Risk Title: CORRR0001 Securing financial sustainability

Risk Owner: Mark Armstrong   Proposed Risk Champion: TBA

Risk Description:
The council does not make the decisions required to ensure financial sustainability by prioritising and de-prioritising services and reducing overall costs. .

Actions/Controls already in place:
- Development of 2017-20 council plan and aligned budget and workforce plan.
- PBSG have agreed 2017-18 budget strategy and approach.
- Regular updates of Council Medium Term Financial Strategy to quantify predicted scale of budget gap.
- There is a process of savings identification through the budget setting process.
- Transforming Angus (TA) change programme is developing and delivering change and cost reduction across the council.
- Role of Corporate Management Team and Policy & Budget Strategy Group (PBSG) in developing priority based budgeting. 2017-20 council plan and budget communication and engagement process is being implemented, including elected members and Leadership Forum engagement.
- Development of Local Outcome Improvement Plan with Angus Community Planning Partnership (ACPP)
- Monitoring of agreed budget savings reported to EMT and PBSG.
- Planned changes to format of budget report and associated decisions on savings delivery.

Likelihood Narrative
The Transforming Angus programme is being implemented as the main driver for change in terms of savings, efficiencies, channel shift and reshaping of services. This aims to cover all council change activity from major corporate projects to service level reviews and test of change. This picture is however still incomplete.
The 2016 Best Value report highlighted the need for greater pace in the delivery of change and the realisation of benefits from the TA programme. The report also details the importance of members making decisions to deliver change and reduce costs.
The impending local government elections may lead to a planning vacuum and reluctance to make unpopular decisions.
Priority based budgeting is progressing but is not yet fully implemented with 3 year priority planning aligned to resource allocation and budget savings. The implications of Brexit on Scottish local government finances are still very uncertain, however the Scottish Government's Programme for Government and 2016 timetable for decisions on one year 2017/18 LG grant settlement all indicate a further year of significant financial challenge for the council.
Whilst SIMALTO, citizen's panel and locality planning 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 Narrative
Spend is not allied to priority or objectives.
Budget issues arise which require to be bailed out on a firefighting basis.
Lack of a strategic approach to service planning and resources allocation leading to a continuation of salami slicing of budgets resulting in a negative impact on the quality and level of services that can be provided
Increased Service user and citizen dissatisfaction – we do not successfully understand the voice of the customer.
Adverse media publicity and resulting negative impact on the reputation of the council.
Savings and efficiencies are not realised resulting in an ability to pay the wages and balance the books.
We fail to meet our statutory duties resulting in poorer outcomes for service users and poorer outcomes from external inspection and regulations.

Likelihood Score: 3   Appetite Score for Likelihood: 2
Potential Impact Score: 4   Appetite Score for Impact: 3
Overall Risk Score: 12   Overall Appetite Score: 6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR_0001.1 We will develop the 2017-20 Council Plan to provide clarity on the council's statement of ambition, our key outcome priorities and how we will deliver the change that is required.	31 Jan 2017	In Progress	Richard Stiff	
CORRR_0001.2 We will ensure through the 2017-18 and 2018-19 budgets that 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 Jan 2018	In Progress	Mark Armstrong	
CORRR_0001.3 We will develop workforce plans that are aligned to council priorities, statement of ambition and use of budgets, while reflecting this is in the context of reducing the overall council workforce and transforming many aspects of the way we currently deliver services to our citizens.	31 Jan 2017	In Progress	Sharon Faulkner	
CORRR_0001.4 We will undertake community engagement to establish their priorities and use this to	31 Oct 2017		Mark Armstrong	

inform future budget decisions		In Progress		
CORRR_0001.5 We will keep elected members appropriately informed and engaged in the development and implementation of service changes.	31 Mar 2018	In Progress	Richard Stiff	
CORRR_0001.6 We will identify the services which are considered non-priority or low priority and within our TA change programme to reduce financial commitment to these services.	28 Feb 2017	In Progress	Mark Armstrong	
CORRR_0001.7 We will effectively target staff resources and skills at delivering service transformation.	31 Mar 208	In Progress	Mark Armstrong	
CORRR 0001.8 We will develop and improve our approach to corporate performance management to provide better evidence of impact, value for money and strategic alignment of transformational change activity.	31-Oct-2017	In Progress	Les Hutchinson	
CORRR 0001.9 We will improve our business analytics to be able to target spend on key areas	31 Oct 2017	In Progress	Les Hutchinson	

Risk Title: CORRR0002 Cultural Change

Risk Owner: Richard Stiff   Proposed Risk Champion: Pauline Stephen

Risk Description:
Organisational culture does not evolve to embrace the one council approach and the principles of organisational transformation and change. Resistance to cultural change would have a negative impact on the delivery of the Transforming Angus programme, service development and most 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 growing range of established and new communication methods including weekly Angus Mini Matters, cascade briefings, the development of Yammer, a dedicated microsite for TA matters.
- 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 Narrative
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 Narrative
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	Appetite Score for Likelihood: 3
Potential Impact Score: 4	Appetite Score for Impact: 3
Overall Risk Score: 12	Overall Appetite Score: 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR_0002.1 We will develop a clear strategy of what Council and Service priorities are required to deliver the Council's SOA and LOIP and spell out what are no longer priorities and why they will be stopped	31-Mar-2017	In Progress	Heads of Service	
CORRR_0002.2 We will agree the priorities using the legal statutory duty as the base starting point to ensure we deliver on those duties	31-Mar-2017	In Progress	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-2017	In Progress	Heads of Service	
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-Mar-2017	In Progress	Heads of Service	

Risk Title: CORRR0003 Transforming Angus non-delivery

Risk Owner: Mark Armstrong   Proposed Risk Champion: Les Hutchinson

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 including elected member representation from the administration and non-administration has been set up to oversee the process.
- A corporate Programme Office is in place on a temporary basis to April 2018 to support the delivery of the transformation programme.
- The existing PBSG process maintains oversight and ability to step in if required.
- A strategic partner has been appointed to assist with change agenda. The nature of this partnership has been reviewed and proposals for moving forward are being finalised.
- Quarterly reports on activity and benefits realisation to Policy and Resources Committee and Scrutiny and Audit Committee.
- An EMT Scrutiny Board has been established to provide detailed challenge and support to SROs and PMs across the major corporate change programmes.
- A governance toolkit has been developed to apply proportionate controls and management across all council change activity, including clarity of roles and accountabilities.
- A programme of staff training and development to build organisational capacity in delivering change is being implemented. This includes, management and leadership development, DELTA lean and programme/project management.
- Workforce planning is taking place across all directorates, aligned to Directorate Improvement Plans and the developing 2017-20 Council Plan.
- Angus Alive, Help to Live at Home and Angus Agile are either complete or well developed. These are resourced to enable delivery.
- A number of internal and external reviews of the TA programme have been undertaken and their recommendations implemented.

Likelihood Narrative
The Transforming Angus programme is the main driver for strategic and operational 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 been refined and are now established and in place across much of the programme. However, some gaps in capacity are present e.g. IT and HR support across the programme as demand is over our capacity to deliver. Improved prioritisation of competing initiatives is required aligned to evidence of available resource and business case evidence of benefits to be achieved.

The 2016 Best Value report highlighted the need for greater pace in the delivery of change and the realisation of benefits from the TA programme. The report also details the importance of members making decisions to deliver change and reduce costs.

Some key programmes are either behind schedule or will not deliver the originally anticipated benefits i.e. procurement, channel shift and passenger transport (incl. green fleet).

Commitment from staff across the Council requires to be embedded. Without adequate prioritised and targeted resources and commitment, delivery of change through the TA programme will not achieve the range or volume of benefits which are desired. 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, including performance management around the role of the external strategic partner is necessary.

Potential Impact Narrative

Failure to deliver the objectives of organisational change through transformational 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   Appetite Score for Likelihood: 2
Potential Impact Score: 4   Appetite Score for Impact: 3
Overall Risk Score: 12   Target Risk Score: 6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR_0003.1 We will develop a portfolio management approach to the TA programme which is aligned to the Council's strategic objectives.	31 Mar 2017	In Progress	Mark Armstrong	
CORRR_0003.2 We will ensure that the portfolio management approach will be designed to ensure that key aspects of current council business are reviewed and aligned to support transformational change delivery.	31 Mar 2017	In Progress	Mark Armstrong	
CORRR_0003.3 We will ensure that benefit realisation across the TA programme is embedded, tracked and reported to the relevant scrutiny board.	20 Dec 2017	In Progress	Gordon Cargill	
CORRR_0003.4 We will, through effective Member and workforce engagement and communication embed buy-in for Transforming Angus across the Council.	20 Dec 2017	In Progress	Gordon Cargill	
CORRR_0003.5 We will maintain effective and	31 Mar 2018		Mark Armstrong	

appropriate governance of relationship with Strategic Partner.		In Progress		
CORRR 0003.6 We will ensure that adequate resources are targeted at the delivery of the TA programme and benefits realisation.	31 March 2018	In Progress	Mark Armstrong	

Risk Title: CORRR0004 Performance Management

Risk Owner: Ian Lorimer (TBC) Proposed Risk Champion: Ian Cochrane

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. In addition the Council may not have reliable data about performance in its main services.

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.
- We have benchmarking information from other authorities in some service areas.
- 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 Narrative
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 consistently have an evidence led understanding of the performance that is important to our external stakeholders

Potential Impact Narrative
The council does not know how well it performs (in terms of customer satisfactions, cost and service quality) in priority areas.
Performance does not influence the Transformation programme or scrutiny review process.
The public, elected members and senior officers do not receive pertinent and timely performance information which is useful to them.
Service performance is poorly monitored.
Decisions about where to spend our financial and other resources is not informed by performance data.
There is a surfeit of performance information which is not useful. There is a lack of concentration on "what matters".

Likelihood Score: 3   Appetite Score for Likelihood: 2
Potential Impact Score: 3   Appetite Score for Impact: 3
Overall Risk Score: 9   Overall Appetite Score: 6

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR_0004.1 We will undertake a detailed 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-2017	In Progress	Ian Lorimer	
CORRR_0004.2 We will complete a review of our Performance planning and reporting arrangements covering Directorate Improvement Plans, Annual Reports and Mid-year reports with the aim of ensuring new arrangements focus on the key information needed by the public and elected members to judge our performance	31-Dec-2016	In Progress	Ian Lorimer	
CORRR_0004.3 We will use performance information to inform our budget setting decisions and the choices we make about priority and non-priority service provision	28-Feb-2017	In Progress	Ian Lorimer	

Risk Title: CORRR0006 Workforce fit for the future

Risk Owner: Sharon Faulkner   Proposed Risk Champion: George Bowie

<u>Risk Description</u>
The Council fails to ensure that it has a workforce fit for the future that is the right, size and shape and has the skills knowledge and behaviours it needs to maximise its contribution to service delivery outcomes.
Actions/Controls already in place:
- Council, directorate and operational planning processes including workforce planning 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 and employee development monitoring through staff supervision, one-to-one meetings and individual and team performance management.
- Ongoing development of youth employment initiatives including Modern Apprenticeships, internships and work placement opportunities under the Angus Works programme.
- 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.

<u>Likelihood Narrative</u>
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 and skills requirements to deliver services.
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 provision of services may therefore have to change and be re-prioritised in order that demand on employees is acceptable in terms of their health and well-being at work.
The council aspires to be a digital by design and agile organisation and services provider. We will therefore need different skills, knowledge and tools and our patterns of work will change. These requirements will have to be reflected in our recruitment practices, employee development and workforce policies.

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 Narrative
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   Appetite Score for Likelihood: 3
Potential Impact Score: 5   Appetite Score for Impact: 4
Overall Risk Score: 10   Overall Appetite Score: 12

Risk Title: CORRR0007 Information Governance

Risk Owner: Sheona Hunter   Proposed Risk Champion: Vivien Smith

Risk Description
A lack of consistency around implementation of information governance polices could expose the council to an information breach and/or Information Commissioner intervention and substantial financial penalties.

Actions/Controls already in place:
- Considerable work has been done around records management including the drafting of a records management policy, an Information Governance Improvement Policy and clear IG reporting structures.
- The IG Steering Group meets monthly and its minutes and papers are available to all staff on Sharepoint.
- Staff are required to complete Data Protection and Information Governance training at least biennially.
- Information Governance incorporated into Annual Corporate Governance review process.
- Work has been undertaken to produce a draft RM System specification.
- A Records Management Plan has been submitted to the Keeper by the due date of 30/09/2016.
- Guidance on Naming Conventions and Information Asset Registers has been approved.

Likelihood Narrative
The information governance steering group meets monthly. There are a considerable number of policies and guidance contained within the IG section of the Sharepoint portal. All directorates have appointed a records management champion who attends the Records & Information Management Working Group. Despite these developments, it is still possible that staff are either unaware of the policies/guidance or fail to adhere to them and a breach of sensitive personal data results.

Potential Impact Narrative
There is a loss or inappropriate disclosure of sensitive data
Reputational 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   Appetite Score for Likelihood: 2
Potential Impact Score: 4   Appetite Score for Impact: 4
Overall Risk Score: 12   Overall Appetite Score: 8

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0007.1 We will ensure that all action plans pertaining to Information Governance are progressed at the stated timescales.	31 Mar 2018	▶ In Progress	Sheona Hunter	

Risk Title: CORRR0009 Residual Waste Contract

Risk Owner: Alan McKeown   Proposed Risk Champion: Sharon Faulkner

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.
- There is an open and on-going competitive dialogue with MVV, the remaining bidder, and an open and transparent dialogue on the impact of Brexit. All parties remain committed to the project and evidence to that end is being sought in the interests of good governance.

Likelihood Narrative
The issue of reaching agreement on the best value solution and price for residual waste is made more complex by the Brexit position. Clear open and transparent competitive dialogue is the route through which operational issues such as plant, planning permissions and third party waste are being managed. Strategically, the issue of Brexit is creating some uncertainty but all parties remain committed to the project and evidence is being sought to underline the position and both DCC and AC CEO's are playing a lead role in providing reassurance to the bidders that the project remains a key issue for both Councils. Whilst there remains a risk (particularly around foreign exchange and the possible impacts on affordability) the project will still not conclude there are no steps left untaken to ensure that position is being professionally managed.

Potential Impact Narrative
The potential impact of the project folding remains 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 energy to waste estate and market, where spot, and possible strategic, purchase is available now where it wasn't 6-9 months ago.
With no significant certainty about ongoing investment in DERL to maintain the current positive levels of efficiency there is an increased possibility of landfill tonnage increasing until a new route can be secured.

Likelihood Score: 4	Appetite for Likelihood: 3
Potential Impact Score: 3	Appetite for Impact: 3
Overall Risk Score: 12	Overall Appetite Score: 9

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note
CORRR0009.1 We will continue with the current project	30-Apr-2017	In Progress	Alan McKeown	Proceed with existing negotiations and review best value before close
CORRR0009.2 We will review options for Angus Council only project seeking options and outline prices for short, medium and long term alternatives	30-Sept-2016	Complete	Stewart Ball	A workshop took place in September 2016 to consider alternative options should the procurement exercise not reach a successful conclusion. An options paper has been produced as a result of this workshop for future reference
CORRR0009.3 We will discuss possible partnership alternatives with neighbouring authorities	30-Sept -2017	In Progress	Stewart Ball	Scan and secure intelligence for alternative market solutions and costs
CORRR0009.4 We will review options for Joint Venture with private sector companies	30-Sept-2017	In Progress	Stewart Ball	Table top exercise only

Risk Title: CORRR0010 Core Governance

Risk Owner: TBA   Proposed Risk Champion: Alan McKeown

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 Narrative
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 Narrative
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: 2	Appetite Score for Likelihood: 2
Potential Impact Score: 4	Appetite Score for Impact: 4
Overall Risk Score: 8	Overall Appetite Score: 8

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	✅	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	✅	Sheona Hunter	
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	❌	Janine Wilson	
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-Oct-2016	▶	Ian Lorimer	
CORRR0010.5 We will clarify the advisory role of the Service Manager (Governance)	31-Mar-2016	✅	Richard Stiff	
CORRR0010.6 We will review the corporate governance assurance process which will inform the 2015/16 Annual Governance Statement	31-Mar-2016	✅	Shan Coombs	

Risk Title: CORRR0015 Health and Social Care Integration

Risk Owner: Vicky Irons   Proposed Risk Champion: Stewart Ball

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 Narrative
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 Narrative
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   Appetite Score for Likelihood: 3
Potential Impact Score: 4   Appetite Score for Impact: 3
Overall Risk Score: 12   Overall Appetite 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	✅ Complete	Mark Armstrong; Tim Armstrong; George Bowie	
CORRR0015.2 We will ensure optimal Council representation on workstreams reporting to Strategic Planning Group, in particular in locality planning group	31-Dec-2015	✅ Complete	Mark Armstrong; Tim Armstrong; George Bowie	
CORRR0015.3 We will review approach to service inclusion in HSCI through options appraisal	31-Oct-2015	✅ Complete	Mark Armstrong; Tim Armstrong; George Bowie	
CORRR0015.4 We will complete an analysis of readiness for HSCI using the JIT tool	31-Oct-2014	✅ Complete		

Risk Title: CORRR0016 Public Protection

Risk Owner: Tim Armstrong

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

Potential Impact Narrative
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   Appetite Score for Likelihood: 2
Potential Impact Score: 5   Appetite Score for Impact: 4
Overall Risk Score: 10   Overall Appetite 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-Dec-2016	In Progress	Tim Armstrong	

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-2017	In Progress	Tim Armstrong	

Risk Title: CORRR0017 Constitutional Change

Risk Owner: Richard Stiff   Proposed Risk Champion: Margo Williamson

Risk Description
Constitutional change – changes in constitutional Scotland's status as a nation through exit from the EU, independence from the UK or further devolution of powers to the Scottish government leading to fundamental changes in areas such as finance availability and regimes (from both national and local sources), employment law, tax and national insurance requirements on the council as an employer, welfare, defence, European funding access contract and consumer law and overarching public sector structures.

Actions/Controls already in place:
- Three year budget strategy now being connected to three year Directorate Plans plus updated risk register

Likelihood Narrative
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 linked to a 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. UK departure from the EU has now been confirmed and this will have implications in relation to access to EU funding streams and in relation to the legislative and regulatory basis of council operations, as yet unquantified.

Potential Impact Narrative
At this stage assessing the potential impact is 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   Appetite Score for Likelihood: 3
Potential Impact Score: 2   Appetite Score for Impact: 3
Overall Risk Score: 4   Overall Appetite Score: 9

Risk Title: CORRR0018 Legislative change

Risk Owner: Richard Stiff

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 Narrative
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 Narrative
Financial impact on current budget and priorities
Reputational damage
Legal challenges

Likelihood Score: 2   Appetite Score for Likelihood: 3
Potential Impact Score: 3   Appetite Score for Impact: 3
Overall Risk Score: 6   Overall Appetite Score: 9