

# Shared risk assessment: Assurance and improvement plan 2010–13

Glasgow City Council



social work  
inspection agency



THE SCOTTISH  
HOUSING  
REGULATOR



**HMIe**

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AUDIT SCOTLAND

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# 1. Introduction

## The Assurance and Improvement Plan

1. This Assurance and Improvement Plan (AIP) sets out the basis of our scrutiny risk assessment of the council and the planned scrutiny activity for Glasgow City Council for the period from April 2010 to March 2013. The shared risk assessment process is designed to ensure the level of scrutiny activity is proportionate based on the assessed risks.
2. This AIP is the product of a collaborative approach adopted by the following scrutiny bodies:
  - Audit Scotland
  - Care Commission
  - HM Inspectorate of Education (HMIE)
  - Scottish Housing Regulator (SHR)
  - Social Work Inspection Agency (SWIA).
3. The AIP draws on a number of sources of information, including
  - reports produced by Audit Scotland, including the annual audit report to the Controller of Audit and elected members (October 2009), the audit of best value and community planning (January 2006) and the follow-up report on the council's progress (April 2009)
  - the council's self-evaluation and supporting evidence (including household survey results)
  - reports from HMIE, SWIA, SHR and the Care Commission (including published inspection reports and other supporting evidence).

## What do we mean by a scrutiny risk?

4. All local government scrutiny bodies have agreed the definition of shared risk assessment as:  
**'A joint approach using key information about local government to plan scrutiny activity that is proportionate and based on risk'**
5. When we determine 'risk' we mean risk that will trigger scrutiny work. 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.

## What does proportionate scrutiny mean?

6. When considering the appropriate level of scrutiny activity for each council we consider the following points to ensure that is proportionate.
  - Is scrutiny activity the best driver for improvement?
  - If so, how can we tailor that activity to the areas where it will have the most impact?
  - How can we tailor that activity in terms of its frequency, intensity and scope?
  - What is the minimum level of scrutiny required to provide assurance to the public?
  - How can we work together to minimise the impact of the scrutiny activity on the council?
7. The overall objectives of this collaborative approach are to maximise the efficiency and effectiveness of scrutiny work and minimise the impact of scrutiny activity on the council. This will be achieved by:
  - coordinating the timing and approach of our risk assessment work
  - helping to identify and monitor key risks through the sharing of intelligence and information
  - building on each other's work to maximise its value
  - drawing on, and taking account of each other's work
  - avoiding duplication of effort.

## National risk priorities

8. National risk priorities have been identified by the Scottish Government and these are reflected in national scrutiny priorities which have been considered in the shared risk assessments for all councils. The national scrutiny priorities are:
  - protection, welfare and access to opportunities for: children, adults in need of support and protection, and older people
  - assuring public money is being used properly
  - the impact of the recession.

## 2. Summary

**No significant scrutiny risks have been identified. The council has good performance monitoring systems and self-awareness. However many of the outcome areas do not have complete information yet to enable us to fully conclude on progress/achievement and these have been assessed as areas of uncertainty. There is also some uncertainty over the impact of recent developments within social work and education services and this will be kept under review by the local area network (LAN). No significant scrutiny risks have been identified in our corporate risk assessment. The LAN will review the impact of the council's plans to manage financial pressures, major redundancy/retirement proposals; changes in staff working patterns and office rationalisation plans.**

9. Glasgow has significant social and economic issues. Glasgow City Council demonstrates a very good awareness of the challenges it faces and responds in a proactive and innovative way. The council has the vision and leadership to make improvements for its citizens and is prepared to make difficult decisions to achieve its priorities.
10. Glasgow City Council has a good range of outcome indicators which are appropriate to a city of its size and reflect the significance of economic, health and inequality issues. There is evidence of strong commitment across the planning partners to achieving improvements for the city. The council's own annual performance reporting was subjected to significant member scrutiny. It reflects a fair and open assessment of the position and acknowledges areas where insufficient data is available. The council has a range of self-assessment processes and has good self-awareness of performance and the issues and challenges it faces.
11. The focus of this risk assessment has been on continuous improvement and the direction of travel, demonstrated by the council, and the impact this has on our scrutiny response. In some areas including health improvements, outcome information is not yet fully established. For these reasons a number of the performance areas present ongoing scrutiny risks, including "Healthy", "Working", "Learning", "Safe" and "Responding to economic downturn". These areas will be monitored by the LAN to inform the ongoing risk assessment process.
12. A comparatively low starting point is evident in some service performance areas although the council can demonstrate improvement in key areas such as educational attainment. The uncertainty over sustained comparative improvement and the extent of change also has a bearing on our service assessments' where we consider the main scrutiny risks lie with Education, Social Work, Development and Regeneration and Land and Environmental Services. As a result monitoring activity will be undertaken in these areas.
13. Our corporate risk assessment is very positive with few areas of ongoing scrutiny risk. As an example, we consider that the council demonstrates good partnership working as represented by the approach to Glasgow's single outcome agreement. The specific corporate areas we note as ongoing scrutiny risks are "People" and "Asset" management. The extent of change in both areas is significant with major redundancy/retirement proposals; changes in staff working patterns and office rationalisation plans. The impact of changes made by the council in these areas will be subject to

scrutiny activity through the Audit Scotland annual audit process. Progress will be kept under review and reported to the LAN.

14. The council has issued a supplement to the Council Plan in May 2009 to demonstrate how it will rise to the challenge of the current economic downturn. The council faces significant financial challenges and has strengthened its arrangements for financial management from November 2008. On the basis that arrangements are in place to manage the financial pressures we have concluded that there are no significant scrutiny risks in this area. The progress made by the council in managing the financial pressures will be reviewed by Audit Scotland as part of the annual audit process and reported in the Report to Members and the Controller of Audit. This information will be kept under review by the LAN.
15. The shared risk assessment process is designed to ensure the level of scrutiny activity is proportionate based on the assessed risks. The audit and scrutiny activities that are planned over the next three years include an integrated approach to monitoring outcome indicators; HMIE inspections of services to protect children and educational psychology services; ongoing monitoring, follow-up and support of education services and housing/homelessness; a voluntary pilot study into culture and sport services; SWIA initial scrutiny level assessment; inspection of prison based social work services and local Audit Scotland reviews of retirement/ redundancy and Commonwealth Games projects.
16. As noted in the introduction, risk assessments against the national risk priorities are not separately identified in this document:
  - protection, welfare and access to opportunities for: children, adults in need of support and protection, and older people issues are considered under the outcome assessments and education and social work services above
  - assuring public money is being used properly is reported in our corporate assessment In the Best Value follow-up report in April 2009, the Accounts Commission did not identify any significant concerns and noted that Glasgow City Council continues to make progress and is encouraged by the impact this is having on the city's people
  - the impact of the recession, as noted above, will be reviewed by Audit Scotland as part of the annual audit process and reported in the Report to Members and the Controller of Audit.

## 3. The council's context

17. Glasgow is the largest city in Scotland. The city's population has been increasing and, in comparison with other large cities in the UK, is a relatively young city with around one third of residents aged 15-34. The population is diverse and at the 2001 Census, 5.5 per cent of residents were from the black and ethnic minority communities.
18. Glasgow has been a fast-growing city in terms of both economic output and jobs since the mid-1990s and its jobs growth (24 per cent) has significantly outperformed that of Scotland as a whole (14 per cent). This has been due to the continuing expansion of the service sector, particularly in retail and tourism. However, the number of businesses per capita remains significantly lower than other large cities, mainly as a result of Glasgow's low rates of self-employment, business formation and new-company survival. The employment rate rose from 55 per cent in 1996 to 65 per cent in 2006, but it is still significantly lower than the Scottish average (76 per cent).
19. Not all of Glasgow's citizens, however, have benefited from the city's recent economic boom. While the trend is improving, 26 per cent of Glasgow's working age residents claim a worklessness or income related benefit (compared to 17 per cent across Scotland). A high proportion of the city's residents (21 per cent) have no qualifications. The city's communities experience some of the best and some of the worst health in Scotland and the UK. Major health issues include obesity and excess alcohol consumption.
20. Due to economic conditions, 2008/09 was more financially challenging, than in recent times. In overall terms, the council has managed its current and future budgets to respond to circumstances. The council has a policy of holding unallocated reserve balances at two per cent of net expenditure. As at 31 March 2009 the unallocated balance is £23 million (1.4 per cent) and the council has plans in place to restore the balance in the medium term, however these plans are subject to the risk of wider financial pressures now being faced.
21. The council has defined key objectives in the Glasgow City Council Plan 2008-2011 (February 2008):
  - improving the efficiency and effectiveness of services
  - increasing access to lifelong learning
  - making Glasgow a cleaner, safer city
  - building a prosperous city
  - improving health and wellbeing.
22. The Plan aims to ensure that the opportunities arising from the city's regeneration are used to address worklessness, unemployment and multiple deprivation in line with the council's vision of 'A prosperous city for all Glaswegians'. The council has mapped the national outcomes and single

outcome themes to its council plan key objectives. The objectives reflect the council's context and the issues it faces (outlined in section 3 of this report).

## Self-evaluation

23. The council has a good range of self evaluation processes and has established a residents' panel and biannual household survey. It has good self-awareness of performance and the issues and challenges it faces.
24. The Public Sector Improvement Framework (PSIF) has been used, by the council, at a corporate-level as part of a pilot project. The exercise involved the council's extended corporate management team and produced an improvement plan (March 2009) with quarterly progress reports. The pilot PSIF assessment project also covered four core council services and one arms length external organisation (ALEO). The council has decided to use a variety of EFQM-based approaches to self assessment.
25. Social Work Service's first self-evaluation, covering Older People's Day Service Provision, will start in January 2010 and use the SWIA guide to supported self evaluation. The second self-evaluation, covering Mental Health Commissioned Services, is scheduled to begin in July 2010. The service has already implemented internal audits of professional practice. The first four completed practice audits were submitted to SWIA as part of their re-inspection process in 2008, and were considered "high quality".
26. The Education Service carries out regular quality reviews, thematic reviews and uses quality indicators as part of its scheduled visits to schools and nurseries to monitor the performance of establishments.
27. Culture and Sport Glasgow (CSG) uses a number of self assessment approaches and is planning to implement Customer Service Excellence across the organisation.
28. The council is currently undertaking a more focused programme of reviews in response to the global financial climate and local government financial pressures. These reviews are not as broad in scope as a detailed self assessment review (eg PSIF) but will be integral to delivering more efficient, cost effective services and addressing key budget challenges.

### The number and type of planned reviews within Glasgow City Council

Service Reform	Financial Challenge	Pilot Projects
20 Reviews	22 Reviews	10 Reviews

29. The review agenda has a significant relevance to the issues and assessments contained in this AIP. For example the service reform process covers key areas such demographic changes in education; restructuring of fieldwork in social work services; service delivery and waste management in land and environmental services; and attendance management, energy management and office rationalisation at a corporate level.
  
30. We recognise the extent of self evaluation within the council and this contributed to our assessment. For example our assessment of “equality” and “arms length external organisations” drew on the council’s self assessment and performance processes. We are also able to rely on the council’s information in developing our scrutiny risk assessments in areas such as “working” and “healthy” where we expect the council to assess performance as further outcome information becomes available over time.

# 4. Delivering outcomes for communities

## Strategic priorities

31. In assessing whether Glasgow City Council has any significant scrutiny risks, we considered relevant performance measures from a number of key sources including: single outcome agreement (SOA) performance reports, statutory performance indicators (SPIs), key performance indicators and other inspection/ audit reports. The detail of our evaluation is contained in Appendix 1.
32. Of 184 key outcome indicators, the council records that it has achieved about 50 per cent. There was insufficient data to make an assessment, at the time of the annual report, for 25 per cent of indicators. The better areas of performance include the themes of “Vibrancy”, “Learning” and “Safe” and the council has also met many targets with the aim of increasing efficiency and effectiveness. In the “Healthy” theme, a significant number of indicators do not yet have sufficient data to make an assessment of performance.
33. The economic downturn has had a significant impact on “Working” with a decline in the majority of performance targets. The council issued a supplement to the Council Plan in May 2009 to demonstrate how it will rise to the challenge of the current economic downturn. It has four themes: meeting the financial challenge; mitigating the impacts on citizens; investing in staff and building workforce flexibility; and supporting Glasgow’s economy. The supplement briefly describes the challenges facing the city in a period of economic downturn and identifies actions to reduce the effect on people in Glasgow, including “a living wage for Glasgow”; Commonwealth apprenticeships and community benefit clauses in capital projects.

### **Healthy (improving health and wellbeing)**

34. The council annual performance report records a mixed picture of performance. Some areas of poorer/ uncertain performance include drug misuse, teenage pregnancy levels and progress on minimising delayed discharges from hospital. More data is required to establish the direction of travel in childhood obesity, activity levels, smoking rates and for individual city areas and this uncertainty represents a scrutiny risk. The council and its partners have a good appreciation of performance and the issues and are responding to recommendations made by Glasgow’s Health Commission. Audit Scotland will continue, through the annual audit process, to monitor key performance indicators.

### **Working (building a prosperous city)**

35. Glasgow has developed a significant number of indicators appropriate to a city. The council’s own assessment in the SOA performance report is fair with limited key data on some activity levels. This results in a degree of uncertainty and scrutiny risk. The data that is available suggests some

evidence of improvement in a few areas and a decline in the majority. The downturn in the economy is probably a significant factor. Audit Scotland will continue to monitor performance.

### **Vibrancy (making Glasgow a cleaner, safer city)**

36. The number and variety of indicators in this area, leads to a complex and mixed assessment. Just over half of the indicators are being achieved therefore no significant scrutiny risks have been identified. Most of the communities in Glasgow host a wide range of voluntary organisations and community groups.

### **Learning (increasing access to lifelong learning)**

37. The council records good progress across a range of indicators including attainment and attendance and the household survey reports high satisfaction levels with schools and libraries. The council has a continuing and significant challenge in raising attainment and narrowing the gap between the highest and lowest-attaining learners. Performance in SQA examinations is variable, with some low attainment in some schools, although there are indications of upwards trends for some measures. However there remains a scrutiny risk relating to longer term improvement. HMIE will request a progress report from the council in October 2010.

### **Safe (making Glasgow a cleaner, safer city)**

38. An overall assessment is not made in the SOA performance report representing an area of uncertainty in the risk assessment. Just over half of the identified indicators are “green” however crime indicators can include increased reporting / detection rates and the clarity of performance outcomes is perhaps less in this area than others. The council’s partnership working with Strathclyde Police is crucial to achievement of its outcome targets. Her Majesty’s Inspectorate of Constabulary Scotland and Audit Scotland are to complete joint BV audits of all Police Authorities. The Strathclyde Police BV audit is scheduled for 2010/11.
39. The LAN group noted that Culture and Sport Glasgow works effectively with partners to provide opportunities for young people to reduce nuisance and antisocial behaviour.

### **Efficiency and effectiveness (of services)**

40. Generally the council is performing well against specific targets in its Council Plan, with good awareness of the issues and an extensive improvement agenda. This is also reflected in our corporate risk assessment. As a result there are no significant scrutiny risks identified.

### **Responding to economic downturn**

41. The Council Plan supplement indicates good awareness of the issues and demonstrates initiative in developing responses to the economic downturn. This may represent a leading response in comparison to other councils. The council intends to report on its performances in June 2010, so further review of performance against these objectives will be required, therefore there is a degree of uncertainty and associated scrutiny risk. The actions taken by the council will be reviewed by Audit

Scotland as part of the annual audit process and reported in the Report to Members and the Controller of Audit.

## Services

### Corporate services and ALEOs

42. There is a range of identified scrutiny risks within council services and the detail of our evaluation is contained in Appendix 1. Some services such as Financial Services, Chief Executive's and the governance of Arms Length External Organisations are considered to have no significant scrutiny risks. In recent years the council has established a number of arms length external organisations to deliver council services. In accordance with Audit Scotland's Code of Audit Practice, we consider how the council monitors the governance arrangements in delivery partner organisations. To ensure appropriate scrutiny of these bodies the council has established an external governance scrutiny committee, which is considered to be an example of good practice. The committee's scrutiny activity includes financial management, contractual performance/ compliance, partnership working, performance targets contained within the single outcome agreement and compliance with equalities obligations.

### Education

43. Overall the Education Service is improving. The proportion of children achieving national expectations of attainment in reading, writing and mathematics has increased. A greater proportion of children are attaining these levels earlier than expected. By the end of S4, young people's attainment has improved at Scottish Credit and Qualification Framework levels 3 and 5. By the end of S6, young people's attainment at Higher and Advanced Higher levels has improved. However at other levels young people's attainment has declined. Inspection evidence from schools and nurseries indicates overall improvement in the quality of education, but this is patchy. A few schools are not signed off following follow-through visits, which indicates that they are not always improving as expected. Our overall assessment reflects that there are areas of uncertainty, which lead to some scrutiny risks.
44. Leadership structures are relatively new and are continuing to evolve well. In the last two years, Glasgow's response to Curriculum for Excellence has improved.
45. Following Ministerial request, HMIE will carry out the joint inspection of services to protect children and young people. HMIE will inspect Community Learning and Development concurrently with any non-denominational secondary school inspection as part of the normal cycle of establishment inspection. HMIE will also be involved in scrutiny activity as a result of Ministerial requests, other statutory obligations and as a result of their statutory role in school consultations. The District Inspector (DI) or member of the DI team will continue to support and challenge Education Services regularly and as appropriate. The DI will also continue to monitor the positive and sustained destinations for young people. HMIE have offered to provide additional support, to work in partnership with the council, subject to resource availability.

## **Social work**

46. There are no major concerns about the overall performance of the city's social work services. However, there are unexplained variations between the performances of the five Community Health and Care Partnerships (CHCPs) that are responsible for delivering many of these services. A joint partnership board had been established to improve the performance arrangements. It is too soon to determine whether this has been effective. The percentage of upheld complaints made to the Care Commission about regulated services is higher than the average for other local authorities. This provides an overall view that residual risks remain to be addressed by scrutiny bodies.
47. A good example of effective operational working is where Education Services, Social Work Services and NHS Greater Glasgow and Clyde work in partnership to target intervention for very young children and their families. This includes expanding 0-3 years childcare provision and the development of family learning centres (providing support and advice on a range of issues including employment, counselling, drug awareness and group based support) to enhance parents' ability to provide a positive start in life for their children.
48. SWIA will complete an initial scrutiny level assessment (ISLA) to assess the required amount of external scrutiny of social work services. This is a new risk based approach to the scrutiny of these services. This is a desk-top, risk assessment exercise supplemented by reading a sample of case files. This assessment considers risk, need for improvement, current and planned self-evaluation activity. Following consultations with the Scottish Prison Service and Scottish Government, SWIA will undertake a national assessment of prison based social work services. This will impact on all local authorities that currently provide prison based social work services.
49. As part of pre-existing regulatory requirements the Care Commission will carry out annual inspections of both fostering and adoption services in 2010/11.
50. Following the housing stock transfer in 2003, the council's residual housing responsibilities are for housing strategy and homelessness provision. The council's strategy for meeting its homelessness responsibilities is fairly well-developed, but its performance in service delivery requires improvement. This contributes to our assessment that scrutiny risks remain in this area. The Scottish Housing Regulator intends to assess the council's progress towards meeting the 2012 homelessness target.

## **Development and regeneration/ land and environmental services**

51. Some services are subject to less frequent scrutiny through audit and inspections; are in the process of significant change; or are significantly affected by the financial downturn and we consider there to be a degree of uncertainty over their performance too. This includes Development and Regeneration Services and Land and Environmental Services. In these services Audit Scotland will continue to monitor the council's service review and reform processes and service performance to address this scrutiny risk. The outcome will be reported in the annual Report to Members and the Controller of Audit.

## 5. Corporate assessment

52. In determining the corporate assessment for Glasgow City Council, we considered the corporate performance and arrangements in place. The detail of our evaluation is contained in Appendix 2.
53. The council has vision and leadership to address the significant challenges that Glasgow faces and no significant scrutiny risks have been identified. The administration is prepared to take difficult decisions and is supported by a strong corporate management team. The council is aware of its operating environment and responds appropriately to challenges, often in a proactive and innovative way. Examples include child protection, schools pre-12 strategy, commonwealth games, responding to the economic downturn, improvements in financial management, creation of arms length external organisations, service reform, promoting diversity and office rationalisation. There is a clear and consistent commitment to priority programmes.
54. The council has a core leadership role in its relationship with further and higher education; the third sector and with police, fire and transport authorities in the West of Scotland. The council demonstrates good partnership arrangements and a commitment to partnership working. This includes developing an area-wide Single Outcome Agreement, a Health Commission and recent advances in developing policies for a grants integration project for the third sector. Education services work in partnership with colleges across Glasgow to enhance vocational education for young people in secondary schools. Education services also work very well with universities to support students in initial teacher education. Universities regard the work of the officer responsible as an example of best practice. The extent of arrangements in place means that there are no significant scrutiny risks.
55. There are extensive and well-defined scrutiny structures, with open reporting and debate, within the council. These are subject to periodic review to identify areas for improvement. The business bureau, which considers proposals relating to decision-making processes and council structures, has streamlined the decision making process. The council has been seeking to develop and improve CHCP governance arrangements. This is not yet fully resolved and the development has been beset by relationship issues with the health service, despite attempts to resolve these issues through a shadow board. One of the key issues surrounds the further delegation of budgets relating to commissioning. This is an area where we consider it is appropriate that the council is cautious, until existing issues of financial control and consistency of performance and provision are addressed. The current position, at June 2010, is that the Council had agreed an incremental approach to the further devolution of services and resources by April 2011 but the Health Board considered that this will not deliver viable and effective CHCPs. The council has asked Sir John Arbuthnott, as a third party representative, to provide guidance and assistance in determining the way forward for CHCPs and to invite the Health Board to agree to this proposal. In the meantime we understand that services to users will continue as before. The residual scrutiny risks are covered by scrutiny activities described

within our activity in social work services and we will continue to monitor the progress of the council's proposal.

56. There are also good corporate structures for assessing and reporting performance with balanced, though lengthy, public reporting. The council has reviewed the consistency and links between the council plan/ SOA and service plans ("Golden Thread" exercise). The council demonstrated a multi-agency approach to the initial development of the SOA, with theme champions drawn from across Glasgow partners. This approach continues with the reporting of performance to committee, which has included presentations from representatives of health and police organisations. This commitment to seeking partnership solutions is also represented through Glasgow's health commission, which was created to draw together thinking from stakeholders in sustainable health improvement and make recommendations to partners. The eight councils from the Clyde Valley Community Planning Partnership (CVCPP) (including Glasgow) commissioned Sir John Arbuthnott to undertake an independent strategic review of joint working and shared services and the council is reviewing the results of the report. There are no significant scrutiny risks.
  
57. The council faces significant financial challenges and has strengthened its arrangements for financial management from November 2008. The council has a major role in responding to financial challenges within ALEOs and other key West of Scotland public sector authorities including Strathclyde Police, Fire and Rescue Services and Passenger Transport Authority. The council proactively manages its forecasting and budget process. The economic downturn has had a significant impact on the council, particularly on income and capital receipts and the council has used a significant element of its capital reserve in 2008/09. For the current round (2010/2011) of budget planning, the council has introduced a base budget review framework. This framework seeks to examine all council expenditure to ensure competitiveness by identifying and redirecting resource investment into priority service areas. In relation to assuring public money is being used properly the Best Value follow-up report in April 2009 noted that Glasgow City Council continues to make progress and that the Accounts Commission was encouraged by the impact this is having on the city's people. On the basis that the council is managing the financial pressures it faces, we have concluded that there are no significant scrutiny risks. However, the nature of this area means that Audit Scotland will continue to monitor progress as part of our annual audit.
  
58. The council is developing a strategic approach to workforce planning. The council launched its People Strategy in May 2008 with the aim of ensuring that staff have the skills, knowledge and confidence to perform well in their job. The associated action plan is around 50 per cent complete. The council has conducted two staff surveys, revealing staff morale as an issue. Sickness absence levels are significant in some departments, but the council has taken actions to address this. The extent of change across the council is significant and this is reflected in staff views where 60 per cent feel that there is too much "change for change's sake" and only 16 per cent agree that change is well managed. The council has a significant redundancy / retirement policy for staff over 50, as part of its efficiency / service reform agenda. The impact of this on services is not yet known and although the risks are appreciated by the council, there remains a scrutiny risk due to uncertainty over the

achievement and impact of this reform. Audit Scotland will review the processes and arrangements relating to this policy and its impact.

59. Due to the economic downturn the council has experienced difficulty in realising capital receipts from the sale of assets, but it has innovative plans to manage surplus assets. The council has been reprovisioning schools and has made significant changes in the estate, although some issues remain. Office rationalisation plans are also significant.
60. The responsibility for delivering the majority of the Commonwealth Games sport venues lies with Glasgow City Council and the council has been improving and developing its capital governance arrangements. The reputational risk and extent of capital investment required presents an ongoing scrutiny risk. Audit Scotland will continue to report annually on the progress of major projects related to the 2014 Games.
61. Sustainability targets and measures are clearly stated in the Council Plan. The council achieved their target to reduce energy usage in 2009. Although the council has experienced difficulty in achieving landfill diversion there are plans to introduce innovative technology. There are no significant residual scrutiny risks.
62. Equality targets and measures are clearly stated in the Council Plan. An Integrated Equality Scheme 2008 to 2011 has been published and strong arrangements were reported within the best value report. Glasgow schools are recognised by the Scottish Government as being at the forefront of developing good practice. An equality networks forum has been established to strengthen the influence of external equalities groups and although attendance can fluctuate, the associated website remains a useful networking resource. There are no scrutiny risks.

# 6. Conclusion

## Summary of planned scrutiny activity

63. The appendices to this plan show a summary of the evidence we considered and the overall risk assessments made by the LAN on the outcome, service and corporate risk assessments. They show the scrutiny response for each area. The shared risk assessment process is designed to ensure the level of scrutiny activity is proportionate based on the assessed risks. These results are then reflected in the AIP at Appendix 3 which sets out the basis of our scrutiny risk assessment and the planned scrutiny activity for Glasgow City Council for the period from April 2010 to March 2013.

## Baseline scrutiny activity

64. The focus of the AIP is strategic scrutiny activity which is focused at corporate or whole service level, but there will also be baseline scrutiny at unit level ongoing throughout the period of the AIP. This will include, for example, school, pre-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. In addition, other work may be undertaken as a result of a specific ministerial request. Audit Scotland's annual audit includes work in accordance with Audit Scotland's Code of Audit Practice. In summary, auditors' objectives are to provide an opinion on the financial statements and report on the financial position and arrangements for corporate governance, fraud, conduct, Best Value and use of resources.

## Ongoing monitoring

65. We recognise that risk levels will change as significant events occur and as councils take action to address identified risks. Scrutiny bodies, through LAN contacts, will maintain awareness of activity. As new information comes to light the LAN lead, in consultation with other LAN members will update the AIP as appropriate.
66. The council is expected to initiate contact with the LAN lead where significant events occur that are likely to influence scrutiny activity. Council's are encouraged to maintain contact with LAN leads to discuss any concerns arising from the AIP or joint scrutiny activity.

## Next steps

67. The AIP is a public document and councils are expected to consider the AIP at an appropriate committee. Our intention is to publish the national scrutiny schedule and the AIPs for all 32 councils on the Accounts Commission web page.

## Appendix 1 - Outcome and services risk assessment

		<b>Assessment key:</b> <b>Red: significant concerns and risks</b> <b>Amber: areas of uncertainty</b> <b>Green: no significant scrutiny risks</b> <b>Gold: exceptional performance</b>	
Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>KO5) Healthy (Improving health and wellbeing)</b></p> <p>NO5 "Our children have the best start in life and are ready to succeed"            NO6 "We live longer, healthier lives."</p>	<p><b>Area of uncertainty</b></p>	<p><b>Generally, there are areas where sufficient evidence of improvement does not exist.</b></p> <ul style="list-style-type: none"> <li>Mixed progress in direction of travel in SOA annual performance report indicators (44) 26% Green, 26% Amber, 26% Red, 22% N/A. Red indicators refer to drugs, teenage pregnancy, overnight respite care and delayed discharge. Low baseline starting point.</li> <li>The council created a Health Commission to identify key areas of action in relation to Glasgow's health. The key aim of the commission is to draw together thinking on sustainable health improvement in Glasgow and make recommendations to partners.</li> <li>Glasgow has improved number of dental registrations in young children and in October 2009 the council agreed a Healthy Weight Action Plan.</li> <li>More data is required to support the direction of travel in key indicators of childhood obesity, activity levels, smoking rates and the extent of improvement for city areas.</li> <li>Joint inspection of services to protect children (March 2009) reported that arrangements to assess risk to vulnerable unborn babies lacked rigour.</li> </ul>	<p><b>HMIE – Joint inspection of services to protect children and young people - Year 1.</b></p> <p><b>Audit Scotland - annual audit process will monitor key service developments and further evidence of performance.</b></p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>(KO4) Working (Building a prosperous city)</b></p> <p>NO1 "We live in a Scotland that is the most attractive place for doing business in Europe" NO2 "We realize our full economic potential with more and better employment opportunities for our people"</p>	<p><b>Area of uncertainty</b></p>	<p><b>Glasgow has developed a significant number of indicators appropriate to a city. Key data on activity levels is not available and the data that is available suggests only limited evidence of improvement in a few areas and a decline in the majority. The downturn in the economy probably is a significant factor. The council's own assessment in the SOA performance report is fair.</b></p> <ul style="list-style-type: none"> <li>• Mixed progress re direction of travel in SOA annual performance report indicators (23). 34% Green, 9% Amber, 16% Red, 41% N/A. Red indicators refer to ranking as business and international conference rating, private sector capital investment, land development and benefit claimants. Low baseline starting point.</li> <li>• Education Services and their partners offer a sophisticated range of pre-vocational options for young people in school and school leavers. This is being further enhanced by a major programme of Modern Apprenticeships to maximise the benefits of the Commonwealth games.</li> <li>• Living wage improvements would appear to be evident, but increased employment opportunities and reduced reliance on benefits have not been achieved. This needs to be set against the difficult economic environment that developed in 2008.</li> <li>• Community learning and development partners make a range of provisions to support young people and adults into volunteering, training and employment.</li> </ul>	<p><b>Audit Scotland - annual audit process will monitor key service developments and further evidence of performance.</b></p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>(KO3) Vibrancy (Making Glasgow a cleaner, safer city)</b></p> <p>NO10 “We live in well-designed, sustainable places where we are able to access the amenities and services we need” NO11 “We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others” NO12 “We value and enjoy our built and natural environment and protect it and enhance it for future generations” NO13 “We take pride in a strong, fair and inclusive national identity” NO14 “We reduce the local and global environmental impact of our consumption and production” NO15 “Our public services are high quality, continually improving, efficient and responsive to local people’s needs”</p>	<p><b>No significant scrutiny risks</b></p>	<p>The number and variety of indicators in this area, leads to a very mixed assessment. Good performance can be credited in NO10 and NO12; with less certainty in outcomes NO13, NO14, and NO15. In N011 public perceptions have got slightly worse, although just over half of the indicators are being achieved therefore no significant scrutiny risks have been identified.</p> <ul style="list-style-type: none"> <li>• Mixed progress re direction of travel in SOA annual performance report (59). 51% Green, 10% Amber, 14% Red, 25% N/A. Red indicators refer to ratings of neighbourhood and involvement in community and private sector house provision.</li> <li>• Most of the communities in Glasgow are active and vibrant and host a wide range of voluntary organisations and community groups. Culture and Sport Glasgow (CSG), the Community Planning Partnership, the Community Health and Care Partnerships, the Glasgow Housing Association and local housing associations all play active roles alongside the voluntary sector to support community development.</li> <li>• Youth Services, part of CSG, works effectively with schools and other partners to provide volunteering opportunities and accredited awards for young people, many of whom are least likely to succeed at school.</li> </ul>	<p>No specific scrutiny activity.</p> <p>Outcome indicators will be kept under review by SRA local area network as part of ongoing scrutiny work.</p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>(KO2) Learning (Increasing access to lifelong learning)</b></p> <p>NO7 “We have tackled the significant inequalities in Scottish Society” NO3 “We are better educated, more skilled and more successful, renowned for our research and innovation” NO4 “ Our young people are successful learners, confident individuals, effective contributors and responsible citizens” NO8 “We have improved the life chances for children, young people and families at risk”</p>	<p><b>Area of uncertainty</b></p>	<p><b>In absolute terms attainment and attendance remain below national levels, however there are promising signs that the council has made progress. Whilst there are issues about service performance compared to the national picture, there are no significant scrutiny risks in this area. However, continued improvement is uncertain and there is a risk that the service will not continue to improve. Significant narrowing of the gap with national attainment levels will only be achieved over a long time period. .</b></p> <ul style="list-style-type: none"> <li>• Positive direction of travel in SOA performance report indicators (44). 83% Green, 3% Amber, 7% Red, 7% N/A. Improvements covering a range of attainment indicators, attendance &amp; exclusion. Glasgow is still some way behind achievement levels for Scotland.’</li> <li>• Household survey reports high satisfaction levels- Primary Schools (96%), Secondary Schools (95%), and Libraries (95%).</li> <li>• Children and young people’s literacy and numeracy have improved in 2009, however there continue to be inconsistencies across city schools.</li> <li>• Attendance has continued to increase and exclusions have reduced.</li> <li>• By the end of S4, performance at level 3 and level 5 has increased. Performance at level 4 has declined. Girls perform better than boys.</li> <li>• By the end of S5, the proportion of young people attaining 1 or more awards at Higher has increased to 29%. The proportion attaining 3 or more Highers has decreased.</li> <li>• The five area Education Managers are members of the five Area Coordination Groups, linked to the city wide Community Planning Partnerships. Culture and Sport Glasgow (CSG) has responsibility for community learning and development and employs five Area Managers on the same boundaries. This should allow a greater local response to issues and priorities for change and improvement.</li> <li>• The proportion of school leavers going into higher and further education has increased in the last three years. The proportion of unemployed seeking employment/training has increased.</li> </ul>	<p><b>HMIE – A progress report will be requested (October 2010) from the Education Service on the extent of improvement. - Year 1.</b></p> <p><b>HMIE – Educational Psychology Service inspection – Year 1.</b></p> <p><b>Audit Scotland - annual audit process will monitor key service developments and further evidence of performance.</b></p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>KO3) Safe (Making Glasgow a cleaner safer city)</b></p> <p>NO9 "We live our lives safe from crime, disorder and danger"</p>	<p><b>Area of uncertainty</b></p>	<p><b>An overall assessment is not made in the Glasgow community planning partners SOA performance report representing an area of uncertainty in the risk assessment. Mixed progress is reported. Some crime indicators relate to increase reporting / detection rates and therefore the targets identified are for overall increases.</b></p> <ul style="list-style-type: none"> <li>• Mixed progress in direction of travel in indicators (29). 52% Green, 17% Amber, 10% Red, 21% N/A.</li> <li>• The data shows decreases in the reports of anti-social behaviour/ disorder and violent crime rates.</li> <li>• Some performance targets are for increases in areas like the number of offences for drinking in public and the number of drug supply offences. These relate to improvements in detection/ reporting not increases in the underlying rates and this can lead to a confusing message.</li> <li>• Youth Services, part of CSG, works well with partners to deliver diversionary activities for young people to reduce nuisance and anti-social behaviour.</li> <li>• There has been a reduction in the 'Percentage of adults who rate their neighbourhood as a good place to live'. However, this reduction may not be as a result of safety issues, and could be a reflection of other aspects of their neighbourhood.</li> </ul>	<p><b>Audit Scotland/ HMICS - Joint best value report on Scottish Police Forces - Year 1.</b></p>

Strategic priorities	Initial risk assessment	Evidence/rationale	What we plan to do
<p><b>(KO1) Efficiency and effectiveness (Improving the efficiency and effectiveness of our services)</b></p>	<p><b>No significant scrutiny risks</b></p>	<p><b>Generally performing well against specific targets identified in Council Plan, with good awareness of issues and improvement agenda.</b></p> <ul style="list-style-type: none"> <li>• The council has maintained zero council tax increases and introduced specific actions to control expenditure and strengthen financial management.</li> <li>• A best value review of trading operations was completed by March 2009 in Land and Environment Services and an office accommodation improvement plan has been development.</li> <li>• Projected savings slightly less than planned (£31 million).</li> <li>• Reducing energy usage.</li> <li>• Significant commitment to redundancy/ retirement for staff over 50 years of age. With potential cost of £60 million and savings of around £20 million each year.</li> <li>• Rollout of personal development plans not fully complete in services.</li> <li>• Capital receipts are not being realised in the current economic climate.</li> </ul>	<p><b>No specific scrutiny activity.</b></p> <p><b>Audit Scotland - annual audit process will monitor key service developments and performance.</b></p>
<p><b>Responding to economic downturn (Council Plan Supplement)</b></p> <p>Meeting the financial challenge. Mitigating the impacts on citizens. Investing in staff and building workforce flexibility, Supporting Glasgow's economy</p>	<p><b>Area of uncertainty</b></p>	<p><b>2009/11 Council Plan supplement indicates good awareness of issues and initiative in developing responses to economic downturn. Council should be credited with vision which led to this plan, which may be leading response in comparison to other councils. This includes measures appropriate to Glasgow and includes “a living wage for Glasgow”; modern apprenticeships and community benefit clauses in capital contracts. There doesn't appear to be an assessment of performance against this plan supplement, which dates from May 2009. Further review of performance against these objectives will be required.</b></p> <p><b>This supplement is considered to be an example of good practice.</b></p>	<p><b>Audit Scotland - annual audit process will monitor key service developments and performance.</b></p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
(1) Education	<b>Area of uncertainty</b>	<p>Overall the Education Service is improving. The management structure and management team are relatively new. Generally good early years inspection reports. Integration with council's national/ local outcomes could be clearer. Whilst there are issues about service performance compared to the national picture there are no significant scrutiny risks in this area. Areas of uncertainty exist due to the present lack of evidence of sustained and continuous improvement.</p> <ul style="list-style-type: none"> <li>• Overall improving levels of educational attainment, but from low baseline.</li> <li>• Household survey reports high satisfaction levels- Primary Schools (96%), Secondary Schools (95%), and Libraries (95%).</li> <li>• Development of the Children's Charter for Young People in Glasgow consulted widely in line with the council's philosophy of engaging with Glasgow's children and young people about matters which affect them.</li> <li>• The Education Service carries out regular quality reviews, thematic reviews and uses quality indicators as part of its scheduled visits to schools and nurseries to monitor the performance of establishments. These are leading to improvements.</li> <li>• Council's review of service plans indicated that Education only partly reflected national and local context and lacked a rounded mix of indicators of performance.</li> <li>• The service is led by a relatively new leadership/management team. There are early indications that the team is leading improvements well.</li> <li>• Overall outcomes of inspections in schools and nurseries have been mixed. Not all schools and nurseries are signed off following a follow-through visit.</li> </ul>	<p>HMIE – A progress report will be requested (October 2010) from the Education Service on the extent of improvement. - Year 1.</p> <p>HMIE – Educational Psychology Service inspection – Year 1.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
(2) Social work	Area of uncertainty	<p>Overall performance gives rise to no major cause for concern. User satisfaction is high and there are some aspects of service that are better than many other local authorities, for example more older people are supported to remain living in their own homes when they become frail. There are unexplained variations in the performance of CHCPs and it is too soon to determine the impact of the steps taken to address this. The service has put in place other measures to modernise and to improve performance but these have not yet begun to lead to measurable differences.</p> <ul style="list-style-type: none"> <li>• Household survey indicates high level of satisfaction with home help service (86%) &amp; Social Work Services (81%).</li> <li>• Education Services, Social Work Services, NHS Greater Glasgow and Clyde and other providers work together to target intervention for very young children and their families. This includes expanding 0-3 years childcare provision and the development of family learning centres (providing support and advice on a range of issues including employment, counselling and group based support) to enhance parents' ability to provide a positive start in life for their children.</li> <li>• A partnership board has been created to oversee decisions on resources, service development and performance of the 5 CHCPs.</li> <li>• A data quality governance board has been established to improve the reliability of performance information. This is beginning to systematically identify shortfalls and inconsistencies in data.</li> <li>• Measures to modernise learning disability services are underway. These will be long term processes.</li> <li>• Plans exist to shift the balance of care for looked after children.</li> <li>• The move away from a practice team model is recent and the impact remains to be seen.</li> <li>• A dedicated sickness absence team has recently been appointed to address the continuing absence issues.</li> <li>• It is unclear how the council will address the poor condition and fabric of many of its social work premises.</li> <li>• 3.8% of complaints upheld by Care Commission which is higher than average for other local authorities.</li> </ul>	<p>SWIA - Initial Scrutiny Level Assessment (ISLA) inspection - Year 1, 2, 3.</p> <p>SWIA – Inspection of prison-based social work services</p> <p>SHR – assessment of progress in meeting inspection recommendations, and towards meeting 2012 homelessness targets – Year 2.</p>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
		<ul style="list-style-type: none"> <li>• There are concerns about the physical state of many care homes for older people and about the impact of potential delays in the city's reprovisioning programme.</li> <li>• The SHR inspection report in July 2009 was relatively positive about the council's strategic approach to alleviating homelessness, but highlighted concerns with the council's service delivery. The council does not have a clear action plan to ensure that it will meet the target for the abolition of priority need in 2012.</li> <li>• <b>Update:</b> The council identifies that it has developed a detailed implementation plan to meet the target for the abolition of priority need for housing and proposes a revision to help achieve accelerated movement towards the 2012 target, which is currently subject to political consideration.</li> <li>• Scottish Ministers set a target to reduce the percentage of applicants who are assessed as non-priority by 50% by 31 March 2009, and to abolish priority need by 2012. For 2009, the council had to reduce the percentage assessed as non-priority to 7.5%. The percentage of homeless or threatened with homelessness applicants assessed by the council as non-priority fell from 12% during 2003/04 to 10% during 2007/08, but increased to 12% at the end of September 2008. The council does not have a clear action plan to ensure that it will meet the target for the abolition of priority need in 2012, and this is a significant weakness.</li> <li>• The SHR inspection also found the council was not meeting its statutory duties to provide emergency or temporary accommodation when homeless people need it; and it had weaknesses in the way it manages and lets temporary accommodation.</li> <li>• The CHCP's experienced an overspend of £5m in 2008/09.</li> <li>• 62.2% of social work expenditure is on purchased services from a range of approved voluntary organisations and independent providers. A contract management framework has been introduced, but not yet been reviewed.</li> <li>• The losses of sensitive personal data are subject to investigation by the information commissioner.</li> </ul>	

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
(3) Development and regeneration (DRS)	<b>Area of uncertainty</b>	<p>The economic down turn has had a significant effect on DRS performance outputs. In particular the decline in land and property acquisitions, falling land values, large scale reduction in development activity and significant reductions in capital receipts. The extent to which these issues can be managed is uncertain, although the council is planning to transfer rented and surplus properties to City Property (Glasgow).</p> <ul style="list-style-type: none"> <li>• <b>Update.</b> The council reports, at May 2010, that the transfer of properties to City property has been completed.</li> </ul>	Audit Scotland - annual audit process will monitor key service developments and further evidence of performance
(4) Land and environmental services	<b>Area of uncertainty</b>	<p><b>Significant service reform and best value reviews are in progress resulting in a degree of uncertainty. Some industrial action taken by staff as a result. High sickness absence rates amongst staff. Number of service priority targets not met. Difficulties achieving significant increases in landfill diversion/ recycling.</b></p> <ul style="list-style-type: none"> <li>• A best value review of trading operations was completed by March 2009 and identified four services to be considered for alternative service delivery options. Waste Disposal Drivers, the Sign Shop, Bereavement Services and ASL transport.</li> <li>• Realignment of roles and working patterns is underway in LES. A recent service integration scheme has been put in place across the 5 strategic planning areas to provide a more integrated service. There has been industrial action arising from this service reform.</li> <li>• Sickness absence remains an issue (7.6% in 2008/09) Or 16.6 days per employee per year. This is above the target of 3.94%.</li> <li>• In 2008/09 12 priority targets were not met. The main service concerns for 2009/10 are pothole repairs, street cleanliness and recycling.</li> <li>• <b>Update.</b> The council reports, at May 2010, that area integration has been implemented, savings delivered, industrial action averted and sickness absence levels are reducing.</li> </ul>	Audit Scotland - annual audit process will monitor key service developments and further evidence of performance

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
(5) Financial services	<b>No significant scrutiny risks</b>	<p><b>Strong financial leadership and scrutiny.</b></p> <ul style="list-style-type: none"> <li>• Delivered 0% council tax increase and achieved 90% collection target, which is below other council's but demonstrates continued improvement.</li> <li>• Contribution to reserves in accordance with policy.</li> <li>• Champions customer care strategies across the council.</li> <li>• During the year, the council took action to control service expenditure including changes to the line management of financial personnel and establishing a "financial challenges group" of senior officers.</li> <li>• A number of national awards including Finance Director of the Year 2008, UK Pension Scheme of the Year Awards 2008.</li> </ul>	<b>Audit Scotland - annual audit process will continue to monitor financial performance and management.</b>
(6) Chief executives	<b>No significant scrutiny risks</b>	<p><b>Commitment to developing centralised and shared support services. Strong self evaluation and performance structures.</b></p> <ul style="list-style-type: none"> <li>• In May 2009 a supplement to the council plan was prepared 'Rising to the Challenge 2009-11'. This specifically outlines how the council plans to address the challenges presented by the current economic downturn Measures include: introduction of a Living Wage, the Common Apprenticeship Initiative and a fuel poverty strategy.</li> <li>• In March 2009 a new HR management delivery model was introduced with the Shared Service Centre providing services to all service departments and ALEOs. Impact on services yet to be assessed.</li> <li>• Recently introduced council-wide grants integration project. Impact on third sector yet to be assessed.</li> </ul>	<b>No specific scrutiny activity.</b>

Council services	Initial risk assessment	Evidence/rationale	What we plan to do
<p>(7) Arm's length external organisations - includes city building, culture and sport Glasgow, Cordia etc</p>	<p><b>No significant scrutiny risks</b></p>	<p><b>Significant number of arms length external organisations delivering wide range of services. Generally good and focused performance. The council has strengthened scrutiny governance structures and reporting.</b></p> <ul style="list-style-type: none"> <li>• External governance scrutiny committee responsible for scrutinising the performance of the ALEOs established by the council. The committees scrutiny activity includes financial management, contractual performance/ compliance, partnership working, performance targets contained within the single outcome agreement and compliance with equalities obligations. <b>This committee is considered to be an example of good practice.</b></li> <li>• Work is to be completed on reviewing ALEOs achievement of the original business case objectives. Assurances have been obtained that they are meeting financial targets.</li> <li>• Household survey identifies high satisfaction with Museums and Galleries (98%).</li> <li>• Community learning and development is managed within a trust, Culture and Sport Glasgow (CSG) and involves a wide range of partners in colleges, the voluntary sector and other council services. Recent inspections indicate that the impacts of CLD in the areas inspected are good.</li> <li>• Good feedback on satisfaction with Cordia services. Low level of upheld complaints. Good self evaluation.</li> </ul>	<p>HMIE – “How good is our culture and sport” pilot – Year 1.</p>

## Appendix 2 – Corporate risk assessment

		<b>Assessment key:</b> <b>Red: significant concerns and risks</b> <b>Amber: areas of uncertainty</b> <b>Green: no significant scrutiny risks</b> <b>Gold: exceptional performance</b>	
Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Vision and Strategic Direction	No significant scrutiny risks	<p>The council has vision and leadership, to address the significant challenges that Glasgow faces. The administration is prepared to take difficult decisions and is supported by a strong corporate management team. The council is aware of its operating environment and responds appropriately to challenges, often in a proactive and innovative way. There is a clear and consistent commitment to priority programmes.</p> <ul style="list-style-type: none"> <li>• Council Plan 2008-11 clearly sets out priorities matching context of city. Supplement identifies responses to economic downturn.</li> <li>• The council demonstrates both maturity and openness with a shared focus for making things better for Glasgow people. Political differences do not appear to hinder progress.</li> <li>• The joint inspection of services to protect children reported that the vision of elected members and chief officers was very good.</li> <li>• The BV1 report flagged strong leadership.</li> <li>• Part of the council's vision is to establish a change programme 'Tomorrow's Council' to change and shape the way the council operates to ensure it is better placed to meet the challenges ahead.</li> <li>• The joint inspection of services for children of asylum seekers in June 2007 reported that leaders of services had a strong commitment to promoting diversity and meeting the needs of asylum seekers.</li> <li>• Current budget priorities are recognised as early years and education; skills in the economy and protecting the most vulnerable.</li> </ul>	No specific scrutiny activity.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Partnership working and community leadership	No significant scrutiny risks	<p>The council demonstrates good partnership arrangements with the partners. This includes developing an area-wide Single Outcome Agreement, a Health Commission and recent advances in developing policies for a grants integration project. There is also a willingness to develop shared service arrangements with the Clyde valley partnership.</p> <ul style="list-style-type: none"> <li>• The council has a core leadership role in its relationship with further and higher education; the third sector and with police, fire and transport authorities in the West of Scotland.</li> <li>• The original SOA was developed to reflect cross partner priorities and the report on SOA 2008-11 performance report included presentations from across the planning partners.</li> <li>• A joint partnership board is to be established to oversee resource decision-making and service development within the five CHCPs. The shadow Joint Partnership Board had made progress on approving a governance structure and a system for devolving budgets. (see the commentary and update within the governance and accountability section)</li> <li>• A working group, led by the Head of the Community Planning Division, has been established which will develop a process for renewing the Community Plan.</li> <li>• The joint inspection of services to protect children published in March 2009 reported that partnership working to protect vulnerable children between the council and its key partners in health, police, SCRA and the voluntary sector were effective.</li> <li>• SWIA's 2007 inspection highlighted the authority's long history of partnership working.</li> <li>• In Education, partnership working in Glasgow has improved significantly over recent years. The creation of area manager posts across a range of services within five areas has significant potential to improve this further.</li> <li>• BV Follow up report noted improvements.</li> </ul>	No specific scrutiny activity.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Community engagement	No significant scrutiny risks	<p>Clearly focused coterminous local planning areas across services. Evidence that community engagement has had an impact on council decision making within local communities. Residents' panel and biannual household survey. Remaining concerns from residents that they don't have influence over council decisions.</p> <ul style="list-style-type: none"> <li>• Community engagement is a major priority for staff based in the five areas and servicing the ten local community plan areas.</li> <li>• Community Reference Groups (CRGs) are now fully functional in each of the ten local community planning partnership areas. The CRGs provide an initial point of contact for public sector engagement. Local surveys were presented to the CRGs to enable them to set local priorities for expenditure, this resulted in increases in community police officers and investment in play areas.</li> <li>• A residents' panel of 2,000 Glaswegians with anticipated membership of up to 200 people in each of Glasgow's ten LCPP Board areas.</li> <li>• The 2007 SWIA inspection identified as a good practice example the retention of a community work service to facilitate community capacity and stakeholder involvement. No current information about the impact of this.</li> <li>• Only 15% of residents believe they have any influence over decisions the council makes about their local area and even fewer (12%) believe they can influence decisions that the council makes about Glasgow as a whole although almost half would like to.</li> </ul>	No specific scrutiny activity.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Governance and Accountability	No significant scrutiny risks	<p><b>Significant and well-defined scrutiny structures, with open reporting and debate, and subject to periodic review. CHCP governance arrangements not yet fully resolved.</b></p> <ul style="list-style-type: none"> <li>• Executive committee structure is effective in debating and considering key strategic decisions.</li> <li>• The introduction of the business bureau, which considers proposals relating to decision-making processes and council structures, has streamlined the decision making process.</li> <li>• The decision making structure is periodically reviewed to assess how well it is working and identify improvements.</li> <li>• To improve how the CHCPs operate, a joint partnership board is being established to oversee resource decision-making and service development within the CHCPs. We feel it is appropriate that the council is cautious about further delegation of budgets relating to commissioning, until existing issues of financial control and consistency of performance and provision are addressed.</li> <li>• <b>Update:</b> The current position is that the Council had agreed an incremental approach to the further devolution of services and resources by April 2011 and this is not acceptable to the Health Board, which considers that this will not deliver viable and effective CHCPs. The council has asked Sir John Arbuthnott, as a third party representative, to provide guidance and assistance in determining the way forward for CHCPs and to invite the Health Board to agree to this proposal. In the meantime we understand that services to users will continue as before.</li> </ul>	<p><b>Audit Scotland - annual audit process will continue to monitor the progress of CHCP development including the proposed review by Sir John Arbuthnott.</b></p>

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Performance management and improvement	No significant scrutiny risks	<p><b>Good corporate structures for assessing and reporting performance. Extensive scrutiny committee structure. Balanced though lengthy public performance reporting. Significant change process reflected in staff views.</b></p> <ul style="list-style-type: none"> <li>• Extensive self assessment and review programmes in place.</li> <li>• Council's Golden Thread exercise (SOLACE) found that nearly all council plan targets, and most SOA targets, appear at service level. <b>This exercise is considered to be an example of good practice.</b></li> <li>• In household survey, overall satisfaction with services has increased, and almost every service area has improved its satisfaction score. 21% of citizens were very satisfied and 60% fairly satisfied.</li> <li>• CSG is implementing measures to improve self-evaluation. One aspect of capacity building is that the city now has seven Associate Assessors working with HMIE, one in each of the five areas, the CLD Strategy Officer and an Area Community Planning Manager.</li> <li>• The Clyde Valley Community Planning Partnership (CVCPP) commissioned Sir John Arbuthnott to undertake an independent strategic review of joint working and shared services. The council is reviewing the results of the report, issued in November 2009.</li> <li>• Staff survey 09: The majority of staff (65%) say understand the need for change in the Council, but note not consulted when changes are made (61%). 60% of staff feel that there is too much "change for change's sake". Only 16% agree that change is well managed.</li> <li>• HMIE CP: The joint inspection of services to protect children published in March 2009 reported that Inter-agency self-evaluation of services to protect children was not sufficiently robust.</li> <li>• Social work has established a professional governance board to oversee policy, procedures and practice developments and service improvement plans arising from internal and external scrutiny. It also has a very active practice audit unit in place.</li> </ul>	No specific scrutiny activity.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of Resources - Finance	<b>No significant scrutiny risks</b>	<p>The council has sound budgetary control arrangements in place and is managing the financial pressures it faces. Current overspends include CHCPs elements of social work. Future projected savings are significant. Recent economic conditions have led to reduced levels of capital receipts and lower capital fund reserves.</p> <ul style="list-style-type: none"> <li>• The council has sound budgetary control arrangements in place and has taken steps to contain budgets where necessary i.e. financial challenges group.</li> <li>• Zero council tax increases have been maintained for a number of years. Annual improvement in CT collection levels have been realised, but future increases in targets have been reduced.</li> <li>• Net expenditure is currently running at 100.3% of profile representing an overspend of £1.6 million. The council is actively managing this. 2009 projected savings are challenging at £29.736 million, slightly less than the £31m planned.</li> <li>• For the current round (2010/2011) of budget planning, the council has introduced a base budget review framework. This framework seeks to examine all council expenditure, over a rolling five year period, to ensure competitiveness by identifying and redirecting resource investment into priority service areas.</li> <li>• The council has a major role in responding to financial challenges within ALEOs and other key West of Scotland public sector authorities including Strathclyde Police, Fire and Rescue Services and Passenger Transport Authority.</li> <li>• The council is committed to restoring free-reserves to £20m by 2011.</li> <li>• SWIA's 2007 report commented that financial planning and monitoring was based on sound practice. However, this was at a transitional stage of aligning social work within CHCP budgets.</li> <li>• Previously the council had access to unapplied capital receipts and a significant capital fund, both of which have been diminished. A three year target to achieve capital receipts of £169 million is not going to be met by a significant margin.</li> <li>• The average processing time for combined Housing and Council Tax Benefit is 21 days against a target of 13.</li> </ul>	Audit Scotland - annual audit process will continue to monitor financial performance and management.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of resources – People	Area of uncertainty	<p>The council has a significant redundancy / retirement policy for staff over 50, as part of its efficiency / service reform agenda. The impact of this on services is not yet known although the risks are appreciated by the council. The council is developing a strategic approach to workforce planning. A People Strategy action plan is around 50% complete and the council has conducted two staff surveys, revealing staff morale as an issue. Sickness absence levels are significant in some departments, but council has taken actions to address this. PDPs yet to be fully implemented in Education and Social Work. Single status and equal pay issues largely resolved.</p> <ul style="list-style-type: none"> <li>• The council has actively worked to deal with single status and equal pay issues.</li> <li>• The People Strategy was launched in April 2008. The plan has 102 actions, over half of which have now been delivered. The rollout is being monitored, including the use of a People Strategy Survey questionnaire. The second Staff Survey was launched in March 2009.</li> <li>• Absence levels represent a significant cost to the council. A corporate policy and indicators have been established to help drive improvement.</li> <li>• PDPs fully introduced in all services except Education and Social Work Services.</li> <li>• The council has a policy guarantee to allow a phased three-year redundancy / retirement to staff over 50s, as part of its efficiency / service reform agenda. This could have significant impact for the council and lead to major service reform / staffing continuity issues.</li> <li>• Staff survey staff satisfaction levels have improved since 2007. But &gt; 70% of staff disagree with the proposition that “morale is good in the Council”.</li> <li>• Bullying remains a concern as almost 40% have experienced some form of bullying in the past two years.</li> </ul>	Audit Scotland - Review of early retirement / redundancy arrangements - Year 1.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of resources – Assets	Area of uncertainty	<p>Due to economic downturn the council has been unable to realise capital receipts from sale of surplus assets, but has innovative plans to manage surplus assets. The council has been reprovisioning schools and has made significant changes in the estate. Some issues still remain. Office rationalisation plans are significant too. The responsibility for delivering the majority of the Commonwealth Games sport venues lies with Glasgow City Council and the council has been improving and developing its capital governance arrangements. The reputational risk and extent of capital investment required presents an ongoing scrutiny risk. Audit Scotland will continue to report annually on the progress of major projects related to the 2014 Games.</p> <ul style="list-style-type: none"> <li>• A process to identify a partner to manage surplus property was abandoned due to current market conditions. The council has now set its own organisation to manage the use of surplus assets. The council is considering the transfer of the council's commercial and property portfolio. This would represent £15m of annual rental income but would allow for the generation of capital income of approx £120m.</li> <li>• Since 2004, the number of primary schools has reduced from 184 to 149 (August 09). There are currently 5 schools which remain in poor condition.</li> <li>• The EIS led a campaign into environmental conditions in a number of Glasgow secondary schools. A report by the Health and Safety Executive (Occupational Hygiene) found that there are some issues around environmental conditions in some classrooms of fumes from cooking. Improvements have started to be undertaken.</li> <li>• Reforms are also taking place in the ASL sector. There is currently a public consultation on merging some schools to release monies to invest in the remaining schools.</li> <li>• Impending additional statutory involvement and the need to demonstrate educational benefit in any proposals to change the school estate good impact on future plans.</li> <li>• The council are working on an asset rationalisation programme goal is to reduce office space by 50% by 2012.</li> </ul>	Audit Scotland – Review of Commonwealth Games key projects - Year 1.

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Use of resources – Procurement	No significant scrutiny risks	The council has a comprehensive corporate procurement manual and has established a corporate procurement unit. In 2008/09 efficiency savings of £5.5 million were identified (£3.87 million achieved to date).	No specific scrutiny activity.
Use of resources – ICT	No significant scrutiny risks	Access, a partnership with Serco, started operating in April 2008 to deliver £73m savings in the management of ICT and property maintenance.	No specific scrutiny activity.
Sustainability	No significant scrutiny risks	<p><b>Targets and measures clearly stated in Council Plan. Progress on reducing energy usage. Difficulty achieving landfill diversion</b></p> <ul style="list-style-type: none"> <li>• Sustainability targets &amp; measures clearly identified and integrated into council Plan 08-11.</li> <li>• Target for reducing energy use across the Council has been met in 2009. Target for 2008 to 2009 was to reduce CO<sup>2</sup> emissions by 7860. This was exceeded. Council is on target to achieve 10% reduction in electricity and gas consumption in 2009/10. “Our target for 2008 to 2009 was to reduce our CO<sup>2</sup> emissions by 7860 tonnes. We went beyond this target, achieving a saving of 12,572 tonnes during the period.</li> <li>• Council is short of target to divert municipal waste from landfill. Only two councils, including Glasgow, now recycle and compost less than 20 per cent of waste (compared to ten in 2005/06). The council has approved its waste strategy which includes a proposed residual waste solution.</li> </ul>	No specific scrutiny activity

Corporate Assessment Area	Initial risk assessment	Evidence/rationale	What we plan to do
Equality	No significant scrutiny risks	<p><b>Consensual agreement on strong approach to equality issues.</b></p> <ul style="list-style-type: none"> <li>• Equalities targets &amp; measures clearly identified and integrated into council Plan 08-11.</li> <li>• An Integrated Equality Scheme 2008 to 2011 has been published. Each Service has also developed a detailed equality action plan to support the Scheme. 19 Equality Impact Assessments (EQIA) are being undertaken.</li> <li>• BV1 report noted strong arrangements in place.</li> <li>• An equality networks forum has been established to strengthen the influence of external equalities groups and although attendance can fluctuate, the related website remains a useful networking resource.</li> <li>• Glasgow schools continued to be recognised by the Scottish Government as at the forefront of developing good practice.</li> <li>• The authority has recently re-launched their anti-bullying strategy. This now includes cyber-bullying. It is too early to assess the impact of this initiative.</li> <li>• The anti-racist curriculum for primary schools was launched in 2006/07. The Anti-Racist Curriculum for Early Years was launched in February 2008. The anti-racist curriculum for secondary schools is still to be developed. Over the last three years the number of recorded racist incidents in educational establishments has declined.</li> <li>• SWIA's 2007 inspection report commented positively on a number of steps the service had taken to meet the needs of marginalised groups (incl. asylum seekers, homeless, minority groups).</li> <li>• Overall, in 2008/09: The number of women in the highest paid 2% of employees increased to 41.93%; the number of women in the highest paid 5% of employees increased to 52.50%; the proportion of black and ethnic minority increased to 1.7%.</li> </ul>	No specific scrutiny activity.

## Appendix 3 – Assurance and improvement plan

The AIP is a three year rolling programme.

2010-11 (Year 1)												
Scrutiny activity	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
HMIE – Joint inspection of services to protect children and young people												
HMIE – Educational Psychology Service inspection.												
HMIE – “How good is our culture and sport” voluntary pilot.												
SWIA – Initial Scrutiny Level Assessment (ISLA) review												
SWIA – Inspection of prison-based social work services												
Care Commission – Review of adoption and fostering services												
HMICS/ AS – Joint BV audits of Police Authority												

2011-12 (Year 2)	
Issues for scrutiny /improvement	Scrutiny bodies /council potential involvement
Initial Scrutiny Level Assessment (ISLA)	SWIA
Assessment of progress towards meeting 2012 homelessness targets	SHR

2012-13 (Year 3)	
Issues for scrutiny /improvement	Scrutiny bodies /council potential involvement
Initial Scrutiny Level Assessment (ISLA)	SWIA