Shared risk assessment: Assurance and improvement plan 2010–13

Scottish Borders 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

1. This Shared Risk Assessment and Assurance and Improvement Plan (hereafter known as the AIP) sets out the proposed scrutiny activity in Scottish Borders Council (the council) for the period from April 2010 to March 2013. It is the product of a collaborative approach adopted by the following scrutiny bodies operating in the council:

    - Audit Scotland

    - Care Commission

    - HM Inspectorate of Education (HMIE)

    - Scottish Housing Regulator (SHR)

    - Social Work Inspection Agency (SWIA).

2. 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 web-site, self-evaluation and supporting evidence

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

    - reports from Audit Scotland (including national studies and reports from the external auditor) and the Audit of Best Value and Community Planning in the council (published March 2007)

    - audit findings arising from the BV2 Pathfinder audit which was conducted by AS in 2009 (the draft report was issued on 24 February 2010)

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

    - statutory performance indicators and customer satisfaction data.

3. For the purpose of drawing together the AIP, scrutiny bodies have agreed the following definition:

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

4. In the Risk Assessment in Appendix 1 the Local Area Network (LAN) has considered Outcomes (as taken from the Single Outcome Agreement), Service Areas and Corporate Assessment Areas. An overarching risk assessment has been reached for each area and categorised as follows:

    - 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. However due to ministerial direction, or for reasons of statute, audit and inspection may still be required.

- Gold, this indicates exceptional performance, outstanding improvement or promising innovation which others can learn from.

5. The overall objectives of this new 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 risks through the sharing of intelligence and information

- building on each other's work to maximise its value

- coordinating the timing and approach of our risk assessment work

- working collaboratively together.

6. A shared risk assessment process will be undertaken annually by members of the LAN to inform a rolling three year AIP. Risk levels will change as significant events occur and as councils take action to address risks. Scrutiny bodies, through respective LANs, will remain informed about scrutiny activity in a council. Councils are encouraged to maintain contact with the LAN Lead to discuss any concerns arising from the AIP or any joint scrutiny activity.

2. Summary

Recent inspectorate findings have given assurance on the overall management and quality of education and social care services, although audit responses have been identified for specific areas within these. While the council has made progress against its local priorities, reporting is not yet well developed. There is uncertainty therefore in significant areas such as economic development, and community services. Elements of the planned audit response will help to clarify progress in areas including transportation, health and community services.

Service performance has improved in recent years, and performs in line with the national average. Customer satisfaction is above the national average. The AIP draws out areas of particular risk or uncertainty including aspects of technical services, community services and homelessness. Important corporate areas for development including competitiveness, asset management and workforce planning will also be addressed through the audit of both corporate and service areas.

The Business Transformation Programme (BTP) is an area of ongoing focus for the council and is central to it meeting its efficiency and improvement objectives. The effectiveness of recent changes to the management of the BTP and to performance management in general including monitoring efficiencies will be subject to further audit.

7. All inspectorate, audit and scrutiny bodies have provided positive reports in the recent past on Scottish Borders, with the exception of the SHR, who assessed the council's homelessness service as 'fair'. Where performance information exists, services have shown an overall improvement trend. The scrutiny partners who make up the Scottish Borders LAN have concluded, overall, therefore that there are no significant areas of concerns. There are a handful of areas identified as 'areas of uncertainty' for which there is further detail below.

8. All LAN members have an interest in monitoring the council's progress in implementing its BTP. The council has made some good progress in the delivery of this programme but the original timescale for the achievement of milestones has not been met. The council has recalibrated its plans in light of the experience gained. The council recognises it needs to identify clearer BTP priorities, ensure good practice is consolidated across the organisation and improve arrangements for performance management and reporting.

9. The LAN assessed that there were no significant risks in respect of seven strategic priorities identified in the SOA. There are, however, two areas of uncertainty: the priority to increase connectivity, and the priority to develop greater community resilience. In connection with the first objective it is noted that the council is conducting a review. It was felt that at the conclusion of that review the LAN will be better placed to conclude whether a scrutiny response is required or not. For the second objective it was felt that as it is a period of considerable change for the council, and one which scrutiny bodies will be actively monitoring.

10. In respect of service performance again the LAN concluded overall that there were no significant risks. Technical Services was identified as an area of uncertainty for the LAN. Given that this is being drawn into the council's BTP, Audit Scotland will be monitoring developments as part of the follow-up of BV2 in future years.

11. On corporate assessment the LAN observed many positive arrangements and developments, both internal to Scottish Borders Council, and in partnership with other bodies. The recent BV2 audit concluded that significant progress had been made and that the council is well-placed to deliver future improvements. In common with other councils, Scottish Borders is having to review and respond as the grip of the economic recession becomes more apparent.

12. A number of core national risk priorities, as identified by the Scottish Government, have been considered as part of the AIP process for all 32 councils. These are:

   - ***The protection and welfare of vulnerable people, including access to opportunities.*** This area has been considered by the LAN as part of the assessment of the council's Social Work Department. Whilst we have identified this as an area of no significant risk certain baseline or Ministrial direction work will touch upon it: current SWIA follow-up inspection (February 2010), a joint inspection of services to protect young people in 2011/12 and SHR review in July 2010.

   - ***Assuring public money is being used properly.*** Coverage of this area forms a routine element of the annual audit activity. The council has had an extensive BTP underway for over two years now and much of the drive has come from ensuring the proper application of public money, as well as to enhance services being delivered. More detail has been captured in the BV2 Pathfinder report (publication date May 2010). Scrutiny bodies are monitoring the implementation of the BTP to ensure that it is not resulting in a detrimental impact on council services.

   - ***The impact of the greater financial pressure faced by councils associated with the current economic climate.*** The council has a BTP in place to transform service delivery and release efficiency savings. Again, this area forms a routine element of the annual audit activity, and of ongoing monitoring activities of other scrutiny bodies.

13. Appendix 1 summarises the information that informed our risk assessment and shows links to planned scrutiny activity.

14. The council is adopting a variety of approaches to undertake self-evaluation (see paragraphs 21 – 24). Those approaches are still developing and so it is too early to place reliance on them.

Scrutiny activity

15. The focus of the AIP is strategic scrutiny activity, that is scrutiny activity which is focused at corporate or whole service level, and it is outlined in Appendix 2. Baseline scrutiny activity at unit level will be ongoing throughout the period of the AIP and it is not reflected in Appendix 2. Baseline scrutiny includes, for example, school and residential home inspections and the annual statutory audit. Scrutiny bodies also reserve the right to make unannounced visits.

16. The strategic scrutiny activity at the council for the next 14 months is summarised below.

Body	Scope of work	Timing
SWIA	Follow-up of 2008 inspection	Feb 2010
HMIE	Inspection of Educational Psychology Service	Feb - Mar 2010
CC	Inspection of fostering and adoption services	June 2010
SHR	Review of self evaluation follow-up of 2012 national performance targets for homelessness and delivery of agreed improvement plan	July 2010
Multi agency review (SWIA, HMICS, HMIP)	Review of the assessment and management of offenders who present a high risk of serious harm	2010/11 (tbc)

17. Looking beyond 2010/11, strategic scrutiny activity has been identified as follows: a Child Protection 2 Inspection will be conducted by the newly formed Social Care & Social Work Improvement Scotland (SCSWIS) in 2011/12 and SWIA plan to undertake an Initial Scrutiny Assessment, an exercise they are conducting at all 32 councils; Audit Scotland will incorporate follow-up to the BV2 audit in the local audit process.

3. The council's context

18. The Scottish Borders benefits from relatively low levels of deprivation in terms of health and poverty, but faces challenges from its dispersed settlements, its growing elderly population, and limited opportunities for those leaving education. The economy is largely dependent on the public sector, agriculture, traditional industries and small businesses. The local priorities identified by the council and its partners are well matched to the local context.

19. In common with the rest of the public sector the council faces significant demands in striving to achieve the objectives captured in SOA in the context of an economic recession. It has had a wide ranging BTP underway since 2007, focussing initially on a People Programme (pay modernisation), Corporate Services, Children's Services, and Older People's Services. In light of experience, the timescales for the BTP have been extended in several areas, while at the same time the programme of activity has expanded. It now includes a review of corporate work-streams including: property and asset management, shared services, finance, procurement and IT. Whilst business transformation is to be welcomed to address the range of challenges both current and in the future, a period of change brings with it its own set of risks and challenges, before the new design of service is embedded.

20. Given that the council is moving into the second year of an SOA and progressing its own major change programme, the council recognises that it needs to improve its change management and outcome monitoring processes to ensure that actions are delivered within timescale and that improved outcomes are secured. The conclusion reached as a consequence of the BV2 Pathfinder audit work was that, overall, the council was improving well and is well-placed to deliver future improvement.

Self-evaluation

21. It is widely accepted that rigorous self-evaluation should be a central part of council's performance management arrangements to support continuous improvement, and that auditors and inspectors should place self-evaluation evidence at the heart of the risk assessment process, using it to ensure that external scrutiny is well targeted and proportionate.

22. The council previously had a good track record of performance management. With the introduction of the SOA the council took the opportunity to review corporate planning and associated performance management arrangements, and therefore there has been an interruption in the flow of performance management reporting.

23. As part of the BV2 Pathfinder audit the council, in July 2009, undertook a self-assessment which focussed on the characteristics of a Best Value council. For each characteristic it considered the structures and strategies it has in place to support that characteristic, and identified the improvement actions the council has in place to progress them. This exercise provided useful context and demonstrates that the council has much in place by way of corporate strategies, governance

structures and initiatives. However the self-assessment did not draw conclusions as to progress and outcomes achieved to date. It is also too early to fully assess the effectiveness of the council's self-evaluation process. As this process matures greater reliance may be placed on it, reducing scrutiny activity in future years.

24. The council is in the process of developing its self-evaluation process using the Public Sector Improvement Framework. It plans to undertake annual corporate self-evaluations along with a rolling programme of self-evaluation across service departments. Action plans resulting from these will be built into business plans and progress monitored through the performance improvement framework. The self-evaluation process will also take account of the specific requirements of education and social work. The proposed four elements of its approach are as follows:

- Public Service Improvement Framework (PSIF)

- Social Work Inspection Agency Performance Improvement Model (SWIA PIM) with PSIF

- HMIE Quality Management in Education (QMIE2) framework

- A Quality Improvement Framework for Community Services and Activities.

4. Delivering outcomes for communities

Scottish Borders Council is delivering services and outcomes to the community it serves as planned. It has developed a Single Outcome Agreement with partners and, in consultation with the community it serves, has identified seven strategic priorities. The council is clearly progressing on all of those priority areas and no significant risks have been identified in the course of the shared risk assessment process in relation to them. There were two areas of uncertainty for the Local Area Network (LAN), connectivity in Scottish Borders and the impact of the Transforming Children's Services review, and further evidence will be gathered in 2010/11 to progress the shared risk assessment. Of the council's service areas no area was identified as being of significant risk although the LAN identified technical services as an area of uncertainty. Overall the evidence shows positive conclusions for education and lifelong learning, social work, planning and economic development, corporate resources and the department of the Chief Executive.

Strategic priorities

25.   In the development of the SOA the council has taken measures to increase public consultation and participation to inform its local priorities: community planning meetings allow for regular stakeholder meetings, and a voluntary sector liaison group was consulted over the local strategic priorities in the SOA.

26.   The council and its partners are making progress on meeting local outcomes, particularly in areas such as social work services, lifelong learning, community safety and local regeneration projects. The first SOA progress report submitted by local partners to the Scottish Government in September 2009 indicated that the majority of targets set out in the 2008/09 SOA are being met.

27.   In the SOA the council and its partners have identified seven strategic priorities. These link well with the National Outcomes and cover a broad range of social, economic and environmental issues. They are:

- To develop greater economic resilience for those that live and work in the Scottish Borders.

- To increase connectivity of Scottish Borders.

- To improve health and well-being of Scottish Borders population.

- To reduce alcohol related problems among young people and adults and the harmful impact on communities in Scottish Borders.

- Increased and more effective integrated planning for the demographic challenges of an older population living in Scottish Borders.

- To develop greater environmental resilience within Scottish Borders.

- To develop greater community resilience within Scottish Borders.

28. As recorded in detail in Appendix 1, in consideration of the evidence available the LAN concluded that there were no significant risks, from an audit and inspection perspective, for five of the above seven areas. The one area where the LAN concluded that, overall, they were uncertain about the level of risk, due to their lack of cumulative knowledge to-date, relating to the strategic priority to increase connectivity of Scottish Borders. Given that the council intends to conduct a review of subsidised transport, the LAN will re-assess this area in one year, and Audit Scotland will monitor this area in the meantime as part of following up the 2009/10 Best Value 2 Report. The second area identified by the LAN as an area of uncertainty relates to the strategic priority: to develop greater community resilience within Scottish Borders. The uncertainty relates largely to the transformation of children's services and at the time of producing the shared risk assessment it was too early for LAN members to have had the opportunity to evaluate the impact of those changes on the delivery of services. LAN members will gather that information as part of ongoing baseline activity in the forthcoming year.

29. The council recognises it needs to develop more effective outcome monitoring. The chief executive chairs a national group which is developing more meaningful performance indicators for local government.

Service performance

30. Overall the performance of council services as indicated by the SPIs is around the national average. Performance has improved at a higher than average rate since the initial best value audit, with the council ranking 30th in 2005/06; and 12th in 2007/08, the last year in which improvement comparisons have been available. The 2007 Scottish Household Survey (SHS) showed that satisfaction with local services in the Borders was high.

31. Areas of good and improving performance in the council include adult home care provision, accessibility of council buildings, community based night-time respite provision for children and levels of overall street cleanliness. Other areas of above average performance include recycling levels, processing of business advice requests and sickness absence levels for teachers. There is poor but improving performance in library usage, processing of invoices and the processing of planning applications. Waste disposal costs are below the Scottish average yet collection costs are higher.

32. The council is making wider use of benchmarking for services such as catering, grounds maintenance and street cleaning. Indications are that the council performs relatively well. However in the absence of a comprehensive framework for assessing the performance and value for money of services it is not possible to assess the overall value for money of services in the council.

Education and lifelong learning

33. The Borders record good performance in education and attainment is consistently above the Scottish average. The £50 million PPP project has provided three new high schools, and a £20 million

Borders primary schools project is underway. All schools have high capacity broadband, new network facilities and PCs under the National Grid for Learning initiative.

Social Work

34.   HMIE, Care Commission and SWIA have all reported positively on the provision of social work services in the Borders. There are a number of changes on the horizon which may impact on the quality of service being provided hereon, eg financial constraints, the commissioning of new suppliers, etc. All these changes will need careful monitoring by the council to ensure there is no unnecessary detriment to the level of service provided, and scrutiny bodies will remain engaged to keep abreast of the impact of those changes. The council deregistered all their family support services three years ago on the basis that they were not providing a "support service" but a drop in, counselling service. Therefore the only 'early intervention' service monitored is nursery provision.

35.   The council has a significant challenge in meeting homelessness targets in 2012. In 2009 the council failed to meet its interim target for reducing the proportion of homelessness households. This is an area of concern. The SHR inspection of the homelessness service in 2007 identified a number of weaknesses in the council's performance. The council developed an improvement plan to address these and will submit a progress report to SHR in 2010/11.

Corporate resources

36.   Our assessment of this area is largely covered in the next section: Corporate Assessment. There are areas of the benefits service where the council has not achieved continuous improvement or indeed where performance is unknown. The council needs to extend its business planning process and develop effective review processes to measure and provide assurance on the effectiveness, efficiency and economy of this function. On the positive side, the costs of administering housing benefit have decreased.

Technical Services

37.   Technical services covers a range of functions: environment, major projects, property and facilities management, roads and fleet management. Aspects of these are covered elsewhere in this AIP, under sustainability, financial management and asset management.

38.   The council operates a single trading operation (STO), SBc Contracts, which maintains the local roads network. As an STO it must demonstrate break even over a rolling three-year period. It has been successful in winning some 30 per cent of the total value of the work it has tendered for, including work for neighbouring councils. This element of external competition gives some assurance as to the cost effectiveness provided by SBc Contracts in-house.

39.   Technical Services has recently been identified for review as part of the Business Transformation Programme.

Areas of good performance

40.   The following areas have been proposed as areas of good performance by members of the LAN and consequently have been subject to independent validation.

41.   The council places particular emphasis on the provision of palliative care at home in its SOA and is recognised by SWIA as one of the leaders in this area.

42.   There was an extensive consultation exercise over proposals for more sustainable care services for older people during the TOPS review.

43.   The council has a very strong and explicit policy of keeping children within their own community and is the only mainland council that has not used secure accommodation for children in the past two years. This is a good example of partnership working between the council, police and the courts and it has also had positive financial consequences.

44.   During 2008/09 the council was the first council in the UK to achieve the British Standard (BS25999) for business continuity management and it is currently the only Category 1 responder in Scotland to require certification against this standard from key suppliers and service providers.

Implications for scrutiny activity

45.   In the area of delivering services for communities the following scrutiny work will be undertaken as part of the annual audit. Audit Scotland will monitor:

- developments subsequent to the BV2 Pathfinder audit (for example: progress against the economic strategy and economic resilience plan, and the review of subsidised transport

- SOA performance reports

- long term corporate and financial planning

- the statutory obligation of SBc Contracts to break even over a three year period

- progress with the development of the Borders Railway project

- the council's improvement action to introduce a test of competitiveness across the council.

46.   The Care Commission will carry out the annual inspection of the council's fostering and adoption services in June in accordance with its statutory duties. It will continue other inspection and statutory visits and will monitor progress with the business transformation programme: TOPS. Inspection and statutory visits will include follow up of issues relating to the inclusion of young people in the Adult Placement Service. In addition the Care Commission will review and consider how staff are responding to BTP changes.

47. In addition to ongoing inspection activity in schools and within the learning community, HMIE will complete an Educational Psychology Services (EPS) inspection early in 2010. It will monitor the council's development of a multi-agency approach to Looked After Children (LAC) and LAC coordinators training in District Inspector (DI) reports and other inspections. The rolling inspection programme and associated follow-throughs, will continue over the duration of the AIP.

48. SHR will review through self evaluation the council's progress towards delivering on its agreed improvement plan and targets for the homelessness service during 2010/11. Further scrutiny activity will depend on the outcomes from this review.

49. SWIA's initial performance inspection programme of all 32 local authority social work services will be completed in the course of 2009/10. The primary purpose of their scrutiny activity is to provide independent assurance that services are well managed, safe and fit for purpose, and that they represent the best value for money. However, they also recognise that scrutiny bodies in Scotland also play an important role in influencing a culture of continuous improvement and striving towards excellence. Accordingly, they will actively promote and encourage self-evaluation on the part of councils, through the role of the link inspector and the application of SWIA self-evaluation guides. In addition, they will establish how staff are responding to BTP changes.

50. The newly formed SCSWIS will complete a Child Protection 2 Inspection in 2011/12.

5. Corporate assessment

Overall, the Scottish Borders Council has sound corporate arrangements. It has a clear understanding of its priorities and demonstrates effective governance and partnership working. While there have been delays in implementing some key elements, its ambitious Business Transformation Programme has led to significant improvements. The council needs to achieve significant efficiency savings in order to meet the challenges presented by the current recession. It recognises that it needs to take a more strategic approach to managing its resources in areas such as procurement, competitiveness and workforce planning.

51. The council and its partners have a clear vision for the area which is based on a sound understanding of the local context. This is set out in a SOA which forms an over-arching set of priorities and drives a series of service plans and targets.

52. The council has good working relations with the other members of the Scottish Borders Community Planning Partnership, including the health service, police, and fire. There is evidence to show that it is working effectively with its partners to deliver local regeneration initiatives. This partnership has recently been re-organised in line with the SOA to include fewer theme groups and to give them greater autonomy, although it is too early to assess the impact of these changes.

53. The council also has good working relationships with other councils. There are ambitious plans for the development of shared services. It is currently working with other councils to develop options for consideration, although this is still at an early stage.

54. Governance arrangements are well developed and effective. The council operates a 'cabinet' committee system, with an executive committee of administration members, scrutiny panel, audit committee, performance monitoring panel, five area committees and various sub-committees. Overall, these provide effective mechanisms to discuss and challenge policies and performance.

55. In recent years, the council has established an ambitious BTP in order to help it become a more efficient and customer-focussed organisation. A Best Value pathfinder audit, carried out in late 2009, found that the council had made significant progress and was well placed to deliver future improvements. So far, the BTP has led to a number of significant achievements, including:

    • the establishment of a Customer First programme to improve public access to services and rationalise the number of public-facing offices

    • a review of support services to re-organise financial and business services throughout the council

    • the integration of children's services

    • development of a strategy for the future delivery of care services for older people.

56. However, there have been delays in delivering elements of the BTP, with some timescales extended by as much as a year. The council has recently put new measures in place to help improve the

overall management of the BTP and raise its political profile. These revised arrangements have not been in place long enough to demonstrate their effectiveness. As a result, there is still a risk that there will be further delays in implementing key elements of the BTP and delivering the benefits in improved services and efficiencies.

57. The council has sound financial controls in place, with budgets taking into account changing service demands, and executive members closely involved in budget setting and monitoring. As a result, it has been able to avoid budgetary overspends and has maintained unallocated reserves.

58. The council is facing significant financial pressures as a result of the current recession. With the prospect of increased demands on services, and reductions in income, the council needs to make significant savings. Changes brought about by the BTP have led to savings of around £15 million, but the council recognises that it needs to increase the pace of change and has now increased its efficiency savings targets from five to seven per cent per annum. In order to achieve these savings, the council, as well as continuing with the implementation of TOPS and TCS, is undertaking a major review of technical, planning and economic development services. Furthermore, it is adopting a more strategic approach to managing its resources and has identified a number of priorities for improvements:

- Procurement

- Competiveness

- Asset management

- Workforce planning.

59. The council has made significant progress in developing its approach to performance management. However, it recognises that further improvements are needed in rationalising the number of targets and ensuring they are aligned with the over-arching set of objectives now contained within the SOA. It has also recently introduced a self-assessment model, using the Public Sector Improvement Framework (PSIF). It is planning to use this to carry out annual corporate self-assessments, supported by similar programmes within services.

Areas of good performance

60. The TOPS review has been equality impact assessed to reflect needs of older people from ethnic minority communities.

Implications for scrutiny activity

61. The recent Best Value pathfinder audit has concluded that, overall, the Scottish Borders Council has sound corporate arrangements and is well placed to deliver future improvements. As a result, it is not expected that a full Best Value audit will need to be carried out over the three years covered in this plan.

62. The local external auditor will monitor the council's progress in implementing its improvement programme, focussing on areas such as:

  - Implementation of the BV2 improvement plan

  - Asset management

  - Procurement

  - Competitiveness

  - Workforce planning

  - Further developments in performance management and self-evaluation.

63. In Year 3, depending on the progress that has been made in establishing new arrangements, a review may be carried out of shared services. This would be a joint exercise, covering the Scottish Borders Council and the other councils involved.

Appendix 1: Risk assessment

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
Develop greater economic resilience for those that live and work in Scottish Borders	**No significant risks identified**	- The council has a strong awareness of economic issues, works well in partnership and has revised structures in place to link with the SOA local outcome priorities. It has also delivered successful regeneration projects. - Following the re-organisation of Scottish Enterprise the council has had to take on a more significant role, albeit within limited resources, and, for example, has produced an economic resilience plan to support local businesses. The council was key to the establishment of the South of Scotland Alliance with Dumfries and Galloway Council. The council has six local plans in place for small towns and communities, - The South of Scotland Knowledge Transfer Hub provides support to businesses in developing workforce skills. Community based learning, support into work training and learning English as a second language have all shown a strong upward trend. - Increased numbers of school leavers going on to higher and further education and training (higher and further numbers above Scotland average). **Areas of concern:** - The overall economic picture is variable and reported figures do not yet indicate full impact of economic recession. Clearly this is an area where elements are beyond the direct influence of the council. - Reporting of achievement of economic outcomes is limited. - The target to reduce the proportion of the local workforce with no qualifications has not been met.	Monitor BV2 improvement plan as part of annual audit, in particular progress against economic strategy and economic resilience plan. (AS) Ongoing DI monitoring of positive and sustained destinations for young people. (HMIE)
Increase connectivity of Scottish Borders	**Area of uncertainty**	- Borders Railway tender process commenced December 2009. It is anticipated that the construction contract will be awarded in autumn 2011. - Roads condition is slightly below the national average but is improving and the council has made targeted capital investment in this area. - Public transport for disabled access has improved slightly. % of residents with access to regular bus service remains stable and on target. - Progress has been made in the broadband project for schools and public buildings.	Monitor development of new railway line as part of annual audit process. (AS)

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		Areas of concern: • Limited range of performance indicators makes it difficult to assess performance and impact, e.g. options for school transport, impact on participation in after school activities (particularly for those in care), etc. SBC is not alone in this respect. • Satisfaction with public transport is poor at 45%, and the council has also reduced subsidy to bus services which will further impact on satisfaction. The council is undertaking a review which will include consideration of the ipact of subsidised transport on the local economy.	Monitor BV2 improvement plan as part of annual audit, in particular the findings arising from the council's review of subsidised transport. (AS)
Improve health and wellbeing of Scottish Borders population	**No significant risks identified**	• The majority of healthy and wellbeing local outcome targets are being met and there is a positive trend in improvement in most areas where trend data is available. • The council works in partnership with the NHS and the voluntary sector, in particular to minimise hospital admission for adults. • **Gold Point:** ▪ **The council is one of the highest performing councils for the provision of palliative care and the only one which gives profile to palliative care in their SOA.** • Overall, very positive conclusions from inspections: SWIA performance inspection in Feb 2009; HMIE's Education Authority pre-school inspections; HMIE joint follow - through inspection report, 2009; and from the CC. **Areas of concern:** • NHS Borders continuing to develop plans to ensure the balance of care for older people at home meets the national average of 32%. • The council does not have any registered early years services to provide early intervention (e.g. family support centres). • Variable quality of provision in pre-school partner centres. • Numbers of people being supported through smoking cessation has decreased.	Health and well-being will be picked up through inspection activities including inspection of services to protect children and young people. (HMIE) Statutory visits will consider older people's and children's services in the context of changes to current arrangements. (CC) Monitor health and well-being SOA performance as part of annual audit. (AS).

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
Reduce alcohol related problems among young people & adults and the harmful impact on communities in Scottish Borders	**No significant risks identified**	- Abuse of alcohol in the Scottish Borders is below the national average. - The council has a number of contractual arrangements with external providers to provide support to young people with drug and alcohol problems. Support and communication with these services appears to be good. - The provision of specialist alcohol related support services has increased in 2009 and there has been an increase in people accessing specialist services. **Areas of concern:** - Alcohol related deaths and hospital admissions both show an increase in the year to 2008 (Scotland average has shown an upward trend).	Monitor SOA performance reports as part of annual audit. (AS)
Increased and more effective integrated planning for the demographic challenges of an older population living in Scottish Borders	**No significant risks identified**	**Gold Point:** **There was an extensive consultation exercise over proposals for more sustainable care services for during the Transforming Older Peoples' Services review.** - The council set out comprehensive measures to support independent living for older people as part of its TOPS review. - Home care services are performing well and continuing to improve; there has been good progress against targets for increasing use of community based care for older people. - Most indicators on supporting people to live independently are showing improvement with some also above target. - Numbers of affordable houses (discounted sales) approved, numbers of new affordable units provided by Registered Social Landlords (RSLs) and total numbers of units registered to private landlords have all improved. **Areas of concern:** - Measures included in TOPS are currently aspirational and based on assumptions regarding independent care home providers. However a review of independent care home providers will shortly be conducted by the council. - The council has deregistered a number of support services, redefining them as lunch clubs. - It is too early to determine the impact of certain new contracts for home care provision. - Some of the councils existing premises will not meet future standards or enable the growing dependency needs of service users**.**	Continue reviewing implications of TOPS review (CC) Inspection and statutory visits will continue (CC) Establish how staff are responding to changes (SWIA)

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		• There is concern about how staff will cope with the changes inherent in TOPS and continue with business as usual.	
Develop greater environmental resilience within Scottish Borders	**No significant risks identified**	• An executive member has responsibility for planning and the environment, and sustainability is included in the remit of three community planning theme groups. • Council and its partners making good progress in sustainable development, eg. the Scottish Borders woodland partnership's activities in enhancing the natural environment, support for the mountain biking leisure industry, and regeneration of small towns. • Cleanliness index score has improved and is above the national average. • The council has met its target for waste reduction: tonnage of municipal waste collected has reduced as has the tonnage of waste going to landfill. • Recycling rates are above the Scottish average and have been increasing. • Reduced emissions from council buildings. • The council is working to increase the use of renewable energy, including the use of renewable energy for street lighting. **Areas of concern:** • Woodland strategy – positive initiative but as yet not much data on impact. • Lack of trend data on energy consumption. • The council has not met its 2% reduction target for energy consumption.	Monitor council's BV2 improvement action to introduce a test of competitiveness across the council (for example waste collection costs). (AS)
Develop greater community resilience within Scottish Borders	**Area of uncertainty**	• **Gold Point:** ▪ **Very strong and explicit policy of keeping children within their own community.** • The Borders benefits from low crime and high detection rates. • The council and its partners have invested in services and training to protect adults from the risk of harm. • The numbers of people leaving care achieving positive outcomes has increased. • Rates of domestic abuse incidents have decreased.	

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		• Positive conclusions from inspections for certain services – e.g. HMIE and CC Joint Inspection of services to protect children report 2007. • Volunteering showing improvement: there is a strong volunteer project to help migrants to the area and the council has introduced a Volunteer Charter. • Looked After Children (LAC) data showing general improvement. The council is developing a multi-agency approach to LAC and LAC coordinators in schools have received training. Educational psychologist time has been earmarked to support LAC and their carers. • The council has provided very good adult protection training to their staff working in the independent sector. • As part of the Scottish Government's New Housing Partnership the council was the first local authority to transfer all of its housing stock. To meet its statutory duties in terms of the various Housing and Homelessness Acts the council prepared a 2007 refreshed Local Housing Strategy (LHS) setting out the actions that the council and its partners intend to put into place to enhance the quality and supply of housing in the Borders. As a result the provision of affordable housing is increasing and is broadly on target although it has been impacted by the downturn in the property market. • The council has successfully maintained its levels of community grant awards and the numbers of registered volunteers has increased. The majority of residents say they are proud to live in the Borders. **Areas of concern:** • Too early to evaluate the impact of a range of initiatives within TCS for example: what improvements have arisen as a consequence of the integrated approach to needs and risk assessment of services to protect children in the early stages of development; the impact of changes in the organisation and distribution/location of Additional Support Needs (ASN); and whether a more robust, co-ordinated support system has been put in place for excluded pupils. • Challenge of ensuring consistency in provision – mentoring LAC/young carers • The council has expanded their Adult Placement Service to include young people leaving care or living in the community who need support. The management accountability of this part of the service needs to be more clearly defined and communication between professionals improved.	Child Protection 2 Inspection will take place sometime between April 2011 and March 2012. (SCSWIS) Inspection and statutory visits will continue including follow up of issues relating to the inclusion of young people in the Adult Placement Service. (CC)

Outcomes	Initial risk assessment	Evidence/rationale	What we plan to do
		• Numbers of concerns raised about adults at harm or risk has increased as have numbers of multi-agency investigations. This may be due to greater awareness and staff training rather than any increase in actual abuse.	

Service assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Education and lifelong learning (E&LL) • Business services • Community services • Quality services • Schools services	**No significant risks identified**	• Overall positive conclusions from HMIE and CC: educational attainment, 3 new high schools, children's day care services. Mixed quality indicators (QIs) from CLD. • SPIs for use of pools, indoor sports facilities, libraries and visits to museums have all improved. **Areas of concern:** • Too early to assess effectiveness/impact of the fundamental changes in the organisation and distribution/location of ASN proposed in the TCS. • Secondary schools - some slippage in 2008 and 2009 in attainment at S-Grade level 3. • SPIs for use of learning centres and learning access points would suggest that they are used less frequently. • Variable quality of provision in pre-school partner centres. • Schools and the EA are working towards gathering more accurate data on levels of participation and resulting achievement in full range of learning activities including arts, sports etc.	Ongoing monitoring of education and community services, including rolling inspection programme and follow-through, 2010 and beyond. (HMIE) EPS Feb – March 2010. (HMIE)
Social work • Children, young people and family support • Community care – for people aged 16 and over • Criminal justice • Welfare benefits • Housing advice, support and mediation services • Housing strategy	**No significant risks identified**	• Positive or satisfactory conclusions from inspections per SWIA, HMIE, CC. • Very good responses and outcomes from child protection inspections. • SPIs for adult social work showing generally positive picture – out of 14 comparable indicators 11 have improved by >5%. • Learning disability services are recorded as high performing. • Scottish Children's Reporter Administration (SCRA) assess the council as one of the highest performing. • The council has a homelessness strategy in place. There was some improved homelessness performance in 2008/09 (per SPIs). **Area of serious concern:** • The council has a significant challenge in meeting homelessness targets in 2012. The target for the council was to reduce the % of homeless households assessed as non priority from 28% to 14%. The council failed to meet this interim target, assessing 27% as non priority during 2008/09. This is a weakness and an area of serious concern.	Review progress in delivery of agreed improvement plan in July 2010. Further scrutiny activity will depend on the outcomes from this

Service assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		Other areas of concern: • Impact of financial constraints on sustainability of future social work services, for example, in home care services for older people. • A number of requirements and recommendations outstanding from the fostering and adoption services inspection. • The council deregistered all their family support services three years ago on the basis that they were not providing a "support service" but a 'drop in' counselling service. Therefore the only early intervention monitored is nursery provision. • The council did not have a Temporary Accommodation strategy or written standards for temporary accommodation at the time of inspection. The inspection also found that the council continues to rely on bed and breakfast accommodation, of a variable standard. • The council has reported breaches of the Unsuitable Accommodation Order since September 2007.	review. (SHR) Inspection of fostering and adoption services. (CC) Follow up inspection February 22nd 1 week to include self-evaluation day planned by the social work dept. Will focus on the recommendations made in inspection of 2008. (SWIA) Joint inspection of services to protect children and young people. (HMIE, CC, SWIA, NHS QIS, HMIC)
Planning and economic development • Economic development and regeneration • Planning and building services	**No significant risks identified**	• Although potentially not comparable to previous years, SPIs for processing of householder and non-householder application are showing improvements. • Examples of successful recent regeneration projects, e.g. the Heart of Hawick project. **Area of concern:** • Use of local plans for small towns/communities not yet well developed across the region as a whole.	No scrutiny activity.
Corporate resources • Internal audit • Corporate finance • Financial administration • Revenues and benefits • Corporate	**No significant risks identified**	• **Gold Point:** ▪ **First council in the UK to achieve the British Standard (BS25999) for business continuity management and it is currently the only Category 1 responder in Scotland to require certification against this standard from key suppliers and service providers.** • At 31 March 2009 the council had non earmarked reserves of some £5.6 million, which was at the lower end of the council's policy to maintain free reserves of 2% - 4% of net revenue budget. The council are estimating an unallocated general fund reserve of £5.3 million at 31 March 2010 which represents 2.0% of net revenue budget.	Internal audit, corporate finance, financial administration, revenues and benefits and information technology are subject to annual audit in line with the Code of Audit Practice. (AS) Monitor BV2 improvement action to ensure effective prioritisation and delivery of

Service assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
- administration - Human resources - Information technology - Legal services		- Corporate governance systems in place during 2008/09 operated well, within a sound control environment. The process for budget setting was generally sound and comprehensive with a number of elements of good practice. - A revised procurement strategy was approved by council in June 2009. The strategy is supported by a procurement plan for 2009/10 and work is underway to implement a process for identifying, recording and monitoring procurement savings and benefits. - The council's BTP places significant dependence on the use of an appropriate ICT infrastructure to support redesigned services and a modern, flexible approach to working. In January 2009 the council adopted all of recommendations to improve service delivery made by external consultants. - The department has been subject to restructuring for over 2 years as part of BTP but is now entering a more settled period. - Cost of collecting council tax has improved and amount collected within year has remained stable. - Administrative costs for processing housing benefit have decreased. **Areas of concern:** - Whilst Employee Council is a good model, it is under-represented and communication from it is not consistent. % of invoices paid within 30 days has decreased. - Number of litigation claims per 10,000 population has increased. - There are areas of the benefits service where the council has not improved or where performance is unknown. - The council needs to extend its business planning process and develop effective review processes to measure and provide assurance on the effectiveness, efficiency and economy of all its functions.	BTP. (AS)
Technical services - Environment services - Major projects - Property and facilities management - Roads and fleet	**Area of uncertainty**	- SBc Contracts has success with external bids. SPIs for protective services, roads condition, street light repairs and road network restriction have improved. **Areas of concern:** - Strategic review of Technical Services and Planning and Economic Development department in progress. - The department was less well regarded in the staff survey / and in the members survey.	Monitor review of TS/PED as part of overall BTP; monitor tests of competitiveness across

Service assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
management		• SBc Contracts may not achieve the statutory obligation to break even over rolling three-year periods. • Other areas - lack of council-wide framework for competitiveness of services; SPI for traffic light repairs has worsened; high overtime costs**.**	council activities. Statutory obligation of SBc Contracts to break even reviewed as part of annual audit process. (AS)
Chief Executive • Assessors and electoral registration officer • Business improvement unit • Chief Executive Office • Corporate communications • Emergency planning	**No significant risks identified**	• The council has recently improved its capacity for change through building management expertise, stronger project management processes, and more flexible employee terms and conditions. • Web-based emergency rest centre (ERC) management system developed by the council with a private sector company. **Areas of concern:** • Proposal to merge Business Improvement Unit (BIU) with Organisational Design & Development (OD) to support change. • Aspects of the BTP have been delayed and the council are unable to readily demonstrate the financial consequences of the BTP, e.g. efficiency savings.	Monitor progress of BV2 improvement plan including role of BTB in ensuring effective delivery of BTP, as part of annual audit (AS)

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
Vision and strategic direction • Vision and strategic direction • Leadership and culture • Planning and resource alignment	**No significant risks identified**	• Vision and objectives are comprehensive and based on good understanding of local context. Emphasis on SOA and BTP providing direction. The council has strengthened its capacity and expertise in areas important to change and improvement. • Political and managerial leadership is strong and officers and members work well together. Political working tends to be consensual and focussed on council business. • Elected members understand their role and there is mutual respect between members and officers. Members are well informed of resource pressures across departments. • Management and support of staff rated as very good; good value base in relation to staff; commitment to training. • Financial planning is informed by council review processes (e.g. TCS and TOPS) helping to give a service/priority led perspective to budgeting. • Significant improvement in links and working relationships between directorate and schools over past 6 years. Improved communication and arrangements for head teacher meetings are resulting in more consistency of expectation and approach across schools. • Ambitious TCS project with sound educational rationale. Effective joint working between E&LL and Social Work in this exercise. Clear planning framework with coherent plans at different levels. Key Integrated Children's Services Plan. Improvement tasks reflect national priorities with suitable emphasis on Curriculum for Excellence implementation, for example. TCS project carefully costed with the aim of making efficiency gains. **Areas of concern:** • The change objectives are very ambitious – the council lacks clear BTP priorities and effective monitoring thereof. • Many of the council's policies and procedures have been in draft for considerable periods of time.	Monitor progress of BV2 improvement plan as part of annual audit - assure that BTP is prioritised and resourced, and that implementation is monitored. (AS)
Partnership working and community leadership	**No significant risks identified**	• Members have a strong focus on local issues for the Borders. • A good participation strategy is in place and the council has made improvements in implementing this over the last year; theme groups	

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		reorganised and streamlined – aim for more autonomy and better stakeholder involvement. • Good working relations with its partners; good working relations through South of Scotland alliance; CLD provided evidence that development of Scottish Borders Community Plan had led to improved partnership working; good local partnerships in the community; SOA outcomes were developed with partners from outset • The community planning partnership (CPP) is independently chaired. • A number of council wide arrangements are in place to engage with special interest groups and to seek the views of people who use services and their carers. • Improving partnership working within TCS project. E.g. move to Locality Integration Teams (education, social work, health professionals, police). • Community social work takes a lead in coordinating the council's response to responding to migrants. **Areas of concern:** • Post 2007 implementation of 'the right work at the right door' in child protection has not been assessed and therefore it is unclear if this has improved or diminished. • Area committees under review. • Limited progress with shared services.	Monitor SOA performance reports and internal review of area committees as part of annual audit (AS)
Community engagement	**No significant risks identified**	• Extensive consultation exercise for TCS project – very large number written responses, meetings with staff in all schools and well attended public meetings across the EA. TCS proposals amended in light of consultation feedback. • Integration of services into single point of contacts and front line staff rationalised with the pilot customer contact centres now operational. • Community engagement program includes an annual household survey and a young people's survey. • CPP make use of people's panel. • Further improvements planned on consulting with hard to reach groups. • Inspection findings positive in terms of education service engaging with communities at local level.	

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
		• Rated as very good- active support by social work to involve the public to become involved in activities – e.g. migrant workers- innovative approach to involving disabled people in service design and development. **Areas of concern:** • Community capacity building and provision for young people require strengthening.	CLD inspection and monitored through DI reports and CLD link. (HMIE)
Governance and accountability • Governance and accountability • Public performance reporting	**No significant risks identified**	• Strong political leadership is demonstrated and mechanisms to challenge performance, policy and governance are in place. • Scrutiny is effective overall. • New councillors with education portfolio taking very direct and active interest in work of E&LL. They have a high profile across the authority. • Standards & Quality (S&Q) reports give clear overview of work of E&LL. • Significant progress had been made in financial management. The council has a rigorous system of budget management and control with good liaison between management and front line budget holders. **Areas of concern:** • As experienced staff leave and others move to new posts or roles within the council there is a significant risk that the systems of internal control may be compromised. Regular changes to management responsibility / role have on occasions slowed down developments and communication. • Area committees under review. • A more coordinated approach is required to gathering and analysing performance information for services for children.	Audit governance arrangements annually in line with Code of Audit Practice (AS) Monitor progress of BV2 improvement plan as part of annual audit (AS): area committees review; effectiveness of new BTB format including overall progress with BTP.
Performance management and improvement • Customer focus & responsiveness • Performance	**Area of uncertainty**	• Some significant progress made in implementing the ambitious BTP program; central staff much more focused on quality improvement than formerly; the council has made improvements to most services; although some improvement targets in 2009 SOA relatively modest, overall more challenging targets than in the previous 2008 SOA. • The council's risk management team won a European-wide accolade with a	

Corporate assessment area	Initial risk assessment	Evidence/rationale	What we plan to do
management • Efficiency • Challenge and improvement • Risk management		'highly commended' mention in the 2008 European Risk Management Awards in the Best Risk Management Approach in the Public Sector category; risk register is well documented and up to date. • Other examples - The council has a complaints procedure and complaints officer; service users appear to be aware of how and to whom they can make complaints; good staff supervision and appraisal systems are in place at service level; agreed quality assurance procedures in place across the EA with quality improvement officers (QIOs) playing a key role in on-going monitoring and evaluation and periodic school reviews. • Council produces a range of informative and readable publications and newsletters which communicate initiatives and developments within the area. **Areas of concern:** • Current publications do not give an objective overview of performance and the council has identified the need to improve this. • With the introduction of the SOA reporting to the PMP has become less meaningful; there is a risk that the council cannot demonstrate that it is achieving continuous improvement and delivering outcomes. • Although well designed systems are in place MIS is not being fully utilised. • Efficiency is a strong driver for the BTP project but risk that effective reporting of savings released is not in place to ensure realisation.	Review risk management arrangements as part of annual audit in line with Code of Audit Practice.(AS) Monitor BV2 improvement plan as part of annual audit, including progress in the reporting of efficiencies and performance reporting to PMP.

Corporate assessment area	Initial risk assessment	Evidence/Rationale	What we plan to do
Use of resources • Financial management • Asset management • Managing people • Procurement • ICT	**No significant risks identified**	• Sound financial controls in place. • 2009 staff survey result was fairly positive; workforce needs have been considered through the review programs; streamlined grading system implemented to comply with equal opportunities and single status; good supervision and appraisal systems in place. • Councillors have supported protection of education budgets to date and additional money provided to help introduce new staffing structures. TCS project takes account of resource implications with aim of achieving efficiency gains of order of 5%. £50 million PPP project has provided 3 new high schools and a £20 million Borders primary Schools (BPS) project is replacing/refurbishing 6 primary schools. Small schools review policy in place including introduction of shared headships partially motivated by wish to increase efficiency and make small schools economically viable. Broad CPD programme to improve quality of delivery. This includes some joint CPD with other EAs with view to efficiency gains. National Grid for Learning (NGfL) replacement programme has provided all schools with new network facilities and PCs. All schools have high capacity broadband. • Other examples - progress on broadband pilot for public sector – including schools and libraries. **Areas of serious concern:** • The council continues to face difficult financial pressures in 2009/10 and are faced with revenue cost increases of £20.8 million; sums invested in collapsed Icelandic banks will not be recovered in full; unallocated reserves are at the lower end of the council's policy to maintain free reserves of 2% - 4% of net expenditure; capital plan may not be achieved; limited investment opportunities available to council for liquid assets; the economic downturn has put the affordability of the three high schools PPP into question due to its reliance on achieving significant capital receipts; significant funding gap – challenge of meeting government priorities e.g. free meals; 2 hours physical education. However with the council's sound financial controls this is not considered a significant risk. **Areas of concern:** • The council does not apply effective asset management on a council wide basis and has not completed its revised Corporate Property Asset Strategy and Management Plan.	Audit annually in line with Code of Practice including, financial management, asset management, procurement, common good. Monitor progress of BV2 improvement plan as part of annual audit: consolidate good practice across the organisation e.g. project management, communications, resource management (AS)

Corporate assessment area	Initial risk assessment	Evidence/Rationale	What we plan to do
		• Although 2009 staff survey results was fairly positive, there are variations in responses with levels of satisfaction and motivation lower in Resources and Technical Services staff; and the employee appraisal system is not used consistently and is currently being reviewed. • The council will not be fully compliant with the Payment Card Industry Data Security Standard (PCI DSS) by end of 2009/10 this could result in penalties. • The delivery of the IT Support Services Review (ITSSR) project may adversely affect the council's ability to manage its ICT strategy and operations. • A number of items are on the corporate improvement agenda but have not yet been implemented: council wide workforce planning and development strategy; data handling/ information sharing strategy processes • Procurement strategy not yet implemented and whilst E-procurement being implemented not yet used across the council.	
Equality	No significant risks identified	• **Gold Point:** ▪ **TOPS review equality impact assessed to reflect needs of older people from ethnic minority communities.** • Good progress and practice - executive member for equal opportunities and communities chairs corporate equality group and reports to Fairer Borders committee; Poverty Commission set up; work in partnership with Borders Equality Forum – equality and diversity policy and toolkit developed; Joint conference with the police on Lesbian, Gay, Bisexual, Transgender (LGBT) issues. • Corporate improvement agenda includes action to develop and implement an equalities strategy; Director of Social Work provides a strong corporate lead; Equality and Diversity officer jointly funded with NHS; equality and diversity training is mandatory. • Other examples - work to support migrant workers; positive work around financial inequality; good performance on accessibility of buildings; positive developments to raising attainment of lowest achievement 20%. **Areas of concern:** • Restricted access to Community Learning & Development (CL&D) facilities in various locations across the Borders. • Work underway to improve ASN provision through outworking of TSC project is currently at early stage of implementation.	Monitor SPIs as part of annual audit. (AS)
Sustainability	No significant	• Council has strong vision for economic sustainability, although monitoring of	

Corporate assessment area	Initial risk assessment	Evidence/Rationale	What we plan to do
	risks identified	impact is limited. • No longer a separate theme within CPP – now integrated as element within each theme. • Council demonstrates strong awareness of sustainability – environmental, economic and community e.g. South of Scotland Competitiveness Strategy. • Strong focus on small town sustainability – considered as part of regeneration initiatives. • Improvements in waste recycling and landfill rates. • Reduced emissions from council buildings. **Area of concern:** • The Carbon Reduction Commitment (CRC) energy efficiency scheme is a mandatory carbon emissions trading scheme for large public and private sector organisations in the UK and commences in April 2010. It is not known if the council qualifies to participate in the scheme.	Monitor planning for and sustainability achievement as part of annual audit (AS)

Appendix 2: Outline summary of scrutiny activity

Scrutiny activity	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
2010/11 (Year 1)														
CC – inspection of fostering and adoption services					██									
SHR - review of self evaluation. Update of the council's progress towards 2012 national performance targets, and delivering on agreed improvement plan						██								
Multi-agency review by SWIA, HMICS, and HMIP on the assessment and management of offenders who present a high risk of serious harm. Timing tbc. approx 6 days spread over year, 3 onsite.														

2011-12 (Year 2)	
Issues for scrutiny /improvement	**Scrutiny bodies /council potential involvement**
Child Protection 2 Inspection	SCSWIS
SWIA ISLA, timing tbc	SWIA

2012-13 (Year 3)	
Issues for scrutiny /improvement	**Scrutiny bodies /council potential involvement**
None defined	