

Shared risk assessment: Assurance and improvement plan 2010–13

Dumfries & Galloway Council



social work
inspection agency



THE SCOTTISH
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1. Introduction

The Assurance and Improvement Plan

1. The Assurance and Improvement Plan (AIP) sets out the planned scrutiny activity in Dumfries and Galloway Council for the period April 2010 to March 2013. It is the product of a collaborative approach adopted by the following scrutiny bodies operating in Dumfries and Galloway Council:
 - Audit Scotland
 - Care Commission
 - HM Inspectorate of Education (HMIE)
 - Scottish Housing Regulator (SHR)
 - Social Work Inspection Agency (SWIA)
 - HM Inspectorate of Constabulary for Scotland (HMICS).

Why have we prepared this AIP?

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

It should be noted that where authorities can demonstrate clear ownership of the improvement agenda and a track record of delivery, consideration will be given to limiting the level of scrutiny activity within the relevant area. This is a fundamental principle of the proportionate and risk based approach being undertaken through the development of the AIP.

3. The AIP explains the basis of our risk assessment of the council, and sets out the scrutiny response. The focus of scrutiny activity is on areas where it is most needed. It draws on a number of sources of information, including:
 - the council's own supporting evidence
 - reports and previous risk assessments from Audit Scotland (including local outputs from the external auditor and national studies) and the Audit of Best Value and Community Planning in Dumfries and Galloway Council (published March 2009)¹

¹ Dumfries & Galloway Council - The Audit of Best Value and Community Planning

- the annual audit report to the Controller of Audit and elected members for 2008/09²
- performance information: statutory performance indicators, SOA outcome reports and performance indicators
- reports and data from HMIE, SWIA, SHR and the Care Commission (including published inspection reports and other supporting evidence).

Further details of the risk assessment is included at Appendix 1

What do we mean by a scrutiny risk?

4. 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’
5. When we determine ‘risk’ we mean risk that will trigger scrutiny work and not inherent risk for example as in the risk of harm to an individual. We define risk as:
 - Red, where there are significant concerns which would indicate that we would need to undertake some scrutiny activity in order to provide public assurance.
 - Amber, where there are areas of uncertainty or gaps in the information available to us to determine whether or not we need to undertake some scrutiny activity.
 - Green, where we have no significant concerns.
6. In many cases, identified risks or uncertainties will trigger scrutiny work that is simply a continuation of the link/district inspector or auditor’s role in monitoring improvement actions or in providing assistance and support. However, in other cases the identified risks or uncertainties will trigger more focussed scrutiny work as highlighted at Appendix 3.
7. We recognise that risk levels will change as significant events occur and as councils take action to address identified risks. Scrutiny bodies, through local area network (LAN) contacts, will maintain awareness of activity, including unit level inspection. As new information comes to light the LAN lead, in consultation with other LAN members will update the AIP as appropriate. LAN members will draw any significant matters to the attention of the LAN lead as they arise. The LAN lead will determine what action should be taken in terms of initiating contact with other LAN members.
8. The council is expected to initiate contact with the LAN lead where significant events occur that are likely to influence scrutiny activity. Councils are encouraged to maintain contact with LAN leads to discuss any concerns arising from the AIP or any joint scrutiny activity.

² [Dumfries & Galloway Council - Report to Members and the Controller of Audit on the 2008-09 Audit](#)

2. Summary

Dumfries and Galloway Council has a very challenging improvement agenda to deliver. The council is currently going through a period of considerable change and like other councils, is facing significant pressures on future finances and services.

The main areas of significant concern relate to the weaknesses in the corporate arrangements for best value. Progress in securing improvements will be reviewed and reported by the local auditor in year one of the AIP. The shared risk assessment of the council's progress to date against its outcomes did not highlight any areas of significant concern. As such there will be no specific scrutiny in this area apart from ongoing monitoring as part of the annual audit. In addition, there were only limited aspects of services' performance which were regarded as high scrutiny risk. This has therefore led to minimal planned additional scrutiny in year one of the AIP.

Outcomes

9. The council has defined its strategic priorities as ensuring:
 - an innovative and prosperous economy
 - healthier and happy lives
 - people feel safe and respected in the community
 - people are better equipped for a changing world and have improved life chances
 - an environment that is protected and enhanced.
10. A key priority for the council is to secure investment in the economic regeneration of the region. Linked to this is the maintenance and the ongoing development of the roads and public transport network. The council established in 2009 an Economic Regeneration Programme of £1 million in 2009/10, £2 million in 2010/11 and £2 million in 2011/12 and a Strategic Roads Programme of £2 million for each of the financial years 2009/10, 2010/11 and 2011/12. It has recognised that the sustainability of projects is critical and that stimulating private sector investment will be essential to ensure ongoing growth. This is an area of substantial risk particularly during the current economic climate and the potential difficulties in attracting private sector co-funding. In addition addressing the £102 million backlog in roads repairs across the region provides a considerable challenge for the council.
11. Overall the council is continuing to make progress against its strategic priorities. While there have been no significant scrutiny risks identified with respect to outcomes, a number of targets do not yet have complete information to enable us to fully conclude on current performance. An important area going forward will be for the council to continue to develop further outcome measures and clear targets for improvement in the delivery of outcomes for its community. Our current assessment of the council's performance against its priorities is such that it does not merit any specific scrutiny work other than ongoing monitoring and review.

Corporate assessment

12. Key aspects of the council's corporate processes are underdeveloped and in need of significant improvement. In response to the audit of Best Value and Community Planning the council has over the last year been working to an agreed improvement plan to strengthen corporate processes. This improvement plan was concluded as at the end of January 2010. The outstanding activities are to be incorporated into a broader corporate action plan for the council to be drawn up as part of the Public Service Improvement Framework (PSIF). A corporate assessment, using the PSIF model, was recently completed. This is being used to inform the development of the new Corporate Improvement Framework which is targeted to be presented to members in June 2010. Audit Scotland will be monitoring progress made in relation to strengthening corporate processes as part of the follow up of the Best Value audit report.

Service performance

13. Overall our assessment of services within Dumfries and Galloway Council is favourable and highlights only a small number of areas which are of significant concern. Such issues however relate to specific aspects of certain services and do not apply to a whole service level. The council's progress in addressing these specific risks will be kept under review. Levels of service performance are such that, apart from the ongoing monitoring and appraisal of the identified significant issues, there will be limited specific scrutiny work carried out in services in year one of the AIP.
14. The Police, Fire and Rescue Committee of Dumfries and Galloway Council carry out the council's role as the police authority and the fire authority. Inspections of the Dumfries and Galloway Constabulary are carried out by HMICS. It should be noted that future scrutiny activity planned by HMICS is excluded from the shared risk assessment approach and this AIP. The Audit of Best Value and Community Planning in Dumfries and Galloway Council included a review of the operation of the Police and Fire and Rescue Services Committee and highlighted a need for the committee to be more proactive in providing leadership and strategic direction. Progress in this area will be revisited as part of a future Best Value audit in police. The timing of this audit has yet to be decided.
15. The 2006 Audit Scotland Performance Audit Report of Dumfries and Galloway Fire and Rescue Service highlighted elements of good performance along with scope for some further improvements. Our shared risk assessment has categorised Fire and Rescue Services an area of current uncertainty. This should not be taken to reflect badly on service performance but instead reflects the lack of recent scrutiny audit and inspections. The performance of Dumfries and Galloway Fire and Rescue will be subject to a future best value audit. The best value audit approach for Fire and Rescue Services is currently being developed.

Self-evaluation

16. The council does not as yet have a single corporate model for self evaluation and are currently in the process of implementing the PSIF as the agreed approach. It has been aware of the need for urgent improvements to its approach to performance management for some time and as reported by the audit of Best Value and Community Planning in Dumfries and Galloway Council, the council does not yet have effective performance management or a culture of continuous improvement. A variety of approaches to measuring and reporting performance exist across services and at an area committee level. The standard of reporting varies across services and there are inconsistencies in the quality of performance information reported to members. Progress reports against service objectives are not yet evident in all cases. This has at times made it difficult for the LAN in some cases to reach an overall assessment of service performance and the extent of progress against strategic objectives.
17. Our assessment of the council's performance against priorities depends heavily on the quality of supporting evidence. While there is regular reporting against the Single Outcome Agreement (SOA) and the Corporate Plan the council has recognised the need to improve performance information and in particular consolidating trend and baseline information. Targets for future improvements are essential along with the introduction of a shared approach across partners to performance management and reporting.
18. There are recent signs of a new impetus in improving performance management within the council. As the council's approach to performance management and self evaluation matures, it should be possible to place greater reliance on it in future shared risk assessments. We have not been able to reduce our scrutiny response in this plan due to the council's underdeveloped approach to self evaluation.

National risk priorities

19. A number of core national risk priorities have been identified and these are reflected in national scrutiny priorities which have been considered in the shared risk assessments for all councils. These risk priorities have been addressed in this AIP. The national scrutiny priorities are:

The protection, welfare and access to opportunities for children, adults in need of support and protection and older people

20. Our shared risk assessment has identified areas where the council is performing well against this national priority and there are only a few areas of significant concern, for example the impact of the recession and increasing demands from an aging population on social work services. Other than any national scrutiny directed by the Scottish Government with respect to this priority, the level of specific scrutiny work in the AIP is minimal namely, within Social Work services, supported self-evaluation in the areas of looked after children services and progressing the results of staff surveys.

Assuring public money is being used properly

21. The audit of Best Value and Community Planning in March 2009 provided a conclusion on the council's performance in fulfilling its statutory duty to secure best value. On balance this was a critical report which identified serious corporate weaknesses. Action is being taken by the council to address these issues and progress in securing improvements will be monitored as part of the annual audit work undertaken by the local auditor.

The impact of the greater financial pressure faced by councils

22. All Scottish councils are facing an extended period of public spending constraint. The full effects of the recession are not yet known but it is clear there will be major implications for the public sector as the anticipated downturn in budgetary prospects are likely to be deep and prolonged. Changes in Scotland's population and rising unemployment rates will increase demands for public services and income levels anticipated before the recession are unlikely to be realised, reducing the amount available to spend. The local auditor will review how the council is reacting to the current economic climate and planning ahead for future financial pressures as part of annual audit work.

3. The council's context

Dumfries and Galloway Council is the 13th largest council in Scotland in terms of budget and workforce. Dumfries and Galloway Constabulary and the Fire and Rescue Service are both coterminous with the local authority. The health board also covers the same area as the council. The council transferred its housing stock in 2003. Other than social care which is provided by a mixture of public, private and voluntary organisations, most other council services are delivered in house by the council's own workforce. The council faces the challenge of providing services to an aging and reducing population across a large and mostly rural area.

Financial position

23. Dumfries and Galloway Council spent £498 million on the provision of public services during financial year 2008/09. At the end of 2008/09 the council held general fund balances of £46.5 million. Of this £36.7 million had been earmarked for future projects such as the council's Waste PFI and Schools PPP, leaving £9.8 million as unallocated funds. Latest estimates predict that the 2009/10 closing balance on available reserves will be in the region of £6.9 million, which falls below the council's agreed minimum target of £ 7.2 million. Savings of £5.1 million were built into the council's 2010/11 revenue budget and going forward, required savings are likely to be significantly greater. Current high level estimates predict these to be in excess of £13 million per annum for each of the three years 2011/12 to 2013/14.

Governance

24. The council has divided Dumfries and Galloway into four geographical areas for local governance and administrative purposes: Annadale and Eskdale; Nithsdale;Stewarty and Wigtown. The council has 47 members representing 13 multi-member wards. As shown in Exhibit 1, the council has been subject to periods of political change in recent years, with no political party holding a majority administration.

Exhibit 1 –

Changes in political administration

Time frame	Political Administration
2003 to February 2006	Alliance between Independent, Scottish Liberal Democrat Party and Scottish National Party
February 2006 to May 2007	Scottish Labour Party minority administration
May 2007 to date	Scottish Conservative & Unionist Party and Scottish Liberal Democrat Party minority coalition

Source: Dumfries and Galloway Council, the Audit of Best Value and Community Planning March 2009

Demographics

25. People within Dumfries and Galloway live mainly in small communities of 4,000 or less or in the countryside and over 25 per cent of the total population of approximately 148,500 live more than 30

minutes drive from a large town. While there are pockets of high unemployment in some areas, unemployment levels in the region are low. However a rise in unemployment has been noted due to the recession. The average gross weekly pay is below the Scottish average and there are few large employers with most jobs being in small businesses and self-employment. Approximately 40 per cent of the region's workforce is employed in the public sector.

26. Overall the council has relatively low levels of deprivation. However very small pockets of deprivation do exist across the region. The council are below the national average for early deaths from heart disease, cancer and stroke. In addition, alcohol related deaths are well below the national average as are the number of alcohol related hospital admissions.
27. The council area has a declining birth rate and population projections predict an overall decrease of 2.7 per cent by 2031, with a drop of 17 per cent in 0-15 year olds and a 13 per cent decrease in the working age population. Approximately 40 per cent of schools presently have fewer than 50 pupils. At nearly 25 per cent of the total population, the proportion of people over 60 years of age in Dumfries and Galloway exceeds the Scottish average of 16.4 per cent. It is estimated that by 2031, 35 per cent of the population will be elderly and the increase in people with dementia is expected to grow by 40 per cent in the next 20 years. The council is above the national average for lone pensioner households. While local demographics suggest an aging population, the council is also above the national average for looked after children.
28. These issues, challenges and pressures are properly reflected in the local outcomes detailed in the SOA and in the council's Corporate Plan.

4. Delivering outcomes for communities

The council and its partners have a clear and ambitious vision for tackling the issues facing Dumfries and Galloway and are making progress against many of their objectives. Our assessment of the council's performance in relation to delivering outcomes did not indicate the existence of any areas of significant concern. As such we will not be undertaking any particular scrutiny activity in this area other than ongoing monitoring by the local audit team.

Outcomes

29. Dumfries and Galloway Council demonstrates a strong commitment to working with partners and provides a good lead in community planning at both regional and area levels. A short summary of progress against each of the council's key outcomes is included below. Further detail is contained within Appendix 1.

Wealthier and fairer: The council clearly understands the context within which it is operating and has identified key areas where improvements in outcomes for local people are required. The council's Economic Action Plan and the Dumfries and Galloway Regional Economic Strategy are key documents aimed at addressing the economic conditions in Dumfries and Galloway. While progress is being made in certain areas, the council has recognised that the current monitoring data cannot provide any real measure of the impact of the recession across the region. This will be subject to ongoing monitoring and review.

Healthier: The council is giving appropriate focus to dealing with health issues and promoting positive healthy attitudes from birth. The council area has better than average levels of life expectancy as well as lower than average admission to hospital for both drug and alcohol misuse³. The council are not recording any delayed discharges from hospital. Reducing the numbers of looked after children and young people is a clear priority for the council and the council's SOA recognises the contribution that education is making to the health agenda in that all schools in Dumfries and Galloway have achieved health promoting school status. Progress against this outcome will continue to be monitored as part of normal local audit activity.

Safe and stronger: The Dumfries and Galloway Community Safety Partnership has the objective of working in partnership to make the region the safest place to live. The council plays a key role in the partnership and along with partners has completed strategic assessments identifying funding priorities and the main themes to be addressed in securing safe communities. The issue of community safety is also a standing item on the agenda of each meeting of the Area Committees. For 2008/09, Dumfries

³ [Dumfries and Galloway CHP - Health and Wellbeing Profile 2008](#)

and Galloway Police recorded the third lowest figure for domestic abuse in Scotland. Overall Dumfries and Galloway has 505 crimes committed per 10,000 of population, the lowest figure amongst the eight Scottish police forces and is a decrease of 11 per cent from previous year. There has been a downward trend in the number of dwelling fires. Progress in this area will be kept under review during the standard audit process.

Smarter: The council are demonstrating improvements in school achievement. S4 levels of attainment in 2009 remains just above national average values. While S5/6 levels of attainment had been declining in the period 2005-2007 these had risen in 2009 to a position above national average values and in line with comparator authorities. Indicators show the continued commitment to narrowing the gap between looked after children and their peers in terms of achievement, attendance and exclusion. There has been suitable focus on providing appropriate training for young people well in advance of their school leaving date and in line with guidance set out in 16+ Learning Choices. There will be on going monitoring of educational attainment and improvement priorities.

Greener: The council is on target to achieve its objectives of reducing its carbon footprint, maintaining biodiversity and managing waste. It is one of the top performing councils in Scotland for the diversion of waste from landfill and has already met the 2013 Landfill Directive targets. The council exceeded its targets in 2008/09 for the recycling and composting of waste. Progress against the greener outcome will continue to be monitored as part of the normal audit activity.

Services

The shared risk assessment of services highlighted only a few aspects which were regarded as being of significant concern, including the impact of the recession on the future provision of social work services and the backlog in roads repairs and maintenance. Most of these issues will be subject to ongoing monitoring and review as part of the annual audit process, with , as shown in Appendix 3 of the AIP only minimal specific scrutiny planned for year one.

30. Services within Dumfries and Galloway Council are going through a period of change. The council's recent restructuring saw a change in the configuration of some services, as well as in the summer of 2009, the early retirement of the chief executive and three other members of the senior management team. The council's commitment to enhanced area management structures will have a considerable impact on the future governance and provision of services across the council. Significant elements of customer facing services, including social work and education are managed by local service managers who, reporting to service directors, are now part of the area management team in each locality and are accountable to members for the delivery of services through the area committee reporting arrangements. The role of the four area committees is to be enhanced in terms of locality planning, performance management and scrutiny. The impact of the move to greater area working and decision-making is as yet unknown and will be monitored as part of the annual audit activity.
31. Only a few aspects of services are regarded as being of significant concern. The annual audit process will monitor the action taken to address the significant backlog in roads repair maintenance, improvements to the council's strategic housing role and the action taken to fully utilise the accumulated underspend on resource transfer monies.

32. Certain aspects of services' performance are currently viewed as uncertain, either due to the current lack of comprehensive performance assessment information or the uncertainty of the outcome of planned or ongoing changes. We will be working to enhance our knowledge and understanding of performance and progress in these areas. Such aspects include:

- the progress made within housing services in response to the inspection of homelessness services in 2007
- the progress in improving staff management and supervision within social work along with securing improvements to risk assessment and management in children's services.

33. The following is a summary of the shared risk assessment of those council services which have been subject to recent review.

Education: the performance of education services is generally good with no areas of significant concern. High standards are being maintained in the pre-school sector with the overall quality of provision remaining good in the primary sector. While there has been some improvement in the overall quality of attainment for secondary-aged learners, results at S4 is an area where further improvements should be made. Service delivery within community learning and development (CLD) is improving after a period of uncertainty. Based on an evaluation of the four impact quality indicators, the joint inspection of services for children and young persons in 2010 has so far proved positive. No further scrutiny within education services is planned for year 1 of the AIP. Future review will entail ongoing monitoring of educational attainment and continued improvement to the CLD provision. In addition there will be ongoing monitoring and support by the link inspector of the improvements agreed as part of the 2010 joint inspection of services for children and young persons.

Social work: the delivery of social work services is generally good with a small number of areas of concern as shown in Appendix 1. Social work and social care services are improving their performance management but ways for evaluating outcomes are still to be developed. The recent move into four localities is seen by the council as a promising way forward but this is still being established.

Services for people living in their own homes are on the whole better than those provided within care settings. Older person's care at home services are of good quality. Day care provision for children is good in both council provided services along with provision in partnership agencies. Criminal justice services for high risk offenders are also of good quality.

The social work service is aware of the need to improve staff management and supervision across all areas. However it is too early to assess the impact of the improvement actions taken to date and this will be subject to a supported self-evaluation between SWIA and the council in year one of the AIP.

In common with other local authorities a key risk facing social work services is the impact of the recession and the increased demands placed on services from an aging population. Careful strategic planning will be required to ensure the continued availability of quality services. This will be kept under review as part of the annual audit process and may lead to more specific scrutiny activity in year two of the AIP.

Housing: the results of the inspection of the council's homelessness service in 2007 resulted in a C or fair grade. The council submitted the progress report in December 2009. The council's assessment of progress in the homelessness service will be kept under review by SHR. The reported weaknesses in the leadership and performance management of the council's strategic housing role will be reviewed as part of the follow-up of the Best Value audit.

Good practice

34. As part of the SRA process, we set out to identify areas of exceptional performance or promising innovation – ie practice or provision that is outstanding and/or groundbreaking, both in terms of operation and outcomes achieved. During 2008-09, the council gained recognition and award for a number of services and initiatives. Examples include:
- The council's waste management/recycling PFI project delivered the first Ecodeco waste treatment facility of its kind in Scotland and has received a silver COSLA excellence award. The plant treats all collected wastes and recovers resources such as solid recovered fuel, recyclable materials and aggregates. The PFI contract has enabled Dumfries and Galloway Council to be one of the first authorities in Scotland to have the infrastructure to meet the EU Landfill Directive targets for the diversion of household waste from landfill.
 - The council's 'Inspector8' programme has received a silver COSLA excellence award. This is a project run by the Youth Issue unit and is aimed at involving young people in improving services. Around 50 young people from a range of agencies and organisations across the region have been recruited and trained as 'inspectors' to assess and suggest improvements to services such as libraries and leisure and sport facilities. Recommendations identified by the inspections are agreed with the council services, action plans drawn up and a six-monthly follow-up visit arranged. The findings from inspections will be formally reported to the area committees.

Corporate assessment

The council's corporate assessment has identified a high number of areas of significant concern. Considerable improvement is required to the council's corporate arrangements for Best Value. The audit of Best Value and Community Planning recommended that immediate action should be taken to move the council forward. The council does not have a good track record in strengthening its corporate approach to Best Value and while the council is aware of what needs to improve, the pace of change has been slow. There is also concern over the council's corporate capacity to take this agenda forward. The pace with which the new senior management team can achieve the necessary cultural changes across the council pose a substantial risk, particularly during the current climate of severe financial pressures. Progress in securing improvements will be monitored and reported by the local auditor in year one of the AIP.

35. The corporate assessment of the council is the area in the AIP in which we have identified a high number of areas of significant concern. In year 1 we shall review all of these areas as part of the annual audit. This may result in further specific work in years 2 and 3. The scope of our work will include the risks and improvement needs related to:

Leadership and strategic direction - the Audit of Best Value and Community Planning found leadership and direction for the council to be weak and that political leadership had not provided clarity on strategic direction. Progress in this area since the Best Value audit will be followed up during the annual audit.

Performance management and improvement – the Audit of Best Value and Community Planning found the council's performance management arrangements were poor and a corporate culture of performance management and continuous improvement did not exist. There has been little political leadership on performance management and a lack of clarity about members' responsibilities for scrutinising performance. While the changes in the council's senior management structure has created a new focus on managing performance, it is too early to assess the impact of the changes made to date.

Asset management – asset management arrangements are progressing but are still in need of further development. A corporate asset management plan has still to be developed making it difficult for members to take a council wide approach to prioritising asset management and the allocation of resources. There is a significant level of future investment required in repairing and maintaining the council's infrastructure assets.

Workforce planning - the council has recently approved the principles of a workforce transition strategy aimed at managing the downsizing of its workforce. Further progress is critical in workforce planning to inform future decisions on service provision and redesign.

Strategic resource and financial planning - the current development needs within asset management and workforce planning prevent the council from taking a fully integrated approach to strategic resource planning. The council is developing a financial strategy to address the projected cuts in future government funding. The budget development process is currently being revised to ensure members receive the financial information necessary to support future decisions on the priority of services and reductions in spend.

Competitiveness of services – the council has a poor track record in comprehensively demonstrating the competitiveness of its services and members have in the past failed to adequately scrutinise and challenge performance. It has now been over two years since the council approved in principle to clearly define the council's strategic commissioning role and responsibilities for efficient service delivery. A new strategic commissioning and delivery framework was approved by members in February 2010. Given the reported severe workload pressures on staff, the implementation of this framework across the council by the target date of 2010/11 will be particularly challenging. A specific review of the council's arrangements for ensuring the competitiveness of services is proposed for year 2 of the AIP.

Securing efficiencies through shared services - the council has to date had limited success in sharing services with external partners and are currently in the process of identifying potential areas for sharing services with NHS Dumfries and Galloway. Since the completion of the national shared

services diagnostic project, there has been limited progress in implementing projects. Members approved in February 2010 the implementation of five projects which are expected to release annual savings in the region of £260,000. The current economic recession places an even greater need on the council to maximise all opportunities for securing efficiencies through shared services as well as ensuring the competitiveness of services. We will keep progress in these areas under review as part of the follow-up of the Best Value audit.

36. **An account of the corporate assessment, including initial risk assessment, details of evidence, rationale and corresponding scrutiny response is set out in Appendix 2.**

5. Conclusion

Baseline scrutiny activity

37. 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 and council benefit arrangements.

National risks scrutiny and ongoing monitoring

38. There will also be scrutiny activity which is determined by national priorities and risks. One example of this is the joint inspection of services for children and young persons which was recently carried in the council. This type of scrutiny has not been subject to the shared risk assessment process.

Summary of planned scrutiny activity

39. Appendices 1 and 2 to this plan show a summary of the evidence we considered and the overall risk assessments made by the Dumfries and Galloway LAN on the outcome, service and corporate risk assessments. The scrutiny response the LAN has decided is appropriate in each area, is noted in the 'What we plan to do' column. Appendix 3 sets out the planned scrutiny activity for Dumfries and Galloway Council for the period April 2010 to March 2013 which is over and above any baseline and ongoing monitoring activity.

Next steps

40. The LAN has discussed and agreed that there will be a management response to the AIP by the council which will be included on the council's website. The AIP will be updated with the web address when it becomes available.

Appendix 1

Performance assessment Dumfries and Galloway Council			
Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Wealthier and fairer (an innovative and prosperous economy)</p>	<p>Area of uncertainty</p>	<ul style="list-style-type: none"> • Council recognises that while monitoring information for this outcome is useful in its own right, it does not provide any real measure of the impact of the recession across the region. • There are concerns that the recession could have a disproportionate impact on the region's competitiveness due to the relatively high dominance of public sector spend in the economy. • Council approved an Economic Action Plan in May 2009 focusing on the council's capital programme, financial advice and support to families, employment and business advice and support. <p><i>Improving employment and business opportunities:</i></p> <ul style="list-style-type: none"> • Council has established a Dumfries and Galloway Business Support Scheme - funding of £500,000 allocated for two year period. • Council are taking lead role in the Dumfries and Galloway Regional Economic Strategy 2008-2013. • Number of business start ups in 2008/09 (347) above local target. <p><i>Cultural and natural heritage:</i></p> <ul style="list-style-type: none"> • There is no data yet available to measure progress on the economic impact of festivals and events and the value of the tourism product. <p><i>Maximising household income</i></p>	<p>Audit Scotland: monitor progress as part of standard scrutiny process</p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> Status of progress is not yet known. Some targets have yet to be set. <p><i>Availability of affordable housing</i></p> <ul style="list-style-type: none"> Too early to assess progress however Scottish Government has given approval for 633 new homes. <p><i>Improving infrastructure</i></p> <ul style="list-style-type: none"> £6 million strategic roads programme set up by council for investment Council is making progress against local targets for % of roads considered for maintenance treatment however significant investment required to address backlog in repairs maintenance. £105 million. 	
<p>Healthier (healthy and happy lives)</p>	<p>No significant concerns</p>	<ul style="list-style-type: none"> Council is currently exceeding the Scottish figures for the healthy life expectancy at birth in most deprived areas see: Dumfries & Galloway CHP - Health & Wellbeing Profiles 2008. Lower than average admission to hospital for both drug and alcohol misuse. The council is not recording any delayed discharges from hospital. Appropriate focus given to dealing with health issues and promoting positive healthy attitudes from birth. The SOA recognizes the contribution that education is making to the health agenda in that all schools in D&G have achieved health promoting school status. The number of looked after children per 1000 population is a new indicator for 2009 therefore no trend information available. Council's current performance is 13.5 compared with Scottish level of 12.6 and comparator council of 10.4. There is however appropriate focus being given to reducing the numbers of children and young people who are looked after. 	<p>Audit Scotland: monitor progress as part of standard scrutiny process</p>
	<p>Area of uncertainty</p>	<ul style="list-style-type: none"> In some areas there are limited indicators -achieving 	<p>Audit Scotland: monitor progress as</p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>good mental wellbeing, caring for vulnerable people and reducing inequalities in health. Recent reports indicate that the majority of indicators are on target; however some do not record the current position.</p>	<p>part of standard scrutiny process</p>
<p>Safe and stronger (where people feel safe and respected in the community)</p>	<p>No significant concerns</p>	<ul style="list-style-type: none"> • The council plays a key role in the multi agency Community Safety Partnership which provides strategic direction and sets priorities for securing safe communities. • The Police, Fire and Rescue Committee has led well on community safety. • The chief constable regularly submits a Community Safety report to the area committees. • Performance reports from chief fire officer regularly put to Area Committees. • In 2008/09, Dumfries and Galloway Police area recorded the 3rd lowest figure for domestic abuse in Scotland (879 instances per 100,000 population). • 505 crimes committed per 10,000 of population - the lowest figure amongst the eight Scottish police forces and is a decrease of 11% from previous year. • In terms of council areas in Scotland, Dumfries and Galloway shows a 66% clear up rate - the second best performance in Scotland. • There has been a downward trend in number of dwelling fires , 7% reduction in all fire types. • 62% of survey respondents feel safe going out after dark. 	<p>Audit Scotland: monitor progress as part of standard scrutiny process</p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
Smarter (being better equipped for a changing world and having improved life chances)	No significant concerns	<ul style="list-style-type: none"> • There has been suitable focus on improving school achievement. S4 levels of attainment in 2009 remains just above national average values. • While S5/6 levels of attainment had been declining in the period 2005-2007 these had risen in 2009 to a position above national average values and in line with comparator authorities. • Indicators show the continued commitment to narrowing the gap between looked after children and their peers in terms of achievement, attendance and exclusion. • There has been suitable focus on providing appropriate training for young people well in advance of their school leaving date and in line with guidance set out in 16+ Learning Choices. 	HMIE: On-going monitoring of educational attainment and improvement priorities.
Greener (an environment that is protected and enhanced)	No significant concerns	<ul style="list-style-type: none"> • Council are on target to achieve objectives of reducing its carbon footprint, maintaining biodiversity and managing waste. • The council has enrolled for the 2008/09 Carbon Trust's Local Authority Carbon Management Programme and has introduced a Carbon Management action plan – main aim to reduce council's carbon emissions by 20% over next 5 years. • Council exceeded its waste management target in 2008/09 for waste recycled and composted - 36% compared with target of 32% (increased from only 5% since council signed the waste management contract in 2004. • Council has provided all households with a clear and informative household waste guide - held 14 waste road shows to accompany the guide. 	Audit Scotland: monitor progress as part of standard scrutiny process

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Education	No significant concerns	<ul style="list-style-type: none"> • The council demonstrates a clear capacity for continuous improvement in Education Services. The vision for education is clearly and directly focused on raising attainment, developing achievement and ensuring participation for all. • High standards are being maintained in the pre-school sector with the overall quality of provision remaining good in the primary sector. • While there has been some improvement in the overall quality of attainment for secondary-aged learners, results at S4 is an area where further improvements should be made. The authority is providing well-targeted support to promote further improvements to standards of attainment. • CLD service delivery is improving after a period of uncertainty. Good progress has been made in elements of the CLD restructuring and the service is in the early stages of introducing a quality improvement and management information system. • The report on the inspection of Services for Children published April 2008 expressed confidence that children in immediate need of protection received the help they required promptly. • Based on an evaluation of the four impact quality indicators, the joint inspection of services for children and young persons carried out by HMIE in 2010 has so far proved positive. • The council has recently reorganised key services for children. This is designed to promote improved partnership working and to allow a local response to local issues and priorities for change and improvement. 	<p>HMIE: On-going monitoring by District Inspector of educational attainment and improvement priorities, including improvements to CLD provision.</p> <p>HMIE: additional support to council's CLD</p> <p>HMIE Joint Inspection of Services for Children and Young Persons:</p> <p>Ongoing monitoring and support by the link inspector following improvements identified from the 2010 inspection.</p>
Social work	No significant concerns	<ul style="list-style-type: none"> • A direction has been given by the Scottish Government 	SWIA joint inspection with HMIP of

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>for the review of prison based social work services in all relevant local authorities.</p> <ul style="list-style-type: none"> • Criminal justice services for high risk offenders were of good quality and probation and community services were improving. • Older person's care at home services are of good quality. • Day care provision for children is good in both D&G provided services along with provision in partnership agencies. • Services for people living in their own homes were on the whole better than those provided within care settings and therefore the Care Commission gradings of some services are poorer than SWIA but this is due to the agencies inspecting different aspects of social work and social care services. • Risk assessment and care management in adult services was satisfactory. • Results of inspections have not highlighted any significant concerns surrounding standards within contracted care homes for adults. 	<p>prison based social work services.</p>
	<p>Area of uncertainty</p>	<ul style="list-style-type: none"> • Accommodation for looked after children and young people was varied and the overall picture of care resources difficult to obtain completely. • Risk assessment and management in children's services were adequate but still scope for improvement. • Staff management and supervision in all services inspected by SWIA and the Care Commission was in need of development and focus. There has been a recent (2009) staff survey but plans to meet with groups of staff in the new locality structure and consult with them through this year (2010). This is useful but will result in slow forward progress. 	<p>SWIA: proposed joint work with Social Work services on supported self evaluation on looked after children's services. Will include development of self evaluation model and performance indicators.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • Social work and social care services are improving their performance but ways of evaluating outcomes are still to be developed. The recent move into four localities is seen by the council as a promising way forward but this is still being established. • The council experienced some difficulties in readily accessing information requested for the Audit Scotland national study on Residential Care for Looked After Children • Framework system is not yet improving budget monitoring within sections of social work. 	<p>SWIA: joint work with Social Work services on supported self evaluation on findings of staff survey.</p>
	<p>Area of significant concern</p>	<ul style="list-style-type: none"> • In common with other local authorities a key risk facing social work services is the impact of the recession and the increased demands placed on services from an aging population. • The council has continued for three years to under-spend on the resource transfer monies received from NHS Dumfries and Galloway. £2.8 million or approximately one third of the total resource transfer income received each year by the council remained unspent at the end of 2008/09. <p>Since 2008/09 the council has progressed this issue with NHS Dumfries and Galloway. In 2009/10 additional funds were allocated from the accumulated underspend to learning disability services and agreement has been reached with the NHS to commit £1.6 million of the accumulated underspend to the establishment of a change fund for the two year period 2010/11 and 2011/12. This fund is to be used to support the current drive to re-shape care for older people in accordance with national policy priorities such as the personalisation agenda and the promotion of early intervention.</p>	<p>Audit Scotland : Ongoing monitoring as part of the annual audit process of the impact of the recession and action taken to fully utilise resource transfer funding</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Planning and environmental services</p>	<p>No significant concerns</p>	<p><i>Environmental Services</i></p> <ul style="list-style-type: none"> • Well structured approach to performance monitoring and reporting. Performance in waste management is good. Council was one of the first authorities in Scotland to have the infrastructure to meet the 2010, 2013 and 2020 EU Land Directive targets for the diversion of household waste from landfill - mainly facilitated by the council's innovative Eco Deco waste treatment plant which recovers resources such as solid recovered fuel, recyclable materials and aggregates. • Council diverted 52% of municipal waste fro landfill in 2008/09 - 5th highest diversion of waste from landfill in Scotland. This exceeds the 2013 EU target of 50%. Council currently on target to meet the 2020 EU target of 65%. • Slightly reducing trend in net costs of refuse collection over last three years. Cleanliness index of streets is improving. Refuse collection service performs well regarding the level of public complaints about the service. • Reaccredited with Investors in People in November 2009. <p><i>Planning Services</i></p> <ul style="list-style-type: none"> • Good performance in level of successful appeals to planning determinations, rank 3 in Scottish average in 2008/09. • The building standards have achieved a considerable level of continuous improvement during first six months of 2009/10. Exceeding target times for responding to building warrant applications. • Rank 22 in Scottish average 2008/09 for % of all planning applications dealt with within 2 months. Improving trend in % of household applications dealt with within 2 months 82% -mainly due to drop in 	<p>No specific scrutiny activity</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>applications due to recession. Still below service's operational plan target of 90%.</p> <ul style="list-style-type: none"> • Exceeding council's own target for time taken to process consumer complaints in protective services and business advice requests. • Building Standards service awarded in December 2009 the highly prestigious Customer Service Excellence (CSE) accreditation from UK Government Cabinet Office. • Building Standards service received 'excellent' grading from a review of performance carried out by the Scottish Government Building Standards Division in February 2010. • Reaccredited with Investors in People in November 2009. 	

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Planning and environmental services (continued)	Area of uncertainty	<i>Homelessness Services</i> <ul style="list-style-type: none"> An inspection of Dumfries and Galloway's homelessness service took place in 2007 and the Council was awarded a C grade / fair. The council has submitted the progress report following the inspection of Homelessness services in 2007. In reviewing this, SHR found that there are still some issues that are not yet resolved, or that it is not clear from the information how they are to be addressed or the timescale. 	SHR: Follow up of council's progress against 2007 inspection of homelessness services.
	Area of significant concern	<i>Strategic Housing</i> <ul style="list-style-type: none"> Audit of Best Value and Community Planning reported weaknesses in the council's strategic housing role including inadequate political and managerial leadership, weak performance management and insufficient resources. Council's first Local Housing Strategy covered period 2004-2009. New LHS still being developed with target date of September 2010. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.
	Area of significant concern	<i>Roads and Street Lighting</i> <ul style="list-style-type: none"> There is a significant backlog in roads repair maintenance - overall 44% of road network should be considered for maintenance treatment Carriageway condition is substantially poorer than average - rank 27 against Scottish average in 2008/09. Worsening trend in performance in time taken to repair traffic light failures and street light failures within 48 hours and 7 days respectively. Council has agreed short term capital investment of £11 million in regeneration and roads over a three year period. Given previous capital underspends, there are risks that the investment plan is not met. Good level of performance in meeting European 	Audit Scotland: Ongoing monitoring as part of the annual audit process.

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		Standards for bridges.	
Community and support services	Area of uncertainty	<ul style="list-style-type: none"> • The current performance reporting arrangements within Community and Support Services make it difficult to reach a service level conclusion on risk assessment. Over 50 reports present performance information in a variety of forms. • There have been no summary performance reports and progress against Service Plan reported to members over the last 12 months. Service's performance arrangements management is currently under review. • The handover of services from the Annandale and Eskdale Sports and Leisure Trust to the council took place on 1 April 2010. The Leisure Trust has however served a legal writ on the council for compensation related to termination of the Service Level Agreement. This legal action is currently suspended. • 2 out of 8 of the council's cultural and leisure services SPIs are in the top quartile - visitor numbers and use of museums are performing well. • Increasing trend in attendances at pools and sports facilities. Possibly due to opening in 2008/09 of new flagship leisure centre DG One. • Declining performance in book stock turnover and in use of libraries. • The council works well in partnership to provide a range of leisure and cultural services : a jointly developed Physical Activity Strategy has been introduced with NHS Dumfries and Galloway, joint work with Education services re schools estates on the provision of sports and leisure services throughout the council. • Benefit Fraud Inspectorate carried out a review of the council's housing and council tax benefit function in August 2008. Overall favourable performance - some 	Audit Scotland: Ongoing monitoring as part of the annual audit process.

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<p>examples of good practice indentified by inspection.</p> <ul style="list-style-type: none"> The need for the development of an over-arching cultural strategy is a Corporate Plan priority. This is to replace the outdated strategies for Arts, Museums and Libraries. Strategy still under development. 	
DG First	Area of uncertainty	<ul style="list-style-type: none"> DG First is the council's 'service delivery partner' and is currently going through a period of change under the council's strategic commissioning and local delivery framework. Apart from Roads Maintenance, the council's STOs have had a poor track record of financial performance against the statutory breakeven target. Approval recently given to disband 2 of the council's 3 Statutory Trading Organisations. DG First is currently developing a cohesive performance management framework. There have been no summary performance reports and progress against Service Plan put to committee over the last 12 months. 	Audit Scotland: Ongoing monitoring as part of the annual audit process.
Dumfries and Galloway Police Authority	Area of uncertainty	<ul style="list-style-type: none"> In its role as the police authority the Police, Fire and Rescue Committee has not been proactive in providing leadership and strategic direction. It has not been discharging its best value responsibilities adequately or coordinating continuous improvement and there needs to be greater challenge and scrutiny by the committee. Impact of changes since audit of Best Value and Community Planning not yet known. 	Police Best Value audit (timing yet to be decided)

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
Fire and Rescue Service	Area of uncertainty	<ul style="list-style-type: none"> • There is currently no national inspection regime in place for Fire and Rescue Services. A Best Value audit framework is being developed. • Dumfries and Galloway Fire and Rescue Service publishes its performance information both quarterly and annually and regularly reports to members. • Review of SPIs in 2008/09 shows improvements in call response times and less accidental dwelling fires. However slightly higher percentage of fire casualties. 	Fire and Rescue Best Value audit (timing yet to be decided)

Appendix 2

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
<p>Vision and strategic direction</p>	<p>Area of significant concern</p>	<ul style="list-style-type: none"> • Best Value audit report in March 2009 highlighted that leadership and direction for the council as an organisation are weak. Political leadership has not provided clarity on the strategic direction for the council. • Progress is still outstanding in the development of member – officer relationships and political management. The council's new Leadership Framework is still at a very early stage. • There is not a performance management or continuous improvement culture in the council. The new chief executive is aware of the need to improve the culture and has implemented management processes to address this and start the change process. This however is still at a very early stage. • The council has still some way to go before it can apply a fully integrated approach to strategic planning which takes into account the future priorities for the council's assets, workforce and finances. • The council's Strategic Management Framework has to date not been applied consistently by services and as such has not been effective in supporting an informed approach to business planning. 	<p>Audit Scotland: Follow up to audit of Best Value and Community Planning</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Partnership working and community leadership	No significant concerns	<ul style="list-style-type: none"> • Audit of Best Value and Community Planning found community planning and partnership working to be areas of strength. • The council has a good track record of joint working with its partners in NHS Dumfries and Galloway • There is clear vision and strategic direction at a community planning level and the council provides good leadership and direction at an area working level. • There is effective local area partnership working and good engagement of councillors and officers at area committees. • Dumfries and Galloway Compact exists between voluntary, community and public sectors bodies. 	No scrutiny activity
	Area of significant concern	<ul style="list-style-type: none"> • The council has been very slow to progress the development of the Community Health and Social Care Partnership. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.
Community engagement	No significant concerns	<ul style="list-style-type: none"> • The council generally engages well with local communities and supports consultation and involvement activities. • The council has a good range of approaches for engaging with different population groups. Individual services demonstrate some good practice in consulting and involving local communities. • The council provides good support to local groups which represent minority communities. • Area Committee structures support good community interaction with the council at a local level. 	No scrutiny activity

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • The council provides good face to face customer service at area management level through a network of customer service centres. There is a good range of public offices across each of the areas. • The implementation of the council's Customer First Strategy has included the development of a customer charter and a customer complaints scheme. • Customer Relationship Management has been identified as a priority project for the council and will be monitored monthly between Chief executive and Directors as part of the CMT Covalent Scorecard. 	
	<p>Area of uncertainty</p>	<ul style="list-style-type: none"> • The council has very recently moved to greater area working arrangements and the impact of this new approach is still unknown. • Management of Change is being progressed to increase delegation of service and budget responsibility to Local Area Committees and proposals are being developed which should enhance their scrutiny function. These actions are to be addressed through a review of the Area Management Framework which is to be reported to members early 2010. 	<p>Audit Scotland: Follow up to audit of Best Value and Community Planning.</p>

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Governance and accountability	Area of uncertainty	<ul style="list-style-type: none"> To clarify scrutiny and performance management arrangements the council is to review the scheme of delegation and committee remits with effect from 1 April 2010. These reviews are still at a very early stage and their impact cannot yet be assessed. The council are to review its arrangements for public performance reporting to ensure a more systematic and balanced approach. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.
Performance management and improvement	Area of significant concern	<p><i>Performance management</i></p> <ul style="list-style-type: none"> The council's performance management arrangements are weak. A corporate culture of performance management does not yet exist. Poor performance monitoring and reporting has prevented both members and senior management to adequately challenge performance and provide effective scrutiny. The council concluded the best value improvement plan at the end of January 2010 and is to incorporate any outstanding actions into a corporate action plan for the council that is to be drawn up as part of the Public Service Improvement Framework. Council has a past track record of not delivering on agreed action plans and having a slow pace of change and improvement. <p><i>Competitiveness</i></p> <ul style="list-style-type: none"> Council's arrangements to ensure competitiveness are insufficient. There is currently limited evidence to demonstrate that the council is taking a competitive approach to the provision of services. Poor track record of carrying out service reviews. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> • The council shared services programme has been slow to progress. <p><i>Risk Management</i></p> <ul style="list-style-type: none"> • While some progress has been made in risk management much still needs to be done to ensure the development and operation of comprehensive risk registers across all services. • Members' responsibility for the ongoing monitoring of service risks is unclear. 	
Use of resources	Area of significant concern	<p><i>Financial pressures</i></p> <ul style="list-style-type: none"> • The expected cuts in future government funding and increases in demand for services will place significant financial strain on the council. Future strains on available reserve balances from budget pressures are very likely. • Financial Strategy to address future pressures over the next three years currently being developed. <p><i>Asset management</i></p> <ul style="list-style-type: none"> • Asset management arrangements are progressing but still need further development – members approved in November 2009 which asset management plans were to be developed and the respective committees responsible for overseeing their development along with the introduction of implementation action plans. • There is a significant level of future investment required in repairing and maintaining the council's infrastructure assets. Current estimates set this at £80.4 million for property (to ensure in good state of repair and complies with legislation) and £105 million for roads (to address backlog repairs to remove current defects). 	Audit Scotland: Follow up to audit of Best Value and Community Planning.

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> The council has yet to develop a Corporate Asset Management Plan, making it difficult for members to take a corporate approach to asset management prioritisation and resource allocation. <p><i>Managing people</i></p> <ul style="list-style-type: none"> The council's current approach to workforce management is underdeveloped. Council not yet in a position to carry out workforce planning which will be critical to inform future decisions on budget pressures and service provision and redesign. Council approved in March 2010 a workforce transition strategy and updated policies relating to redundancies, redeployment, vacancy management and early retirement <p><i>Procurement</i></p> <ul style="list-style-type: none"> There is good performance in procurement but doubts over future capacity. There is insufficient accommodation for children and young people, resulting in children being either accommodated outside the D&G area or with contracted private provision. 	
Equalities	Area of uncertainty	<ul style="list-style-type: none"> Improvement action taken in equalities in response to Best Value report - however too early to assess effect of changes made. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.
	Area of significant concern	<ul style="list-style-type: none"> Currently only 47% of council buildings are accessible to disabled people. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.
Sustainability	Area of uncertainty	<ul style="list-style-type: none"> The council has some innovative practice in areas such as sustainable waste management and transportation. However, sustainable development is not yet an integral part of service planning and delivery across the council as a whole. Performance in the areas of social and economic sustainability is unclear. 	Audit Scotland: Follow up to audit of Best Value and Community Planning.

Appendix 3

Dumfries and Galloway Council assurance and improvement plan 2009-13: Summary of scrutiny and improvement

The following types of audit and inspection have been excluded from Appendix 3 but , where relevant are noted on Appendix 1:

- baseline scrutiny activity eg school and residential home inspections
- ongoing monitoring and reviews as part of the annual audit process
- the follow up of the Audit of Best Value and Community Planning. This will be covered in year one as part of the annual audit process. This however may result in further specific work in years two and three of the AIP.

2010-11 (Year 1)												
Scrutiny activity :	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
SHR : Review of self evaluation *												
SWIA : Review of prison based social work services *												
SWIA : proposed joint work with Social Work services on supported self evaluation on looked after children's services and supported self evaluation on findings of staff survey												
Care Commission : Adoption and fostering review *												
Audit Scotland and SWIA : proposed joint work on supported self evaluation *												

* - identified through the national scrutiny round table process

2011-12 (Year 2)	
Issues for scrutiny/improvement	Scrutiny bodies/council potential involvement
Best Value Audit of Police (date to be confirmed)	HMICS and Audit Scotland
Best Value Audit of Fire and Rescue Services (date to be confirmed)	Audit Scotland
Proposed review of impact of financial position, management and development, management information systems and performance management	Potential SWIA and Audit Scotland joint review
Proposed review of competitiveness of services.	Audit Scotland
Best Value 2 Audit - Outcome review	Audit Scotland

2012-2013 (Year 3)	
Issues for scrutiny/improvement	Scrutiny bodies/council potential involvement
Proposed review of sustaining change and staff development and performance management	SWIA
Best Value 2 Audit - Corporate Assessment	Audit Scotland