

Report

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Report to:	Risk and Audit Scrutiny Forum
Date of Meeting:	31 May 2016
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Annual Governance Statement for 2015/16 and Quarter Four - End of Year Report
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1. Purpose of Report

1.1 The purpose of the report is to:-

- ◆ Provide an overview of the Annual Governance Statement and Quarter 4 – End of Year report for 2015/2016, for inclusion in the Council's 2015/2016 Annual Accounts.

2. Recommendation(s)

2.1 The Risk and Audit Scrutiny Forum is asked to approve the following recommendation(s):-

- (1) that the Good Governance action plan progress at Quarter 4 is noted; and
- (2) that the Annual Governance Statement detailed in Appendix 2, due to be included in the Council's 2015/2016 Annual Report and Statement of Accounts, is noted.

3. Background

3.1 Each year, the Council undertakes a comprehensive review of the governance arrangements that are required to support the Council financial and operational controls. The annual review of governance arrangements provides the Governance Statement which is included within the Council's Annual Accounts.

3.2 During 2015/16 members of the Good Governance Group progressed the development and monitored the progress of actions included in the Good Governance Statement.

3.3 The annual review for 2015/2016 is informed by the International Good Governance Framework and an Assessment Framework which currently includes 19 areas of review, outlined at Appendix 1.

4. Statement of Governance for 2015/2016

4.1 The Statement of Governance and Internal Control for 2015/2016 is attached at Appendix 2. For 2015/2016, Internal Audit's opinion is that a good level of assurance can be placed on the Council's financial control environment and an adequate level of assurance can be placed on the Council's operational control environment.

4.2 The section entitled **Governance Improvements During 2015/16** provides the Quarter 4 end of year report on the progress of improvement actions.

- 4.3 The actions for the financial year, 2016/2017, are included in the section entitled **Overview Control and Governance Improvement Areas for 2016/2017**.
- 4.4 The Governance Statement is due to be submitted to the Executive Committee on 8 June 2016.
- 5. Employee Implications**
- 5.1 Officers from key disciplines will continue to attend the Good Governance Group and will set aside time to review and monitor governance and assurance.
- 5.2 Officers will be assigned to lead on areas identified as improvement areas.
- 6. Financial Implications**
- 6.1 There are no financial implications apart from employee time.
- 7. Other Implications**
- 7.1 The statement will be subject to review by PricewaterhouseCoopers, the Council external auditors, as part of their consideration of the Annual Report.
- 7.2 There are no significant issues in terms of sustainability or of risk arising.
- 8. Equality Impact Assessment and Consultation Arrangements**
- 8.1 All Resources, through the involvement of senior officers, are involved in the progress, monitoring and review of governance good practice and the development of the annual Governance Statement.
- 8.2 This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

Paul Manning
Executive Director (Finance and Corporate Resources)

17 May 2016

Link(s) to Council Objectives/Values

- ◆ All Council Objectives and Values

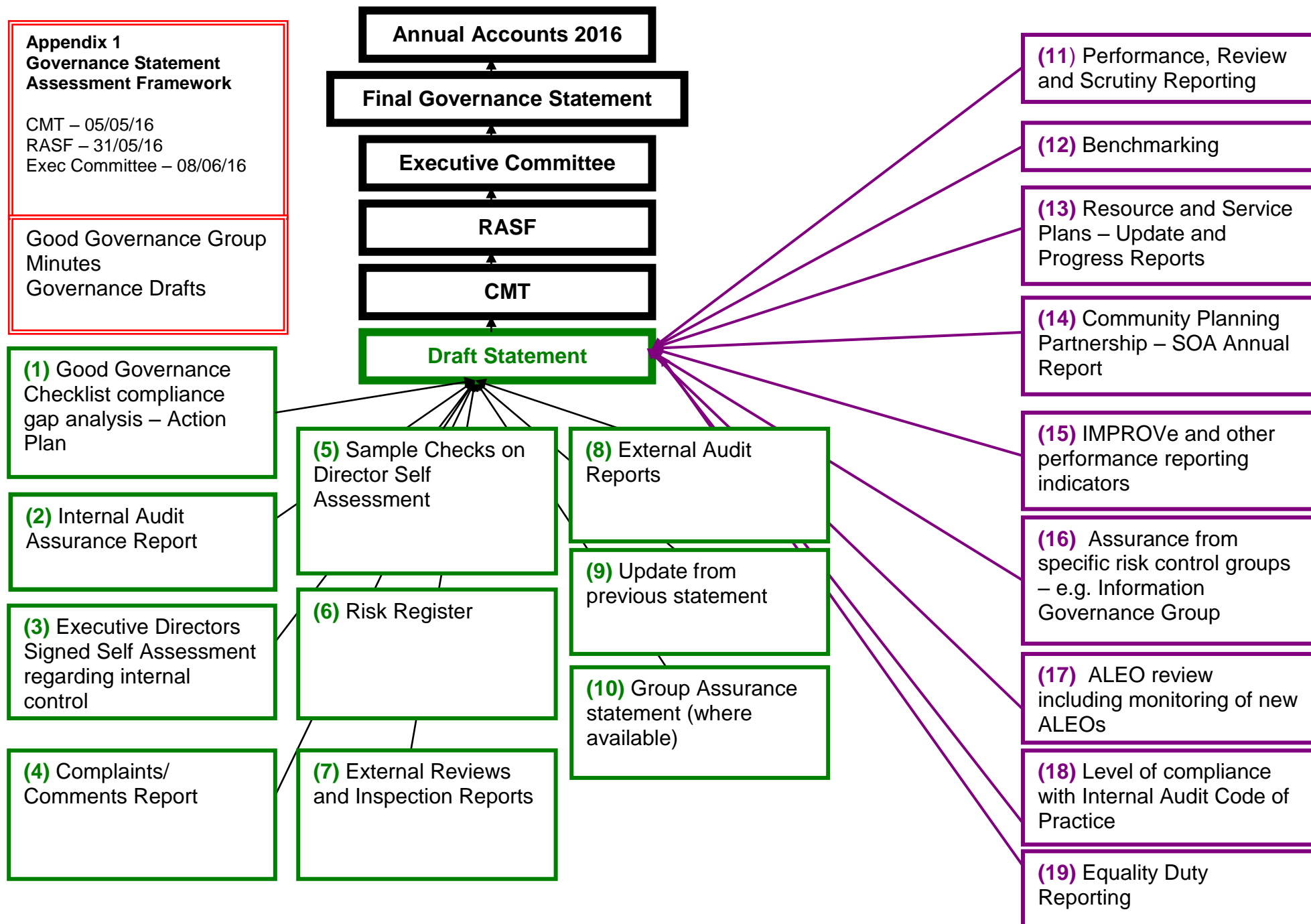
Contact for Further Information

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Governance Statement 2015/16

Acknowledgement

Scope of Responsibility

South Lanarkshire Council has a responsibility to ensure business is conducted in accordance with legislation and proper standards and adheres to and works within a framework of internal values and external principles and standards. As part of that responsibility the Council ensures that public money is safeguarded, properly accounted for and used economically, efficiently and effectively through the continuous improvement of service provision and delivery.

South Lanarkshire Council, is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions including clear arrangements for risk management.

The Council has approved and adopted a Code of Good Governance which is consistent with the six principles of Good Governance in Local Government. The Good Governance Assessment Framework is consistent with the International Framework: Good Governance in the Public Sector, which aims to promote the development of robust governance in the public sector by establishing good governance benchmarks.

This statement explains how South Lanarkshire Council has complied with the Code and meets legislative requirements to include the Annual Governance Statement within the Annual Accounts.

A copy of the authority's Code of Good Governance is available on www.southlanarkshire.gov.uk

This statement outlines how South Lanarkshire Council has complied during 2015/16.

The purpose of the Governance Framework

The governance framework comprises the systems and processes, culture and values by which the authority is directed and controlled and how it accounts to communities. It enables the authority to monitor the achievement of strategic objectives and consideration as to whether those objectives have led to the delivery of appropriate services and provided value for money.

The system of internal control is a significant part of that framework and is designed to manage risk at a reasonable level. Internal controls cannot eliminate all risks of failing to achieve policies, aims and objectives and therefore only provides reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of South Lanarkshire Council's aims and objectives by evaluating the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

The annual governance review informs the detail of the Governance Statement by considering a wide range of evidence and supporting information, including internal and external audits, self-assessments and inspections. Areas which are identified as requiring

improvement are progressed, where appropriate, through the Good Governance Action Plan which is monitored by the Risk and Audit Scrutiny Forum using Quarter 1 and Quarter 3 IMPROVe performance reporting data and through individual Resource action plan reporting to appropriate Council Committees at Quarter 2 and Quarter 4.

The governance framework has been in place at South Lanarkshire Council for the year ended 31 March 2016 and up to the date of approval of the Annual Report and Statement of Accounts.

The Governance Framework

Visions and Aims for the Community

The Council Plan, Connect, sets out the Council's vision and key priorities for the Council over a five year period from 2012-2017. The vision is to 'Improve the quality of life of everyone in South Lanarkshire.'

The Council has a number of objectives which it aims to achieve over the life of the Council Plan. Of these, some have been identified as priority outcomes and these are outlined below:-

- Improve services for older people;
- Protect vulnerable children, young people and adults;
- Improve road network and influence improvements in public transport;
- Support the local economy by providing the right conditions for growth, improving skills and employability;
- Tackle disadvantage and deprivation;
- Develop a sustainable Council and communities;
- Raise educational achievement and attainment;
- Improve the quality, access and availability of housing; and
- Strengthen partnership working, community leadership and engagement.

The Council Plan is supported by five Resource Plans, which are reviewed and published annually, setting out the specific aims and objectives of each Council Resource:-

- Community and Enterprise Resources;
- Education Resources;
- Finance and Corporate Resources;
- Housing and Technical Resources; and
- Social Work Resources.

The Council undertook a midterm review of the Council Plan, Connect, to ensure that it is realistic in the context of the continued funding constraints and transformational change agenda. A report was approved by the Executive Committee on 27 May 2015. An action plan is being developed during 2016, to outline the timeline for the refresh of the Council Plan by 2017.

The Council Plan, Resource Plans and other major plans and strategies are published and available for download on the Council's website www.southlanarkshire.gov.uk

South Lanarkshire Council's Performance Management Framework ensures that progress against key plans and strategies are monitored routinely in order that timely action can be taken to address any performance issues. A Performance Management Framework is in place across the Council and Quarter 2 and Quarter 4 reports are submitted to the Council's

Corporate Management Team (CMT); the Performance and Scrutiny Form; and the Executive Committee. Analysis and consideration of this management information supports informed decision making. Performance Management information is available for download on the Council's website www.southlanarkshire.gov.uk

Financial Management

South Lanarkshire has a proven track record of sound financial management and robust monitoring arrangements to manage its finances in year. For 2016/17 South Lanarkshire Council agreed savings proposals of £43m to be delivered across all services. The 2016/17 budget was agreed on the 1 March 2016.

The Executive Committee, 2 December 2015, approved the distribution of a booklet to every household in South Lanarkshire explaining why savings were required and provided details of the savings identified as having the highest service impact. This provided Council residents with the opportunity to see how the savings may affect them, which provided feedback, views and suggestions on spending options. In addition a number of face to face consultation sessions were held and copies of the full savings pack were made available at libraries and Q&A's for public view. As a result of this consultation exercise more than 600 views were received and considered by Elected Members. Participants agreed (93%) that the council's priorities were relevant and there was general support for savings plans. Savings proposals for education support around travel arrangements and social work support around the Coalyard and associated services were removed as a result of the consultation exercise.

The continued key focus of savings is through alternative methods of service delivery and efficiency projects while protecting, where possible, front line service delivery.

Value for money and Best Value is vitally important to the Council and are key components of the internal and external audit plans that provide assurance to the Council regarding the processes that are in place to ensure effective use of resources.

Decision Making, Governance Roles, and Responsibilities

The Council plays a lead role in the community and delivers services both directly and through joint working with Community Planning Partners. This section provides an overview of how the Council implements and monitors decisions.

The Council has rules under which decisions are made with each individual and Committee aware of their role and responsibilities. Decision making powers lie with the full Council, Executive Committee, Committees, and Chief Officers of the Corporate Management Team (CMT).

The Council's political structure and role profiles have been agreed for all elected members. The cycle of meetings and initial programme of meetings were agreed at the statutory meeting of the Council following local government elections and has continued from there. The Council's Decision Making Arrangements and Procedures provide standard guidance and practices are in place which are embedded across the Council including:-

- Scheme of Delegation;
- Standing Orders on Procedures;
- Standing Orders on Contracts;
- Terms of Reference; and
- Financial Regulations.

South Lanarkshire Council's full elected membership is made up as follows:-

Independent	2 representatives
Scottish Conservative & Unionist	4 representatives
Scottish Labour	38 representatives
Scottish Liberal Democrats	1 representative
Scottish National Party	21 representatives
Solidarity Scotland	1 representative

The Executive Committee, which has 28 members, makes recommendations to the Council on the budget framework and the overall revenue and capital budgets; setting of rent levels for Council houses and the Council Tax and key policy initiatives. It has the power to establish and appoint members to Council Forums and partnership organisations and to nominate members to represent the Council on outside bodies; oversee the Council's relations with outside organisations and development of joint partnerships including the co-ordination of the Council's response to Community Planning; ensuring satisfactory performance and continuous improvement of services.

The Council is responsible for a range of functions which are regulatory functions such as licensing; planning; road traffic etc and these services are discharged through committees which have been established for this purpose. There are 18 Committees/sub committees, 10 Forum/Taskforces, 3 Panels, 1 Member/Officer Working Group, 1 Chief Officers' Group, 2 Joint Boards, 1 Joint Committee, 3 thematic boards, 2 Partnerships, 2 Trusts, 1 Area Support Team and 4 Licensing Boards. Full details of membership and Terms of Reference, where appropriate, are available on the Council's website www.southlanarkshire.gov.uk

The Executive Committee/Council approves all Good Governance and Risk Management policies, actions and strategies.

The Risk and Audit Scrutiny Forum has the responsibility to monitor the Council's Good Governance and Risk Management arrangements.

The Corporate Management Team is led by the Council's Chief Executive and Executive Directors of each Resource. The role of the CMT is wide-ranging and includes monitoring governance issues and approving all relevant actions within the Scheme of Delegation. This ensures that governance is embedded within the Council at all levels and across all Resources. During 2015/16 there was a change in membership of the CMT through retirement of two Executive Directors, Colin McDowall (Community and Enterprise Resources) and Ann Gee (Housing and Technical Resources). Highly experienced internal Heads of Service were promoted to the Executive Director positions following an external application process, namely, Michael McGlynn, took up post on 19 October 2015 (Community and Enterprise) and Daniel Lowe took up post on 1 February 2016 (Housing and Technical Resources)

Finance and Corporate Resources have a stewardship role in monitoring and reporting on financial performance, and ensuring public funds are properly accounted for and managed.

The roles and responsibilities of Council Officers are outlined within a structured performance and development review process (PDR) which links to the priorities and objectives of the Single Outcome Agreement, Council Plan, Community Plan, Resource Plans and Service Action Plans. Executive Directors all have specific corporate responsibilities.

The Local Government (Scotland) Act 1973 established the role of Chief Financial Officer. The Chief Financial Officer (Section 95 Officer or the Senior Financial Officer) is responsible for the financial affairs of the Council. A fundamental element of the role is to ensure sound financial management through establishing and maintaining internal financial controls and in providing professional advice to councillors on all aspects of the Council's finances and is a member of the Corporate Management Team. South Lanarkshire Council's Chief Financial Officer is the Executive Director (Finance and Corporate Resources).

The Council's Monitoring Officer, the Head of Administration and Legal Services whose functions include ensuring Standards are maintained and ensuring lawfulness of decision making. The Legal Service is accredited and annually assessed against national governance and performance criteria as part of the Law Society standards. The Monitoring Officer is also the Chair of the Good Governance Group.

Information Governance

The Council has a commitment to high standards of governance including Information Governance. Responsibility for the Council's Information Governance standards lies with the Monitoring Officer who is the Chair of the Information Governance Group. The Group has representation across all the Council Resources and assesses and monitors the required actions to address information governance risk and the roll out of communication and training. An Information Governance Action plan is in place which is reported regularly to the Corporate Management Team and the Executive Committee.

Freedom of Information and Transparency – the Council has a robust process for responding to Freedom of Information requests that are received and reported on a quarterly basis to the CMT and annually the Executive Committee. In addition, the outcomes of internal reviews and decisions from the Scottish Information Commissioner (SIC) in relation to appeals submitted in relation to requests processed by the Council are also reported to the CMT when the (SIC) reports are issued.

Internal Audit

The Internal Audit Service plays an essential role in the control environment by providing assurance that internal controls are being applied. The management of internal audit is undertaken through a central Internal Audit function. The Internal Audit Service reports directly to the Executive Director (Finance and Corporate Resources), the Risk and Audit Scrutiny Forum and the Executive Committee. The Service is required to comply with a series of standards set out in the Public Sector Internal Audit Standards in the delivery of its role.

Key financial and operational systems are reviewed and assessed through an approved programme of audit work. Recommendations from audits assist management in improving the control environment and prioritise action in areas of greatest risk.

The 2015/2016 Audit Plan has delivered a programme of assignments that has tested operational and financial controls across most of the Council's top risks and provided assurance around the adequacy and effectiveness of processes and procedures within financial and operational areas. This has been supported by a robust programme of follow-up work that has provided evidence that agreed actions have, in the main, been implemented in full and on time.

Financial controls have been tested in 2015/2016 through a review of the Council's financial strategy, undertaking data-matching exercises and testing of Payroll feeders. Operational controls have been tested during 2015/2016 through ongoing review of Welfare Reform requirements together with an assessment of procurement arrangements, risk management processes and IT project management. The programme of audit work also looked at controls around administering the new PVG scheme, the development of SDS procedures and actions to progress 'Getting it right for every child' and Community Planning arrangements.

A separate risk register is in place to specifically manage the Council's fraud risk. A programme of anti-fraud reviews has been completed in 2015/2016 to provide assurance that the risk is being mitigated. This assurance has been supported by a programme of corporate fraud assignments designed to manage fraud in a more proactive manner.

Risk Management

Risk Management is an essential element in the governance control environment by providing assurance that the Council is compliant with best practice standards and that work is being undertaken to address the gaps highlighted by ongoing Council wide and Resource wide risk identification.

Risk Sponsors are required on an annual basis to assess their Resource's compliance with the Risk Management Strategy and provide supporting evidence that a high level of compliance is maintained.

The Risk Management Work Plan is prepared annually by the Risk Sponsors and approved by the Corporate Management Team and reported to the Risk and Audit Scrutiny Forum for noting.

A strategic Top Risk Register is in place and updated regularly. The most recent review of the register was undertaken and approved by the Corporate Management Team in October 2015, and thereafter reported to the Risk and Audit Scrutiny forum for noting.

For the period 2015/16 the top five risks were:-

- (1) Reduction in Funding; income generated by the Council; and savings difficulties;
- (2) Failure by the Council to effectively manage the processes and practices to reduce the impact of welfare reform;
- (3) Failure to meet a required increase in teacher numbers;
- (4) Information Management not subject to adequate control;
- (5) Fraud, theft and organised crime.

The management of risk is undertaken through a central Risk Management Section.

Interest in other agencies/companies

Members and officers sit on Boards and Committees which are within South Lanarkshire Council's Group Accounts and Arms Length External Organisations (ALEOs). This contributes to the control exercised over these funded bodies.

Following a review of current and potential ALEOs within the area it was agreed by the Corporate Management Team (CMT) that there is only one ALEO in the South Lanarkshire area which is South Lanarkshire Leisure and Culture Ltd (SLLC). The ALEO provided information requested as part of the Governance assurance process to 31 March 2016 and it is the opinion of the Good Governance Group that an adequate level of assurance can be placed on the financial control environment and an adequate level of assurance on operational control environments.

Ongoing consideration is taken of any changes in legislation, regulation and guidance which would re-class organisations within South Lanarkshire as ALEOs. Any changes will be reported to and considered by the CMT.

Elected Members and officers also sit on the following Joint Boards: - Lanarkshire Valuation Joint Board; Clyde Valley Learning and Development Joint Committee, Lanarkshire Community Justice Authority, Scotland Excel, Seemis Group LLP, Clyde Gateway; RegenFX, Routes to Work South, Strathclyde Partnership for Transport (SPT) and Glasgow City Region – City Deal

New partnerships

Partner agencies within South Lanarkshire have taken forward a significant amount of work during 2015/16 to progress arrangements to provide an integrated health and social care service as required by The Public Bodies (Joint Working) (Scotland) Act 2014.

The Integration Scheme, approved by the Scottish Parliament in September 2015, formalised the Integration Joint Board (IJB) becoming a public sector organisation as at October 2015. Final governance arrangements, financial procedures and the Due Diligence exercise to confirm the budget were presented for approval to the March and April 2016 IJB meetings.

Locality link officers have been identified for each of the four localities, together with an IJB voting member, who will chair the Locality Planning Groups and provide a link back to the IJB. Each of the four localities has had their first meetings and have a programme of further meetings scheduled for the remainder of the year.

A suite of 45 performance indicators linked to the 9 National Health and Wellbeing Outcomes was approved by the IJB meeting in February 2016 who also approved the Strategic Commissioning Plan on 29 March 2016. This will now form the basis of future performance reports for the IJB

The Council is also the lead partner in South Lanarkshire for developing and implementing the Syrian Vulnerable Person Resettlement Scheme (SVPRS) in partnership with South Lanarkshire Community Planning Partners, the Scottish and UK Governments and the United Nations High Commission for Refugees (UNHCR). The local Resettlement Scheme is governed via the South Lanarkshire Partnership Group and relocation of Syrian families commenced December 2015 and will continue during 2016.

Governance Arrangements

The key structures, strategies, processes and systems which are included in the Council's good governance arrangements include:-

- **“Connect”** the Council's strategic plan, provides the vision for the area, priorities for service delivery, objectives and values. The current Council Plan was approved by the Council in October 2012 covering the period from 2012 to 2017. The midterm review of Connect commenced September 2014 and formal approval was given by Executive Committee on 27 May 2015. A draft action plan and timetable is being developed during 2016 for the refresh of the Council Plan by 2017.
- **The Community Planning Single Outcome Agreement (SOA)**. This provides the focus of the strategic work undertaken by the Council and partners to progress national and local outcomes. The 10 year SOA covers the period 2013 until 2023.
- **Capturing Progress in Community Planning** presents progress on the development priorities identified as part of the SOA Quality Assurance process initiated by the Scottish Government and the National Community Planning Group. The report provides highlights of how the Partnership has advanced across a number of fronts; strengthening governance arrangements; improving management reporting systems; extending the use of evidence to guide priorities; and bringing consistent approaches to bear across South Lanarkshire Partnership's Thematic Groups.
- **The Community Plan** sets out the joint vision and objectives for South Lanarkshire. The Community Plan was refreshed during 2010/11 to provide a clear link to the objectives and outcomes of the SOA. It was agreed that the next iteration would run concurrently with the SOA timeline ending 2023. A high level working group met during 2015/16 to consider a range of governance and implementation changes required to Community Planning which will inform the development of the Community Plan. A sub-group was established to consider the range of information available to ensure that discussion is fully informed. This group is due to report during 2016.
- **Performance Management** and monitoring Local Performance Indicators and service delivery is demonstrated through a number of routes including the Resource and Service planning process. The Corporate performance framework provides regular reporting monitored through IMPROVe, the Council's performance management reporting system. Quarter 2 and Quarter 4 Performance management reports are publicly reported to the Executive Committee.
- **Local Government Benchmarking Framework (LGBF)** helps the council to better understand current performance levels; understand why and where performance varies and to assist in identifying and sharing good practice.
- **Community Planning Local Outcomes Profiles (Benchmarking)** is being developed with the aim of providing similar information to the LGBF to allow Community Planning Partners to make informed decisions about local priorities as well as identifying and sharing good practice. This approach is in development and was due to go live during April 2016 – this date has been moved to later in 2016.
- **External audits** and inspections are outlined in a separate section in this Statement
- The Council operates within an established procedural framework that includes the **Scheme of Delegation, Standing Orders, Standing Orders on Contracts, Financial Regulations, and Committee Terms of Reference**. This is supported by other policies and frameworks such as the Council's Corporate Standards, and Personnel Policies and Procedures.
- **Reporting** through senior management to **Committee** for decision making and to **Forums** for scrutiny in the areas of finance, performance, risk and audit.

- **Codes of Conduct** are in place for both Elected Members and council employees together with the induction process and a range of policies, procedures and corporate standards which are all supported by the performance appraisal system - PDR.
- **Legal Services** work in partnership with Resources to ensure compliance with relevant laws and regulations.
- **Internal Audit** tests and reports regularly on operational and financial controls.
- The Council operates within a well-developed **financial planning framework**. This includes the preparation of an efficiency statement demonstrating that the Council is making best use of limited resources within the current economic climate.
- A **Risk Management Strategy** and methodology is in place which reviews, identifies, evaluates and manages risks associated with the delivery of the Council's objectives.
- Members and officers are supported by appropriate ongoing **Training and Development**.
- **Effective and timely communication** The Council actively uses a wide range of mechanisms to promote consultation with local stakeholders i.e. residents, community councils, businesses, partners etc. The internet is used to promote resources and dedicated web pages for consultation to raise awareness of what engagement and involvement activity is taking place.
<http://www.southlanarkshire.gov.uk/directory/47/consultations/category/82>
- The Council also communicates with communities through press coverage and the council wide circulation of the South Lanarkshire Reporter. For employees there is the "Works" magazine, intranet and circulars e.g. personnel circulars.
- The Council also carries out a wide range of customer satisfaction, engagement and consultation exercises through the Citizens' Panel which was refreshed during 2015; various Forums and Working Groups. Housing and Technical Resources provide the "Tenants News" newsletter to Council tenants.
- As a part of ongoing **continuous improvement** and self-assessment process the Council continues to use promote the use of Empower (the self assessment Public Sector Improvement Framework toolkit (PSIF). The second phase of Empower concluded in March 2016 with 8 assessments being undertaken during 2015/16. A report on the future direction of the model was considered by CMT on 25 February 2016, setting out proposals for a more proportionate and risk-based approach to self assessment in future. This approach, which will maximise the benefits while minimising the time and resources required for self evaluation, will be developed and rolled out in 2016-17.
- The South Lanarkshire **Community Planning Partnership** provides the mechanism by which public services are jointly planned. A review of the South Lanarkshire Community Planning Partnership governance and reporting arrangements was initiated during 2013-14 and culminated in the final Thematic Group review being reported to the Partnership Board on 1 April 2015.
- The standard Committee **Report template** contains specific sections on Financial Implications and Other Implications, which should include reference to risk management and sustainability issues as appropriate.

Review of Effectiveness

A review of South Lanarkshire Council's system of internal control is undertaken annually. Assurance for 2015/16 has been developed and informed through a wide range of sources including:-

- Individual internal statements of assurance and self assessments from Executive Directors using the principles of the International Good Governance Framework;
- Internal and external audits and inspections;
- Internal review and improvement plans, including the use of Empower, the Public Service Improvement Framework (PSIF);
- Extent of delivery of Resource and Service Plans incorporating the delivery of 'Connect', the Council Plan; and
- Good Governance Action Plan.

External Regulatory Inspection Results

During 2015/16 a number of external inspections were undertaken by Regulatory Authorities. Details outlined below provide an overview of the results from a few of the larger inspections undertaken:-

The **Care Inspectorate** regulates the performance, inspection, and public reporting of the Care Services registered with them.

The Council's **homelessness and sheltered housing support services** were inspected by the Care Inspectorate between March and October 2015. The inspection covered the homelessness housing support service and the 4 registered sheltered housing areas. Action plans for both homelessness and sheltered housing services have been submitted to the Care Inspectorate and are in the process of being taken forward.

Outlined below is a summary of this inspection activity:-

Sheltered Housing Support Service – Inspection Grades 2015

Theme	Statement	Grade 2015	Overall Theme Grade 2015
Quality of Care and Support	We ensure that service users and carers participate in assessing and improving the quality of the service	5 Very Good	5
	We ensure that service users' health and well being needs are being met	5 Very Good	
	We respond to service users care and support needs using person centred values	5 Very Good	
Quality of Staffing	We ensure that service users and carers participate in assessing and improving the quality of staffing in the service	5 Very Good	5
	We are confident that staff have been recruited and inducted in a safe and robust manner to protect service users and staff	5 Very Good	
	We have a professional, trained and motivated workforce which operates to national care standards, legislation and best practice	5 Very Good	

Quality of Management and Leadership	We ensure that service users and carers participate in assessing and improving the quality of the management and leadership of the service	5 Very Good	5
	To encourage good quality care we promote leadership values throughout the workforce	5 Very Good	
	We use quality assurance systems and processes which involve service users, carers, staff and stakeholders to assess the quality of the service we provide	5 Very Good	

Homelessness Housing Support Service - Inspection Grades 2015

Theme	Statement	Grade 2015	Overall Theme Grade 2015
Quality of Care and Support	We ensure that service users and carers participate in assessing and improving the quality of the care and support provided by the service.	5 – very good	4 – good
	We ensure that service users' health and wellbeing needs are met.	4 - good	
Quality of Staffing	We ensure that service users and carers participate in assessing and improving the quality of staffing in the service.	5 – very good	5 – very good
	We have a professional, trained and motivated workforce which operates to National Care Standards, legislation and best practice.	5 – very good	
Quality of Management and Leadership	We ensure that service users and carers participate in assessing and improving the quality of the management and leadership of the service.	4 - good	4 – good
	We use quality assurance systems and processes which involve service users, carers staff and stakeholders to assess the quality of the service we provide.	4 - good	

The Care Inspectorate regulates the performance, inspection, and public reporting of the Care Services registered with them. **Social Work Resources** manage 47 registered service and 30 services were inspected during the year.

Outlined below is a summary of this inspection activity. All services develop an improvement action plan following inspection.

Service Type	Number inspected.	Grade Range
Care Homes for Older People	7	Good to Very Good
Day Care for Older People	7	Very Good to Excellent
Home Care	4	Weak, Adequate, Good, Very Good
Adult Lifestyles Centres	2	Very Good to Excellent
Adult Support in Community	2	Good, Very Good
Children's Homes	6	Adequate, Good, Very Good
Children's Supported Carers	2	Very Good

Joint Inspection of Children Services – The Care Inspectorate Inspection Report was published in February 2015, the partners have developed an action plan in addressing seven areas for improvement. From these areas for improvement 19 individual actions have been identified, to date 11 have been complete and 8 are in progress.

Joint Inspection of Older Peoples Services – this inspection was undertaken in Autumn 2015 and has recently been concluded. The partners await the publication of the Inspection Report. Following this publication the partners will develop an Action Plan in response to any areas of improvement or recommendation identified.

Validated Self Evaluation of Alcohol and Drugs Partnerships (ADP) - Implementation of the Quality Principles. The Care Inspectorate have notified ADP's in January 2016 of their intention to test the operation of the Quality Principles – Standard Expectations of Care and Support in Drug and Alcohol Services. This will involve case file audits from Social Work and Health, staff survey, staff focus group, service user and carer focus groups. Planning is underway for the inspectors on site May 2016.

Education Scotland carried out a Validated Self-Evaluation (VSO) of South Lanarkshire Council's **Education Resources, Educational Psychology Services (EPS)** which considers activity which supports and challenges the work of Educational Psychology Services (EPS) by working collaboratively. It involves a partnership between the Education Authority, EPS and HM Inspectors, Education Scotland and is focussed on two key themes; Learning and Teaching, and Partnership Working.

The themes reflect national priorities and relate to the contributions made by EPS to raising attainment, addressing disadvantage and supporting and implementing, Getting it Right For Every Child (GIRFEC). Both themes also allow EPS to evidence the impact and outcomes of early intervention and prevention across the full range of their service delivery.

Education Scotland reported that the service is very well incorporated into Education Resources and Council planning processes and is clear where the service adds value to Council priorities. The report also confirmed that Education Scotland were confident that the service has a strong capacity for continuous improvement. Next steps have been identified to develop service delivery further in new and creative ways in partnership with stakeholders.

Internal Audit and Risk Management Assurance for 2015/16

For 2015/16, Internal Audit's opinion is that a good level of assurance can be placed on the Council's financial control environment and an adequate level of assurance can be placed on the Council's operational control environment.

For 2015/16, Risk Management's opinion is that a good level of assurance can be placed on the Council's risk strategic control environment and a good level of assurance can be placed on the Council's operational risk control environment.

Governance Improvements during 2014/15

From the improvement areas identified in last year's statement of governance and internal control the Council is pleased to report improvements in its governance arrangements. Details of the Good Governance Control measures; related actions; measures and progress at a Resource level are attached at the end of the Governance Statement.

An overall summary of the status of the 2015-2016 Improvement Areas is outlined in the table below:-

Reference	Improvement Area	Reporting Status
1.	Continue to review and assess the Council's financial situation in the context of local government economic and budgetary control and raise awareness of potential impact	Green
2.	Identify and maximise Council wide efficiency reviews	Green
3.	Finalise the review of Community Planning governance arrangements	Green
4.	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials;	Green
5.	Continue to implement changes required by the introduction of the Welfare Reform Act 2012 and subsequent regulations with a specific focus on the financial impact on the introduction of Universal Credit in October 2015	Green
6.	Facilitate the implementation of the Public Bodies (Joint Working) (Scotland) Act 2014 in relation to the integration of health and social care. This will require the Council and NHS Lanarkshire to meet a number of specific national and local requirements as determined by the Regulations and Orders of the Act	Green
7.	Implement the Self Directed Support Strategy and actions arising from the 2013 Act. This is a ten year strategy, which will involve significant cultural and organisational change.	Green
8.	Continue to progress objectives of the Early Years Collaborative and implement changes as a result of the Children and Young People (Scotland) Act 2014	Green
9.	Identify preventative and collaborative spend in service and partnership areas as appropriate	Green
10.	Continue to review, progress and comply with all requirements related to Information Governance	Green

11.	Progress the design, procurement and successful delivery of the Council's waste management contracts to meet the requirements of the Waste (Scotland) Regulations 2012	Green
12.	Continue development of Resource Contingency Plans, Business Continuity Plans and action plan	Green
13.	Commence a review of existing Service Level Agreements and Memorandum of Understandings between the Council and third parties, including ALEOs	Green
14.	Progress the design, procurement, monitoring and successful delivery of the Councils projects under the City Deal initiative	Green
15.	Complete the review of the Risk Management Strategy	Green

Overview Control and Governance Improvement areas for 2016/17

The internal review of governance arrangements has highlighted areas of improvement and areas where we wish to retain an overview. We propose of the coming year to take steps to address the above matters to further enhance governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operations as part of our next annual review. We will:-

- (1) Develop and implement the Council's financial situation in the context of local government economic and budgetary control, including preventative and collaborative spend and raise awareness of overall potential impact;
- (2) Identify, implement and maximise Council wide efficiency reviews;
- (3) Undertake a review of Governance Assessment Arrangements in line with expected CIPFA guidance and EU Directive on Audit Committees and develop training materials as appropriate;
- (4) Implement changes required by the Welfare Reform Act 2012 and subsequent regulations with a specific focus on the financial impact on the introduction of Universal Credit;
- (5) Implement Strategic Commissioning Plan, Risk Management Strategy and directions required by the Integration Joint Board on Health and Social Care Integration;
- (6) Implement the Self Directed Support Strategy and actions arising from the 2013 Act through the development and finalisation of the support plan and appropriate resource allocation system;
- (7) Continue to implement duties of the Children and Young People (Scotland) Act 2014;
- (8) Implement all actions in Information Governance Action Plan 2016/17 and implement and monitor progress of the Councils Record Management Plan;
- (9) Progress the design, procurement and successful delivery of the Council's waste management contracts to meet the requirements of the Waste (Scotland) Regulations 2012;
- (10) Review Resource Contingency Plans, Business Continuity Plans and action plan;
- (11) Implement the new Service Level Agreements and Memorandum of Understandings between the Council and third parties, including ALEOs and the Integration Joint Board;
- (12) Progress the design, procurement, monitoring and successful delivery of the Councils projects under the City Deal initiative;
- (13) Implement and monitor new Risk Management Strategy Action Plan;
- (14) Prepare for the implementation of the Community Empowerment (Scotland) Act 2015 and subsequent Regulations.

- (15) Continue to make preparations for elections in 2016/17 and new Council in 2017;
and
- (16) Progress the development of a new Council Plan due to be in place by 2017.

Assurance

The Executive Director of Finance and Corporate Resources is a member of the Council's Corporate Management Team and as such, is involved in all major decisions taken by the Council's chief officers, and in material matters which are submitted to Members for decision.

This involvement fulfils the expectation of the Chartered Institute of Public Finance and Accountancy (CIPFA) in terms of the role of the Chief Financial Officer.

It is the Council's view that the systems for governance and internal control were effective in South Lanarkshire Council and its group during 2015/16 and that there are no significant weaknesses. Addressing the above matters will further enhance our governance arrangements and our commitment to continuous improvement. This assurance is limited, however, to the work undertaken during the year and the evidence available at the time of preparing this statement.

Leader of the Council
Signature

Date

Chief Executive
Signature

Date

Executive Director, Finance and Corporate Resources
Signature

Date

Resource - Community and Enterprise					
Ref	Good Governance Control	Action	Measure	Q4 update 2015/16	Status
1	Continue to review and assess the Council's financial situation in the context of local government economic and budgetary control and raise awareness of potential impact.	Practice effective resource management by maximising our operational and financial performance.	Resource's savings proposal co-ordinated in line with corporate timescales, following the guidance from the Finance Strategy Group.	Resource savings proposals have been submitted in line with Corporate requirements for inclusion in the Council's budget.	Green
			Operate within our revenue and capital budgets to provide quality front line services.	Resource is currently finalising the year end position and is looking to identify the transfer of funds to the Strategic Waste Fund.	Green
			Resource efficiency statement completed and available for audit.	This task has been completed centrally through the use of the year end savings report. Input on the achievement of the savings is provided by the Resource Finance team.	Green
2	Identify and maximise Council wide efficiency reviews.	Practice effective resource management by maximising our operational and financial performance.	Contribute to the completion of cross-cutting reviews.	Input continues to be provided to the reviews of Finance, Fleet, Facilities Management, Regeneration and Tackling Poverty.	Green
4	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials.	Ensure that high standards of governance are being exercised.	Complete Resource governance self assessment by due date and develop actions to address non-compliant areas.	Resource Governance Statement now completed.	Green
5	Continue to implement changes required by the introduction of the Welfare Reform Act 2012 and subsequent regulations with a specific focus on the financial impact on the introduction of Universal Credit in October 2015.	Promote partnership working for financial inclusion and the development of South Lanarkshire Credit Unions.	Develop and support the financial inclusion network linked to preparation for Welfare Reform.	Partnership work continuing, linked to digital inclusion, fuel poverty; food poverty; money advice and support and tackling the stigma of poverty.	Green

			Credit Union membership increased by 3.5%	While the adult membership has been fairly static, with a 2.6% increase, the junior membership (aimed particularly at school age members) has risen significantly by 19%. It is hoped that in the future, these junior members will become adult members.	Amber
10	Continue to review, progress and comply with all requirements related to Information Governance.	Implement the Corporate Information Governance Strategy and action plan for the Resource, including the legislative requirements of the Public Records Scotland Act.	Information Governance Action Plan actions for the Resource implemented, including the annual self assessment checklist, by March 2016.	Annual Information Governance self assessment audit checklist updated for the Information Governance Board. Six actions remain work in progress and will be progressed via IT strategy group reps.	Green
11	Progress the design, procurement and successful delivery of the Council's waste management contracts to meet the requirements of Waste (Scotland) Regulations 2012.	Introduce new waste management initiatives to reduce waste and increase recycling	Waste audits undertaken and waste collection arrangements reviewed in council buildings, identifying opportunities to reduce residual waste and increase recycling capacity in council buildings by March 2016.	Food waste collection services have been introduced to all council buildings, including schools that produce more than 5kg of food waste per week. Changes have been made to waste uplift arrangements within schools throughout South Lanarkshire in a bid to further increase the number of recycling uplifts (as opposed to residual waste).	Green
			Procurement of long-term waste treatment contract progressed, with procurement timetable milestones met.	The procurement process for the long term waste treatment contract is still on track, with the evaluation process completed by the end of March 2016. Report on long term treatment contract was prepared and approved by Executive Committee on 13th April 2016. The Waste Steering Group is working to a timetable that will see the new contract start as planned by April 2017.	Green

			Implement new waste collection service in Hamilton and East Kilbride to incorporate food waste as per proposed plan and subject to Committee approval.	Hamilton and East Kilbride roll out complete and Cambuslang and Rutherglen roll out scheduled to commence in May 2016.	Green
			Council target achieved for total percentage household waste arising that is recycled - 50% in line with Government target.	The 2015-16 recycled household waste figure will be reported in May 2016. Quarter 3 year to date figure is 50.1%.	Green
			Council target achieved for waste tonnage per household (target is lower than 1.1 tonnes)	The 2015-16 waste tonnage figure will be reported in May 2016. Quarter 3 year to date figure is 0.8 tonnes.	Green
14	Progress the design, procurement, monitoring and successful delivery of the Council's projects under the City Deal initiative.	Support the Clyde Valley City Deal infrastructure development programme.	Participate in development of Enterprise Strategy with City Deal partners, particularly in relation to emerging business support policy and practice.	Regeneration Services contributed to information gathering by the consultant appointed to undertake a research study in support of the Glasgow City Deal Enterprise Review. The Service is also a member of the Tontine House Reference Group which is developing an Enterprise hub.	Green

			<p>Subject to the completion of the relevant assurance processes, deliver the three major road infrastructure projects (i.e. Cathkin, Greenhills Road and Stewartfield Way) in line with agreed programme/profiling.</p>	<p>Cathkin Relief Road – contract was awarded on 19 January 2016. All planning conditions have been met. Site works commenced on 4 April 2016, completion is expected in November 2016. Pre-start public event was held on 30 March 2016 to disseminate information of the construction process and timescales. A Small and Medium sized Enterprises (SME) supplier event was held on 31 March 2016 for a selected group of local potential sub-contractors, in line with City Deal requirements.</p> <p>Greenhills Road / Strathaven Road outline business case is being prepared. Design works are progressing now that funding has been approved. Land negotiations have commenced and discussions with owners are ongoing. Compulsory Purchase Order committee report drafted for future Executive Committee.</p> <p>Stewartfield Way strategic business case has been approved. Design works are progressing now that funding has been approved. Discussions have recommenced with the golf course, and options have been drafted for consultation. Initial local traffic modelling (Nerston area only) report is complete and shows that the flyover and associated improvement works to the existing roundabouts are preferred option. Design of geometry has started on the dualling and flyover sections.</p>	Green
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Resource - Education					
Ref	Good Governance Control	Action	Measure	Q4 update 2015/16	Status
4	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials.	Ensure that high standards of governance are being exercised.	Complete Resource Governance self assessment by due date and develop actions to address non-compliant areas.	Education input to Corporate Governance statement is complete.	Green
8	Continue to progress objectives of the Early Years Collaborative and implement changes as a result of the Children and Young People (Scotland) Act 2014.	Ensure South Lanarkshire plays an active part in the national Early Years Collaborative programme.	Develop strategic and operational links between the Early Years Collaborative and the Raising Attainment for All programmes within South Lanarkshire.	Following the merge of the EYC and Raising Attainment for All programmes at local level, there has been a significant extension of work using improvement methodology at school level. A total of 17 pieces of work are being led by educational establishments, and new work is expected to emerge as schools involved in the Scottish Attainment Challenge engage with the approach. Learning is being shared through a local network.	Green
		Address issues appropriate to Inclusive Education in the action plan emerging from the Joint Inspection of Services for Children and Young People.	Implement identified actions within agreed timescales as a follow up to the Joint Inspection of Services for Children and Young People. (Connect 11.2)	Plans to implement the key requirements of the Children and Young People act 2014 underpin our response to the Joint Inspection of Services for Children and Young People. These plans are proceeding according to timescale. Key aspects of the plan are being actioned between now and the onset of compliance in August 2016.	Green
		Further embed the Early Years Framework of Assessment and Intervention for Attachment and Resilience approach.	Monitor the use, by practitioners, of the Early Years Framework of Assessment and Intervention for Attachment and Resilience.	A coaching/mentoring session was undertaken in February 2016 with 8 Early Years workers who provide support to high risk families. The sessions were evaluated as very important. The importance of coaching and mentoring after initial training sessions will inform future action plans in embedding Early Years Framework of Assessment and Intervention for Attachment and Resilience (EY FAIAR).	Green
10	Continue to review, progress and comply with all requirements related to Information Governance.	Ensure that personal data and records are managed sensitively and kept secure in line with the Council's Information Strategy and Security Policy.	Increase the percentage of employees who have undertaken information governance/security and data protection training.	Education Resources continues to provide on-line training for employees to ensure the security and safety of personal data.	Green

Resource - Finance and Corporate					
Ref	Good Governance Control	Action	Measure	Q3 update from 2015/16	Status
1	Continue to review and assess the Council's financial situation in the context of local government economic and budgetary control and raise awareness of potential impact.	Prepare and implement appropriate financial strategies taking account of economic conditions and local government settlements.	Complete the update of 2016-17 Financial Strategy by summer 2015.	A refreshed financial strategy has been produced for 2016-17 and new strategies for 2017-18 and 2018-19 (approved at the Executive Committee, June 2015). These strategies are based on best information with regards to assumptions of government grant and external influences regarding economic conditions.	Green
			Ensure ongoing effective communication and consultation on financial issues with elected members, Executive Directors and Heads of Support Services.	There is ongoing communication with Executive Directors and Heads of Support Service through regular meetings.	Green
		Control Capital and Revenue budgets, including trading accounts.	Deliver effective revenue budgetary control, comparing budget to actual each financial period.	The budgetary control process is ongoing at regular intervals throughout the year.	Green
			Deliver effective capital budgetary control comparing budget to actual each financial period.	The budgetary control process is ongoing at regular intervals throughout the year.	Green
			Monitor and report on capital projects for delivery on schedule and within budget.	The capital project monitoring process is ongoing at regular intervals throughout the year.	Green

			Establish effective Trading Services budgetary control to identify trading surplus position each period.	The Trading Services budgetary control process is ongoing at regular intervals throughout the year.	Green
2	Identify and maximise Council wide efficiency reviews.	Following the 2014-15 Efficiency Review, implement the outcomes and update existing tenders and processes.	Implement the recommendations from the service review to ensure the service keeps pace with changes in the media environment and reduces costs in line with Council's financial strategy.	Implementation of the service review was approved at committee on 11 March 2015 and is underway. Updates will be provided through reporting arrangements to Resource Committee.	Green
3	Finalise the review of Community Planning governance arrangements.	Finalise review of Community Planning Governance arrangements.	The High Level Working Group (established at the 10/12/14 Partnership Board) will, as part of their remit, finalise the governance arrangements.	Completed - Review has been undertaken - the High Level Working Group has been established and a subgroup is now in place - People and Places Group.	Green
4	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials.	Ensure that high standards of governance are being exercised.	Develop and deliver the annual Council Governance Statement by due date.	Annual Statement for 2014/15 developed and delivered by due date. Work on progressing assessment framework for 2015/16 undertaken. Self assessment carried out and Executive Directors Statements considered.	Green
			Complete Resource Governance self assessment by due date and develop actions to address non compliant areas.	Self assessment undertaken. Actions to address non-compliant areas are monitored and considered by the Good Governance Group.	Green
5	Continue to implement changes required by the introduction of the Welfare Reform Act 2012 and subsequent regulations with a specific focus on the financial impact on the introduction of Universal Credit in October 2015.	Prepare and implement appropriate financial strategies taking account of economic conditions and local government settlements.	Manage the implementation of Welfare Reform throughout the Council.	Ongoing monitoring by Corporate Group.	Green

6	Facilitate the implementation of the Public Bodies (Joint Working) (Scotland) Act 2014 in relation to the integration of health and social care. This will require the Council and NHS Lanarkshire to meet a number of specific national and local requirements as determined by the Regulations and Orders of the Act.	Support and facilitate open and transparent governance and decision making arrangements.	Finalise procedural documentation for South Lanarkshire Health and Social Care Integration Board in advance of 1 April 2016. Council's political arrangements documentation to be revised accordingly as appropriate.	<p>Procedural documentation has been drafted and updated in line with legislation/guidance received, although this process is ongoing. The Integration Scheme was approved and the IJB formally constituted as a Legal entity by Order of the Scottish Government on 21 September 2015. The Standing Orders were approved by the IJB on 6 October 2015.</p> <p>The Integration Scheme has been approved by the Scottish Government and passed by the Scottish Parliament in September 2015. Governance procedures were approved by the Integration Joint Board at their inaugural meeting in October 2015 and are now being consulted on.</p> <p>The IJB has approved the Due Diligence process and budget for 2016/17, and the Board's Financial Regulations (on 29 March 2016). The Chief Financial Officer has now been appointed.</p>	Green
9	Identify preventative and collaborative spend in service and partnership areas as appropriate.	Contribute to National Programmes on Shared Service.	The Council's Data Centre at CAIRD will continue to be offered as a shared service to the Scottish Public Sector and beyond.	Completed - Strategic review of Caird Data Centre completed and recommendations approved. Continuing to offer hosting to other public sector organisations until at least 30 June 2019.	Green
			IT Services will continue to engage with the Scottish Local Government ICT Strategy Board to identify opportunities for shared technology and projects where appropriate.	IT Services have participated with Scottish Local Government ICT Strategy Board to share knowledge in areas such as myaccount, mobile working and supplier management. SLC have also participated in the Top Talent ICT Leadership programme. The LG ICT Strategy board has now changed to the Scottish Local Government Digital Transformation Board and SLC IT Services have participated in the development of the draft Digital Transformation strategy.	Green

10	Continue to review, progress and comply with all requirements related to Information Governance.	Promote sound Information Governance.	Take forward a programme of improvement actions in support of the Information Strategy, Records Management Plan and Internal Audit Plan.	Improvement Actions from Internal Audit Plan, Records Management Plan and Information Strategy Improvement Plan have been progressed to plan and some have been closed off. Some, which are ongoing actions, have been carried forward to the forthcoming year's action plans where appropriate.	Green
			Develop South Lanarkshire Council's Records Management Plan for submission to the Keeper of the Records.	The Records Management Plan is now progressing to its final stages of development but will be carried forward to next year's measures as the submission date has now been confirmed as the end of 2016. This is now a standing item on the Information Governance Board meeting agenda.	Green
			Continue to strengthen the good information governance culture in the council through the continued programme of communication to promote the themes of the Information Strategy, Information Security and Records Management Plan.	The Information Governance Board has been issuing regular communications to employees with the most recent briefing on "Information Security While released at the end of March 2016. A programme of topics has been agreed for the forthcoming year.	Green
			Support the continued learning and development of our employees in the area of information governance.	New developments in Data Protection are being taken into account and the Learn On Line courses will be amended to reflect. Also a new Learn On Line course on Freedom of Information is in development. Discussions are taking place with regard to the development of a new course on Privacy Impact Assessments.	Green
12	Continue development of Resource Contingency Plans, Business Contingency Plans and action plan.	Manage and deliver effective IT scrutiny.	Formal business continuity plans and processes are in place for the Council's business critical information systems.	Template documents being created to allow self assessment by key application owners – ongoing process.	Green

13	Commence a review of existing Service Level Agreements and Memorandum of Understandings between the Council and third parties, including ALEOs.	Undertake a Review of existing Service Level Agreements and Memorandum of Understandings.	Number of reviews undertaken during the 2015/16 period.	A Memorandum of Understanding and updated Service Level Agreement have been prepared and put forward for approval the Executive Committee – May 2016)	Green
15	Complete the review of the Risk Management Strategy.	Ensure that high standards of governance are being exercised.	Undertake review of Council's Risk Management Strategy and methodology.	Strategy Developed – to be discussed at CMT – May 2016	Green

Resource - Housing and Technical					
Ref	Good Governance Control	Action	Measure	Q3 update 2015/16	Status
1	Continue to review and assess the Council's financial situation in the context of local government economic and budgetary control and raise awareness of potential impact.	Ensure effective management of all Resource budgets and Business Plans.	Financial reports to RMT/HTR Committee on Resource financial position produced and presented to the RMT - August 2015	Regular internal and Committee Reports ongoing.	Green
			Overall budgetary target achieved by March 2016.	Regular internal and Committee Reports ongoing and out-turns reported on target.	Green
			Delivery of targeted agreed efficiency savings.	Targets achieved with the exception of two items and savings made up from elsewhere in the Resource	Green
2	Identify and maximise Council wide efficiency reviews.	Develop 2015-16 service savings prioritisation proposals.	Future years' savings proposals to be developed and presented to the RMT - August 2015.	Completed - proposals developed and presented to Resource Management Team (RMT).	Green
		Continue to implement the Customer Services Centre (CSC) Review Action Plan.	Develop a timetable and implement first phase of Customer Contact Action Plan. CMT reports Quarter 2 and Quarter 3, 2015/16.	Completed - Recommendations on Phase 1 presented to Corporate Management Team (CMT)	Green

4	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials.	Ensure that high standards of governance are being exercised (through the use of scrutiny forums, audit plans and risk management)	Complete Resource Governance self assessment and declaration by April 2015 and develop actions to address non-compliant areas by March 2016.	Completed	Green
5	Continue to implement changes required by the introduction of the Welfare Reform Act 2012 and subsequent regulations with a specific focus on the financial impact on the introduction of Universal Credit in October 2015.	Continue to revise systems procedures and approach to reflect emerging requirements of the Welfare Reform programme.	Implement action plan on Welfare Reform.	Ongoing - Housing and Technical Resources Action implemented.	Green
			Monitor impact of the Council Tax reduction scheme and implement a programme of promotional activities to increase uptake - ongoing until March 2016.	Completed, uptake still reducing but outwith Council control as it is reflective of the reduction in residents ability to claim CTR	Green
			Develop revised operational procedures to ensure the effective introduction of Universal Credit for new eligible claimants from October 2015.	Ongoing - systems and operational procedures in place for commencement of Universal Credit - October 2015.	Green
			Report on Welfare Reform progress to Committee throughout 2015/16.	Regular internal and Committee Reports ongoing.	Green
6	Facilitate the implementation of the Public Bodies (Joint Working) (Scotland) Act 2014 in relation to the integration of health and social care. This will require the Council and NHS Lanarkshire to meet a number of specific national and local requirements as determined by the Regulations and Orders of the Act.	Ensure effective involvement and input into the establishment of new Health and Social Care Joint Integration Body and strategic plan.	Contribute the joint needs assessment for adult services by Quarter 2, 2015.	Ongoing contribution and reporting	Green
			Ensure appropriate contribution to the Strategic Commissioning Plan by Quarter 4, 2015/16.	Housing Contribution Statement completed and included within final Strategic Commissioning plan	Green

			Develop and specify details of housing services to be delegated to new Shadow Integration Board by April 2016.	Specified and included in scheme.	Green
10	Continue to review, progress and comply with all requirements related to Information Governance.	Implement the Resource Governance and Information Security Action Plan 2015-2016.	Ensure all HTR actions in Information Governance action plan are delivered by the due dates - ongoing until March 2016.	Actions delivered by due date and ongoing until March 2016.	Green

Resource - Social Work

Ref	Good Governance Control	Action	Measure	Q4 update 2015/16	Status
2	Identify and maximise Council wide efficiency reviews.	Implement effective Best Value management arrangements to ensure continuous improvement and efficient and effective service delivery.	Take forward the recommendations from the review of Reception Services.	Reception Services are to be centralised and will be based with the Emergency Social Work Service based at Pollock Avenue, Hamilton. The new service will commence on the 3 rd May 2016 with a staffing compliment of: 1 Team Leader; 3 Social Workers, 6 Social Work Assistants; 1 Admin Worker.	Green
4	Undertake a review of Governance Assessment Arrangements in line with expected 2015/16 CIPFA guidance and EU Directive on Audit Committees and develop training materials.	Ensure that high standards of governance are exercised.	Complete Resource Governance self assessment by due date and develop actions to address non-compliant areas.	The Annual Statement for 2015/16 is now being prepared and will be submitted within Corporate timescales	Green

6	Facilitate the implementation of the Public Bodies (Joint Working) (Scotland) Act 2014 in relation to the integration of health and social care. This will require the Council and NHS Lanarkshire to meet a number of specific national and local requirements as determined by the Regulations and Orders of the Act.	In partnership with NHS Lanarkshire, support the development and implementation of integration arrangements for adult health and social care services.	Within the shadow year finalise and implement governance arrangements for the Integration Joint Board.	Integration Scheme approved by the Scottish Parliament in September, 2015 with the Integration Joint Board (IJB) becoming a formal entity of the public sector from October, 2015 onwards. Final governance arrangements, financial procedures and the Due Diligence exercise to confirm the budget will be presented for approval at the March and April IJB meetings	Green
			Progress the implementation of operational structures to support the roll out of a locality planning model.	Locality link officers have now been identified for each of the four localities, together with an IJB voting member, who will chair the Locality Planning Groups and provide a link back to the IJB. Each of the four localities has now had their first meetings and have a programme of further meetings scheduled for the remainder of the year.	Green
			Agree a core suite of performance measures aligned to the nine national Health and Wellbeing outcomes for Health and Social Care Integration.	A suite of 45 performance indicators linked to the 9 National Health and Wellbeing Outcomes was presented and approved by the IJB at its February meeting. This will now form the basis of future performance reports for the IJB	Green
			Complete a full Health and Social Care strategic needs assessment to inform the development of the Joint Strategic Commissioning Plan.	An extensive piece of work has been undertaken to develop an electronic locality profiling tool. This has enabled, together with support from the 0.5WTE ISD Team to develop locality profiles for each of the four localities. This information maps health and social care and wider needs. Projections of future demand are also progressing to inform how services are designed moving forwards.	Green

7	Implement the Self Directed Support Strategy and actions arising from the 2013 Act. This is a ten year strategy, which will involve significant cultural and organisational change.	Implement the requirements of the Self-Directed Support Act.	Carers Module is developed and tested by 31 March 2016.	Work continues in developing the carers module with an anticipated start date of July 2016. Both of the principle carers organisations in South Lanarkshire have been involved in the development of the new module and are active participants in the development of the councils systems and procedures to support the implementation of the Carers Act which has recently received Royal Assent.	Green
			Develop a Communication Strategy in relation to Self-Directed Support by September 2015.	This is now complete. A range of public information has been developed: <ul style="list-style-type: none"> • Passport for carers, service users, staff • SDS Game for service users with learning disabilities • Leaflet on the 4 funding options • Accessible information on SLC website Further work will be taken forward as a result of the communication strategy. Consideration will be given to more interactive and innovative communication methods	Green
			Develop a system to capture a range of Self-Directed Support activity.	A revised social care return will now capture all data including the four funding options chosen by Service Users: <ol style="list-style-type: none"> (1) Direct Payment (2) Individual Service Fund (3) Council Arranged Services (4) A mixture of the above 	Green
			Report on the number of people who are self-directing their support.	Figures available at the 31 March 2016 indicate the following position: SDS Option 1 – 254 SDS Option 2 – 1 SDS Option 3 – 318 SDS Option 4 – 11	Green

			Support Planning Module is developed, tested and implemented by September 2015.	<p>The Outcome Support Plan was piloted at the end of 2015, however further revisions are to take place before it becomes fully operational.</p> <p>It is anticipated that this will commence in June 2016.</p>	Green
		Implement Self-Directed Support for Children in Need.	Implement the Resource Allocation Group (RAG) and Resource Allocation System (RAS) in respect of Self-Directed Support.	<p>An interim RAS is in place and forms part of the outcomes support planning process for adults and older people's services.</p> <p>The RAS provides an indicative budget to allow the conversation to take place around support options and choices.</p> <p>A RAG (Resource Allocation Group) has been established for Child and Family Services.</p>	Green
			Report on Phase 2 of Self-Directed Support for children to the Child and Family Management Team.	The Children and Families Management Team continue to be kept abreast of ongoing developments regarding the RAS, RAG, Co-Produced Child's Plan, I.T. developments and Young Carer/Carer Support Plan.	Green
8	Continue to progress objectives of the Early Years Collaborative and implement changes as a result of the Children and Young People (Scotland) Act 2014.	Continue to implement the GIRFEC approach.	Report on the progress of the implementation of GIRFEC in relation to the Children and Young People (Scotland) Act, to the Child and Family Management Team and the Executive Board.	<p>The Resource and Partner agencies are looking specifically at Parts:</p> <p>4 – Named Person Service, the provision of a Named Person, and Information Sharing Duties.</p> <p>5 – Child's Plan</p> <p>18 – Assessment of wellbeing.</p> <p>Health and Education continue to work on the details required to put in place the Named Person Service (NPS) for all children and young people entitled to this provision.</p> <p>The first staff newsletter produced and distributed.</p> <p>Scottish Government has released a Consultation document on Part 1 - Children's Rights and Part 3 Children's Service Planning of the CAYP Act. Partners are currently considering a response to this Consultation</p>	Green

				An update report will be provided to the GIRSLC Partnership Board May 2016	
		Evidence the use of the Early Years Collaborative methodology.	Present annual report on Early Years Collaborative methodology to the Child and Family Management Team.	<p>During 15/16 there has been a focus on training and building capacity to carry out improvement using the improvement science approach. Three introductory sessions have been held with a total of 65 staff members attending.</p> <p>The priority themes for the Early Years Group are:</p> <ul style="list-style-type: none"> • 27/30 month review • Supporting developments in speech and language • Parenting support strategy implementation • Addressing Child Poverty • JICS Inspection Actions <p>The Parenting Support Strategy previously a Lanarkshire wide initiative will revert to the GIRSLC Strategy Group. The group will ensure consistency of approach in terms of implementing parenting pathways.</p>	Green
10	Continue to review, progress and comply with all requirements related to Information Governance.	Improve Information Governance in line with audit recommendations.	Facilitate the implementation of actions arising from project review board in respect of Social Work Resources.	Actions arising from the Governance Board continue to be progressed by the RMT within timescale.	Green
			Ensure that accurate vital records templates are in place for the resource's business critical systems.	Vital records have been updated and approved by the Resource Management Team and are in place for the current year.	Green

			<p>Promote Information Governance standards throughout the Resource via management briefings and corporate training tools.</p>	<p>Information governance is promoted on a continuous basis throughout the Resource. Progress is reported to the Management Team.</p>	<p>Green</p>
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