

# **Stirling Council**

## **Local Scrutiny Plan**

**2015/16**



March 2015

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## Local Scrutiny Plan 2015/16

### Introduction

1. This local scrutiny plan sets out the planned scrutiny activity in Stirling Council during 2015/16. The plan is based on a shared risk assessment (SRA) undertaken by a local area network (LAN), comprising representatives of all the scrutiny bodies which engage with the council (Appendix 1). The SRA process draws on a range of evidence with the aim of determining any scrutiny activity required and focusing this in the most proportionate way.
2. This plan does not identify or address all risks in the council. It covers only those risk areas that the LAN has identified as requiring scrutiny, or where scrutiny is planned as part of a national programme. Planned scrutiny activity across all councils in Scotland informs the National Scrutiny Plan for 2015/16, which is available on the Audit Scotland website.

### Update on Local scrutiny plan 2014/15

3. In the 2014-17 Assurance and Improvement Plan (AIP), the LAN noted the following scrutiny risks that it would continue to monitor:
  - the significant changes in the council's senior management including the appointment of a new chief executive
  - significant changes to leadership of the shared education and social work services between Stirling and Clackmannanshire
  - progress in planning for health and social care integration
  - some aspects of performance of housing and homeless services
  - the impact of Stirling's significant programme of cultural events during 2014.
4. The AIP also identified where scrutiny activity would be undertaken:
  - The Care Inspectorate led a joint inspection of children's services in Stirling Community Planning Partnership (CPP) in 2014. This inspection identified that more progress was needed in improving the quality of child protection services. The Care Inspectorate and its scrutiny partners (Healthcare Improvement Scotland, Education Scotland and HMICS) plan to conduct a follow-up inspection in 2015/16 (Appendix 2). This is part of the Care Inspectorate's wider programme of national inspection, and is not a result of the LAN shared risk assessment.

- During 2014, Audit Scotland carried out a targeted follow-up of two national performance audits - *Arm's-length External Organisations (ALEOs): are you getting it right?* (published June 2011) and *Major capital investment in councils* (published March 2013). The external auditor completed the ALEOs review and reported it to the council in June 2014. The council has 14 ALEOs. It has taken action to improve the governance arrangements around ALEOs and it has made significant progress in its monitoring arrangements. The external auditor made a number of recommendations for further improvement. The external auditor provided information on Major capital investment in councils to Audit Scotland in July 2014. Audit Scotland is analysing the responses from all councils and intends to prepare a national follow-up report for publication during 2015. These targeted follow-up audits were part of Audit Scotland's national performance audit programme, and not a result of the LAN shared risk assessment.

## Scrutiny risks and planned scrutiny activity in 2015/16

5. The LAN, having considered the evidence from key management documents and performance indicators, has judged that the majority of risk assessments of corporate functions and service areas in the AIP remain as not requiring additional scrutiny. There are no significant new concerns that require additional scrutiny. However this year the LAN will look to monitor progress within a number of key areas of scrutiny risk.

## Ongoing oversight and monitoring by LAN members

6. During 2014, Stirling Council appointed a new chief executive, revised its management structure from six departments to four, and appointed four new directors (three were external appointments). The four new departments are:
  - Housing and environment
  - Communities and partnerships
  - Children, young people and education
  - Corporate operations.
7. There is also a shared social services department which is led by Clackmannanshire Council.
8. The LAN recognises the opportunities that can come from organisational change but is also mindful of the scrutiny risks arising from such significant change, for example, in organisational culture, staff morale and changes to priorities and processes. The LAN, through the external auditor, will continue to monitor the impact of this organisational change during 2015/16 (eg through reports on progress to the Council and its committees).
9. Despite the differences in political allegiance across the Stirling and Clackmannanshire council areas, there is a shared, long-term vision and commitment to the concept of integrated services for children, young people and their families. This has led to Stirling

Council leading a joint education service for both areas and Clackmannanshire Council leading a joint social work service. We understand that both councils have commissioned Ernst and Young to review their shared services and options for going forward, including the viability of the lead authority/shared services approach. The LAN will continue to monitor the pace of progressing shared education and social work services, including the outcome of an options appraisal by Ernst and Young which is due to be complete in spring 2015.

10. Progress is being made in developing health and social care integration on a joint basis across Stirling and Clackmannanshire. A transitional Health and Social Care Integration Joint Board made up of elected members from both councils is being established. The council approved a draft integration scheme in February 2015, and interviews for the Chief Officer were taking place in March 2015. The external auditor will continue to monitor progress in implementing the governance arrangements for the new Integration Joint Board; and Audit Scotland is maintaining a national oversight on developments (Appendix 2).
11. The Scottish Housing Regulator (SHR) will continue to monitor the council's progress in reducing rent arrears, in delivering the Scottish Housing Quality Standard (SHQS) and in its homelessness and housing options activities. The SHR will receive regular updates from the council on these areas and will also receive information through the council's Annual Return on the Charter (ARC) which collects information against the indicators of the Scottish Social Housing Charter.
12. The LAN will monitor the effectiveness of new governance arrangements for public protection which came into place in December 2014. The G5 group was responsible for governance arrangements until August 2014, when responsibility moved to the local community planning partnership structures. In December 2014, a new public protection governance arrangement was put in place. The Clackmannanshire and Stirling Public Protection Forum (CSPPF) was established to provide leadership and oversight of the governance arrangements for public protection, reporting to the two CPPs. The partners have agreed to appoint an independent chair for the Forum. The key areas which will be overseen by the CSPPF are child protection, adult protection and offender management.

### **Risk-based and national scrutiny activity**

13. The council will be subject to a range of risk-based and nationally driven scrutiny activity during 2015/16 (Appendix 2). For some of their scrutiny activity in 2015/16, scrutiny bodies are still to determine their work programmes which specific council areas they will cover. Where a council is to be involved, the relevant scrutiny body will confirm this with the council and the appropriate LAN lead.
14. The council and its community planning partners will be subject to a follow-up, joint inspection of services for children (Appendix 2). This further inspection is in light of areas for improvement identified as a result of the full joint inspection of children's

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services in Stirling and Clackmannanshire published in May 2014. This is part of the Care Inspectorate's wider programme of national inspection, and is not a result of the LAN shared risk assessment.

15. The Care Inspectorate and HMICS will carry out a joint thematic review of multi-agency public protection arrangements (MAPPA) in Scotland during 2015. This forms part of a wider programme of national inspection, and is not a result of the LAN shared risk assessment. The purpose of the review will be to assess the state, efficiency and effectiveness of the MAPPA in Scotland, in terms of keeping people safe and reducing the potential risk of serious harm by registered sex offenders in our communities. It will cover all 32 councils and involve councils, Police Scotland, NHS boards and the Scottish Prison Service. The joint review will cover the Stirling Council area during May 2015.
16. Audit Scotland will carry out a programme of [performance audits](#) during 2015/16. Audit Scotland has three planned performance audits covering local government during 2015/16. It will be working jointly with the Care Inspectorate looking at social care, and jointly with both the Care Inspectorate and Healthcare Improvement Scotland (HIS) on a Health and Social care integration position statement. It will also carry out a follow-up audit on roads maintenance. Any engagement with councils is still to be determined. Publication of these reports is scheduled for between October 2015 and February 2016.
17. Education Scotland will review the quality of Careers Information Advice and Guidance services delivered by Skills Development Scotland across all council areas over the next three years. Stirling Council will not be reviewed in 2015/16.
18. Education Scotland will also be working in partnership with councils to carry out validated self-evaluation (VSE) of educational psychology services across all councils over a two-year period beginning in 2015/16. Education Scotland will notify councils of its VSE plans each academic term.
19. The SHR has a planned programme of thematic inquiries into housing services which will be carried out largely in the first quarter of 2015-16, with publication of inquiry reports in the first and second quarters of the year. The thematic inquiries will cover a range of housing services, including: Gypsy/Travellers; factoring services; gas safety; complaints handling; customer service standards; repairs; rent consultation; equalities; and openness and accessibility. Some of the thematic inquiries will not involve any on-site work at all, and no council will be selected for on-site work in more than one thematic. The SHR will contact individual landlords with details about their potential inclusion.
20. During the first and second quarters of the year, the SHR will review the Charter data submitted by social landlords in May 2015 and identify topics for a further programme of thematic inquiries to be taken forward in the second and third quarters of the year.
21. In addition to specific work shown in Appendix 2, routine, scheduled audit and inspection work will take place through the annual audit process and the ongoing

inspection of school and care establishments by Education Scotland and the Care Inspectorate respectively. Individual audit and inspection agencies will continue to monitor developments in key areas of council activity and will provide support and challenge as appropriate. This will help to inform future assessment of scrutiny risk.

## Appendix 1. Stirling LAN membership

Angela Canning (LAN Lead)	Audit Scotland
Claire Gardiner	Grant Thornton
Tracey McAlpine	Scottish Housing Regulator
Kelda McMichael	Scottish Housing Regulator
Stewart Maxwell	Education Scotland
Tricia Meldrum	Audit Scotland
Grace Scanlin	Grant Thornton
Martha Shortreed	Care Inspectorate

The Local Area Network comprises representatives of all the main scrutiny bodies that engage with councils. The role of the LAN is to ensure that information and intelligence held by each audit, regulation and inspection body is shared, enabling external scrutiny to be coordinated and targeted on the areas of greatest risk.

## Appendix 2: Scrutiny plan

Scrutiny body	Scrutiny activity	Date
Audit Scotland	Possible performance audit work	TBC
Care Inspectorate and other scrutiny bodies	Joint Children's Services inspection of Stirling and Clackmannanshire (follow up)	On site May 2015
Care Inspectorate and HMICS	Joint Thematic Review of Multi Agency Public Protection Arrangements (MAPPA).	On site May 2015
Education Scotland	Education Scotland will be working in partnership with councils to carry out validated self-evaluation (VSE) of educational psychology services across all councils over a two-year period beginning in 2015/16. It will notify councils of its VSE plans each academic term.	TBC
Her Majesty's Inspectorate of Constabulary (HMICS)	HMICS will be inspecting local policing across Scotland on an ongoing basis. This will examine, amongst other things, local scrutiny and engagement between Police Scotland and councils. Two local Policing Divisions are programmed to be inspected in addition to Edinburgh Division in 2015/16. The Divisions will be identified approximately three months prior to inspection, the first being no earlier than October.	TBC
Her Majesty's Fire Service Inspectorate (HMFSI)	HMFSI will be inspecting local fire and rescue services across Scotland over the next five years. These inspections will examine, amongst other things, local scrutiny and engagement between the Scottish Fire and Rescue Service and councils. As part of its programme, HMFSI will inspect four local fire and rescue services during 2015/16. Stirling is not included in the programme this year.	TBC
Scottish Housing Regulator (SHR)	The SHR will carry out a number of thematic inquiries in 2015/16. If a council is to be involved in a thematic inquiry the SHR will confirm this with the council and the appropriate LAN lead.	TBC