

Shared risk assessment: Assurance and improvement plan 2010–13

South Lanarkshire 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 South Lanarkshire Council:
 - Audit Scotland
 - Care Commission
 - HM Inspectorate of Education (HMIE)
 - Scottish Housing Regulator (SHR)
 - Social Work Inspection Agency (SWIA)
 - PwC, local appointed auditors
2. The AIP sets out the planned scrutiny activity for South Lanarkshire 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 South Lanarkshire 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
 - 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 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 South Lanarkshire Council is that there are no areas of significant scrutiny risk. SWIA will carry out some focussed work relating to services for adults at risk and the LAN will continue to monitor risk as part of scheduled audit and inspection work and this will inform our future shared risk assessments.

In Education and Social Work the inspectorates, HMIE, SWIA and the Care Commission will continue to monitor performance through ongoing work at establishment level and a previously agreed Child Protection inspection, scheduled for September 2010, which will incorporate follow up work on the actions identified as priorities in the previous inspection.

12. The aim of the shared risk assessment is to focus scrutiny activity where it is most needed and the overall assessment for South Lanarkshire is that there are no significant scrutiny risks.
13. Exhibit 1 highlights the findings of the shared risk assessment. Full details of the risk assessment associated with each area and the intended scrutiny response is outlined in Appendix 1. Where no significant risks have been identified, the scrutiny work will be limited to the LAN monitoring progress on outcomes to inform future shared risk assessment. In Social Work, Children's Services the Care Commission will continue to monitor performance through ongoing work at establishment level. HMIE will lead a second joint inspection on how effectively the council and its partners respond to children in need of care and protection across a range of services; this is scheduled for September 2010. SWIA will carry out some focussed inspection work in June 2010.
14. The council and its partners are making progress in delivering their priority outcomes, with 47 per cent of the 99 outcome indicators showing improving or sustained performance, with most progress being made in relation to supporting successful and inclusive communities. Thirty-two per cent of the indicators lack baseline or trend information and performance declined for 20 per cent of the indicators particularly in the safe and healthier communities. Services in South Lanarkshire generally perform well and are improving and many have high levels of customer satisfaction.

Exhibit 1: Overview of Shared Risk Assessment for South Lanarkshire Council

No significant risks	Areas of Uncertainty	Significant concerns and risks
<p>Outcome themes</p> <ul style="list-style-type: none"> • Working and learning communities • Successful and inclusive communities 	<p>Outcome themes</p> <ul style="list-style-type: none"> • Safe and healthier communities 	
<p>Services/Resources</p> <ul style="list-style-type: none"> • Education • Social Work – Children’s Services, Criminal Justice Services • Housing • Corporate Services • Environmental Services • Regulatory Services • Cultural Services • Roads and Street Lighting 	<p>Services/Resources</p> <ul style="list-style-type: none"> • Social Work - services for adults 	
<p>Corporate Assessment Areas</p> <ul style="list-style-type: none"> • Vision and strategic direction • Partnership working and community leadership • Community engagement • Governance and accountability • Performance management and improvement • Use of resources – finance, people, assets, ICT • Sustainability • Equalities 	<p>Corporate Assessment Areas</p> <ul style="list-style-type: none"> • Use of resources - procurement 	

15. For the areas identified as having areas of uncertainty the planned scrutiny response is as follows:

- Safe and healthier communities: the LAN will monitor progress on outcomes to inform future shared risk assessment to ascertain how the council is addressing areas of under performance or uncertainty.
- SWIA will carry out some focussed inspection work relating some service areas in June 2010. The Care Commission and SWIA will also monitor performance through ongoing work. There will be a particular focus on how the council is addressing performance concerns within specific aspects of contracted out services.
- Use of Resources – Procurement: the LAN will monitor performance through scheduled audit and inspection work to inform the next risk assessment.

16. South Lanarkshire is a tightly managed council and it has good corporate arrangements in place and is making significant efforts to continually improve how it operates and delivers services. No significant risks have been identified within the corporate assessment and therefore there is no

specific work planned in this area, beyond the LAN monitoring through ongoing/scheduled audit and inspection work.

3. The council's context

The area

17. South Lanarkshire is located in central Scotland and covers an area of 1,772 sq km. It has a diverse mix of urban, rural, and former mining environments; almost 80 per cent is classed as agricultural and 70 per cent of the population live in the major settlements in the north. South Lanarkshire borders Dumfries and Galloway, East Ayrshire, East Renfrewshire, Glasgow, North Lanarkshire, West Lothian, and Scottish Borders.
18. South Lanarkshire has a population of 310,090, which accounts for 5.9 per cent of the population of Scotland. It is estimated the population will increase by 9.3 per cent by 2031. Its population profile across children, working age and older people is in line with figures for Scotland as a whole; however the older population and the working age population are increasing at a rate approximately five per cent higher than the Scottish average.
19. In South Lanarkshire deprivation is slightly lower than the Scottish average, unemployment is higher at 5.4 per cent, compared to 4.7 per cent for Scotland as a whole. There are fewer jobs in the area compared to the Scottish average (0.72 jobs per head of working age population compared to 0.84 for Scotland). There are slightly higher levels of benefit claimants (18.9 per cent compared to Scottish average of 17.6 per cent). Median gross weekly earnings in South Lanarkshire are two per cent higher than average. A higher than average proportion of the area's workforce is employed in manufacturing and construction and a lower proportion in the service industry. Life expectancy is lower than average, with women having lower levels of healthy life expectancy. Admissions to hospital for alcohol and drugs misuse are lower than Scottish averages. However, a higher proportion of people are claiming Disability Living Allowance.
20. The challenges facing the council include; an increasing population putting pressure on services and housing, a growth in the proportion of older people putting pressure on health and care services, unemployment levels, availability of jobs in the area and ease of commute to other employment, pockets of deprivation, mixed performance in terms of skills and training, lower life expectancy and healthy life expectancy for women and higher proportions claiming Disability Living Allowance. These challenges are reflected in the priorities that the council and its partners have identified in their SOA outcome areas; working and learning communities, safe and healthier communities and successful and inclusive communities.

Self-evaluation

21. In February 2009 Audit Scotland's report on Best Value and Community Planning in South Lanarkshire Council noted that it had many elements of an effective continuous improvement culture. It conducted a wide range of service improvement activity that had resulted in efficiencies and other

improvements. It considered that there was scope for the council to prioritise and coordinate this more effectively to ensure maximum impact. The council is currently implementing an improvement plan to address the findings from the report. A follow up audit of Best Value and Community Planning by the council's appointed auditor considered the progress made by the council (as at March 2010) in implementing its improvement agenda outlining fourteen improvement actions. Overall, it was noted that the council has shown considerable commitment to addressing the improvement agenda by the implementation of ten of the item and progress noted against the remaining four.

22. The council continues to demonstrate effectiveness in its approach to improvement and in its self-evaluation shows continued review activity. The council has carried out reviews of its Council Plan and, with its partners, the Community Plan, both reviews taking place in 2009. This ensures that the plans are relevant and address the current challenges facing the area. The council shows awareness of the need to address the challenges that it faces in the current economic climate and has agreed to develop a longer term efficiency strategy involving; managerial efficiencies, best value service reviews, an examination of non core areas of spend, consideration of income generation activities, National Diagnostics projects, alternative service delivery opportunities and targeted efficiency savings for each service.
23. During 2008 the council carried out a review of its improvement activity. All members of the CMT and their heads of service have completed self assessments that contributed to the mid term review of the council plan, ensuring that there is a comprehensive approach across the council. The council has also now approved a corporate system of self evaluation and is implementing the Public Sector Improvement Framework.
24. The council has developed a new performance management system, IMPROVE, to further improve its performance management arrangements. To date, this has been developed for the Council Plan and individual Resource Plans. It is further intended to extend to the Single Outcome Agreement (SOA). The council has also carried out a review of its local performance indicators and its benchmarking arrangements. It shows good awareness of poor performing areas and has improved the monitoring and reporting of these to ensure continued improvement. This has allowed the LAN to take assurance from the council's own self evaluation processes.

4. Delivering outcomes for communities

The council and its partners are making progress in delivering their priority outcomes. Services in South Lanarkshire generally perform well and are improving. Many have high levels of customer satisfaction. No significant risks have been identified within the shared risk assessment. SWIA will carry out some focussed work relating to some services, reflecting an area of uncertainty, and the LAN will monitor progress overall through ongoing/scheduled audit and inspection work.

Council planning and approach

25. The council and its partners developed their SOA based on the Community Plan, 'Stronger Together'. The Community Plan had three broad aims supported by six specific objectives. Aims and objectives have been incorporated into the SOA as a number of local outcomes supported by 99 indicators. The aims are successful and inclusive communities, safe and healthy communities and working and learning communities.
26. The council defined key objectives in its Council Plan: Connect 2007-11 and a mid term review of the plan in 2009 saw a reassessment of priorities. The Connect priorities for 2009-12 demonstrate an understanding of the immediate challenges that the area faces. The priorities include:
 - improve the quality, access and availability of housing
 - develop services for older people
 - improve the road network
 - sustainable development
 - schools modernisation.
27. In addition, the mid term review of the council plan gave priority status to the following: support the local economy by providing the right conditions for growth, improving skills and employability, performance management and improvement, partnership working, community leadership and engagement and efficient and effective use of resources.

Strategic priorities

28. In assessing whether South Lanarkshire Council is delivering outcomes for its communities, we considered relevant performance measures from a number of key sources including the SOA performance report, statutory performance indicators (SPIs), key performance indicators and other inspection and audit reports (see Appendix 1). We recognise that although reference is made to baseline or trend data not being available for a number of indicators we acknowledge that this is sometimes the result of nationally collected data not being available to match the reporting timescales for the SOA.

Working and learning communities

29. The available outcome measures indicate that the council and its partners are making progress on the outcomes in this area. Data is not available for all measures and the economic downturn is likely to present further challenges in this area. Forty-eight per cent of the outcome indicators show improving or static performance, 16 per cent of the indicators show decline and relate to the local economy with the business creation rate and the three year business survival rate performing below the Scottish average, baseline or trend data is not available for 35 per cent of the indicators. Progress has been made in increasing business start-ups and the level of revenue from tourism, but unemployment figures are likely to rise due to the economic downturn. There has been improvement in school leavers moving on to positive destinations, reduction in class sizes and improving levels of qualifications in adults.

Safe and healthier communities

30. The partnership is making least progress in this strategic priority area. The available outcome measures indicate that performance is mixed on some aspects. The reported performance shows that 36 per cent of the outcome indicators show improving or sustained performance, 32 per cent show a decline and baseline or trend data is not available for 32 per cent of the indicators. In the health indicators, performance is mixed overall with eight indicators improving, but six declining. There have been improvements in relation to cancer, but not against coronary heart disease, or raising the rates of breastfeeding. Recorded crime levels in the area are declining, although the fear of crime is growing and there has been an increase in serious road accidents and more people added onto the Scottish Drug Misuse database. The promotion of public awareness of child protection was identified as a key strength in the Child Protection inspection

Successful and inclusive communities

31. The available outcome measures indicate that the council and its partners are making progress on the outcomes in this area. Data is not available for all measures. Fifty-six per cent of the outcome indicators show improving or sustained performance, 15 per cent show a decline and baseline or trend data is not available for 29 per cent of the indicators. Progress has been made in increasing the receipt of free school meals and credit union involvement rates. Performance is improving in terms of the provision of affordable housing and the number of households assessed as homeless has increased.

Service performance

32. Services in South Lanarkshire generally perform well; the detail of our evaluation is contained in Appendix 2.

33. The services we consider to have few significant risks include; Education, Housing, Environmental, Regulatory, Cultural, Roads and Social Work, though we have identified some scrutiny risk relating to some areas of Social Work Services.
34. Over the past five years, South Lanarkshire's Education Resources have performed consistently well. Centrally based staff provide effective support and challenge to educational establishments and HMIE inspection reports show that almost all pre-school, primary and secondary schools are performing at a satisfactory level or better. In the primary sector, over the past three years, overall standards of achievement have continued to improve. In the secondary sector, the overall performance of young people in national examinations is broadly in line with the national average. Customer satisfaction is high. Good progress is being made on improving the schools estate by 2016 through an ambitious modernisation programme covering all primary and secondary schools.
35. Social Work Services are generally good and the council has received positive inspection reports by SWIA and HMIE. The council has made significant capital investment in older people's facilities, children's homes and integrated community facilities. Improvements were needed in some areas of the Criminal Justice Service, Community Care and in Services for Adults. Ongoing service performance improvements in Criminal Justice Services have been highlighted by the appointed auditor in a Best Value audit follow-up report in May 2010. This found that a revision of operational arrangements and procedures and an increase in committed resources has resulted in improved performance, it also highlighted a number examples of good practice in this service.
36. SHR are currently carrying out an inspection of South Lanarkshire Council's housing and homelessness functions. The result of this inspection will inform future risk assessments. Audit Scotland's Best Value report of 2009 suggests housing performance is sound and the council reports that it is making good progress towards achieving the SHQS and customer satisfaction is high, though the council needs to continue to respond to demands for affordable homes and homelessness.
37. Refuse Collection, Disposal and Street Cleaning Services are effective and customer satisfaction is high. The performance of Regulatory Services is sound and though performance of Cultural Services is mixed customer satisfaction is high. The performance of Roads Services needs to improve and customer satisfaction is low, but the council is responding and has prioritised investment into this area. The ongoing investment in South Lanarkshire's roads is giving rise to continued improvements in the road network. However, the council acknowledges that maintaining this state of continued investment and steady improvement will be particularly challenging as a result of the adverse winter encountered during 2009/10 and the challenging financial settlements expected to arise in the upcoming years.
38. SPIs indicate that South Lanarkshire's services perform well overall and are getting better. For the period 2007/08, the last year at which full comparative information across councils was available, the council had 30 SPIs in the top quartile against the Scottish average of 21. The rate of improvement to

decline of the SPIs was the joint highest in Scotland for the three years to 2007, before levelling out to the Scottish average in the three years to 2008.

Implications for scrutiny activity

39. None of the main outcomes areas have been identified as areas of significant scrutiny risk, though performance is mixed in some areas.
40. HMIE will lead a second inspection of services to protect children in the autumn of 2010, which will include follow-up of areas identified for improvement in the first child protection inspection report.
41. SWIA completed an Initial Scrutiny Level Assessment at the end of 2009. The areas identified for further scrutiny work are; assessment, case management and partnership working. SWIA will carry out scrutiny work to explore adult support and protection, partnership working and commissioning arrangements and identify plans and actions to address these. This will take the form of interviews and focus groups with key staff and partner agencies
42. SWIA will also continue to monitor other areas identified through the link inspector role. HMIE and the Care Commission will monitor Education and Social Work.
43. SHR are currently carrying out an inspection of Housing Services in South Lanarkshire Council. The results of the inspection will inform any proposals for further scrutiny activity.
44. For the areas identified as having no significant risks there will be no specific additional audit or inspection work. The LAN will monitor performance through scheduled audit and inspection work to inform the next risk assessment; this will include the annual external audit and ongoing inspections at establishment level by HMIE and the Care Commission

5. Corporate assessment

South Lanarkshire is a tightly managed council and it has good corporate arrangements in place. It knows where improvement is needed and is making significant efforts to continually improve how it operates and delivers services.

No significant scrutiny risks have been identified within the corporate assessment and therefore there is no specific work planned in this area beyond the LAN monitoring through ongoing/scheduled audit and inspection work.

45. In determining the corporate assessment for South Lanarkshire Council, we considered the corporate performance and arrangements in place. The detail of our evaluation is contained in Appendix 2.
46. The council has set a clear vision, strategic direction and objectives and has a track record of delivering on its priorities. Members and officers display good leadership and planning arrangements are sound.
47. The council works well with its partners. HMIE have highlighted that Education Resources recognises the value of strong partnership working with parents and local communities. Managers at all levels contribute to national, council and local initiatives through active participation in a wide range of advisory groups and committees. The 2008 Child Protection inspection found Integrated Children's Services teams, including staff from NHS, education and social work resources, working well together to minimise harm to vulnerable children. The Integrated Children's Services Plan (ICSP) was well understood by staff. The inspection also found that there was clear evidence of successful partnership working in the plan's development and implementation. Partnership working with North Lanarkshire Council's Social Work Services and Child Protection Committee was well established.
48. The council's approach to community engagement is effective. The council uses a wide range of consultation techniques, including a citizens' panel and service user surveys. Use of an established community engagement framework is evident in the community planning theme partnerships, neighbourhood management arrangements and through tenant participation. The consultation exercise and subsequent agreement of the SOA demonstrated an inclusive approach to community planning. The council recognises there is still the potential for improvement in respect of the uniform application of the Community Engagement Framework. HMIE consider that Education Resources approach to consultation is very strong. Consultations on major developments involve a wide range of stakeholders including councillors, children and young people, staff in establishments, centrally employed staff, parents, trade unions, other departments and partner agencies. The Child Protection inspection found that the involvement of children and young people in service development was a key strength
49. South Lanarkshire's governance and accountability arrangements are sound. The council has made changes to address the areas previously identified as needing improvement and the effectiveness of these will be monitored through the annual audit process.

50. The council is customer focused and performance management arrangements are generally sound and improving. Audit and inspection work reports indicate that customers are generally satisfied with the services they receive and the way in which enquires and complaints are handled.
51. The council has introduced new performance management software to further improve its performance management arrangements. HMIE and SWIA have noted improvements in the performance management arrangements. The council has many elements of an effective continuous improvement culture. It conducts a wide range of service improvement activity that has resulted in efficiencies and other improvements
52. Overall, the council manages its finances effectively. Audit and inspection reports indicate that the council demonstrates strong financial stewardship. It has a comprehensive medium to longer-term financial strategy which considers financial pressures and is reviewed and updated regularly. There is a sound process in place to link the council's budget setting arrangements with its priorities and to direct expenditure into priority areas.
53. The council manages its people well and has an effective approach to training and development, as well as staff communication. Absence rates and staff turnover are low and staff feel well informed. The council has a comprehensive range of personnel policies, but still needs to develop a forward-looking workforce strategy. A draft workforce planning strategy, which formalises the council's approach as well as introducing new aspects to be introduced and reviewed on a cyclical basis has been prepared. The final document will be considered by CMT and Committee during 2010. The council intends to fully implement the workforce strategy actions by March 2011.
54. The council has a sound framework for managing and maintaining its physical assets, and asset management plans are linked to corporate objectives. The Corporate Asset Management Plan is supported by detailed resource asset management plans and a robust reporting structure. The council is the lead authority for the 'Property Sharing and Local Management in Hubs' workstream of the Clyde Valley review.
55. Though the council had a procurement strategy and guidelines, these had not been applied consistently and the procurement of goods and services was not well coordinated. A new council procurement strategy is being developed as part of a fundamental overhaul of the council's procurement arrangements. Following the engagement of an external consultant to assist in devising a change programme for the procurement function, a head of procurement has been recruited and the structure for the new Procurement Service has been agreed with procurement managers aligned to resources. The council's investment in developing its approach to procurement and strengthening its management arrangements is estimated to generate initial annual savings of £3 million with the realisation of £10 million of efficiencies anticipated in the longer term. Electronic procurement software has been introduced in five of the seven council resources, with implementation of the software for Education and Social Work Services anticipated to be completed by October 2010.

56. Although the council had made limited progress on the sustainable development agenda in recent years both management and elected members have indicated a strong commitment to meeting Government targets while recognising that this remains a significant challenge. Sustainable development is one of the guiding principles of the Community Plan, and in 2009 the council established a Sustainability Partnership to promote sustainable development within the community planning arena. The council is organisationally aware of risks associated with sustainable development and has included relevant risks and control measures in its Corporate Risk Plan. The revised sustainable development strategy provides a focus for all of the improvements the council needs to make. Progress will be monitored six monthly by a Sustainable Development Officer/Member Group, and annually by the council's Executive Committee.
57. The council's equality arrangements are effective and the measures available covering equality outcomes show improvement, though the reporting of progress against its equalities schemes could be further improved to show whether they meet their targets or are within timescale. The council has invested in ensuring that equality issues are highlighted and progressed efficiently and effectively; it has good strategies, systems and processes in place and is making good progress. The Best Value report noted that the council now needs to develop more outcome-focused indicators to ensure this activity is having the intended impact.

Implications for scrutiny activity

58. There was no significant risk identified for the majority of the Corporate Assessment areas. The LAN will monitor performance in the corporate assessment areas through scheduled audit and inspection work to inform the next risk assessment.

6. Conclusions

National risk priorities

59. 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, is encapsulated in the council's defined outcomes. The 2008 Child Protection inspection found Integrated Children's Services teams including staff from NHS, Education and Social Work resources working well together to minimise harm to vulnerable children. Improvements are needed in some areas of the Criminal Justice Service, Community Care and in Services for Adults. SWIA will carry out scrutiny work to explore adult support and protection concerns and identify plans and actions to address this.
- Assuring public money is being used properly. This forms a key strand of the council's approach to excellence. Overall, the council manages its finances effectively and demonstrates strong financial stewardship. It has a comprehensive medium to longer-term financial strategy which considers financial pressures and is reviewed and updated regularly. There is a sound process in place to link the council's budget setting arrangements with its priorities and to direct expenditure into priority areas. PwC will assess this as part of the annual audit activity;
- The impact of the greater financial pressure faced by councils associated with the current economic climate. Given anticipated reductions in government funding, the council is anticipating the need to make savings of £17 million for 2010/11, and anticipate £30 million from 2011/12 onwards (representing four per cent of the council's total expenditure per annum). A number of approaches are being explored:
 - Consideration of non-core areas of spend where reductions could be achieved.
 - Review of services provided in particular areas where charges could be introduced or increased.
 - Exploring options identified as part of an efficiency diagnostic which was undertaken.
 - Alternative service delivery options which would result in decreased costs.
 - Continuing to target efficiency savings for each Resource.

PwC will assess this as part of the annual audit process.

None of the national risk priorities present a significant scrutiny risk in South Lanarkshire Council. The LAN has identified arrangements to support adults at risk as an area of uncertainty and SWIA proposes to undertake some limited inspection work in this area.

Summary of planned scrutiny activity

60. The appendices to this plan show a summary of the evidence we considered and the overall risk assessments made by the 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 risks.
61. These results are reflected in the Assurance and Improvement Plan at Appendix 3 which sets out the basis of our scrutiny activity for South Lanarkshire Council 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 agencies ongoing work.
62. On the basis of our shared risk assessment, we do not plan to carry out a BV2 audit in 2010/11 or 2011/12, subject to the current levels of risk being maintained.
63. 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:

- SWIA will carry out focussed scrutiny activity in the areas of adult protection, partnership and commissioned services in June 2010.
- HMIE -A Child Protection inspection (CP2) will be undertaken in September 2010.
- Care Commission will undertake a Fostering and Adoption Inspection in September 2010.
- HMIE will undertake an Educational Psychology Services Inspection in October 2010.
- HMIE will work with Education Resources to support its self-evaluation process through voluntary Validated Self Evaluation in 2011.

On-going work:

- The Care Commission and HMIE will continue to undertake ongoing inspection work at establishment level.
- HMIE and SWIA will continue to monitor risk through the link inspector role.
- In line with the Code of Audit Practice, PwC will continue to audit the financial statements and review and report on corporate governance and performance management matters.

National work:

- SHR - submission of Scottish Housing Quality Standard monitoring information for mid point update 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. South Lanarkshire Council may have some limited involvement by virtue of their position on the joint police board.

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

Appendix 1 – Outcome and services risk assessment

Strategic Priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><i>Working and Learning Communities</i></p>	<p>No significant risks</p>	<p>The available outcome measures indicate that the council and its partners are making progress on the outcomes in this area. The economic downturn is likely to present further challenges in this area.</p> <ul style="list-style-type: none"> • 48% of the outcome indicators show improving or static performance, 16% of the indicators show decline, baseline or trend data is not available for 35% of the indicators. • 2009 Best Value report noted that the council and its partners have an effective framework and consistent approach to supporting regeneration and that considerable progress had been made in physical and environmental regeneration. Regeneration programmes are coordinated effectively but challenges remain in overcoming severe deprivation in some areas. • Of the indicators that show decline these relate to the local economy with the business creation rate and the three year business survival rate performing below the Scottish average, • There has been improvement in school leavers moving on to positive destinations, reduction in class sizes and improving levels of qualifications in adults. HMIE report that while exam attainment levels have remained constant over the past few years they are in line with the Scottish average and that there are appropriate objectives with specific targets to raise attainment at both primary and secondary stages. The council has suitable objectives to increase the % of schools receiving positive inspection reports. • Child protection inspection reported strengths and found attention being given to raising the educational attainment of looked after children 	<p>No specific/ additional audit/ inspection work.</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
Safe and healthier communities	Areas of uncertainty	<p>The available outcome measures indicate that the council and its partners are making progress in this outcome area, though performance is mixed on some aspects.</p> <ul style="list-style-type: none"> • 36% of the outcome indicators show improving or sustained performance, 32% show a decline and baseline or trend data is not available for 32% of the indicators. Of the strategic themes, the partnership is making least progress in this area. • In terms of health indicators, performance is mixed overall with 8 indicators improving, but 6 declining. There have been improvements in relation to cancer, but not against coronary heart disease, or raising the rates of breastfeeding. • Recorded crime levels in the area have been declining and the make up of recorded crimes has increasingly been dominated by acts of vandalism or drugs. The partnership's objectives are clearly linked to addressing these issues. Education is committed to contributing to these through the responsible citizen element of Curriculum for Excellence. • The resident's survey shows the fear of crime is growing and there has been an increase in serious road accidents and more people added onto the Scottish Drug Misuse database. • The promotion of public awareness of child protection was identified as a key strength in the Child Protection inspection (March 2008). (Gold – good practice area). 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes to inform future shared risk assessments to ascertain how the council is addressing areas of under-performance or uncertainty.</p>
Successful and inclusive communities	No significant risks	<p>The available outcome measures indicate that the council and its partners are making progress on the outcomes in this area.</p> <ul style="list-style-type: none"> • 56% of the outcome indicators show improving or sustained performance, 15% show a decline and baseline or trend data is not available for 29% of the indicators. • The council has a good focus on measuring performance in tackling disadvantage and deprivation, however is unable to report on some of these measures. Within the most deprived 15% datazones in the area there has been progress increasing receipt of free school meals and credit union penetration rates. Areas of under performance include an increase in the number of households assessed as 	<p>No specific/ additional audit/ inspection work.</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>homeless, and a reduction in the number of out of work families in receipt of child tax credit.</p> <ul style="list-style-type: none"> • A Child Protection inspection in March 2008 found very effective planning and information-sharing to safeguard vulnerable children when they moved in and out of the authority area (gold) but found some children were out of school for too long because of delays in agreeing and providing suitable educational placements. Some children had to wait for lengthy periods for specialist services to help them recover from abuse and neglect. • Performance is improving in terms of provision of affordable housing and on improving the quality of local authority housing, however detail is lacking on the scale of the improvement. The council is performing above average in terms of Audit Scotland's KPIs for housing services and in particular 'affordable housing planning consent', but doing less well with homeless people being reassessed as homeless within 12 months. • Performance is improving in relation to the recycling of domestic waste, reducing municipal waste, increasing the number of schools with eco-status and increasing levels of environmental volunteering. Performance is declining in only one indicator – the level of vacant and derelict land, Data is not yet available for global/ecological footprint and the number of properties at risk of flooding. In terms SPIs, there are fewer problems with rubbish/ litter and the cleanliness of the area which is close to the Scottish average. 	

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
Education	No significant risks	<p>Overall South Lanarkshire's Education Services perform well</p> <ul style="list-style-type: none"> In 2007/2008, 5-14 attainment in SLC was at its highest level in the last 3 years in primary schools. Performance in NQs of SL pupils in each of the 6 key measures are broadly in line with the national average. In 2006/2008, SLC pupils outperformed pupils in the nationally identified comparator authorities (CA) in each of the 6 measures; and attainment levels are equal to or higher than the national average in 5 of the 6 measures, and are in line with the national average in the other. The % of pupils staying on beyond the compulsory school leaving age has been broadly similar or above the national average between 2005 and 2008. Between 2005 to 2008 the % of school leavers not in education, employment or training (NEET) in SL has remained the same, this is below the comparator authority average and is in line with the national figure. HMIE inspected 31 schools April 2008 to March 2009. Overall quality of education in 91% of those schools was evaluated as being satisfactory or above. Stakeholders are positive about education services (88% satisfied in the council-wide survey, 92% of primary pupil's interviewed expressed satisfaction with their school, 78% of secondary pupil's expressed satisfaction, 97% of parents of pre-school children interviewed expressed satisfaction. Attendance is broadly in line with the national averages and that of comparator authorities Good progress is being made on improving the schools estate through an ambitious modernisation programme covering all primary and secondary schools by 2016. Education Resources demonstrates a firm commitment to promote and support achievements through participation in award schemes, voluntary work, environmental projects, the arts, sports and other creative pursuits. In 2008-2009 a high number of YP are achieving increasing levels of recognition in their chosen areas of sport, art and culture. They have successfully gained a number of national awards including: The Duke of Edinburgh's 	<p>No specific/ additional audit/inspection work.</p> <p>HMIE and Care Commission will monitor performance through ongoing work</p> <p>HMIE will undertake an Educational Psychology Services Inspection in October 2010</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>awards; Dynamic Youth Awards, Young People into Youth Work (SVQ level 2)</p> <ul style="list-style-type: none"> • A Child Protection inspection in March 2008 found appropriate training available for staff and effective arrangements in place to meet the learning needs of new employees. Feedback was taken after each learning event and work was being done to measure how training was increasing staff skills and confidence. • There is an open, co-operative and good working relationship with the care commission at strategic and management level. No complaints have been upheld or partially upheld between April 2008 and September 2009. Overall, grades for Nurseries relating to quality of care, environment, staffing and leadership and management were positive. 	
Social Work	No significant risks	<p>Overall, social work services are generally good and have received positive inspection reports by SWIA and HMIE. The council has made significant capital investment in older people's facilities, children's homes and integrated community facilities. Improvements are needed in some areas of the community care and criminal justice service.</p> <ul style="list-style-type: none"> • Stakeholder satisfaction with the services is high with levels of 81% for social work care services and 76% on services for older <p>Children's services</p> <ul style="list-style-type: none"> • Services are performing well overall and are producing good outcomes in throughcare and educational attainment (though there has been some recent slippage) and limited placement moves for children who are looked after and accommodated. Some improvements are needed on screening domestic abuse referrals with the police and to out of hours cover arrangements • A child protection inspection in March 2008 found safe and rigorous recruitment procedures were in place, staffing levels were appropriate, protecting children was given priority and appropriate training was available for staff. • The Care Commission reports adoption and fostering services 	<p>No specific/ additional audit/inspection work.</p> <p>HMIE – inspection of services to protect children September 2010</p> <p>Care Commission will undertake a Fostering and Adoption Inspection in September 2010</p> <p>Care Commission will monitor performance through ongoing work at establishment level.</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>are improving and that a positive management culture is in place which and has had no complaints upheld or partially upheld between April 2008 and September 2009.</p> <ul style="list-style-type: none"> Residential units are provided in small units which are of good quality. No complaints have been upheld or partially upheld between April 2008 and September 2009 and there has been an improvement in grades generally where in many services grades have improved from adequate to good and very good. It is positive that two significant case reviews have been undertaken and learning seminars from these, however the quality of them varied. 	<p>SWIA- monitor through link inspector role.</p>
	<p>No significant risks</p>	<p>Criminal justice services</p> <ul style="list-style-type: none"> A 2005 inspection highlighted areas for improvement and that progress in these areas had been slow with some progress being made very recently. 	<p>No specific/ additional audit/ inspection work.</p> <p>SWIA will monitor progress through ongoing inspection work to inform future shared risk assessments.</p>
	<p>Areas of uncertainty</p>	<p>Services for adults</p> <ul style="list-style-type: none"> Community care services are generally operating well, though there are some concerns in relation to adults at risk. These concerns are primarily in relation to application of policies and procedures and quality of assessment/risk assessment and management. It is not clear how effective partnership working is in this area. SLC Social Work Resources has been carrying out improvement work to improve services for adults at risk. The quality of assessment and planning in other areas of community care require further exploration The effectiveness of robust monitoring and reviewing of contracted and commissioned care services is unclear and was the subject of media scrutiny in 2009, this resulted in a review of procurement arrangements by PWC and the quality of care by the Care Commission. Care home services provided by the council are generally good/very good in terms of the quality of care and support, environment, staffing and leadership and management. Care home services provided by other agencies perform less well 	<p>SWIA – scrutiny to explore the areas outlined opposite. This will take the form of interviews and focus groups with key staff and partner agencies.</p> <p>SWIA - supported self evaluation approach to support the management of high risk offenders during 2010/11.</p> <p>SWIA & Care Commission – will monitor through link inspector role. There will be particular focus on how the council is addressing performance concerns within specific aspects of contracted out services.</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>and the gradings, requirements and enforcement action indicate poorer service performance, though the council liaises effectively with the Care Commission.</p> <ul style="list-style-type: none"> • Care at home services were generally rated as very good in terms of quality of care, staffing and leadership and management and are in broadly line with national averages. 	
Housing	No significant risks	<p>SHR are currently carrying out an inspection of South Lanarkshire Council.</p> <ul style="list-style-type: none"> • The Best Value report in 2009 noted that the council is making good progress towards achieving the SHQS and capital programmes are contributing to the regeneration of several areas within South Lanarkshire. Overall performance is good and customer satisfaction is high, though the council needs to continue to respond to demands for affordable homes and homelessness. • Performance remains well above average with rent loss, rent arrears and re-let times all substantially better than the Scottish average. Costs also remain lower than average. 	Future scrutiny in this area will be informed by the results of the current SHR inspection and the annual SRA process
Corporate Services	No significant risks	On the basis of the findings in the corporate assessment below no areas of significant risk have been identified.	<p>No specific/ additional audit/ inspection work.</p> <p>Annual audit will monitor performance and inform the next risk assessment.</p>
Environmental Services (inc Waste Management)	No significant risks	<p>Refuse collection, disposal and street cleaning services are effective and customer satisfaction is high.</p> <ul style="list-style-type: none"> • The Best Value report in 2009 noted that refuse collection, waste disposal and street cleaning services are effective. The council has high levels of recycling and now faces the challenge of further increasing recycling rates. Waste management costs are around the Scottish average. • Customer satisfaction with refuse collection is 88.1% and 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>84.8% for recycling. Satisfaction with the cleanliness is lower at 58.6%.</p> <ul style="list-style-type: none"> The PwC Annual Report to Members identifies waste management as a key future challenge for the council. 	
Regulatory services	No significant risks	<p>The performance of regulatory services is sound.</p> <ul style="list-style-type: none"> Planning performance is substantially above the Scottish average with affordable housing consent significantly better. Costs however are higher than average, although there has been substantial reduction more recently. Customer satisfaction with dealing with planning applications and building warrants is reasonable at 68.9%. Trading Standards performance and costs are around the Scottish average. Environmental health services performance overall is above the Scottish average with performance on dealing with domestic noise complaints significantly better than average. Costs remain lower than average. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment</p>
Cultural Services	No significant risks	<p>Despite mixed performance, customer satisfaction is high.</p> <ul style="list-style-type: none"> Sport and Recreation performance is mixed, pool attendance is significantly above average, but attendance at indoor facilities is below average. Costs remain around average. Customer satisfaction with sports and leisure facilities is high at 82.4%. Libraries, Museums and the Arts performance is substantially below average with both library visits and museum visits much lower than average, although museum visits have improved significantly more recently. Costs remain significantly lower than average. Customer satisfaction is high (92.6% for libraries and 80.5% for arts and museum services). 	<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>Roads performance needs to improve considerably and customer satisfaction is low, but the council is responding and has prioritised investment into this area.</p>	<p>No specific/ additional audit/ inspection work.</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • Roads performance has historically been below average with carriage condition poorer and traffic congestion worse than average and customer satisfaction ratings with roads and pavements is 24.2%.As a consequence, the Council has recently prioritised roads improvement and is responding with a Roads and Rural Investment Programme worth £126 million starting in 2008/09 and continuing until 2016. It anticipates that the improvement in the road condition as a result of this will be seen in the longer term. • The extreme conditions encountered during the 2009/10 winter will impact upon the improvement programme, with the cost being quantified as £8.22M. As the funding allocated to the Road Investment Programme is back loaded, it is scheduled to increase as Government allocations are forecast to be at their most challenging level (2011/12-2013/14) and maintaining the investment in the Programme will be extremely difficult. • The council performs well in terms of lighting repairs. 	<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
Vision and Strategic Direction	No significant risks	<p>The council has set a clear vision, strategic direction and objectives and has a track record of delivering on its priorities. Members and officers display good leadership and planning arrangements are sound.</p> <ul style="list-style-type: none"> • Clarity of vision and strategic direction has been noted as a strength in the BV, HMIE and SWIA reports. The shared vision of the council and its key partners (NHS, SCRA and Strathclyde Police) relating to child protection has been highlighted by HMIE as an area of good practice. • Audit and inspection reports also highlight strong and effective working relationships between members and officers and a positive culture in the council. (HMIE – Child Protection cites as gold the joint leadership between the council and key partners, NHS, SCRA and Strathclyde Police). • The council sets clear priorities and has a good record of delivering on these. SLC has an integrated set of plans and a sound approach to business planning which is linked effectively to the financial strategy. • The council carried out a mid term review of its corporate plan 'Connect' in 2009/10. This has allowed the council to update its strategy and objectives to reflect changing circumstances and priorities. Corporate plans and service plans link well. 	<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>
Partnership working and community leadership	No significant risks	<p>The council works well with its partners.</p> <ul style="list-style-type: none"> • The 2009 Audit of Best Value and Community Planning noted that the council provides leadership on community planning, and that there are many good examples of effective partnership working. However, SLC should be more open to the views and concerns of its partners, adopting a more inclusive approach. • HMIE have highlighted that Education Resources recognises the value of strong partnership working with parents and local communities and that managers at all levels contribute to national, 	<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>council and local initiatives through active participation in a wide range of advisory groups and committees.</p> <ul style="list-style-type: none"> • <i>The 2008 Child Protection inspection</i> found Integrated Children's Services teams, including staff from NHS, Education and Social Work resources, working well together to minimise harm to vulnerable children and that the Integrated Children's Services Plan (ICSP) was well understood by staff. The inspection also found that there was clear evidence of successful partnership working in the plan's development and implementation. Partnership working with North Lanarkshire Council's social work services and Child Protection Committee, was well established. <p>Some areas need to improve</p> <ul style="list-style-type: none"> • The Audit of Best Value and Community Planning report noted that the community planning partnership was uneven and that there was scope to promote a more integrated and inclusive approach involving all partners, including the voluntary, community and social economy sectors. Performance reporting by the theme partnerships was variable. A follow up audit on Best Value and Community Planning in June 2010 reported that the consultation exercise and subsequent agreement of the SOA demonstrated and inclusiveness approach in respect of community planning. The council recognises that there is still the potential for improvement in respect of the uniform application of the Community Engagement Framework. • The Child Protection inspection found no joint assessment across services of concerns about children affected by domestic abuse and that the needs of these children were not well identified and prioritised. • The SWIA ISLA concluded some uncertainty regarding the effectiveness of partnership working between social work and health across some community care services and the police across children's services as outlined above 	<p>HMIE will assess how the council and its partners have addressed the identified concerns in the planned child protection inspection in September 2010.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Community engagement	No significant risks	<p>The council's approach to community engagement is effective.</p> <ul style="list-style-type: none"> The 2009 BV report noted that the council uses a wide range of consultation techniques, including a citizens' panel and service user surveys. Use of an established community engagement framework is evident in the community planning theme partnerships, neighbourhood management arrangements and through tenant participation, but consistency could be improved. The council and its partners should review the management of community engagement, build on existing good practice and improve overall consistency. HMIE consider that Education Resources approach to consultation is very strong. All reports to the committee clearly indicate the nature of the consultation carried out to shape the proposals and recommendations. Consultations on major developments involve a wide range of stakeholders including councillors, children and young people, staff in establishments, centrally employed staff, parents, trades unions, other departments and partner agencies. The Child Protection inspection found that the involvement of children and young people in service development was a key strength. The inspection noted how services consulted widely with children, including vulnerable and disadvantaged children and that young people had made a valuable contribution to identifying priorities in the integrated children's services plan. 	<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>Governance and Accountability</p>	<p>No significant risks</p>	<p>Governance and accountability arrangements are sound. The council has made changes to address the areas flagged as needing improvement.</p> <ul style="list-style-type: none"> • The 2009 Audit of Best Value and Community Planning noted that political management arrangements and management structures have been settled for many years and could now benefit from review to ensure that they remain fit for purpose. It noted that decision-making is highly centralised, and Area Committees have a limited role. While corporate priorities are clear, arrangements could be more responsive to diverse local needs. • A follow up report on Best Value and Community Planning in South Lanarkshire in June 2010 concludes that the remit of Area Committees has been revisited and fully addresses the identified improvement actions although as part of the council's general review of its decision making arrangements in advance of the new council in 2012, consideration should be given to the role of Area Committees, in particular in respect of decision making powers. • The report noted that there were established procedures and policies in place which aim to support good governance, but that improvements are required to enhance accountability arrangements to ensure that decision-making takes place in an open and transparent environment. Very little scrutiny took place in open discussion and scrutiny forums did not meet in public. The membership and conduct of the Risk Management and Audit Forum did not meet good practice guidance. • The council reviewed the corporate governance arrangements, in particular the scrutiny forums: This led to a number of changes including the creation of a new forum "Financial Resources Scrutiny Forum". This forum is now chaired by an Independent Council Member. Also the Risk Management and Audit Forum has been re-titled the "Risk and Audit Scrutiny Forum" with the chair a member of the opposition party. The remit of this forum has been aligned with recommended audit committee principles including being open to members of the public. 	<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>Performance management and improvement</p>	<p>No significant risks</p>	<p>The council is customer focused and performance management arrangements are generally sound and improving.</p> <ul style="list-style-type: none"> • Audit and inspection work reports indicate that the council is customer focused and that customers are generally very satisfied with the services they receive and the way in which enquires and complaints are handled. • The council is introducing new performance management software to further improve the performance management arrangements. HMIE and SWIA have noted improvements in the performance management arrangements. • However, the Child Protection Inspection identified a number of areas where improvement was required. • The 2009 Audit of Best Value and Community Planning noted that the council had many elements of an effective continuous improvement culture. It conducts a wide range of service improvement activity that has resulted in efficiencies and other improvements. There was scope for the council to prioritise and coordinate this more effectively to ensure maximum impact. • The council is making good progress on the BV improvement plan arising from the audit. The full impact of this progress is not yet known. • STOs have broken even or generated a surplus on a three year rolling basis. • Audit and SWIA inspection work consider the council's risk management arrangements sound. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work to inform the next risk assessment. PWC will monitor progress on the BV improvement plan as part of the annual audit.</p> <p>HMIE will assess how the council and its partners have addressed the identified concerns in the planned child protection inspection in September 2010.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of Resources - Finance	No significant risks	<p>Overall the council manages its finances effectively</p> <ul style="list-style-type: none"> Audit and inspection reports indicate that the council demonstrates strong financial stewardship and that it has a comprehensive medium to longer-term financial strategy which considers financial pressures and is reviewed and updated regularly. There is a sound process in place to link the council's budget setting arrangements with its priorities and to direct expenditure into priority areas. During 2008/09 the council achieved a small surplus of £0.210 million. This was in line with the financial position forecast by management throughout 2008/09, reported to the Executive Committee. In addition to the cumulative general fund carry forward balance of £4.223 million, the Council held £51.305 million in other reserves as at 31 March 2009. The Council has identified savings equating to 2.14% of the council's total budget. The council's budget for 2010/11 was approved on 11 February 2010 and included a need to achieve £17 million of efficiency savings. 	<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 – People	No significant risks	<p>The council manages its people well and has an effective approach to training and development and staff communication.</p> <ul style="list-style-type: none"> As part of the council's efficiency savings diagnostic work, savings were identified through the restructuring of management. This led to proposals to alter the organisational structure. The report considered immediate restructuring options (2009/10 and 2010/11) as well as future proposals (2011 and beyond). Overall this demonstrates that the SLC is taking positive action to address the shortfall in funding and ongoing financial pressures, not just by considering savings at the margin but commencing a more fundamental review. Absence rates and staff turnover are low and staff feel well informed. The council has a comprehensive range of personnel policies, but still needs to develop a forward-looking workforce strategy. A follow up 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work, including the impact of restructuring, to inform the next risk assessment.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>audit of Best Value and Community Planning report in June 2010 concluded that a comprehensive exercise has been undertaken in formulating the council's first workforce planning strategy. Albeit still in draft, the strategy was noted as being forward looking, incorporating Central Government guidance and detailed action planning, while its compilation engaged a variety of stakeholders.</p> <ul style="list-style-type: none"> • Five corporate surveys have been undertaken of employees, since 1997 to assess satisfaction levels and areas of best practice and innovation. Employees in particular highlighted the learning and development opportunities as well as their involvement in service delivery. The 2008 staff survey had a return rate of only 15%, with considerable variations in the volume of responses being noted across Resources. A benchmarking exercise was undertaken with other local authorities in an attempt to develop new arrangements for staff surveys. This exercise led to several changes being implemented for the staff survey conducted in 2009, including an employee audit target response rate of 70%. The process changes in staff survey arrangements contributed to an increase in staff survey response rates from 15% in 2008, to 35% in 2009. While this represents a significant improvement for the council, further work is required to reach the 70% response rate target. The council shows awareness of the needs to review its approach to staff surveys to improve the response rate. • In Education Resources, staffing levels in early years centres, primary schools and secondary schools are sufficient in terms of compliance with agreed statutory ratios. The Resource evaluates staffing needs for present and future needs on an ongoing basis. Well-developed policies and practices re ensure professional review and development on an annual basis of all employees. HMIE report positively on recruitment processes, induction, development, leadership capacity and the corporate employee awards programme and PDR process. • SWIA's performance inspection identified that staff were well supported and received regular supervision, good range of training 	

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>activities and specific training for managers to develop leadership skills, good reporting mechanisms were place for monitoring attendance, leavers and recruitment.</p>	
<p>Use of Resources – Assets</p>	<p>No significant risks</p>	<p>The council’s asset management arrangements are sound</p> <ul style="list-style-type: none"> • The council has a sound framework for managing and maintaining its physical assets, and asset plans are linked to corporate objectives. The corporate asset management plan is supported by detailed resource asset management plans and a robust reporting structure. • A Corporate Asset Management Plan is produced annually and is driven by the council’s values and objectives Each Resource has Asset Management Plans (reviewed annually and redeveloped 5 yearly) which are driven by their Service Plans. This ensures asset plans are developed to achieve both the service needs as well as the overall priorities of the council. The annual review follows exercises carried out council wide to review property. • The secondary schools estate modernisation programme includes 17 new schools, all secondary schools will be fully modernized. As part of the £850 million primary schools modernisation programme, 124 primary schools are being rebuilt or refurbished by 2016. 	<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
Use of Resources – Procurement	Areas of uncertainty	<p>Though the council has a procurement strategy and guidelines, these are not applied consistently and procurement of goods and services is not well coordinated.</p> <ul style="list-style-type: none"> • The council had set up Strategic Procurement team in 2005, but has not managed to sufficiently change the approach to procurement throughout the council. Additionally, the council had been failing to realise a number of efficiencies. • In June 2009 the council approved a revised business case for centralised procurement which outlined a revised approach to service investment on the basis that procurement efficiencies would be identified. The proposed structure is one based on commodity teams within a centralised structure. This would enable a collaborative approach to procurement. • A head of procurement has recently been appointed, and is producing a detailed procurement action plan. • A new council procurement strategy is being developed as part of a fundamental overhaul of the council's procurement arrangements. The original Best Value improvement agenda item was raised in reference to the old procurement strategy. Whilst the agenda item could not be directly assessed, the revised procurement function structure was reviewed and there remains opportunity for recurring savings and efficiencies. 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance through scheduled audit/ inspection work, in particular, the impact of recent changes, to inform the next risk assessment</p>
Use of Resources – ICT	No significant risks	<p>The council uses ICT effectively to help deliver services and support improvement.</p> <ul style="list-style-type: none"> • The 2009 Audit of Best Value and Community Planning identified that ICT is used as a strategic resource in the council. • The council is investing in performance management software to support continuous improvement. • SWIA have noted improvements in the CareFirst social work IT system. 	<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
Sustainable development	No significant risks	<p>The council is showing a stronger commitment to progress the sustainable development agenda.</p> <ul style="list-style-type: none"> • The 2009 Audit of Best Value and Community Planning noted that progress on sustainable development has been limited in recent years. Recent efforts at re-energising this agenda need to be maintained to ensure that sustainable development is considered and included in policy development discussions and integrated into service delivery. Improvements are being made through the gradual implementation of a four year Sustainable Development Strategy, this provides a focus for all initiatives being taken to advance sustainable development across the council. Progress is reported on a six monthly basis to a Sustainable Development Officer/Member Group and annually to the Executive Committee • The council published a sustainable development strategy in September 2007 and actively reviewed and amended the action plan half way through its lifecycle. Actions have been streamlined and measures will be made more specific. They will be included in Resource Plans and in future reported on through the IMPROVe system. These recent improvements to its action plan are in part, to help mainstream sustainable development into normal council business. The council's three priorities for the remaining lifetime of the Sustainable Development Strategy are; the inclusion of sustainable development in council decision-making, sustainable procurement and carbon management. These are areas which the council acknowledge must be tackled more effectively to make further progress. • Sustainable development is one of the guiding principles of the community plan in terms of providing quality of life and wellbeing and 'creating an attractive, accessible and sustainable environment'. • Initiatives have been developed to embed the culture of sustainable development: <ul style="list-style-type: none"> ○ Carbon management plan which has realised a net reduction in council carbon emissions of 5.4% since 2005/06. ○ Improved design on new buildings which are now achieving consistently high energy performance ratings. 	<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 achievement of Carbon Trust standard for the council demonstrating organisational capacity to effectively manage its carbon emissions. ○ Application of strategic environmental assessment in the development of the council's plans and strategies. ○ The development of a comprehensive State of the Environment Report which tracks all key local environmental indicators. ○ The use of ecological footprinting as a learning tool within schools linked to school carbon reduction initiatives, and within the planning arena to inform the sustainable development of community growth areas. ○ Sustainable development guidance had been included in the council's guidance for best value review, resource planning and preparation of committee reports. ○ Development Staff travel plan. ○ Two energy awareness "Switch Off" campaigns. ○ Participation in Earth Hour 2009. ● The council's Carbon Management Plan currently being updated and will take account of consultancy advice provided by the Carbon Trust through its 'Carbon Management Revisited' programme. The plan will be reviewed again when guidance on the new public sector climate change duty arising from the Climate Change (Scotland) Act is produced. ● The council has made slow progress in one aspects of sustainable development. The council was one of four local authorities to participate in the Scottish pilot of Local Climate Impact Plan process. A plan was drafted in 2008 but needs further development before publication. ● Increasing the take up of internal sustainable development training is also viewed as a priority area for the council. 	

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Equality	No significant risks	<p>The council's equality arrangements are effective and the measures available covering equality outcomes show improvement, though the measures could be improved.</p> <ul style="list-style-type: none"> • 10 of the 17 equality related outcome measures show improvement, including an increase in positive destinations for school leavers from the most deprived areas and an increase in uptake by those entitled to free school meals. Only one indicator showed a decline (deaths from heart disease in the most deprived areas). Five indicators lack performance or trend data and the outcome measures have limited coverage of the main equality groups covered by the legislation. <p>The council has appropriate systems and processes in place to ensure they are fulfilling their legislative duties including:</p> <ul style="list-style-type: none"> • single equality scheme, however there is uncertainty about how progress on the single equality scheme actions are actually measured and therefore monitored. There are systems in place for monitoring and reporting, with identified lines of ownership, but the balance of reporting, level of information and the measurability of some actions is less clear. The council advises that it will take account of Scottish Government Guidelines expected at the end of 2010 relating to implementation, monitoring and reporting on Single Equality Schemes • positive signs around ensuring that equality issues are highlighted and progressed efficiently and effectively, particularly through approach to equality impact assessment • equality impact assessments are carried out and training is provided for relevant staff • the council takes a lead in a number of equality related forums and provides active support where it is not the lead partners • there is a partnership approach to equalities in place, a joint approach to equality impact assessment is being developed and information sharing is improving • SPI measures show good performance on accessibility of council buildings for disabled persons • the council has revised its mechanisms for collecting equalities data in order to improve the quality and consistency of the data collected as well as identifying opportunities for data collection in all areas of 	<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
		council activity eg through the household survey. However it needs to ensure the availability and use of up to date contextual data, to fully assist its understanding of the local context	

Appendix 3 – Assurance and Improvement Plan

The AIP is a three year rolling programme.

2010-11 (Year 1)												
Scrutiny activity	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
SWIA – focused scrutiny work on identified service areas												
HMIE - Child Protection inspection (CP2)												
Care Commission - Fostering and Adoption Inspection												
HMIE - Educational Psychology Services 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
Validated self evaluation (voluntary)	HMIE
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