The findings relate to a review of Community Alarms, with an assurance level of 'Substantial'. The key finding relates to some minor errors identified in invoices and credit notes during audit testing. Areas for improvement had already been identified in the Service who are working with the Business Improvement Team to improve the efficiency of processes and to minimise the risk of error.

3. Proposals

- 3.1 It is proposed that the Committee considers the outcomes from the Internal Audit work completed during September and October 2021.

4. Implications/Socio-economic Duty

Financial

- 4.1 None.

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 The work of Internal Audit helps to support the efficient delivery of the strategic priorities within the Council Plan 2019-2024.

Community Wealth Building

- 4.7 None.

5. Consultation

- 5.1 The relevant Services are consulted on Internal Audit findings during each audit assignment.

Mark Boyd
Head of Finance

For further information please contact **Laura Miller, Senior Manager (Audit, Fraud, Safety and Insurance)**, on **01294-324524**.

Background Papers

None.

COMMUNITY ALARMS

1 Background

- 1.1** Community alarms provide a monitoring system for individuals who, despite health issues, want to live independently in their own home.
- 1.2** The Council has a contract with Hanover (Scotland) Housing Association to provide an alarm monitoring and call receiving service. All alarm calls are routed to Hanover who then prioritise the calls and arrange the appropriate level of support. The Council's Care at Home Team form part of this support response.

2 Objectives and Scope

- 2.1** The objective of this audit was to ensure:-
 - Applications for alarms are being assessed and actioned timeously
 - Charges are being correctly calculated
 - Procedures are in place to monitor and control Council assets (alarms and associated equipment)
 - Monitoring of alarm alerts including response times, number of alerts per user is undertaken.

3 Findings

Applications

- 3.1** Hanover provides the Council with a monthly report of all new alarms that have been both approved and installed within that month.
- 3.2** Audit reviewed the April and May 2021 reports to assess the number of cases taking 7 or more days between approval and installation. Out of 162 installations included in these reports, only 3 had taken 7 days or more and 2 of these were due to requests being put in in advance of the user needing the service.

Calculation of Charges

- 3.3** A weekly flat rate charge is incurred by all alarm users, with users either receiving 4-weekly invoices, or paying via monthly Direct Debit.
- 3.4** Whilst the charge is a flat rate, there are several reasons why invoices may need to be varied or credit notes issued - such as a user starting or leaving the service part way through a billing period, or a user moving into sheltered housing.
- 3.5** Audit selected a sample of 8 transactions (both invoices and credit notes) where the charge was not in line with the flat rate amount and reviewed the calculation to ensure it was accurate.
- 3.6** Minor errors were noted in the calculation of 2 credit notes. HSCP immediately corrected these errors and passed the refund to the users.

- 3.7** Audit reviewed 8 credit notes (all of which were for > £100) which had been issued since April 21.
- 3.8** Errors were noted in 2 of the cases, which HSCP immediately corrected.
- 3.9** Audit selected a sample of 10 new users and reviewed their first invoice, to ensure it had been correctly calculated.
- 3.10** 1 error was noted, which HSCP immediately corrected.
- 3.11** A number of the above errors would have been detected if regular reviews of outstanding debts were being undertaken, however Audit recognises that demands on the workforce and the Council wide freeze on debt collection during the height of the pandemic has made debt recovery a lower priority.
- 3.12** The HSCP Finance Team had identified areas for improvement prior to the commencement of this Audit and have been working with the Business Improvement Team to improve processes.
- 3.13** Improvements currently being implemented include:-
- Daily monitoring of unpaid direct debits to allow staff to investigate timeously
 - the reinstatement of Installation and Confirmation of Direct Debit letters to service users which should ensure clarity around charges
 - the introduction of weekly and monthly checklists to ensure all key tasks are being undertaken
 - additional staff training
- 3.14** The above improvements should make the charging process much more efficient, minimise errors and highlight any potential debt risks timeously. **(action point a)**

Council Assets

- 3.15** The HSCP equipment store at Irvine is responsible for the purchasing and issuing of community alarms and equipment.
- 3.16** Discussions with the Equipment Store Manager confirmed that procedures exist for the issuing of alarms and the return of broken units to the supplier for recycling.
- 3.17** No further Audit testing was undertaken.

Monitoring of Alarms

- 3.18** Hanover provides the Council with monthly usage statistics, including information on:-
- how many calls have been received,
 - how many calls were made to the emergency services,
 - % of calls answered within 60 seconds and % answered within 180 seconds
 - Frequent caller information

- Number of fallers.

3.19 Care Managers use this information to identify service users who may be in need of additional support.

4 Internal Audit Opinion

4.1 Overall, substantial assurance was obtained with regard to the Council's handling of community alarms. Whilst errors were identified during detailed audit testing, the service is taking proactive steps to improve its processes to minimise future errors.

Definitions of Assurance Levels:

Substantial	The framework of governance, risk management and control is adequate and effective.
Reasonable	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.
Limited	There are significant weaknesses in the framework of governance, risk management and control such that it could be or could become inadequate and ineffective.
None	There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.

NB The level of assurance given is at the discretion of Internal Audit.

KEY FINDINGS AND ACTION PLAN COMMUNITY ALARMS

Action	a
Finding	A number of minor invoicing errors were identified during audit testing. Changes are currently being made to working practices to improve the finance side of the community alarm process.
Action Description	<p>The Service should monitor the effectiveness of the changes being currently implemented to ensure they are giving the intended results.</p> <p>If reductions in the number of errors and improvements in debt levels are not evident after a trial period, then a further review of the processes should be undertaken.</p>
Risk	Loss of income to the Council. Errors in charging lead to additional work to correct them and potential distress to vulnerable service users.
Priority (1, 2, 3)	2
Paragraph Reference	3.14
Managed by	Paul Doak, Head of Service (HSCP Finance and Transformation)
Assigned to	Eleanor Currie (Principal Manager HSCP Finance)
Due Date	30 September 2021
Management Comment	The performance of this area will be monitored via additional checks and controls which will be implemented including – checks within the Alarm spreadsheet to ensure billing types and information reconcile prior to processing to avoid further invoicing errors ; a daily review of returned direct debits to ensure all billing information remains up to date with a monthly overall review ; a quarterly review of any ongoing direct debit / payment issues with a cross reference to the Carefirst system to ensure status of SU is up to date (for example, admission to residential care ; death ; requests for removal of CA service). These checks and controls are in place from 1 September (to allow for training) and will be reviewed at end September by way of team meeting to discuss any issue encountered and quarterly thereafter.

Priority Key used in Action Plan

1 (High)	Control weakness where there is a material impact on the achievement of the control objectives, generally requiring prompt attention.
2 (Medium)	Control weakness which needs to be rectified, but where there is no material impact on the achievement of the control objectives.
3 (Low)	Minor weakness or points for improvement.

NORTH AYRSHIRE COUNCIL

16 November 2021

Audit and Scrutiny Committee

Title:	Internal Audit and Corporate Fraud Action Plans: Quarter 2 update
Purpose:	To advise the Audit and Scrutiny Committee on the progress made by Council Services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as at 30 September 2021.
Recommendation:	That the Committee (a) notes the current position with the implementation of Internal Audit and Corporate Fraud actions; and (b) challenges those Services that have not implemented actions within the previously agreed timescales.

1. Executive Summary

- 1.1 The CIPFA document 'Audit Committee Principles in Local Authorities in Scotland' highlights that Audit Committees should monitor and review the progress made in implementing audit recommendations.
- 1.2 Service managers are responsible for ensuring that agreed actions arising from Internal Audit and Corporate Fraud reviews are implemented. This provides assurance that identified control weaknesses have been addressed and are being managed effectively.
- 1.3 All actions are monitored on the Pentana system and service managers are responsible for updating Pentana as they progress each action. This enables Internal Audit to monitor progress on a 'real-time' basis and address any delays in implementation.
- 1.4 This report details the position at 30 September 2021.

2. Background

- 2.1 The last report to the Audit and Scrutiny Committee on 14 September 2021 highlighted that there were 27 actions outstanding at the end of June 2021: 5 that had not been started or were only partially implemented and 22 where the due date had not yet passed.
- 2.2 In addition to these 27 'carried forward' actions, there have been 18 new actions agreed, giving a total of 45 action points for review.

- 2.3 Services have completed 11 actions since the last report. All Council Services are required to retain evidence of work carried out in completing their actions and Internal Audit carries out 'spot-checks' on a sample of completed actions on an ongoing basis.
- 2.4 Of the remaining 34 actions, three were either not started or only partially complete at 30 September and the remaining 31 were not due for completion until after that date.
- 2.5 Appendix 1 to this report provides the Committee with full details of the three actions that were not complete within the agreed timescales.

3. Proposals

- 3.1 It is proposed that the Committee (a) notes the current position with the implementation of Internal Audit and Corporate Fraud actions; and (b) challenges those Services that have not implemented actions within the previously agreed timescales.

4. Implications/Socio-economic Duty

Financial

- 4.1 None.

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 The effective implementation of agreed Internal Audit and Corporate Fraud actions helps to support the efficient delivery of the strategic priorities within the Council Plan 2019-2024.

Community Wealth Building

- 4.7 None.

5. Consultation

- 5.1 Council Services are consulted during the completion of each Internal Audit and Corporate Fraud review and have also provided updates on progress made in implementing action points.

Mark Boyd
Head of Service (Finance)

For further information please contact **Laura Miller, Senior Manager (Audit, Fraud, Safety and Insurance)**, on **01294-324524**.

Background Papers

None.

Actions due by 30th September but not started or partially complete

Code	IA2019IJB001c	Description	HSCP Management should work with officers from East and South Ayrshire HSCPs to progress the risk sharing arrangements at the earliest opportunity.		
Priority	1	Latest Note	The Pan Ayrshire work on Directions, including lead partnership arrangements, was paused during the pandemic. This work was restarted in September but due further service pressures as a result of COVID, the work has paused again. The plans span 2021-22 with the lead partnership arrangements planned to now be bedded in by March 2022.		
Progress Bar	<div><div></div>20%</div>	Original Due Date	30-Sep-2019	Due Date	30-Sep-2021
Parent Code & Title	IA2019IJB001 IJB Lead Partnership Arrangements			Managed By	Caroline Cameron
				Assigned To	Caroline Cameron

Code	IA2020PA023g	Description	<p>Audit Action: Password controls should be amended to be in line with best practice guidance.</p> <p>Audit Finding: Password controls for network logons are weak and are not in line with best practice. There is no requirement to use a mix of special characters, numbers, uppercase, lowercase etc or to change the password periodically or get locked out after a specified number of failed login attempts.</p> <p>Risk: Increased vulnerability to hacking or other forms of cyber-attack, which could lead to data breach or inability to undertake duties.</p>		
Priority	1	Latest Note	The rollout is taking longer than anticipated due to configuration settings on teaching staffs network accounts. This was due to unforeseen configuration making the rollout extremely staggered. And therefore, we won't meet the completion date of the 30/09/21. The team are hoping that the rollout will be completed by December 31st.		
Progress Bar	<div><div>10%</div></div>	Original Due Date	30-Apr-2021	Due Date	27-Sep-2021
Parent Code & Title	IA2020PA023 Remote Access Controls around the Education Network			Managed By	Andrew McClelland; Brendan Quigley; Fiona Walker
				Assigned To	Rosslyn Lee; James McNeil

Code	IA2021PA020a	Description	<p>Audit Action: The Corporate Information Governance Group should review the privacy information produced for children and ensure that best practice is followed.</p> <p>Audit Finding: Survey respondents stated that no privacy information specifically for children has been produced. In discussion with the Information Management Officer, it seems likely that some individual establishments and teams have produced such information, but that officers completing the survey were unaware of this.</p> <p>Risk: Children and young people do not receive appropriate information to make them aware of how their information is handled by the Council, leading to a potential breach of the GDPR. Information given to children and young people is inconsistent or not appropriately worded. Officer time is spent producing such information when examples of good practice already exist.</p>		
Priority	2	Latest Note	<p>The outstanding work required to complete this action is:</p> <ul style="list-style-type: none"> - Create a Privacy Notice specific for children and publish on Council website - Develop a tailored DPIA process specific for processing of children's data <p>Estimated date of completion - 17th November 2021</p>		
Progress Bar	<div><div>95%</div></div>	Original Due Date	31-Aug-2021	Due Date	31-Aug-2021
Parent Code & Title	IA2021PA020 Information Governance & Data Protection			Managed By	Aileen Craig
				Assigned To	Kirsty Hamilton; Lauren Lewis

NORTH AYRSHIRE COUNCIL

16 November 2021

Audit and Scrutiny Committee

Title:	Internal Audit Plan 2021/22: Mid-year update
Purpose:	To provide an update at as 30 September 2021 on progress made in delivering the 2021/22 Internal Audit Plan.
Recommendation:	That the Committee (a) notes the mid-year position and (b) approves the deferral of seven audits for consideration as part of the 2022/23 internal audit plan.

1. Executive Summary

- 1.1 The current Internal Audit Plan, covering the period February 2021 to March 2022, was approved by the Audit and Scrutiny Committee in January 2021. The plan sets out the areas of work which Internal Audit intends to cover during the 14-month period.
- 1.2 This report updates the Committee on the position at 30 September 2021. It is good practice to regularly reassess the internal audit plan, and a number of amendments made as explained within this report and Appendix 1.

2. Background

- 2.1 Appendix 1 to this report is the approved audit plan for 2021/2022. For each audit, additional information has been provided to show the actual activity to 30 September and for completed audits, dates when the final report was published and reported to the Audit and Scrutiny Committee.
- 2.2 Thirteen reports have been published during the first half of 2020/2021; eight of these were from the 2020/21 plan and the remaining five have been completed from the current plan. All work relating to 2020/21 is now concluded.
- 2.3 In line with good practice, the plan has been reviewed at the mid-point and a number of changes are proposed for various reasons – reduction in the number of available audit days mainly as a result of a gap in resourcing, and continuing to avoid some audits which require physical site visits at the present time.
- 2.4 With Committee approval, the following audits will be deferred for consideration as part of the 2022/23 plan:

- Museums and Heritage;
- Agency staff and workers;
- Transport – Journeys and Hires;
- Building Services – Procurement;
- Facilities Management – Procurement;
- Workforce Planning; and
- Social care establishments.

3. Proposals

- 3.1 It is proposed that Committee (a) notes the mid-year position and (b) approves the deferral of seven audits for consideration as part of the 2022/23 plan.

4. Implications/Socio-economic Duty

Financial

- 4.1 None.

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 The work of Internal Audit helps to support the efficient delivery of the strategic priorities within the Council Plan 2019-2024.

Community Wealth Building

- 4.7 None.

5. Consultation

- 5.1 The relevant Services are consulted on Internal Audit findings during each audit assignment. No additional consultation has been required in the preparation of this report.

Mark Boyd
Head of Finance

For further information please contact **Laura Miller, Senior Manager (Audit, Fraud, Safety and Insurance)**, on **01294-324524**.

Background Papers
None

NORTH AYRSHIRE COUNCIL
INTERNAL AUDIT PLAN 2021-2022

PROGRESS REPORT at Quarter 2

PRODUCTIVE TIME - AUDIT PLAN

Key Corporate Systems	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Procurement and Accounts Payable	Review a range of controls relating to Procurement and Accounts Payable.	15	0	23	Planned Q4 (including follow up of Pcard audit 2020/21)		
VAT	Carry out a review of the Council's VAT arrangements.	15	0	15	Planned Q4		
General Ledger system	Review controls in the Integra GL system.	15	0	15	Planned Q3		
TOTAL AUDIT DAYS		45	0	53			

Other Systems	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Revenues and Benefits	Review a range of controls within Revenues and Benefits processes.	15	15	15	Fieldwork ongoing		
Museums and Heritage	Review the effectiveness of a range of controls within the Museums and Heritage service.	15	0	0	Defer		
Procurement of Educational supplies	Review controls around procurement within Education.	15	30	30	Fieldwork ongoing		
Agency staff and workers	Examine the Council's use of agency staff and workers.	15	0	0	Defer		
Social Media	Review the use of Social Media by the Council.	15	5	15	Fieldwork ongoing		
CM2000 system	Audit system controls in the CM2000 care management system used by HSCP	20	0	20	Planned Q4		
Care Home Admissions Process	Review the care home admissions process.	20	4	15	Fieldwork ongoing		
Community Alarms	Examine controls in relation to the Community Alarms service provided by the Health and Social Care Partnership.	15	16	16	Complete	08/09/2021	16/11/2021
Sustainability payments to care providers	Provide assurance on the sustainability payments made to care providers by the Health and Social Care Partnership.	15	18	18	Complete	19/08/2021	14/09/2021
Integration Joint Board audit days	Carry out audit work as agreed by the Performance and Audit Committee of the Integration Joint Board.	15	0	15	Planned Q4		
Transport - Journeys and Hires	Review controls in the Transport Hub in relation to transportation, with a particular focus on the use of taxis.	15	0	0	Defer		
Waste - Recycling and Landfill	Examine controls in relation to recycling and landfill.	15	16	16	Complete	05/08/2021	14/09/2021
Contracts							
Funding support to businesses including external compliance	Consider the controls around the provision of funding support to local businesses.	20	0	20	Planned Q3		
Building Services - procurement (inc. sub-contracts and materials)	Review controls around procurement within Building Services.	15	0	0	Defer		
Facilities Management - Overtime controls	Carry out a detailed review of controls around the authorisation and payment of overtime across Facilities Management.	15	14	15	Fieldwork ongoing		
Facilities Management - Procurement	Review controls around procurement within Facilities Management.	15	0	0	Defer		
PMI - CCTV in Council Buildings and Vehicles	Review the controls around the use of CCTV in Council vehicles and buildings.	20	19	20	Fieldwork ongoing		
PMI - HRA Planned maintenance and reactive repairs	Consider the controls around the programme of planned maintenance and reactive repairs in the Housing Revenue Account.	15	20	20	Complete	07/05/2021	01/06/2021
TOTAL AUDIT DAYS		290	157	235			

ICT Auditing	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Network Controls	Review a range of controls within the Corporate network.	20	0	20	Rescheduled to Q3		
Cyber resilience	Review the Council's response to the threat of cyber attack, which has been identified as a key strategic risk to the organisation.	15	3	15	Fieldwork ongoing		
TOTAL AUDIT DAYS		35	3	35			

Governance	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Employee Services - Temporary Posts and Contracts	Examine controls around the use of temporary posts and temporary contracts across the Council	15	18	18	Complete	12/07/2021	14/09/2021
Leavers and Movers processes	Review the controls around employees who move job within the Council, with a particular focus on access to personal and sensitive information.	20	0	20	Rescheduled to Q3		
HR - Workforce Planning (inc. VER/VR schemes)	Review the Council's workforce planning arrangements.	15	0	0	Defer		
Ayrshire Growth Deal	Review the governance arrangements in North Ayrshire Council in relation to the Ayrshire Growth Deal.	20	2	15	Rescheduled to Q3		
TOTAL AUDIT DAYS		70	20	53			

Performance Monitoring	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Performance Indicators	Provide assurance on the robustness and accuracy of a sample of performance information.	20	0	15	Rescheduled to Q3		
TOTAL AUDIT DAYS		20	0	15			

Regularity Audits	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Accounts Payable transaction testing	Use computer audit software to interrogate the Accounts Payable system and examine any anomalies which arise.	15	6	12	Fieldwork ongoing		
Payroll transaction testing	Use computer audit software to interrogate the HR/Payroll system and examine any anomalies which arise.	15	10	10	Draft report with Service		
Secondary Schools	Review financial controls within the Council's secondary schools using self-assessment audit questionnaires and investigate any concerns which arise.	30	0	15	Planned Q4		
Social Care establishments	Review financial and other controls within a range of operational establishments managed by the Health and Social Care Partnership.	20	0	0	Defer		
TOTAL AUDIT DAYS		80	16	37			

Following the Public Pound	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Community Councils	Annual audit of Community Councils accounts' to ensure Council funding is used in accordance with the Council's Scheme of Administration.	10	10	15	As required	n/a	n/a
Tenants and Residents Associations	Annual audit of the accounts of various Tenants and Residents Associations.	2	0	2	As required	n/a	n/a
TOTAL AUDIT DAYS		12	10	17			

Other Work	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21
Prior year audit work	Completing audits from the previous year's audit plan that were not fully complete by the end of March 2021 or starting audits early from the 2021/22 audit plan.	20	66	66	Complete
Audit consultancy: ad-hoc advice	Providing advice to council services in response to ad-hoc queries	10	10	10	As required
Audit consultancy: project work	Participating in project work to support developments in other council services.	25	12	25	As required
Follow-up	Follow up of previous audit reports to ensure that appropriate action has been taken.	15	5	10	As required
Audit planning and monitoring	Preparing audit plans and monitoring progress and performance against plans.	20	13	20	As required
Audit and Scrutiny Committee	Supporting the Council's Audit and Scrutiny Committee by preparing reports, attending meetings and delivering training for elected members as required.	25	18	25	As required
Governance documents	Review of governance documents	2	1	2	As required
Development of the Audit service	Carry out developmental work to further enhance the efficiency of the audit section.	5	5	5	As required
Internal Audit self-assessment against PSIAS	Undertake a quality assurance programme for Internal Audit in line with the requirements of the Public Sector Internal Audit Standards (PSIAS).	2	2	2	As required
Internal Audit EQA (assess or being assessed)	Participate in the Scottish Local Authorities Chief Internal Auditors Group (SLACIAG) review network for the external quality assessment programme.	10	1	10	Planned for Q3
Grant claims	Certification of expenditure funded by specific grants from external funding bodies	2	0	2	As required
Annual Accounts	Work in relation to the Council's annual accounts, including stock counts, reviewing imprests and preparing the Annual Governance Statement.	2	3	2	As required
TOTAL AUDIT DAYS		138	136	179	

TOTAL	PRODUCTIVE TIME - AUDIT PLAN	690	342	624
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PRODUCTIVE TIME - CONTINGENCIES AND INVESTIGATIONS

Special Investigations	Audit Objective	Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days	Current Progress @ 30/09/21	Final Report issued	Report to Audit and Scrutiny
Payroll overpayments	Small investigations relating to payroll overpayments reported to Internal Audit by Payroll		0		As required		
Community Association (C&E)	Review the accounts of a Community Association		6		Complete - no output		
TOTAL		20	6	20			

NON-PRODUCTIVE TIME

		Original Planned Audit Days	Actual Days @ 30/09/21	Proposed Revised Audit Days
Management		20	10	20
Administration		29	25	39
Meetings		38	29	49
Training		18	19	28
TOTAL		105	83	136
TOTAL DAYS		815	431	780

	ANNUAL BUDGET			ACTUAL to 30/09/21
	ORIGINAL	REVISED	%	
PRODUCTIVE DAYS	710	644	83%	348 81%
NON-PRODUCTIVE DAYS	105	136	17%	83 19%
TOTAL DAYS	815	780	100.0%	431 100.0%

16 November 2021**Audit and Scrutiny Committee**

Title:	Corporate Fraud Team update report
Purpose:	To provide the Audit and Scrutiny Committee with an update report on the work of the Corporate Fraud Team between April and September 2021.
Recommendation:	That the Committee notes the work carried out by the Corporate Fraud Team.

1. Executive Summary

- 1.1 The Corporate Fraud Team provides the Council with the capacity to investigate fraud both within and against the organisation.
- 1.2 Committee normally receives bi-annual updates on the work of the team. This report provides an overview of the activity of the team between April and September 2021.

2. BackgroundInvestigation Work

- 2.1 Referrals for investigation have been made to the team from a number of different sources, including Revenues and Benefits and Housing, members of the public and other agencies and local authorities. The publicity used by the team, including posters and leaflets, advertising on Council vans and contact information on the Council website, continues to be successful in generating a stream of referrals.
- 2.2 Investigations have been carried out across a range of areas including employee-related matters as well as Council Tax, Discretionary Housing Payments, Scottish Welfare Fund, Blue Badges and Housing tenancy issues. Although responsibility for investigating Housing Benefit fraud now lies with the DWP Single Fraud Investigation Service (SFIS), issues may be identified by the Corporate Fraud Team which can result in changes being made to benefits in payment. Joint working with the DWP paused during the COVID-19 pandemic, however DWP have intimated that they will shortly be looking to recommence this work. This formal joint working arrangement is in place for cases where there are suspected frauds relating to both DWP benefits and Council Tax Reduction.
- 2.3 Employee-related investigations are the subject of a separate report to the appropriate Service and the findings are also reported to the Audit and Scrutiny Committee.

2021-22 (first half-year)

- 2.4 169 referrals were received during the first 6 months of 2021-22. This is an increase from prior year which was more significantly impacted by the COVID-19 pandemic, however has not yet returned to pre-COVID levels. During the period, 144 referrals were closed and these can be categorised as follows:

Category	Number of Cases
Closed with no issues identified	66
Referred to another agency (including SFIS) or Council service for investigation	41
Closed with results achieved	37
TOTAL	144

- 2.5 Fraud and error totalling £0.082m were identified and are shown in the table below:

Category	Value (£000)
Housing Benefit	12
Council Tax (including Council Tax Reduction, Single Person Discount, empty properties and recovery of arrears)	29
Housing Other	19
COVID-19 grants	16
Other	6
TOTAL	82

- 2.5 In addition to the financial outcomes noted above, other outcomes/benefits were noted as follows:

- ten tenancies were recovered by Housing with some assistance from the Corporate Fraud team;
- two warning letters were issued for blue badge misuse; and
- one case was referred to the Crown Office and Procurator Fiscal Service (COPFS) for prosecution.

Other work

- 2.6 Two data matching exercises are currently underway using data from the council tax and payroll systems, the aim of which is to identify any anomalies in the council tax accounts of council employees. The full results of these exercises will be reported to a future meeting of the Audit and Scrutiny Committee. To date there are four cases of arrears where recovery has commenced (£0.004m) and three cases with single person's discount anomalies (£0.005m).
- 2.7 Potential data matches from the biennial National Fraud Initiative (NFI) exercise were received from the Cabinet Office in various releases between February and September 2021. These matches are in the process of being reviewed, and the results of these investigations will be reported to a future meeting of the Audit and Scrutiny Committee.
- 2.8 International Fraud Awareness Week takes place from 14 – 20 November 2021. Consideration is being given around how to promote fraud awareness locally during that period, with an increased visibility on social media.

3. Proposals

3.1 It is proposed that the Committee notes the work carried out by the Corporate Fraud Team.

4. Implications/Socio-economic Duty

Financial

4.1 None.

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 The work of the Corporate Fraud Team helps to support the efficient delivery of the strategic priorities within the Council Plan 2019-2024.

Community Wealth Building

4.7 None.

5. Consultation

5.1 No consultation has been required in the preparation of this report.

Mark Boyd
Head of Finance

For further information please contact **Laura Miller, Senior Manager (Audit, Fraud, Safety and Insurance)**, on **01294-324524**.

Background Papers

None.

