



Audit and Scrutiny Committee

Wednesday, 13 November 2019

NOTICE IS HEREBY GIVEN that a Meeting of the **Audit and Scrutiny Committee** is to be held at **Council Chambers, Council Office, High Street, Elgin, IV30 1BX** on **Wednesday, 13 November 2019** at **09:30**.

BUSINESS

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- 2 Declaration of Group Decisions and Members Interests ***
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- 4 Written Questions ****
- 5 Accounts Commission Paper - Safeguarding Public Money** **11 - 34**
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- 6 Scrutiny Remit of the Committee** **35 - 48**
Report by the Depute Chief Executive (Education, Communities and Organisational Development)
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Report by the Depute Chief Executive (Education, Communities and Organisational Development)
- 8 Local Outcomes Improvement Plan Annual Report** **59 - 88**
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9 Statement of Outstanding Business at November 2019 89 - 92

Report by the Head of Governance, Strategy and Performance

10 Question Time ***

Consider any oral question on matters delegated to the Committee in terms of the Council's Scheme of Administration.

Summary of Audit and Scrutiny Committee functions:

Audit Functions - Consider reports from the Council's internal auditor & Audit Scotland concerning Council Functions.

Scrutiny Functions - Scrutinising the policies of the Council and their effectiveness in meeting the action plans of the Council as set out in the Corporate Development Plan and evaluating the actions of Committees in implementing the action plans set out in the Corporate Development Plan.

Performance Monitoring - To receive reports on the performance of and trends within all of the Council's services in terms of service standards and performance information.

Standards - To ensure that the highest standards of probity and public accountability are demonstrated.

Any person attending the meeting who requires access assistance should contact customer services on 01343 563217 in advance of the meeting.

GUIDANCE NOTES

* **Declaration of Group Decisions and Members Interests** - The Chair of the meeting shall seek declarations from any individual or political group at the beginning of a meeting whether any prior decision has been reached on how the individual or members of the group will vote on any item(s) of business on the Agenda, and if so on which item(s). A prior decision shall be one that the individual or the group deems to be mandatory on the individual or the group members such that the individual or the group members will be subject to sanctions should they not vote in accordance with the prior decision. Any such prior decisions will be recorded in the Minute of the meeting.

** **Written Questions** - Any Member can put one written question about any relevant and competent business within the specified remits not already on the agenda, to the Chair provided it is received by the Proper Officer or Committee Services by 12 noon two working days prior to the day of the meeting. A copy of any written answer provided by the Chair will be tabled at the start of the relevant section of the meeting. The Member who has put the question may, after the answer has been given, ask one supplementary question directly related to the subject matter, but no discussion will be allowed.

No supplementary question can be put or answered more than 10 minutes after the Council has started on the relevant item of business, except with the consent of the Chair. If a Member does not have the opportunity to put a supplementary question because no time remains, then he or she can submit it in writing to the Proper Officer who will arrange for a written answer to be provided within 7 working days.

*** **Question Time** - At each ordinary meeting of the Committee ten minutes will be allowed for Members questions when any Member of the Committee can put a question to the Chair on any business within the remit of that Section of the Committee. The Member who has put the question may, after the answer has been given, ask one supplementary question directly related to the subject matter, but no discussion will be allowed.

No supplementary question can be put or answered more than ten minutes after the Committee has started on the relevant item of business, except with the consent of the Chair. If a Member does not have the opportunity to put a supplementary question because no time remains, then he/she can submit it in writing to the proper officer who will arrange for a written answer to be provided within seven working days.

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THE MORAY COUNCIL

Audit and Scrutiny Committee

SEDERUNT

Councillor Donald Gatt (Chair)
Councillor Claire Feaver (Depute Chair)
Councillor James Allan (Member)
Councillor Frank Brown (Member)
Councillor Theresa Coull (Member)
Councillor John Cowe (Member)
Councillor Lorna Creswell (Member)
Councillor Tim Eagle (Member)
Councillor Ryan Edwards (Member)
Councillor Marc Macrae (Member)
Councillor Aaron McLean (Member)
Councillor Derek Ross (Member)
Councillor Amy Taylor (Member)

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Minute of Meeting of the Audit and Scrutiny Committee

Wednesday, 19 June 2019

Council Chambers, Council Office, High Street, Elgin, IV30 1BX

PRESENT

Councillor Frank Brown, Councillor Theresa Coull, Councillor Claire Feaver, Councillor Donald Gatt, Councillor Aaron McLean, Councillor Derek Ross, Councillor Amy Taylor

APOLOGIES

Councillor James Allan, Councillor John Cowe, Councillor Lorna Creswell, Councillor Tim Eagle, Councillor Ryan Edwards, Councillor Marc Macrae

IN ATTENDANCE

The Chief Executive; the Head of Financial Services; the Head of Legal and Democratic Services; the Audit Manager and Mrs C Howie, Committee Services Officer as Clerk to the Meeting.

1 Chair of Meeting

The meeting was chaired by Councillor Gatt.

2 Declaration of Group Decisions and Members Interests *

In terms of Standing Order 20 and the Councillors' Code of Conduct, there were no declarations from Group Leaders or Spokespersons in regard to any prior decisions taken on how Members will vote on any item on the agenda or any other declarations of Member's interests in respect of any item on the agenda.

Councillors Coull, A McLean and Taylor entered the meeting at this juncture and thereafter advised they did not have anything to declare in respect of this item.

3 Councillor Conduct

The Chair advised that 4 Members of the Committee had complained to him about the conduct of 2 Members at the previous meeting. He took the opportunity to remind all of Standing Order 77 in respect of the Councillors' Code of Conduct and respectfully requested they read it.

4 Minute of Meeting dated 24 April 2019

The Minute of the meeting of the Audit and Scrutiny Committee dated 24 April 2019 was submitted and approved.

5 Written Questions **

The Committee noted that no written questions had been submitted.

6 Accounts Commission Paper - Safeguarding Public Money: Are You Getting it Right?

A report by the Corporate Director (Corporate Services) provided Committee with details of a recent Accounts Commission publication relating to the roles of Councillors and officers in safeguarding public money.

Councillor Feaver sought clarification on how the Council has taken a proportionate approach to achieving good governance by seeking to secure appropriate arrangements at optimal cost.

In response the Audit Manager advised this is referred to within other papers in the report; sound governance arrangements are outlined within a separate report on the agenda and commentary is included in what the Council does well and what requires improvement.

Councillor Brown sought clarification on internal controls in respect of financial regulations as he was aware that in a small number of areas these were not always being followed.

In response the Audit Manager advised procedures are robust, documented and available for staff. He further advised there are a large number of transactions across the Council and if there was an issue that did not comply with policy then it would require investigation, but this would have to be proportionate. He gave reasonable assurance rules and regulations are promoted with staff, noting that if occasional breaches occurred, these would need to be considered to understand if additional measures are required.

Councillor Feaver sought clarification on whether any improvements identified by the audit team were tracked to see if they were adopted by the relevant personnel.

In response the Audit Manager advised that the audit team track actions and where there are exceptions these are reported to Committee.

The Chair stated that agenda setting meetings take place ahead of Committee, thanked the officers for arranging these for several Committee cycles and asked that draft copies of reports be provided at the meetings where possible. He then encouraged all Committee Members to thoroughly read papers ahead of Committee and raise questions where required.

Thereafter the Committee agreed to note:

- i. the latest in the Accounts Commission series of reports on 'How councils work' entitled 'Safeguarding public money: are you getting it right?';
- ii. there are checklists on eight separate subject areas that are within the scope of the report and agreed that these will be considered in detail across this and

the next three meetings of this Committee;

- iii. the council has taken a proportionate approach to achieving good governance by seeking to secure appropriate arrangements at optimal cost; and
- iv. Council responses to the questions in the two checklists covering Internal Control and Risk Management, and Audit Committees.

7 Annual Governance Statement

A report by the Corporate Director (Corporate Services) provided Committee with a copy of the Council's Annual Governance statement for 2018/19 for information/review.

Councillor Brown sought clarification in respect of the Integration Joint Board (IJB) and whether the Council would need to review its governance arrangements given that almost 50 percent of the Council's budget is allocated to the IJB.

The Audit Manager advised the accounts for the IJB are separate to the Council and also contain a governance statement that outlines the roles and responsibilities of what they deal with.

Councillor Ross sought clarification, for the benefit of the public, on the external review of Council Management structures and how it will be progressed.

The Chief Executive advised the review was on schedule to be reported to the Council meeting on 27 June.

In response to a query from Councillor Feaver the Audit Manager agreed to supply links to background papers where appropriate.

Thereafter the Committee agreed to note the contents of the Annual Governance Statement provided as Appendix 1 of the report.

8 Internal Audit Annual Report - 2018/19

A report by the Corporate Director (Corporate Services) provided Committee with a copy of the Internal Audit Annual Report for the year ended 31 March 2019, together with the internal audit manager's opinion of the adequacy and effectiveness of the council's system of internal control.

Following consideration the Committee agreed to note the contents of the annual report given as Appendix 1 to the report.

9 Report on the Work of the Internal Audit Section in the Period from 1 January 2019 to 31 March 2019

Under reference to paragraph 7 of the draft Minute of the meeting dated 24 April 2019 a report by the Corporate Director (Corporate Services) advised Committee on the work of the Internal Audit Section for the period from 1 January 2019 to 31 March 2019.

In response to a query from the Chair in relation to payroll access controls the Audit Manager advised staff in the payments section had individual user access however a generic login was being used by those with a role in supporting the system. This was raised as an issue and was being addressed.

In response to a query from Councillor Feaver the Audit Manager advised he was hopeful the system supplier could develop the audit log function to enable monitoring reports on user activity to be produced. If this could not be done then further work would be required to ascertain if additional checks would require to be introduced.

In response to a query from Councillor Taylor in relation to the audit of winter maintenance the Audit Manager advised that Elgin had the only covered salt storage in the area. A cost benefit analysis would be required to determine whether additional covered areas would be appropriate.

Councillor Brown during consideration of the audit of the Social Care - Contributions Policy sought clarification that systems responded quickly enough to ensure that when care packages change people would not be financially disadvantaged while the Council's systems caught up with changes.

In response the Audit Manager advised he was confident the systems work well to prevent this happening.

Councillor Feaver raised concern about a potential weakness in control where a variety of separate systems were in use for recording information.

In response the Audit Manager advised audit work had noted this resulting in recommendations being made to ensure appropriate reconciliations were carried out and that he would be returning to the service to see if progress had been made.

The Chair, returning to the Winter Maintenance audit, sought clarification on how confident the Audit Manager was that departments were forecasting their budget to a degree of accuracy such that the Council wouldn't face an unforeseen overspend later in the year.

In response the Audit Manager advised he had discussed this with the Head of Financial Services. The Head of Financial Services advised that in relation to Roads Management it is unusual to have an overspend as should winter maintenance increase, roads maintenance would decrease and vice versa; and this usually had a balancing effect on the overall budget.

Thereafter the Committee agreed to note the contents of the report.

10 Customer Focus Update

Under reference to paragraph 8 of the Minute of the meeting dated 29 April 2015 a report by the Corporate Director (Corporate Services) informed Committee of progress in implementation of the Council's Customer Focus Strategy and Charter.

Discussion took place on customer feedback and complaints and it was stated that it would be helpful if lessons being learned through complaints were specified.

Thereafter the Committee agreed to note the progress in implementation of the Council's Customer focus Strategy and Charter.

11 Gifts and Hospitality

A report by the Corporate Director (Corporate Services) advised Committee of the receipt of gifts and hospitality to officers across Council services valued above £30 in 2018/19.

In response to a query from Councillor Ross the Chief Executive advised the Royal International Air Tattoo had taken place at RAF Fairford and the Royal Air Force 100 in Scotland Charity dinner had been held in Edinburgh.

Thereafter the Committee agreed:

- i. to note the number and level of the gifts and hospitality received; and
- ii. that the current system of notification and recording is appropriate.

12 Statement of Outstanding Business at June 2019

A report by the Chief Executive asked Committee to consider progress and timescales in relation to follow-up reports and actions requested by the Committee at previous meetings.

In relation to the Local Outcome Improvement Plan (LOIP) update noted in appendix 1 of the report the Chief Executive advised that the member of staff task with completion of this had been on long term sick, this has recently been allocated to other members of staff; a completion date has yet to be set.

In response to a query from Councillor Feaver the Chair advised that a meeting was planned for August to discuss an Internal Scrutiny Charter.

Thereafter the Committee agreed to note progress and timescales in relation to follow-up reports requested by the Committee.

13 Question Time ***

There were no questions raised.



REPORT TO: AUDIT AND SCRUTINY COMMITTEE ON 13 NOVEMBER 2019

SUBJECT: ACCOUNTS COMMISSION PAPER – SAFEGUARDING PUBLIC MONEY: ARE YOU GETTING IT RIGHT?

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 To provide Committee with the second in a series of four reports considering the issues raised in a recent Accounts Commission publication relating to the roles of councillors and officers in safeguarding public money.
- 1.2 This report is submitted to Committee in terms of Section III (I) (3) of the Council's Scheme of Administration relating to consideration of reports prepared by the Accounts Commission/Audit Scotland.

2. RECOMMENDATIONS

2.1 Committee is asked to:

- i) **note this consideration of a further two aspects of the Accounts Commission report on 'How councils work' entitled 'Safeguarding public money: are you getting it right?';**
- ii) **review and consider council responses to the questions in the two checklists covering Fraud and Corruption, and Partnership Working'; and comment on any matters arising; and**
- iii) **note the council has taken a proportionate approach to achieving good governance by seeking to secure appropriate arrangements at optimal cost.**

3. BACKGROUND

- 3.1 In April 2019, the Accounts Commission published its latest report in its series of How Councils Work entitled: Safeguarding public money: are you getting it right?
- 3.2 The paper is of particular interest to officers and councillors involved with the Audit and Scrutiny Committee given its focus on areas falling within the remit of the committee. These relate to good governance, the management of risk

and the importance of maintaining sound systems of internal control. A copy of the full report is available at: https://www.audit-scotland.gov.uk/uploads/docs/report/2019/nr_190411_hcw_safeguarding.pdf

3.3 The report notes the challenging and changing circumstances that councils are currently facing and the importance, more than ever, of having effective risk management and strong internal controls.

3.4 Key messages from the report are:

- An effective system of internal controls and risk management help councils to safeguard their finances, ensures they implement their policies and helps them to deliver high quality services;
- There are signs from councils' internal auditors and the work of councils' external auditors that standards of internal controls may be strained. Consequences could be serious, the report suggests, including the loss of significant amounts of public money, impacts on services and reputational damage;
- Ultimately councillors are accountable for scrutinising a council's use of public money. Senior officers have the primary responsibility of ensuring internal controls and risk management operate effectively and that a council's internal auditing function provides a valuable and objective view; and
- Councillors should seek assurances from officers that a rigorous system of internal control is in place. Scrutiny and audit committees have leading roles but every committee and councillor has a scrutiny role too.

3.5 The report explores these general issues under eight themes and for each theme a checklist has been prepared for councillors' consideration as follows:

- Internal controls and risk management – reported to this Committee on 19 June 2019 (Para 6 of the draft Minute refers)
- **Fraud and corruption**
- Consequences of weak controls
- Audit committee – reported in June 2019
- **Partnership working**
- Councillors' continuous professional development
- Statutory Officers and the Chief Education Officer
- Internal audit function

The checklists are provided in summary form as **Appendix 1**.

3.6 This report considers the topics of **Fraud and Corruption** and **Partnership Working**.

Fraud and Corruption

3.7 With ever increasing pressures on the public purse it is important that the risk of loss through fraud, corruption or other irregularity is minimised.

- 3.7.1 Accordingly, the council has in place a Policy to Combat Fraud, Theft Bribery and Corruption. This policy underpins the council's financial regulations, and complements guidance from codes of conduct for both councillors and officers. These codes refer to the high standards expected of those in public life.
- 3.7.2 The Fraud etc. policy was last updated in 2012 and essentially remains fit for purpose. Various minor amendments are being proposed for consideration by this committee prior to the policy being resubmitted to Policy and Resources Committee for approval. A copy of the updated policy in draft is provided as **Appendix 2**.
- 3.7.3 Of particular note, the Accounts Commission report highlights cyber security as being increasingly important as the use of digital technology becomes central to the way public services are delivered. Various risks present around theft or corruption of data and when such incidents occur, the possibility of financial loss and reputational damage are significant. Attempts to access bank accounts for fraudulent purposes are also widespread and information received on latest reported 'scams' is shared with relevant services as appropriate.
- 3.7.4 The report while noting that cyber security risks are high also acknowledges that councils are required to meet high standards of information security and that few serious issues have arisen in councils. Nevertheless, the threat is recognised and work on cyber resilience continues within ICT. Internal Audit work in this area is also scheduled within the current year internal audit plan.

Partnership Working

- 3.8 The report affirms that partnership working is increasingly prevalent given changing models of service delivery. It notes that on some issues 'the centre of gravity in discussion and decision making is moving away from councils themselves yet councillors must remain sighted on their duties to their council and their council remains accountable to the local communities it serves'. It further notes that councillors should expect officers to report to them on the activities, finances and performance of each partnership in achieving its intended outcomes
- 3.8.1 Four partnership areas are referenced;
- Community Planning, which in Moray is directed by a Community Planning Board responsible for development and oversight of the Local Outcomes Improvement Plan
 - Health and Social Care, overseen by the Moray Integration Joint Board (IJB) and supporting Committees
 - Arm's Length External Organisations, for now limited to the council's relationship with Moray Leisure Centre; and
 - the Moray Growth Deal; a recently announced funding support programme from UK and Scottish Governments. The aim of these collaborations is to drive inclusive economic growth in the local area.

- 3.8.2 A report to the Community Planning Board in September gave an update on progress with the objectives outlined in the Local Outcomes Improvement Plan (LOIP), notably the two plans for communities in Buckie and New Elgin.
- 3.8.3 Reporting to the IJB and its supporting committees take place through an established programme of scheduled meetings covering a wide range of topics including service planning, transformation and financial matters.
- 3.8.4 The council's relationship with the Leisure Centre is longstanding albeit the 25 year period of the original lease agreement is now at an end, with interim arrangements in place pending completion of the Leisure Services Review. Reporting on Leisure Centre activity and funding is to the Children and Young People's Committee.
- 3.8.5 Much work has been undertaken to secure the growth deal for Moray with reporting on same having taken place both to the Council and the Community Planning Board. Governance arrangements for moving into the next phase of the programme have been worked up and will involve a range of partners from the public, private and third sectors.
- 3.8.6 Elected members are represented on the decision making bodies for each of the areas outlined in the preceding paragraphs, with representation generally determined and approved in terms of council constitutional arrangements (appointments to outside bodies). This practice is long established but may merit review given the expectations set out in the Commission's report that councillors must maintain adequate oversight of these functions. This will be considered as part of the review of governance structures taking place as part of the Council's Improvement and Modernisation programme.
- 3.8.7 Although not specifically mentioned in the Accounts Commission paper there are other partnership working arrangements that can be developed locally, an example in this council being the NESS Energy from Waste project being taken forward with Aberdeen City and Aberdeenshire Councils. Each such arrangement has its own governance and accountability structures.
- 3.9 The completed checklists covering fraud and corruption, and partnership working are provided as **Appendix 3**.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

Use of public money to optimum effect will support the ability of the council and its partners to deliver agreed outcomes contained within strategic plans.

(b) Policy and Legal

In its governance review, the council may need to revisit its governance arrangements for partnership working to ensure these remain appropriate where new ways of working are adopted.

(c) Financial implications

The report recognises the financial challenges that the public sector continues to face and asks the council to consider elements of the governance arrangements it has in place to safeguard public funds.

(d) Risk Implications

Taking steps to deter and detect fraud and similar activities and maintaining sound governance arrangements around partnership working are integral to reducing risks that may impact on the council's ability to achieve its stated outcomes.

(e) Staffing Implications

No direct implications.

(f) Property

No implications directly arising from this report.

(g) Equalities/Socio Economic Impact

No implications directly arising from this report

(h) Consultations

The Chief Executive, both Depute Chief Executives, Chief Financial Officer and the Monitoring Officer have been consulted and are in agreement with the report where it relates to their area of responsibility.

5. CONCLUSIONS

- 5.1 The responsibility for good governance, risk management and the maintenance of effective internal controls is with management, with the involvement of other officers in support roles, internal audit in the provision of independent assurances on these topics, and oversight and reporting by the council's appointed External Auditor.**
- 5.2 The Accounts Commission report provides useful information on governance, risk and internal control for all elected members and in particular for those who are members of the Audit and Scrutiny Committee.**

Author of Report: Atholl Scott
Background Papers: Accounts Commission paper
Ref: AS /asc/131119

Accounts Commission

Safeguarding Public Money: are you getting it right?

Summary of checklists for councillors

The following questions may help you to think about internal controls and risk management in your council.

Is the answer Yes, Maybe/Partly, or No? Is action required? If so, what action and who by?

Checklist 1. Internal controls and risk management

- Do internal controls link with key corporate and service-level risks?
- Do internal controls apply to both financial and non-financial risks?
- Has the council identified the weakest internal controls?
- Are officers improving weak internal controls and minimising the risks they pose?
- Does internal auditing evaluate controls' effectiveness, and report to the audit committee?
- Does the audit committee take appropriate action?
- Does the council publicly review its system of internal controls annually?
- Is risk management actively led, supported and promoted by councillors and senior officers?
- Does the council have an up-to-date, corporate-level, risk management strategy?
- Does the corporate risk management strategy address the council's risk appetite?
- Does the council have up-to-date corporate-level and service-related risk registers?
- Is risk management embedded in business practices at both corporate and service levels?
- Does systematic evaluation and prioritisation of risks and opportunities lead to timely action?
- Are key risks and action to mitigate them monitored and reported on throughout the year?
- Do officers' reports to committees cover both financial and non-financial risks?
- Is there sufficient, timely training and ongoing support for you and relevant officers?

Checklist 2. Fraud and corruption

- Does the council have a fraud and corruption strategy for all its business, including its partnerships?
- Have cases of fraud and corruption been identified in each recent year?
- Have there been successful prosecutions for fraud or other criminal behaviour?
- Of the money lost to fraud/corruption, what percentage has been successfully recovered?
- Is the whistleblowing policy monitored for take-up; and are concerns acted upon?
- Are staff and other resources for fraud investigation proportionate to risks that the council faces?
- Are all allegations of fraud or corruption risk-assessed, and investigated accordingly?
- Are fraud alerts and good practice shared among council services in a timely way?
- Are there cost-effective measures for recovering money lost to fraud and corruption?

- Does the council actively take part in the National Fraud Initiative and act on its findings?
- Is comprehensive information on fraud and corruption reported to a relevant committee?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Checklist 3. Consequences of weak controls

- Which services have been most affected by weak controls, and why?
- Has internal auditing tracked, assessed and reported to a committee on weak controls' impacts?
- Have consequences of weak controls for ongoing service delivery been assessed?
- Could the council do more to anticipate longer-term risk trends, such as cyber-crime?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Checklist 4. Audit committee

- Do audit committee councillors have a clear remit that addresses the latest guidance by the Chartered Institute of Public Finance and Accountancy (CIPFA)?
- Does the chair of the committee manage committee meetings effectively?
- Does the chair routinely liaise with the head of internal audit before committee meetings?
- Do the committee's councillors attend routinely, prepare well and challenge officers appropriately?
- Does the committee approve internal audit's annual workplan and reports?
- Can internal audit report to senior officers and the audit committee without fear or favour?
- Do officers provide committee members with timely, well-written and useful reports?
- Do internal audit reports set out comprehensively and clearly what needs to improve, and how?
- Does the committee endorse and track improvements proposed by internal auditing?
- Has the committee identified the top five risks to the council?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Checklist 5. Partnership working

- Do the council's governance and internal controls mitigate partnerships' risks to the council?
- Does the council have risk registers concerning its various partnerships?
- What resources (such as staff, buildings and money) does the council contribute to partnerships?
- Does each partnership have a clear purpose and explicit, outcome-based objectives?
- Are governance arrangements for each partnership clear, documented and fit for purpose?
- Does the council apply the code of practice on 'Following the Public Pound' to each arm's-length external organisation?
- Does the council have sound reasons for having a representative on a partnership's board?
- If you sit on a partnership's board, do you appreciate what is required of you and the linked risks?
- Is there good-quality, transparent and publicly accessible performance information?

- Are concerns about risks posed by partnerships escalated suitably within the council?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Checklist 6. Councillors' continuing personal development

- After the last election, was the general induction programme for councillors successful?
- Do officers give you good support on knowledge topics (such as internal controls)?
- Do officers give you good support on personal skills (such as chairing meetings)?
- Do you fully understand your roles and duties at council, cabinet, committee and ward levels?
- Have you made good use of the Improvement Service's support and publications?
- Do you have a personalised CPD programme?
- Do you actively participate in, and benefit from, the support made available to you?
- Do officers monitor and understand councillors' take-up of training and development?
- Where you do not engage fully in training and development, how could officers help more?
- Does CPD for councillors help you to be effective in your governance and scrutiny roles?

Checklist 7. Statutory officers and chief education officer

- Are the roles of these officers clearly set out in the council's governance documents?
- Do these officers sit on the corporate management team, or have ready access to it?
- Are these officers sufficiently resourced to discharge their roles and responsibilities?
- Do these officers have the influence needed for ensuring the council operates effectively?
- Do councillors and committees understand how and when to consult these officers?
- Do these officers give helpful, timely, impartial support to councillors and other officers?
- Do these officers have a constructive relationship with the senior management team?
- Do you have confidence in your council's key officers?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Checklist 8. Internal auditing function

- Does internal auditing (IA) follow Public Sector Internal Audit Standards and other reputable guidance?
- Is IA objective; free from undue influence; and independent in its thinking, work and reports?
- Is IA suitably located in the council's structure?
- Is IA sufficiently resourced to recruit, retain and develop the staff it requires?
- Is IA free of operational responsibilities that could risk compromising its independence?
- Is IA's work aligned with the council's strategies, objectives and risks?
- Does IA give senior officers and councillors clear, timely, objective, risk-based assurance?
- Does the head of IA have unrestricted access to the chief executive?
- Does the head of IA give committees the information they need to make informed decisions?
- Is there sufficient timely training and ongoing support for officers and councillors, including you?

Appendix 2



Policy to Combat Fraud, Theft, Bribery and Corruption

Policy to Combat Fraud, Theft, Bribery and Corruption

1. Introduction

The Council, as a major public sector organisation, recognises its responsibilities for good governance and for the proper stewardship of public funds. It has a duty to secure best value in the administration of these funds and is committed to preventing fraud, theft, corruption and bribery. The Council is also committed to developing, maintaining and promoting a culture of vigilance, as well as the reporting and investigation of such activities.

This policy is built around a counter fraud culture supported by practices to deter and detect fraudulent and corrupt activities. It takes account of the Council's statutory obligations, including, and in particular, the provisions of the Bribery Act 2010.

2. Scope of the Policy

This policy applies to all Moray Council employees, elected members, workers, agents and associated persons, companies and organisations performing services for and on behalf of the Moray Council. All reference to "employees" and "elected members" in this policy shall include reference to workers, agents and associated persons, companies and organisations performing services for and on behalf of the Moray Council.

3. Culture

There is an expectation that all staff and elected members will act within the law and with honesty and integrity at all times. In particular, all staff and elected members are expected to refrain from engaging in fraudulent or corrupt activity of any kind and shall refrain from the offering, making or accepting bribes, whether financial or otherwise.

All Council staff are expected to report any concerns regarding actual or suspected fraud, theft, corruption and bribery either directly to the Internal Audit Manager, as required by Financial Regulations where financial impropriety is concerned, or in terms of the Council's Confidential Reporting (whistleblowing) policy administered by the Human Resources Service. Elected members are expected to report in similar terms the same to the Council's Monitoring Officer.

Likewise there is an expectation There is a similar requirement that all workers, agents and associated persons of companies and organisations providing works, goods, or services to the Council will support the culture promoted in this policy by adhering at all times to conditions of contract specified by the Council.

The counter fraud, theft, corruption and bribery culture is evident within the Council's Code of Corporate Governance developed in line with CIPFA/SOLACE guidance. Governance standards promote values and behaviours for the Council that demonstrate how it will uphold good practice governance and high standards of conduct. These include codes of conduct for both elected members and employees and reflect the principles of public life identified by the Nolan Committee, including selflessness, honesty and integrity. This also takes in the Duty (Public Service) and Respect principles added by the Scottish Executive.

Breaches of the Councillor's Code may be referred to the Standards Commission.

Breaches and breaches by employees may be the subject of internal disciplinary procedures. These procedures are comprehensive and provide that theft, fraud, attempted fraud, corrupt behaviour or bribery may constitute gross misconduct leading to summary dismissal.

Council staff are an important element in its stance on fraud, theft, corrupt and bribery practices. Staff recruitment procedures require references to be taken up for potential staff in terms of their propriety and integrity prior to an offer of employment being made. There is a general expectation that all employees will follow any code of conduct related to their personal professional disciplines.

Staff ~~can~~ are actively encouraged to raise any concerns they may have in relation to malpractice where this is associated with the Council's activities. The Confidential 'whistle blowing' policy and procedure is in place which enables employees to raise any concerns they may have about any aspect of the Council's work without fear of victimisation, subsequent discrimination or disadvantage, and in the knowledge that such concerns will be properly investigated.

4. Prevention

The Council has a statutory responsibility to make arrangements for the administration of its financial affairs under the direction of a proper officer - the Chief Financial Officer. ~~Head of Financial Services.~~ The Council also has incorporated within its standing orders and procurement procedures arrangements in respect of contracts for the supply of goods or materials and the execution of works. These ensure that ~~uniform~~ established and consistent contracting procedures are available for use by the Council, and all procuring officers are either fully trained or are given support ~~by~~ from procurement officers as part of the Supported Tender Process.

The Audit and Scrutiny ~~Performance Review~~ Committee has a remit which includes ensuring that the highest standards of probity and public accountability are demonstrated. This ~~its role~~ involves oversight of ~~enhancing internal control processes as a contribution to good governance arrangements by promoting internal control and risk management and by~~

generally supporting an anti - fraud, theft, corruption and bribery culture. The Committee meets regularly and considers reports produced by internal and external audit on the Council's systems; reports which include recommendations to strengthen internal controls and in turn reduce the risk of fraud and related behaviours going undetected of internal control including measures to prevent and detect fraud, theft, bribery and corruption.

Managers too have an on-going responsibility for implementing effective systems of control which secure the legitimacy of expenditure, the safeguarding of assets and income, the reliability of management information, the accuracy of record keeping and compliance with statutory guidance. They also have a responsibility ~~are responsible~~ for communicating this policy to their staff and ensuring established systems are followed. ~~This ensures fraud, theft, corruption and bribery prevention procedures are as effective and robust as possible.~~

In addition, risk management arrangements have been adopted~~developed~~ to identify areas, existing or new, which may be susceptible to fraud, theft, corruption or bribery and to implement controls to manage any identified risks.

The effectiveness of these controls is independently monitored on a planned basis by internal audit in accordance with an annual plan of work endorsed by the Audit and Scrutiny~~Performance Review~~ Committee.

~~Housing Benefit and Council Tax Benefit fraud is a major concern nationally and a separate Benefits Fraud team has been set up within the Revenues Section of the Corporate Services Department. The team will apply the general principles of this policy in conducting their work together with a separate but related Fraud Sanctions Policy based on guidance provided by the Department for Work and Pensions.~~

Investigation of Housing Benefit Fraud is the responsibility of the Department for Work and Pensions (DWP), this benefit, however, remains in payment by the council. The council has nominated a single point of contact within Internal Audit – a Corporate Investigations Officer - to enable the information necessary to progress any investigations to be extracted and exchanged with DWP. A joint working protocol is in place. The Corporate Investigations Officer also has a remit to consider allegations of tenancy fraud, suspected false applications for council tax reductions or discounts, and misuse of awards made from the Scottish Welfare Fund.

There is a requirement that staff must declare any conflicts of interest arising directly or indirectly from their employment with the Council. This interest may be financial or be one that a member of the public might reasonably think could influence the judgement of a member of staff. In order to avoid any accusations of impropriety, staff must alert their line manager of any potential conflicts of interest and the line manager, in turn, must pass details of these to the Head of Human Resources for recording in a register of staff interests.

A separate policy applies to employees who undertake other employment outside the Council. Normally, a request by a member of staff to undertake such employment will not be refused, unless there is a clear conflict of interest or it is likely to have an adverse effect on the work of the Council. Where approval is given to an employee to undertake paid outside work in line with the policy, details must be forwarded to the Head of HR, ICT and Organisational Development ~~Human Resources~~ for retention. Employees are not permitted to use equipment and resources of the Council in any paid outside employment or for personal benefit.

A register of members' interests is maintained to record interests declared by elected members.

Elected members and employees are required to declare any offers of gifts or hospitality which are, or may be construed to be, related to the performance of their duties with the Council. These must be reported to the Democratic Services Manager for recording in registers of gifts or hospitality. In line with current Council policy, hospitality or gifts not exceeding £30 in value may be accepted, but elected members or employees must not accept repeated gifts or hospitality from the same source, and they should not accept free travel, accommodation, or other inducements from current or prospective suppliers to the Council.

Further preventative measures are promoted through a Corporate Integrity Group, chaired by the Monitoring Officer and including officers from Finance, Internal Audit, Trading Standards, HR, Procurement, Property Services, IT, and Press/PR.

The Group's purpose is to:

- Identify potential vulnerabilities in systems and procedures;
- Have an action plan to address them;
- Improve lines of communication both within the Council and with the Police and other Councils;
- Monitor policies and practice in this area

The Action Plan details known crime, fraud and corruption risks with the mitigation measures in place for each. The plan is regularly reviewed in light of alerts from the National Fraud Initiative, Police Scotland and from relevant press articles. Where appropriate these are shared with staff to encourage increased vigilance against potential threats.

5. Detection and Investigation

Fraud

The Financial Regulations provide that where any matter arises which involves or is thought to involve a fraud or other irregularity that affects the

affairs of the Council the matter should be drawn to the attention of the Internal Audit Manager.

The Internal Audit Manager shall then arrange for an investigation to be carried out. These will be investigated to the extent necessary depending on the circumstances presenting in each case. in accordance with the Council's Fraud Response Plan. In the event that the investigation indicates misconduct by a member of staff the council's disciplinary procedures shall apply.

Further, wWhere misconduct is established, the Internal Audit Manager in consultation with the relevant Head of Service and the Depute Chief Executive (Education, Communities and Organisational Development) Corporate Director (Corporate Services) will determine if the matter should be referred to the police having regard to all salient factors of the case.

Where there is a financial loss, the council will seek to recover the amount of the loss, including where a fraud is material, by means of consideration will be given to recovery through ing losses in a civil court. In determining the action to be taken, regard will be had to the amount of the loss, the likely costs of any recovery action and the prospects of successful recovery of the amounts lost.

Where an employee has left employment as a result of a negligent act or misappropriation of funds it may be possible to recover all or part of any losses from the pension benefits of the employee. Such action will be taken in consultation with the Chief Financial OfficerCorporate Director (Corporate Services).

The Council participates in the National Fraud Initiative. This requires submission of various data sets at prescribed intervals every two years via Audit Scotland to the Cabinet Office Audit Commission. The information supplied is matched to similar data provided by other public bodies and then made available to the Council for use in data matching exercises designed to detect fraud and error. Matches shall be tested to the extent necessary to provide assurances on the accuracy of council systems or to follow up the circumstances arising from suspected irregularities.

Bribery

Employees

The Council will fully investigate any instances of alleged or suspected bribery through the Council's disciplinary procedures. Where an employee is found to have offered, given, solicited or accepted a bribe this may constitute gross misconduct and could result in summary dismissal.

Elected Members

Where allegations are made about an elected member having offered, given, solicited or accepted a bribe, the matter shall be referred to the Monitoring

Officer. The Monitoring Officer may refer the matter to the Police and/ or the Ethical Public Standards Commissioner for investigation.

6. Training

The Council recognises that the continuing success of its policy to combat fraud, theft, bribery and corruption and its general credibility will depend largely on the effectiveness of ~~programmed~~ training and responsiveness of staff throughout the organisation.

To facilitate this, the Council supports the concept of induction ~~and training~~, with emphasis on the application of codes of conduct for elected members and staff. These codes promote and encourage behaviours consistent with the principles of public life. Refresher sessions are available from time to time for elected members and through the Moray Management Methods training programme for staff, particularly for staff involved in internal control systems and those staff and elected members who may be at greater risk of being bribed. This is to ensure that their responsibilities and duties in this respect are regularly highlighted and reinforced. Specific specialist training is also provided for Benefits Fraud staff, including advice on personal safety and security.

~~Risk assessments will be undertaken for each of the Council's key business activities and the individuals at the highest risk of exposure to bribery identified. This includes those involved in high value projects, purchasing products and services, making certain recommendations to committee, processing certain applications etc. Training will be provided to appropriate employees who have been identified as being at potential risk of exposure to bribery.~~

7. Summary / Key Messages

The Council will not condone fraud, theft, bribery or corruption, whether it is attempted on the Authority or from within it.

An anti-fraud culture has been adopted to encourage staff to report on suspected malpractice.

Preventative measures have been put in place to minimise the risk of fraud or irregularity going undetected.

Any suspected fraudulent activity shall be investigated promptly and thoroughly, with appropriate disciplinary actions being taken against those responsible.

Updated: xxxxxxxxx 2019 January 2012

Appendix 3

Accounts Commission Report
Safeguarding public money: are you getting it right?
Extracts from Checklists with council responses

(a) Fraud and Corruption

QUESTION	YES/NO/ PARTLY	RESPONSE
Does the council have a fraud and corruption strategy for all its business including its partnerships?	Yes	The council has a policy to combat fraud, theft, bribery and corruption. The policy covers all aspects of misuse of council funds and other resources although does not specifically refer to partnerships
Have cases of fraud and corruption been identified in each recent year?	Yes	Instances of fraud are relatively rare, corruption even more so, the council having an extensive range of governance policies procedures and practices to mitigate such risks. Only one fraud exceeding £50,000 in value has been identified since the inception of this council. Benefits Fraud was until 2015 investigated by a team of council officers; this responsibility then transferred to the Department for Work and Pensions (DWP), who liaise with the council on relevant cases.
Have there been successful prosecutions of fraud or other criminal behaviour?	Yes	In the major case referred to above police were involved a prosecution was taken the individual was convicted and the monies recovered. Each case or potential case presents different circumstances which are carefully considered in determining the way forward, with decisions regarding disposal taken by chief officers. Members are apprised of circumstances

		through reports to Audit and Scrutiny Committee.
Of the money lost to fraud and corruption what percentage has been successfully recovered?		Restitution is sought and is generally secured in each instance. A separate summary record of amounts recoverable in all cases is not held that would disclose percentages recovered.
Is the whistleblowing policy monitored for take up and are concerns acted upon?	Yes	The whistle-blowing policy is for staff use to raise concerns about any aspect of the Council's work without fear of victimisation, subsequent discrimination or disadvantage. There was one matter raised in 2018/19 and initial enquiries concluded that the issues raised were best dealt with under one of the Council's other HR policies. Typically issues raised relate to disparity of treatment. The Whistleblowing Policy is just one way in which concerns can be raised. There is a corporate Grievance Policy and Procedure and also the Corporate Complaints process that enables concerns to be raised by employees, service users and the wider public with the Whistleblowing Policy intended to cover major concerns that fall outside the scope of other procedures.
Are staff and other resources for fraud investigation proportionate to the risks the council faces?	Yes	The staff resource has been significantly reduced since the transfer of responsibility for Benefits Fraud to DWP. One staff member (a Corporate Investigations Officer) has been retained to act as a single point of contact with DWP, and support the council's participation in the National Fraud Initiative. (See below.) This officer also investigates potential misuse of the Scottish Welfare Fund and participates in the

		council's Integrity Group. The Integrity Group is supported by Police Scotland and promotes a range of anti-fraud measures. The Corporate Investigations Officer reports to the Internal Audit Manager to ensure any relevant information from investigations can be considered when developing the internal audit plan.
Are all allegations of fraud or corruption risk assessed and investigated accordingly	Yes	An evaluation of information received or identified is the first step when determining risk and action to be taken or not taken in each case. This has a particular significance when reviewing matches returned through the National Fraud Initiative, where many 'false positives' are disclosed.
Are fraud alerts and good practice shared among council services in a timely way	Yes	Yes there is information sharing across and within services including with Trading Standards, Environmental Health, Housing and Finance
Are there cost effective measures for recovering money lost to fraud and corruption	Yes	Each case is different, exceptionally in the major fraud outlined the employee made restitution from the sale of a property and by repaying monies from the local government pension fund – for smaller amounts recovery may be by instalments depending on an individual's ability to pay, or as per a ruling from the court.
Does the council actively take part in the National Fraud Initiative and act on its findings.	Yes	Participation is subject to regular reporting to Committee. Matches can be indicators of fraud but also highlight information held that is out of date or incorrect. In the latest round we identified a duplicate payment to a supplier that had been made in error. The money was recovered but only when requested by the council. This is viewed as an irregularity as

		opposed to fraud; a corrective action taken and the matter is concluded.
Is comprehensive information on fraud and corruption reported to a relevant committee?	Partly	There is a requirement to report all frauds and irregularities where the value exceeds £5000 individually to Audit Scotland and these along with any lower value or interesting cases are reported to Audit and Scrutiny Committee as they arise. There are plans to enhance reporting on other issues covered by the Corporate Investigations Officer.
Is there sufficient timely training and ongoing support for officers and councillors, including you?	Yes	The focus of training in this area tends to be around good governance and the systems and controls established to mitigate the risk of fraud or error occurring.

(b) Partnership Working

QUESTION	YES/NO/PARTLY	RESPONSE
Do the council's governance and internal controls mitigate partnership risks to the council?	Yes	Partnership working inherently carries greater risk as spans of control widen and accountabilities have the potential to become less clear. The council is directed through legislation to participate in partnership working and this creates additional challenges that need to be carefully managed.
Does the council have risk registers covering its various partnerships effectively?	Partly	Risks are identified in various documents but there is no single overarching process applicable to all partnerships. The council may look at external support to take this forward.
What resources (such as staff building and money) does the council contribute to partnerships?	-----	These are subject to council approval in all cases through consideration of budgets, use of assets etc.
Does each partnership have a clear purpose and explicit outcomes based	Yes	Purpose is generally directed externally and within an

objectives?		agreed regulatory framework the council has a role in developing partnerships with others that have a defined purpose, set objectives and work towards agreed outcomes.
Are governance arrangements for each partnership clearly documented and fit for purpose?	Yes	There are established arrangements in place for the growth deal, community planning and the IJB. Further work will be required in relation to leisure services and use of ALEOs when the future direction of leisure services is determined, and IJB governance arrangements will need reviewing when children's services are incorporated therein.
Does the council apply the code of practice on Following the Public Pound to each arms-length external organisation?	Yes	This was taken into account when the Leisure Centre ALEO was established and will need to be referenced in any future agreement reached.
Does the council have sound reasons for having a representative on a partnership's board?	Yes	All partnerships have elected member representation as determined by the Council.
If you sit on a partnership's Board do you appreciate what is required of you, and the linked risks?		Covered by the elected member's code of conduct and guidance for councillors and officials service on outside bodies
Is there good quality transparent and publicity accessible performance information?	Partly	This is an area where further review would be beneficial to ensure reporting evolves in line with developments in partnership working
Are concerns about risks posed by partnerships escalated suitably within the council?	Yes	In general terms this is covered by reports to the council or to relevant service committees.
Is there sufficient timely training and ongoing support for officers and councillors including you?		Training opportunities are made available to elected members; this will be covered in more detail at the next meeting of this committee when councillors' continuous personal development is considered.



REPORT TO: AUDIT AND SCRUTINY COMMITTEE ON 13 NOVEMBER 2019

SUBJECT: SCRUTINY REMIT OF THE COMMITTEE

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 To provide interim information to Committee on discussions that have taken place relating to the scrutiny role of the audit and scrutiny committee.
- 1.2 This report is submitted to Committee in terms of Section III (I) (10-15) of the Council's Scheme of Administration relating to scrutiny functions of the Council.

2. RECOMMENDATIONS

2.1 Committee is asked to:

- i) **note the work being undertaken to consider the function of scrutiny within the council and the challenges around taking forward scrutiny activity in a manner that is both proportionate and cost effective;**
- ii) **review and comment on the draft scrutiny handbook prepared for use as a guide by elected members and officers;**
- iii) **agree to submit the draft handbook to the Policy and Resources Committee for consideration and approval; and**
- iv) **note that the ongoing review of governance arrangements within the council may impact on the role and function of the scrutiny aspect of the committee going forward, and this will be subject of a report detailing any proposals to a future meeting of the council.**

3. BACKGROUND

- 3.1 At the meeting of Audit and Scrutiny Committee on 4 December 2018 (para 7 of the minute refers) a 'terms of reference' for internal audit and its work was considered and approved. This prompted consideration of whether a similar 'terms of reference' should be developed for scrutiny. The then chair of the committee, Councillor Macrae, commenced work on this before demitting office.

- 3.2 The current chair, Councillor Gatt, has since carried out research to ascertain how scrutiny was undertaken in a number of other local authorities. A range of methodologies was identified, albeit many of these are now subject to change as authorities generally look to streamline structures and how business is conducted. In general, it was concluded that no single scrutiny model represents best practice, with the approach in each case aligning to the wider governance arrangements adopted by each council.
- 3.3 In August 2019, an informal meeting was held involving the Chair and Vice chair of the committee and the Chief Executive and other senior officers in attendance. This considered various approaches to scrutiny and noted best practice guidance published by several organisations including the Improvement Service.
- 3.4 There was general acknowledgement that elected member scrutiny across the council has been more extensive in recent periods given the financial challenges in the public sector, and agreement, in line with best practice, that there is a role for all councillors in undertaking scrutiny.
- 3.5 As such it was accepted there was a need for careful consideration of the scope of the scrutiny element of the Audit and Scrutiny Committee going forward. As an outcome from the informal meeting, it was agreed there should be an aim to develop a proposal for scrutiny that is proportionate and adds value, and
- a) Provides clarity on service committee and scrutiny committee roles in scrutiny activity
 - b) Sets criteria to determine scrutiny work programme/agenda to be developed
 - c) Ensures 'scrutiny' at service committee can be followed through
 - d) Checks current committee minute format for logic and transparency of points/questions raised, and
 - e) Considers resourcing and capacity;
- 3.6 The council has embarked on an improvement and modernisation programme. One strand of this is a review of governance arrangements, which will consider options relative to committee structures etc. going forward. As part of this, the functions of any specific scrutiny activity proposed will require to be considered, with reference to how such work would be covered from within current staffing resources. For now a draft scrutiny handbook has been developed as **Appendix 1**. This acknowledges the worth of additional scrutiny activity, where properly justified, and sets out criteria that can be used to assess the merits of any proposal, including the development of clear terms of reference that would allow early consideration of how to resource any scrutiny project work required. If Committee find the draft acceptable this will require to be submitted to the Policy and Resources Committee for approval. This should address points a) and b) above.
- 3.7 Points c) and d) have been discussed with the Committee Services Officers who develop minutes of meetings. Current practice is to capture the decision reached in respect of recommendations made in each report. Generally, points debated in most committees are not recorded in the minute, excepting for Audit and Scrutiny Committee given its focus mainly on items for

consideration as opposed to papers requiring a decision. It may be feasible to capture greater detail in the minutes where the need arises but this will be at the discretion of the committee clerk unless directed by the meeting. It should be noted that more detailed minutes would impact on the workloads of committee services.

- 3.8 Point e), resourcing and capacity, is the final point for consideration. Best practice guidance highlights the distinction between audit and scrutiny. There is no capacity in the audit team to oversee scrutiny projects unless the projects have a focus on perceived or actual weaknesses in systems of control. The council traditionally has been lightly resourced at the corporate centre and the trend most likely is for further reductions in this area. In such circumstances it will need to be recognised that diverting resources to specific scrutiny tasks will be at the expense of other work, hence the handbook makes it clear that a detailed case for progressing scrutiny on any given topic will need to be made and accepted as the best means of securing better practice, before being taken forward.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

No direct issues. Scrutiny of LOIP outcomes is currently a function of the multi-agency Community Planning Board, on which the council is represented by six members, and of the corporate plan by all elected members at meetings of the council.

(b) Policy and Legal

Securing best value requires the operation of an effective governance framework of which proportionate scrutiny forms a part. A scrutiny handbook should provide useful guidance for officers and elected members.

(c) Financial implications

The report recognises the financial implications of 'over scrutiny' and makes it clear that resources for scrutiny should be allocated only where doing so is cost effective and outcome focused.

(d) Risk Implications

Appropriate and proportionate scrutiny arrangements are integral to good accountability and should have the effect of reducing risks that may impact on the council's ability to achieve its stated outcomes.

(e) Staffing Implications

No direct implications; there may be implications should an extensive programme of additional scrutiny be developed.

(f) Property

No implications directly arising from this report.

(g) Equalities/Socio Economic Impact

No implications directly arising from this report

(h) Consultations

The Chief Executive, Depute Chief Executive (Education, Communities and Organisational Development), the Chief Financial Officer and the Monitoring Officer have been consulted and are in agreement with the report where it relates to their area of responsibility.

5. CONCLUSIONS

- 5.1 The operation of the Council and its committee structure provides a framework for scrutiny and decision making by all elected members. This framework is currently under review as part of the Improvement and Modernisation Programme.**
- 5.2 Separate additional scrutiny by the Audit and Scrutiny Committee can add value if carried out for the right reasons.**
- 5.3 A scrutiny handbook has been developed to guide practice on this topic.**

Author of Report: Atholl Scott
Background Papers:
Ref: AS /asc/131119

Appendix 1



SCRUTINY HANDBOOK

This document is a guide for councillors and officers to how scrutiny works in Moray Council. It covers in detail the scrutiny element of the work of the Audit and Scrutiny Committee and how this fits within the council's wider scrutiny framework.

It includes details of the committee's scrutiny review process which can be invoked where the need for specific scrutiny is identified; there is also a section on the tools and techniques which can be utilised by all councillors and officers to support effective scrutiny.

The guide is divided into three parts

Part 1: An Overview of Scrutiny within Moray Council

Part 2: The Work of the Scrutiny Committee

Part 3: Supporting the Delivery of Good Scrutiny

Part 1: An Overview of Scrutiny within Moray Council

The council and its principal committees are responsible for the oversight and direction of services falling within their remit as defined in the Scheme of Administration. The functions of the Council and these committees extend to scrutiny by elected members of proposals taken forward in relation to policy or service development and improvement, e.g. by option appraisal, and also of performance within individual service areas.

There is also provision for elected members to seek further scrutiny of any topic by raising a notice of motion, through verbal or written questions raised at committee meetings or by seeking clarification on minutes of prior meetings

This aligns well with best practice guidance which notes that scrutiny is every elected member's job, as a means of securing improvements and maintaining a focus on the delivery of agreed outcomes.

The council's committee structure (diagram)

Moray Council

Policy and Resources Committee

Children and Young People's Committee

Communities Committee

Economic Development and Infrastructure Committee

Planning and Regulatory Services Committee

Licensing Committee

Licensing Board

Audit and Scrutiny Committee

Police, Fire and Rescue Services Committee

The role of the scrutiny function of the Audit and Scrutiny Committee is to facilitate **additional** scrutiny that:

- does not duplicate scrutiny undertaken by other means, either internally by the council or its service committees or involving external scrutineers including Audit Scotland and service inspectorates;
- is assessed at the outset as likely to provide added value or assurance relative to functions or services delivered by the council itself or in conjunction with others.

The four principles of good scrutiny per the Improvement Service are:

- To provide 'critical friend' challenge to council services as well as to external authorities and agencies;
- To reflect the voice and concerns of the public and communities;
- To lead and own the scrutiny process;
- To make an impact on the delivery and improvement of public services.

Scrutiny in context

Scrutiny arrangements in a Scottish local authority are not covered by statute but are a matter for elected members to determine in consultation with officers. Being non-statutory, the work of a scrutiny committee can be viewed as complementary given the scope and coverage of other committees; however, best practice guidance highlights that:

- In a climate of reducing resources the importance of scrutiny has never been greater.
- The principal power of a scrutiny committee is to influence the decisions and policies of the council and other organisations involved in delivering of public services.
- For scrutiny to be effective, it must be seen as an investment in improvement, which requires it to be targeted, proportionate and effective from a cost benefit perspective.

Effective Scrutiny

Effective scrutiny requires discussion and debate on which improvement depends, and in order to secure at least partial separation from the political administration, the chair of the scrutiny committee is a member of an opposition party. The choice of the

committee chair sets the tone for effective scrutiny ensuring, during the consideration of any area under review, that:

- The focus is not on negatives or apportioning blame, but is a genuine endeavour to improve service delivery;
- An objectivity is displayed that is likely to encourage the political administration to acknowledge and accept points arising from scrutiny activity;
- There is a willingness from all party groups and individuals to make scrutiny work effectively; otherwise the reviews are unlikely to add value.

Good scrutiny can involve the public in certain situations; however the rationale for doing so would be predicated on the expected outcomes from any review taking place. This would include consideration of the capacity of the council in terms of its governance and risk framework to take forward recommendations likely to arise from the scrutiny process and the costs of resourcing any consultation or engagement activity.

Part 2: The Work of the Scrutiny Committee

The scope of the committee in relation to scrutiny, per the Scheme of Administration (currently under review) is to:

- Scrutinise the policies of the council and their effectiveness in meeting the Action Plans of the Council as set out in the Corporate Plan.
- Evaluate the actions of Committees and implementing the action plan set out in the Corporate Plan.
- Oversee the development and implementation of the Best Value improvement process.
- Deal with all matters relating to the council's duty to secure best value in terms of the Local Government in Scotland Act 2003 with the exception of equalities, the power of well-being and Community Planning
- Receive reports on the performance of and trends within all of the council's services in terms of service standards and performance information.

Thus reviews may focus on:

POLICY – topics identified for review because of changes to legislation/guidance or where a policy is viewed as being ineffective. These reviews are undertaken in line with corporate priorities thereby adding value and aiding in the delivery of corporate plan objectives.

PERFORMANCE - topics referred to the scrutiny committee for further review following consideration of information at council or service committee, or from

benchmarking information where services are reporting challenges in meeting performance targets.

VALUE FOR MONEY - topics that look at improving performance, reducing costs, improving customer satisfaction, and aiding in achieving corporate priority outcomes. Value for money reviews may also consider the activities of bodies that receive council funding to deliver services on behalf of or in partnership with the council.

Selecting Areas for review

A decision to undertake a review shall be based on the potential for improvement. Reviews take up valuable resources so the scrutiny committee must have confidence from the outset that the outcome will result in recommendations for change that will deliver measurable improvements in quality or efficiency that outweigh the cost of review.

There are a number of issues that can be considered to assess the level of importance of any scrutiny topics the Committee may wish to progress. These are outlined in the table below and use an evaluation of likelihood and impact in line with risk management practice, with higher scores indicating higher risk areas that may merit examination.

Assessment Criteria	Likelihood (Score 1to 5)	Impact (Score 1 to 5)	Overall Score (Max. Score 25)
Evidence of poor performance			
High level of user/general public dissatisfaction with the service			
Pattern of budgetary overspends /underspends			
High level of risk identified and not addressed			
Concern raised from more than three sources			
Issue referred by council or service committee			
Likely to impact on ability to meet stated outcomes			
Lack of progress in delivering identified			

improvements			
Evidence of systems failure			

Following consideration by committee, topics with higher scores may be selected to be taken forward subject to resources being made available to do so. Topics will be considered unsuitable for scrutiny if:

- The issue is being examined by an officer group with changes imminent;
- The issue is being examined by another committee or through internal or external audit or other scrutiny process;
- New legislation or guidance is expected within the next year;
- A review by the scrutiny committee is not likely to contribute to improvements in the service.

The scrutiny review process

Following selection of suitable scrutiny areas as above a five stage review process is proposed

- Agree terms of reference and define scope of review
- Reviewing existing information available
- Undertake research and consultation
- Scrutiny committee evaluate evidence
- Report to be drafted for consideration by scrutiny committee.

Report recommendations agreed by the scrutiny committee will require submission to the council or service committee for consideration and implementation where appropriate. Should any recommendations not be taken forward, the reasoning for same should be given and recorded in the minutes of the meeting.

The scrutiny committee may request progress reports on agreed actions taken in response to scrutiny reviews.

Part 3: Supporting the Delivery of Good Scrutiny

Tools and Techniques

Delivering helpful scrutiny that contributes to service and policy improvement is a key function of the Council. It contributes to the provision of efficient and effective public services that deliver better outcomes for service users and communities.

Carrying out effective scrutiny requires a number of skills. In particular, there is a need for members of the Committee to undertake useful questioning when undertaking any of the responsibilities delegated by the Council. There is also a need to understand and, where appropriate, challenge the performance data that is presented to the Committee.

This section of the guide provides some of the tools and techniques that can be useful in delivering good scrutiny across the range of functions of the Council.

Questioning and Listening Techniques

Why are questions important?

Detail from officers/consultees is often the most valuable source of information. The right questions are the most effective way to get the information you want in a way that you understand. Questioning is not about winning the debate but establishing the facts. A good question will:

- Establish validity of key data
- Seek clarification
- Seek further evidence
- Explore ideas
- Question assumptions
- Challenge facts or opinion

Open Questions

Open questions allow the respondent to inform the questioner about a situation in their own words. This gives the committee an opportunity to listen, process the response and take note of any gaps or concerns that could be crucial to the review.

An example of an open question would be:

“What are your thoughts regarding the provision of youth facilities?”

Probing Questions

One of the most important questioning techniques for those undertaking scrutiny is the probing method. Probing questions are used to obtain further information from a respondent. For example:

Respondent: Our performance is the best in Scotland.

Questioner: “You said that our performance is the best in Scotland. How do you know? How is that measured?”

Follow Up Questions

Follow up questions are needed if there are inconsistencies, questions not answered, answers not clear or insufficient detail. Those asking questions need to be persistent and pursue the answers they are looking for. For example:

Respondent: We benchmark with the other 31 Scottish Councils on a set of performance indicators and Audit Scotland has ranked us the best in Scotland.

Questioner: How have you achieved this?

Respondent: Our success is due to the staff involved.

Questioner: What exactly does this mean?

Closed Questions

Closed questions are answered yes or no and are used to verify the situation.

Questioner: So you are saying that staff training has led to the improvement in performance?

Respondent: Yes

Good Practice in Questioning

There is a difference between holding to account and helping to improve. A questioner will focus on points of interest and ask more about any gaps in the information. Body language and tone also make a difference. Identify the questions in advance to:

- Ensure that you know what information you want
- Address issues that members and the public are really concerned about
- Ensure the correct person is there to deal with the questions
- Focus on helping to improve as well as holding to account
- Question like a 'critical friend'

Bad Practice in Questioning

It is possible to ask questions that have an adverse effect on how the respondent will answer:

- Leading questions – force the respondent to answer in a certain way
- Multiple questions – confuse the respondent
- Hypothetical questions – if so unlikely to happen, why ask?
- Unfocused, broad questions – difficult to answer
- Discriminatory or offensive questions

Active Listening

We listen to obtain information, understand and learn. Research suggests that we remember between 25-50% of what we hear. In a ten minute conversation, most people will only 2.5 to 5 minutes of the conversation. Therefore:

- Focus on any introductory remarks
- Show that you are listening
- Provide feedback and check your understanding of points

- Avoid making a judgement too quickly
- Respond appropriately

Making Sense of Performance Data

Typical Features of a Performance Report

A typical performance report at the Council contains some common features:

- Area of performance being measured – eg education, economy, environment
- Number of performance indicators – the number used will depend on the area being reported with increasing emphasis being placed on a few key indicators.
- Target for each performance indicator – targets may be set by the Service, Partnership, nationally
- Trend information over a defined period – the Council tends to look at performance over a three year period
- Overall result for each performance indicator – often we use arrows to illustrate trends

What do the statistics tell us?

Are we improving? Look at the trend information, what's happened over the last three years?

- Are we on track to reach our targets? Are the targets that have been set reasonable? Have we achieved what we set out to achieve? Performance trend and achievement of target are separate issues.
- Do we understand why we are performing at the current level and what is being done to improve? Is there an adequate explanation?

Challenging Service Analysis

Members of the Scrutiny Committee will not necessarily be experts in all areas. But there will be occasions when it is reasonable to ask questions about what Services have said. For example (data for illustration only):

Performance Area	Relevant Indicator	Target 2017/18	Performance Data and Trend		Comments	Target 2018/19
Waste collection	% of household waste collected on due date	90%	2015/16 – 80% 2016/17 – 82% 2017/18 – 83%	↑	We will continue to improve.	95%

- Do we agree that performance is improving? Over the last three years, we have improved by only 3%. Is this a significant improvement?

- We have failed to reach our target for 2017/18. Was this ever achievable? Why is it set so high? Past performance suggests that 90% is not a realistic target. Why have we increased it to 95% for 2018/19?
- Is the comment adequate to explain why we are achieving current levels of performance? Do we know what real action is being taken to improve our performance in this area?
- Is this indicator alone enough to tell us how we are performing in the area of waste collection. What else do we need to know?

Further Information

Useful Web Links

The Centre for Public Scrutiny <http://www.cfps.org.uk>

The Improvement Services <http://www.improvementservice.org.uk>

Scottish Government <http://www.scotland.gov.uk>

Audit Scotland <http://www.audit-scotland.gov.uk/scrutiny>

Contact Details

*If you need any further information or advice, please contacton
(01343) 563xxx.*



REPORT TO: AUDIT AND SCRUTINY COMMITTEE ON 13 NOVEMBER 2019

SUBJECT: WORK OF THE INTERNAL AUDIT SECTION IN THE PERIOD 1 APRIL 2019 TO 30 SEPTEMBER 2019

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 The report advises Committee on the work of the Internal Audit Section for the period from 1 April 2019 to 30 September 2019.
- 1.2 This report is submitted to Committee in terms of Section III I (2) and (7) of the Council's Scheme of Administration relating to consideration of reports from the council's Internal Auditor and monitoring delivery of the audit service carried out by internal audit.

2. RECOMMENDATIONS

- 2.1 **Committee is asked to consider the contents of this report; seek clarification on any points noted and otherwise note the report.**

3. BACKGROUND

- 3.1 Public Sector Internal Audit Standards require the internal audit manager to prepare and present reports to committee on internal audit's activity, performance relative to its audit plan and on any other relevant matters.
- 3.2 In the first half of the year the work programme has been wide and varied covering corporate initiatives including governance and risk management, testing of controls in main financial systems, year-end verification work, audit work for the Moray Integration Joint Board (IJB) and the Grampian Valuation Joint Board and progressing projects contained within the annual audit plan.

Annual Governance Statement

- 3.3 A particular task this year was to widen the evidencing of the ownership of the annual governance statement. This statement is based around good governance principles promoted by CIPFA (the Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives) and summarises how the council meets its obligations under each principle. The statement is published with the annual accounts and is certified

by the Council Leader and Chief Executive. In supporting the preparation of this statement, Internal Audit developed assurance statements that each Head of Service was required to complete and certify after assessing the adequacy of governance arrangements in their own service areas by reference to the principal risks identified in the corporate risk register.

Risk Management

- 3.4 Council managers are responsible for managing risk within their own service areas. Internal audit supports this process by assisting in development of the corporate risk register and in collating service risk register returns. Undertaking this work keeps the internal audit manager up to date with the principal risks facing the council and this assists when developing audit plans.
- 3.4.1 To ensure this work does not impact on audit independence, an offer by the council's insurers (Zurich Insurance Ltd) to review the effectiveness of risk management arrangements was accepted. A senior risk management consultant attended to carry out this review and spoke with the chair of Policy and Resources Committee and a number of senior officers. No additional costs were incurred, the work being covered within the contracted insurance premium. Feedback is awaited and will inform any further work required. Zurich has also indicated that there are other consultancy services they can provide on a similar basis to support the council's work in this area.

Main Financial Systems – Stocks and Stores

- 3.5 The council operates a number of stores that hold stock items, for example for use on repairs to Council Housing, for maintenance to vehicles and plant and for other requirements within Direct Services, and in Social Care of aids and equipment provided to social care service users. Internal audit attended the year end stocktaking and tested stock valuations by reference to both quantities and prices for year-end accounting purposes.
- 3.5.1 The procedures in use in social care are more complex given that the service not only controls the distribution of new items but also those that are returned for reconditioning and reissue. In addition, there is a crossover with NHS who purchase and issue similar items. A separate audit to assess the effectiveness of the controls in place was deferred last year because a new stores system had just been installed. A further review is currently being undertaken as part of the programme of work for the IJB. (see also 3.9 below)

Main Financial Systems - Payroll and Creditors

- 3.6 Payment of staff wages and salaries and of invoiced charges features annually in the audit plan. During the period, payroll testing focused on data matches returned through the national fraud initiative which reports matches where individuals have more than one employment, are in receipt of a public sector pension or are, or are connected to, an individual making supplies to the council. A full check of some 120 matches reported disclosed no irregularities. Scheduled audit work remaining will look at the flow of information between HR and Payroll, previously two departments that are now under a single Head of Service.

- 3.6.1 Likewise over 1600 data matches involving creditor payments were reviewed covering mainly potential duplicate payments and 'unusual' transactions i.e. VAT charges were not within usual parameters. The council has its own internal checking mechanism to mitigate the risk of duplicate payments such that only one was disclosed to a value of £1,050. Reasons as to why this was not picked up internally were established in this one case and the amount was recovered from the supplier involved.
- 3.6.2 Separately, procurement of a social care contract was examined following concerns raised by an elected member that due process had not been followed. The principal concern was that works had been awarded to a current service provider without any competitive process having taken place contrary to regulation. The audit established that, for the type of contract in question, issues such as continuity of service and the needs of people using the service can be taken into account. This then permits a direct non advertised contract award to take place. Recommendations have been made to update financial regulations and training to ensure there is better awareness of procedures applicable to procurement of care and support services.

Main Financial Systems – Housing Benefits Subsidy claim

- 3.7 An extensive piece of work is required annually to validate the benefits subsidy claim whereby the Department for Work and Pensions (DWP) makes payments to the local authority in respect of housing benefit paid to eligible claimants. The annual subsidy amount is material, exceeding £16 million, and detailed testing of sampled claims, including validation of payments and of the impact of any changes of circumstances during the year is required. Workbooks are provided by the DWP for completion to evidence the validation undertaken. Certification ultimately is by the external auditor who relies on internal audit to undertake the bulk of this work. Two minor errors were noted, neither of which were systemic, nonetheless, guidance requires extended testing to be undertaken when errors are disclosed and this is ongoing at the time of drafting this report. It is considered unlikely any further discrepancies of any consequence will be disclosed.

Grampian Valuation Joint Board

- 3.8 The administrative functions of the Grampian Assessor and Electoral Registration Officer are administered by Moray Council and each year audit work is required to provide an opinion on their systems. While reliance generally can be placed on these systems as they mirror those of the council, audit testing of payroll, creditors and income relating to transactions specific to the service was undertaken and reported to a meeting of the Board in June.

Moray Integration Joint Board

- 3.9 With the internal audit manager also undertaking the Chief Internal Auditor role for the Moray IJB, work was undertaken to provide an assurance opinion on the systems of internal control for 2018/19 and to formulate a plan of work to be undertaken in the current financial year. The plan included the Occupational Therapy stores review referred to above. In addition, to complement this audit, the systems and processes relative to the provision of

adaptations required to enable people to remain in their own homes for longer is currently being carried out.

Departmental Systems

- 3.10 Planned work on departmental systems has also been taken forward as outlined in **Appendix 1**. Good progress has been made at the half year albeit there are a number of projects at an advanced stage that have still to be reviewed by the Internal Audit Manager and cleared with service management. It is anticipated that all projects listed as currently ongoing will be formally concluded by the Christmas break allowing a focus on the remaining projects indicated as those for quarter 4.

Unplanned Work

- 3.11 Very little has impacted on the planned programme of work during the year apart from the provision of advice and guidance requested by service colleagues which is encouraged. One irregularity was noted involving misuse of a council mobile phone by a service user in social care with learning disabilities. Access controls were weak facilitating the misuse, but financial controls immediately disclosed the discrepancy when the invoice was received. Aspects of the incident were dealt with separately through the courts and restitution of the amount involved has been sought from the individual concerned. Audit Scotland has been advised in line with fraud reporting procedures.

Progress against Audit Plan

- 3.12 Details of the agreed audit plan are attached as **Appendix 1**, together with a commentary on likely phasing of the work for the remaining period of quarter 3 and the projects to be undertaken in quarter 4.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

Internal audit work supports good governance and the delivery of efficient services.

(b) Policy and Legal

No implications directly arising from this report.

(c) Financial Implications

No implications directly arising from this report.

(d) Risk Implications

The independent review of selected systems and procedures mitigates the risk associated with inadequate or ineffective control procedures.

(e) Staffing Implications

No direct implications; there may be implications should an extensive programme of additional scrutiny be developed.

(f) Property

No implications directly arising from this report.

(g) Equalities/Socio Economic Impact

No implications directly arising from this report

(h) Consultations

There have been no direct consultations during the preparation of this report.

5. CONCLUSION

5.1 This report provides committee with an overview of audit work completed during the six months to September 2019.

Author of Report: Atholl Scott

Background Papers:

Ref: AS /asc/131119

THE MORAY COUNCIL

INTERNAL AUDIT SERVICE

ANNUAL AUDIT PLAN 2019/20 - PROGRESS OF PLANNED PROJECTS AT HALF YEAR

CORE FINANCIAL SYSTEMS		
Area	Type of coverage	Progress as at 30 September 2019
Financial Management System	Network review with specific reference to user access and activity monitoring arrangements.	To commence q4
Payroll	Regularity testing to include flow of information between HR and Payroll sections	Some payroll testing carried out; further work will consider the impact (if any) of the two sections being brought together under a single Head of Service.
Housing Benefits - Rent Rebates and Rent Allowances	Substantive testing of selected benefit claims to confirm the accuracy of the Council's benefit subsidy claim for 2018/19 year.	Completed and claim submitted to External Audit. Low error rate. Additional testing requested which is currently being carried out.
Procurement and Creditor Payments	Continuous auditing of samples of non pay expenditure to test compliance with procurement and payment processing regulations.	Sample testing undertaken for duplicate payments, unusual transactions VAT issues; also review of procurement specific to care contracts following concerns about contract award. Testing of randomly selected invoices continues.

Debtors Management	To assess current systems for collection of fees and charges and sample testing of selected areas where fees and charges are levied.	Some work has been under taken to look at charging for brown bin waste permits – will be reported to the next meeting of this committee.
Capital Plan	Audit testing of contract management arrangements for selected projects within the capital plan.	Two bridge contracts reviewed and findings already reported. May defer any further work to next year depending on progress with other projects.
Stocks and stores - year end valuations	Attendance at stocktaking and reconciliation of stocks held to ledger balances	Completed and reported within annual accounts.
Cyber security	Identification and assessment of the potential threats to the council's ICT systems and how these are being managed	Some research done re latest Scottish Government advice on this topic - audit will not be progressed until q4
OTHER SYSTEMS		
Area	Type of coverage	
Environmental Services: EU Unit /business development budget	Regularity audit of the use of funding assigned to this service area (15 days)	To commence q4
Environmental Services: Street Lighting	An audit of the street light replacement programme and associated costs (20)	Field work completed and review points being cleared prior to issue of report
Environmental Services – Grant Claims	Certification of grant claims as required: strategic timber; bus operators, regeneration schemes as appropriate. (20)	Bus service operators grant completed for six months, more complex with new regulations for low carbon buses claim submitted to external audit and certified
Environmental Services - Public Transport Unit	Audit of the school transport contractual arrangements. (20)	To commence q4
Environmental Services - School Catering	Review of costs incurred in the provision of the service(20)	Fieldwork completed and report being drafted

Environmental Services - Housing and Property - Repairs to Council Housing and Buildings	Audit of works allocation, completion and inspection across response planned and capital programme repairs (20)	Fieldwork completed. File been reviewed by senior auditor and with audit manager for review
Corporate Services - HR - Absence Management	Audit of the arrangements for monitoring and managing staff absence within the authority (20)	Data gathered and initial interviews conducted field work continuing
Corporate Services - ICT - Hardware Asset Management	Review of systems and practices to record / monitor the location and use of ICT hardware (20)	To commence q4
Corporate Services – Licensing	Review of collection and accounting for licensing fees(15)	Completed report issued for service comment, timely processing of applications evident, full report to next meeting.
Environmental Services - Housing and Property - Stores	A review of the effectiveness of current arrangements for accounting for materials used in the repair and maintenance of council housing (20)	Likely to be deferred to year end.
Education and Social Care - PPP Schools	Monitoring arrangements for the operation of the facilities contracts at schools funded under the public private partnership arrangement (10)	Field work completed with audit manager for review.
Education and Social Care - Pupil Equity Fund in Schools	Audit of utilisation of Pupil Equity Funds to assess how systems and processes have evolved since inception (15)	This is a follow-up of a prior year audit , scheme maturing, some further testing required to conclude q3
Education and Social Care - Integrated Childcare	Assessment of control over costs of foster care placements (15)	Project assigned at preparation stage
Education and Social Care - School Funds	Overview of annual returns (10)	In hand; last of returns for latest academic year due by the start of November. School fund regulations reviewed to ascertain implications for online /card transactions

Education and Social Care – Secondary Schools	Establishment visits as part of cyclical review (30)	Milne's High visited prior to October holiday; at query stage with report being drafted
Moray Integration Joint Board		
Health and Social Care	Programme of work to provide controls assurances on activities under direction of the IJB. (80)	Work continues as planned of OT stores of equipment and of budget for adaptations of housing council and private sector. Update on LD contracts to schedule.



REPORT TO: AUDIT AND SCRUTINY COMMITTEE ON 13 NOVEMBER 2019

SUBJECT: LOCAL OUTCOMES IMPROVEMENT PLAN ANNUAL REPORT

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 To inform the Committee of the progress made to the Partnership's first Local Outcomes Improvement Plan (LOIP) and to note the lessons learned.
- 1.2 This report is submitted to Committee in terms of Section III (I) (10) of the Council's Scheme of Administration relating to scrutinising the policies of the Council.

2. RECOMMENDATION

2.1 It is recommended that the Committee consider and:

- i) **note the progress made on the Partnership's first Local Outcomes Improvement Plan; and**
- ii) **note the lessons learned.**

3. BACKGROUND

- 3.1 The Community Empowerment Act (2015) and associated guidance requires each Community Planning Partnership to produce a Local Outcomes Improvement Plan (LOIP). In summary, the intention behind this is to ensure that:
 - Communities are central to the process;
 - Effective collaboration and joint resourcing take place between the partners;
 - A sound evidence base is used to target areas of greatest needs;
 - A real and sustainable reduction in inequalities is achieved.
- 3.2 The LOIP is required to provide a targeted approach towards communities (both geographic and interest group based), specifically focussing on those

experiencing poorer outcomes. An overarching, cross cutting approach based on community participation and reducing equality is also required. In addition, plans are expected to develop partnership working that will genuinely add value and there must be appropriate governance arrangements that ensure constructive challenge, review and improvement.

- 3.3 The first LOIP for the Moray Partnership was approved by the Community Planning Board (CPB) on 13 February 2018 (para 5 of the Minute refers). Recognising that it was important to develop a sound understanding of the experience of communities, the plan was based on an extensive analysis and review of statistical and anecdotal information about the people and places in Moray. This led to the partnership identifying an over-arching vision and four priorities to make the most difference to the outcomes for the community.
- 3.4 It was recognised that as the first LOIP for Moray, the plan would be an evolving one, especially over the first 12 months. It was acknowledged that it would require to grow and develop in terms of depth and detail and to ensure that community perspective and influence were incorporated as more detailed implementation plans emerged. To aid this there has been community engagement and involvement, particularly in relation to the locality plans which have been developed in partnership with the community. The Community Engagement Group also developed a community engagement strategy to support engagement.
- 3.5 In November 2018, it was reported to the CPB that a number of challenges were being experienced in the development, implementation and monitoring of the LOIP project work. As a result, the CPB on 8 November 2018 agreed that:-
- i) the high level delivery plans set out in the LOIP will be accepted as the priority plans for the current year;
 - ii) for the 2018 LOIP, performance reporting will be based largely on a narrative assessment of progress with use of limited evidence based indicators and case studies to support this where they are available;
 - iii) the LOIP will be reviewed early in 2019 and the opportunity will be taken to ensure a sharp focus on improving outcomes where partnership adds value and to ensure robust measurable plans linked to those outcomes are developed during the review to enable effective performance management; and
 - iv) the commitment to partnership working is renewed and that partners will ensure appropriate priority and resourcing is provided for community planning to enable LOIP actions to be progressed timeously.
- 3.6 Taking account of the above, a summary has been prepared with input from partners to show the progress made in 2018/19 in relation to the overarching outcome and the four priority areas. This was considered by the Community Planning Board on 18 September 2019 and is attached as **Appendix 1**. It should be noted that there are a number of targets that are carried forward from Moray 2026: A Plan for the Future as agreed by the Board at their meeting on 13 February 2018 (Para 4 of the minute refers). Some of these are relevant to current priorities while others would benefit from review in taking the LOIP forward.

- 3.7 There are a number of indicators that have not been gathered as it has now been identified that they are not suitable due to data protection issues associated with reporting the information. These will be removed from future performance monitoring and alternatives identified where possible. The continued relevance of the related actions and outcomes will be picked up for review as the LOIP is revisited as proposed below.
- 3.8 In reviewing progress, it is acknowledged that the areas that the partnership have struggled with are the identification of specific measurable actions and outcomes and identifying indicators to measure these. However, the feedback on activities, actions, performance statistics and narrative reporting shows a significant level of activity and notable progress in a number of areas, including the development of two locality plans jointly with local communities.
- 3.9 In developing the LOIP further, the aim will be to answer the “so what” question. To develop the next iteration of the LOIP it is planned to hold workshop events to address the different layers of work: strategic direction and priorities (as a gateway); links to other plans and actions; how to specifically address gaps and ensure that the agenda set out in the LOIP is specific and measurable. These events would have targeted participants based on the required outcomes.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

This report provides an update on the progress of the LOIP.

(b) Policy and Legal

There are no direct policy or legal issues arising from this report.

(c) Financial implications

There are no direct financial issues arising from this report.

(d) Risk Implications

There are no direct risks arising from this report.

(e) Staffing Implications

There are no direct staffing implications arising from this report.

(f) Property

There are no direct property issues arising from this report.

(g) Equalities/Socio Economic Impact

There are no direct equality issues arising from this report.

(h) Consultations

This report has previously been considered by the Community Planning Board on 18 September 2019 and all partners contributed to the preparation of the update report to the Board. There have been no further consultations on the report.

5. CONCLUSION

- 5.1** There have been a number of challenges for partners in monitoring the implementation of the first Community Planning Partnership Local Outcomes Improvement Plan using a structured, performance measurement methodology. However, a review of actions undertaken, available statistics and narrative reporting as set out in Appendix 1 and in the more detailed document, Appendix 2, shows that there has been significant partnership activity to advance the agreed priorities.
- 5.2** In particular, the development of two locality plans with local communities and the launch of these has been a notable development.

Author of Report: Denise Whitworth
Background Papers: SPMAN-1108985784-128
SPMAN-1108985784-129
Ref: SPMAN-1108985784-127

Appendix 1**LOIP Summary of progress 2018/19****PROGRESS REPORT (to June 2019)**

This summary looks at the first steps agreed by partners and shows some of the progress made in 2018/19 in relation to the overarching outcome and the four priority areas.

1. Raising Aspirations - *Moray provides an enabling environment where residents can achieve expanded choices, improved livelihood and wellbeing*

1.1. The Fairer Moray Forum led the development of the Moray Poverty Strategy Action Plan, “A strategy for preventing, mitigating and undoing poverty in Moray 2018 – 2021”. The plan was approved by the Community Planning Partnership Board in April before being submitted for Scottish Government scrutiny in June 2019. The Moray plan incorporates the statutory requirements of the *Child Poverty (Scotland) Act 2017*. To enable the plan’s development and gain a measure of poverty levels in Moray both national and local data was gathered and analysed. Current partnership actions and plans were explored to establish what had worked well and these were modified and expanded upon to further mitigate the difficulties of living in poverty. With this plan now approved, when embedded into practice it should ensure that Moray is in a better position to recognise and tackle issues associated with poverty.

2. Growing, diverse and sustainable economy - *By the year 2030 Moray is a destination of choice, the area being known and recognised as an outward facing and ambitious community with a thriving and well connected commercial base and as environment in which quality of life is valued and supported*

2.1. Mid-year population estimates (2018) for Moray show a slight decline in the overall population (-260). Within the 16-29 age group estimates show that there has been a significant decline of 2.2% (-325 people). When the remainder of the working age population are taken into consideration, estimates show a reduction of an additional 115 people. The population shrinkage within these age groups is disproportionate to the overall reduction showing that numbers have increased within other age ranges; the vast majority of the increase was within the 65+ age group which has risen by 369 between 2017 and 2018. After a few years of steady migratory population growth (2011-16) inward migration has slowed significantly since with only a net increase of 50 from 2016-18. Inward migration from the rest of the UK (Excluding Scotland) has consistently been the highest source of migration over the past 10 years.

- 2.2. In collaboration the Employability Consortium and the New Elgin LOIP working group established weaknesses in current employability provision and identified the locality actions required to overcome the obstacles associated with work and in work poverty. Addressing constraints for women in the workplace is a concern throughout Scotland, in particular the gender pay gap. In Moray an analysis of the barriers was undertaken to add to information already gathered. This has provided a more complete picture of the challenges faced. The gender pay gap in Moray (Full-time employees, Nomis 2018) is significant (£97.10) and higher than the national figure of £83.60. Between 2017 and 2018 the gap in Moray has narrowed by £18.30 in comparison to Scotland (£0.70) which shows progress has been made, however it is clear that further work needs to be undertaken to reduce the gap in the years ahead.
- 2.3. School leavers entering positive destinations in 2018 (93.6%), whilst showing slight improvement from the previous year, remains significantly below the national average (94.4%). The proportion of the population qualified to NVQ4 level (HNC/HND) continues to improve in Moray (38.5%) and is closing the gap to the national figure (44.2%). The embedding of the Moray Skills Investment Plan (SIP), which will be closely managed by the recently established Employability and Skills group, will provide enhanced employer engagement by 2021. Once fully embedded it should provide better access to skills pathways for 3-24 year olds improving and enhancing opportunities for this age group.
- 2.4. The most current evidence suggests that the engagement in modern apprenticeships has significantly reduced in 2018/19, most noticeably within the 16-19 age bracket. With most modern apprenticeships being entered into from school it is worrying that the numbers within this age group have reduced for the past three years. The drop within this group has been negated to a degree by the 20-24 age group where engagement has increased. Over the past year steady progress has been made in raising awareness of modern apprenticeship schemes. In March an event was held for parents and young people highlighting the opportunities of undertaking an apprenticeship. Various media campaigns have also taken place throughout the year to engage with a wider audience. Work continues with the University of the Highlands and Islands and Skills Development Scotland to expand upon apprenticeship places to encourage a higher uptake rate. It is anticipated that it will take time to have an impact on uptake however with greater awareness and wider opportunities it is hoped that uptake will improve in future years.
- 2.5. Partnership arrangements have been agreed and the digital hub website has been implemented and is now fully operational.

3. Building a better future for our children & young people in Moray - Moray will be: a place where children and young people thrive; a place where they have a voice, have opportunities to learn and get around; a place where they have a home, feel secure healthy and nurtured; and a place where they are able to reach their full potential.

3.1 Secondary school attainment in Moray has consistently lagged behind both our virtual comparator authorities and Scotland as a whole. Data shows that in some areas attainment has improved in Moray between 2016/17 and 2017/18. Level 5 Literacy & Numeracy and Numeracy and both Level 4 & 5 Numeracy have shown an improvement, this has allowed the attainment gap to reduce in these areas. Tariff scores are another measure of benchmarking Moray against comparators and Scotland. Overall Moray is placed at 29th out of the 32 Scottish Local Authorities which is a significant decline in comparison to 2014/15 where Moray was placed 12th. When Tariff Scores are measured in SIMD quintiles Moray performs reasonably well in quintiles 1 and 2 being placed around mid-table. Performance significantly drops off within quintiles 3-5 where Moray is placed 32nd, 31st and 30th respectively. As around 84% of Morays population reside in quintiles 3-5 it is worrying that it is these areas that perform least well.

3.2 Within the past year additional measures have been put in place to give young people more opportunities to improve on attainment. Additional literacy and numeracy sessions have been brought in for all S1-3 pupils and additional time has been allocated to senior phase pupils to allow them to improve their literacy and numeracy skills before exiting school.

3.3 The school exclusion rate is relatively high in Moray in comparison with the majority of local authorities in Scotland. Local Government Benchmarking Framework publish data on exclusions every two years, latest data from 2016-17 shows that Moray is ranked 24/32 where rank 1 has the lowest level of exclusions, Moray has ranked consistently high since 2012-13, however the rate has fallen at each measurement stage since 2012-13. Moray fares much better with Looked After Children (LAC) exclusions, whilst the rate is significantly higher the ranking places Moray 6/32. Action has been taken to address the high exclusion rate with the school exclusion policy re-written and published. New revised guidance and processes provide a more positive approach to prevent exclusion where possible. Latest local data appears to show that the new policy and processes have already had an impact on exclusion rates. In the past year there has been a 14% reduction in the incidences of exclusions within Primary and a 4% reduction in Secondary. A reduction in LAC exclusions has been identified as a priority area in the new academic year.

- 3.4 Extended eligibility criteria has been introduced for pregnant women to gain access to the Family Nurse Partnership, currently 33 prospective parents are engaging with the service. Data indicates that rates of smoking amongst pregnant women pre-birth are reducing in Moray, comparisons of the past two 3-yr aggregates show a rate drop of 1.7% to 16.5%; however the rate remains higher than the national average of 15.4%.
- 3.5 Smoking rates post-birth have also witnessed a fall with rates in Moray reducing by 1% to 17.8%, this contrasts with a rising rate nationally. The national rate however remains below that experienced in Moray. Measures are in place to support expectant mothers who smoke to access smoking cessation support through the Smoking Advice Service (SAS). Notices have been distributed to community venues and within Dr Gray's hospital to signpost pregnant smokers to services. In addition a dedicated SAS advisor is available within ward 3 of Dr Gray's.
- 3.6 The "Baby Steps Programme" which is designed to provide expectant and new mothers with a greater awareness of healthy weight, the advantages of being more active, awareness of food contents and community supports, has received excellent feedback from those attending the programme with 100% providing positive feedback. The programme was nominated and won the Young People's Improvement Collaborative award in 2018 for excellence in early year's provision.
- 3.7 Evidence suggests the Moray is performing well in providing support to children identified as having development concerns at their 27-30 month review. In comparison to other local authorities LGBF ranks Moray 4/32 showing a significant improvement from a ranking of 17/32 in 2015/16. An audit of parent/carer experience of the health visiting service was completed in February which produced a very positive feedback about the service. A number of Moray Health Visitors are undertaking the Universal Pathway Quality Improvement Collaborative programme. This 12 month programme embraces a multi-agency approach, is currently focussed at the 27-30 month child development stage and uses activity tools to intervene when certain thresholds have been exceeded. The improvement programme is in the process of being shared with all health visiting and school nursing teams across Moray.

4. Empowering & connecting communities - *A thriving and well connected place, where more people live well in their communities. Confident, skilled and self-reliant communities where expectations and aspirations are raised, and achieved*

- 4.1 Two "Pilot" areas (New Elgin East & Buckie Central East) were identified for the development and implementation of Locality plans. Both identified communities

have engaged and participated well in the development of locality plans for their respective areas.

4.2 Under the direction of the Co-ordinating group a mapping of current provision was carried out by partnership agencies and updated local statistical data was used to build a picture of need. This mapping process informed the development and approval of a 10 step engagement plan. Communities were an integral part of plan development and some resources were reconfigured to better meet the needs of communities and allow for more effective engagement over an intensive five month period. Local community activists were involved to inform the initial working group of issues and concerns within the localities. Support was provided by the Community Support Unit and other partners to help communities build confidence and capacity to manage their Locality plans once finalised. Draft plans have been produced reflecting the identified issues which were prioritised by the communities. The “Pilot” plans will be reviewed by the Community Planning Partnership in 12 months’ time to monitor the impact and outcomes before decisions are made regarding widening the initiative.

4.3 The communities, through involvement and engagement, feel included, believe that their views have been a valued part of plan development and with continued support are now in a position to take ownership of their plans moving forward. Positive outcomes have already been witnessed with changes to policing in New Elgin East, changes to bus timings in Buckie and changes to the DWP training times.

5. Changing our relationship with alcohol - *People are healthier and experience fewer harms as a result of alcohol use*

5.1 Moray Alcohol and Drug Partnership undertook a mapping exercise, reviewed its operating practice and a delivery plan has been produced, this plan is currently under review. The process of plan development included views from people who had “lived” or had “living” experience of substance misuse. The national Recovery Outcomes Tool has been rolled out and is now embedded into practice. However, this tool is to receive no further support from the Scottish Government from 2019 and is to be superseded by a new improved tool.

5.2 The number of drug and alcohol service users has increased by almost 25% in the past year, at the end of quarter 4 there were 544 people actively engaged with services. If the numbers continue to rise at a similar rate it is likely to place extra burden on services and service provision. Self-referral is the most common method by which service users engage with services with three quarters of referrals accessing services by this method in quarter 4 2018/19. During quarter

four of 2018/19 no clients at risk of harm through alcohol use have had to wait more than three weeks before treatment commenced.

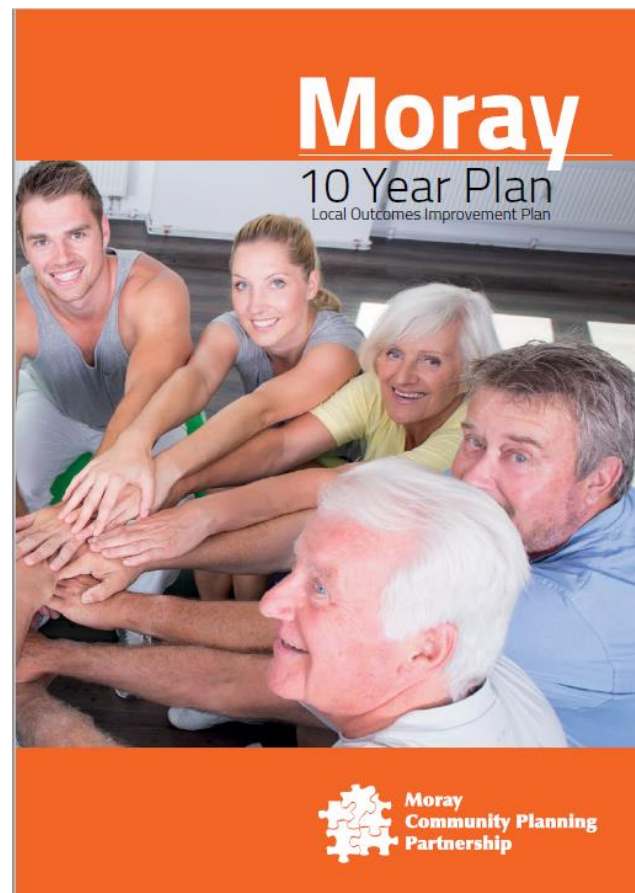
5.3 The licensing board after undertaking a wide consultation published a new licensing statement of licensing policy which has close links with vulnerability and social responsibility. A well-attended “Licensing Matters” event organised by MADP was held in March. Main focus areas of this event were around vulnerability through intoxication, alcohol harm reduction and adult and child harm. The “Ask for Angela” initiative, which has proven successful in other parts of the country, has been introduced to the license trade in Moray. This initiative allows individuals who feel at risk of harm to approach any member of bar staff and ask for Angela as a way of receiving help and being removed discreetly from the potentially dangerous situation. In partnership Police Scotland and MADP launched a public campaign raising awareness of the penalties for the supply of alcohol to the under 18’s. The “You’re asking for it” posters were widely distributed in off sales premises throughout Moray.

5.4 Police Scotland data for 2018/19 indicates that crimes of violence involving the use of alcohol and/or drugs are twice more likely to be recorded within a residential environment than a public space. In 2018/19 there were 28 recorded incidences of a violent crime taking place in a residential environment and 13 in a public space.

LOIP - end of year review of progress made

Item 8

Appendix 2



A copy of the Moray 10 Year Plan (Local Outcomes Improvement Plan) which provides details of the measures agreed by each of the partners is available by following this link:

<http://www.yourmoray.org.uk/downloads/file118306.pdf>

Note that a number of measures were carried forward from the previous 10-year plan (**Moray 2026: a plan for the future**). The charts for these measures are included in the appropriate LOIP measure for completeness.


Raising Aspirations *Moray provides an enabling environment where residents can achieve expanded choices.*

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Develop Poverty Strategy	Strategic framework including a model of delivery and robust action plan which is part of the wider CPP prevention agenda are developed	<ol style="list-style-type: none"> 1. Identification of local partners 2. Identification and assessment of poverty in Moray. 3. Identification and assessment of existing actions and plans that seek to mitigate poverty in Moray 4. Identification of new actions to reduce poverty or expansions or modifications to existing action to increase impact. 5. Identify what is working and lessons learned 	<ol style="list-style-type: none"> 1. Moray Poverty Strategy Action Plan.ⁱ Approved by CPP Board in April 2019 and has been submitted to Scottish Government for scrutiny (June 2019) <p>The plan incorporates the statutory requirements of the Child Poverty (Scotland) Act 2017ⁱⁱ and the local implementation of Every child, every chance: tackling child poverty delivery plan 2018-2022</p>	<p>Supporting documentation:</p> <ol style="list-style-type: none"> 1. Fairer Moray Forum Food Poverty Action Plan Centred on Lived Experienceⁱⁱⁱ 2. Developing a food poverty action plan centred on lived experience^{iv} 3. The Cost of the School Day^v 	Moray Poverty Strategy	Fairer Moray Forum	Joint Chair: Chris Littlejohn, Dept Director of Public Health, NHSG; Kathy Ross, CEO, Moray Food Plus

Growing, diverse and sustainable economy

By the year 2030 Moray is a destination of choice, the area being known and recognised as an outward facing and ambitious community with a thriving and well connected base and an environment in which quality of life is valued and supported

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Review and map employability support services to improve outcomes in areas of greatest need	<ol style="list-style-type: none"> 1. Delivery Plan agreed by partners 2. Survey and analysis of drivers and constraints for women in the workplace completed to augment existing data on other groups 3. Detailed Skills Action Plan(SIP) for Moray including Delivery Plan completed 4. Practise in support of Moray Skills Pathway to support 3-24 year olds with enhanced employer engagement embedded by 2021. 5. Using the 16/17 stats as a baseline: <ul style="list-style-type: none"> • 20% increase (average) across the apprenticeship family by 2021 • 25% increase in female uptake across the apprenticeship family by 2028 	<p>Initial workshop identifying gaps and weaknesses in current provision held.</p> <p>Employability Consortium collaborating with New Elgin LOIP working group (for which employability was specifically identified as an objective) to work together on identified locality actions to address barriers to work and in-work poverty</p> <p>Council, HIE and SDS to consider gender based symposium in Moray to augment high level stats under aegis of Moray Growth Deal working as this issue a key objective in the deal.</p>	<p>The number of economically active people in Moray is unchanged from March 2018 to 2019 and remains at 78.4%. Nationally a similar trend has been witnessed. Moray remains above the National average of 77.8%. (NOMIS^{vi})</p> <p>The number of economically inactive people in Moray who want a job fell from 22.4% to 11% between March 2018 and March 2019. In contrast Nationally the figure has only reduced by 1.6% from 22.9% to 21.3%.</p> <p>The gross weekly pay gap between Male and Female Full-time workers in Moray fell by £18.30 between 2017-18. Nationally the gap only reduced by £0.70 to £83.60.</p>	Next step – Review of employability strategy to reflect the skills investment plan, workshop outputs and address need.	Moray Economic Strategy	Moray Council	Jim Grant - Chair Employability and Skills Sub Group of MEP
<p>Begin to implement a revised SIP across the CPP</p> <p>Project Plan to embed Moray Skills Pathway framed and in implementation.</p>		<p>Employability and Skills group established under MEP to monitor and deliver SIP and complete planning in areas for which still no detailed delivery actions</p> <p>Moray Pathways Website launched allowing engagement on Moray pathway, jobs and skills and other work on track. Senior Phase Pathways work is behind schedule due to transport, curriculum and ICT issues.</p>	<p>Local Government Benchmarking Framework (LGBF) data shows that in 2017/18 93.6% of Moray school leavers entered a positive destination. This demonstrates a slight % improvement on the previous year. Moray however ranks 22nd of Scottish Local authorities and as other Local authorities have improved at greater rates Moray has slipped two places in rankings in this time.</p> <p>The percentage of the population with NVQ4 level qualification (NOMIS Jan-Dec 2018^{vii}) or above increased to 38.5% reducing the gap with the Scottish average at 44.2% and is now close to the UK</p>		Moray Skills Investment Plan (SIP) 2018	Moray Council	Jim Grant - Chair Employability and Skills Sub Group of MEP

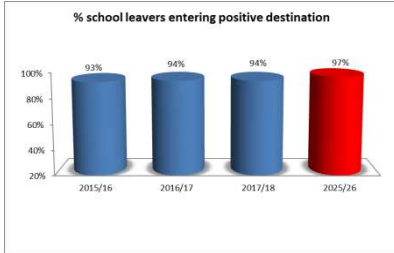
			average (39.3%)				
<p>Increased within Apprenticeships family across CPP and in Moray</p> 		<p>Scottish Apprenticeship week event took place in March to inform parents and young people of the opportunities linked to the apprenticeship family. DYW Moray social media campaigns and case studies have engaged a wider audience. Work by UHI and SDS in terms of SIP to expand apprenticeship offering and take up continues but will take time to complete and have an impact.</p>	<p>Statistics for 2018/19 show that 16-19 year olds participating has dropped significantly (potential reasons being sought via SDS) whilst 20-24 group rose significantly which overall balance each other out to produce a trend that is not increasing as we would wish. In terms of participating population and completion rates we are second quartile nationally.</p>		<p>Improved take-up of Apprenticeships in Moray Plan - Not known</p>	<p>Moray Council</p>	
<p>Creation of a physical and/or virtual Employability Hub for Moray</p>		<p>Employability Hub - Employability consortium met to agree a partnership agreement and Moray Pathways digital interface(website)is now operating</p> <p>Scottish Government review of funding arrangements for 2019 onwards directs funding via Local Authority Economic Development which assists the review process above.</p> <p>Change management plans are being developed to reinforce current joint working, potentially by changes in reporting arrangements and including Moray Training.</p>	<p>Virtual Hub and website complete</p> <p>Mid-year estimates 2017-18 show that both the 16-29 and 16-64 age groups are declining.</p> <p><u>16-29 population</u></p> <p>From 2017 to 2018 in Moray the population shrunk by 2.2% (NRS). Over the same period both nationally and our comparator authority average populations also shrunk but to a lesser extent than witnessed in Moray (1.2% & 1.0% respectively).</p> <p><u>16-64 population</u></p> <p>Similar to the 16-29 age group the population has declined between 2017 and 2018 (NRS). The decrease is not as marked however with Moray witnessing a 0.74% reduction within this age group. Numbers have also dropped Nationally and within our comparators. Nationally the</p>	<p>Next step – Review Council working arrangements for employability functions to create a more efficient and effective service – collaboration/consolidation of services under central point of strategic coordination per SG expectations.</p>	<p>Moray Growth Deal</p>	<p>Moray Council</p>	<p>Rhona Gunn</p>

			<p>population has shrunk by 0.07% and our comparator average shows a 0.18% decrease.</p> <p>Between 2017 and 2018 Moray had a positive net migration of 50 people. Of the three components of migration both migration within Scotland and overseas were negative, the third component (within the UK) saw an increase of 210. After a few years of steady migratory population growth (2011-16) inward migration has slowed significantly since with a net increase of 50 from 2016-18. Inward migration from the rest of the UK (Excluding Scotland) has consistently been the highest source of migration over the past 10 years.</p>				
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Building a better future for our children & young people in Moray

Moray will be:

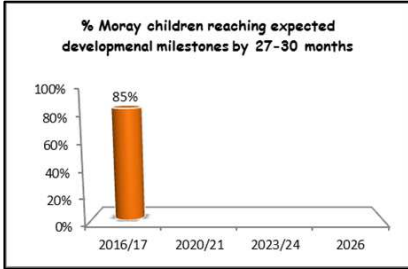
a place where children and young people thrive; a place where they have a voice, have opportunities to learn and get around; a place where they have a home, feel secure healthy and nurtured; and a place where they are able to reach their full potential.

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer																														
<p>Work in partnership to deliver support to schools and their local communities in order to improve outcomes and close the attainment gap</p> 	<p>We will close the attainment gap for our children and young people</p>	<p>For session 2018/19, there have been a number of actions in place mainly as a result of the restructured secondary school week. These include:</p> <ul style="list-style-type: none">Additional literacy and numeracy periods in place in all secondary schools for pupils in S1-3 which is in addition to English and Maths allocationsLiteracy and numeracy as a bespoke focus in the senior phase with additional time given to boost literacy and numeracy for learnersIn S5/6, young people	<p>Senior phase data for session 2017/18 is the most recent information available for the key measures.</p> <p><u>All School Leavers</u></p> <table><tr><th colspan="3">Literacy and Numeracy</th></tr><tr><td></td><td><u>Level 4</u></td><td><u>Level 5</u></td></tr><tr><td><u>Moray</u></td><td>84.9%</td><td>60.5%</td></tr><tr><td><u>Comparator</u></td><td>88.4%</td><td>63.5%</td></tr><tr><th colspan="3">Literacy</th></tr><tr><td><u>Moray</u></td><td>92.2%</td><td>78.4%</td></tr><tr><td><u>Comparator</u></td><td>93.9%</td><td>78.5%</td></tr><tr><th colspan="3">Numeracy</th></tr><tr><td><u>Moray</u></td><td>87.5%</td><td>62.4%</td></tr><tr><td><u>Comparator</u></td><td>90.4%</td><td>66.3%</td></tr></table> <p>In comparison to 2016/17 the data</p>	Literacy and Numeracy				<u>Level 4</u>	<u>Level 5</u>	<u>Moray</u>	84.9%	60.5%	<u>Comparator</u>	88.4%	63.5%	Literacy			<u>Moray</u>	92.2%	78.4%	<u>Comparator</u>	93.9%	78.5%	Numeracy			<u>Moray</u>	87.5%	62.4%	<u>Comparator</u>	90.4%	66.3%		<p><i>Moray Children's Service Plan</i></p> <p><i>Education and Social Care: Schools and Curriculum Development: Schools and Curriculum Development - Improvement Plan: Session 2018-19</i></p>	<p><i>Moray Council</i></p>	<p>Karen Lees</p> <p>Quality Improvement Officer Education and Social Care</p>
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LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer																		
<div><div><div>Moray - Level 4 Literacy</div></div><div>Moray - Level 5 Literacy</div></div> <div><div>Moray - Level 4 Numeracy</div></div> <div>Moray - Level 5 Numeracy</div>		<p>have a timetabled to ensure they have opportunity to improve their literacy and numeracy levels prior to point of exit</p> <ul style="list-style-type: none">This has been further developed at a strategic level with SQA Coordinators and Timetablers in the senior phase and at moderation approaches and QAMSO input in the BGEPupil Equity Funding approaches to support raising attainment in literacy and numeracy, with some schools providing this through wellbeing approachesOngoing focus on assessment and moderation, extending to collegiate practice	<p>shows that Moray has improved in three areas (L4 Numeracy +0.4%, L5 Literacy & Numeracy +1.1% and L5 Numeracy +1.6%). Over the same period with the exception of L4 Numeracy, which has remained static, all other virtual comparator benchmarking performance data has declined allowing Moray to close the gap slightly. However Moray remains below our virtual comparator across all areas.</p> <p><u>Average Tariff Scores</u></p> <table><tr><th colspan="2">Lowest 20%</th></tr><tr><td><u>Moray</u></td><td><u>120</u></td></tr><tr><td><u>Comparator</u></td><td><u>148</u></td></tr><tr><th colspan="2">Middle 60%</th></tr><tr><td><u>Moray</u></td><td><u>755</u></td></tr><tr><td><u>Comparator</u></td><td><u>778</u></td></tr><tr><th colspan="2">Highest 20%</th></tr><tr><td><u>Moray</u></td><td><u>1738</u></td></tr><tr><td><u>Comparator</u></td><td><u>1812</u></td></tr></table> <p>Moray lags behind our virtual comparator in all three cohorts. Where Moray has lost the most ground to our comparator is within the lowest 20% having been at 163 in 2015/16. Performance in both the middle and highest cohorts has improved since 2015/16. When LGBF overall average total tariff scores are compared nationally Moray is placed 29th out of the 32 Scottish local authorities.</p>	Lowest 20%		<u>Moray</u>	<u>120</u>	<u>Comparator</u>	<u>148</u>	Middle 60%		<u>Moray</u>	<u>755</u>	<u>Comparator</u>	<u>778</u>	Highest 20%		<u>Moray</u>	<u>1738</u>	<u>Comparator</u>	<u>1812</u>				
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We will deliver an appropriate curriculum and intervene early for those who are disengaging from education and provide support to children, young people and their families	Ambitious and confident children: To improve the life chances of children especially the most vulnerable by supporting them and their families at the earliest stages	<p>Moray school exclusion policy rewritten and published: <i>“Included Engaged and Involved – A Positive Approach to Managing School Exclusions”</i>.</p> <p>Guidance and processes were completely revised.</p>	<p><u>LGBF 2016/17</u></p> <p>Overall school exclusion rates/1,000 of pupils (33.1) rank Moray as 24th out of the 32 Scottish local authorities (1 least – 32 highest exclusion rate). Since 2012/13 Moray’s ranking has shown only a small movement from 26 to 24.</p> <p>Exclusion rates for Looked after children (LAC) fare much better. With</p>	Nationally benchmarked Data only recorded biennially. Latest data is 2016/17. Local data for the end of school term will be available July 2019	<i>Moray Children's Service Plan Exclusions</i>	<i>Moray Council</i>	Iain MacDonald Children's Wellbeing Service Manager, Education & Social Care																		

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
			<p>a rate of 51.2 (per 1,000 pupils) Moray is ranked 6th best in Scotland and has shown significant improvement since 2012/13 when the rate was 212.7/1,000 and a ranking of 14th</p> <p>Latest Local Data 2018/19</p> <ul style="list-style-type: none"> 13% decrease in primary school pupils excluded and a 13.6% reduction in the incidences of exclusion in comparison to 2017/18 13.6% decrease in secondary school pupils excluded and a 3.6% reduction in the incidences of exclusion in comparison to 2017/18 17 LAC were excluded from Moray schools, amounting to a 13.3% rise from 2017/18. There were 38 incidences which led to exclusion an increase of 40.7% from 2017/18. <p>A reduction in LAC exclusions and incidences will be a priority area for the forthcoming academic year (2019/20)</p>				
All eligible pregnant women will be able to access Family Nurse partnership	We will improve health supports and outcomes for children before they are born	1. Continued delivery of FNP service 2. Family Nurse Partnership – extended eligibility criteria introduced.	Awaiting annual report 33 prospective parents currently engaging with Moray service.		Moray Children's Service Plan/Early Learning and Childcare Delivery Plan	NHS - Moray IJB	Family Nurse Partnership
Expectant mothers are provided with all relevant health care advice on conception/pregnancy		Current Position 1. A pathway is in place for pregnant smokers, including Carbon monoxide monitoring, midwives are able to identify and support pregnant smokers access smoking cessation support. 2. To increase reach/access the healthpoint and Smoking Advice Service	Smoking identified at booking. Recorded as three year aggregated data. ScotPHO Profiles Tool^{viii} <ul style="list-style-type: none"> Between 2014/15 – 2016/17 and 2015/16 – 2017/18 in Moray the rate reduced from 18.2% to 16.5%. Over the same period Scotland has also witnessed a reduction from 16.3% to 15.4%. Although Moray has seen a larger reduction it remains above the national rate. 		Moray Children's Service Plan	NHS - Moray IJB	Public Health

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
		<p>(SAS) have merged to provide a holistic support/signposting service; within Dr Grays Hospital and community venues.</p> <p>3. A dedicated healthpoint/SAS advisor is available within ward 3 Dr Grays Hospital.</p>	<p>Postpartum (Following Childbirth). Recorded as three year aggregated data.</p> <ul style="list-style-type: none"> Between 2014/15 - 2016/17 and 2015/16 - 2017/18 in Moray the rate reduced from 18.8% to 17.8%.Over the same period the National rate has risen slightly from 15.8% to 16.4%. Shows Morays performance is improving whilst declining performance is being witnessed nationally. <p>SAS Referrals: 2017 17 2018 19</p> <p>Quit Dates: 2017 11 2018 10</p> <p>12 Week Quits: 2017 1 2018 3</p>				
	We will improve health supports and outcomes for children before they are born	<p>Baby Steps Programmes delivered: 2017 - 3 (June – Dec) 2018 - 6 2019 - 2</p>	<p>The impact of the programme is measured via the wellbeing wheel in week 1, 4, 8 and in the postnatal period. Data demonstrates that 100% of women attending the programme reported:</p> <ul style="list-style-type: none"> An increased awareness of the risks of having a BMI ≥ 30 and how to reduce these risks. An increase in the knowledge and confidence in how to take steps to improve health and wellbeing. Feeling healthier and more active. A clearer understanding of how to interpret food labels. An increase in awareness of support available in the community. <p>The benefits continue in the postnatal period; with all women reporting a sustained improvement to their health and wellbeing.</p>				Maternity Services

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
			Baby Steps won the Children and Young People’s Improvement Collaborative 2018 award for excellence in the Early Years				
<div>Intervene early and provide support to children identified as having developmental concerns at 27-30 mths child health review</div> <div></div>	We will improve health supports and outcomes for children before they are born	<div>New Universal Health Visiting Pathway</div> <div>The Universal Health Visiting Pathway is implemented on an incremental basis, at present NHSG is up to the 27-30 month child health review. The 4 year old assessment will be implemented in 2020.</div>	<div>Local Government Benchmarking Framework (LGBF) data shows that Moray compares well nationally for children meeting their development milestones. In 2017/18 80.7% of children met their development milestones; nationally the figure was much lower at 57.1%. Both locally and nationally performance has deteriorated slightly.</div> <div>An audit of parent/carer experience of the NHSG health visiting service was completed in February 2019, this follows on from the 2015 survey to elicit the views of parents involved with the health visiting service and reflects NHSG’s commitment to caring, listening and improving services. Results include:</div> <div><ul style="list-style-type: none">85.6% of parents/carers were aware the Health Visitor was the named person for their child;96.9% would contact their Health Visitor for advice and 83.1% of parents/carers indicated a preference for the same number of contacts with their Health Visitor;96.6% felt Health Visitors provided a supportive service and the majority were in favour of a universal service, as only 19.3% felt Health Visitors should only visit parents who are having problems with their children and 22.1% that Health Visitors should only visit parents who have asked for help;Parents/carers provided positive comments about their Health Visitor.</div>		Moray Children's Service Plan (p44)	NHS - Moray IJB	

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
		Universal Pathway Quality Improvement Collaborative (UpQIC) Test of Change	A number of health visitors in Moray are participating in the national UpQIC programme which has a focus on the 27-30 ASQ; using activity tools as an intervention when there is a communication score <35. To date, they have completed the quality improvement component; produced a storyboard which was displayed at the national children's and young people's improvement collaborative (CYPIC) learning session in November 2018; and are in the process of 'spreading' the improvement programme across all Health Visiting and School Nursing Teams in Moray				
We will work in partnership to educate children, young people and their families regarding online safety and the risks of child sexual exploitation	We will protect children from child sexual exploitation and harm online				<i>Moray Local Policing Plan 2017 - 2020</i> <i>2026 Policing strategy - Serving a Changing Scotland</i>	Police Scotland	Responsible Person: Paul McCruden Inspector Kenny McGeough
We will carry out analysis on CSE crimes in Moray and make key recommendations for improvement					<i>2026 Policing strategy - Serving a Changing Scotland</i>	Police Scotland	Responsible Person: Paul McCruden Inspector Kenny McGeough
Rate of Domestic Abuse Crimes per 10,000 population					<i>Moray Community Justice Outcomes Improvement Plan (p21)</i> <i>Moray Local Policing Plan 2017 - 2020</i> <i>2026 Policing strategy - Serving a Changing Scotland</i>	Police Scotland	Responsible Person: Paul McCruden Inspector Kenny McGeough

Empowering & connecting communities

*A thriving and well connected place, where more people live well in their communities.
Confident, skilled and self-reliant communities where expectations and aspirations are raised, and achieved*

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Gain a better understanding of people's needs and aspirations. Tailor and promote learning opportunities accordingly	More people participating in Learning opportunities				CLD Plan	Moray Council	Graham Jarvis
Promote and support community-led activity; develop indicators to enable us to assess progress	More people participate in community activity				CLD Plan	Moray Council	Graham Jarvis
Communities in New Elgin East and Buckie Central East participate in the development and implementation of their Locality Plan.	More people who experience the poorest outcomes take part or join the conversation.	<ul style="list-style-type: none"> • New Elgin East and Buckie Central East identified as Locality Plan Pilot Areas • Co-ordinating group created consisting of CPP staff • Co-ordinating Group mapped current partnership agency locality involvement and updated statistical data. • 10 Step Engagement Plan produced and approved 	<ul style="list-style-type: none"> • Community Planning Partnership (CPP) has a better understanding of local needs • Local perspective on CPP priorities recognised 		Locality plan engagement process	Moray Council	Denise Whitworth
Refocus of staff work load and Implementation of exit strategies for current workload as appropriate. Partnership protocols and resources agreed and action plans in place. Measure and evaluate against identified outcomes.		<ul style="list-style-type: none"> • Additional Community Support Officer post secured to support locality planning work. • Support in place from across CPP partners for additional staff involvement • Scottish Community Development Centre's Place Based Support Programme support secured for this new area of work. • Work progressed with community to build their confidence and capacity to take on the overseeing role for the Locality Plans going forward. • Locality action plans produced 	<ul style="list-style-type: none"> • Draft locality plan produced for each of 2 areas • Some resources reconfigured to times better suited to the community • Discussion with the local community has led to some shifting or reconfiguring of CP Partner priorities. (e.g. Changes to policing in new Elgin to respond to concerns. Change to buses in Buckie Change to DWP training times) 				

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
		<p>which identify lead partners for relevant actions and appropriate resources will be deployed.</p> <ul style="list-style-type: none"> • Work on clear “smart” outcomes will continue as the plans mature and develop. • Community Planning Board will review widening locality planning initiative after monitoring the outcomes of the 2 pilot initiatives in 12 months’ time. 					
Prioritise and deliver locality based work in pilot Areas using appropriate mapping engagement tools.	Our communities’ ability to address their own needs and aspirations is improved.	<ul style="list-style-type: none"> • CPP agreed priority areas as part of LOIP preparation. Work taken place with local communities to develop pilot plans. • Co-ordinating group identified local activists to help form an initial Working Group to lead the initiative locally. • Working Group members produced a questionnaire, identified target areas and groups to engage with in the community • A wide-ranging engagement exercise took place over approx. five months and 1600+ conversations with local community members, ascertaining local people’s priorities. • Two draft Locality Plans in Buckie and New Elgin put together by the Co-ordinating Groups informed by the focus groups during March / April 2019. • Appropriate monitoring framework and outcome indicators being developed by the focus groups 	<ul style="list-style-type: none"> • Two Draft locality plans prepared that reflect issues identified and prioritised by communities. Accepted by Moray Community Planning Partnership in June 2019. Ready for final consultation. • Awareness of community involvement and community empowerment has been raised. • Through involvement with the Co-ordinating Groups and focus groups, community members have developed confidence, learnt new skills and increased their knowledge and understanding of community planning. 		Locality plan engagement process	Moray Council	Denise Whitworth

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Communities in New Elgin East and Buckie Central East take a leading role in the Delivery of appropriate actions within the context of their locality Plan.	Our communities' ability to address their own needs and aspirations is improved.	<ul style="list-style-type: none"> • Regular meetings and support in place to support communities to address the areas identified in the plan • Support to the Co-ordinating Groups and subsequent priority focus groups were provided by Community Support Officers. • Overarching support, including training for local FG members by SCDC. • Training for community members of the Groups in identifying priorities, assessing risk and formulating actions provided by Community Support Officers. 	<p>Examples: New Elgin group working on seagull nuisance.</p> <ul style="list-style-type: none"> • A Community Oversight Group is in place in each of Buckie Central East and New Elgin East recognised by the Community Planning Partnership as taking identified priority outcomes forward. 		Locality plan engagement process	Moray Council	Denise Whitworth

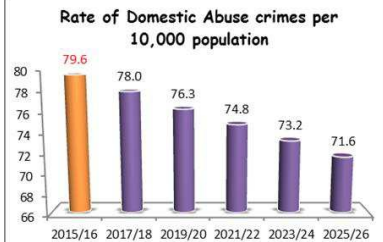
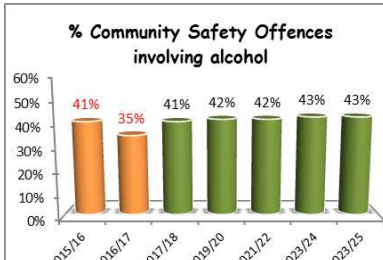
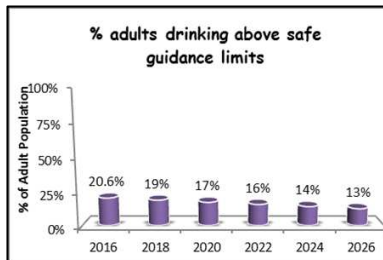
Changing our relationship with alcohol

People are healthier and experience fewer harms as a result of alcohol use

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Details of those charged with drunk driving will be shared by the police with the Moray Community Safety Hub, to inform potential support	Reduction in future service demand due to harmful alcohol consumption	As part of the custody process, Police engage with the accused in relation to alcohol issues and signpost accordingly to support services in the area, ensuring they are aware of the help available.		Number of Drink Driving offences monitored via the CS Hub however details of those charged have not been shared by Police. Issues exist around GDPR and data sharing as this would require consent from those involved.	Operation CEDAR (Challenge, Educate, Detect and Reduce) Moray Local Policing Plan 2017 - 2020. 2026 Policing strategy - Serving a Changing Scotland	Police Scotland / Community Safety hub	Responsible Person: Paul McCruden Inspector Kenny McGeough
Mapping of current work, evidence and strategies where alcohol affects outcomes		A 2018/21 Delivery plan has been produced and is currently being reviewed.			Moray Community Justice Plan Moray Alcohol and Drug Partnership - Delivery Plan 2018-21	Not known	Not known
Strategic review of the MADP to ensure a shared vision, purpose and goals which recognises and utilises partner expertise and skills effectively		The MADP have reviewed its operating practice. A 2018/21 Delivery plan has been produced and is currently being reviewed.	Examples include: Increased investment in services as part of the review and wide consultation processes which included agency staff and those with lived or living experience.		Moray Alcohol and Drug Partnership - Delivery Plan 2018-21	Moray Alcohol and Drug Partnership (Moray ADP)	
Implement the National Recovery Outcomes Tool in Moray across Alcohol and Drug services		The Recovery Outcomes Tool is embedded into the performance reporting framework. See attached version of the 2018/19 Q4 report, which includes information linked to the Recovery Outcomes Tool. Note; the Recovery Outcomes Tool will cease to be supported by the Scottish Government in 2019 and will be replaced by a revised and improved tool.	The Recovery Tool is embedded into the reporting framework. Data from the tool has supported investment decisions;		Moray Alcohol and Drug Partnership - Delivery Plan 2018-21 (p15)	Moray ADP	

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
Enable more people at risk of alcohol harm to recover by increasing their engagement with timely and effective services by improving the reach and impact of all alcohol recovery services Improve universal services and communities ability to identify those in need and link them with available services and community support	Reduction in future service demand due to harmful alcohol consumption	See actions in 2018/21 Delivery Plan.	<p>Data taken from the Waiting Times report on the Scottish Drug Misuse Database. During quarter 4, no service users waited 3 or more weeks before starting treatment.</p> <p>The number of active clients accessing services has increased year on year from 443 in 2016/17 to 544 in 2018/19.</p> <p>Self-Referral continues to be the most common method of referral into the services with 76% of Service Users in quarter 4 stating this is how contact was made; the same proportion as in quarter 1, 2 and 3</p>		<i>Moray Alcohol and Drug Partnership - Delivery Plan 2018-21</i>	Moray ADP	
Youth offending where alcohol is a contributory factor					<i>Moray Local Policing Plan 2017 - 2020</i> <i>2026 Policing strategy - Serving a Changing Scotland</i>	Police Scotland / Community Safety hub	Responsible Person: Paul McCruden Inspector Kenny McGeough
Driving under the influence of alcohol number of road traffic accidents recorded by the police where alcohol is a suspected contributing factor		National annual drink driving campaigns undertaken by Roads Policing (Summer and Festive period) to educate the public against this behaviour.			<i>Moray Local Policing Plan 2017 - 2020</i> <i>2026 Policing strategy - Serving a Changing Scotland</i>	Police Scotland / Community Safety hub	Responsible Person: Paul McCruden Inspector Kenny McGeough
Details of individuals thought to be vulnerable by Police Scotland for reasons associated with alcohol misuse will be shared by the Police with the Moray Community Safety Hub, to inform potential support.	A whole population approach to prevention and reducing related harms	Details of individuals that are thought to be vulnerable are shared with support agencies by Police Scotland via their VPD system (Vulnerable Persons Database). A person's vulnerability may include alcohol misuse.			<i>Moray Community Justice Outcomes Improvement Plan (p21)</i> <i>Moray Local Policing Plan 2017 - 2020</i>	Police Scotland / Community Safety hub	(NAME/POST: TBA) Police Scotland Custody Division

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
		<p>Vulnerable people can also be highlighted to partners via the CS Hub, e.g SFRS/Housing highlighting a vulnerable occupant after engaging with them in their home for other reasons.</p> <p>As direct support of the new vulnerability section of the Moray Licensing Statement of Licensing Policy, the public safety initiative 'Ask for Angela' was introduced to the Moray Licensed trade. This initiative outlines the opportunity for a person who feels uncomfortable with a person or group to remove themselves, safely and discreetly, by simply 'Asking for Angela' at the bar and the staff member will facilitate safe exit from the premises. This campaign has proved very successful across the country and is a different approach / option for people to keep themselves safe or get away from potential danger.</p>			<i>2026 Policing strategy - Serving a Changing Scotland</i>		
<p>Continue to support and engage with the Domestic Abuse services, the Community Safety Strategic Group, and the Public Protection Partnership in Moray to assist with the reduction of substance misuse related offending in the Moray area</p> <p>Carried forward from Moray 2026: a plan for the future (Target 38)</p>					<p><i>Moray Community Justice Outcomes Improvement Plan</i> (p21)</p> <p><i>Moray Local Policing Plan 2017 - 2020</i></p> <p><i>2026 Policing strategy - Serving a Changing Scotland</i></p>	Police Scotland	<i>PS Barry Riddoch?</i>

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer																
<div><div>Rate of Domestic Abuse crimes per 10,000 population</div><table><thead><tr><th>Year</th><th>Rate</th></tr></thead><tbody><tr><td>2015/16</td><td>79.6</td></tr><tr><td>2017/18</td><td>78.0</td></tr><tr><td>2019/20</td><td>76.3</td></tr><tr><td>2021/22</td><td>74.8</td></tr><tr><td>2023/24</td><td>73.2</td></tr><tr><td>2025/26</td><td>71.6</td></tr></tbody></table></div>	Year	Rate	2015/16	79.6	2017/18	78.0	2019/20	76.3	2021/22	74.8	2023/24	73.2	2025/26	71.6									
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<div>Community Safety Offences involving alcohol</div> <div>Carried forward from Moray 2026: a plan for the future (Target 40)</div> <div><div>% Community Safety Offences involving alcohol</div><table><thead><tr><th>Year</th><th>Percentage</th></tr></thead><tbody><tr><td>2015/16</td><td>41%</td></tr><tr><td>2016/17</td><td>35%</td></tr><tr><td>2017/18</td><td>41%</td></tr><tr><td>2019/20</td><td>42%</td></tr><tr><td>2021/22</td><td>42%</td></tr><tr><td>2023/24</td><td>43%</td></tr><tr><td>2023/25</td><td>43%</td></tr></tbody></table></div>	Year	Percentage	2015/16	41%	2016/17	35%	2017/18	41%	2019/20	42%	2021/22	42%	2023/24	43%	2023/25	43%					Not known	Not known	Not known
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<div>Partners to provide Police Scotland and Licensing Standards Officers with support to enable them to appropriately enforce the legislation on responsible sale, availability and consumption of alcohol in order to reduce alcohol related violence, other crime or harm.</div> <div><div>% adults drinking above safe guidance limits</div><table><thead><tr><th>Year</th><th>Percentage</th></tr></thead><tbody><tr><td>2016</td><td>20.6%</td></tr><tr><td>2018</td><td>19%</td></tr><tr><td>2020</td><td>17%</td></tr><tr><td>2022</td><td>16%</td></tr><tr><td>2024</td><td>14%</td></tr><tr><td>2026</td><td>13%</td></tr></tbody></table></div>	Year	Percentage	2016	20.6%	2018	19%	2020	17%	2022	16%	2024	14%	2026	13%	A whole population approach to prevention and reducing related harms.	<div>In the last year the Moray Licensing Board has:</div> <ul style="list-style-type: none">- Undertaken a wide consultation and published a new statement of licensing policy. Licensing Policy includes conditions linked to vulnerability and Social Responsibility.- Undertaken a thorough research programme and a complete revision of its statement of overprovision- Published its annual report on exercising its functions under the Licensing (S) Act 2005 in particular promoting the licensing objectives- Published its annual financial report including a review of business transacted through the year- Participated in a licensing Matters event (March 2019) organised by the Moray ADP	<div>1. Licensing Policy produced and promoted; with includes social responsibility standards and issues linked to vulnerability.</div> <div>2. Increased Licensing Standards Officer provision from 0.4FTE to 1.0FTE whilst maintaining some of the lowest annual premises licence fees in Scotland</div>		<div>Moray Local Policing Plan 2017 - 2020</div> <div>2026 Policing strategy - Serving a Changing Scotland</div>	Police Scotland Moray ADP			
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LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
		<p>along with Police Scotland. This event was very well attended and covered areas of discussion like vulnerability through intoxication, the new Statement of Licensing Policy, alcohol harm reduction and adult and child safety.</p> <p>See Actions linked to MADP delivery Plan.</p> <p>Moray Licensing Forum in partnership with Police Scotland and MADP launched the 'You're Asking for it' public awareness campaign to raise awareness of the proxy supply of alcohol. Posters were distributed to 'off sales' premises across Moray and associated local and social media releases carried out. Dedicated joint policing operations are to be arranged and media coverage sought to identify means to reduce the proxy supply of alcohol and associated harm, anti-social behaviour and violence.</p> <p>See workforce development briefing.</p>					
Number of crime-files where accused/suspect was “drunk” or “had been drinking” per fiscal year			<p>Data has been provide for Group 1 Crimes only for the period 1 April 2018 to 31 March 2019.</p> <p>28 alcohol-related crimes of violence were recorded during 2018/19. These occurred within a "private space" (Residential Locus) in Moray.</p>		<p><i>Moray Local Policing Plan 2017 - 2020</i></p> <p><i>2026 Policing strategy - Serving a Changing</i></p>	Police Scotland / Community Safety hub	<p>Responsible Person:</p> <p>Paul McCruden</p> <p>Inspector Kenny McGeough</p>

LOIP First Steps	Planned Objectives	Actions Undertaken	End of Year 1 Outcomes	Notes	Partnership Plan	Lead Partner	Lead Officer
			<p>The data is limited to those specific crimes where the accused, suspect and/or complainer had a Sobriety Status of "Drunk", "Had Been Drinking" or "Drugs".</p> <p>There were 13 alcohol-related crimes of violence recorded during 2018/19 which occurred in a "public space" (Non-residential Locus) in Moray.</p>		<i>Scotland</i>		

ⁱ Moray Local Child Poverty Action Report <http://yourmoray.org.uk/downloads/file126169.pdf>

ⁱⁱ Child Poverty (Scotland) Act 2017 <http://www.legislation.gov.uk/asp/2017/6/contents/enacted>

ⁱⁱⁱ Fairer Moray Forum Food Poverty [Action](#) Plan Centred on Lived Experience <https://morayfoodplus.org.uk/final-action-plan.pdf>

^{iv} [Developing](#) a food poverty action plan centred on lived experience <https://morayfoodplus.org.uk/final-food-poverty-report.pdf>

^v The [Cost](#) of the School Day <https://morayfoodplus.org.uk/cost-of-school-day.pdf>

^{vi} NOMIS https://www.nomisweb.co.uk/reports/lmp/la/1946157424/subreports/ea_time_series/report.aspx?

^{vii} Official Labour Market Statistics <https://www.nomisweb.co.uk/>

^{viii} Public Health Information for Scotland ScotPHO <https://www.scotpho.org.uk/comparative-health/profiles/online-profiles-tool>



REPORT TO: AUDIT AND SCRUTINY COMMITTEE ON 13 NOVEMBER 2019

SUBJECT: STATEMENT OF OUTSTANDING BUSINESS AT NOVEMBER 2019

BY: HEAD OF GOVERNANCE, STRATEGY AND PERFORMANCE

1. REASON FOR REPORT

- 1.1 The Committee is asked to consider progress and timescales in relation to follow-up reports and actions requested by this Committee at previous meetings.
- 1.2 This report is submitted to Committee in terms of Section III (I) (11) of the Council's Scheme of Administration relating to evaluating the actions of Committees and implementing the Action Plan set out in the Corporate Development Plan.

2. RECOMMENDATION

- 2.1 **It is recommended that the Committee considers and notes progress and timescales in relation to follow-up reports requested by this Committee.**

3. BACKGROUND

- 3.1 A listing of follow-up reports generated from previous meetings is maintained and progress recorded. At the request of the Chair of the Audit and Scrutiny Committee, in order to assist in programming the work of the Committee, this information is presented in **Appendix 1**.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

Performance reporting is linked to the Chief Executive's Office Service Plan in assisting with the monitoring and reporting of performance in line with the Council's Performance Management Framework.

(b) Policy and Legal

None.

(c) Financial implications

None.

(d) Risk Implications

None.

(e) Staffing Implications

None.

(f) Property

None.

(g) Equalities/Socio Economic Impact

An Equality Impact Assessment is not needed because the report is to inform the committee on performance issues.

(h) Consultations

Relevant officers have been consulted in relation to the reports and actions listed in **Appendix 1** relating to their service, any comments received have been considered when compiling this report.

5. CONCLUSION

5.1 The Committee considers progress and timescales in relation to follow-up reports requested by this Committee.

Author of Report: Alasdair McEachan, Head of Governance, Strategy and Performance

Background Papers:

Ref:

STATEMENT OF OUTSTANDING BUSINESS AT NOVEMBER 2019 – REPORTS

Date of Audit and Scrutiny Meeting	Subject & Committee Decision	Update	Responsible Officer	Date to be Completed	Completed
4 December 2018	Internal Audit Charter (Terms of Reference) Seek a report providing a draft Internal Scrutiny Charter for consideration	Draft report under development.	Depute Chief Executive (Education Communities and Organisational Development (ED, Comms and OD))	November	On agenda
4 December 2018	The National Fraud Initiative in Scotland That the policy to combat fraud and corruption will be updated and submitted for approval to the next meeting of the Policy and Resources Committee	Due to workload pressures this has been deferred until the meeting in September.	Depute Chief Executive (ED, Comms and OD)	September 2019	On agenda
4 December 2018	Corporate Integrity Group Update Action - Seek clarification on the feasibility of publishing hospitality records for staff	Will be addressed as priorities dictate.	Depute Chief Executive (ED, Comms and OD)	June 2019	June 2019

STATEMENT OF OUTSTANDING BUSINESS – ANNUAL REPORTING

Date of Audit and Scrutiny Meeting	Subject & Committee Decision	Update	Responsible Officer	Date to be Completed	Completed
22 March 2017	Update on Progress: Customer Focus Strategy and Charter	Annual update on progress against strategy and charter.	Depute Chief Executive (ED, Comms and OD)	June 2019	June 2019
	Local Outcome Improvement Plan (LOIP)	Due to workload pressures this has been deferred until the meeting in September.	Chief Executive	September 2019	On agenda
	Corporate Integrity Group Update Annual update	Meeting of group due in Dec 19. Annual update will be in first quarter of 2020	Head of Governance Strategy and Performance	March 2020	