IDENTIFIED RISK / RISK ACTION PLAN:

Risk Owner: Mark Armstrong

Risk Appetite: 6

Section A – Identified Risk

Risk Description	1 Maximising use of funding

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).

Likelihood	Potential Impact
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.	Spend is not allied to priority or objectives.
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.	Budget issues arise which require to be bailed out on a firefighting basis.
There is a disconnect between various review functions including internal service reviews, scrutiny reviews and TA reviews.	Continuation of salami slicing of budgets.
The Agile agenda has not progressed quickly and we still hold substantial property.	Service user dissatisfaction – we do not successfully understand the voice of the customer.
Until these areas are developed and embedded there is a high likelihood that that the risk will materialise.	Adverse media publicity.
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.	Savings and efficiencies are not realised.
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.	

Likelihood Score: **3**

Potential Impact Score: **3**

Overall Risk Score: **9**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
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	Heads of Service	Ongoing	The Council avoids all the undesired impacts listed above	If the gap between the required and actual resources is too great, even to deliver only key outcomes then this action will be insufficient
We will put in place a monitoring regime for agreed budget savings which will be reported to the Policy and Budget Strategy Group	CMT for their areas	December 2014	Savings monitoring reports submitted to the Policy & Budget Strategy Group	Head of Corporate Improvement & Finance will collate updates for PBSG from information provided by CMT
Complete the work being undertaken for the Angus Community Planning Partnership on resource mapping to outcomes as part of development of priority based budgeting	Head of Corporate Improvement & Finance	March 2015	High level understanding of how our budgets align to outcomes available to inform future budget decision making	
Undertake community engagement to establish their priorities and use this to inform budget decisions	Head of Corporate Improvement & Finance	December 2014		Head of Corporate Improvement & Finance will require input from Community Planning and Communications Teams – not solely a financial exercise
Identify the services which are considered non-priority or low priority and develop a strategy to reduce financial commitment to these services	Heads of Service	August 2015	We have evidenced demand led services	

IDENTIFIED RISK / RISK ACTION PLAN:　　　**Risk Owner: Richard Stiff**

Risk Appetite: 9

Section A – Identified Risk

Risk Description　　　　**2 Cultural Change**

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

Likelihood Score:　　　**4**

Potential Impact Score:　　**4**

Overall Risk Score:　　　**16**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
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.	CMT	30 June 2015	The Council's strategic priorities, and what are no longer priorities, are developed, agreed and articulated	The key task will be to agree that not everything is a priority and in doing so demonstrably stop doing the things are that deemed not to be priorities and align both action and budget to the Outcomes and Output priorities. The disinvestment decision is recognised as challenging but imperative.
CMT will agree the priorities using the legal statutory duty as the base starting point to ensure we deliver our statutory duties.	CMT	28 February 2015	CMT have mapped what the statutory duties are and will know what services that are provided are done so under statutory power rather than duty	Gap analysis needs carried out to ensure transparency assessment of whether the Council needs to perform the function or not.
CMT will work with Corporate Improvement team and our strategic partner to investigate and review the ways in which services are delivered to develop a portfolio of possible efficiency savings through service redesign as a first objective before services are reduced or stopped.	CMT	30 June 2015	We will objectively know where non value adding services and processes can be redesigned or stopped. We will have developed plans for the implementation of these changes.	
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.	CMT	30 June 2015	Effective communication with staff, management and unions. Effective implementation of change.	We will have to accept this is a challenging role for the CMT to undertake but the clarity is required so properly evidenced disinvestment decisions are made
We will develop a clear CMT communication plan based on the prioritisation and	CMT	30 June 2015	We will have and operate through a clear and consistent set of	

disinvestment of services that links to the evidence for the decisions and provides a clear, consistent and transparent set of adopted messages.			messages clearly articulating the direction of travel	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Mark Armstrong**

Risk Appetite: 9

Section A – Identified Risk

Risk Description   3 Transforming Angus non-delivery

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. The process is underway to appoint a strategic partner to assist with change agenda. Quarterly reports on activity and benefits realisation to Policy and Resources Committee and Scrutiny and Audit Committee.

Likelihood	**Potential Impact**
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.	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: **5**

Overall Risk Score: **15**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Finalise the arrangements for the resourcing, operation and governance of the Transforming Angus programme.	Service Manager (Transforming Angus)	20 December 2014	Appropriate and effective arrangements are in place as evidenced by the success of the programme and clear governance opinions from regulatory functions.	Over time change operation and governance arrangements will require to be embedded across all services to effect successful implementation.
Ensure clarity on project and programme ownership and lead accountability.	Service Manager (Transforming Angus)	20 December 2014	Understanding and clarity on project and programme ownership and lead accountability in place across the programme.	Programme and project ownership will be distributed across services. Programme Office and Transforming Angus Board will have oversight.
Through effective Member and workforce engagement and communication embed buy-in for Transforming Angus across the Council.	Service Manager (Transforming Angus)	20 December 2015	Levels of engagement in Transforming Angus programme from Members and workforce. Feedback from Members, workforce and citizens on impact of Transforming Angus programme is positive.	Officer leadership and ownership through Council Leadership Forum.
Define effective and appropriate governance of relationship with Strategic Partner.	Strategic Director Resources	31 March 2015	Strategic Partner activity evidences 'value added' and benefits realisation. Decisions on the engagement of the Strategic Partner, with defined benefits and value added to be achieved, are made at the appropriate place in accordance with report 200/14 and decisions of the Council meeting of 8 May 2014.	The nature of any engagement will determine the appropriate place for a decision to be made e.g. Transforming Angus Board, Service Committee.

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Ian Lorimer**

Risk Appetite: 6

Section A – Identified Risk

Risk Description   4. Performance Management

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	**Potential Impact**
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)	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

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
We need to 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.	Heads of Service	30 June 2015	Improvement action plan identified for implementation	This is a significant piece of work – possible TA project? The review would look at the effectiveness and worth to stakeholders of existing arrangements
We need to identify what is important to our external stakeholders	Heads of Service	30 June 2015	We have PIs that are SMART	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Service Manager TA**

Risk Appetite: 9

Section A – Identified Risk

Risk Description   5.   Agile/Mobile/Homeworking

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	Potential Impact
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.	Savings not made
	Assets not utilised to best advantage
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.	Staff not working efficiently and services not redesigned to be more customer focused
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.	Contractual property burdens continue
	Reputation - Council is seen to remain "old fashioned" and unable or unwilling to modernise
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.	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

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Committee agreement of Council Agile Strategy	Service Manager (Transforming Angus)	31 January 2015	Strategy agreed.	Service ownership on implementation of strategy and to lead on moves to agile working will be essential.
Development of HR policies that support and enable agile working.	Head of Service (HR, IT & OD)	31 January 2015	Policies developed, consulted on, approved and ready for implementation.	Service capacity to implement policies and to lead on moves to agile working will be essential.
Implementation plan for Agile strategy finalised.	Service Manager (Transforming Angus)	31 March 2015	Plan produced and agreed with associated ownership of actions to achieve implementation.	
Conclude roll out of migration to Citrix.	Service Manager (IT)	31 December 2014	Citrix implemented across council where appropriate.	
Opportunities for agile/mobile service redesign are identified.	Heads of Service	31 March 2015	Service change opportunities are identified, prioritised and built into Agile implementation plan.	

IDENTIFIED RISK / RISK ACTION PLAN: Risk Owner: Sharon Faulkner

Risk Appetite: 12

Section A – Identified Risk

Risk Description   **6 – Workforce reductions**

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	Potential Impact
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'	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**

IDENTIFIED RISK / RISK ACTION PLAN: Risk Owner: Sheona Hunter

Section A – Identified Risk   **Risk Appetite: 9**

Risk Description   **7 – Information Governance**

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

Actions/Controls already in place

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

Likelihood	**Potential Impact**
The information governance steering group has only met once	There is a loss or inappropriate disclosure of sensitive data
There is an information governance policy but it is still in draft and has not been deployed	Reputation damage
	Public loss of confidence
Records management IT solution not yet decided	Breach of the Data Protection Act
Workshop with Objective has not realised a report or recommended way forward	Significant fines imposed
Practices are not consistent across the council	Ineffective decision making
SIRO role has not been agreed or implemented	Unable to meet statutory duty (Data Protection, FOI, Record Management)

Likelihood Score: **3**

Potential Impact Score: **4**

Overall Risk Score: **12**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Importance of good information governance recognised at senior level in organisation	EMT	Ongoing	Information Governance embedded across the organisation	
Information Governance action plan approved and implemented	IG Steering Group	31 October 2014	Actions completed as per agreed timescales	
Membership of Records & Information Management Working Group and FOI/DP Working Group reviewed to ensure sufficient representation across all directorates	CIGO	31 October 2014	Proportionate and appropriate representation in place	
Information Governance incorporated into Annual Corporate Governance statement if appropriate	Service Manager – Governance	30 June 2015	Focus on governance arrangements within services brings recognised improvement in information governance procedures.	
New members of staff required to complete data protection training and all existing staff must complete refresher training bi-annually	Heads of Service	Ongoing	All staff aware of their responsibilities	
Bi-annual reminders issued to all staff to remind them of complying with data protection guidance	Heads of Service	Bi-annually	All staff aware of their responsibilities	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Sharon Faulkner**

Section A – Identified Risk   **Risk Appetite: 9**

Risk Description   8 – Workforce/succession planning

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	**Potential Impact**
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.	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

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Development, consultation and agreement of Workforce Strategy including workforce profiling and planning	Head of Service (HR, IT & OD)	31 March 2015	Workforce Strategy agreed and approved	
Development of service review process incorporating workforce planning principles, consultation & communication mechanisms	Head of Service (HR,IT & OD}	31 March 2015	Service review process agreed	Heads of Service to take responsibility for ensuring workforce planning is part of their service reviews
Development of succession planning framework	Head of Service (HR, IT & OD)	31 March 2015	Succession planning framework agreed	
Development of competency framework	Head of Service (HR, IT & OD)	31 March 2015	Competency framework agreed	
Building capacity of managers to manage change	Head of Service (HR, IT & OD)	31 March 2015	Management development programme agreed	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Alan McKeown**

Risk Appetite: 9

Section A – Identified Risk

Risk Description **9 – Residual Waste Contract**

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	Potential Impact
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. The likelihood is 3	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. Impact is 3

Likelihood Score: **3**

Potential Impact Score: **3**

Overall Risk Score: **9**

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Janine Wilson in liaison
with Corp Gov Officers Group**

Risk Appetite: 10

Section A – Identified Risk

Risk Description   10 – Core Governance

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	**Potential Impact**
Neither monitoring or s95 officer are on EMT	There is a governance breach
Governance advisory role of service manager not clear	Staff act outwith authority
AGS highlights some issues	Council is subject to a claim and significant financial loss
Many new officers due to restructure who may need additional training and support in the short term on governance matters, e.g. budget responsibilities	Reputational damage
	Fraud risk increased

Likelihood Score: **3**

Potential Impact Score: **4**

Overall Risk Score: **12**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
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	EMT	Ongoing	No policies agreed or key decisions made without input from statutory officers	
Review new Committee reporting arrangements after 1 year to assess if decision making governance is still adequate	Chief Executive/ Head of Legal & Democratic Services	February 2015	Review confirms new arrangements working effectively	
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	Service Manager Governance (to facilitate)	30 November 2014	Clarity of roles and responsibilities well ahead of 2014/15 governance review work beginning	Discussion can also be about how we ensure good governance but with flexibility – cant be too rigid
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	Head of Corporate Improvement and Finance	31 December 2014	All Chief Officers suitably trained	E-learning with half day training already provided to lower level managers
We will clarify the advisory role of the Service Manager (Governance)	Chief Executive/CMT	30 September 2014		

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Steve Roud**

Risk Appetite: 10

Section A – Identified Risk

Risk Description   11 – PSN

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	**Potential Impact**
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. The likelihood is 2	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. The potential impact is 5

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

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Chief Executive**

Risk Appetite: 6

Section A – Identified Risk

Risk Description   12 – Business Continuity

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   **Potential Impact**

Likelihood	Potential Impact
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).	Corporate objectives not met Critical service delivery impact Additional financial impacts
Business continuity planning is not prioritised in terms of service delivery and resource allocation.	Reputational loss
IT system resilience remains an issue and still has to be fully determined.	

Likelihood Score: **3**

Potential Impact Score: **3**

Overall Risk Score: **9**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Testing of business continuity plans in key risk areas to be completed as far as practical by the end of 2014.	Heads of Service	31 March 2015	Testing undertaken and issues requiring further attention identified. Extent of our BC risks better understood	Testing would be as far as is practical e.g. it might be impossible to test some scenarios in full without huge inconvenience to service users
Building on action 1 above, review current status and readiness of the Council's business continuity arrangements and identify key gaps and risks which have still to be addressed.	Resilience Manager	31 March 2015	Latest Angus Council business continuity position fully understood and priorities for future action identified.	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Sharon Faulkner**

Risk Appetite: 6

Section A – Identified Risk

Risk Description   13 – Health & Safety

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

Actions/Controls already in place

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

Likelihood	**Potential Impact**
We have had a few near misses/improvement notices albeit the Health & Safety team are working hard with managers to make improvements including the launch of the new Health & Safety Framework	Risk to staff and public resulting in death; serious injury or long term health impacts Potential Corporate Manslaughter charges leading to potential imprisonment Fines and censure Improvement notices Reputational/ financial loss from civil claims; contractual claims Disruption to service delivery

Likelihood Score: 3

Potential Impact Score: 3

Overall Risk Score: 9

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Identify areas of highest risk and assess existing controls and action plans to address these according to their individual likelihood and impact	S Bruce in liaison with Service Heads	31 October 2014	We have a full and clear picture of our key H&S risks and agreed/tailored actions plans to address these in a timely manner	
CMT 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	CMT	September 2014	Staff convinced/see evidence there is a positive approach from senior management to health and safety and promotion of good practice	
Ensure all managers have been trained in their health and safety responsibilities and the Council's framework	Heads of Service	31 December 2014	No gaps in manager training and awareness, positive health and safety culture	
Include H&S on all EMT/CMT/SMT agendas including reports of incidents and audits	EMT/CMT/SMTs	Ongoing	Importance of H&S is recognised and monitored. H&S is recognised and monitored Accidents are reduced in number and severity	
Undertake appropriate audits within services	Heads of Service	Ongoing		
Continue support to appropriate and proportionate H&S training and controls	Heads of Service	Ongoing		
We need to consider H&S, including the condition of our infrastructure when we prioritise services and budget allocations	Heads of Service	Ongoing		

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner – Ian Lorimer**

                                                Risk Appetite – 6

Section A – Identified Risk

Risk Description   14 – Welfare Reform

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	**Potential Impact**
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.	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

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Redesign the visiting officer service in conjunction with the Communities directorate	Revenues/NDR Manager	31 March 2015	Merged visiting officer role dealing with both Council Tax and Rent Arrears	
Work with the DWP to implement a local support services framework	Revenues & Benefits Service Manager	31 March 2016	Implementation of local support services framework	

IDENTIFIED RISK / RISK ACTION PLAN:　　　　**Risk Owner: Susan Wilson**

Risk Appetite: 9

Section A – Identified Risk

Risk Description　　　　**15 – Health and Social Care Integration**

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

Actions/Controls already in place

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

Likelihood	Potential Impact
Low to High. Joint planning and governance arrangements are robust but there is a risk that Health agendas predominate because of the difference in size and scale of operations between NHST and Angus Council adult care social work services.	Inefficient use of resources. Reputational damage. Poor customer service. Poor delivery of Council priorities. Statutory duties not met. Social work priorities diminished. Allocation of budgetary resources not equitable.

Likelihood Score:　　　　**3**

Potential Impact Score:　　**5**

Overall Risk Score:　　　　**15**

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
Ensure optimal Council representation on planning bodies and in governance arrangements for HSCI implementation.	Head of Adult Services, Strategic Director People, Integration Manager	31 December 2014	Improved ability to influence strategic and operational developments in HSCI.	Target date is congruent with date for completion of Strategic Plan and submission to Scottish Government for approval.
Ensure optimal Council representation on workstreams reporting to Strategic Planning Group, in particular in locality planning group.	Head of Adult Services, Integration Manager	30 September 2014	Improved ability to influence tactical direction and operational service delivery in HSCI. Improved outcomes for service users.	These workstreams will have a particular influence on how service delivery is designed and therefore will directly impact on our ability to improve outcomes for service users with our NHST partners.
Review approach to service inclusion in HSCI through options appraisal.	Head of Adult Services	30 September 2014	Council's operational control of statutory functions and of social work lead "specialisms" is not diminished by integration process.	
Analysis of readiness for HSCI using the JIT tool.	Head of Adult Services, Integration Manager	31 October 2014	Improved scoring in self-assessment from JIT tool (quarterly review). Delivery of improvement action plan arising from Inspection.	

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Margo Williamson**

                                                 Risk Appetite: 8

Section A – Identified Risk

Risk Description   **16 – Public Protection**

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

Section B – Risk Action Plan

Action/controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
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.	Strategic Director People, Head of Adult Services, Head of Children and Families	Through regular meetings of the Executive Group for Public Protection	Consistently high scoring in thematic inspections and self-evaluations in the three component areas of activity.	
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.	Chief Executive, Strategic Director People, Head of Adult Services, Head of Children and Families	31 October 2014	Successful implementation of findings from improvement event held in June 2014.	
We will remain vigilant about the skills and qualifications of staff involved in this area of work, especially those at key decision-making points.	Heads of Children and Families and Adult Services	31 October 2014	Training needs analysis update annually.	Annual review

IDENTIFIED RISK / RISK ACTION PLAN: **Risk Owner: Richard Stiff**

Risk Appetite: 16

Section A – Identified Risk

Risk Description   **17 - Constitutional Change**

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	Potential Impact
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. The likelihood is 4 High 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	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. The impact score is 4 High

Likelihood Score: **4**

Potential Impact Score: **4**

Overall Risk Score: **16**

IDENTIFIED RISK / RISK ACTION PLAN: **Suggested Owner = CMT**

appetite score = 9

Section A – Identified Risk

Risk Description   **18 – Legislative change**

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

Likelihood Score: **2**

Potential Impact Score: **4**

Overall Risk Score: **8**