

Corporate Risk Register

Update Report

Scrutiny & Audit Committee
25 August 2015

Risk

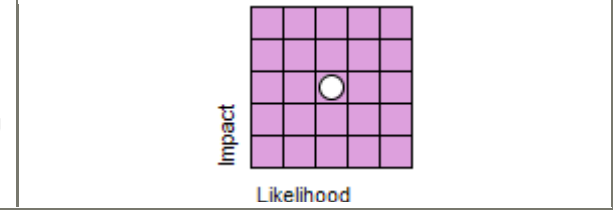
CORRR0001 Maximising use of funding

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	Update since last reported
CORRR_0001.1 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	
CORRR_0001.2 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	
CORRR_0001.3 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	
CORRR_0001.4 We will undertake community engagement to establish their priorities and use this to inform budget decisions	31-Mar-2015	 Complete	Ian Lorimer	
CORRR_0001.5 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	24 July 2015 George Bowie Position for Adult Services is that this work is being progressed through EY Projects and service redesign. This is largely complete.

Risk

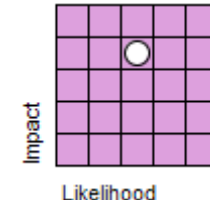
CORRR0002 Cultural Change

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: 3
Potential Impact Score 4
Overall Risk Score 12

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Risk Update: Risk scored reduced to 12 from 16. Likelihood has been reassessed as Low to High (score of 3) from High (score of 4). Impact remains at major (score of 4). Recent survey evidence has indicated that culture is beginning to shift in a positive direction and the likelihood score has been reduced accordingly by Richard Stiff, the risk owner.

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
CORRR_0002.1 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	31-Dec-2015 (changed from 30 June 2015)	 In Progress	Heads of Service	<p>9 July 2015 Ian Lorimer The Council has agreed to implement a new Priority Based Budgeting approach for setting the 2016/17 budget. The output from this work will be a clear strategy on what is and isn't a priority in resource allocation terms. Strategy won't become apparent until September 2015 and even then it will be December 2015 before the strategy and key budget decisions are known with a high degree of certainty.</p> <p>24 July 2015 George Bowie Position for Adult Services - An Adult Services Improvement and Action Plan has been developed which makes clear service priorities and no longer includes areas of non priority. These priorities are now reflected in the SOA and the Priority Based Budget submissions.</p>
CORRR_0002.2 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	
CORRR_0002.3 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	 Complete	Heads of Service	<p>9 July 2015 Ian Lorimer Although the work to improve services and root out inefficiency will be always be ongoing this risk action can be regarded as complete given the scale of service review work now being undertaken to meet budget savings targets and the good progress being made by the TA Programme. Over and above this the Lean Delta programme is up and running and CMT has agreed its list of Tier 1 and Tier 2 reviews for budget savings purposes covering the next 3 years. On this basis we have a clear programme and strategy for delivery of efficiency and improvement.</p>
CORRR_0002.4 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	31-Oct-2015 (changed from 30 June 2015)	 In Progress	Heads of Service	<p>04 August 2015 Unions met with regularly and staff receive regular updates on TA and other work. The TA scrutiny review indicates that some staff need to get more information but generally speaking this action is progressing well.</p>

CORRR_0002.5 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	 Complete	Heads of Service	04 August 2015 Prioritisation of Tier 1 reviews.
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Risk

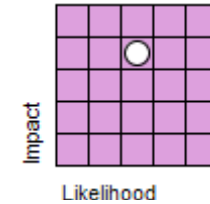
CORRR0003 Transforming Angus non-delivery

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	Update since last reported
CORRR_0003.1 We will finalise the arrangements for the resourcing, operation and governance of the Transforming Angus programme	20-Dec-2014	 Complete	Gordon Cargill	
CORRR_0003.2 We will ensure clarity on project and programme ownership and lead accountability	20-Dec-2014	 Complete	Gordon Cargill	
CORRR_0003.3 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	15 July Gordon Cargill A members briefing on progress with the Transforming Angus programme was held on 9 June 2015. Two leadership forum events have taken place during the first half of the year and participation/outcomes have been positive. Further workforce engagement events are currently being planned.
CORRR_0003.4 We will define effective and appropriate governance of relationship with Strategic Partner	31-Mar-2015	 Complete	Mark Armstrong	03 August 2015 Gordon Cargill The governance of the relationship with the Strategic Partner is controlled through the terms of the Consultancy One framework agreement under which EY have been appointed. The Strategic Partner is represented at the TA Programme Board meetings acting within the Terms of Reference (specifying their role and responsibilities in that forum), which was approved by the Policy & Resources Committee at its meeting on 9 June 2015. In addition, regular (generally weekly) updates are held between the Council and EY to monitor progress and deal with any issues. There is also an opportunity for the Council to engage EY senior management to provide feedback on the quality of EY performance and identify any areas for improvement and/or escalate any issues of concern.

Risk

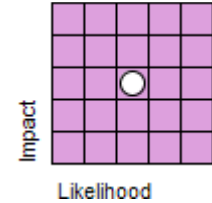
CORRR0004 Performance Management

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

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	Update since last reported
CORRR_0004.1 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	31-Dec-2015 (changed from 30 June 2015)	 In Progress	Heads of Service	<p>9 July 2015 Ian Lorimer Good progress being made in different areas across the Council. Improved use of data will be part of our Priority Based Budgeting approach for 2016/17 whereby performance information will be considered in making budget decisions</p> <p>24 July 2015 George Bowie Position for Adult Services - All teams have developed a Self Evaluation based on the PIM model which informs the Adult Services Improvement Plan. Performance information has been reviewed and a systems has been developed to allow regular reporting on performance using tools such as Dashboard / DRIVER Programme / Scorecards.</p>
CORRR_0004.2 We will identify what is important to our external stakeholders	30-Jun-2015	 Complete	Heads of Service	<p>28 July 2015 Ian Lorimer Services have confirmed that engagement with stakeholders is part of their business as usual approach when undertaking service reviews/redesigns and some services have developed specific engagement strategies which outline how they will identify what is important to stakeholders. There is clearly an ongoing need to make sure engagement with stakeholders is effective and reflects their needs but overall this action can now be regarded as complete.</p> <p>24 July 2015 George Bowie Position for Adult Services - Engagement with stakeholders is an integral part of our business. An engagement strategy has been developed for the People Directorate that will be implemented in late August and a range of training will be available for staff.</p>

Risk

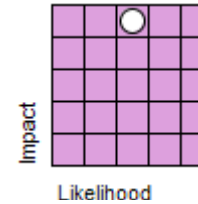
CORRR0005 Agile/Mobile/Homeworking

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
Potential Impact Score 5
Overall Risk Score 15

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
CORRR0005.1 We will gain Committee agreement to a Council Agile Strategy	31-Jan-2015	 Complete	Gordon Cargill	
CORRR0005.2 We will develop HR policies that support and enable agile working	31-Oct-2015 (changed from 31 Jan 2015)	 In Progress	Sharon Faulkner	12 August 2015 Sharon Faulkner Policies to be discussed with Trade Unions on 24 August 2015. 23 July 2015 Sharon Faulkner Agile policies have been drafted and consultation with Sounding Board and CMT has now taken place. Policies will now go to trade unions for formal consultation.
CORRR0005.3 We will ensure that the implementation plan for Agile strategy finalised	31-Oct-2015 (changed from 30 June 2015)	 In Progress	Gordon Cargill	15 July 2015 Gordon Cargill The staff engagement process has been extended to support the cultural change aspect of the programme and maximise the potential outcomes. It is anticipated that work to match the supply of buildings and demand of space by services will be concluded during September/ October, resulting in a developed implementation plan.
CORRR0005.4 We will conclude roll out of migration to Citrix	31-Dec-2014	 Complete	Steve Roud	
CORRR0005.5 We will ensure opportunities for agile/mobile service redesign are identified	31-Mar-2015	 Overdue	Heads of Service	9 July 2015 Ian Lorimer For CI&F the position remains much the same as in April except that we have engaged with Space Strategies/SFT in the assessment of both the supply and demand sides of our future accommodation needs. Although this action is overdue work to deliver agile is now progressing quite rapidly. Space Strategies advice is to take our time to get it right rather than rush in. Pilots are now underway in Economic Development and Social Work, Bruce House 24 July 2015 George Bowie Position for Adult Services is we continue to work with

				the Transforming Angus team to progress this action. Currently the learning disabilities service based at Bruce House are part of a pilot to implement this approach.
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Risk

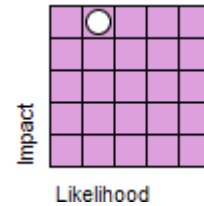
CORRR0006 Workforce reductions

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

Potential Impact Score 5

Overall Risk Score 10

Target Likelihood 3

Target Impact 4

Target Risk Score 12

Note: No change at July 2015 review

Risk

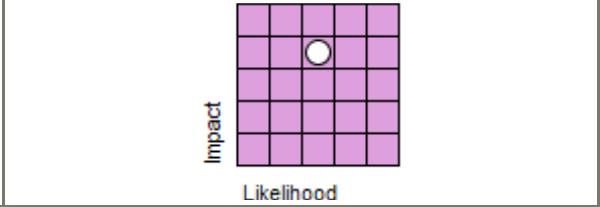
CORRR0007 Information Governance

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
Information Governance incorporated into Annual Corporate Governance statement



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
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	Update since last reported
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	
CORRR0007.2 We will ensure that the Information Governance action plan approved and implemented	31-Dec-2016 (changed from 31 October 2014)	 In Progress	Sheona Hunter	04 August 2015 Sheona Hunter Action Plan approved at January 2015 meeting of the Information Governance Steering Group
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	 Complete	Sheona Hunter	04 August 2015 Sheona Hunter Membership of the Records & Information Management Working Group approved at Jan 2015 meeting of the IG Steering Group. Membership of other groups remains as previously agreed.
CORRR0007.4 We will incorporate Information Governance into Annual Corporate Governance statement if appropriate	30-Jun-2015	 Complete	Janine Wilson	Included in 2014-15 Annual Governance Statement - this is now an Internal Control
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	
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	

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.

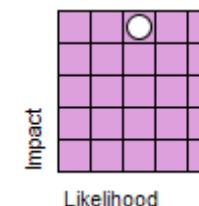
Comprehensive leadership development including the adaptive leadership programme for senior managers and the Leadership Forum.

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
Potential Impact Score 5
Overall Risk Score 15

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
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	
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	
CORRR0008.3 We will develop succession planning framework	31-Mar-2018	 In Progress	Sharon Faulkner	
CORRR0008.4 We will develop a competency framework	31-Mar-2018	 In Progress	Sharon Faulkner	
CORRR0008.5 We will build the capacity of managers to manage change	31-Mar-2018	 In Progress	Sharon Faulkner	

Risk

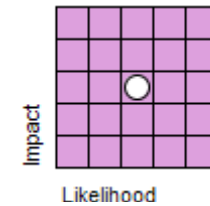
CORRR0009 Residual Waste Contract

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

Note: No change at July 2015 review

Risk

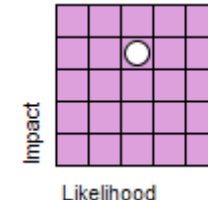
CORRR0010 Core Governance

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

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



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	Update since last reported
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	
CORRR0010.2 We will review new Committee reporting arrangements after 1 year to assess if decision making governance is still adequate	31-Mar-2015	 Complete	Sheona Hunter	04 August Sheona Hunter A review was completed in June 2015 and reported to Council on 18 th June (report no 237/15)
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	 Cancelled	Janine Wilson	This action has been superseded by CORRR0010.6 – see below.
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	9 July 2015 Ian Lorimer Consultation has been delayed due to other work priorities but should still be completed by the due date.
CORRR0010.5 We will clarify the advisory role of the Service Manager (Governance)	31-Mar-2016	 Complete	Richard Stiff	
CORRR0010.6 We will review the corporate governance assurance process which will inform the 2015/16 Annual Governance Statement	31-Dec-2015	 In Progress	Shan Coombs	New action added.

Risk

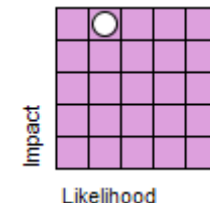
CORRR0011 PSN

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
Potential Impact Score 5
Overall Risk Score 10

Target Likelihood 2
Target Impact 5
Target Risk Score 10

Note: No change at July 2015 review

Risk

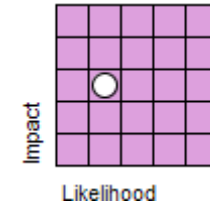
CORRR0012 Business Continuity

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

Potential Impact Score 3

Overall Risk Score 6



Target Likelihood 2

Target Impact 3

Target Risk Score 6

Note: No change at July 2015 review

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
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	
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	

Risk

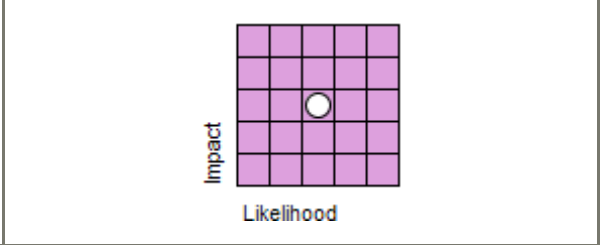
CORRR0013 Health & Safety

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

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

Potential Impact

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	Update since last reported
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-2016 (changed from 31 March 2015)	 In Progress	Susan Bruce	04 August 2015 Susan Bruce This Action will always be carried out as part of the Safety, Health & Wellbeing team function.
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	
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	24 July 2015 George Bowie Position for Adult Services - We await the phased programme of health and safety and wellbeing training for managers due to commence in Feb 2015 meanwhile we have systems in place that monitor and ensure managers undertake all currently available health and safety mandatory training.
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	
CORRR0013.5 We will undertake appropriate audits within services	31-Mar-2015	 Overdue	Heads of Service	24 July 2015 George Bowie Position for Adult Services is case file audits are undertaken on a regular basis as well as health and safety audits. Adult Services are currently developing a wider and more comprehensive audit programme.
CORRR0013.6 We will continue support for appropriate and proportionate H&S training and controls	31-Mar-2015	 Complete	Heads of Service	
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	

Risk

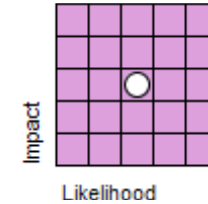
CORRR0014 Welfare Reform

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
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	Update since last reported
CORRR0014.1 We will redesign the visiting officer service in conjunction with the Communities directorate	31-Dec-2015 (changed from 31 March 2015)	 In Progress	Graham Ritchie	18 May 2015 Graham Ritchie Work has now recommenced with a target end date of 31 Dec 2015.
CORRR0014.2 We will work with the DWP to implement a local support services framework	31-Mar-2016	 In Progress	Graham Ritchie	9 July 2015 Ian Lorimer Delay in roll out of Universal Credit to Angus means no progress has been possible to date. We are engaging with Dundee City Council as an area piloting Universal Support Delivered Locally (USDL) to prepare ourselves for UC roll out and the support we may be asked to provide under that system.

Risk

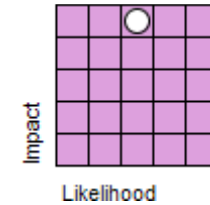
CORRR0015 Health and Social Care Integration

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

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





Potential Impact

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
Potential Impact Score 5
Overall Risk Score 15

Target Likelihood 3
Target Impact 3
Target Risk Score 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
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	<p>24 July 2015 George Bowie Position for Adult Services are represented on a wide variety of HSCI groups eg HSCI Project Board, Finance Monitoring Group, Newly Established Senior Leadership Team, OD Group, etc.</p> <p>03 August 2015 Tim Armstrong CSWO and other relevant parties are now part of the Shadow Board.</p>
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	<p>24 July 2015 George Bowie Position for Adult Services - We await the commencement of these forums. Meantime Adult Services are involved with discussions in relation to the Strategic Plan and have provided a wide range of data/information around each of the localities to inform this.</p> <p>03 August Tim Armstrong Appropriate representation from the Directorate has been agreed.</p>
CORRR0015.3 We will review approach to service inclusion in HSCI through options appraisal	31-Oct-2015 (changed from 31 March 2015)	 In Progress	Mark Armstrong; Tim Armstrong; George Bowie	<p>24 July 2015 George Bowie Position for Adult Services is we have been involved in discussions about what services will/won't be in scope and are awaiting final decisions being made in some Adult Service areas. This was discussed at the new formed HSCI SLT Group in July 2015.</p> <p>03 August 2015 Tim Armstrong As per Adult Services update.</p>
CORRR0015.4 We will complete an analysis of readiness for HSCI using the JIT tool	31-Oct-2014	 Complete		

Risk

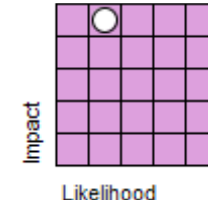
CORRR0016 Public Protection

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
Potential Impact Score 5
Overall Risk Score 10

Target Likelihood 2
Target Impact 4
Target Risk Score 8

Mitigating Actions

Action	Due Date	Status	Assigned To	Update since last reported
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-Oct-2015	 In Progress	George Bowie	24 July 2015 George Bowie Position for Adult Services - We have developed and integrated chronology system and the adult protection training sub group will be delivering this training in autumn. 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	
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-2016 (changed from 31 March 2015)	 In Progress	Tim Armstrong	03 August 2015 Tim Armstrong Key staff continue to require to demonstrate minimum qualifications requirements, there is access to specific training to relevant staff and these continue to be monitored on an ongoing basis.

Risk

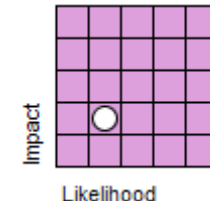
CORRR0017 Constitutional Change

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: 2

Potential Impact Score 2

Overall Risk Score 4

Target Likelihood 3

Target Impact 3

Target Risk Score 9

Note: No change in scores at July 2015 Review – implications of Scotland Bill / Smith Commission remain under review. Richard Stiff, Risk Owner.

Risk

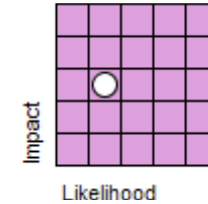
CORRR0018 Legislative change

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**Potential Impact Score** 3**Overall Risk Score** 6**Target Likelihood** 3**Target Impact** 3**Target Risk Score** 9**Note:** No changes at July 2015 review