

Risk

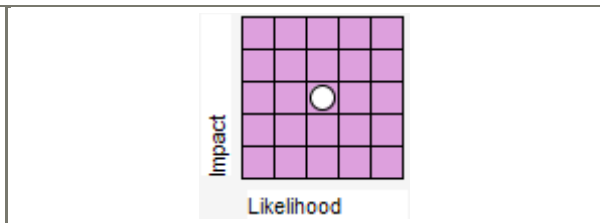
CORRR0001 Maximising use of funding

Risk Description

The council does not align its budget spend to priorities resulting in budget not meeting the needs of the customer

Actions/Controls already in place

A SIMALTO exercise has been undertaken to identify stakeholders' views on potential cut/reduction areas. There is a process of savings identification through the budget setting process. Transforming Angus (TA) is looking at major projects – longer term, big potential savings. Role of Corporate Management Team and Policy & Budget Strategy Group (PBSG) in developing priority based budgeting. Developing plans to further improve stakeholder engagement in the establishment of Council priorities and the associated budget setting process. Outcome planning work programmed for action via Angus Community Planning Partnership (ACCP). Monitoring of agreed budget savings reported to PBSG.



Likelihood

The Transforming Angus programme is being looked to as the main driver for change in terms of savings, efficiencies, channel shift and reshaping of services. This only covers major projects. Priority based budgeting is not yet implemented with 3 year savings identified on a "salami slicing" basis and programme of efficiency reviews requires to be refreshed. There is a disconnect between various review functions including internal service reviews, scrutiny reviews and TA reviews. The Agile agenda has not progressed quickly and we still hold substantial property. Until these areas are developed and embedded there is a high likelihood that that the risk will materialise. Whilst SIMALTO and citizen's panel have given some insight into the voice of our customers the work needs to continue to identify both the customers' priorities and non-priorities. Similarly both internally, and with input from Members, we need to bring forward non-priorities and thereafter identify where significant service reductions will be supported.






Potential Impact

Spend is not allied to priority or objectives. Budget issues arise which require to be bailed out on a firefighting basis. Continuation of salami slicing of budgets. Service user dissatisfaction – we do not successfully understand the voice of the customer. Adverse media publicity. Savings and efficiencies are not realised.

Likelihood Score: 3
Potential Impact Score 3
Overall Risk Score 9

Target Likelihood 2
Target Impact 3
Target Risk Score 6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0001.1 We will ensure financial resources are directed to delivering key outcomes and provide clarity on work/services which are to be ceased or deferred to allow this to happen in practice	31-Mar-2015	 Complete	Heads of Service	Corporate Position - paper on refining our service prioritisation and budget setting is due to be considered by PBSG on 9 April 2015. CI&F Update - complete for 14/15 through budget saving review activity which has already affected most teams and will cover remaining teams in 15/16. Service Managers and their teams continue to be encouraged to look for ways to reduce workload through improved efficiency or challenging the necessity and value of some activity. Deployment of new technology has also been a major contributor to managing demand and improving outcomes in 14/15.
CORRR0001.2 We will put in place a monitoring regime for agreed budget savings which will be reported to the Policy and Budget Strategy Group	31-Dec-2014	 Complete	Mark Armstrong	Monitoring of agreed budget savings is in place and is being reported to the PBSG.
CORRR0001.3 We will complete the work being undertaken for the Angus Community Planning Partnership on resource mapping to outcomes as part of development of priority based budgeting	31-Mar-2015	 Complete	Ian Lorimer	The original risk action has been superseded by a more focused piece of work based on ACPP activity in Arbroath. The Improvement Service will still be supporting this work but it is only at the initial stages at present (March 2015)
CORRR0001.4 We will undertake community engagement to establish their priorities and use this to inform budget decisions	31-Mar-2015	 Complete	Ian Lorimer	Update as at March 2015 is same as previous narrative - no further work at corporate / whole council level is planned in the short term - emphasis is now on communicating the reasons and purpose of service changes, etc..
CORRR0001.5 We will identify the services which are considered non-priority or low priority and develop a strategy to reduce financial commitment to these services	31-Aug-2015	 In progress	Heads of Service	Areas of service provision have been reviewed and changes implemented to reduce financial commitment, improve service wherever possible. Some services have been redesigned to focus on priority services.

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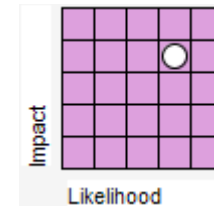
CORRR0002 Cultural Change

Risk Description

Organisational culture does not evolve to embrace the one council approach. Resistance to cultural change would have a negative impact on service development and more importantly on outcomes for Angus' citizens

Actions/Controls already in place

Comprehensive leadership development including the adaptive leadership programme for senior managers and the Leadership Forum.
 A range of communication methods such as weekly Angus Mini Matters, cascade briefings.
 An organisational development team who focus on providing professional development related to change management and people growth.
 A key focus on Service reviews ensures full engagement of staff and stakeholders in the process.
 Feedback from AIM and IIP is used to target development in appropriate areas.
 Development of staff reward and recognition.



Likelihood

Substantial transformation required by the council in the way services are delivered. . This requires a focus on strategic planning and scrutiny of outcomes. Although significant work is underway to minimise this risk, there is a continued need to ensure planned collaborative work between the three directorates to positively deliver on shared priorities
 It is recognised that a consequence of significant structural change and the range of service reviews in place may negatively impact on staff motivation and willingness to embrace change
 Change messages require to be carefully planned, honest and focused on potential opportunities






Potential Impact

Co-ordinated contraction of service delivery does not occur and impacts unduly on some or all service users.
 There is a concern that staff are not fully supported through this process to achieve the strategic change agenda and frontline service improvement

Likelihood Score: 4
Potential Impact Score 4
Overall Risk Score 16

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0002.1 We will develop a clear strategy of what Council and Service priorities are required to deliver the Council's SOA and spell out what are no longer priorities and why they will be stopped	30-Jun-2015	 In progress	Heads of Service	Limited progress made so far. PBSG to consider paper on future budgeting arrangements at its meeting on 9 April 2015 which will hopefully allow greater clarity in future over priority and non-priority areas
CORRR0002.2 We will agree the priorities using the legal statutory duty as the base starting point to ensure we deliver our statutory duties	28-Feb-2015	 Complete	Heads of Service	Statutory duties are prioritised in the budget setting process in respect of both the general fund and HRA
CORRR0002.3 We will work with Corporate Improvement team and strategic partner to investigate and review the ways in which services are delivered to develop a portfolio of efficiency savings through service redesign as a first objective before services are reduced	30-Jun-2015	 In progress	Heads of Service	Focus for CI&F is on internal reviews of our services (which is well progressed) and supporting TA work and other reviews. Corporately there is now a clear portfolio of efficiency projects through TA and other reviews initiated by the budget savings which have been agreed
CORRR0002.4 We will communicate the above clarity with staff, management and unions as early as possible and manage the change in accordance with council policy without avoiding the challenge this brings	30-Jun-2015	 In progress	Heads of Service	Customers, staff and unions have been consulted in redesigns / service reviews. Communications around the change programme is an ongoing requirement
CORRR0002.5 We will develop a clear CMT communication plan based on the prioritisation and disinvestment of services that links to the evidence for the decisions and provides a clear, consistent and transparent set of adopted messages.	30-Jun-2015	 In progress	Heads of Service	Work on this is ongoing with a draft TA Communication Strategy nearing completion for issuing to all staff

Risk

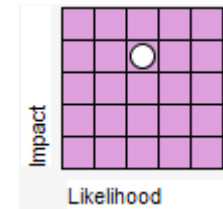
CORRR0003 Transforming Angus non-delivery

Risk Description

The Transforming Angus programme fails to deliver with the result that the major savings required from the change programme are not realised to the extent required

Actions/Controls already in place

A high-level Transforming Angus Board has been set up to oversee the process.
A Service Manager (Transforming Angus) has been appointed on a temporary basis to deliver a transformation programme.
Work is underway in terms of some key areas including waste, digital angus etc.
The existing PBSG process maintains oversight and ability to step in if required.
A strategic partner has been appointed to assist with change agenda. Quarterly reports on activity and benefits realisation to Policy and Resources Committee and Scrutiny and Audit Committee.



Likelihood

The Transforming Angus programme is being looked to as the main driver for strategic change in terms of savings, efficiencies and reshaping of services and influencing positive outcomes. The arrangements for the resourcing, operation and governance of this change programme have not yet been fully established and have been subject to change. The work programme has just recently been established but clarity on methodologies from the team and who owns projects remains undetermined at present. In addition, commitment from staff across the Council requires to be embedded. Without adequate resources and commitment TA will be unsuccessful. This gives a high likelihood that the risk will materialise especially as some projects are significant in size, complexity and involve some external partners. A high level of scrutiny and governance around the role of the external strategic partner is necessary.





Potential Impact

Failure to deliver the objectives of organisational change could lead to failure to establish a sustainable citizen-focussed council and services while delivering required savings within the required timeframe. This may result in member and workforce cynicism resulting in a fall back to salami slicing and a failure to modernise services, practices, attitudes and behaviours. Council resources may not be adequately targeted at achieving the strategic change agenda and the required frontline service improvements.

Likelihood Score: 3
Potential Impact Score 4
Overall Risk Score 12

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0003.1 We will finalise the arrangements for the resourcing, operation and governance of the Transforming Angus programme	20-Dec-2014	 Complete	Gordon Cargill	<p>The arrangements for resourcing the TA programme are now established to support the programme. This includes services bidding to the TA change fund where this may be required.</p> <p>In terms of the operation and governance of the TA programme, the Transforming Angus Board has been established, including Cllr Murray (Chair), the Council's Chief Executive and 3 Strategic Directors. It meets on a 6 weekly cycle to review progress and provides direction. The Board are supported by the Service Manager (Transforming Angus), who provides Highlight Reports for each strand of the overall programme. The Service Manager (Governance) has also been invited to attend the TA Board meetings.</p> <p>Projects are being progressed in a controlled environment adopting appropriate project management methodologies.</p>
CORRR0003.2 We will ensure clarity on project and programme ownership and lead accountability	20-Dec-2014	 Complete	Gordon Cargill	Project Governance arrangements updated in report to P&R Committee on 3 February 2015.
CORRR0003.3 We will, through effective Member and workforce engagement and communication embed buy-in for Transforming Angus across the Council.	20-Dec-2015	 In progress	Gordon Cargill	A members briefing on the Transforming Angus programme was held on 3 February 2015. Leadership forum events have been planned for 2015. A draft Transforming Angus Communications Strategy has been developed and workforce events are planned for 2015.
CORRR0003.4 We will define effective and appropriate governance of relationship with Strategic Partner	31-Mar-2015	 In progress	Mark Armstrong	The Transforming Angus Board and Service Manager (Transforming Angus) have continued to develop and improve the governance arrangements related to the relationship with the Strategic Partner. These have been reported to Committee and have been reviewed as part of a wider Internal Audit of the Transforming Angus programme. The implementation of the resulting action plan will further improve these governance arrangements.

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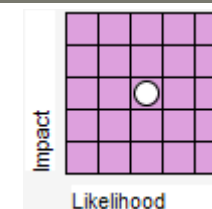
CORRR0004 Performance Management

Risk Description

The council does not manage or report its performance in the areas that are important to internal and external stakeholders and therefore does not measure what matters or monitor performance against objectives and priorities

Actions/Controls already in place

Covalent is in place as a tool to facilitate performance management and reporting. Services are using Local Government Benchmarking Framework to assess comparative performance. Existing performance management arrangements and reporting to members is well established, e.g. Annual reports, Reports to Scrutiny & Audit Committee. We are regarded as a top performing Council in terms of Audit Scotland’s assessment of our Public Performance Reporting arrangements.



Likelihood



It is currently accepted that the performance management arrangements in place could be more pertinent to outcomes and could be better reported. Less detailed more focussed reports would help us improve current arrangements. We do not have an understanding of the performance (covering cost, quality, satisfaction, etc.) of all of our services – our intelligence and data is patchy We do not have evidence led understanding of the performance that is important to our external stakeholders (ref Risk 1 SIMALTO outcomes etc)

Potential Impact

The council does not know how well it performs in priority areas
Performance does not influence the Transformation programme or scrutiny review process
Overview and scrutiny do not receive pertinent and timely performance information
Service performance is poorly monitored
There is a surfeit of performance information which is not useful There is a lack of concentration on “what matters”

Likelihood Score:	3	Target Likelihood	2
Potential Impact Score	3	Target Impact	3
Overall Risk Score	9	Target Risk Score	6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0004.1 We will undertake a full review of our existing performance management arrangements and the data/intelligence we use to make decisions and identify areas for improvement and further development	30-Jun-2015	 In progress	Heads of Service	Update remains in line with December 2014 position. Covalent system being developed to enable more detailed reporting sought by some services
CORRR0004.2 We will identify what is important to our external stakeholders	30-Jun-2015	 In progress	Heads of Service	Corporately - Position remain the same as December 2014 update. CIF - service redesigns have involved consultation with stakeholders but we have few external stakeholders other than taxpayers and benefit recipients

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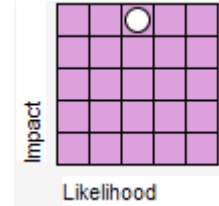
CORRR0005 Agile/Mobile/Homeworking

Risk Description

The council fails to maximise the potential of Agile/Mobile and Homeworking with the result that the required service and outcome improvements are not evident, associated savings are not realised and assets are not best utilised.

Actions/Controls already in place

There is a dedicated workstream within Transforming Angus that is integrated within the wider change programme and overseen by the Agile Working/Accommodation Board and the Transforming Angus Board. The need to 'wrap around' the dimensions of cultural and HR changes is recognised and being taken account of. A lead manager for agile working/accommodation is in place and a dedicated programme lead is to be established. The Transforming Angus Board have agreed a high level timetable for the production and implementation of the Council's Agile/accommodation strategy. The implementation of the strategy will be managed in accordance with corporate programme and project management methodologies that align with recognised good practice.



Likelihood






The council has been attempting for some time to implement an agile working process. There have been some moves forward but there is still considerable work to do in terms of moving to new more mobile and agile ways of working and securing the most value from the council's property asset. There is still work to be done in terms of bringing the council's policies (e.g. HR) into line with the new philosophy and new ways of working. The migration to Citrix has been implemented in a number of locations which provides flexibility for staff. In particular it allows officers to access their files from any device linked to the Council Network. In addition, growing use is being made of laptops and other devices to enable colleagues to undertake work remotely. Examples of service redesign and associated move to mobile delivery are commencing e.g. mobile housing app. However, these examples are limited and progress in breadth and pace is required.

Potential Impact

Savings not made
 Assets not utilised to best advantage
 Staff not working efficiently and services not redesigned to be more customer focused
 Contractual property burdens continue
 Reputation - Council is seen to remain "old fashioned" and unable or unwilling to modernise
 Staff disillusioned through lack of progress and change and/or demotivated through the changes required from agile and homeworking.

Likelihood Score:	3	Target Likelihood	3
Potential Impact Score	5	Target Impact	3
Overall Risk Score	15	Target Risk Score	9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0005.1 We will gain Committee agreement to a Council Agile Strategy	31-Jan-2015	 Complete	Gordon Cargill	Agile Strategy approved at P&R Committee on 3 February 2015
CORRR0005.2 We will develop HR policies that support and enable agile working	31-Jan-2015	 Overdue	Sharon Faulkner	Policies are currently under development for consultation with Sounding Group and Trade Unions.
CORRR0005.3 We will ensure that the implementation plan for Agile strategy finalised	30-Jun-2015	 In progress	Gordon Cargill	Due date amended.
CORRR0005.4 We will conclude roll out of migration to Citrix	31-Dec-2014	 Complete	Steve Roud	Core platform completed. Communities – current plan is for delivery by 31 March 2015 with slippage being experience on this programme.
CORRR0005.5 We will ensure opportunities for agile/mobile service redesign are identified	31-Mar-2015	 In progress	Heads of Service	For CI&F some progress has been made but we don't have a full plan yet given that the Council's overall strategy for Agile is still under development. Significant progress is being made on agile and CI&F (Angus House) is keen to be an early adopter of this approach.

Risk

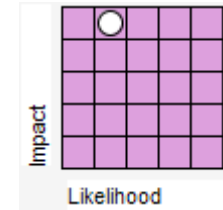
CORRR0006 Workforce reductions

Risk Description

Overall reductions in staffing resource and loss of experience lead to a major service delivery failure

Actions/Controls already in place

Council, directorate and operational planning processes that align objectives with resources and are developed and agreed at an operational level.
 Monitoring of delivery of plans by officers, service committees and Scrutiny and Audit Committee to minimise risk of 'major service delivery failure'.
 Establishment of Corporate Management Team enables information and knowledge sharing and facilitates service collaboration.
 Workload monitoring through staff supervision, one-to-one meetings and individual and team performance management.
 Employee annual appraisal process and associated staff development.
 Existing processes including IIP assessments, self-evaluation and staff survey to monitor organisational health, workload issues and perceived risk of service failure. Further development of priority based budgeting provides opportunity to improve the balance between staff resources and service outcomes/priorities.



Likelihood

The council is reducing staff resources and ceasing to deliver some services. Any further workforce reductions require to be balanced with on-going workload demands.
 Experienced staff have left at a senior level and new officers are learning about the council, the proportion of 'new' officers is however very low and many have now been in post for over 12 months.
 More experienced staff may leave as staffing reductions continue. However, it is likely that any staffing reductions would be in areas of lower service priority.
 Increased workloads may disenchant existing experienced staff.
 The effectiveness of staff supervision and associated performance management is variable across the Council. Service planning processes and associated monitoring and committee scrutiny should however minimise the risk of a 'major service delivery failure'

Potential Impact

A major service delivery failure leaves the council exposed.
 Reputational issues.
 Financial cost to rectify/settle.
 Staff recruitment and retention issues.
 Maladministration. Employee relations issues.

Likelihood Score:	2	Target Likelihood	3
Potential Impact Score	5	Target Impact	4
Overall Risk Score	10	Target Risk Score	12

Risk Update: Internal controls have been reviewed and are continuing to mitigate identified risks.

Risk

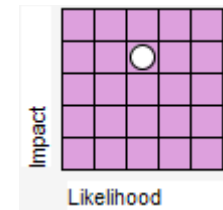
CORRR0007 Information Governance

Risk Description

A lack of clarity around information governance leaves the council exposed to an information breach and/or Information Commissioner intervention and substantial financial penalties

Actions/Controls already in place

Some work has been done around records management
A new IG Steering Group has been set up to address this
Draft Framework and Strategy in place but yet to be formally agreed
Staff required to complete Data Protection training annually



Likelihood







The information governance steering group has only met once
There is an information governance policy but it is still in draft and has not been deployed
Records management IT solution not yet decided
Workshop with Objective has not realised a report or recommended way forward
Practices are not consistent across the council
SIRO role has not been agreed or implemented

Potential Impact

There is a loss or inappropriate disclosure of sensitive data
Reputation damage
Public loss of confidence
Breach of the Data Protection Act
Significant fines imposed
Ineffective decision making
Unable to meet statutory duty (Data Protection, FOI, Record Management)

Likelihood Score:	3	Target Likelihood	3
Potential Impact Score	4	Target Impact	3
Overall Risk Score	12	Target Risk Score	9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0007.1 We will ensure that the importance of good information governance recognised at senior level in organisation	31-Mar-2015	 Complete	Mark Armstrong; Alan McKeown; Margo Williamson	Resources Directorate staff are actively engaged in the Information Governance Steering Group and associated Working Groups.
CORRR0007.2 We will ensure that the Information Governance action plan approved and implemented	31-Oct-2014	 Overdue	Sheona Hunter	The Information Governance Improvement Plan 2015/16 will be considered at the meeting of the Information Governance Steering Group to be held on 8th January 2015.
CORRR0007.3 We will review Membership of Records & Information Management Working Group and FOI/DP Working Group to ensure sufficient representation across all directorates	31-Mar-2015	 In progress	Sheona Hunter	Directorates were asked at the Council Management Team meeting on 16th Dec 2014 to nominate senior officers within each of their business units to be responsible for the records of that unit. A form for completion was issued and will be returned by 31st Dec 2014 with the nominees of the various directorates.
CORRR0007.4 We will incorporate Information Governance into Annual Corporate Governance statement if appropriate	30-Jun-2015	 In progress	Janine Wilson	This does not apply until quarter beginning April 2015
CORRR0007.5 We will ensure that all new members of staff complete data protection training and all existing staff must complete refresher training bi-annually	31-Mar-2015	 Complete	Heads of Service	Nothing to update since December position. Staff reminded and recent incident will be used to emphasise importance of following procedures. Refresher training built in to CI&F business planning calendar for August 2015
CORRR0007.6 We will issue bi-annual reminders to all staff to remind them of complying with data protection guidance	31-Mar-2015	 Complete	Heads of Service	Update is same as December for CI&F - action now built into business planning calendar so can be regarded as complete for risk register purposes in CI&F

Risk

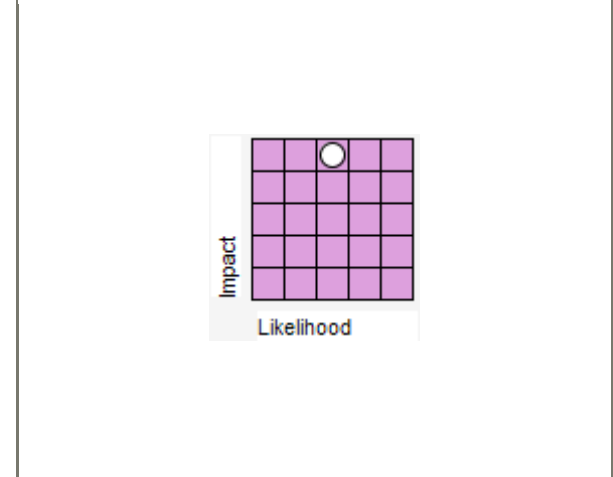
CORRR0008 Workforce/succession planning

Risk Description

The council does not build the capacity and capability of current staff, resulting in a workforce that is not flexible enough to meet changing needs and pockets of over/under capacity

Actions/Controls already in place

Council, directorate and operational planning processes that align objectives with resources and are developed and agreed at an operational level.
 Workload monitoring through staff supervision, one-to-one meetings and individual and team performance management.
 Employee annual appraisal process and associated staff development.
 Existing Angus Council People Strategy.
 Managing change policies and associated procedures.
 Tender for strategic partner explicitly supports organisational capacity building.
 Existing processes including IIP assessments, self-evaluation and staff survey to monitor organisational health, workload issues and perceived risk of service failure.
 Further development of priority based budgeting provides opportunity to improve the balance between staff resources and service outcomes/priorities.
 Comprehensive leadership development including the adaptive leadership programme for senior managers and the Leadership Forum. A range of communication methods such as weekly Angus Mini Matters, cascade briefings.
 An organisational development team who focus on providing professional development related to change management and people growth.
 A key focus on Service reviews ensures full engagement of staff and stakeholders in the process.
 Feedback from AIM and IIP is used to target development in appropriate areas. Modern Apprentices in some areas and career development schemes.



Likelihood

High if we don't corporately have a workforce strategy and plan and don't have the information to know where there are potential areas of under or over-utilisation.
 An initial internal audit consultancy report has been produced to support the development and implementation of the Council's workforce strategy including workforce profiling and planning. This will be aligned to service reviews and reviewed staff competencies and skills.
 A number of service reviews have been agreed for the 3 years to 2017 and further corporate work is being undertaken through CMT and PBSG to progress priority based budgeting.
 Targeted ER/VR will focus further staff reductions at areas where current staffing levels have been agreed for reduction.






Potential Impact

Corporate objectives not achieved.
 Workforce not utilised efficiently and effectively.
 Staff demoralised.
 Employee Relations issues.
 Inadequate skills in relation to reviewed service delivery methods.
 Financial costs of bringing in experience

Likelihood Score:	3	Target Likelihood	3
Potential Impact Score	5	Target Impact	3
Overall Risk Score	15	Target Risk Score	9

Risk update: Learning and development plans are updated on an ongoing basis to reflect the changing needs of the workforce in terms of skills required now and in the future. Development needs have been identified in relation to the Transforming Angus programme.

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0008.1 We will ensure the development, consultation and agreement of Workforce Strategy including workforce profiling and planning	31-Mar-2018	 In progress	Sharon Faulkner	Draft strategy has been developed and will be presented to EMT
CORRR0008.2 We will ensure the development of service review process incorporating workforce planning principles, consultation & communication mechanisms	31-Mar-2018	 In progress	Sharon Faulkner	Service review process has been developed and being tested for use. Will go to CMT for consultation
CORRR0008.3 We will develop succession planning framework	31-Mar-2018	 In progress	Sharon Faulkner	Plans currently being developed for Workforce Strategy
CORRR0008.4 We will develop a competency framework	31-Mar-2018	 In progress	Sharon Faulkner	Competency framework developed and informal consultation completed. Launch to be prepared.
CORRR0008.5 We will build the capacity of managers to manage change	31-Mar-2018	 In progress	Sharon Faulkner	Managing in an Entrepreneurial Council training for CMT took place in February 2015. Development for managers in relation to Transforming Angus has been identified.

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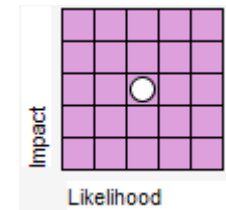
CORRR0009 Residual Waste Contract

Risk Description

There is a failure to conclude on the residual waste contract

Actions/Controls already in place

Project Steering Group and Project Team are managing this project, relationships between the Councils remain positive and constructive – there is a desire to try to make the partnership route work. There is a project risk log



Likelihood

The issue of objectively calculating the Value of the existing DERL plant and business is the key challenge and unless agreement can be reached between the two partners the project will not proceed at this time.

Potential Impact

The potential impact is mitigated considerably by the existing contract with DERL up to 2020, the emergence of a Scotland Excel Contract dealing with residual waste and a rapidly developing market where spot purchase is available now where it wasn't 6 months ago. With no significant certainty about ongoing investment in DERL to maintain the current levels of efficiency there is an increased possibility of landfill tonnage increasing until a new route can be secured.

Likelihood Score: 3
Potential Impact Score 3
Overall Risk Score 9

Target Likelihood 3
Target Impact 3
Target Risk Score 9

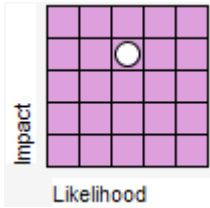
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CORRR0010 Core Governance

Risk Description

Staffing reductions, structural changes and increases in the demands on remaining staff lead to a diminution in good governance standards in day to day operations leading to potential governance breaches and, non-compliance issues.

Actions/Controls already in place

<p>Core corporate governance framework is in place which includes financial governance Council has a local code Annual governance review and internal audit Monitoring officer and s95 officer are on CMT and the roles of all the Council’s statutory officers have been explained and discussed by the CMT Finance basics and procurement basics training have previously been provided to officers, Finance related e-training is available targeted separately at budget holders and elected members</p>	
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Likelihood

Neither monitoring or s95 officer are on EMT
 Governance advisory role of service manager not clear
 AGS highlights some issues Many new officers due to restructure who may need additional training and support in the short term on governance matters, e.g. budget responsibilities






Potential Impact

There is a governance breach
 Staff act outwith authority
 Council is subject to a claim and significant financial loss
 Reputational damage Fraud risk increased

Likelihood Score: 3
Potential Impact Score 4
Overall Risk Score 12

Target Likelihood 2
Target Impact 5
Target Risk Score 10

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0010.1 We will ensure that the Monitoring Officer and Chief Financial Officer to be properly involved in development of all key policies and key decisions so they can fulfil their statutory roles	31-Mar-2015	 Complete	Mark Armstrong; Alan McKeown; Margo Williamson	Resources Director ensures MO and CFO are timeously briefed on activity of EMT and Leadership meetings. Consultation on all Committee Reports. This will remain in place until complete transferal of resources and governance to the Integrated Joint Board.
CORRR0010.2 We will review new Committee reporting arrangements after 1 year to assess if decision making governance is still adequate	31-Mar-2015	 In progress	Sheona Hunter	Arrangements have been made for a review to take place between January and March 2105. Initial discussion have been held with the Leader and Depute Leader of the council to inform the review and Police and Fire representatives have been invited to provide comments in relation to Police and Fire governance requirements to inform the review.
CORRR0010.3 We will arrange a workshop to discuss and clarify the roles of and expectations on Heads of Service for corporate governance and identify any training needs	30-Jun-2015	 In progress	Janine Wilson	Due change from 31 March 2015 to 30 June 2015 as requested and agreed by Governance Group.
CORRR0010.4 We will consult with budget holders on their needs (if any) for additional financial monitoring information and any training on financial management required to address any gaps which may exist	31-Aug-2015	 In progress	Ian Lorimer	Consultation will take place during April/May as work begins on budget monitoring for 15/16. Due date should be amended to 31 August 2015 to allow time for any changes to be made following consultation
CORRR0010.5 We will clarify the advisory role of the Service Manager (Governance)	31-Mar-2016	 In progress	Janine Wilson	The Service Manager Governance has had an active engagement with CMT and EMT in this regard. Ongoing.

Risk

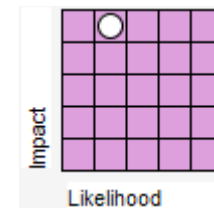
CORRR0011 PSN

Risk Description

Failure to comply with PSN requirements will impact on the council's ability to deliver frontline services which require the use of sensitive information, partnership working and transformational service delivery

Actions/Controls already in place

There is a PSN action plan in place to ensure ongoing compliance and this is reviewed regularly to ensure continued corporate commitment to maintaining compliance



Likelihood

PSN changes have been swift and strict. The Council has locked down non-compliant devices and changed protocols securing the required compliance. As a result of the compliance and the Corporate commitment to maintaining this, the likelihood of ongoing problems has been minimised. There is a need to align resources to the impact of non-compliance with service delivery and the change agenda.

Potential Impact

The impact is critical, failure to maintain the compliance will result in information exchange shut down within the Council and between key partners and trading partners potentially crippling services and severely damaging the ability to deliver outcomes and causing reputational damage

Likelihood Score:	2	Target Likelihood	2
Potential Impact Score	5	Target Impact	5
Overall Risk Score	10	Target Risk Score	10

Risk

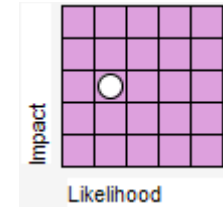
CORRR0012 Business Continuity

Risk Description

The council fails to ensure continuity of critical services in the event of an incident which could impact on vulnerable clients/customers

Actions/Controls already in place

There is a response framework in place.
Incident management training for staff has been carried out.
24 new BC co-ordinators now trained based on industry standards.
Live incidents have required us to test existing plans.
New plan template developed for all critical services – these have been quality assured against industry standards. Services have business continuity plans in place based around an assessment of their identified critical services



Likelihood

Some plans have not been tested and that action has been carried forward for a number of years. This should happen by end of October 2014. Until recently (2013) business continuity has been competing against other corporate priorities and plan validation and testing needs to be completed (planned for October 2014). Business continuity planning is not prioritised in terms of service delivery and resource allocation. IT system resilience remains an issue and still has to be fully determined



Potential Impact

Corporate objectives not met
Critical service delivery impact
Additional financial impacts Reputational loss

Likelihood Score:	2	Target Likelihood	2
Potential Impact Score	3	Target Impact	3
Overall Risk Score	6	Target Risk Score	6

Risk Update: Risk scored amended to 6 in light of completion of actions. Likelihood has been reassessed as low (score of 2), Impact remains at significant (score of 3).

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0012.1 We will test business continuity plans in key risk areas - to be completed as far as practical by the end of 2014	31-Mar-2015	 Complete	Heads of Service	Testing complete. A set of actions arising has been agreed by CMT. Actions for CIF arising from the testing have been addressed
CORRR0012.2 We will build on action 12.1 and review current status and readiness of the Council's business continuity arrangements and identify key gaps and risks which have still to be addressed	31-Mar-2015	 Complete	Jacqui Semple	A full review of all plans has been undertaken during 2014/15. Exercising of all plans complete. with report and recommendations for the action plan in 2015/16. Full report to the Corporate Management team in January 2015, outlining progress against 2014/15 action plan, proposed action plan for 2015/16 and the development of an operational plan to address the recommendations from the exercises held in October 2014. Gap analysis of IT also undertaken and recommendation have been incorporated into the operational action plan. CMT have agreed and signed off report and action plans.

Risk

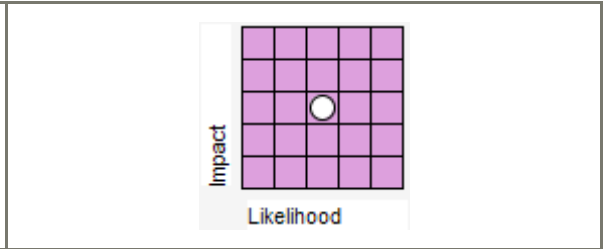
CORRR0013 Health & Safety

Risk Description

The council have a health and safety incident and are found to have poor policy, management or operational compliance leading to fines and reputational damage

Actions/Controls already in place

Corporate and directorate policies are in place
 e-learning is available to staff
 a small central team provides advice
 Risk assessment process
 Lone working protocol
 Performance appraisal system and induction
 Sickness absence policy
 Construction (high risk) activities are heavily regulated, staff are well trained and experienced with good (with partial 3rd party accredited) compliance Specialist safety controls, asbestos register, lift maintenance , PAT testing etc



Likelihood








Potential Impact

We have had a few near misses/improvement notices albeit the Health & Safety team are working hard with managers to make improvements including the launch of the new Health & Safety Framework

Risk to staff and public resulting in death; serious injury or long term health impacts
 Potential Corporate Manslaughter charges leading to potential imprisonment
 Fines and censure
 Improvement notices
 Reputational/ financial loss from civil claims; contractual claims Disruption to service delivery

Likelihood Score:	3	Target Likelihood	2
Potential Impact Score	3	Target Impact	3
Overall Risk Score	9	Target Risk Score	6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0013.1 We will identify areas of highest risk and assess existing controls and action plans to address these according to their individual likelihood and impact	31-Mar-2015	 In progress	Susan Bruce	This exercise has still to be carried out and will be completed by 31 March 2015.
CORRR0013.2 We will consider what more could be done to promote a positive health and safety culture across the organisation – do we comply with good practice in this regard	31-Mar-2015	 Complete	Heads of Service	Complete for CI&F - health and safety indicators are monitored quarterly as is manager training in this area. Information of a staff welfare nature now being shared with Staff Sounding Board to raise awareness and H&S features periodically in our staff newsletter
CORRR0013.3 We will ensure all managers have been trained in their health and safety responsibilities and the Council's framework	31-Oct-2015	 In progress	Heads of Service	For CIF - most managers trained but still some gaps due to course availability. No major gaps - all senior staff have been trained. Work is ongoing to provide more support from the safety team for building managers.
CORRR0013.4 We will include H&S on all EMT/CMT/SMT agendas including reports of incidents and audits	31-Mar-2015	 Complete	Heads of Service	Review of H&S stats and issues is a standing item for CIFMT meetings
CORRR0013.5 We will undertake appropriate audits within services	31-Mar-2015	 In Progress	Heads of Service	No specific "audits" have been carried in CI&F during 14/15 because none were thought to be necessary but health and safety issues are covered at all management meetings and issues identified are addressed. Some "audit" type activity will be done through management observation rather than anything more formal
CORRR0013.6 We will continue support for appropriate and proportionate H&S training and controls	31-Mar-2015	 Complete	Heads of Service	Training is update to date for almost all managers with gaps existing due to lack of course availability. Training and H&S stats are monitored quarterly
CORRR0013.7 We need to consider H&S, including the condition of our infrastructure when we prioritise services and budget allocations	31-Mar-2015	 Complete	Heads of Service	Update is same as in December so action complete for 14/15. Not yet had an issue where H&S has been compromised because of budget constraints - will always prioritise H&S work for budget purposes

Risk

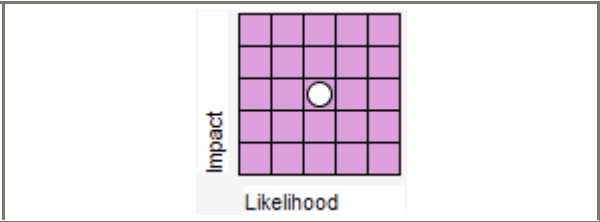
CORRR0014 Welfare Reform

Risk Description

There is a risk that welfare reform changes put additional pressures on the Council's finances and increase demand from citizens for support and advice services

Actions/Controls already in place

Angus Welfare Reform Group (AWRG) will manage process of change
Project delivering specific help on digital/financial inclusion
DHP helping with financial pressures in the short term
Scottish Welfare Fund provision of Community Care and Crisis Grants providing additional financial support for citizens
Risk based verification for Housing Benefit and Council Tax Reduction claims in place Online application forms / process in place



Likelihood



Low to high for time being given most changes ahead of full Universal Credit implementation have been implemented and good management and support arrangements plus DHPs are helping to mitigate the impact.
DLA/PIP changes are more of a concern in terms of the economic impact.

Potential Impact

Impact assessed as significant given the numbers of tenants potentially affected and the hardship that will result.
Risk of increased dependency on expensive forms of credit, non-payment leading to eviction, etc. Not all measures to mitigate e.g. financial and digital inclusion work are fully in place yet

Likelihood Score:	3	Target Likelihood	2
Potential Impact Score	3	Target Impact	3
Overall Risk Score	9	Target Risk Score	6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0014.1 We will redesign the visiting officer service in conjunction with the Communities directorate	31-Mar-2015	 In progress	Graham Ritchie	This was put on hold pending the outcome of a review of Welfare Rights. That review is now complete so this work will recommence in January 2015.
CORRR0014.2 We will work with the DWP to implement a local support services framework	31-Mar-2016	 In progress	Graham Ritchie	Being managed through Angus Welfare Reform Group – details from the pilots have still to emerge. More details will emerge during 2015 to inform what we do in Angus.

Risk

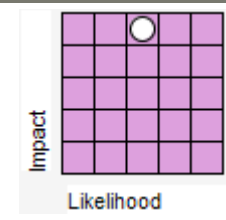
CORRR0015 Health and Social Care Integration

Risk Description

Integration fails to allocate sufficient priority to statutory social work duties and to the Council’s social work priorities. The integration agenda fails to use the combined resources in a manner that improves outcomes for individuals, their families and carers. This leads to less efficient use of resources.

Actions/Controls already in place

Statutory measures supported by government regulations and guidance. Appropriate shared governance arrangements: Integration Shadow Board, Project Board. Development of Strategic Plan. Locality model implementation. Development of partnership work streams. JIT Readiness for Integration Checklist



Likelihood




Potential Impact

Low to High. Joint planning and governance arrangements are robust but there is a risk that Health agendas predominate because of the difference in size and scale of operations between NHST and Angus Council adult care social work services

Inefficient use of resources.
 Reputational damage.
 Poor customer service.
 Poor delivery of Council priorities.
 Statutory duties not met.
 Social work priorities diminished. Allocation of budgetary resources not equitable

Likelihood Score:	3	Target Likelihood	3
Potential Impact Score	5	Target Impact	3
Overall Risk Score	15	Target Risk Score	9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0015.1 We will ensure optimal Council representation on planning bodies and in governance arrangements for HSCI implementation	31-Oct-2015	 In progress	Mark Armstrong; Tim Armstrong; George Bowie	Council is fully represented on Shadow HSCI Board, Project Board and strategic planning forums for HSCI. New Angus Council HSCI group has commenced work plan.
CORRR0015.2 We will ensure optimal Council representation on workstreams reporting to Strategic Planning Group, in particular in locality planning group	31-Dec-2015	 In progress	Mark Armstrong; Tim Armstrong; George Bowie	Strategic Planning Group and sub groups have not yet commenced.
CORRR0015.3 We will review approach to service inclusion in HSCI through options appraisal	31-Mar-2015	 In progress	Mark Armstrong; Tim Armstrong; George Bowie	Scope for inclusion of Angus Council services to be included has been determined. Further work required on service delivery models.

Risk

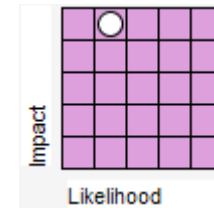
CORRR0016 Public Protection

Risk Description

There is a failure to protect a looked after, a vulnerable adult or manage an offender appropriately leading to negative impact on another person

Actions/Controls already in place

Existing MAPPA, child and adult protection procedures, training and staff development. Multi-agency management and monitoring processes and external inspection. Internal audit programmes. Learning events from initial and significant case reviews



Likelihood




Low. Wide range of existing controls reduce likelihood. These controls are monitored and revised as necessary

Potential Impact

Very high. A failure of systems or performance in any of the three public protection areas would have significant repercussions for the safety of the public and would potentially bring the Council into disrepute through Governmental scrutiny and adverse media attention

Likelihood Score:	2	Target Likelihood	2
Potential Impact Score	5	Target Impact	4
Overall Risk Score	10	Target Risk Score	8

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0016.1 We will maintain scrutiny of our systems, procedures, skills, knowledge-base and decision-making through the existing controls, in particular through the scrutiny of the three Committees (MAPPA, ACPC, AAPC) and their sub-committees	31-Mar-2015	 In progress	George Bowie	All Committees meet regularly and performance and outcomes are monitored.
CORRR0016.2 We will develop the role of the Executive Group in overseeing the three Committees at a high level and in ensuring that appropriate connections are made between all three elements of public protection	31-Mar-2015	 Complete	Margo Williamson	The Public Protection Committee now comprises a small number of Chief Officers from the multi agency partnerships. Close scrutiny of the three groups have led to this change.
CORRR0016.3 We will remain vigilant about the skills and qualifications of staff involved in this area of work, especially those at key decision-making points	31-Mar-2015	 In progress	Tim Armstrong	

Risk

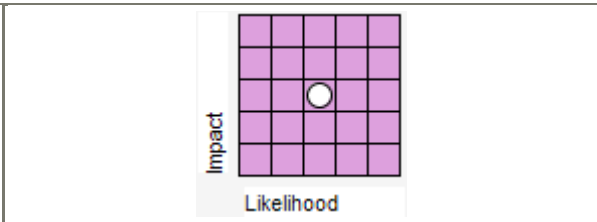
CORRR0017 Constitutional Change

Risk Description

Constitutional change – changes in constitutional Scotland’s status as a nation through independence from the UK or further devolution of powers to the Scottish government leading to fundamental changes in areas such as finance availability, from national and local sources, employment law, tax and national insurance, welfare, defence, European funding access contract and consumer law and public sector structures

Actions/Controls already in place

Three year budget strategy now being married with three year Directorate Plans plus updated risk register



Likelihood

The likelihood of change exists regardless of any national constitutional change. The external environment in relation to availability of public finance has been fluid and under pressure for some time married to the fluid macro economic position. Possible changes to the Barnett formula represent significant threat as to local finance raising processes and possible threats to existing structures. Pressure to change Barnett Formula will increase in the event Scotland stays in the UK – likely to lead to less money for public services unless compensated by the granting of additional income raising powers to Scottish Parliament

Potential Impact

At this stage assessing the potential impact is a bit speculative but if we assume significant changes will happen in some form or another brought about by the Referendum vote (regardless of outcome) or continued austerity of staying in the UK then the impact must be high in terms of finance, possible structural change and ability to deliver existing services to current levels.

Likelihood Score: 3
Potential Impact Score 3
Overall Risk Score 9

Target Likelihood 4
Target Impact 3
Target Risk Score 12

Risk Note: Matters included in the report of the Smith Commission have a direct impact on local government bodies in Scotland. The progressing of these proposals by the UK and Scottish Government will continue to be monitored in order to identify new risks and actions that may require to be accommodated in this risk register.

Risk

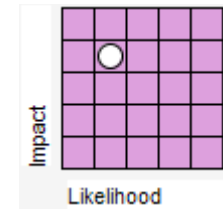
CORRR0018 Legislative change

Risk Description

We are unable to fully implement new legislative requirements on time and within budget to achieve the desired outcomes

Actions/Controls already in place

Active engagement with the development of legislation through COSLA, professional associations and by responding to consultations as appropriate.
 Project management approach (led by Head of Service) adopted for implementation of each piece of legislation/direction, including individual risk registers.
 Distinguish between powers and duties when planning implementation.
 Directorate leadership teams act as project board, receiving updates and reviewing risks during implementation. Escalation to CMT if risks increase or situation changes materially



Likelihood

Legislation is not matched with adequate resources
 Capacity for implementation work is limited given reduction in management and planning posts in recent years.
 An entitlement culture means that incomplete or late implementation will lead to dissatisfaction for pressure groups/individuals.
 We have a good track record of being actively engaged in the development of legislation and delivering on requirements on time

Potential Impact

Financial impact on current budget and priorities
 Reputational damage
 Legal challenges

Likelihood Score: 2 **Target Likelihood** 3
Potential Impact Score 4 **Target Impact** 3
Overall Risk Score 8 **Target Risk Score** 9

Risk Note: The new First Minister has announced a legislative programme for administration. The progressing of these proposals will be monitored to identify any new risks and actions that may need to be accommodated in this register. Also, matters included in the report of the Smith Commission have a direct impact on local government bodies in Scotland. The progressing of these proposals by the UK and Scottish Government will continue to be monitored in order to identify any new risks and actions that may require to be accommodated in this risk register.