Shared risk assessment: Assurance and improvement plan 2010–13

The Moray Council

social work inspection agency

THE SCOTTISH HOUSING REGULATOR

care commission

HMIe
improving Scottish education
leasachadh foghlam na h-Alba

AUDIT SCOTLAND

Contents

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 The Moray Council:

    - Audit Scotland

    - Scottish Commission for the Regulation of Care

    - HM Inspectorate of Education (HMIE)

    - Scottish Housing Regulator (SHR)

    - Social Work Inspection Agency (SWIA).

2. The AIP sets out the planned scrutiny activity for The Moray Council for the period April 2010 to March 2013 based on our scrutiny risk assessment of the council. The scrutiny activity is proportionate to the assessed scrutiny risks.

Why have we prepared this AIP?

3. The overall objectives of this collaborative approach are to maximise the efficiency and effectiveness of scrutiny work and minimise the impact of scrutiny activity on the council. This will be achieved by:

    - Jointly identifying and monitoring key scrutiny risks through the sharing of intelligence and information.

    - Coordinating the timing and approach of our audit, inspection, regulation and improvement support activity.

    - Drawing on, and taking account of each other's work to avoid duplication of effort.

    - Building on each other's work to maximise its value.

4. The AIP draws on a number of sources of information, including

    - the audit of Best Value and Community Planning and subsequent follow up audits

    - the annual audit report to the Controller of Audit and elected members for 2008/09

    - the council's own website, self-evaluation and supporting evidence

    - reports and data from HMIE, SWIA, SHR and the Care Commission (including published inspection reports and other supporting evidence).

What do we mean by a scrutiny risk?

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

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

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

   - Red, where there are significant concerns which would indicate that we would need to undertake some scrutiny activity in order to provide public assurance.

   - Amber, where there are areas of uncertainty or gaps in the information available to us to determine whether or not we need to undertake some scrutiny activity.

   - Green, where we have no significant concerns.

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

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

What does proportionate scrutiny mean?

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

   - Is scrutiny activity the best driver for improvement?

   - If so, how can we tailor that activity to the areas where it will have the most impact?

   - How can we tailor that activity in terms of its frequency, intensity and scope?

   - What is the minimum level of scrutiny required to provide assurance to the public?

   - How can we work together to minimise the impact of the scrutiny activity on the council?

Baseline scrutiny activity

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

2. Summary

Overall scrutiny risk assessment

Although the council has faced significant problems in relation to its leadership and management, especially its political leadership in recent years, a range of evidence now shows an improved and improving picture. The council still has some areas for improvement and other areas, particularly around outcomes, where performance information requires further development. Scrutiny activity will be targeted in those areas assessed as highest and uncertain scrutiny risk and these are set out in the remainder of this AIP.

11. The AIP gives an overview of the information that informed the risk assessment and shows how this links to the proposed scrutiny response. The aim of the shared risk assessment is to focus scrutiny activity where it is most needed and to determine the most proportionate scrutiny response over the next three years.

Outcomes

12. The Moray Council's ability to demonstrate the impact it is making in delivering its local priorities is in its early stages. This is not dissimilar to the national position in terms of the move to an outcomes approach. Although there are some pockets of information within the outcome areas, a lack of information to demonstrate the extent to which the council is achieving its local outcomes is apparent. We have identified the delivery of outcomes as an area of uncertain scrutiny risk. As a result we will undertake some focused work to examine the progress made by the council and its partners in demonstrating the impact it is making. Financial risks associated with the consequences of flooding and the poor outcomes for any of its citizens involved, are assessed as an area of significant concern for the council. However, we are satisfied with the action being taken by the council to manage the risks associated with flooding and therefore, no scrutiny activity is planned in response.

Services

13. The Moray Council's services are generally performing to a satisfactory level and where performance is less good, this is being managed. There are a number of areas of good performance including housing management, tenant participation and recycling.

14. We have identified child protection as an area of high scrutiny risk. There are also a number of service areas which we have assessed as uncertain scrutiny risks. These are criminal justice services, homelessness services and the ability of social work services and the education department (at the service level) to undertake effective self-evaluation. We will be undertaking focused scrutiny work to improve our understanding of performance and progress in these areas.

Corporate assessment

15. The council has made encouraging progress against the improvement plan it developed following the Best Value audit in 2006 and follow up audits in 2007 and 2009. This plan is subject to annual monitoring through the routine annual audit process.

16. However, we plan some focused Best Value work, targeted to those areas we have identified as high or uncertain scrutiny risk, to assess progress. These are political leadership, customer focus, delivering outcomes and self-evaluation/performance management.

Self-evaluation

17. The council's approach to self-evaluation is at a relatively early stage of development. As a consequence there are a number of areas where we have identified uncertain scrutiny risk due to the lack of evidence of impact. This means that we have had to identify additional scrutiny activity throughout the duration of the plan to provide assurance that the council is developing its management information and making progress in delivering its outcomes and improved services.

National risk priorities

18. A number of core national risk priorities will be applied to all 32 councils. These are:

- The protection and welfare of vulnerable people, which is encapsulated in the council's defined outcomes and the Community Services and Educational service areas. We have identified uncertain scrutiny risk in relation to criminal justice and high scrutiny risk in relation to child protection/improved life chances for children, young people and families and have identified scrutiny work accordingly.

- Assuring public money is being used properly. The council demonstrates sound financial management but continues to face significant financial pressures as a result of the current economic climate, increasing demand for services for the elderly, the November flooding and the severe winter weather. No specific scrutiny activity is planned, but Audit Scotland as the local external auditor will continue to monitor this area as part of the annual audit process.

- The impact of the greater financial pressure faced by councils associated with the current economic climate. The Moray Council faces significant financial risks, exacerbated by the recent floods. Current estimates indicate that the council will need to make savings of around £20 million in order to balance its revenue budget over the next four years (2010/14). The council is managing these risks and in February 2010 its 2010/11 budget was approved after being proposed by the administration and seconded by the opposition. In addition, the council continues to maintain a General Fund balance of £5 million for unforeseen circumstances. No specific scrutiny activity is proposed, but again Audit Scotland, as local external auditor will assess this as part of the annual audit process.

Summary of planned scrutiny activity

19.   The planned activity for The Moray Council as described throughout the text is detailed in Appendix 4. In summary this includes:

Specific work:

- Year 1 – Education follow through inspection and education psychological services follow through inspection.

- Year 1 – Best value work around political leadership.

- Year 1 – Best value audit and inspection of Grampian Police and Grampian Joint Police Board.

- Year 2 - Assessment of council's customer focus approach.

- Year 2 – Homelessness improvement plan.

- Year 2 - Focused Best Value work to examine the progress made by the council and its partners to measure outcomes and impact.

- Year 2 – HMIE Joint Child Protection Inspection.

- Year 3 – Focused Best Value work to assess Moray Performs.

On-going work:

- The Care Commission and HMIE will continue to undertake ongoing inspection work at establishment level.

- HMIE and SWIA will continue to monitor risk through the link inspector role.

- Audit Scotland, as local external auditor, will continue to monitor finance, governance and accountability matters as part of the annual audit process.

- 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.

National work:

- Year 1 – HMIE Joint Child Protection follow through inspection.

- Year 1 - SHR – Monitoring information to be submitted on progress in meeting the Scottish Housing Quality Standards.

- Year 1 – SWIA – ISLA.

- Year 1 - Care Commission – inspection of adoption and fostering services.

3. The council's context

20.   The Moray Council operates in a context of an ageing population (46.13 per cent people living in Moray are 45 years or more compared to 43.28 per cent in Scotland as a whole). The population of Moray in 2008 was 87,770 which was an increase from 2006 when the population was 86,750. The local economy is heavily reliant on the two Royal Air Force bases at Lossiemouth and Kinloss, which jointly support about 21 per cent of local jobs, and a higher than average percentage of manufacturing industries, with most of these being in whisky production and food processing. Council spend for 2009/10 (based on latest estimates still to be subject to final accounts audit) comprises a net revenue expenditure of £198.8 million and capital expenditure of £31.4 million.

21.   Unemployment is lower than average but wages in Moray are considerably lower than the national average and are the lowest of any local authority in Scotland (the median gross weekly earnings of people working full time in Moray are 15.9 per cent lower than Scotland as a whole). Life expectancy is better than the Scottish average and alcohol and drug related hospital admissions are well below the Scottish average.

22.   The council has identified 15 local priorities framed around the 15 national outcome priorities. As a result it is not clear if the council has increased emphasis or prioritisation around the local context reflected above, namely providing services for an increasingly older population and the need for economic diversification. The council tell us that the threat of closure of one of the RAF bases is one of the most significant risks faced by the community and the council. The Strategic Defence Review is due to report by December 2010 and may recommend the closure of one of the bases. The council is very alert to the risk and has amended its Risk Register to include this. It is currently refreshing the Moray 2020 strategy prepared in response to previous potential significant reductions in the RAF workforce. We will follow this up during the year and feed the results into next years SRA.

Self-evaluation

23.   The council is actively engaged with the Improvement Service in developing Moray Performs which incorporates the Public Service Improvement Framework (PSIF). The Moray Performs Board oversees all aspects of the work of Moray Performs, including self-evaluation activity. In engaging with the LAN, the council produced a self-evaluation paper describing the elements and processes they have in place to enable them to evaluate their performance. However, this contained very limited information about service performance and progress in delivering positive outcomes for local communities. Previous inspection work, including INEA[1], the child protection and social work inspections, found that the council had limited capacity to undertake effective self-evaluation of its services.

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[1] The INEA follow through inspection referred to in this AIP took place in May 2010 and is scheduled to be published in June 2010. It will report on the action taken by the council to improve self-evaluation at the establishment level.

24. Self-evaluation is not yet embedded throughout the council. The council has a plan to achieve this by the roll out of PSIF, but its implementation is still at a relatively early stage. There is currently insufficient evidence available to demonstrate that the council is now able to undertake effective self-evaluation, something which it has not always been able to do in the past. As a result, our scrutiny work is more extensive, as reflected in the number of areas where we have identified uncertain scrutiny risk, in order to ascertain performance levels and progress.

25. It is recognised that the council needs time to embed its approach to self-evaluation and performance management. Hence in Year 3 of the AIP, some focused Best Value audit work around Moray Performs is planned to provide assurance that the council is identifying and managing improvement on an ongoing basis.

4. Delivering outcomes for communities

Outcomes

The Moray Council's ability to demonstrate the impact it is making in delivering its local priorities is in its early stages. Progress is apparent in some areas but due to the lack of comprehensive publicly reported data and information on trends, we have identified the delivery of outcomes as an area of uncertain scrutiny risk. As a result we will undertake some focused work to examine the progress made by the council and its partners in demonstrating the impact they are making.

26. The council has worked closely with its community planning partners in developing its single outcomes agreements. However, it still has more to do in conjunction with its partners in defining outcomes which have measurable targets.

27. A short summary of performance against each outcome is included below. The council frame their local priorities in line with the 15 national priorities. Within this, the council concentrates for reporting purposes on those outcomes measures where its performance is below the national average. In the interests of brevity in the assessment below, we have grouped these priorities together where they are related. Further detail is contained within Appendix 1.

Business/employment opportunities

28. Moray has a higher than average working age population that is economically active. There is lower than average long term unemployment and lower levels of income support claimants. However, we have little or no information relating to increasing economic activity, career development opportunities for young people and improving the transport infrastructure. We assess this area as uncertain scrutiny risk.

Health

29. People in Moray have higher than average life expectancy, fewer hospital admissions for alcohol and drugs misuse, lower levels of incapacity benefit claims and increasing levels of home care. However, we have no information relating to tackling health inequalities, obesity, smoking and mental wellbeing. We assess this area as uncertain scrutiny risk.

Inequalities/sustainable places/resilient communities/inclusive identity

30. The council has a good understanding of housing need and demand, and the condition of its stock. The housing waiting list level is down and the numbers of affordable housing are increasing. However, there is no further information on the impact made in delivering the other local priorities e.g. reducing deprivation, reducing racism, increasing literacy and numeracy, increasing access to services, and increasing influence and participation levels. We assess this area as uncertain scrutiny risk.

Community safety

31.   Progress has been made in reducing anti-social behaviour, young offender levels, and young drivers involved in collisions. Improvement in relation to vandalism, fire raising, serious road collisions and serious injuries/deaths as a result of road collisions are less apparent. However, the council and its partners have clear plans and measures in place for community safety so we assess this area as low scrutiny risk. However, it should be noted that Grampian Police and Joint Board will be subject to a Best Value audit in 2010. This work is likely to assess the impact of partnership working in this area.

Environment

32.   The council has made good progress in relation to improving waste recycling levels. There is a lack of information about the impact in delivering all other local priorities in this area including the protection of the historic, natural and built environment and public assets. We assess this area as uncertain scrutiny risk. The particular local issue of reducing the threat of flooding remains a very significant one for the council. We assess the consequential financial risks and potential poor outcomes for its citizens as an area of low scrutiny risk. The council is very alert to the risk and appears to be taking all reasonable steps, including flood prevention schemes to address it.

Better educated/successful learners

33.   There has been some success in improving attainment and the levels of NVQ qualifications, and good evaluations of learning experiences in primary and secondary schools. There is no information relating to responsible citizens and young people as active members of the community. We assess this area as uncertain scrutiny risk.

Best start/improved life chances

34.   The council received a critical child protection inspection report in February 2009. A follow up in June 2009 found early signs of improvement but child protection remains a high scrutiny risk. Again this area is also characterised by a lack of clear information to demonstrate progress in delivering the stated local outcomes.

Implications for scrutiny

35.   Although there are some pockets of information within the outcome areas, a lack of information to demonstrate the extent to which the council is achieving its local outcomes is apparent. We will undertake some focused work to examine the progress made by the council and its partners to establish baseline information, develop SMART performance indicators, targets and a performance management framework in year two of the plan.

Services

The Moray Council's services are generally performing to a satisfactory level and where performance is less good, this is being managed. There are a number of service areas where we will be undertaking focused scrutiny work to improve our understanding of performance and progress. These are child protection, criminal justice and homelessness services and some aspects of the education service. There are a number of areas of good performance including housing management, tenant participation, and recycling.

36. In its 2009 Best Value follow-up report, Audit Scotland stated that although performance varied across the council, overall, SPIs compared well with other Scottish local authorities, and the rate of improvement was above the national average. A short summary of performance against each service area is included below. Further detail is contained within Appendix 2.

Educational services

37. The education service is assessed as a service which is generally improving. Most primary children attain appropriate national levels in reading, writing and mathematics. There has been a steady improvement in the number of young people achieving positive outcomes at Standard Grade. Parental involvement and community engagement are particular strengths. Pre-inspection questionnaires show high satisfaction rates from parents about their local provision (96 per cent nursery; 95 per cent primary; 88 per cent secondary). The educational psychology service received a very largely positive inspection report in January 2008, including for its impact on children and young people. There are good satisfaction levels with libraries, sports and leisure facilities.

38. Leadership of change and improvement has been evaluated as good, as have the leadership of people and partnerships. Pre-inspection reports show that the service is supporting and challenging schools where there is room for improvement. However, the January 2008 inspection report of the council's education functions identified the need for continued improvement on approaches to self-evaluation within establishments and across community learning and development. The inspection found that headteachers and senior promoted staff needed to take responsibility for monitoring and evaluating performance.

39. The need to improve attainment at S5 and S6 level has been identified for some time and it remains below comparator authority and national averages. In addition, Community Learning and Development (CLD) staff with adult learning responsibilities have been transferred to the chief executive's office to undertake community engagement work. There are some concerns that potential gains around community engagement may be offset by an adverse effect on community based adult learning provision.

40. We assess the service as low scrutiny risk. HMIE plan to undertake some focused follow up work, coordinated to take place at the same time as the scheduled educational psychology service follow through inspection. A follow through joint child protection inspection will take place in June 2010 (see Community Services below) and a second round child protection inspection in 2011/12. The multi-agency nature of these inspections mean that they will also involve Educational Services.

Community services – social work

41. SWIA's performance inspection of Moray's social work services took place in 2007. The report found a number of areas for improvement, but that the service's capacity for improvement was good. The 2009 follow-up inspection confirmed improvements had been made.

42. Much of the existing outcome data suggests outcomes for people who use social work services in Moray are broadly in line with the national average. Examples of good and/or improving outcomes are educational attainment for looked after children, placement stability for children who are looked after away from home and in support for older people to remain at home. Most service users, as part of a survey at the time of the inspection said their circumstances had improved as a consequence of their involvement with social work services.

43. Child protection was identified as a concern at the time of the inspection and also by the subsequent joint inspection of services to protect children. This included weaknesses in social work practice. Although an interim follow through inspection identified overall encouraging early signs of improvement, this remains a high scrutiny risk. As a result a joint child protection follow through inspection will take place in June 2010.

44. SWIA's inspection of the Northern partnership's criminal justice services took place in 2006. There were a number of areas of poor performance in respect of Moray's criminal justice services. Examples included, supervision plans for offenders not adequately addressing offending behaviour and only a small proportion of offenders placed on probation having an interview with their supervising officer within a week. There has been no further scrutiny activity since then and limited information about current performance. We have therefore identified criminal justice as an uncertain scrutiny risk. It will be considered as part of SWIA's ISLA in Year 1 of the Assurance and Improvement Plan.

45. As part of its current national programme the Care Commission will undertake an inspection of adoption and fostering services in Moray in Year 1 of the AIP.

Community services - housing

46. The housing service has a number of service area strengths which include income maximisation, repairs, dealing with voids and tenant participation. The service has a good understanding of its housing needs and demands. It has also demonstrated a good understanding of its housing stock and is on track to comply with the Scottish Housing Quality Standards by 2015.

47. The homelessness service is more variable. It has not progressed well in abolishing priority need assessment for homeless applicants and is currently implementing a homelessness improvement plan following an inspection by Scottish Housing Regulator (SHR) in 2008.

48. Overall we assess this service as low scrutiny risk. In line with other councils in Scotland, The Moray Council will be asked to submit monitoring information in 2010 on its progress in meeting the

Scottish Housing Quality Standards by 2015. The homelessness service has been assessed as an area of uncertainty. In 2011 we will ask the council for a report on the progress it has made in implementing its homelessness improvement plan.

Environmental service

49.   Internal performance monitoring indicates good performance, for example street cleaning, recycling, environmental protection and roads maintenance. There are good satisfaction levels with the parks and open spaces. Where performance is below target, eg street lighting repairs, improvement actions are in place. We have assessed this service as low scrutiny risk and therefore plan no specific scrutiny activity.

Good practice

50.   The council has a long established approach to involving tenants in relation to the delivery of services and service improvements. It works with a number of tenants groups and has a network of six local forums which represent the interest of all its tenants. The council's commitment to tenant involvement is demonstrated through its local forums and their direct influence over environmental improvement works on their estates. The forums, in partnership with the council, identify and prioritise the type of work to be undertaken. Key to the effectiveness of this process is the council's commitment to allocate a dedicated annual budget which is spent in line with the tenants' priorities.

5. Corporate assessment

The council has made encouraging progress against the improvement plan it developed following the Best Value audit in 2006 and follow up audits in 2007 and 2009. This plan is subject to annual monitoring through the routine annual audit process. However, we plan some Best Value work, targeted to those areas of high or uncertain scrutiny risk, to assess progress in improving political leadership, developing a corporate customer focus approach, delivering outcomes and performance management. The shared risk assessment has identified a number of areas of low scrutiny risk including vision and strategic direction, corporate working, planning and resource alignment, and financial management.

51. A short summary of the corporate assessment is included below. Further detail is contained within Appendix 3.

52. The Moray Council is committed to developing shared services with its neighbouring authorities and is involved in a number of projects including the Broadband Pathfinder project aimed at providing better internet connectivity and the building of a child protection unit with Grampian Police which will be staffed by council and police employees. The council also took the lead in progressing the North of Scotland Local Authorities (NOSLA) shared financial services project. The council has recently heard that the Scottish Government will not provide any additional funding to support the NOSLA project and given this and the risk of change to the system of local taxation it is unlikely that the project will go ahead. Elected members and officers are currently exploring other shared services with neighbouring authorities in order to reduce management and other overhead costs.

53. The Moray Council was the subject of a Best Value and Community Planning audit, the findings of which were published in February 2006. The audit was very critical about a lack of effective corporate and political leadership, lack of strategic direction and found significant weaknesses in the council's systems for monitoring and reporting service performance. In June 2007, a progress report concluded that whilst the council still had much to do, it was moving in the right direction. For example, the council had taken action to develop a clear and agreed vision and strategic direction. The latest follow-up report in February 2009 concluded that the council continued to improve. It found that the council had demonstrated a real willingness to progress the improvement agenda and some improvement in the strategic leadership by elected members.

54. Progress is still ongoing; however, the Local Area Network has identified two areas of continuing high scrutiny risk. Whilst there has been some progress in strengthening political leadership, elected members continue to struggle to make difficult decisions around modernisation e.g. the lack of direction around the strategic approach to the schools estate and the recent rejection of major council restructuring proposals. Although a programme of training and development is being developed for elected members, attendance has been low. In addition, there has been a lack of commitment to equalities by some members and as a result the equalities agenda is strongly officer led. We therefore plan to undertake some collaborative work led by Audit Scotland in collaboration with HMIE in year one of the plan, on political leadership.

55. The council has some individual examples of good practice in customer focus and responsiveness. However, the council has not yet developed a strategic or corporate approach to customer feedback. In addition, it has no information pertaining to customer satisfaction levels. We therefore assess this as an area of high scrutiny risk and propose that in Year 2 of the AIP, the council provide a self-evaluation of its progress in developing a more customer focused approach. This will be considered by the Local Area Network as part of its shared risk assessment considerations for Year 3.

56. We have identified two areas of uncertain scrutiny risk. A major proposal has recently been presented to committee to restructure council services. The proposal was rejected by elected members. There is now uncertainty about how the council will proceed as a consequence. This will be covered as part of the focused Best Value scrutiny activity on leadership.

57. The council is aware that it needs to do more to embed risk management and it has developed an action plan. The extent to which the plan is being successfully implemented, for example by ensuring that risk management is embedded into management arrangements and that there is sufficient staff resource availability to support the process, is unclear. We will assess the progress the council has made in implementing its improvement plan as part of the routine Audit Scotland annual audit work.

58. In terms of the council's approach to managing people, there is a workforce strategy in place, comparatively low absence levels and a good appraisal system. However, the council has historically faced a number of recruitment difficulties and the impact of the workforce planning strategy is assessed as an area of uncertainty. The possible closure of an RAF base adds to this uncertainty given the number of RAF personnel who have family members employed by the council. This will be monitored as part of the routine Audit Scotland audit work.

59. The shared risk assessment has identified a number of areas of low scrutiny risk including vision and strategic direction, corporate working, planning and resource alignment, and financial management. No specific scrutiny is proposed around these areas. Progress will however be subject to routine monitoring by Audit Scotland as part of its annual external audit function.

6. Next steps

60.   Further discussions are planned with the council regarding our approach to the scrutiny work identified.

Appendix 1

Outcomes Shared Risk Assessment

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
We live in a Scotland that is the most attractive place for doing business in Europe (National Outcome 1) Local Outcomes: - The level of economic activity across Moray will increase - The number of businesses starting up, growing and surviving in Moray will increase -	**Areas of uncertainty or gaps**	• Business growth declining (27 new registrations per 10,000 adults, less than the Scottish average of 35 per 10,000 adults) but not unexpected given financial situation – so no specific work. • 129 of the council's 130 industrial premises were occupied which, whilst desirable, means that the capacity for continuing business growth is constrained by shortage of serviced industrial land and premises. • 53 per cent of all respondents in Moray were satisfied with public transport significantly less than Scotland overall (61%). Lack of information available in relation to transport infrastructure	The council has a lack of information about outcomes and impact. The council recognise this needs to improve as part of the revised management framework and local delivery action plans. There are plans in place for each local outcome detailing the actions required over the next 12 months. However there is no impact information.
We realise our full economic potential with more and better employment opportunities for our people (National Outcome 2) Local Outcomes: - We will make full potential of those not yet in the labour market	**No significant concerns**	• 85.1% of the working age population in Moray are economically active, higher than the Scottish average of 79.6%. • 2.7% of the economically active population in Moray are unemployed, lower than the Scottish of 4.7%. • 7.4% of unemployed people living in Moray are considered long term unemployed, lower than the Scottish average (9.4%). • Final quarter of 2007, 4.1% of the population aged 16 to 59 years in Moray claimed income support, lower than the Scottish average of 7%. • Median weekly earnings relative to the Scottish average - up	Across all outcome areas, we will undertake some focused work to examine the progress made by the council and its partners to establish baseline information, develop SMART performance indicators, targets and a performance management framework in year 2. This would involve a more detailed analysis looking at the approach taken using a small number of the outcome measures.

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
		Lack of information available around vulnerable adults	
We live longer, healthier lives (National Outcome 6) Local Outcomes: - The burden of disease, harm, distress, premature death due to excessive alcohol consumption and drug misuse will reduce - The proportion of people needing care or support who are able to sustain an independent quality of life as part of the community will increase	**No significant concerns**	Green – good progress in relation to alcohol, drug misuse and those requiring support/care for independent life. • From birth, males and females living in Moray can expect to live longer lives than people living elsewhere in Scotland (75.9 years and 80.2 years compared to 74.8 years and 79.7 years, respectively). • Healthy life expectancy for both males and females in Moray is also higher than the Scottish average (57.3 years and 59.0 years compared to 53.8 years and 56.9 years, respectively). • Between 2001 and 2004 there were 618.19 hospital admissions for alcohol misuse per 100,000 of the population in Moray, lower than the Scottish average of 722.66. • The number of hospital admissions for drug misuse was also considerably lower in Moray than Scotland as a whole (43.85 per 100,000 of the population compared to 127.46 per 100,000 of the population). • 6.4% of the working aged population in Moray claimed incapacity benefit (IB), lower than the Scottish average of 9%. • Moray-wide 'Be Bright; Eat Right' campaign to promote the increased take-up of new, healthier school meals. Initial results are promising; the target of attracting 40% of pupils to take school meals already being reached in many primary schools. • Number of clients aged 18-64 years receiving home care – up • Number of clients (all ages) receiving 10-20 hours of home care weekly – up • Number of clients (all ages) receiving 20 or more hours of home care weekly – up	

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
	Areas of uncertainty or gaps	Lack of information available in relation to health inequalities, obesity, smoking and mental wellbeing	
We have tackled the significant inequalities in Scottish Society (National Outcome 7) Local Outcomes	**Areas of uncertainty or gaps**	Lack of information available in relation to this outcome	
We live in well-designed, sustainable places where we are able to access the amenities and services we need (National Outcome 10) Local Outcomes: - The volume and quality of housing throughout Moray will increase - Increase the number of people assessed as homeless who are provided appropriate accommodation	**No significant concerns**	The council has a good strategic understanding of housing needs and demands. It also has a good understanding of the condition of its stock and is anticipating compliance with the Scottish Housing Quality Standard for all its council housing stock by 2015. It is aware of weaknesses in relation to its homelessness service and currently has an improvement plan in place.	
	Areas of uncertainty or gaps	Lack of information available in relation to improvements in access to services	
We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others (National Outcome 11) Local Outcomes	**Areas of uncertainty or gaps**	Lack of information available in relation to this outcome	

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
We take pride in a strong, fair and inclusive national identity (National Outcome 13) Local Outcomes	**Areas of uncertainty or gaps**	Lack of information available in relation to this outcome • Visitor numbers to museums were ahead of target	
We live our lives safe from crime, disorder and danger	**No significant concerns**	Mixed picture of performance but clear measures and plans in place • Incidents of anti-social behaviour down • Repeat incidents of domestic abuse down • Number of incidents involving people aged 17 & under down • Number of incidents involving people under 16yrs down • Number of young offenders down • Number of young offenders aged under 16yrs down • Number of Fatal Road Collisions down • Number of Drivers aged 16 - 25yrs involved in collisions down • Number of Drivers aged 26yrs or over involved in collisions down • Number of male and female Drivers involved in collisions down • Number of drivers with Blood Alcohol content over the prescribed limit down • Number of drivers involved in collisions down But • Wilful fires up • Reported incidents of vandalism up • Number of incidents)involving people aged 16 and 17yrs up • Number of young offenders aged 16 and 17yrs up • Number of persistent young offenders up • Number of Serious Road Collisions up • Number of Slight Road Collisions up • Number of Drivers aged 15 & under involved in collisions up • Number of people killed or seriously injured in road collisions up	

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
We value and enjoy our built and natural environment and protect it and enhance it for future generations (National Outcome 12) Local Outcomes	**Areas of uncertainty or gaps**	Lack of information available in relation to the detail of this outcome	
	No significant concerns	There are high financial risks around flood issues. However, the council is alert to the risk and appears to be taking all reasonable steps to address it.	
We reduce the local and global environmental impact of our consumption and production (National Outcome 14) Local Outcomes: - The amount of waste ending up in landfill will reduce	**No significant concerns**	Good progress on waste recycling. • Between 2007 and 2008, 44.0% of municipal waste collected by Moray Council was composted or recycled, an increase of 5.6% on the previous year. This was higher than the Scottish average of 31.7%. • In 2009, number of tonnes of municipal waste collected that was landfilled down.	
	Areas of uncertainty or gaps	Lack of information available in relation to energy use and carbon	

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
We are better educated, more skilled and more successful, renowned for our research and innovation (National Outcome 3) Local Outcomes: - The number of opportunities for people to become better educated, skilled and successful will increase	**No significant concerns**	Progress in attainment and skills. • In 2007, 37.4% of S4 pupils in Moray gained 5 or more awards at credit level or better by end of S4, higher than the previous year (35.2%). This was higher than the Scottish average of 34.4%. • 27.6% of S5 pupils in Moray gained 3 or more awards at higher level by the end of S5, an increase of 0.8% from 2006. This was lower than the Scottish average (28.9%). • 15.8% of the working-age population in Moray had no qualifications or qualifications at a low level, less than the Scottish average of 16.1%. • Moray Council's Community Learning and Development section supported 63 vulnerable adults into paid employment, a 34% increase from the previous year. • Qualification levels within the local workforce. NVQ4 and above up • Qualification levels within the local workforce. NVQ3 and above up • Qualification levels within the local workforce. NVQ2 and above up • Qualification levels within the local workforce. NVQ1 and above up • Qualification levels within the local workforce. Other Qualifications - not NVQ up • Qualification levels within the local workforce. • No qualifications down	
Our young people are successful learners, (national outcome 4 local outcomes – The quality of educational learning experience in Moray schools will increase	**No significant concerns**	• Attainment information as above • Percentage of primary and secondary schools receiving an evaluation of satisfactory or better' - Learners' experiences up	

Outcomes	Initial risk assessment	Evidence/Rationale	What we plan to do
	Areas of uncertainty or gaps	Lack of information available in relation to confidence and responsible citizens and young people as active members of the community	
Our children have the best start in life and are ready to succeed (National Outcome 5) Local Outcomes: - Children's early years' development, learning and care experiences will improve - The risk of exclusion will be reduced by caring for and supporting children	**No significant concerns**	• Ten inspections took place of partner centres and nursery classes during 08-09. Overall, findings were positive. • Rate of exclusions from primary schools reduced in 08 and was well below comparator and national average.	
	Areas of uncertainty or gaps	Lack of information available in relation to healthy development at risk	
We have improved the life chances for children, young people and families at risk (National Outcome 8) Local Outcomes: - Children will be protected from abuse and harm - The life chances of looked after children will improve	**Significant concerns**	Early signs of improvement but very high risk area and national priority area. • HMIE's joint child protection inspection in Feb 2009 identified a number of significant weaknesses. The level of concerns were such that an interim follow through inspection was undertaken in June 2009. • The interim follow through found that overall encouraging progress had been made in a short time in responding to the concerns. It did identify that it was still relatively early in the process of addressing the original concerns identified.	
Our public services are high quality, continually improving, efficient and responsive to local people's needs (National Outcome 15) Local Outcomes: - Services will continually improve and be efficient - Improve public perception of the quality of services - The Council's efficiency savings targets will be delivered	**Areas of uncertainty or gaps**	Lack of clear performance information for non inspected services (links to plans under 'services').	

Appendix 2

Service Shared Risk Assessment

Service Area	Initial risk assessment	Evidence/Rationale	What we plan to do
Educational Services	**No significant concerns**	(See also We are better educated, more skilled and more successful, renowned for our research and innovation (National Outcome 3, above) • Service generally improving. • Parental involvement and community engagement are strengths. • Most internal performance indicators show performing well (arts development, leisure management, libraries and museums, Moray Leisure centre. • Good satisfaction levels with libraries and sports and leisure facilities.	
	Areas of uncertainty or gaps	Need to improve self-evaluation (see footnote at page 9).	Focused HMIE INEA follow through inspection in conjunction with Audit Scotland (see Appendix 3 Leadership below) to conclude existing scrutiny programme.
	Significant concerns	**Vulnerable people is a national priority issue** • A critical Child Protection inspection report. • Interim follow through inspection showed signs of improvement, but council and partners' improvement actions need to be seen through and consolidated.	HMIE joint Child Protection follow up inspection June 2010. Also Child Protection 2 inspection in 2011/12.
Community Services – Social Work	**No significant concerns**	Moray was one of the poorer performers in the SWIA performance inspection in 2007. However, its capacity for improvement was evaluated as good, which was largely confirmed by the 2009 follow-up.	

Service Area	Initial risk assessment	Evidence/Rationale	What we plan to do
	Areas of uncertainty or gaps	• Positive self–evaluations do not fully accord with inspection findings. • Criminal justice – there were a number of areas of poor performance in 2006 inspection (eg supervision plans not adequately addressing offending behaviour and the proportion of offenders on probation being seen timeously by their supervising officers) and current performance is unclear. • National follow up activity to the multi-agency inspection of the assessment and management of high risk offenders. This raised national issues about aspects of information sharing and about community-based social work planning for sex offenders and violent offenders. • The Care Commission has identified the move to a smaller number of providers for care at home and housing support as an area of uncertainty	To be considered as part of Year 1 ISLA Supported self-evaluation in conjunction with ADSW
	Significant concerns	Child protection remains a concern - see above.	See Educational Services above

Service Area	Initial risk assessment	Evidence/Rationale	What we plan to do
Community Services - Housing	**Exceptional performance**	The council provides tenant groups with a devolved budget to ensure that their priorities are addressed when identifying environmental improvement works on their estates	
	No significant concerns	Generally there are no concerns with housing services. Performance across a range of indicators is good.	Sept 2010 – submission of information on progress in meeting the SHQS
	Areas of uncertainty or gaps	The homelessness service has some strengths but also has a number of weaknesses. The council is aware of these strengths and weaknesses and currently is implementing an improvement plan. The council has not progressed well in abolishing priority need assessment for homeless applicants.	April 2011 - progress report on outcomes of the Homelessness improvement plan.
Chief Executive's office Finance & ICT Central Services - Personnel		See Corporate Assessment below	See Corporate Assessment below

Service Area	Initial risk assessment	Evidence/Rationale	What we plan to do
Environmental services	**No significant concerns**	• Recycling and street cleansing performance green. • Modest increase in performance in 08/09 in timescale for dealing with planning applications from 46% to 48.5%. 46% in 07/08 was below the national average – problems with recruiting suitably qualified staff • Roads and street lighting performance data is largely positive. However, national data shows traffic light and street light repairs is below average • Good satisfaction levels with parks and open spaces. • Internal performance monitoring (consultancy, engineering design services, environmental protection, property services, roads maintenance and transportation) indicates performing well.	No specific work

Appendix 3

Corporate Shared Risk Assessment

Corporate Assessment			
Criteria	**Initial risk Assessment**	**Evidence/Rationale**	**What we plan to do**
Vision and strategic direction	**No significant concerns**	• Vision reflects area context. • Steady progress in improving its approach to strategic planning.	No specific work
Leadership and culture	**No significant concerns** **Areas of uncertainty or gaps** **Significant concerns**	• Improvements in strategic leadership by officers. • Improvements in corporate working. • CLD restructuring an area of uncertainty • Lack of decision around schools estate plans • Member attendance levels at training have been low. • Inconsistent leadership shown across council services e.g. education and SWS – good, planning & development control – more problematic. • Some progress against historical issues in political leadership, however there continue to be difficulties in making fundamental decisions around modernisation e.g. the strategic approach to the schools estate and around issues such as equalities. • Staff survey indicates around half of staff still are not clear on what other departments do, many (not quantified in survey findings) still don't know who CMT members are and still only 38% think Senior Management has a clear vision and that communication of this vision is not effective.	Year 1 - Focused Best Value work in conjunction with HMIE INEA follow through.
Planning and resource alignment	**No significant concerns**	No significant concerns. • Council are working towards the Scotland	Included in routine annual audit work

Corporate Assessment			
Criteria	Initial risk Assessment	Evidence/Rationale	What we plan to do
		performance model The 2009/10 Service Improvement Plans have clear links between individual service actions, council priorities and national outcomes.	
Partnership working and community leadership	No significant concerns	• Well developed community planning structures • Evidence of effective partnership working with the third sector.	
	Areas of uncertainty or gaps	• Lack of information to demonstrate impact in the delivery of the outcomes included in the single outcome agreement (links back to Outcomes above and lack of evidence on impact).	Will be addressed through the work described in the outcomes table above.
	Significant concerns	• Some concerns around child protection (as before) and around joint risk assessments	Will be addressed through the HMIE follow up work described earlier.
Community engagement	No significant concerns	• Generally strong in the service departments, eg education, tenant involvement and care services • Improving position corporately – plans for more widespread customer satisfaction now in place and new community support unit	No specific work
Governance and accountability	No significant concerns	(Links back also to Leadership above.) • The committee chairs are more active in responding to challenge on policy and performance issues at service committees, as well as presenting performance reports and responding to scrutiny at the Audit and Performance Review Committee • Some improvement eg members role in scrutiny	Included in routine annual audit work

Corporate Assessment			
Criteria	Initial risk Assessment	Evidence/Rationale	What we plan to do
	Areas of uncertainty or gaps	of child protection. • Uncertainty around proposed structural changes. • Recent major proposal rejected by members.	
Public Performance reporting	**No significant concerns**	• No significant concerns. • Oct 09 public report provides a balanced view of the council's performance	Included in routine annual audit work
Customer focus and responsiveness	**No significant concerns** **Significant concerns**	• Tenant participation good. Groups have devolved budgets for environmental improvements. • Engagement with parent groups good. • No generic customer satisfaction survey yet in place, although they are working with the Improvement Service on this. • No strategic/corporate approach to customer feedback.	Year 2 - Request progress report/self-evaluation from the council.
Performance management	**No significant concerns**	• A systematic approach to PM is now becoming embedded Moray Performs	Included in routine annual audit work
Improvement	**No significant concerns** **Significant concerns**	• Improvement plan in place and progress being made. • PSIF becoming embedded. Moray Performs implementation phase planned for 2010. • CP and SWIA inspections indicate that there are issues about the services' ability to undertake effective self-evaluation • Some concerns in relation to self-awareness and the accuracy self-assessment.	Included in routine annual audit work Year 3 – Focused Best Value work around Moray Performs.
Competiveness	**No significant concerns**	• The 4 trading organisations made surpluses in 3 years to March 09 and they are reviewed for competitiveness every year	Included in routine annual audit work
Risk management	**Areas of uncertainty or gaps**	• Council aware that they need to do more to embed risk management, including having it embedded within management arrangements.	Included in routine annual audit work

Corporate Assessment			
Criteria	Initial risk Assessment	Evidence/Rationale	What we plan to do
		They have an action plan to do this, including the development of business continuity plans.	
Financial management and efficiency	**No significant concerns**	**The impact of the recession is a national priority area.** • The latest monitoring report for 2009/10 projects an overspend of £2 million against budgeted expenditure of £195 million at 31 March 2010. • The council faces significant financial risks, exacerbated by the recent floods. However, there is evidence that the council is dealing with the pressures by taking all reasonable steps to manage the risks. • Financial management is good, however the council has acknowledged to the public that cuts would be required to frontline services. This links to concerns around political leadership and whether the council will be able to make hard decisions to cut services.	Included in routine annual audit work Links to work planned in relation to leadership above.
Asset management	**No significant concerns**	• Buildings suitability is better than average. • Asset management forms a key aspect of the Moray Performs modernisation programme. • The council has plans to rationalise its office accommodation.	
	Significant concerns	• Over capacity in the schools estate (especially primary schools) is a longstanding issue. • Plans for PPP project for 2 new schools currently being evaluated. Tenders are being evaluated. • History of members not making the difficult decisions e.g. in respect of the over capacity in the school estate	Links to work planned in relation to leadership above and HMIE follow through work.
Managing people	**No significant concerns**	• Good appraisal system. Low absence. • Workforce planning strategy recently in place.	

Corporate Assessment			
Criteria	**Initial risk Assessment**	**Evidence/Rationale**	**What we plan to do**
	Areas of uncertainty or gaps	- Regular staff surveys (2006 and 2008). - Social work and education – positive staff survey findings. - Environmental services survey findings less positive. - Impact of implementation of workforce planning strategy and extent to which the council is making progress in attracting suitable candidates to the area is not clear. - The consequences for the council in the event of a decision to close an RAF base.	Included in routine annual audit work
Procurement	**No significant concerns**	The council continued to improve its procurement practices during 2008/09, including development of an e-procurement system which links with the council's existing financial management system.	
ICT	**No significant concerns**	More needing to be done to increase awareness and to complete encryption of mobile devices.	Included in routine annual audit work
Equalities	**No significant concerns** **Significant concerns**	- Some good practice within the education service in response to the increase in non-English speaking families - Officers clear on responsibilities - Draft Single Equality Scheme is now complete after some delay, and is out to consultation. But: - Political leadership is weaker. - There has been a lack of commitment to equalities by some members in the past.	Links to work planned in relation to leadership above.

Corporate Assessment			
Criteria	**Initial risk Assessment**	**Evidence/Rationale**	**What we plan to do**
Sustainability	**No significant concerns**	(Economic and social sustainability covered in Outcomes table above) • Strong officer commitment in relation to environmental issues. • Carbon management plan in place. • Strong on energy management.	Covered in Outcomes table above.

Appendix 4

Planned Scrutiny Response

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
HMIE – Education follow through inspection and education psychological services follow through inspection.	■											
Audit Scotland & HMICS – Best Value Audit and Inspection of Grampian Police and Grampian Joint Police Board			■									
Audit Scotland Best Value work around leadership (in collaboration with HMIE)	■											
HMIE – Child Protection follow up inspection			■									
Care Commission inspection of adoption and fostering services			■									
SWIA - Social work ISLA									■			

[2] Public commitment to follow up activity – Follow-up inspection of the council's education functions was due by January 2010. It has been delayed to accommodate ongoing changes within the council. The actual amount of scrutiny activity is being reduced in line with a proportionate and risk based approach. This will contribute to some collaborative work around political leadership.

2011-12 (Year 2)	
Issues for scrutiny /improvement	**Scrutiny bodies /council potential involvement**
Shared Risk Assessment / revised Assurance and Improvement Plan	Local Area Network (LAN)
Joint Child Protection Inspection	HMIE
Assessment of council's customer focus approach	Council/Audit Scotland
Progress report/discussion on outcome of Homelessness improvement plan (April 2011)	Council/SHR
Focused work to examine the progress made by the council and its partners to measure outcomes and impact	Audit Scotland
2012-13 (Year 3)	
Shared Risk Assessment / revised Assurance and Improvement Plan	Local Area Network (LAN)
Focused Best Value work to assess Moray Performs	Audit Scotland