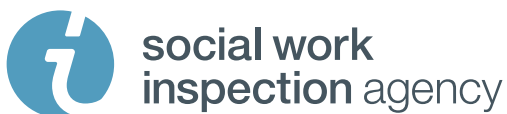


Shared risk assessment: Assurance and improvement plan 2010–13

East Dunbartonshire Council



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1. Introduction

The Assurance and Improvement Plan

1. This Assurance and Improvement Plan (AIP) is the product of a collaborative approach adopted by the following scrutiny bodies operating in East Dunbartonshire Council:
 - Audit Scotland
 - Care Commission
 - HM Inspectorate of Education (HMIE)
 - Scottish Housing Regulator (SHR)
 - Social Work Inspection Agency (SWIA)
 - KPMG, local appointed auditors.
2. The AIP sets out the planned scrutiny activity for East Dunbartonshire Council for the period April 2010 to March 2013 based on our scrutiny risk assessment of the council. The scrutiny activity is proportionate to the assessed scrutiny risks.

Why have we prepared this AIP?

3. The overall objectives of this collaborative approach are to maximise the efficiency and effectiveness of scrutiny work and minimise the impact of scrutiny activity on the council. This will be achieved by:
 - Jointly identifying and monitoring key scrutiny risks through the sharing of intelligence and information.
 - Coordinating the timing and approach of our audit, inspection, regulation and improvement support activity.
 - Drawing on, and taking account of each other's work to avoid duplication of effort.
 - Building on each other's work to maximise its value.
4. The AIP draws on a number of sources of information, including:
 - the audit of Best Value and Community Planning in East Dunbartonshire Council
 - the annual audit report to the Controller of Audit and elected members for 2008/09
 - the council's own website, self evaluation and supporting evidence
 - the council's own customer survey, carried out by independent consultants in 2008
 - reports and data from HMIE, SWIA, SHR and the Care Commission (including published inspection reports and other supporting evidence).

What do we mean by a scrutiny risk?

5. All local government scrutiny bodies have agreed the definition of shared risk assessment as:

'A joint approach using key information about local government to plan scrutiny activity that is proportionate and based on risk'

6. When we determine 'risk' we mean risk that will trigger scrutiny work and not inherent risk for example as in the risk of harm to an individual. We define risk as:

- Red, where there are significant concerns which would indicate that we would need to undertake some scrutiny activity in order to provide public assurance.
- Amber, where there are areas of uncertainty or gaps in the information available to us to determine whether or not we need to undertake some scrutiny activity.
- Green, where we have no significant concerns.

7. We recognise that risk levels will change as significant events occur and as councils take action to address identified risks. Scrutiny bodies, through local area network (LAN) contacts, will maintain awareness of activity, including unit level inspection. As new information comes to light the LAN lead, in consultation with other LAN members will update the AIP as appropriate. LAN members will draw any significant matters to the attention of the LAN lead as they arise. The LAN lead will determine what action should be taken in terms of initiating contact with other LAN members.

8. The council is expected to initiate contact with the LAN lead where significant events occur that are likely to influence scrutiny activity. Councils are encouraged to maintain contact with LAN leads to discuss any concerns arising from the AIP or any joint scrutiny activity.

What does proportionate scrutiny mean?

9. When considering the appropriate level of scrutiny activity for each council we consider the following points to ensure that it is proportionate:

- Is scrutiny activity the best driver for improvement?
- If so, how can we tailor that activity to the areas where it will have the most impact?
- How can we tailor that activity in terms of its frequency, intensity and scope?
- What is the minimum level of scrutiny required to provide assurance to the public?
- How can we work together to minimise the impact of the scrutiny activity on the council?

10. The overall objectives of this collaborative approach are to maximise the efficiency and effectiveness of scrutiny work and minimise the impact of scrutiny activity on the council. This will be achieved by:
- Coordinating the timing and approach of our risk assessment work.
 - Helping to identify and monitor key risks through the sharing of intelligence and information.
 - Building on each other's work to maximise its value.
 - Drawing on, and taking account of each other's work.
 - Avoiding duplication of effort.

Baseline scrutiny activity

11. The focus of the AIP is strategic scrutiny activity, that is scrutiny activity which is focused at corporate or whole service level, but there will also be baseline scrutiny activity at unit level ongoing throughout the period of the AIP. This will include, for example, school and residential home inspections. Scrutiny bodies also reserve the right to make unannounced scrutiny visits. These will generally be made in relation to care services for vulnerable client groups. The annual audit of local government also comprises part of the baseline activity for all councils and this includes work necessary to complete the audit of housing benefit and council tax benefit arrangements. In addition, other work may be undertaken as a result of a specific Ministerial request.

2. Summary

Our overall assessment for East Dunbartonshire Council is that there are no areas of significant scrutiny risk. The council and its partners have recently revised the strategic local outcomes within the SOA to more effectively reflect the changing economic and social environment. As a result, limited information is available for some outcomes which has created some areas of uncertainty. The council is implementing a new Strategic Operating Model (SOM), aimed at delivering service improvements and efficiency savings. The delivery of the SOM is critical to the council's ability to respond to severe financial pressures and the future sustainability of services. The external auditor will monitor the implementation of the SOM and inspection agencies will monitor its impact in terms of services through scheduled inspection work and this will inform our future shared risk assessments. We have provisionally scheduled a review of the SOM implementation for year two of the AIP.

The shared risk assessment has also identified some gaps in performance information, particularly in relation to outcomes. The LAN will engage with the council to understand its plans in relation to reporting performance on outcome areas and areas where performance needs to improve.

12. The council and its partners have a clear vision and articulated priorities which reflect the context of the area. The council recognises the need to better reflect the needs of older people in the priorities, particularly given the significantly ageing projected demographics for the area.
13. There is limited information illustrating the progress with some of the priority outcome areas, in particular those relating to improving health and wellbeing and sustainable and attractive communities. There are also service areas where progress with performance is not clear, needs to improve, or requires particular monitoring over and above ongoing operational scrutiny, for example the performance of planning services. Further information on progress in these areas will be sought from East Dunbartonshire Council in the first half of 2010/11. In February 2010, the council agreed a new Strategic Planning and Improvement Framework which should provide a better foundation for monitoring progress on outcomes and focusing improvement activity.
14. In terms of the corporate assessment, no specific areas were identified as having significant risk requiring specific scrutiny work. However the new Strategic Operating Model (SOM) is in the first year of three year implementation programme. It is therefore not yet clear how effective it will be in providing a strategic framework for delivering best value. The council has significant financial pressures to address and the SOM is central to delivering efficiency savings and service improvements. The council's progress on implementing the SOM will therefore be closely monitored by the external auditors and the impact on services will be monitored by LAN members through ongoing inspection and engagement by district inspectors.
15. Overall, the national risk priorities, relating to the welfare and protection of vulnerable, the use of public money and the impact of greater financial pressures, do not represent significant scrutiny risks in East Dunbartonshire Council. However, the council does face some significant risks in relation to its financial position, partly due to an outstanding debt of £16.9m. The external auditor will be monitoring the position very closely as part of their of their routine annual audit work

16. No other areas were identified as risks which required specific additional audit or inspection work. The LAN will monitor performance through scheduled operational audit and inspection work to inform the next risk assessment.

3. The council's context

The area

17. East Dunbartonshire is the sixth smallest local authority area in Scotland [77 square miles], with the 13th lowest population level [104,850] but the seventh highest population density. There are five major towns in East Dunbartonshire – Bearsden (population 27,460), Bishopbriggs (23,080), Kirkintilloch (19,660), Milngavie (12,820) and Lenzie (8,770).
18. East Dunbartonshire is an area of low levels of deprivation, relatively low unemployment, low crime and the population is well educated. Life expectancy rates for men and women are well above the national average.
19. There are significant challenges in sustaining communities and providing services given the declining and ageing population. Between 2001- 07 there was a decline of 3 per cent in the population. The number of children has fallen by 2 per cent during this period and the number of young adults (16-44) by over 6,000. In contrast, the number of middle aged adults and older people has risen collectively by over 5,400. Population projections by the Registrar General for Scotland suggest these trends will continue and that the population of East Dunbartonshire will decline by around 16,000 over the next twenty five years. The number of school age children is expected to fall by a quarter during this period, whilst those aged seventy five and over are expected to rise by over a third.
20. A large proportion of the East Dunbartonshire workforce commutes to work in Glasgow. The area has a limited business base of its own. There are 25 businesses for every 1,000 residents, compared to a UK average of 40. The majority of firms are small enterprises employing less than 50 people. East Dunbartonshire Council is the largest employer in the area with around 5,000 staff.

The council

21. At the 2007 local government election, the Scottish Liberal Democrats lost control of the council and the administration is a minority Labour/Conservative coalition. The political make-up is Scottish National Party eight, Labour six, Conservative four, Liberal Democrats four and two members of the East Dunbartonshire Independent Alliance. The council has a gross annual expenditure of approximately £237 million.
22. The political decision-making structure was refreshed in June 2009 and includes a policy and resources committee together with four service committees: development and infrastructure committee; housing and community services committee; education committee; and social work services committee. The council agreed in October 2009 that scrutiny panels, aligned to the work of the three directorates, replace policy and performance panels. There are also two regulatory boards.

23. The council's management structure is streamlined. The chief executive leads a small CMT of three directors. The Strategic Management Team comprises the Chief Executive, the CMT and ten heads of service. The council are currently implementing a significant council wide restructuring programme referred to as the Strategic Operating Model.

Self-evaluation

24. East Dunbartonshire has had a Corporate Improvement Plan in place since December 2007. This has been supported by arrangements for service level reviews. The 2009 Best Value report noted that 'the council is committed to improving services and there is a lot of improvement activity within the directorates. The systems to support the directorates to improve are generally sound, but the council needs to consolidate, coordinate and prioritise its existing improvement activity at a corporate level. This would improve the council's ability to target improvement activity where it is most needed and demonstrate continuous improvement'. The council has recently developed three year Business and Improvement Plans supported by self evaluation performance reports, which set out improvement priorities across all ten services. The aim of these arrangements is to improve the council's ability to target improvement activity where it is most needed and demonstrate continuous improvement.
25. East Dunbartonshire Council is implementing a new Strategic Operating Model (SOM). The objectives of the first phase of the SOM were to introduce a 'revised senior management organisational structure to support the achievement of key corporate objectives in accordance with the Council's Single Outcome Agreement'. The council carried out a detailed review of the way in which it conducts its business, delivers services to its customers and is structured. In February 2009 the council agreed to a revised organisational structure down to 3rd tier manager level.
26. The second phase of the SOM implementation has involved the consideration of the remainder of the organisation. The council reports that the process has involved workshops and reviews to identify more efficient, effective, customer focused and competitive services, aligned to priorities. To implement this programme of change the council established a detailed methodology for undertaking review work and a 'principles of change strategy'. The council is currently going through a transitional process, with a view to implementing the revised structural changes from April 2010.
27. In February 2010, the council agreed a new Strategic Planning and Improvement Framework, which sets out a clear approach to self evaluation, corporate planning and performance management. It is too early to assess the effectiveness of this framework. While the council does not have a formal, council wide approach to self evaluation, they have a good track record of undertaking review activity and demonstrate a good level of self awareness. The LAN will work with the council in 2010/11 to review the implementation of the SPIF.

4. Delivering outcomes for communities

The council's priorities clearly reflect the context and challenges of the area. The available information shows generally positive progress on delivering the priorities. However, a large proportion of outcome indicators has changed or lack data and this has resulted in some areas of uncertainty.

Strategic priorities

28. The council's priorities clearly reflect the context and challenges of the area, In October 2009, the council agreed the consolidation of strategic local outcomes prioritised for delivery through the SOA.
29. The council and its partners have worked together to establish a clear vision for the area. The initial SOA was developed with partners and translated the vision into core thematic areas which underpin community planning arrangements :
 - Safer communities
 - Enhancing learning and enterprise
 - Sustainable and attractive communities
 - Improving health and wellbeing
 - Delivering for children and young people.
30. These themes are reflected in the councils Corporate Development Plan, along with an additional theme of Investing in Improvement. The primary issues driving the council and its partners are the development of sustainable communities, supporting an ageing population, taking steps to address the declining population, improving the pockets of deprivation and continuing to regenerate its town centres. The council and partners are aware that the supply of affordable housing and support services for adults and older people are significant issues affecting the area and feature strongly in the SOA. During 2008, the Community Planning Partnership reconfigured the themed partnerships to reflect these priorities.
31. In assessing whether East Dunbartonshire Council is delivering outcomes for its communities, we considered relevant performance measures from a number of key sources including: single outcome agreement (SOA) performance reports, statutory performance indicators (SPIs), key performance indicators and other inspection/ audit reports. The detail of our evaluation is contained in Appendix 1.
32. In the council and partnership's 2009 SOA progress report, of the 79 outcome indicators, 24 showed a positive direction of travel, nine showed a negative direction of travel. The better areas of performance include delivering for children and young people.

33. The council and its partners have reviewed and updated the indicators reported in the initial SOA with 17 indicators either deleted or amended and nine new indicators inserted. The new measures will provide a more effective review of outcome delivery. However, at present, the available information to illustrate progressing delivering outcomes under a number of priorities is limited. Further information will be sought by the LAN in the first half of 2010/11 in order to better inform a future SRA.

Delivering for children and young people

34. Overall the council is providing effective services for children and young people and we assessed this area as having no significant risks.
35. Schools in East Dunbartonshire are among the highest performing nationally. Educational attainment in secondary schools has been maintained at very high levels overall and improved in a number of respects. School leaver destinations are positive overall, with the proportion progressing to higher education well above the national average, fewer than the national average go into further education but the proportions of those going to other positive destinations were generally in line with national levels.
36. Both the Care Commission and SWIA report overall good services for looked after children and for children requiring social services. The council have been responsive to areas for improvement.
37. A recent joint inspection report described child protection arrangements positively overall but with areas for improvement. These primarily related to improving integrated working between the key agencies and delays in finding permanent new families for children.
38. Good partnership working is a feature of this priority area with good operational examples, for instance, families have received high quality support from education services through the positive parenting programme ("triple P"). This initiative is one of a number of productive programmes aimed at improving children's life chances through early intervention.

Enhancing learning and enterprise

39. A number of the outcome indicators related to this priority have been amended or deleted which makes an overall assessment of performance and of the direction of travel difficult to make. However with the information available indications are that progress is relatively positive in relation to education and learning. Given the limited pockets of deprivation in the area and relative affluence, despite the lack of data this priority area is not viewed as a high risk.

Improving health and wellbeing

40. A significant proportion of the outcome indicators relating to this priority lack data or have changed, this makes an overall risk assessment difficult. We have therefore assessed this as an area of uncertainty. The indications are that the council and partners have been responsive to areas

identified for improvement but that progress with the redesign of and development of services for older people is not clear.

41. Given the significant implications of this priority area for the community, particularly with the ageing population, the LAN will seek further information from the council in the first half of 2010/11 to inform a future SRA.
42. SWIA's 2008 inspection report noted that the 'Delivering for Children and Young People' themed partnership gave child care a higher corporate profile and generated more strategic partnership working than was evident in community care. East Dunbartonshire established a Community Care and Health themed partnership in 2009. There have been other important developments since the SWIA inspection, for example the council has been working with the Scottish Government Joint Improvement Team (JIT) to develop and re-design services for older people. Some gains have been made in relation to redressing the balance of care in favour of support in the home, but this was from a low base-line. In 2009 the Kirkintilloch Integrated Care Centre opened, a positive advance on past arrangements, not least because the facility enabled the sharing of electronically held information between health and social work services.

Sustainable and attractive communities

43. Performance in this priority area overall shows some progress. However there are areas for improvement and a number of areas where progress on outcomes is unclear due to a lack of information and changes to outcome measures. We have therefore assessed this as an area of uncertainty.
44. The council is making progress in terms of waste recycling and reducing landfill and has invested in its infrastructure to improve sustainability. The council is also demonstrating positive performance in terms of homelessness and fair performance on improving access to housing. Areas of improvement include access to employment opportunities and performance in Community Learning and Development. The LAN will seek further information from the council early in 2010 to inform a future SRA.

Safer communities

45. The available data shows positive performance in this priority area and we assessed this area as having no significant risks. The area benefits from low crime rates and shows improvement in relation to reducing fires, crimes of dishonesty, vehicle crime and bogus caller incidents.
46. The 2009 child protection inspection was generally positive but highlighted the need for improvements to police approaches relating to children affected by domestic abuse.

Investing in improvement

47. The council is implementing a new Strategic Operating Model (SOM) to improve customer service and efficiency. The implementation has been carried out in a robust and inclusive way and has focused on customer service and efficiency. It is clear that the council has invested in improvement; however the impact of this is not yet clear. We have therefore assessed this as an area of uncertainty. This transformation programme is central to the council's future direction and ability to manage a difficult financial outlook. The impact of the changes are not yet known and the programme will require resources to fund early retirement packages and the council has identified options to fund the cost of change employee release packages.

Services

48. There is a range of performance between services within the council and the detail of our evaluation is contained in Appendix 1.
49. Services considered as having few significant risks include Education, Social Work and Housing. Where there are areas identified for improvement or where further information is required, this will be considered as part of planned/ ongoing audit and scrutiny activity. Other services demonstrate a mixed picture of performance but are also not viewed as significant areas of scrutiny risk which require specific audit or inspection work. The LAN will seek further information from the council on how it is addressing areas of poorer performance in the first half of 2010.

Education

50. The council has a strong record of improvement in education. We have therefore assessed this area as having no significant scrutiny risks.
51. Attainment levels remain high and are improving. Customer satisfaction with schools is high and improving over time. HMIE report that the overall quality of pre-school provision is very good and primary and secondary school performance is good overall.

Social Work

52. Performance in social work services is sound overall. We have therefore assessed this area as having no significant scrutiny risks.
53. SWIA carried out a performance inspection in 2008 and reported good performance overall. The follow-up to this inspection indicated that satisfactory progress had been made on the whole regarding improvements based on the recommendations, as well as a step change in the prioritisation of performance management. There were outstanding concerns about delays in providing some community care services, but SWIA noted that social work services were introducing systems and standards to improve on this.

54. Customer satisfaction has risen between 2006 and 2008. There has been a significant improvement in performance overall from a low base in 2000. SPI performance is good and shows an improving trend across the service. Customer satisfaction on social work services is improving and procedures for responding to and reporting on complaints had been refreshed in 2009.
55. The service faces significant budget pressures. These primarily are a result of an increased demand for secure residential childcare costs and increased personal care allowances, both of which the council has found challenging to deliver within the identified budget for the services. East Dunbartonshire also faces challenges in expenditure on services for older people to address increasing demand for older people with complex/ chronic health and social care needs.

Housing

56. Housing services perform well overall, and we have therefore assessed this area as having no significant scrutiny risks. A recent SHR inspection found strengths in housing management and services to homeless people, but with scope for improvement in asset management and repairs.
57. Customer satisfaction has risen between 2006 and 2008. Seven of 10 SPIs were in the top two quartiles in 2008/09.
58. Tackling affordable housing continues to be a significant challenge for the council.

Planning services

59. The 2009 Best Value Audit report highlighted that performance in planning services needed to improve and that customer satisfaction was low. The council has reported that there has been significant improvement in performance and customer satisfaction more recently.
60. The processing of planning applications is showing improvement but was well below the Scottish average for householder applications, placing the council in the fourth quartile for 2008/09. For non-householder applications, however, the council is placed second of the 32 authorities and has shown improvement in the past year.
61. We have assessed this as an area of significant risk and will seek further information and evidence from the council in 2010/11 on how effectively it has sustained the improved performance. If good performance improvement is not sustained, we would propose to undertake a specific piece of scrutiny work to look at the issues in more detail.

National risk priorities

62. A number of core national risk priorities will be applied to all 32 councils. These are:
 - The protection and welfare of vulnerable people, including access to opportunities, which is encapsulated in the council's defined outcomes. Both the Care Commission and SWIA report overall good services for looked after children and for children requiring social services and that the council

have been responsive to areas for improvement. A recent joint inspection report described child protection arrangements positively overall but identified some areas for improvement. The council recognises that the demand for care services for older people presents a challenge, given the ageing population.

- Assuring public money is being used properly. The council's resource management arrangements are broadly sound and the implementation of the SOM involves rigorous review of costs and savings to be made. KPMG will assess the impact of the SOM implementation as part of the annual audit activity.
 - The impact of the greater financial pressure faced by councils associated the current economic climate. The council has developed a medium term finance and resources strategy to address the current economic climate and other financial pressures. The council is heavily dependant on the successful implementation of the SOM to achieve the savings it needs. KPMG will assess this as part of the annual audit process.
63. Overall, the national risk priorities do not represent significant scrutiny risks in East Dunbartonshire Council. However, the council does face some significant risks in relation to its financial position, partly due to an outstanding debt of £16.9m. The external auditor will be monitoring the position very closely as part of their routine annual audit work.

Implications for scrutiny activity

64. On the basis of the LAN's risk assessment none of the council's priorities have been identified as areas of significant risk.
65. SWIA has been meeting with social work managers on a quarterly basis to follow up progress on the performance inspection recommendations. This liaison will continue, with increased focus on supporting self-evaluation and self-improvement activity. SWIA will carry out an Initial Scrutiny Level Assessment (ISLA) in the third quarter of 2010/11 and the results of this will feed into future shared risk assessments.
66. HMIE's District Inspector meets with senior officers in education on a regular basis. These meetings focus on improvement and quality of provision in all sectors of education. This liaison will continue with a particular focus on how HMIE can help the council to improve further its arrangements for self-evaluation and quality assurance.
67. Where data and information relating to priorities has been insufficient to provide a clear picture for a risk assessment, further information will be sought by the Local Area Network to clarify performance and progress in these areas. The LAN will continue to collate information and monitor progress on outcomes through scheduled audit and inspection work to inform future shared risk assessments. Further information will also be sought through discussions with the council by the LAN lead to clarify the position on outcome indicators and plans to address areas of poor performance. In particular, we

will engage with the council in 2010 to understand their plans for and progress with improving aspects of the planning service.

5. Corporate assessment

The council has a clear sense of leadership and strategic direction and strategic arrangements are sound with evidence of improvements being made in key areas, such as decision making arrangements and resource management. It is not yet clear how effective the new Strategic Operating Model will be in providing a strategic framework for delivering best value. The council has significant financial pressures to address and also needs to continue to make further improvement in relation to performance management.

No significant risks have been identified within the corporate assessment. External auditors will continue to monitor the implementation of the SOM very closely and will report on the financial position of the council in October in line with the normal audit process. We have provisionally planned to undertake a review of the SOM implementation in 2011/12.

68. In determining the corporate assessment for East Dunbartonshire Council, we considered the corporate performance and arrangements in place. The detail of our evaluation is contained in Appendix 2.
69. The council demonstrates a clear sense of leadership and strategic direction and has clear priorities that reflect the issues facing local communities. The new Strategic Operating Model (SOM) supports this sense of direction and an improved pace but it is not yet clear how effectively this significant corporate initiative will support the council in delivering its priorities more efficiently and effectively. The phase 2 implementation of the SOM is scheduled to establish revised service-level delivery models with associated changes in organisational structure from April 2010. The council has recently sought notes of interest from all staff interested in applying for voluntary redundancy as part of this programme. Embedding of these revised structures will therefore be expected through 2010-11.
70. Member/officer working relations are good and political and managerial leadership of the council are viewed as strong with no significant risks identified in the assessment. The political make up of the council is finely balanced and members need to continue to work well together as they are required to make increasingly difficult decisions in a very challenging financial context.
71. There have been changes to the decision making structures during 2009 to better align these with service structures and priorities. It is too early to assess the impact of these changes. Scrutiny arrangements and the quality of reporting to members are broadly effective.
72. Elected members are focused on delivering improving services for communities but the 2009 Best Value Audit report noted limited member involvement in developing the services' improvement priorities, and the need for members to be more active in driving the best value agenda and community planning. New arrangements have been approved that are intended to support improvement in these areas, for example through member scrutiny of the Business and Improvement Plans and enhanced elected member representation on community planning partnerships. The effectiveness of the new arrangements will inform our next shared risk assessment.

73. The 2009 Best Value report identified management leadership as strong with a streamlined CMT that has reduced service 'silos' and facilitated internal joint working. The high turnover at a senior management level is being actively managed. The 2009 Best Value report notes that the council moves swiftly to address vacancies and uses a rota system of acting up and deputising to minimise the risk to service delivery and help maintain continuity of key relationships. The rota system of cover means there is understanding and ownership of the senior roles and the current issues and projects being managed.
74. Partnership working is sound and the council is aware of where improvement is needed. There are good working relationships with partners and a positive culture focused on delivering service improvements. The council demonstrates strong commitment to supporting the voluntary sector and works constructively with police and community health partnership.
75. Community engagement is also sound overall, though improvement is needed in some areas. For example, the council could work more effectively with its partners in planning joint consultation activity and be more systematic about feeding back how it has responded to the findings of consultation exercises.
76. Performance management arrangements need to continue to improve. Following the Best Value Audit, the council revised the information included in the performance reports to provide more analysis and fuller coverage of service areas. The range of outcome indicators has been revised to reflect the strategic local outcomes prioritised for delivery by the council and its partners. At the time of the risk assessment the range of outcome indicators was undergoing considerable change and a significant proportion of the SOA outcome indicators are being changed and/ or are not available meaning the data available on outcomes is very variable. The recently approved Strategic Planning and Improvement Framework (SPIF) is designed to improve performance reporting on outcomes. The LAN will engage with the council in 2010 to review the implementation of the SPIF. The council is implementing the covalent performance management system to support improvement in performance management reporting and scrutiny.
77. The momentum of developing the council's customer service arrangements has increased after a slow start, with customer satisfaction ratings showing improvement. Expenditure on customer service projects has been slow, indicating delays in implementation. At the time of the Best Value audit (published in May 2009), the corporate complaints procedure had not been fully implemented, the contact centre was confusing to use due to the plethora of contact phone numbers and it was not well advertised.
78. The council's management of its resources is broadly sound. There are, however, some areas of risk to be monitored and areas for improvement. In particular the successful implementation of the SOM will be vital to the council achieving the efficiencies and savings it needs.
79. The council has developed a medium-term finance and resource strategy and needs to continue to integrate this with the strategic local outcomes prioritised for delivery which are consolidated across

the business and improvement plans and the SOA. Sound budget management and monitoring arrangements are in place, but the council is experiencing severe pressures. The council is heavily dependant on the successful implementation of the SOM to achieve the savings it needs.

80. The uncommitted general fund balance as at 31 March 2009 was £1.825 million. This was below the Council's target prudential reserves of £2.5 million. In August 2009 the council forecast that this would reduce to a deficit of £0.431 million by 31 March 2010 unless appropriate action was taken. Officers were required to review service budgets to ensure a balanced budget for 2009 -10 was delivered. Updated reporting to the policy and resources committee in January 2010 highlighted a revised estimate outturn on uncommitted reserves of the order of £0.4 million.
81. The 2009-10 capital plan assumes borrowing of £3.990 million which is above the government supported level. A 10 year capital plan demonstrates this will be repaid through future under-programming. The council is undertaking legal proceedings against a debtor who was due to pay £16.9 million by 3 May 2009. As a result of this non-payment, the council has required additional short term borrowing to fund its ongoing capital commitments. Consequently, the council approved an increase of £10.0 million in its authorised limit for borrowing during 2009-10. This extra borrowing ensures sufficient funds to meet contractual PPP payments due in 2009-10. Whilst this is affordable in the short term, failure to receive payment would represent a significant financial risk to the council as it would be required to fund the capital shortfall entirely through borrowing, unless an alternative source of capital receipts can be identified.
82. The council's approach to people management is sound overall. The council experiences relatively low absence levels with good communication and access to training. It has improved recruitment and retention rates in areas of national shortage. However, the council needs to increase the pace of development of strategic workforce planning, ensure full implementation of the performance appraisal process, and establish comprehensive information about staff morale and satisfaction.
83. The council's asset management arrangements are developing. The council has an asset management plan and a 10 year capital plan in place. This has, however, been impacted in the short-term by funding concerns related to delays in realising capital receipts which has resulted in higher than planned levels of borrowing. There is also a set of identified actions and proposals for future development. The council needs to increase the pace of change in the way that it uses ICT as a strategic resource.
84. The council has a contract register and procurement strategy, but it has not yet developed a procurement plan in accordance with the McClelland recommendations. The monitoring and reporting of procurement needs to improve. The council have demonstrated commitment to improving its procurement practices and has changed its procurement arrangements, but the impact of these changes has yet to be demonstrated.
85. The council is making progress on the sustainable development agenda, particularly in initiating and supporting community-based actions. Progress in mainstreaming sustainable development within

wider corporate and service planning activity has been slower and there is an opportunity to enhance impact through more strategic coordinated action. The council reports that there has been recent improvement and more strategic coordinated action is taking place through the sustainable and attractive communities community planning partnership.

86. The council is committed to equalities and has sound arrangements in place to promote and develop it further. The 2008 customer satisfaction survey showed that net agreement rating for 'council provides equal opportunities to all people' had improved between 2006 and 2008.

Implications for scrutiny activity

87. The corporate assessment section of the risk assessment has identified no significant scrutiny risks. The ongoing financial pressures, exacerbated by additional short-term borrowing to cover delays in capital receipts, will be monitored closely by the external auditors as part of their work on the 2009-10 financial statements. This will include assessment of the affordability of prudential indicators approved by the council. The external auditors will also continue to monitor the implementation of the SOM, specifically in 2009-10 in respect of the financial impact of any voluntary redundancy and on the approved budget for 2010-11. Both of these areas will therefore be reported on by the external auditors in their annual report to the Controller of Audit and elected members in October 2010. No additional specific audit or inspection work is therefore proposed under this remit at this time. The Local Area Network of scrutiny bodies will continue to monitor performance in these areas through scheduled audit and inspection work to inform the next risk assessment. At this time, consideration will be made of the potential impact of the revised service-level delivery models on service performance and this will inform the next round of scrutiny.

6. Conclusion

Next steps

88. Additional information will be sought from the council on a number of specific areas. These include progress against the thematic outcome priorities where performance information is limited and on the performance of planning services. This information will be sought from the council by the LAN lead and used to inform future SRAs. It is not yet clear how effective the new Strategic Operating Model (SOM) will be in providing a strategic framework for delivering best value. The council has significant financial pressures to address and the SOM is central to delivering efficiency savings and service improvements. The council's progress on implementing the SOM will therefore be closely monitored by the local audit team and the impact on services will be monitored by LAN members through ongoing inspection and engagement by district inspectors.

Summary of planned scrutiny activity

89. The appendices to this plan show a summary of the evidence we considered and the overall risk assessments made by the local area networks (LAN) on the outcome, service and corporate risk assessments. They show what scrutiny response the LAN has decided is appropriate in each area. The shared risk assessment process is designed to ensure that the level of scrutiny activity is proportionate based on the assessment of risks.
90. These results are reflected in the Assurance and Improvement Plan at Appendix 3 which sets out the basis of our scrutiny activity for the period from April 2010 to March 2013. The plan covers a three year rolling period and includes all scrutiny activity at corporate and service level. It excludes scrutiny activity at individual unit level, such as school, residential home or day care centres. Although some areas have been identified as having "no significant scrutiny risks" there may be some specific identified risks within each area that require some limited scrutiny activity as part of an agencies core work. Similarly in "areas of uncertainty" the scrutiny activity required may be addressed as part of an agency's ongoing work.
91. Ongoing monitoring of the risks identified within this report by the appropriate scrutiny body will inform future risk assessments and the levels of scrutiny activity.

Specific work:

- KPMG will report in their 2009-10 annual report to members and the Controller of Audit on the progress made by the council in respect of significant financial pressures, the impact of delays in receiving capital receipts, and the monitoring of the financial impact of the implementation of the SOM on the Council's 2009-10 financial statements, and the approved budget for 2010-11.
- HMIE has undertaken an Educational Psychology Services Inspection in April 2010.

- SWIA plan to undertake an ISLA in November 2010.
- Care Commission will undertake a Fostering and Adoption Inspection in October 2010.

On-going work:

- The Care Commission and HMIE will continue to undertake ongoing inspection activity.
- HMIE, SWIA and SHR will continue to monitor risk through the link inspector role.
- SHR will consider the progress made in responding to improvement areas from the 2008 inspection, including asset management and the repairs services during 2010/11.
- KPMG will continue to monitor finance, governance and accountability matters as part of the annual audit process. This will include monitoring of progress with the implementation of the SOM.
- Scrutiny bodies will discuss as part of future LAN meetings how to consider and monitor any potential impact on services, positive or negative, brought about by the implementation of the SOM. If additional scrutiny work is considered necessary, this will form part of the second year of the AIP to allow for one full year of the revised structure to have been embedded into operating practice during 2010-11.

National work:

- SHR - surveys of progress on Scottish Housing Quality Standards and 2012 homelessness targets will take place in the third quarter of 2010/11.
- SWIA - Following consultations with the Scottish Prison Service and Scottish Government, SWIA will undertake a national inspection of prison based social work services between March and May 2010. This scrutiny activity will impact on all of the local authorities that currently provide prison based social work services to the fourteen prison establishments in Scotland.
- SWIA - The Association of Directors of Social Work (ADSW), in partnership with Scottish Government and SWIA, is leading follow-up activity in relation to the multi-agency inspection that led to the publication of the report 'Assessing and managing offenders who present a high risk of serious harm' in June 2009. We have agreed that rather than engaging in further scrutiny work, SWIA will plan and resource a programme of supported self-evaluation in order to build capacity in local authorities to enable criminal justice social work services to address the performance issues raised in the report. This will be provided to all 32 Scottish local authorities and will involve a series of six (one day) contacts for each council, between June 2010 and April 2011.
- Audit Scotland and HMICS will be undertaking a joint Best Value audit and inspection of Strathclyde Police starting in the third quarter of 2010/11. East Dunbartonshire Council may have some limited involvement by virtue of their position on the joint police board.

92. The schedule of discrete audit and inspection work is illustrated at Appendix 3.

Appendix 1 – Risk assessment

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
<p>Delivering for children and young people</p> <p>NO8 “We have improved the life chances for children, young people and families at risk. LO8a: Children, young people and families benefit from a joined up care, welfare and learning infrastructure NO4 “ Our young people are successful learners, confident individuals, effective contributors and responsible citizens” LO4a: Educational achievement in E Dun is continuously sustained and improved LO4b: School leavers enter employment, training or further and higher education with a focus on and support for young people who require More Choices and More Chances</p> <p>NO5 “Our children have the best start in life and are ready to succeed” LO5a: Prospective mothers, parents and children benefit from high quality health, child care, education and support services</p>	<p>No significant risks</p>	<p>Overall the council is providing effective services for children and young people</p> <ul style="list-style-type: none"> • Attainment in secondary schools in 2009 has been maintained at very high levels overall and improved in a number of respects. Council schools are among the highest performing nationally. • The PPP secondary school programme nearing completion. • Leaver destinations are positive overall. The proportion of pupils progressing to higher education is well above national average at 45% (NA 30%) and had increased over the period 2003-05. The proportion (19%) going to further education was lower than the national average of 23% and the proportions of those going to other positive destinations were generally in line with both comparable councils and nationally. The More Choices More Chances Strategy has taken effective steps to strengthen collaboration between the agencies involved. The council has now strengthened collaboration, provided more effective support and a greater pool of destinations. The impact is clear with a greater focus on the needs of young people. • The council has identified concerns about the risks relating to budget pressures and the absence of Further Education facilities in the council area. • Families have received high quality support from education services, through for example the positive parenting programme (“triple P”). This initiative is one of a number of productive programmes aimed at improving children’s life chances through early intervention, in the broader context of high quality early years provision in the council. A positive feature has been close partnership working. HMIE reports have indicated positive outcomes from these initiatives. (Gold - Good 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes through scheduled audit and inspection work to inform future shared risk assessments.</p> <p>HMIE & Care Commission - ongoing scheduled inspection activity.</p> <p>CP2 – joint inspection on services to protect young people will follow up on areas requiring action.</p>

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
		<p>practice example).</p> <ul style="list-style-type: none"> The joint inspection of services to protect children carried out in November and December 2009 resulted in a positive report in terms of the National Performance Framework and that children's safety and well being is strongly promoted through effective approaches in schools and early years service, parenting support is widely available. However, the inspection found that improvements were needed in relation to systems to ensure that health staff were alerted to the needs of children who may be at risk, to better identify, plan for and meet the needs of children affected by domestic abuse and the need for more integrated working between council services and health and police partners. The Care Commission have received only 2 complaint for 22 early years services over the period 08/09 and 09/10 and inspection Grades over this same period range from good to very good for early years services and the children's unit. The adoption service scored good grades and the fostering service graded from adequate through to very good. SWIA found good leadership and good support for child care staff in their performance inspection. The service was asked to review local provision for children affected by disability and work is on-going to address this. 	
<p>Enhancing learning and enterprise</p> <p>NO1 "We live in a Scotland that is the most attractive place for doing business in Europe LO1a: An expanded sustainable base of social enterprises and SMEs within E Dun NO3 "We are better educated, more skilled and more successful, renowned for our research and innovation" LO3a: A better trained local workforce where skills match employment opportunities</p>	<p>No significant risks</p>	<p>The available data indicates that, overall, the council and its partners are making progress in this outcome area. However, a high proportion of the outcome indicators have been amended or are not available.</p> <ul style="list-style-type: none"> Median weekly earnings are above national average, though there are few areas of multiple deprivation with 3 datazones within the 15% most deprived nationally (though this is an improvement over the previous survey period). Many of the 'learning' indicators are positive (see 'Delivering for children and young people' above). A number of the outcome indicators in this are have been amended or deleted which makes an overall assessment of performance/ direction of travel difficult. HMIE have highlighted good practice in terms of the wider achievements of learners in East Dunbartonshire and highlighted that children and young people in the council's schools have many opportunities for wider achievement. These opportunities include a 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes through scheduled audit and inspection work to inform future shared risk assessments.</p> <p>HMIE & Care Commission Ongoing scheduled inspection activity.</p>

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
<p>LO3b: E Dun SMEs are supported to contribute to the enhancement of research and innovation in industry sectors</p>		<p>range of sporting and cultural experiences available to all children. This initiative also demonstrates good partnership working and the take up by young people is good.</p> <ul style="list-style-type: none"> • HMIE have also indicated that the provision for enterprise and employability is strong and that school programmes are effective in developing young people's skills for work. Enterprise in education is particularly strong in primary schools, giving children good learning skills and experience of entrepreneurial activity. 	
<p>Improving health and wellbeing NO6 "We live longer, healthier lives" LO6a: The health of women is improved in relation to alcohol consumption and physical activity LO6b: Residents of E Dun enjoy high levels of mental health and wellbeing LO7b: Significant health inequalities are reduced in the target areas leading to improved health and employability LO7c: Differentials relating to life expectancy rates in E Dun are reduced LO11a: Older people and other vulnerable adults benefit from a comprehensive and joined-up care structure</p>	<p>Areas of uncertainty</p>	<p>A lack of outcome data makes an assessment of risk difficult in this area.</p> <ul style="list-style-type: none"> • A significant proportion of the outcome indicators lack data or have changed, this makes an overall risk assessment difficult in this area. • The care commission report that grades for user carer participation and care and support ranged from adequate to very good across all services types. • SWIA had concerns about delays between assessment and service provision in a number of community care services. Good steps had been taken by the authority to investigate and resolve these problems, but procedural changes were recent and impact not yet evident. There had been a lack of strategic planning in relation to projected increased demand for older people's services. Community care managers had engaged with the Joint Improvement Team (JIT) to agree a significant programme to re-design and develop older people's services, but this work with the JIT had not yet concluded at the time of the follow-up inspection. • The council has been working with the Joint Improvement Team of the Scottish Government since 2008 to develop and re-design services for older people, which was an area in critical need of improvement at the time of the SWIA inspection. Some gains have been made in addressing lower than average performance on the balance of care but this was from a low base-line. In 2009 East Dunbartonshire opened an integrated health and social care centre, a marker of the positive progress that has been made in joint working with health. 	<p>LAN to engage with council to clarify position and their plans re outcome measures.</p> <p>LAN to monitor progress on outcomes to inform future shared risk assessments.</p>

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
<p>Sustainable and Attractive Communities</p> <p>NO2 “We realise our full economic potential with more and better employment opportunities for our people” LO2a: People are able to access appropriate and sustainable employment opportunities, especially within E Dun NO7 “We have tackled the significant inequalities in Scottish Society” LO7a: Timescales Equality of opportunity is improved across all equality strands NO10 “We live in well-designed, sustainable places where we are able to access the amenities and services we need” LO10a: Access to a choice of appropriate quality housing across all supply markets LO10b: E Dun has an improved infrastructure, including an integrated transport system, with accessibility to services, information and technology NO11 “We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others”</p>	<p>No significant risks</p>	<p>The available performance data indicates that, overall, the council and its partners are making progress in this outcome area. However there are some areas for improvement, such as access to employment opportunities and CLD and a number of areas where the range of data has not been complete given changes to SOA indicators.</p> <ul style="list-style-type: none"> • The number of unemployment benefits claimants has increased however more positively for those in employment the average weekly earnings remains significantly above the national average. This creates a growing economic gap in the community. • Community Learning and Development inspections indicate mixed performance overall with some areas of strength, but also some weaknesses in aspects of service performance in some areas • It’s not clear from the SOA progress report how effectively equality of opportunities activities are progressing. • There is limited reported data as yet regarding local outcome indicators relating to community identity. No progress has been made with community perceptions of opportunities in East Dunbartonshire being open to all. • SHR report positive performance in terms of homelessness and fair performance on access to housing via the housing list. Performance data also indicates progress is being made with access to affordable housing and towards housing stock meeting the SHQS. • The council is implementing a new ‘Strategic Operating Model’ (SOM) to improve customer access to services and efficiency • The council has invested in its infrastructure to improve sustainability (schools estate and ICT in schools, positive Care Commission grades in relation to care environment) • There is limited data reported in the SOA progress report regarding development of the area infrastructure, such as integrated transport and sustainability of the natural environment. • The council is making progress in terms of waste recycling and reducing landfill although the 2008/09 progress is some way off planned targets for 2010/11. It has maintained the street cleanliness indicator at its target of 71. • There is no data reported relating to reducing carbon emissions in the area. • The proportion of road network in need of maintenance treatment has 	<p>LAN to engage with council to clarify position and their plans re outcome measures. LAN to monitor progress on outcomes to inform future shared risk assessments.</p>

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
<p>NO12 “We value and enjoy our built and natural environment and protect it and enhance it for future generations“</p> <p>LO12a: A more attractive and sustainable natural environment</p> <p>LO12b: A more attractive and sustainable built environment</p> <p>NO13 “We take pride in a strong, fair and inclusive national identity”</p> <p>LO13a: We take pride in a strong, fair and inclusive local identity in E Dun</p> <p>LO 13b Individual of all ages in E Dun have vibrant and active opportunities for support and engagement in their communities</p> <p>NO14 “We reduce the local and global environmental impact of our consumption and production”</p> <p>LO14a Waste is significantly reduced and carbon emissions are cut across all sectors in E Dun in line with the Council’s Climate Change Declaration commitments</p> <p>LO 14b Environmental standards are improved</p>		<p>increased.</p>	
<p>Safer communities</p> <p>NO9 “We live our lives safe from crime, disorder and danger”</p> <p>LO9a E Dun offers a safe environment in which to live, work, invest and to visit.</p>	<p>No significant risks</p>	<p>Performance on outcomes is positive where data is available</p> <ul style="list-style-type: none"> • The area benefits from low crime statistics for crime at around half the Scottish average. • There has been a reduction fires, crimes of dishonesty, vehicle crime a reduction in bogus caller incidents. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes to inform future shared risk assessments.</p> <p>East Dunbartonshire will be covered as part of the BV</p>

Strategic priorities	Initial risk assessment	Evidence/ rationale	What we plan to do
LO7d: Women and families benefit from joint approaches to tackling gender based violence		<ul style="list-style-type: none"> A 2009 child protection inspection was generally positive but highlighted the need for improvements to partnership working between the police and the children affected domestic abuse. 	Audit/ Inspection of Strathclyde Police starting third quarter 2010/11.
<p>Investing in Improvement</p> <p>NO15 "Our public services are high quality, continually improving, efficient and responsive to local people's needs"</p> <p>LO15a - E Dun has efficient, customer focused and accessible services where best value is delivered collectively</p>	<p>Areas of uncertainty</p>	<p>The council is implementing a new Strategic Operating Model (SOM) to improve customer service and efficiency.</p> <ul style="list-style-type: none"> The council's move to a Strategic Operating Model has been carried out in robust and inclusive way and has focused on customer service and efficiency. This transformation programme is central to the council's future direction and resource allocation. The impact of the changes are not yet known and the programme will require resources to fund early retirement etc. The 2009 BV report was critical of the slow progress being made on customer service and customer care. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes and service performance through scheduled audit and inspection work to inform future shared risk assessments re the impact for the new SOM.</p> <p>KPMG will monitor the accounting and budgeting arrangements and delivery of savings as part of the annual audit process.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Education	No significant risks	<p>The council has a strong record of improvement in education from a low base in 2001. Attainment levels remain high and are improving.</p> <ul style="list-style-type: none"> • Customer satisfaction with schools is high and improving over time. • Pre school – HMIE report that the overall quality of pre-school provision is very good. • Primary schools – HMIE report that primary school performance is good overall with positive indicators relating to attendance, attainment (where performance is above comparator authorities and the national average), One school was assessed to be underperforming and will be the subject of follow up work. • Secondary schools – HMIE report that secondary performance is good overall with positive indicators relating to attendance, attainment (where the performance n national qualifications is second best in Scotland). • The authority schools' performance in National Qualifications at Standard Grade, Intermediate, Higher and Advanced Higher is generally better than comparator authorities and the national averages on almost every measure. • Pupils at S4, S5 and S6 achieve very well and are consistently in the top 10% nationally. 	<p>No specific/ additional audit/ inspection work.</p> <p>HMIE and Care Commission will monitor performance through ongoing inspection activity.</p> <p>HMIE carried out an Educational Psychology Services Inspection in April 2010.</p>
Social work	No significant risks	<p>Performance is sound overall, but the service faces significant budget pressures.</p> <p>A SWIA performance inspection in 2008 reported good performance overall and follow up indicated progress had been made on the areas requiring improvement.</p> <p>There has been a significant improvement in performance overall from a low base in 2000. SPI performance is good and shows an improving trend across the service.</p>	<p>No specific/ additional audit/ inspection work.</p> <p>Care Commission will monitor performance through ongoing work at establishment level.</p> <p>SWIA – ISLA scheduled for November 2010.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>Customer satisfaction on social work services is improving, albeit quite slowly.</p> <p>There is budget pressure as a result of secure residential childcare costs which must be accommodated within existing budget with no additional funding from central government and from increased personal care allowances.</p> <p>Service for children</p> <ul style="list-style-type: none"> • SWIA report good management and a positive culture and that support for staff very good. • The Care Commission report that there have only been 2 complaints for 22 early years services over the period 08/09 and 09/10 to date. Inspection Grades over this same period range from good to very good for early years services and the children's unit. The adoption service scored good grades and the fostering service graded from adequate through to very good. <p>Services for adults</p> <ul style="list-style-type: none"> • SWIA report that the new management arrangements have made positive difference Some improvements had been made some concerns remained in particular teams (eg. Mental health, learning disability) and data quality needs to improve though performance standards were being introduced for referral/assessment/service delivery intervals. • The care commission report that staffing and quality and leadership grades range from adequate to very good. <p>Criminal Justice:</p> <ul style="list-style-type: none"> • performance is solid and good in terms of the national standards. 	<p>Care Commission will undertake a Fostering and Adoption Inspection in October 2010.</p> <p>SWIA - self evaluation approach to support the management of high risk offenders during 2010/11.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Housing	No significant risks	<p>Housing service performs well overall. A recent SHR inspection found many strengths in housing management and services to homeless people, but with scope for improvement in asset management and repairs.</p> <ul style="list-style-type: none"> • SHR report sound performance in terms of access and lettings, tenancy and neighbourhood management, dealing with empty houses, housing asset management, investment and home safety, homelessness and tenant participation. • Improvements are required to tenant satisfaction (where satisfaction is improving, but from a low baseline), rent arrears, progress towards SHQS & new build and housing repairs. • 5 of 11 SPIs 07/08 were in the top quartile Q1. 	<p>No specific/ additional audit/ inspection work.</p> <p>SHR will monitor performance and progress via link inspection role and consider the progress made in responding to improvement areas from the 2008 inspection including asset management and the repairs services.</p> <p>National SHR surveys to take place Q3 2010/11 re council progress on SHQS and 2012 homelessness target.</p>
Corporate services	No significant risks	<p>On the basis of the findings in the corporate assessment below no areas of significant risk have been identified.</p> <ul style="list-style-type: none"> • The Council has continued to reduce the number of civil liability claims it receives. • Disabled access across the corporate buildings continues to improve. • The cost of Council tax collection has increased slightly whilst the percentage due that has been collected has also improved. • Invoice payment within 30 days has improved slightly and this target is monitored by management. 	<p>No specific/ additional audit/ inspection work.</p> <p>Annual audit will monitor performance and inform the next risk assessment.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Environmental services (inc Waste Management)	Areas of uncertainty	<p>Performance is mixed and customer satisfaction is low</p> <ul style="list-style-type: none"> Waste recycling rates had been good and improving, however a change of policy to re-introduce weekly bin collections has resulted in a downturn in performance. Customer satisfaction rates with waste collection have varied and have most likely been influenced by collection arrangements, satisfaction with street cleaning is low and has declined. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment.</p>
Regulatory services	Significant concerns and risks	<p>Performance of the planning service needs to continue to improve.</p> <ul style="list-style-type: none"> The 2009 Best Value Audit report highlighted that performance in planning services needed to improve and that customer satisfaction was low. Planning processing SPIs were in the lowest quartile in Q4 07/08 and had not improved for some time, but improved in 2008/09. The council has been successful in addressing staff shortages in some service areas. The council has reported that there has been significant improvement in performance and customer satisfaction more recently. The processing of planning applications is showing improvement but was below the Scottish average for householder applications, placing the council in the fourth quartile for 2008/09. For non-householder applications, however, the council is placed second of the 32 authorities and has shown improvement in the past year. The SPIs covering speed of dealing with consumer complaints and business advice requests were in the 4th quartile in 2007/08 and performance declined in 2008/09. Performance relating to the inspection of trading premises, food hygiene inspections, dealing with noise complaints is sound. 	<p>LAN lead to engage with the council to consider the action the council is taking to improve performance in this area.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Cultural services	No significant risks	<p>Performance is mixed overall</p> <ul style="list-style-type: none"> • Council has made good progress in increasing participation in leisure activities and has invested in new and upgraded facilities and the SPI re the use of indoor facilities attendance was in the top quartile in 2007/08. • 2008/09 income from leisure was under budget as the Council struggled to achieve expected attendance rates. • Net satisfaction with libraries declined slightly between 2006 and 2008 but remains high. • Net satisfaction rating for parks & open spaces increased between 2006 and 2008, but remains low at +54%. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment.</p>
Roads & street lighting	No significant risks	<p>Performance is poor, but improving, and customer satisfaction is low</p> <ul style="list-style-type: none"> • SPIs for road condition and maintenance are poor, although the council is increasing investment in its roads. • Traffic & street lighting SPIs were in the bottom quartile in 2007/08 and had not improved for some time, carriageway condition was also in the fourth quartile. In 08/09 carriageway condition & traffic light repairs improved. • <i>In the 2008 customer survey the net satisfaction rating for roads maintenance improved from -64%% (2006) to -54% (08) – but remains low. The net satisfaction rating for winter maintenance is low and declined from +30% (06) to +22% (08)</i> 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment.</p>

Appendix 2 – Corporate assessment

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Vision and strategic direction</p>	<p>No significant risks</p>	<p>The council demonstrates a clear sense of leadership and strategic direction.</p> <p><u>Vision and priorities</u></p> <ul style="list-style-type: none"> • The council and its partners have set clear priorities that reflect the issues facing local communities in an area where the population is both ageing and declining significantly faster than the national picture. • The council's priorities are based on a clear understanding of the issues affecting the area. Partners and officers support these priorities and have translated them into activities which staff find relevant to their day-to-day work. • The 2009 BV report highlighted that the council needs to increase the pace of its ongoing work to ensure that it directs its finances, assets, ICT and workforce more effectively towards delivering key priorities – the council seeks to address this through the SOM. <p><u>Leadership</u></p> <ul style="list-style-type: none"> • Leadership and strategic direction has been identified as strength in reports by SWIA and HMIE. The 2009 BV report also notes that political and managerial leadership of the council is strong. There is a shared focus on improving the quality of life of communities and individuals. • KPMG and the 2009 BV report note good working relationships between members and officers. • The implementation of the new Strategic Operating Model (SOM) indicates strategic leadership and direction, but also inevitably involves an element of risk and uncertainty. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>Political leadership:</p> <ul style="list-style-type: none"> • The political leadership of the council is not viewed as an area of risk although there are areas for improvement. • The council's political leadership is focused on good outcomes for service users and communities. Members are effective at setting direction, representing communities, leading improvement by focusing on delivering good services and understanding local issues. • There is a consensual political style. There is a delicate political balance and multiparty, multi-member wards and a consensual political style with a good level of challenging but respectful debate. • The 2009 BV report highlights that elected members need to improve their leadership of best value by identifying priorities for improvement and scrutinising improvement activity. • The leader in particular has been very actively involved in leading and promoting community planning. However, there is room for more member involvement in the scrutiny and challenge of community planning activity. • A review of the committee and administrative structure was undertaken during 2009 and new arrangements were approved which are intended to better integrate the political and service structures to allow a better focus on priorities, improve member involvement in scrutiny and drive improvement activity. <p>Managerial leadership</p> <ul style="list-style-type: none"> • The council's managerial leadership is not viewed as an area of significant risk, despite high turnover at a senior level and changes to the structure. • The 2009 BV report identified management leadership as strong. The council's management culture is open and supportive. The streamlined CMT has reduced service 'silos' and facilitated joint working across service groupings and directorates. 	

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> Although it has seen a high turnover at senior level, with staff moving to other posts on promotion, effective measures are in place to minimise the risk associated with staff changes. There is an established process of acting up and deputising, from chief executive to third tier management level. 	
Partnership working and community leadership	No significant risks	<p>Partnership working is sound and the council is aware of where improvement is needed.</p> <ul style="list-style-type: none"> The 2009 BV Report noted that the council has good working relationships with partners and a positive culture focused on delivering service improvements. SWIA report that partners very positive about working with social work. Child care and criminal justice performed well on partnership planning, community care needed to tighten up on pace and productivity. The council demonstrates strong commitment to supporting the voluntary sector. The joint inspection of services to protect children carried out 2009 found strong partnership working within the council and between the council and its key partners in health, police, SCRA and voluntary organisations. SWIA report that partnership working with police and community health partnership colleagues is good in most areas. In common with other authorities within the Greater Glasgow and Clyde boundary they have been working on the stream-lining of assessment procedure and the sharing of services. HMIE report good partnership working with Clydebank College and Cumbernauld College and that careers advice is effective in supporting young people into further and higher education. The Community Planning Partnership (CPP) has identified some weaknesses in its performance and developed a challenging improvement plan to make sure it can deliver the SOA. This 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>recognises the need to strengthen elected member involvement in community planning; to improve scrutiny and challenge of community planning activity; to improve the effectiveness of some themed partnerships to enable them to deliver the SOA commitments; and to move from a focus on project reporting to measuring and reporting on the impact on communities.</p>	
<p>Community engagement</p>	<p>No significant risks</p>	<p>Community engagement is sound overall, though improvement is needed in some areas</p> <ul style="list-style-type: none"> • The 2009 BV report noted that the council demonstrates a history of involving communities in its decision-making and has embedded consultation into the way it works. • Approaches used by the council include: <ul style="list-style-type: none"> ○ periodic questionnaires to its citizens' panel to identify improvement priorities for specific services. ○ community assembly events to ask people what their key priorities are to inform development of the community plan. ○ thematic household surveys twice a year – e.g. Our Environment and Community Safety. ○ service level processes for collecting customer information and views e.g. workshops with community representatives • The council is not consistent and systematic about feeding back how it has acted on the findings of consultation exercises. Participants in some exercises receive individual feedback, and the council reports the findings from major exercises, eg the recent household survey, in <i>Edlife</i>. However, the council does not have a systematic approach to feeding back findings and explaining what will change. • The council does not plan its consultation and engagement activity across directorates or with its partners. The partnership has developed a consultation website for sharing information and maximising involvement. However, it has yet to develop a joint programme of consultation linked to strategic and service priorities. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> The 2008 customer survey showed that the net agreement rating for 'the council is involved in the communities it serves' improved from +33%% (06) to +47 (08). The net agreement rating for 'genuinely listens to views of local community' improved from -42%% (06) to +4% (08) this is a significant improvement but remains low over all. SWIA report some good examples of community engagement in service planning –seniors' forum, minority ethnic forum, youth forum - but that this does not extend across all care groups and that some consultation exercises were not followed through. Care Commission grades for user / carer participation ranged from adequate to very good. 	
Governance and accountability	No significant risks	<p>Governance and accountability arrangements have changed to reflect the new Strategic Operating Model, it is too early to assess the impact of these changes.</p> <ul style="list-style-type: none"> The 2009 BV report noted that the council's political structures are not clearly related to service structures and priorities and could be simplified and that the council was reviewing its structures to ensure a better fit with the priorities detailed in the SOA. Following implementation of the Strategic Operating Model, four new committees for service delivery were established which reflect the new management structures and agreed that proposals for service performance scrutiny and involvement by elected members in the community planning structures should be developed. This will address some of the recommendations made in the best value report in May 2009. Progress on elected member training and development has been slow. SWIA have noted that service areas subjected to scrutiny panels and any significant variances or changes discussed at full committee. Similarly social work committee reports were effective and flagged anticipated pressures or threats. However, briefings for elected members offered but take-up had been poor. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Performance management and improvement</p>	<p>Areas of uncertainty</p>	<p>Performance management arrangements need to continue to improve.</p> <p><i>Customer focus</i></p> <ul style="list-style-type: none"> The 2009 BV report highlighted that the development of a customer service approach had been slow and, although there has been a recent increase in momentum, this needs to be maintained. The corporate complaints procedure had not been fully implemented and the contact centre was not well advertised and it is confusing to use due to the plethora of contact phone numbers. The council has been slow to implement some fundamental elements of customer service and has only recently developed a corporate customer service strategy. There has been recent increased momentum to develop a more systematic approach but the council needs to ensure this is maintained. Customer satisfaction indicators on the ease of contacting the council customer service & information satisfaction all improved 2006-2008. KPMG report that expenditure on customer service projects has been slow – indicating delays in implementation. <p><i>Improvement activity</i></p> <ul style="list-style-type: none"> The BV report also noted that the council needs to make sure that the improvement processes it has in place are used effectively, and that it consolidates, prioritises and manages service improvement activity more systematically at the corporate level. A social work improvement framework has been under development for some time. <p><i>Performance management</i></p> <ul style="list-style-type: none"> Performance management arrangements need to continue to improve. Following the Best Value Audit, the council revised the information included in the performance reports to provide more analysis and fuller coverage of service areas. The range of outcome indicators has been revised to reflect the strategic local outcomes prioritised for delivery by the council and its partners. At the time of the risk assessment the range of outcome indicators was undergoing considerable change and a significant proportion of the SOA outcome indicators are being changed and/ or 	<p>LAN to engage with council to clarify position and their plans re outcome measures.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>are not available meaning the data available on outcomes is very variable.</p> <ul style="list-style-type: none"> • The recently approved Strategic Planning and Improvement Framework (SPIF) is designed to improve performance reporting on outcomes. • The council is implementing the covalent performance management system to support improvement in performance management reporting and scrutiny. • Social work have introduced performance improvement frameworks for child care and community care. 	
<p>Use of resources - Finance</p>	<p>Areas of uncertainty</p>	<p>Financial management is sound, but the council is experiencing severe pressures.</p> <ul style="list-style-type: none"> • The 2009 BV report noted that the council's approach to financial management is sound. It had restored its reserves to more prudent levels following significant equal pay settlements in previous years. The council needs to continue to take forward its plans to integrate its medium to long-term strategic financial planning with the corporate development plan and its single outcome agreement, as well as to enhance its strategic budget planning beyond the current financial year. • In the 2008/09 annual audit report to members, KPMG noted that the council is facing severe financial pressures and that the level of uncommitted reserves is below the council's own target level. The uncommitted general fund balance as at 31 March 2009 was £1.825 million. This is below the Council's target prudential reserves of £2.5 million. In August 2009 the council forecast that this would reduce to a deficit of £0.431 million by 31 March 2010 unless appropriate action is taken. • The Council approved an increase of £10.0 million for borrowing in 2009-10. This request was to ensure sufficient funds to meet contractual PPP payments due in 2009-10, particularly because of delays in receipt of significant capital receipts (see below). The 2009-10 capital plan assumes borrowing of £3.990 million which is above the government supported level. A 10 year capital plan demonstrates 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p> <p>KPMG will report specifically on the financial pressures facing the Council in their annual report to members and the Controller of Audit (October 2010). This will include impact of delays in receipt of capital receipts, specifically the legal proceedings against the £16.9 million debtor, and the impact of these delays on overall borrowing and the Council's prudential indicators.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>this will be repaid through future under-programming</p> <ul style="list-style-type: none"> The Council is undertaking legal proceedings against a debtor who was due to pay £16.9 million by 3 May 2009. Additional short term borrowing has been required to fund ongoing capital commitments. Whilst this is affordable in the short term, failure to receive payment represents a significant financial risk to the Council. The council has developed a medium term finance and resources strategy to address the current economic climate and other financial pressures. The council is heavily dependant on the successful implementation of the SOM to achieve the savings it needs. 	
Use of resources – People	No significant risks	<p>The council’s approach to people management is sound overall.</p> <ul style="list-style-type: none"> The council experiences relatively low absence levels with good communication and access to training. It has improved recruitment and retention rates in areas of national shortage. However, the council needs to increase the pace of development of strategic workforce planning, ensure full implementation of the performance appraisal process, and establish comprehensive information about staff morale and satisfaction. The council’s single status agreement including a revised package of pay and grading and terms and conditions was fully implemented in December 2008. SWIA report that the council has largely overcome previous recruitment and retention problems and has a proactive approach to minimizing staff absence, which has reduced to national average. SWIA found good supervision for most staff, and good access to training. The implementation of the SOM while providing a strategic direction will also bring an element of risk and uncertainty amongst staff while the change programme is taking place. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>
Use of resources –	No significant risks	The council’s asset management arrangements are sound and/are	No specific/ additional audit/ inspection work.

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Assets		<p>developing</p> <ul style="list-style-type: none"> The 2009 BV report noted that that asset management required further development in a number of areas and that an asset management plan had not yet been developed. It also noted that the Council had not yet completed a survey of the suitability of its assets to their operational requirements or proportion of floor area that was in satisfactory condition. The Council approved its corporate asset management plan and a 10 year capital plan in April 2009 and a report in June which summarised the findings of the Audit Scotland national report. It also set out the actions the Council has taken to date and proposals for future development in respect of asset management. 	<p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p>
Use of resources – Procurement	No significant risks	<p>The council has changed its procurement arrangements, but the impact of these changes has yet to be demonstrated.</p> <ul style="list-style-type: none"> The 2009 BV report found that the council demonstrated commitment to improving its procurement practices but that the full benefits of this commitment have yet to be fully realised. The council needed to harmonise working practices to implement e-procurement across services. KPMG have reported that there is a contract register and procurement strategy which has been approved by members, but the Council has not yet developed a procurement plan in accordance with the McClelland recommendations. The monitoring and reporting of procurement needs to improve. SWIA report that there had been a thorough review of commissioning following the performance inspection (year) and that more consistent and systematic procedures had been developed, though the impact of the changes has yet to be demonstrated. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of resources – ICT	Areas of uncertainty	<p>The council needs to increase the pace of change in the way that it uses ICT as a strategic resource.</p> <ul style="list-style-type: none"> The 2009 BV report found that the council had not made sufficient use of ICT in modernising service delivery and that a comprehensive, revised ICT strategy has only been in place since early 2008. Performance reporting for ICT services had only just commenced. KPMG's annual report to members in October 2009 noted that only half of the recommendations from an earlier audit report relating to ICT had been implemented. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment, in particular KPMG as part of the annual audit process.</p>
Sustainability	No significant risks	<p>The council is making progress on the sustainable development agenda.</p> <ul style="list-style-type: none"> The 2009 BV report found that <i>the</i> council had made progress in sustainable development, particularly in initiating and supporting community-based actions. Progress in mainstreaming sustainable development within wider corporate and service planning activity had been slower and that there was an opportunity to enhance impact through more strategic coordinated action. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>
Equality	No significant risks	<p>The council is committed to the equality agenda and has sound arrangements in place to promote it.</p> <ul style="list-style-type: none"> The 2009 BV report found that the council was committed to diversity and equality and had effective structures in place to support its equalities agenda, though some areas of improvement were required, for example the council needs to build on progress made in embedding equalities at corporate and directorate management level and it lacked comprehensive data about black and minority ethnic groups in the area and their service needs. The council also needed to improve disabled access to council buildings. The 2008 customer satisfaction survey showed that net agreement rating for 'council provides equal opportunities to all people' had improved from +49% (06) to +56% (08) 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • SWIA have noted a good commitment to reducing barriers to access, although this was better on accessible information than accessible buildings. • The 2009 child protection inspection found that the Community Planning Partnership was committed to eliminating discrimination and promoting equality of opportunity and had set up the Equality Engagement Group (2008) involving community planning partner agencies and representatives from local equality groups to assist in mainstreaming equality activities including the implementation of Race, Disability and Gender Equality Duties. 	

Appendix 3 – Assurance and Improvement Plan

The AIP is a three year rolling programme.

2010-11 (Year 1)												
	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
LAN – clarification re outcome indicators and plans re areas of poor performance												
HMIE - Educational Psychology Services Inspection												
SHR – Review of self evaluation												
SWIA – Initial Scrutiny Level Assessment (ISLA)												
Care Commission - Fostering and Adoption Inspection												
HMICS & Audit Scotland - Joint Best Value Audit and Inspection of Strathclyde Police Force and Board												

2011-12 (Year 2)	
Issues for scrutiny /improvement	Scrutiny bodies /council potential involvement
Review of implementation of SOM	Audit Scotland/external audit
Possible review of planning function	Audit Scotland
Annual audit in accordance with Audit Scotland's Code of Audit Practice	External Audit
Ongoing schedule of inspections	HMIE, Social Care and Social Work Improvement Scotland
Shared Risk Assessment	All LAN members

2012-13 (Year 3)	
Issues for scrutiny /improvement	Scrutiny bodies /council potential involvement
Annual audit in accordance with Audit Scotland's Code of Audit Practice	External Audit
Ongoing schedule of inspections	HMIE, Social Care and Social Work Improvement Scotland
Shared Risk Assessment	All LAN members