

Shared Risk Assessment Assurance and Improvement Plan

West Dunbartonshire Council

June 2010



Contents

1. Introduction.....	3
2. Summary	6
3. The council’s context	8
4. Delivering outcomes for communities	11
5. Corporate assessment	21
6. Conclusion	25
Appendix 1 – Risk Assessment	27
Appendix 2 – Corporate Assessment.....	39
Appendix 3 – Assurance and Improvement Plan	48

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 West Dunbartonshire Council:
 - Audit Scotland;
 - Care Commission;
 - HM Inspectorate of Education;
 - Scottish Housing Regulator;
 - Social Work Inspection Agency.
 - KPMG, local appointed auditors
2. The AIP sets out the planned scrutiny activity for West 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; and
 - Building on each other's work to maximise its value.
4. The AIP draws on a number of sources of information, including
 - audits of Best Value and Community Planning in West Dunbartonshire Council (February 2007, January 2008, July 2009 and February 2010)
 - 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; and
- 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 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 is 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; and

- 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.

Status of AIP

12. The status of the AIP remains draft until the National Scrutiny Round Table and/or the Local Government Scrutiny Co-ordination Strategic Group has approved the AIPs for each council. The role of the national round table is to ensure that councils are treated equitably in terms of the assessment of risk and the proportionality of the scrutiny response. The national round table will also ensure that available scrutiny resources are appropriately targeted to areas of greatest risk.

Publication

13. Once agreed, the AIP is a public document and councils are expected to consider the AIP at an appropriate committee and/or at full council level. All 32 AIPs will be published on the Accounts Commission scrutiny web page. Our intention is also to publish the national scrutiny schedule scrutiny on the Accounts Commission scrutiny web page and on scrutiny bodies' websites..

2. Summary

There is a mixed picture of progress in the outcome areas identified as priorities by the community planning partnership but none are identified as areas of concern or significant risk which require specific scrutiny work in 2010/11.

Services generally perform well and education and social services show continued good levels of performance, and SPIs indicate improvement overall since 2005/06.

Significant risks have been identified due to ongoing concerns about the strategic leadership of the council and the slow pace of improvement in response to issues identified through Best Value Audits. This is particularly significant given the financial risks facing the council and the need to make difficult decisions to ensure the identified savings are delivered.

Scrutiny activity will continue to be targeted in those areas assessed as being a significant risk and these are set out in the remainder of this AIP.

14. The aim of the shared risk assessment is to focus scrutiny activity where it is most needed and therefore have a planned scrutiny response, which is targeted and proportionate.
15. There has been a significant level of audit and inspection work and follow-up work in recent years in West Dunbartonshire. In particular this has been in response to concerns relating to corporate arrangements and governance, and to the performance of housing services. Progress with improvement work has been slow overall.
16. Significant risks and concerns are identified in this assessment in relation to:
 - Vision and strategic direction – there is continued concern with the strategic leadership of the council, with this limiting progress with improvement and impacting on decision making. This is of particular concern given the council's financial position and the requirement to make difficult decisions in 2010/11 and beyond to achieve the savings required. This also has significant implications for the maintenance and improvement of current service performance.
 - Financial resources - the council faces severe financial pressures.
 - Outcomes relating to regenerating and growing the local economy – given the social and economic context of West Dunbartonshire, economic regeneration is a significant priority. Indicators suggest a mixed picture of progress and the economic downturn has impacted on major regeneration projects.
17. KPMG will be closely monitoring the council's progress in delivering planned savings in 2010/11. The delivery of these savings will require difficult decisions to be made and this will provide evidence on the effectiveness of the strategic leadership in the council. Achieving the planned savings will be central to the council meeting its budget commitments in 2010/11.

18. No other areas were identified as significant 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

19. West Dunbartonshire covers the 3rd smallest land area of all local authorities (159 km²). With a population of just over 91,000 it is the 8th most densely populated area in Scotland and nearly all data zones in West Dunbartonshire are classed as urban locations.
20. Demographic estimates suggest that the areas population will decrease by 8.8 per cent between 2006 and 2031, with increases of people of pensionable age projected to be significantly lower than the Scottish average (+18.1per cent compared to +31.2 per cent).
21. Indicators relating to deprivation, employment and the economy highlight that West Dunbartonshire has a challenging context. Of the 118 data zones in West Dunbartonshire 33 are among the most deprived 15 per cent in Scotland. This equates to over 25,000 people and 27 per cent of the population of the area. In terms of housing, social renting is significantly more prevalent in West Dunbartonshire than in Scotland generally (39.3 per cent compared to 29.4 per cent). The area has the second lowest house prices in Scotland, only 6.06 per cent of households live in houses in council tax bands F to H (compared to 12.01 per cent in Scotland overall).
22. Employment levels are a challenge for the area. Nearly two thirds of the population of West Dunbartonshire are of working age, the same as the Scottish average. However, the proportion of that group economically active and in employment is lower than the Scottish average. Of the economically active population 6.4 per cent are unemployed, compared to 4.4 per cent nationally. Long term unemployment is also higher than the Scottish average. The proportion of the population claiming Disability Living Allowance is considerably higher than the Scottish average.
23. The quality and quantity of employment opportunities in the area is also a challenge. The proportion of people employed in the service and public sectors is higher than the Scottish average. The proportion of people in full time work is lower than the Scottish average and the proportion in part time work is higher. The median gross weekly earnings of people working full time in West Dunbartonshire is 9.3 per cent lower than the national average [at £429.70 compared to £473.60]. Small enterprises account for 85 per cent of the businesses in West Dunbartonshire. The net new VAT registered businesses in 2008/09, at 17 per 10,000 population, was significantly lower than the Scottish average of 38.
24. Between 2005 and 2006, the number of crimes and offences recorded by the police per 10,000 population was 1,978, much the same as the Scottish average of 1,986. However, the clear up rates of all crimes and offences recorded by the police was lower than for Scotland as a whole (66 per cent compared to 73 per cent).
25. The life expectancy of both males and females living in West Dunbartonshire is significantly lower than those for Scotland generally (72.1 years and 78.1 years compared to 75 years and 79.9 years

respectively). Healthy life expectancy is also lower than the Scottish average. Younger people (aged less than 60 years) were more likely to die in West Dunbartonshire than in Scotland generally, hospital admissions relating to alcohol were higher than the Scottish average, though admissions for drug misuse were lower. There is a higher than average teenage pregnancy rate in West Dunbartonshire than for Scotland generally.

26. In 2006 an audit of Best Value and Community Planning was undertaken by Audit Scotland. Following a public hearing, the Accounts Commission published its findings in February 2007. The Commission found that the council was not in a position to deliver best value. Two progress reports have since been submitted to the Commission and in February 2010 a report was submitted to the commission under Section 102(1) of The Local Government (Scotland) Act 1973. These reports have acknowledged that progress has been made in a number of priority areas and there has been an increased commitment to continuous improvement. There is however continued concerns, in particular in relation to strategic leadership. Elected members across the political spectrum have not demonstrated the corporate leadership required. There had also been limited progress in developing working relationships between elected members and senior officers. These issues were seen to be inhibiting improvement. In May 2010 a new leader of the council took up post.
27. Within the council's operating context, challenges include:
- Levels of deprivation, unemployment and low pay.
 - Low levels of job availability and economic regeneration and sustainability.
 - Healthy life expectancy.
 - Strategic leadership.
 - Organisation's financial position.

Self evaluation

The focus of the council's current approach to improvement is the BV improvement plan. Though some progress has been made this has been slow, the impact of the work to date has yet to be demonstrated and significant challenges remain. The council's progress on developing self-evaluation arrangements has been slow.

28. The council has a number of arrangements in place for evaluation, review and improvement but progress with these has been slow. More recent developments to support the strategic improvement programme have yet to demonstrate their effectiveness and therefore the impact on the level of risk is not clear.
29. The council's most recent Best Value Improvement Plan, agreed in December 2009, is central to its improvement work. However, the development process has been lengthy and this means that there

is a risk of ongoing uncertainty and that the pace of delivering improvement is compromised.

Although the governance arrangements have improved, the council's Improvement and Efficiency Executive (I&EE) has not been providing sufficiently strong leadership to the improvement work and is not yet sufficiently driving forward the improvement agenda or challenging the pace of change. The council has engaged some peer support but this has not been systematic and it has involved only limited input from senior elected member peers to date.

30. The council has been developing its approach to self evaluation at the corporate level using the PSIF. Five service areas were selected as pilot areas for the PSIF. They undertook a self-assessment based on the framework but have yet to complete implementation plans. This has led to a delay in rolling out the framework across the council. The social work department has recently completed a self evaluation using PSIF and an improvement plan has been developed.
31. The council is also pursuing a number of other improvement initiatives including Kaizen Blitz. There has been a delay in developing an action plan for the Kaizen Blitz activity. A diagnostic pathway programme, reviewing and identifying opportunities for shared services is also being progressed.
32. At a service level there are some positive indications that there are areas of effective self evaluation and improvement work. HMIE report that school reviews are thorough and the Care Commission also note good self evaluation work taking place. SWIA found that the self evaluation report for the performance inspection presented a fair reflection of how the social work department was performing.
33. No specific additional audit and inspection work is planned in relation to self-evaluation however the LAN will monitor progress with the development and implementation of this work to inform future shared risk assessments.

4. Delivering outcomes for communities

There is a mixed picture of progress in the outcome areas identified as priorities by the community planning partnership but none are identified as areas of significant risk which require specific scrutiny work in 2010/11. Progress on outcomes and the availability of outcome data will be reviewed as part of the next shared risk assessment.

Services generally perform well, education and social services show continued good levels of performance and SPIs indicate improvement overall since 2005/06. However, the concerns raised elsewhere in this document about strategic leadership and the need to deliver savings means that there are some risks to service quality being maintained.

Strategic Priorities

34. The council and its partners have articulated a vision for the area and thematic priorities which broadly reflect the contextual challenges for the area. The vision is: *“We will improve prosperity and inclusion for all citizens, deliver better and more efficient services, and improve West Dunbartonshire as a place to live, work and visit.”*
35. In March 2009 West Dunbartonshire Community Planning Partnership (WDCPP) agreed new thematic partnership arrangements for development, management and delivery for its six thematic priorities within the WD Community Plan 2007-2017.
 - Building Strong and Safe Communities
 - Creating Sustainable and Attractive Living Environments
 - Developing Affordable and Sustainable Housing
 - Improving Health & Well Being
 - Promoting Education and Lifelong Learning
 - Regenerating and Growing Our Local Economy
36. These themes are reflected in the council's current corporate plan for the period 2009 - 13, although the partnership theme of 'Developing Affordable and Sustainable Housing' is not translated directly in the council themes or priorities. The council's strategic planning and budget process requires the Corporate Plan to be reviewed, revised, and rolled forward each year. A refreshed Corporate Plan for the period 2010 – 2014 is currently being developed. An integrated structure of planning is developing with links between the SOA, community plan and corporate plan being evident.
37. In assessing whether West 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 and audit reports. The detail of our evaluation is contained in Appendix 1.

38. In the council and partnership's 2009 SOA progress report, almost a third of the indicators show a positive direction of travel. The better areas of performance include Safe and Strong Communities and Education and Lifelong learning. The Regenerating and Growing our Local Economy priority area shows a more negative direction of travel.

Building Strong and Safe Communities

39. The available outcome measures indicate the council and its partners are making progress in this area although performance is mixed. We have assessed this area as having no significant risks requiring specific scrutiny activity.
40. The corporate plan performance report indicates that there have been improvements across over half of the related indicators, including improvements in road safety and the length of time council houses are left empty. Progress as measured in the SOA1 performance report also presents a reasonably positive picture overall with 50 per cent indicating a positive outcome, including the number of violent crimes recorded and the level of fear of crime. Information was not available for a further 37.5 per cent of the indicators. There is a less positive position for the number of children referred to the Children's Reporter for offence grounds each year.
41. The corporate plan performance report indicates that there have been improvements across over half of the related indicators, including improvements in road safety and the length of time council houses are left empty. Progress as measured in the SOA1 performance report also presents a reasonably positive picture overall with 50 per cent indicating a positive outcome, only 12.5 per cent of the indicators being categorised as negative, but information was not available for 37.5 per cent of the indicators.
42. The Scottish Householder Survey (2007) indicates that residents in West Dunbartonshire experience higher levels of antisocial behaviour than average across all of the measures which include for example vandalism/graffiti/damage, neighbour disputes, drug misuse/dealing and abandoned vehicles. The area has the 3rd lowest level of people reporting that they have experienced none of the antisocial behaviour measures. User satisfaction with the police service in West Dunbartonshire has shown improvement in the most recent SHS data (2007/08) with satisfaction and dissatisfaction levels now close to the national average.

Creating Sustainable and Attractive Living Environments

43. Outcome measures indicate that the council and its partners are making positive progress on creating sustainable and attractive living environments. We have assessed this area as having no significant risks requiring specific scrutiny activity.
44. The community plan indicators highlight an improving position in relation to increasing the cleanliness of the area, removing land from the vacant and derelict land register and the proportion of waste being recycled. Progress as measured in the corporate plan performance report is positive where,

data was available. 50 per cent of the indicators show improvement, including the number of cyclists using cycle paths, the cleanliness index and the number of schools with eco school awards.

45. The SOA1 performance report also indicates positive progress with 42 per cent of the indicators being categorised as green, including those covering waste management, air quality and road network condition. However, data to support performance measurement needs to improve as a significant proportion of measures did not have data available. The Statutory Performance Indicators (SPIs) highlight that the council is ranked 23rd for recycling, but, more positively, is ranked 4th for cleanliness.
46. There are high user satisfaction rates for refuse collection (88 per cent), parks and open spaces (87 per cent) and street cleaning (82 per cent). Street lighting and roads show less satisfaction at 69 per cent and 55 per cent respectively. The two specific areas of concern for service users relate to the provision of toilet facilities and dog fouling.

Developing Affordable and Sustainable Housing

47. Progress with developing affordable and sustainable housing is mixed and has been impacted by the economic downturn. We have assessed this area as having no significant risks requiring specific scrutiny activity.
48. The rate of new build properties is predicted to decline over both the short and long term. The number of owner-occupier new-build properties completed in 2008/09 at 176 did not meet the partnership target of 200. The partnership indicates this was as result of restrictions on borrowing introduced by banks. Rented social housing new-builds have increased significantly from 79 in 2006/07 and 20 in 2007/08 to 121 in 08/09, although this did not meet the partnerships target of 135.
49. The council housing stock is reported in the SPI returns as being brought up to tolerable standard and free from serious disrepair. Almost half of the stock is reported to be energy efficient at 47 per cent and 43 per cent healthy, safe and secure. Although improving and meeting the partnership's target of 13 per cent, only 14 per cent of the council dwellings are reported as meeting SHQS. Eighty per cent of RSL stock in the area meets the Scottish Quality Standard. SPIs and the corporate performance report indicate that the council's performance in re-letting properties is improving .
50. The proportion of unintentionally homeless households entitled to settled accommodation has shown improvement between 2007/08 and 2008/09 from 95 per cent to 97 per cent, exceeding the partnerships target of 95 per cent.

Improving Health & Wellbeing

51. The lack of performance data on priority of improving health and wellbeing makes an overall risk assessment of the progress being made by the council and its partners difficult. Data needs to improve so that the partnership is better able to monitor and address performance. Our risk

assessment highlighted this outcome area as having areas of uncertainty. The availability of outcome data will form a key part of the next shared risk assessment.

52. Of the 13 community plan indicators, some lack targets and 8 have either no information on short term or long term improvement, or both. Progress as measured in the 2008/09 SOA1 performance report is also not clear. Of the 16 indicators only two of these are detailed fully. Similarly the data detailed in the corporate plan performance report give an incomplete picture.
53. What is evident in the performance information available is that the partnership's targets for male life expectancy are being achieved but are a little below target for female life expectancy. Deaths from drugs misuse are showing an increase.
54. Other sources of information provide some indication of recent challenges with health outcomes. Mortality rates from coronary heart disease are significantly higher than the national average. There has been a downward trend over the last decade but levels increased in 2008, particularly for women, against the national trend. The proportion of the population over 16 years that are smokers is 30.1 per cent, significantly higher than the national average of 25.2 per cent. There has been a limited reduction since 2001/02 to 2007/08 reflecting the levelling out over the last few years nationally.
55. The gaps in information across this thematic area mean that progress overall, and therefore the risk assessment, is not clear. The LAN will seek further information from the council and partnership. At this stage no specific additional scrutiny work is planned.

Promoting Education and Lifelong Learning

56. The council and its partners are making positive progress on education and lifelong learning outcomes. We have assessed this area as having no significant risks requiring specific scrutiny activity.
57. The proportion of working age residents with no qualifications is significantly poorer than the national level [at 17.2 per cent compared to 12.5 per cent] but is showing improvement over time. The proportion of working age residents who have degree level qualifications is also significantly under the national level [at 12 per cent compared to 20.3 per cent] but has shown good improvement since 2006/07.
58. Pre-school and both primary and secondary school performance is positive. All pre five and school reports have been positive since the inspection model changed in 2008. The council has recently received largely positive reports from HMIE on INEA and educational psychological services. Of the 14 community plan outcome indicators, six show an improvement in terms of attainment. However, the achievement and attainment of looked after children is less positive.
59. There are good examples of positive initiatives including a campaign to abolish illiteracy, which has had notable success in improving children's performance in reading and is gaining national

recognition. The council has also put in place a detailed and comprehensive series of measures to improve the life chances of school leavers. However in 2007/08 the proportion of school leavers entering a positive destination decreased slightly [from 84.2 per cent to 82.3 per cent]. More positively the proportion of 16 – 19 year olds categorised as ‘NEET’ reduced (from 16.5 per cent to 11.1 per cent).

60. In 2009 HMIE undertook an inspection of Community Learning and Development in the area surrounding Dumbarton Academy. The resulting report illustrates a positive picture of performance with three of the inspection categories assessed as very good and two as satisfactory, relating to improvements in performance and improving services.
61. The council has agreed to make savings of over £500K in Education Services during 2010/11, through the full detail of how this is to be delivered is not yet clear. The local auditor will closely monitor the progress the council is making on delivering the savings in this, and other service areas, as part of the annual audit process.

Regenerating and Growing the Local Economy

62. The available outcome measures indicate that this area represents a significant risk. The economic downturn further increases that risk. The planned regeneration of the waterfront areas has been impacted by the economic downturn. The LAN lead will engage with the council to assess the plan the council and its partners have to respond to the challenges.
63. The SOA1 progress report and the corporate plan progress report both show a negative picture of performance overall, with 28 per cent and 45 per cent of the indicators, respectively, showing a negative performance. The majority of the community plan indicators do not give information on performance in either the short or longer term. Where performance has declined the comments in the councils ‘performance dashboard’ state this is due to the economic downturn but it is not clear whether any analysis has been done to identify specific issues for the area.
64. Available data indicates that overall progress in this outcome area is not positive. Visitor numbers have reduced over the last two years, employment rates have decreased slightly, levels of new VAT registered businesses increased in 2007/08 but dropped off in 2008/09. There has been a reduction in town centre vacancy levels in Alexandra but increases in both Dumbarton and Clydebank. Improvements in the number of businesses assisted show improvement over the short and long term although the targets established in the community plan are below the actual reported figures. There has been a trend of improvement in levels of training for businesses and in the level of working age population with qualifications but for both indicators there has been a decline in 2008/09.

Services

65. There is a range of performance between services within the council and the detail of our evaluation is contained in Appendix 1. The SPIs show good performance improvement overall since 2005/06 but some areas of continuing weaker performance remain.

66. Education and social work services continue to perform well. Other services, including environmental, regulatory, roads, and cultural services demonstrate a mixed level of performance. These services are not viewed as demonstrating significant risks or concerns. Where there are areas identified for improvement or where further information is required, this will be considered as part of planned and ongoing audit and scrutiny activity.
67. Although broadly services are performing well, the continued concern with the strategic leadership of the council, the impact this has on continuous improvement, decision making and the council's financial position presents some risks to service performance being maintained.

Education

68. The education services perform well overall. We have assessed this area as having no significant risks requiring specific scrutiny activity.
69. Pre-school, primary and secondary quality indicators are positive. Satisfaction levels in the area with schools are good. The Scottish Household Survey found 74 per cent of local residents were satisfied with local schools.
70. HMIE published an inspection report of the education authority in June 2009. The report identified some very good performance alongside good performance in the quality indicator categories. HMIE noted the very strong impact on learners, staff and the wider community. Of the ten schools inspected in the past 18 months, no major issues and some good practice identified.
71. The SPIs relating to school occupancy had shown poor and deteriorating levels of performance. However, the council is tackling this through open consultation with local communities. Secondary schools occupancy has improved in the current year from 67% to 74%. There are some concerns over the pace of change, but the council is making some progress on this key issue. The challenging financial position increases the need to address this issue as a matter of urgency.

Social Work

72. Social work services perform well overall, though customer satisfaction with social work and social care services reported through the Scottish Household Survey was low, at 36 per cent. In contrast detailed satisfaction measures in the 2008 citizens panel survey indicate significantly higher levels of satisfaction across the different functions of social services, ranging from 100 per cent for community work to 46 per cent for child protection services. We have assessed this area as having no significant risks..
73. SWIA Performance Inspection (April 2009) found evidence of good outcomes in a range of areas within the Social Work function and reported high levels of community involvement in Social Work services. It was considered that the council had committed itself to tackling areas for improvement that had been identified. The follow up inspection planned for August 2010 will review the work undertaken to address the recommendations made in the performance inspection report. One of the

recommendations made was that all partnership arrangements must have clear governance and accountability arrangements in place. The recent decision to move into a joint service with health, and the significant change process that this will entail, presents the service with a period of significant uncertainty in managing these risks.

74. The majority of registered services have received good grades from the Care Commission. The councils commissioning approach for older peoples services requires further development and the council are attempting to address this issue.
75. HMIE have undertaken a follow up inspection of the service to protect children and young people. This report stated that *“overall, the CPC had made significant progress since the inspection report was published in June 2007. It had worked well with partners to draw up an action plan to improve outcomes for children in need of protection and had worked systematically through this...Services were well placed to work together to continue to improve the quality of services to protect children.”*
76. Of the 22 2008/09 SPIs relating to adult social work care, four are in the top quartile. These relate to the total homecare hours for over 65s and provision of respite. Four are in the bottom quartile and these relate to the provision of homecare services at weekends and personal care, as well as privacy in residential rooms.
77. Of all respondents in the Scottish household Survey only 36 per cent of those responding to the same survey were satisfied with social work provision. A citizen’s panel survey in 2008 included more detailed questions on social work services. The majority of social work services received high satisfaction rates (above 80 per cent). However, mental health services (68 per cent), residential care for older people (52 per cent) and child protection (46 per cent) had less user satisfaction levels.

Housing

78. SHR published a follow inspection report on the housing management function in April 2010 which indicates improving performance. We have therefore assessed this area as having no significant risks.
79. In 2003/04 the SHR gave the council a B grade (Good) for its Homelessness service, C grade (Fair) for housing maintenance and a D grade (poor) for housing management. A further interim inspection was carried out in November 2008.
80. Since 2005/06 when the Scottish Housing regulator considered the possibility of taking formal action the council has been working in the context of a “voluntary improvement plan”. SHR have expressed concerns about the pace of delivering change and improvements but the appointment of new heads of Housing and the appointment of a new Executive Director saw the pace begin to pick up. The view is that a more intense period of improvement may now have started. It was noted that very good progress had been made on homelessness strategy and targets. However, SHR noted continued concerns about tenant participation, poor performance on complaints, issues around performance management and performance on rent arrears. SHR had also raised concerns about decreasing

tenant satisfaction rates and poor complaint handling, access and lettings, income maximization and the quality of the housing stock.

81. The housing management re-inspection has found that the council has, 'increased the pace of improvement and has made good progress in tackling a number of the issues identified' in (the interim inspection) report. ' It has increased capacity within the housing service, made efforts to develop a culture of improvement and has a new service plan process. The Council is working to improve its performance management and the opportunities for scrutiny of performance. It has a good framework for equalities but it needs to make greater use of equalities data to develop the housing management service. It has begun to consider efficiencies in the housing service'.
82. Areas requiring improvement were also identified, 'It does not have a systematic approach to providing performance information to tenants. Although the Council has been working to re-establish its tenant participation framework and has increased the amount of consultation it carries out with tenants there are still weaknesses in its approach to this. The Council still has an underdeveloped approach to dealing with complaints and this presents it with a challenge to use complaints to develop and improve the service.'
83. The 2008/09 SPIs show mixed performance. Of the 12 relevant SPIs, one indicator was in the top quartile (percentage of repairs carried out on time), and 2 were in the bottom quartile. These related to the percentage of rent loss due to voids, although this has shown improvement over the last three years, and the time to re-let low demand houses, and one indicator was in the fourth quartile. Rent loss due to voids and rent arrears are much poorer than the Scottish average.

Other services

84. Environmental services perform solidly overall. Customer satisfaction with street cleaning and refuse collection is high. Waste Management performance remains mixed. The cleanliness index is in the top quartile nationally, while recycling and experience of littering is worse than average. Waste management costs are significantly lower than average, but have increased from previous years. The Statutory Performance Indicators (SPIs) highlight that the council has sustained the lowest cost for refuse collection but the relative cost of disposal has increased significantly. The council is ranked 23rd for recycling. More positively the council is ranked 4th for cleanliness.
85. The performance of other services is mixed, we identified no areas as having significant risks requiring specific scrutiny activity.
86. The performance of regulatory services is sound overall. Improvements have been made in the performance of handling noise complaints and handling business advice. The planning service's performance is significantly better than the national average and has increased substantially.
87. The performance of cultural and community services is mixed overall but customer satisfaction is high. Library users record high satisfaction of the service provided at 95 per cent. Respondents to the SHS were fairly satisfied (62 per cent) with the library service. However, only one third were satisfied

with museums and galleries. Seventy four per cent of SHS respondents were satisfied with local schools, which is slightly below the Scottish average at 79 per cent.

88. Roads and street lighting performance is sound overall though customer satisfaction is low (as it is in many Scottish council areas). Carriageway condition is significantly better than the national average as is the performance on traffic and street lighting repairs where the council was ranked 1st in Scotland on the 2008/09 SPIs. There are financial challenges arising from the sustained period of cold weather in terms of the winter maintenance budget and the roads repairs budget. The council estimates this could be between £250K and £500K.

Implications for scrutiny activity

89. We identified the 'Regenerating and Growing the Local Economy' outcome as an area of significant risk and will engage with the council to assess how it plans to respond to this challenge with its partners. We will also discuss with them their plans to improve data availability in relation to 'Health and Wellbeing' which we identified as an area of uncertainty.
90. No significant risks were identified in the assessment of the other priority themes; therefore no specific additional scrutiny activity is planned for these.
91. Most of the council's services are assessed as not demonstrating significant risks or areas of concern. SWIA will undertake a follow-up inspection in July and August 2010/11, focussing on the recommendations from the 2009 performance inspection and the Care Commission will undertake a Fostering and Adoption Inspection in September 2010.
92. The LAN will continue to collate information and monitor progress on outcomes and service performance through scheduled audit and inspection work [detailed in Appendix 3] to inform future shared risk assessments.

National risk priorities

93. 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.
 - Assuring public money is being used properly.
 - The impact of the greater financial pressure faced by councils associated the current economic climate.
94. The protection and welfare of vulnerable people is encompassed in the defined outcome themes of, Building Safe and Strong Communities, Health and Wellbeing and Education and Lifelong Learning. None of these were identified in the risk assessment as significant scrutiny risks and no additional activity is planned, although the LAN will discuss with the council their plans to improve data availability in relation to 'Health and Wellbeing' which is identified as an area of uncertainty.

95. The council performs well overall in addressing the needs of children, vulnerable adults and older people with regard to its social services functions. The Child Protection inspection follow-up reported positive progress. The majority of registered services have received good grades from the Care Commission and the SWIA performance inspection in April 2009 found good outcomes in a range of areas within social services. The SWIA follow-up inspection planned for year one will review the work undertaken to address recommendations made. These include the need to improve clarity around commissioning and governance & accountability in partnership arrangements.
96. With regard to assurance on the regularity of expenditure and the impact of the economic climate, the council faces some significant risks in relation to its financial position. The council has considered the impact of the economic climate and has prepared a ten year financial strategy. The council recognises that further work is required to achieve balanced budgets in future years and it is not clear how effectively the council will be able to deliver efficiencies. The external auditor will be monitoring the position very closely as part of their routine annual audit work.
97. The SRA also identified that the 'Regenerating and Growing the Local Economy' outcome is an area of significant risk. The planned regeneration of the waterfront areas has been impacted by the economic downturn. The SOA1 progress report and the corporate plan progress report both show a negative picture of performance overall, The LAN will engage with the council to assess how it plans to respond to this challenge with its partners.

5. Corporate assessment

The council has set out a strategic vision, but progress on the Best Value improvement agenda has been slow and uncertainties remain about the leadership and culture of the organisation. This is particularly significant in the context of the challenging financial position the council faces and the need to make savings in 2010 and beyond.

Corporate Assessment

98. In determining the corporate assessment for West Dunbartonshire Council, we considered the corporate performance and arrangements in place. The detail of our evaluation is contained in Appendix 2.
99. The council has set out a strategic vision and has broadly aligned its strategic objectives between the community plan (2007-2017), corporate plan (2009-2013) and Single Outcome Agreement (2009-2011). There is a notable gap with no equivalent priority in the corporate plan reflecting the partnership priority of Developing Affordable and Sustainable Housing. However, it is not clear whether the council has taken the opportunity to review existing strategies and plans to ensure they align with the new objectives.
100. In December 2009 the council agreed an improvement plan in response to the July 2009 BV progress report, but the development process has been slow. Significant concerns remain about the leadership and culture of the council. The Accounts Commission findings from the BV Progress reports and the February 2010 Section 102 Controller of Audit Report highlight continuing concerns about leadership, culture and the engagement of members on the improvement agenda. It is not clear to what extent strategic leadership in the council has improved and staff confidence in leadership remains low.
101. It is not clear whether the working relationships between members and officers have improved. The Chief Executive believes that there has been recent evidence of closer working between members and officers to respond to difficult issues, for example the agreement to increase charges for services in mid 2009.
102. The council has engaged some peer support but this has not been systematic and it has involved only limited input from senior elected member peers to date. The council agreed revised proposals for external support in December 2009. The council has also agreed a new process to help focus on strategic issues and improve early member involvement.
103. Operationally joint and partnership working has produced some positive outcomes, for example in social work and housing. The council has recently agreed the development of a local integrated partnership model for the delivery of local authority and community health services within a combined

council/ NHS structure and the joint appointment of an Executive Director for Social Work and Health with the NHS.

104. The council is continuing to develop its community engagement arrangements but progress has been slow. The council has agreed a community engagement strategy and a consultation strategy, and a joint action plan is being developed. Community engagement remains variable across the services with pockets of better practice in for example social services and education. Customer focus also varies across services and requires further development at the corporate level including the improvement of complaints handling.
105. The council's governance and accountability arrangements are continuing to develop. Concerns were raised in the 2007 BV report about the need to significantly improve the accountability and openness of the council's decision-making processes. The council had failed to demonstrate that decisions are made in an open and transparent way. Progress has been made with some changes to the arrangements, better use of option appraisal and in the quality of scrutiny by members. However, members have still not engaged effectively with training needs assessment and training arrangements. The introduction of access to the SOA performance information on-line has improved visibility of performance information.
106. The council has made progress in revising its performance management framework but as these arrangements only became fully operational from April 2009 their impact has not yet been assessed.
107. The council has considered the impact of the current economic climate and, for the first time, has prepared a ten year financial strategy which was approved by the corporate and efficient government committee on 30 September 2009. The financial strategy for 2009-10 to 2018-19 aims to underpin the delivery of the vision, priorities and objectives identified in the corporate plan. The plan highlights the challenging financial pressures that are expected in future years as a growing budget gap exists. The council took steps to address this in autumn 2009 by increasing charges and in setting its budget for 2010/11 approved both specific and round sum savings to be achieved by individual departments although further work is required to approve the detail. The council recognises that significant further work is required to achieve balanced budgets in future years
108. Reserves are low and will be put under pressure in the current economic climate and it is not clear that the council has sufficient financial 'headroom' to be in a position to deliver savings. The result for 2008/09 was to increase the general fund balance by £1.7 million to £5.0 million (2008: £3.3 million). However, £4.8 million of the council's reserves are earmarked for specific purposes, leaving the council with free reserves of only £258K. This remains significantly below the council's approved prudential level target of £4.9 million. In March 2010 based on the outcome to date of appeals against equal pay /single status it will be able to release £1.5 million of earmarked reserves and release a further £1million to general fund at 31 March 2010. One off unbudgeted receipts from VAT recoveries of £400,000- £600,000 together with other positive and negative outcomes against budget mean the council is now expecting to have free reserves at 31 March 2010 of approx £3 million. The council has also pointed out that in addition, if it chooses to do so, it may transfer some

/all of the Housing Revenue Account balance to general fund in order to be closer to its prudential level target .

109. The annual efficiency statement for 2008-09 reported £2.5m of cashable savings and £653,000 of non cashable savings. Many of these savings were planned within the corporate budget process and made a major contribution towards allowing the council to absorb a number of budget pressures. The council has still to take a number of difficult decisions in order to deliver balanced budgets in the years to come.
110. In relation to asset management, there are issues affecting the social work service and challenges in rationalising the schools estate. In particular the council is making slow progress in planning for rationalising the school estate to meet current and future demographic changes. The council has almost double the number of primary schools typically required for the number of children in the area.
111. The council has identified surplus assets, but disposal and the council's ability to realise funds will be affected by the current economic climate. The council plans to introduce an annual asset management plan from 2010. The council has made progress in the housing service, where a strong asset management plan is now in place.
112. The council's procurement arrangements are developing. Whilst the council is beginning to establish a corporate procurement framework with a strategy and a dedicated team, it is at a very early stage of development and too early to assess the impact of the changes.
113. Progress on workforce planning has been limited. Given the financial pressures facing the council, and the fact that the majority of budget costs relate to the workforce, it is important that the council clearly sets out a workforce plan for the years to come. A staff survey in November 2009 showed an improving picture of staff satisfaction and morale since the 2007 survey, though significant challenges remain.
114. The council's use of ICT is developing, but the pace of change needs to improve in some areas. Ambitious plans for the use of ICT have been constrained by finances and this has been a barrier to a number of major corporate improvements. The council needs to consider the affordability of these plans. There are areas where improvement is better such as the way that the council has invested in and uses ICT to support learning.
115. Outcome measures indicate that the council and its partners are making positive progress on creating sustainable and attractive living environments. Available measures indicate improvements in the cleanliness of the area, removing land from the vacant and derelict land register and the proportion of waste being recycled. The council agreed a carbon management plan in November 2009.

116. The council's equality arrangements are sound and continue to develop. The council agreed a single equality scheme and action plan in November 2009 and an Equalities Liaison and Equalities Working Group has been established.

Implications for scrutiny activity

117. Significant risks and concerns have been identified in relation to the vision and strategic direction and use of financial resources corporate assessment sections. The local auditor will closely monitor the council's effectiveness in delivering the planned efficiency savings during 2010/11. This will provide evidence to inform a further risk assessment on how the council is managing its resources and also the leadership being demonstrated by taking difficult decisions. We will also monitor how the council is progressing on its agreed Best Value Improvement Plan, including member engagement and the use the council is making of peer support.
118. A number of the corporate assessment areas have been assessed as currently demonstrating no significant risks. These include partnership working, community engagement, governance and accountability, workforce management, procurement, use of ICT, sustainability and equalities.
119. For these corporate arrangements no specific additional audit or inspection work is planned. The scrutiny bodies will monitor performance through scheduled audit and inspection work to inform the next risk assessment.
120. The assessments of other sections are identified as unclear. These areas include performance management and improvement, and asset management. The LAN will monitor performance through scheduled audit and inspection work to inform the next risk assessment. Performance management at the operational level will be considered through ongoing inspection work by HMIE and the Care Commission.

6. Conclusion

Next steps

121. The LAN lead will engage with the council during 2010 to consider the action it is taking, with partners, to address the outcome areas we have identified as being of significant risk, or where there is uncertainty.

Summary of planned scrutiny activity

122. 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 risks.
123. 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 agencies ongoing work.
124. 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:

- LAN lead will engage with the council with regard to outcome areas of significant risk and areas of uncertainty to clarify how the council plans to address these areas
- KPMG will closely monitor the council's progress on delivering the savings identified in the 2010/11 budget and monitor the council's progress on its Best Value Improvement Plan.
- SWIA will undertake a follow-up inspection in July and August 2010, focussing on the recommendations from the 2009 performance inspection.
- Care Commission will undertake a Fostering and Adoption Inspection in September 2010

- SHR will review the council's improvement actions following the publication of follow-up inspection report on housing management in 2010.
- HMIE will undertake the second Child Protection inspection in 2011/12.

On-going work:

- The Care Commission and HMIE will continue to undertake ongoing inspection activity.
- HMIE and SWIA will continue to monitor risk through the link inspector role.
- KPMG will continue to monitor finance, governance and accountability matters as part of the annual audit process.

National work:

- SHR – submission of Scottish Housing Quality Standards monitoring information for a 'mid point' update in the third quarter of 2010/11.
- 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 BV audit and inspection of Strathclyde Police starting in the fourth quarter of 2010/11. West Dunbartonshire Council may have some limited involvement by virtue of their position on the joint police board.

125. 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><i>Building Safe and strong communities</i></p>	<p>Green: no significant risks</p>	<p>The available outcome measures indicate the council and its partners are making positive progress overall in this area.</p> <ul style="list-style-type: none"> • There is mixed performance in terms of the community plan indicators. Five indicators highlight deteriorating performance in both the short and long term. These include outcomes in achieving reduction in anti-social behaviour, persistent youth offending, crime rates and the number of primary fires. Only one indicator showed improvement in the short and longer term and this was in relation to reducing violence in communities – the number of non sexual crimes of violence per 1000 population. • The corporate plan performance report shows that, of the 16 indicators, 56% were improving, 0% were declining, 6% were static but data was not available for 38% of the measures. • Progress as measured in the SOA1 performance report also presents a reasonably positive picture overall with 12.5% of the indicators being categorized as red, 0% as amber and 50% as green, information was not available for 37.5% of the indicators • The Scottish Householder Survey (2007) indicates that residents in West Dunbartonshire experience higher levels of antisocial behaviour than average across all of the measures which include for example vandalism/graffiti/damage, neighbour disputes, drug misuse/dealing and abandoned vehicles. The area has the 3rd lowest level of people reporting that they have experienced none of the antisocial behaviour measures. • User satisfaction with the police service in West Dunbartonshire has shown improvement in the most recent SHS data (2007/08) with satisfaction and dissatisfaction levels now close to the national average. 	<p>No specific/ additional audit/ inspection work. LAN to monitor progress on outcomes to inform future shared risk assessments.</p> <p>West Dunbartonshire will be covered as part of the BV Audit/ Inspection of Strathclyde Police starting November 2010.</p>

Strategic Priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><i>Creating Sustainable and Attractive Living Environments</i></p>	<p>Green: no significant risks</p>	<p>Outcome measures indicate that the council and its partners are making positive progress on creating sustainable and attractive living environments</p> <ul style="list-style-type: none"> • The community plan indicators highlight an improving position in relation to increasing the cleanliness of the area, removing land from the vacant and derelict land register and the proportion of waste being recycled. • Progress as measured in the corporate plan performance report is positive where, data was available. 50% of the indicators show improvement, none were static or declining and 2% were static • SOA1 performance report shows positive progress on outcomes, 42% being categorized as green, 26% as amber and 0% as red. However, data to support performance measurement needs to improve as information was not available for 32% of the indicators. • The Statutory Performance Indicators (SPIs) highlight some areas of good performance in relation to the cost of refuse collection and cleanliness. However they show poorer performance on refuse disposal costs and recycling. • The SPIs relating to roads and lighting show mixed performance with areas of good performance around traffic light and street light repairs, while there is poorer performance on the condition of bridges. • There are high user satisfaction rates for refuse collection (88 per cent), parks and open spaces (87 per cent) and street cleaning (82 per cent). Street lighting and roads show less satisfaction at 69 per cent and 55 per cent respectively. The two specific areas of concern for service users relate to the provision of toilet facilities and dog fouling. 	<p>No specific/ additional audit/ inspection work. LAN to monitor progress on outcomes to inform future shared risk assessments.</p>
<p><i>Developing Affordable and Sustainable Housing</i></p>	<p>Green: no significant risks</p>	<p>Outcome measures indicate that there is mixed progress in relation to developing affordable and sustainable housing.</p> <ul style="list-style-type: none"> • The rate of new build properties is predicted to decline over both the short and long term. 176 owner-occupier new-build properties were completed in 2008/09 compared to a target of 200. The partnership indicates this was as result of restrictions on borrowing introduced by banks. 	<p>No specific/ additional audit/ inspection work. 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
		<ul style="list-style-type: none"> • Rented social housing new-builds have increased significantly from 79 in 2006/07 and 20 in 2007/08 to 121 in 08/09, although this did not meet the partnerships target of 135. • 100 per cent of council stock was reported in 2008/09 as being brought up to tolerable standard and 100 per cent was reported as being free from serious disrepair. • Almost half of the council housing stock is reported to be energy efficient at 47 per cent. 43 per cent of the council housing stock is reported as being healthy, safe and secure. • The partnership's target of 13 per cent has been reached with 14 per cent of the council dwellings reported as meeting SHQS. Eighty per cent of RSL stock in the area meets the Scottish Quality Standard. • SPIs and the corporate performance report indicate that the council's performance in re-letting properties is improving for houses and for the average time to re-let low demand houses. The council is however still ranked 25th of the 32 councils for this indicator. • The proportion of unintentionally homeless households entitled to settled accommodation has shown improvement between 2007/08 and 2008/09 from 95 per cent to 97 per cent, exceeding the partnerships target of 95 per cent. 	
Health & Wellbeing	Amber: areas of uncertainty	<p>The lack of data in this area makes it difficult to make an overall assessment of the progress being made by the council and its partners.</p> <ul style="list-style-type: none"> • Of the 13 community plan indicators, only two are showing an improvement over all - swimming pool attendances and rates of domestic violence. Eight indicators have either no information on short term or long term improvement, or both. • Progress as measured in the corporate plan performance report is not clear as data was not available for 54% of the indicators. Where information was available, 33% of the indicators show improvement, 11% were declining and 2% were static. There has been an improvement to the uptake of school meals and attendance at pools. There has been more mixed performance 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to engage with council re performance data and then monitor progress on outcomes to inform future shared risk assessments.</p>

Strategic Priorities	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>on attendances at other sports facilities and increases in deaths from drug misuse.</p> <ul style="list-style-type: none"> • Progress as measured in the SOA1 performance report is also not clear 5% being categorized as green, 14% as amber and 0% as red. However, data to support performance measurement needs to improve as information was not available for 81% of the indicators • Over half of the SPIs show levels of improvement. Four indicators are in the top quartile while only three are in the bottom quartile. • The council has recently received a positive report from SWIA. • Just over half (56 per cent) of all respondents in the Scottish household Survey were satisfied with the sports and leisure facilities. • While only 36 per cent of those responding to the same survey were satisfied with social work provision. A citizen's panel survey in 2008 included more detailed questions on social work services. The majority of social work services received high satisfaction rates (above 80 per cent). However, mental health services (68 per cent), residential care for older people (52 per cent) and child protection (46 per cent) had lower user satisfaction levels. 	
Education & Lifelong Learning	Green: no significant risks	<p>Outcome measures and largely positive inspection reports indicate that the council and its partners are making positive progress on education and lifelong learning outcomes. The council needs to increase the pace of change in dealing with the occupancy levels of the school estate.</p> <p>The council has recently received largely positive reports from HMIE on INEA and educational psychological services.</p> <ul style="list-style-type: none"> • Pre-school quality indicators are positive • Primary schools quality indicators are positive and strong campaign to abolish illiteracy is gaining national recognition • Secondary Schools – Only one school inspected this session – positive inspection with early disengagement. WDC has put in place a detailed, comprehensive and successful series of measure to improve the life chances of school leavers. • Community Learning and Development - one inspection this session with a 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN to monitor progress on outcomes through scheduled ongoing 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>positive outcome</p> <ul style="list-style-type: none"> Of the 14 community plan outcome indicators, six show an improvement in terms of attainment. However, the achievement and attainment of looked after children highlights a more mixed picture. A number of indicators again show no trend information. The 2009 corporate plan performance report showed mixed progress overall for the 18 indicators, 28% were improving, 22% were declining, 28% were static and there was a lack of data on 22%. SOA1 performance report shows positive progress on outcomes, 45% being categorized as green, 24% as amber and only 3% as red. However, data to support performance measurement needs to improve as information was not available for 27% of the indicators. The SPIs relating to school occupancy shows poor and deteriorating levels of performance. The council is tackling this through open consultation with local communities, though there are some concerns over the pace of change. The challenging financial position increases the need to address this issue as a matter of urgency. Library users record high satisfaction of the service provided at 95 per cent. Respondents to the SHS were fairly satisfied (62 per cent) with the library service. However, only one third were satisfied with museums and galleries. Seventy four per cent of SHS respondents were satisfied with local schools, which is slightly below the Scottish average at 79 per cent 	
<p>Regenerating and Growing Our Local Economy</p>	<p>Red: significant concerns and risks</p>	<p>The available outcome measures indicate that this area represents a significant risk. The economic downturn further increases that risk.</p> <ul style="list-style-type: none"> The majority of the community plan indicators do not give information on performance in either the short or longer term. Improvements in the number of businesses assisted show improvement over the short and long term however the targets established are below the actual reported figures. The corporate plan performance report shows that, of the 20 indicators, 35% were improving but 45% were declining, 5% were static and data was not available for 15% of the measures. 	<p>LAN to engage with council re performance data and action plan to address the economic downturn, then monitor progress on outcomes to inform future shared risk assessments.</p>

Strategic Priorities	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • Progress as measured in the SOA1 performance report also presents a negative picture overall with 28% of the indicators being categorized as red, 32% as amber and only 16% as green, information was not available for 24% of the indicators. • There is mixed performance on reducing town centre vacancy levels, with reduced levels in Alexandra but increases in both Dumbarton and Clydebank. • Levels of business assistance have declined while there has been general improvement in levels of training for business employees despite a decrease in 2008/09. • Indicators on working age qualifications are showing general improvement although some decrease in 2008/09 (see SOA info below). Visitor number have also tailed off over last two years. • Employment rates have decreased slightly and levels of JSA claimants have fluctuated, levels of new Vat registered businesses increased in 2007/08 but dropped off in 2008/09, • The planned regeneration of the waterfront areas has been impacted by the economic downturn • The SPIs show that the council dealing with planning applications is above average 	
<i>An improving council</i>	Amber: areas of uncertainty	<p>The council has made improvements but the pace of change has been slow.</p> <ul style="list-style-type: none"> • The council has recently agreed a revised BV improvement plan and is starting to use PSIF. • The corporate plan performance report shows that, of the 54 indicators, 42% were improving, 10% were declining, 13% were static but data was not available for 35% of the measures. • Many of the changes are relatively recent and the impact is yet to flow through. 	KPMG will monitor the council's progress on delivering its Best Value Improvement Plan.

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
Education	Green: no significant risks	<p>Education services perform well overall.</p> <ul style="list-style-type: none"> • HMIE recently completed scrutiny of the education function of the authority (published June 2009) which identified some very good performance alongside good performance in other areas. HMIE noted the very strong impact on learners, staff and the wider community. • During the previous 18 months, ten schools (one secondary, nine primaries) have been subject to an HMIE inspection. There were no major issues and some good practice identified • Pre-school and both primary and secondary school performance is positive. All pre five and school reports have been positive since the inspection model changed in 2008. • The Scottish Household Survey found satisfaction local schools at 74% • Although there are issue of rationalisation of the school estate there were no other significant issues identified in regard to the delivery of the councils education function. • 39% of indicators in the 'Education and Lifelong Learning' corporate plan theme show improvement since 2006/09, 22% show a decline, 22% have remained static and information is not yet available for 17% of indicators. • Secondary schools occupancy has improved in the current year from 67% to 74% • The council has opened 3 new secondary schools and are about to open 3 new primary schools. 	<p>No specific/ additional audit/ inspection work.</p> <p>HMIE and Care Commission will monitor performance through ongoing inspection activity</p>
Social Work	Green: no significant risks	<p>Social work services perform well overall</p> <ul style="list-style-type: none"> • SWIA Performance Inspection (April 2009) found evidence of good outcomes in a range of areas within the Social Work function and reported high levels of community involvement in Social Work services. • A number of services had gained charter mark status. The council had implemented all single rooms in Care Homes for older people. SWIA also noted that the council had made a major contribution to the understanding of the link between cancer and poverty and to 	<p>No specific/ additional audit/ inspection work.</p> <p>SWIA – Follow Up Inspection scheduled for July and August 2010 focusing on the recommendations from the performance inspection</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>national roll out of the advice and care network.</p> <ul style="list-style-type: none"> • In April 2009 the SWIA performance inspection reported overall good performance by Social Work services. It was felt that the Authority had committed itself to tackling those issues which had been identified. • The SWIA follow up inspection planned for 2010 will review the work undertaken to address the recommendations made in the performance inspection report. One of the recommendations made was that all partnership arrangements must have clear governance and accountability arrangements in place. The recent decision to move into a joint service with health, and the significant change process that this will entail, presents the service with a period of significant uncertainty in managing these risks. • The majority of registered services had received good grades from the Care Commission. There was a need to continue to improve the participation of service users at the registered services level.. At the registered service level self assessment is generally fairly well undertaken and reasonably accurate. • The councils commissioning approach for older peoples services requires further development. The council are attempting to address this issue. • HMIE also undertook a follow up inspection of the service to protect children and young people. This report stated that "overall, the CPC had made significant progress since the inspection report was published in June 2007. It had worked well with partners to draw up an action plan to improve outcomes for children in need of protection and had worked systematically through this. Services were well placed to work together to continue to improve the quality of services to protect children." • The 2008/09 SPIs relating to adult social work care are mostly on the second and third quartiles (14 of the 22 indicators), four indicators were in the top quartile and four were in the bottom quartile. • Social work services perform well overall, though customer satisfaction with social work and social care services reported through the Scottish Household Survey was low, at 36 per cent. In contrast detailed satisfaction measures in the 2008 citizens panel survey indicate significantly higher levels of satisfaction across the different functions of social services, ranging from 100 per cent for community work to 46 per cent for child protection services. 	<p>Care Commission will undertake a Fostering and Adoption Inspection in September 2010</p> <p>HMIE – A second joint inspection of services to protect children will take place in 2011/12</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
Housing	Green: no significant risks	<p>A recent SHR follow up inspection report indicates that housing services are improving.</p> <ul style="list-style-type: none"> • Progress as measured in the SOA1 performance report presents a reasonably positive picture overall with 0% of the indicators being categorized as red, 22% as amber and 56% as green, information was not available for 22% of the indicators. The community plan indicators show a mixed picture of performance in this area. The rate of new build properties is predicted to decline over both the short and long term. • Performance according to SPIs is in general significantly below average, apart from time taken to carry out repairs, where there is good performance. In particular rent loss due to voids and rent arrears are much poorer than average. Cost remain lower than average. • Homelessness performance is more mixed. Notification times are quicker than average, but tenancy maintenance is below average. The cost index indicates extensively lower than average costs (due to a net income for the service). • Of the 12 2008/09 SPIs, one indicator was in the top quartile, 10 were in quartiles 2 and 3 (with a cluster in the 3rd quartile) and one indicator was in the fourth quartile. • In 2003/04 the SHR gave the council a B grade (Good) for its Homelessness service, C grade (Fair) for housing maintenance and a D grade (poor) for housing management. A further interim inspection was reported in November 2008. Since 2005/06 when the Scottish Housing regulator considered the possibility of taking formal action and the council has been working in the context of a “voluntary improvement plan”. SHR had expressed concerns about the pace of delivering change and improvements but the appointment of new heads of Housing and the appointment of a new Executive Director saw the pace begin to pick up. • SHR carried out a follow up inspection in December 2009 and plan to publish a report in April 2010 which indicates improving performance. The housing management re-inspection has found that the council has “increased the pace of improvement and has begun to tackle a number of the issues identified in (the interim inspection) report. It has increased capacity within the housing service, made efforts to 	<p>No specific/ additional audit/ inspection work.</p> <p>SHR will review the council’s improvement actions arising from the follow up inspection report on the housing management function and will monitor progress.</p> <p>Submission of SHQS monitoring information for ‘mid point update’, quarter 3 2010/11.</p>

Council Services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>develop a culture of improvement and has a new service plan process. The council is working to improve its performance management and the opportunities for scrutiny of performance. It has a good framework for equalities but it needs to make greater use of equalities data to develop the housing management service. It has begun to consider efficiencies in the housing service”.</p> <ul style="list-style-type: none"> • Areas requiring improvement are: “It does not have a systematic approach to providing performance information to tenants. Although the Council has been working to re-establish its tenant participation framework and has increased the amount of consultation it carries out with tenants there are still weaknesses in its approach to this. The council still has an underdeveloped approach to dealing with complaints and this presents it with a challenge to use complaints to develop and improve the service” 	
Corporate Services	Green: No significant risks	Performance of corporate services is mixed overall, risks are identified in the corporate assessment part of the risk assessment below.	<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)	Green: No significant risks	<p>Environmental services perform well overall.</p> <ul style="list-style-type: none"> • 32% of Corporate Plan Indicators for the ‘Sustainable Environments’ theme show improvement since 2006/07. 21% show a decline, 5% have remained static and information is not yet available for 42% of the indicators. • Waste Management performance remains mixed, as cleanliness index is above average, while recycling and experience of littering is worse than average. • 3 of the 6 SPIs re Waste Management were in the 1st Quartile in 2007/08, one had improved and two had declined. In 2008/09 two indicators (refuse collection costs and cleanliness index) remained in the top quartile. • Customer satisfaction is high, the Scottish Household Survey shows satisfaction with street cleaning at 82%, and with refuse collection at 88%. The council’s Citizens survey in 2007 also showed that 	<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
		customer satisfaction was high	
Regulatory services	Green: No significant risks	<p>The performance of regulatory services is sound overall.</p> <ul style="list-style-type: none"> The 2007 BV report noted that the performance of the council's planning service is around the average in Scotland according to the SPI's, and is starting to show some signs of improvement. Like most authorities, West Dunbartonshire was not meeting the national planning guidance standards, but the time taken to process planning applications is faster than the Scottish average. A number of areas of regulatory and protective services were performing well according to the SPIs, such as food hygiene, pest control and inspections of trading premises. The 2007/08 SPIs rank the council first for response times for domestic noise complaints and for handling business advice requests. The development services SPIs for 2008/09 showed the council in the top quartile for two SPIs (re dealing with planning applications), three indicators were in the middle quartiles and one is in the bottom quartile, relating to planning application appeals. Trading Standards performance is mixed, as inspection visits remain better than average but complaints processing remains slower than average 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor performance to inform the next risk assessment</p>
Cultural Services	Green: No significant risks	<p>The performance of cultural and community services is mixed overall but customer satisfaction is high.</p> <ul style="list-style-type: none"> 2008/09 SPIs show mixed performance overall, of the 12 indicators two were in the top quartile, nine were in the second and third quartiles and one was in the bottom quartile HMIE note good partnership working between Education and cultural facilities in terms of school visits. Customer satisfaction with community and cultural services is high Scottish Household Survey shows the following satisfaction rates; theatres/ concert halls = 77%, community centres & facilities = 80%, parks & open spaces = 87%, sports & leisure = 89%, museums & galleries = 91%, libraries 95% 	<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
Roads & Street Lighting	Green: No significant risks	<p>Performance is sound overall though customer satisfaction is low as it is in many council areas.</p> <ul style="list-style-type: none"> • Roads Maintenance performance is mixed, as carriageway condition is better than average, while traffic congestion is significantly worse. • Street lighting and traffic light repairs performance was ranked 1st in Scotland in the 2008/09 SPIs. • The council's 2007 customer survey highlights low levels of satisfaction; road condition = 55%, residential roads 49%, rural roads = 45%. • There are financial challenges arising from the sustained period of cold weather in terms of the winter maintenance budget and the roads repairs budget. The council estimates this could be between £250-£500K. 	<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
Vision and Strategic Direction	Red: significant concerns and risks	<p>The council has set out a strategic vision, but progress on the BV improvement has been slow and uncertainties remain about the leadership and culture of the organisation.</p> <p>Vision</p> <ul style="list-style-type: none"> • The council and its partners have set out a vision in the SOA/ Community Plan/ Corporate Plan. • The council has broadly aligned its strategic objectives between the community plan (2007-2017), corporate plan (2009-2013) and Single Outcome Agreement (2009-2011). However, it is not clear whether the council has taken the opportunity to review existing strategies and plans to ensure they broadly align with the new objectives <p>Leadership & culture</p> <ul style="list-style-type: none"> • Accounts Commission findings, BV Progress reports and Feb 2010 Section 102 Controller of Audit Report highlight continuing concerns about leadership and culture • It is not clear to what extent strategic leadership in the council has improved and staff confidence in leadership remains low. • In December 2009 the council agreed an improvement plan in response to the July 2009 BV progress report, but the development process has been slow. • In May 2010 a new leader of the council took up post • The council continues to face a challenging financial position.. • It is not clear whether the working relationships between members and officers have improved. The Chief Executive believes that there has been recent evidence of closer working between members and officers to respond to difficult issues, for example the agreement to increase charges for services in mid 2009. • The Chief Executive, after considering his position, decided to see 	<p>KPMG to closely monitor the council's effectiveness in delivering efficiency savings during 2010 and their ability to demonstrate leadership by taking difficult decisions as part of the process.</p> <p>KPMG will monitor the progress the council is making in delivering its Best Value Improvement Plan.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>through the remainder of his fixed term contract to October 2011. The council intends to set personal objectives for the Chief Executive in June 2010.</p> <ul style="list-style-type: none"> • The council has engaged some peer support but this has not been systematic and it has involved only limited input from senior elected member peers to date. The council agreed revised proposals for external support in December 2009. • Development work ongoing re corporate and service planning processes • The council has a agreed a new process agreed to help focus on strategic issues and improve early member involvement 	
Partnership working and community leadership	Green: No significant risks	<p>The council has revised it's community plan and has made progress on a range of SOA commitments.</p> <ul style="list-style-type: none"> • The council has refocused its community planning partnership board, to give this a more strategic overview, supplemented by themed sub-groups. However, the lack of a community planning manager until very recently has limited the progress being made in driving forward the new structures. • 2007 BV report noted that the council has had a history of effective joint working across all aspects of its operation, particularly as a consequence of its limited financial resources. The council can build on the examples of effective joint working at both corporate and service levels as it aims to broaden the vision and impact of the community planning partnership. • The council has agreed to the introduction of a local integrated partnership model for the delivery of local authority and community health services within a combined council/ NHS structure and the joint appointment of an Executive Director for Social Work and Health with the NHS • SWIA report partnership working as a factor in producing some good outcomes within Social Work. However more broadly there is a lack of evidence at this time on the outcomes of community planning and engagement. • SHR report pockets of good joint working but that this does not extend throughout the council. 	<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
Community engagement	Green: No significant risks	<p>The council is continuing develop its community engagement arrangements.</p> <ul style="list-style-type: none"> • 2007 BV report noted that, overall, there is a demonstrable commitment to the principle of community engagement in West Dunbartonshire. There remained scope to build on this by adopting a more strategic approach to minimise the risk of duplication, overlap and fragmentation in its various consultation activities, and to develop more focused and effective arrangements for the future. • 2009 BV progress report noted that The council has agreed a community engagement strategy, but overall there has been limited progress in improving community engagement. • KPMG noted that community engagement strategy and a consultation strategy approved and joint action plan being developed and that some services show better levels of community engagement than others (eg social work and education). • HMIE have noted that overall members of community groups are well supported, and are skilled and confident. • The Care Commission have highlighted that the council needed to develop a corporate participation policy. Further improvement need in involving stakeholders, care home sector grades reflect the need for further improvement in participation • The Scottish Housing regulator had noted concerns with regard to performance on tenant participation. The council has recently revised its tenant participation strategy, though there is some way to go before this is fully embedded. 	<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>
Governance and Accountability	Green: No significant risks	<p>The council's governance and accountability arrangements are continuing to develop</p> <ul style="list-style-type: none"> • 2007 BV report noted that the council does not have a culture of openness within which it can build continuous improvement, and it needs to significantly improve the accountability and openness of its decision-making processes. The council has failed to demonstrate that decisions are made in an open and transparent way • 2008 BV progress report noted that the council had started to make better use of option appraisal in its more recent reports but it has more to do before these arrangements are consistently implemented and embedded. Reviews 	<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 though the annual audit process carried out by</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>of the council's decision-making and managerial structures had been undertaken by consultants and the council is now in the process of implementing the recommended changes. It is too early to judge the effectiveness of these changes. The council has recently introduced improved arrangements for scrutiny and the role of the Audit and Performance Review Committee (A&PRC).</p> <ul style="list-style-type: none"> • KPMG report some improvement in the quality of scrutiny by members. However much of this scrutiny focuses on detailed issues and there is potential to improve the arrangements to support more effective higher level scrutiny of performance and decision making. • KPMG also noted that members have not been not engaging with training needs assessment and training effectively. • SWIA have identified that the recent decision to move into a joint social care service with health, and the significant change process that this will entail, presents the service with a period of significant uncertainty in managing these risks. • Performance 'dashboard' information on SOA available on-line has improved visibility of performance information 	KPMG.
Performance management and improvement	Amber: areas of uncertainty	<p>Customer focus varies across services and requires further development at the corporate level. Performance management arrangements are developing but the process of agreeing a revised Best Value Improvement Plan has been slow.</p> <p>Customer focus</p> <ul style="list-style-type: none"> • There has been limited corporate customer survey activity (one CPP survey on council services December 2007). Information has not been systematically collected from the community/service users on identifying priorities and outcomes. • Scottish Household Survey indicates positive user opinions re universal and non universal services. • HMIE and SHR have identified the need to improve handling of complaints in Social Work and Housing and in Education <p>Performance management</p> <ul style="list-style-type: none"> • The council has made progress in revising its performance management framework but as these arrangements only became fully operational from April 2009 their impact has not yet been assessed. • At the service level HMIE report that performance management 	<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 though the annual audit process carried out by KPMG.</p> <p>Performance management at the operational level will be considered through ongoing inspection work by HMIE and the Care Commission.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>arrangements are sound and that school reviews are thorough. The Care Commission also note good self evaluation work taking place.</p> <ul style="list-style-type: none"> The annual efficiency statement for 2008-09 was presented to the corporate and efficient governance committee on 30 September 2009. It reported £2.5m of cashable savings and £653,000 of non cashable savings. Many of these savings were planned within the corporate budget process and made a major contribution towards allowing the council to absorb a number of budget pressures. <p>Continuous improvement</p> <ul style="list-style-type: none"> The council agreed a new BV improvement plan in December 2009, though the development of that plan has been slow. The council has been developing its approach to self evaluation at the corporate level using the PSIF The 2009 BV progress report noted that the council has made limited progress in establishing arrangements to demonstrate the competitiveness of its services, though all of the STOs met their statutory requirement to break even and returned a surplus of £1.6M in 2008/09. <p>Risk management</p> <ul style="list-style-type: none"> Work is ongoing to embed risk management procedures. The corporate risk register was updated in October 2008 and is regularly updated by responsible officers forming part of the risk management group. Updates are presented to the corporate management team and audit and performance review committee. 	
Use of Resources - Finance	Red: significant concerns and risks	<p>Longer term financial planning is developing, but the council faces significant financial pressures</p> <ul style="list-style-type: none"> The council has considered the impact of the current economic climate and, for the first time, has prepared a ten year financial strategy which was approved by the corporate and efficient government committee on 30 September 2009. The financial strategy for 2009-10 to 2018-19 aims to underpin the delivery of the vision, priorities and objectives identified in the corporate plan. The plan highlights the challenging financial pressures that are expected in future years as a growing budget gap exists. The council took steps to address this in autumn 2009 by increasing charges 	KPMG to closely monitor the councils effectiveness in delivering efficiency savings during 2010.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>and in setting its budget for 2010/11 approved both specific and round sum savings to be achieved by individual departments although further work is required to approve the detail .The council recognises that further work is required to achieve balanced budgets in future years</p> <ul style="list-style-type: none"> • Reserves are low and will be put under pressure in the current economic climate and it is not clear that the council has sufficient financial ‘headroom’ to be in a position to deliver savings. • The result for 2008/09 was to increase the general fund balance by £1.7 million to £5.0 million (2008: £3.3 million). However, £4.8 million of the council’s reserves are earmarked for specific purposes, leaving the council with free reserves of only £258K. This remains significantly below the council’s approved prudential level target of £4.9 million. In March 2010 based on the outcome to date of appeals against equal pay /single status it will be able to release £1.5 million of earmarked reserves and release a further £1million to general fund at 31 March 2010.One off unbudgeted receipts from VAT recoveries of £400,000- £600,000 together with other positive and negative outcomes against budget mean the council is now expecting to have free reserves at 31 March 2010 of approx £3 million . • The council has also pointed out that, in addition, if it chooses to do so it may transfer some /all of the Housing Revenue Account balance to general fund in order to be closer to its prudential level target . • Although the council agreed to increase fees and charges during 2009 it does not have a track record of taking the kind of difficult decisions which may be required to deliver balanced budgets in the years to come. • Day to day financial management is not considered an area of concern 	
Use of Resources – People	Green: No significant risks	<p>The councils workforce management arrangements continue to develop, albeit relatively slowly. A recent staff survey shows some positive movement although significant challenges remain.</p> <ul style="list-style-type: none"> • Progress on workforce planning has been limited (HR ICT system identified as part of the solution, but implementation is 2010). Given the financial pressures facing the council, and the fact that the majority of budget costs relate to the workforce, it is important that the council clearly sets out a workforce plan for the years to come. • Single status implementation nearing completion subject to appeals/ tribunals 	<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 though the annual audit process carried out by</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • There are relatively high levels of staff absence • May 2007 staff survey echoed issues highlighted in 1st BV audit report, in particular relating to morale and concerns about leadership • November 2009 staff survey noted that a growing majority of employees believe the council to be a good employer and also would recommend the council as an employer to their friends. However, this does not yet translate into “pride” in the organisation and there remains a widespread feeling that morale is poor, albeit a modest upwards trend is evident. Overall, the survey results demonstrate an improving picture since the 2007 survey, albeit some areas show greater improvements than others and significant challenges remain. • HMIE & the Care Commission have noted strengths in terms of continuing professional development and training 	KPMG.
Use of Resources – Assets	Amber: areas of uncertainty	<p>The council faces challenging in rationalising its schools estate and its ability to realise funds from surplus assets will be difficult in the current economic climate.</p> <ul style="list-style-type: none"> • The council is making slow progress in planning for rationalising the school estate (particularly primary schools) to meet current and future demographic changes. The council has almost double the number of Primary schools typically required for the number of children in the area. • There are several longstanding asset management issues affecting the social work service. In addition work needed to be done to take forward a commissioning strategy for older people’s services, especially as the council remained a significant provider of care homes for older people. • The council has identified surplus assets, but disposal will be affected by economic downturn • The 2009 Audit Scotland report on <i>Asset Management in Councils</i> noted that are the council was amongst the better performing councils in terms of the proportion achieving its target of planned expenditure against reactive expenditure. • The council plans to introduce an annual asset management from 2010. • The Scottish Housing Regulator’s Interim Report in 2008 noted that the council now has a strong asset management plan for its Housing Service 	<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 though the annual audit process carried out by KPMG.</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of Resources – Procurement	Green: No significant risks	<p>The council's procurement arrangements are developing; it needs to demonstrate the impact of the changes it has made.</p> <ul style="list-style-type: none"> The 2007 BV report noted that the council has yet to demonstrate any significant efficiencies as a consequence of its procurement arrangements. Whilst it is beginning to establish a corporate procurement framework with a strategy and a dedicated team, it is at a very early stage of development. The Care Commission have noted improvements in service procurement for care services. KPMG have noted no significant concerns, although the council needs to generate and demonstrate further efficiency savings through procurement. 	<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 though the annual audit process carried out by KPMG.</p>
Use of Resources – ICT	Green: No significant risks	<p>The council's use of ICT is developing, but the pace of change needs to improve in some areas.</p> <ul style="list-style-type: none"> 2007 BV report noted that the council has ambitious plans for achieving higher service standards, more responsive customer care, and more efficient resource utilisation through ICT. It has been constrained by its financial position and this has been a barrier to a number of corporate improvements. It therefore needs to consider the affordability of these ambitious plans. KPMG have raised some concerns over the resources available to fully develop ICT support services to deliver major changes to the council's way of working. Audit review of IT arrangements highlights progress being made in respect of implementation of audit recommendations, but at a relatively slow pace, as demonstrated by the number of actions points which remain outstanding. HMIE have identified strengths in the way that the council has invested in and uses ICT to support learning 	<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 will follow up on the progress the council has made against the actions highlighted following the ICT audit.</p>
Sustainability	Green: No significant risks	<p>Outcome measures indicate that the council and its partners are making positive progress on creating sustainable and attractive living environments.</p> <ul style="list-style-type: none"> The 2007 BV report noted that the council had made limited progress 	<p>No specific/ additional audit/ inspection work.</p> <p>LAN will monitor</p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>in developing its approach to sustainable development. It cannot monitor and evaluate the impact of its operations in respect of social, economic and environmental sustainability.</p> <ul style="list-style-type: none"> • The community plan indicators highlight an improving position in relation to increasing the cleanliness of the area, removing land from the vacant and derelict land register and the proportion of waste being recycled. • Progress as measured in the corporate plan performance report is positive where, data was available. 50% of the indicators show improvement, none were static or declining and 2% were static • SOA1 performance report shows positive progress on outcomes, 42% being categorized as green, 26% as amber and 0% as red. However, data to support performance measurement needs to improve as information was not available for 32% of the indicators. • 3 of the 6 SPIs re Waste Management were in the 1st Quartile in 2007/08, one had improved and two had declined. In 2008/09 two indicators (refuse collection costs and cleanliness index) remained in the top quartile. • The council agreed a Carbon management plan in November 2009 	<p>performance through scheduled audit/ inspection work to inform the next risk assessment.</p>
Equality	Green: No significant risks	<p>The council's equality arrangements are sound and continue to develop</p> <ul style="list-style-type: none"> • The 2007 BV report noted that the council has acknowledged equal opportunities as an area for improvement. It has lacked impetus to date but it is now starting to put arrangements in place. • The council agreed a single equality scheme and action plan in November 2009 and an Equalities Liaison and Equalities Working Group has been established. KPMG have noted that the council was aware of the Audit Scotland national report on equalities, and had circulated this internally • The council's scheme to support travellers was highlighted as good practice in the national study 	<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>

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
LAN lead will engage with the council with regard to outcome areas of significant risk and areas of uncertainty												
KPMG will closely monitor the council's progress on delivering the savings identified in the 2010/11 budget and monitor the council's progress on its Best Value Improvement Plan.												
SWIA – follow up inspection												
Care Commission - Fostering and Adoption Inspection												
SHR – submission of Scottish Housing Quality Standards monitoring information for a 'mid point' update												
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
Possible BV2 Audit (tbc)	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
Joint inspection of services to protect children and young people (CP2)	Social Care and Social Work Improvement Scotland

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