

**PEOPLE DIRECTORATE
RISK REGISTER 2014-15
As at 22 August 2014**

This risk register details those risks which the Directorate considers present a risk to the delivery of its operational objectives. Risks above the tolerance line are actively managed through a risk action plan.

Code	Risk	Actual Score	Appetite	Action Plan
PEO13	No available funding to meet increasing need for learning disability accommodation.	25	8	Y
PEO14	Learning Disability hospital patients	16	9	Y
PEO4	Reduced MHO capacity with increased demand – Underserviced for the size of the Council.	16	6	Y
PEO16	Self-directed support - Failure to create fluid budget.	15	9	Y
SWH.01	Protecting vulnerable people in the community	10	8	Y
SWH.13	Delivery of enablement agenda	10	6	Y
SWH.17	Managing potentially dangerous service users in the community	10	5	Y
PEO8	Health and Social Care Integration - Slippage on implementation plans	9	6	Y
ED.07	Low attainment levels	9	6	Y
SWH.09	Physical Assets	9	9	N
ED.01	School Inaccessible	8	8	N
ED.05	IT Infrastructure Failure including Delays in extension of Broadband and access to wireless provision	8	9	N
ED.09	Impact of demographic changes	8	6	Y
SWH.07	Provision of adequate training and development opportunities for staff	8	8	N
SWH.08	Reliance on key IT systems	6	9	N
ED.14	Flu pandemic.	1	3	N

IDENTIFIED RISKS/RISK ACTION PLAN:**Risk Owner:
Risk Appetite****Les Hutchinson
9****Section A – Identified Risk****Risk Description**

Physical Assets

Physical assets fail to meet the needs of service users and staff, becoming unfit for purpose – due to lack of investment in maintenance and improvement

Actions/Controls already in place

Asset management plan(s) have been prepared for the department. Revenue and capital maintenance programmes have been established.

Likelihood

The directorate has a prioritised maintenance and investment programme in place to ensure our assets remain fit for purpose. The funding available does not meet all of the needs but by prioritising expenditure and rationalising accommodation where appropriate we are managing this risk below the tolerance threshold.

Potential Impact

Services may not be able to be delivered
Service users and pupils put at risk.
Physical assets impact on the quality of services.

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

Section A – Identified Risk

Risk Description School Inaccessible

School becomes unavailable due to fire, flood etc.

Actions/Controls already in place

Arrangements in place to implement Fire Audits/Risk Assessments. Adequacy considered to be reasonable • Considered major risk of failure concentrating on secondary schools. Adequacy considered to be reasonable • Annual Maintenance Inspection/ Review of SEMP focusing on preventable measures and structural issues. Adequacy considered to be reasonable New school buildings designed to minimize risk e.g. sprinkler systems installed. • Business Continuity plans in place for all schools • Alternate School Building use - Definitive alternate location list and use created and shared with partners • Emergency Plans revised and issued for all schools

Likelihood

Potential Impact

Significant risk of major incident at school resulting in the whole or part of the school being unavailable to staff and pupils.	Loss of education for some or all pupils in school. Although it may be possible to cope with small schools through decant this would not be possible in larger primaries or secondary schools.
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Likelihood Score: 2

Potential Impact Score: 4

Overall Risk Score: 8

Section A – Identified Risk

Risk Description IT Infrastructure Failure including Delays in extension of Broadband and access to wireless provision

Corporate IT infrastructure does not function effectively including delays in the implementation of the new network structure. Remaining 14 primary schools not given access to appropriate bandwidth. Lack of refreshment of hardware and access to wireless provision to meet evolving needs particularly in the context of Curriculum for Excellence

Actions/Controls already in place

- Provision made in current year's budget for ongoing investment in infrastructure.
- Adequacy of controls considered to be good.
- Discussions with SEEMIS
- Committee approval of the award of contract to provide fixed circuit telecommunications for secondary and 35 primary schools.

Likelihood

Significant risk of Access to network, software and servers being denied to users.

Potential Impact

This would prevent or limit access to GLOW and to key departmental web based/HQ server based systems e.g. SEEMIS, CPD online, On track with Learning If schools are unable to access the key core educational and wider facilities available through GLOW and if equipment is not refreshed regularly this may have a detrimental impact on achievement and attainment.

Likelihood Score: 2

Potential Impact Score: 4

Overall Risk Score: 8

Section A – Identified Risk

Risk Description Flu pandemic.

Flu pandemic or similar event which impacts on the availability of staff.

Actions/Controls already in place

- Emergency planning team have initiated procedures based on work carried out by other Councils.
- Procedures in place to deal with escalation of swine flu
- guidelines for schools based on the recommendations from the emergency planning team have been developed and are in place in schools, residential units and other key services.

Likelihood

Marginal risk of insufficient staff to provide critical services.

Potential Impact

It may not be possible to provide a comprehensive service. Depending on the severity of the incident it may be necessary to close schools.

Alternative staff may be required in residential and emergency response teams.

Likelihood Score: 1

Potential Impact Score: 3

Overall Risk Score: 3

Section A – Identified Risk

Risk Description Provision of adequate training and development opportunities for staff

Unable to provide appropriate and adequate training and development opportunities for staff across the range of services.

Actions/Controls already in place

Resources are committed to regular, recurring, mandatory training.

Likelihood

Potential Impact

High if we don't corporately have a workforce strategy and plan and don't have appropriate resources in place to meet need.	Marginal – Due to targeted training the impact is marginal
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Likelihood Score: 4

Potential Impact Score: 2

Overall Risk Score: 8

Section A – Identified Risk

Risk Description Reliance on key IT systems

Failure of key IT system means that information is not available for day-to-day activities.

Actions/Controls already in place

Data is routinely backed up. There is some additional server capacity to accommodate failure (although this is not comprehensive). Corporate developments will improve resilience.

Likelihood

Potential Impact

The back- up and business continuity plans means this is not likely

Impact could be significant

Likelihood Score: 2

Potential Impact Score: 3

Overall Risk Score: 6

Section A – Identified Risk

Risk Description ED.09 Impact of demographic changes

Impact of demographic changes on school estate and effectiveness of educational delivery

Actions/Controls already in place

School Estate Strategy in place. Further review of school estate guidance planned. Work underway to review school capacities in light of new Scottish Government guidance.

Likelihood

Potential Impact

Risk of school roll falling below a viable level. Risk of overcrowding in a small number of schools	The educational benefits of very small schools may become increasingly limited due to falling rolls. Parental demand for an individual school is in excess to available space creating capacity issues.
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Likelihood Score: 2

Potential Impact Score: 4

Overall Risk Score: 8

Section B – Risk Action Plan**Actions/Controls to reduce Likelihood/Potential Impact**

Action	Responsibility	Target Date	Success Criteria	Comment
A.EDURR_009.1 Review and update School Estate Strategy and prepare specific option appraisal as appropriate	Pauline Stephen	31-Mar-2015	Reviewed strategy agreed.	
A.EDURR_009.2 Prepare recommendations on option appraisals for Committee	Pauline Stephen	31-Mar-2015	Report approved by Committee	
A.EDURR_009.3 Ongoing review during construction phase	Pauline Stephen	31-Mar-2015	Key stage reviews undertaken for all major construction projects.	
A.EDURR_009.4 Ensure project risk registers include reference to risk of the impact of demographic changes on the school estate.	Pauline Stephen	31-Mar-2015	Risk identified in all major projects	

Section A – Identified Risk

Risk Description ED.07 Low attainment levels

Pupil achievement lower than anticipated and/or not in line with national expectations

Actions/Controls already in place

• Staff and other resources provided in accordance with Scottish Government guidelines. • Schools subject to self-evaluation • Schools subject to inspection by HMIE • Regular attainment meetings held between Council improvement service and schools Senior management Teams to set strategies to raise attainment. Rigorous quality improvement cycle.

Likelihood

Marginal risk of levels of attainment being lower than anticipated. Controls considered to be good.

Potential Impact

Pupils not meeting their potential which could impact on their learning opportunities. Angus position relative to other authorities may deteriorate.

Likelihood Score: 3

Potential Impact Score: 3

Overall Risk Score: 9

Section B – Risk Action Plan**Actions/Controls to reduce Likelihood/Potential Impact**

Action	Responsibility	Target Date	Success Criteria	Comment
A.EDURR_007.1 Review resources available to schools.	Pauline Stephen	31-Mar-2015	Attainment of Angus pupils in line with Scottish average	
A.EDURR_007.2 Continue to provide support to schools to improve on any identified weaknesses.	Pauline Stephen	31-Mar-2015	Attainment of Angus pupils in line with Scottish average	
A.EDURR_007.3 Undertake rigorous monitoring of secondary schools attainment improvement plans.	Pauline Stephen	31-Mar-2015	Targeted improvements achieved.	
A.EDURR_007.4 Embed rigorous tracking and monitoring systems in schools	Pauline Stephen	31-Mar-2014	Better knowledge of pupil achievement and progress	
A.EDURR_007.5 Increased data analysis and use of evidence based practice	Pauline Stephen	31-Mar-2014	Improved quality of targeted interventions	

Section A – Identified Risk

Risk Description SWH.01 Protecting vulnerable people in the community

Failure to adequately protect vulnerable children and adults in the community or to effectively manage high risk offenders in the community could lead to death or serious injury of a service user or a member of the public.

Actions/Controls already in place

There are well established adult and child protection procedures are in place. Staff are trained in child protection and adult protection appropriate to their role.

The adult and child protection committees coordinate activity and strategy across and between agencies, including evaluating multiagency performance, promoting continuous improvement, producing and disseminating public information, ensuring inter-agency policies and procedures are in place, supporting the development and implementation of inter-agency quality assurance mechanisms and promotion of good practice and the training and development of staff.

There are well established MAPPA and MARAC process in place that are overseen by the Tayside Sexual and Violent Offenders Action Group (SAVOAG). The Chief Executive Group for Public Protection oversees the work of the multiagency committees

Likelihood

There is evidence from multiagency, external and internal scrutiny that the existing controls are effectively managing the risks to vulnerable individuals and members of the public. The existing controls are subject to regular review and update.

Potential Impact

Failure to adequately protect vulnerable children and adults in the community or to effectively manage high risk offenders in the community could lead to death or serious injury of s service user or a member of the public and would have significant repercussions for public assurance and safety. An adverse incident of this nature could bring the Council into disrepute and lead to increased external; scrutiny and adverse media attention.

Likelihood Score: 2

Potential Impact Score: 5

Overall Risk Score: 10

Section B – Risk Action Plan**Actions/Controls to reduce Likelihood/Potential Impact**

Action	Responsibility	Target Date	Success Criteria	Comment
Formally review impact of staff changes on meeting local and national CP standards.	Tim Armstrong	31 March 2015	An understanding as to whether likelihood of risk had increased.	
Formally review impact of staff changes on meeting local and national AP standards.	George Bowie	31 March 2015	An understanding as to whether likelihood of risk had increased.	
Review arrangements for child protection and adult protection training.	Kate Mearns	31 December 2014	Confidence that new arrangements are adequate.	

Section A – Identified Risk

Risk Description PEO13 No available funding to meet increasing need for learning disability accommodation.

Risk to meeting legislative duties and provisions, risk to individual and carer safety, risk to Council reputation by carers and pressure groups e.g. SAPALD (South Angus Parents of Adults with a Learning Disability).

Actions/Controls already in place

Accommodation strategy in place detailing current and future accommodation needs of all known adults and children in transition.
Engagement with individuals and families undertaken regarding their views of current and future accommodation needs.
Joint working with Housing undertaken to map out accommodation needs and type in each Angus locality area.
Keys to Life implementation group established to plan actions to progress local needs and priorities of the recommendations in national strategy.
Flexible and rolling respite available to relevant families and individuals.
Demographic information relating to the Angus population.

Likelihood

Potential Impact

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Likelihood Score: 5

Potential Impact Score: 5

Overall Risk Score: 25

Section B – Risk Action Plan**Actions/Controls to reduce Likelihood/Potential Impact**

Action	Responsibility	Target Date	Success Criteria	Comment
PEO13.1 Further work to be undertaken to LD accommodation database detailing a breakdown of those requiring core supported housing to PMLD, Autism and Forensic requirements detailing communal facility needs or not.	Linda Kennedy; Samantha Woodall	30-Jun-2014	All individuals requiring core supported housing have specific client group needs clearly identified.	
PEO13.2 Keys to Life implementation group to complete engagement with stakeholders to establish local priorities regarding the national strategy and produce work plan.	Fiona Rennie	31-Aug-2014	Local priorities clearly identified.	
PEO13.3 New accommodation plan devised for both accommodation and care and support identifying the costs of current and future accommodation needs and obtaining official approval	Fiona Rennie	30-Nov-2014	Plan devised and official approval obtained.	
PEO13.4 Fund stream identified for accommodation and core support needs	John Morrow; Fiona Rennie	31-Dec-2014	Funding approved for 10 year plan	

Section A – Identified Risk

Risk Description PEO14 Learning Disability hospital patients

No budget to fund community placements and no suitable community placements exist locally. Risk of judicial review proceedings against Angus Council for failing in their legislative duties to secure community provision for these individuals.

Actions/Controls already in place

Pan Tayside needs assessment completed.
Models of care identified for individuals. Local needs assessment completed.
Joint discussions with health undertaken and joint working arrangements with health in place.

Likelihood

Potential Impact

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

Section B – Risk Action Plan

Actions/Controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
PEO14.1 Legal advice obtained clarifying health legislative responsibilities and Local Authority legislative responsibilities and duties.	David Thompson	30-May-2014	Clear advice received re legal duties of NHS Tayside and of Angus Council	
PEO14.2 Multi agency meetings arranged for each individual with (local authority, health, offender management, police and government ministers), to agree accommodation model, staffing model, environmental factors and risk management plans.	Fiona Rennie	31-Aug-2014	All agencies agreed and models defined.	
PEO14.3 Joint funding agreed between health and social work for care and support.	Fiona Rennie	30-Apr-2014	Funding proportions for care and support agreed.	
PEO14.4 Funding streams identified for care and support costs	Fiona Rennie; Bill Troup	31-Oct-2014		
PEO14.5 Funding streams identified for accommodation costs	John Morrow; Fiona Rennie; Bill Troup	31-Oct-2014	Funding streams identified for accommodation.	
PEO14.6 Placements identified or accommodation build proposed.	Fiona Rennie; Bill Troup	31-Dec-2014		
PEO14.7 Agreement obtained from relevant ministers re placement proposals.	Fiona Rennie; Bill Troup	31-Dec-2014	Agreement obtained from ministers for relevant individuals.	

Section A – Identified Risk

Risk Description PEO4 Reduced MHO capacity with increased demand – Underserviced for the size of the Council.

Unable to fulfil our statutory duties and vulnerable people are at greater risk. Reputational damage to Council.

Actions/Controls already in place

- There is an established, experienced MHO team.
- Existing training and development provision.
- Supervision for MHOs.
- 'Satellite' MHOs (This is on a rota basis which is in itself a problem).

Likelihood

Potential Impact

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Likelihood Score: 4

Potential Impact Score: 4

Overall Risk Score: 16

Section B – Risk Action Plan

Actions/Controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment
PEO4.1 Report to be presented to SMT on the nature of the problem and solutions.		31-Mar-2015		
PEO4.2 Capacity has been increased.		31-Mar-2015		
PEO4.3 Actively seeking recruits from a broader section of the Council.		31-Mar-2015		

Section A – Identified Risk

Risk Description PEO16 Self-directed support - Failure to create fluid budget.

Choices by supported people cannot be covered within budget leading to overspend

Actions/Controls already in place

Likelihood

Potential Impact

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

Section B – Risk Action Plan

Actions/Controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment

Section A – Identified Risk

Risk Description PEO8 Health and Social Care Integration - Slippage on implementation plans

Slippage may lead to the Council and partners being unable to complete preparations for health and social care integration, leading to intervention from the Scottish Government.

Actions/Controls already in place

Project Board in place to monitor progress
Joint Shadow Board has oversight of the process.

Likelihood

Potential Impact

Given the slippage to date, timescales are now very tight with little margin for error.

Intervention from Government; loss of credibility with communities; increased tension within the partnership; impact on staff morale.

Likelihood Score: 3

Potential Impact Score: 3

Overall Risk Score: 9

Section B – Risk Action Plan**Actions/Controls to reduce Likelihood/Potential Impact**

Action	Responsibility	Target Date	Success Criteria	Comment
Regular briefings with elected members on the Shadow Board	Margo Williamson	Until 31 March 2015	Raise awareness of significant issues to leverage resolution.	
Regular meetings with the Interim Chief Officer	Margo Williamson	Until 31 March 2015	Hold ICO accountable and ensure that slippage is minimised/eliminated.	
Improve quality of challenge at Project Board	Les Hutchinson	Until 31 March 2015	Ensure that issues are addressed, and any problems are raised at briefings with elected members.	

Section A – Identified Risk

Risk Description SWH.13 Delivery of enablement agenda

Failure to deliver fully on the enablement agenda in community care will leave us relying on traditional models of service that will not be able to meet the demographic demands.

Actions/Controls already in place

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Likelihood

Potential Impact

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

Section B – Risk Action Plan

Actions/Controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment

Section A – Identified Risk

Risk Description SWH.17 Managing potentially dangerous service users in the community

Potentially dangerous individuals are supported in the community with input from Social Work and Health. Risks tend to be assessed and managed on a multi-agency basis.

Actions/Controls already in place

There are well established public protection and community safety arrangements in place in Angus, including: • Multi-agency public protection arrangements (MAPPA); • The Joint Assessment Group (JAG); • The Keeping Children Safe (Sex Offenders Community Disclosure scheme); and • An inter-agency protocol for young people aged 14 – 18 years who present a sexual risk to others. A self evaluation of services to manage high risk offenders has recently been undertaken and an improvement action plan is being developed.

Likelihood

Potential Impact

Low Well stabled systems and process in place to monitor know offenders.	Critical Failure to manage risk could result in death or serious injury to members of the public.
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Likelihood Score: 2
Potential Impact Score: 5
Overall Risk Score: 10

Section B – Risk Action Plan

Actions/Controls to reduce Likelihood/Potential Impact

Action	Responsibility	Target Date	Success Criteria	Comment

