

Risk **Risk Owner: Alan McKeown**

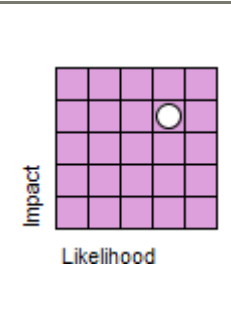
CORRR0001 Securing Financial Sustainability

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

Agreement of 2017-20 council plan and aligned budget and workforce plan.
 PBSG have agreed 2018-19 budget strategy and approach. PBSG intend to have a 3 year budget plan.
 Regular updates of Council Medium Term Budget Strategy to quantify predicted scale of budget gap.
 There is a process of savings identification through the change programme; further savings require to be identified.
 The change programme is continuing to develop change and cost reduction across the council but further work is required.
 The EMT and Policy & Budget Strategy Group (PBSG) are continuing to develop priority based budgeting and a culture of efficiency and effectiveness to control spending and maximise income.
 2017-20 council plan and budget communication and (community) engagement process is being implemented, including elected member and Leadership Forum engagement.
 Implementation of the Local Outcome Improvement Plan with Angus Community Planning Partnership (ACPP) and the implementation of locality plans.
 Monitoring of agreed budget savings reported to EMT, PBSG and Council.
 Planned changes to format of budget report and associated decisions on savings delivery.



Likelihood

The change 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 2016/17 External Audit Report to Members also highlights the importance of members making decisions to deliver change and reduce costs.
 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 2017 timetable for decisions on one year 2018/19 LG grant settlement all indicate a further year of significant financial challenge for the council.
 The implications of changes to the local income tax system in Scotland are only starting to be debated and it is uncertain how this will impact on local government finances. The Barclay Review casts uncertainty on the rates relief which is a risk to local government finances.

Potential Impact

The Council fails to deliver a set balanced budget and is put in special measures. 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 resulting in a negative impact on the reputation of the council.
 Savings and efficiencies are not realised resulting in an inability 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.
 Failure to make and stick to decisions may see the Council open to the risk of being subject to special measures.





Whilst community engagement, 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





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

Appetite Likelihood: 2
Appetite Impact: 3
Appetite Risk Score: 6

Latest Note	Latest Note Date	Latest Note Author
Risk reviewed and likelihood increased and impacts of the increased risk recorded. All actions to be reviewed by PBSG at their meeting on 24th October 2017 - any required amendments will be made thereafter.	16 Oct 2017	Alan McKeown

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
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-Jul-2017		Les Hutchinson	This is complete and will be presented to Angus Council on 7/9/2017	21-Aug-2017
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		Mark Armstrong	This work will be progressed through the development of the council plan and its integration with the LOIP and other significant plans and strategies. Effective prioritisation will be required.	18-May-2017
CORRR_0001.3 We will develop workforce plans that are aligned to council priorities, statement of ambition and use of budgets whilst reflecting this is in the context of reducing the overall workforce and transforming ways we currently deliver services.	31-Jan-2017		Sharon Faulkner	Services have been developing their workforce plans in line with priorities and budget constraints. Service reviews aimed at ensuring we have the right size of workforce with the right skills to deliver modern and efficient services will continue under the Transforming Angus programme.	03-Feb-2017
CORRR_0001.4 We will undertake community engagement to establish their priorities and use this to inform future budget decisions.	31-Oct-2017		Mark Armstrong	This work is being progressed through the development of locality plans, the council plan and their integration with the LOIP and other	18-May-2017

				significant plans and strategies.	
CORRR_0001.5 We will keep elected members appropriately informed and engaged in the development and implementation of service changes.	31-Mar-2018		Margo Williamson	Elected members have been invited to identify any training they would wish to have rerun or covered now the induction period is over.	21-Aug-2017
CORRR_0001.6 We will work with services and our strategic partner to identify and prioritise opportunities for service improvement; service redesign; alternative delivery methods; and service reduction and cessation options.	30-Sep-2017		Janine Wilson	This has now been superseded by the new change programme which has been developed and will be reported to council on 7 September	22-Aug-2017
CORRR_0001.7 We will effectively target staff resources and skills at delivering service transformation	31-Mar-2018		Gordon Cargill	28 September 2017: Change programme approved by Council on 7 September 2017 with Business Change Leads and Project Support Officers identified to deliver the respective projects.	28-Sep-2017
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		Les Hutchinson	New action added as a result of CMT review of risk register.	25-Jan-2017
CORRR_0001.9 We will improve our business analytics to be able to target spend on key areas.	31-Oct-2017		Les Hutchinson	New action added as a result of CMT review of risk register.	25-Jan-2017

Risk **Risk Owner: Margo Williamson**

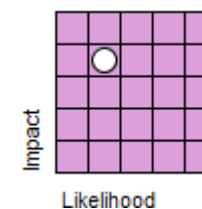
CORRR0002 Cultural Change

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 an impact on our ability to be a sustainable council.

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 change across the council.
 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.
 Development of staff reward and recognition.
 Strong resilient leadership with a clear sense of purpose and change required.
 New approach to service redesign and commissioning.
 Clear priorities established and agreed in Local Outcomes Improvement Plan, Corporate Plan, Medium Term Budget Strategy and Workforce Strategy.



Likelihood

Substantial transformation required by the council in the way services are delivered. This requires a focus on strategic planning and scrutiny of outcomes. Although significant work is underway to minimise this risk, there is a continued need to ensure planned collaborative work between directorates and other partners 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. The cascade of information needs to be consistent, flowing both up and down through the council. A one council approach is required.

Potential Impact


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

Likelihood Score: 2
Potential Impact Score: 4
Overall Risk Score: 8

Appetite Likelihood: 3
Appetite Impact: 3
Appetite Risk Score: 9

Latest Note	Latest Note Date	Latest Note Author
Risk reviewed and scores unchanged. No actions need to be added to those already being taken forward.	16 Oct 2017	Vivien Smith

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
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-2018		Heads of Service	Communications Strategy has been developed and will be considered by CMT at their meeting on 12 Dec 2017. Currently looking at aligning the change programme with recently agreed outcomes & priorities.	26-Oct-2017

Risk **Risk Owner: Vivien Smith**

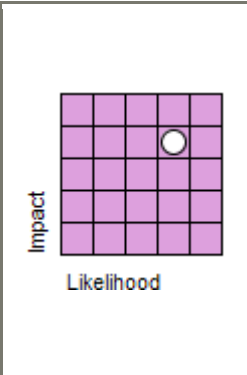
CORRR0003 Change Programme

Risk Description

The Change Programme fails to deliver with the result that the major savings required are not realised to the extent needed.

Actions/Controls already in place

Council has agreed governance arrangements for the change programme, including policy decisions at Policy and Resources Committee.
 A Programme Office team is in place to April 2018 to support the delivery of the change programme.
 The existing Policy Budget Strategy Group process maintains oversight.
 Quarterly update reports are considered at Policy and Resources Committee and Scrutiny and Audit Committee.
 An EMT Scrutiny Board is in place providing detailed challenge and support across the change programmes.
 A governance toolkit is in place to apply proportionate controls and management across all council change activity.
 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 and is available to support change.
 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 change programme have been undertaken and their recommendations implemented.
 Events and briefings for members have been held and more are planned.
 A whole council approach to change has been adopted.
 A clear change programme approach has been developed and agreed.
 The change programme links to the strategic outcomes of Economy, People and Place.



Likelihood

The council's change programme is the main driver for strategic and operational change in terms of savings, efficiencies, reshaping of services, improving outcomes and developing sustainable communities.
 The arrangements for the resourcing, operation and governance of this change programme have been developed and are now established and in place across the programme.
 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 across the change programme. The report also details the importance of members making decisions to deliver the change required to reduce costs.
 Some key programmes are either behind schedule or will not deliver the originally anticipated benefits.
 The engagement of staff across the Council requires to be improved. Members and staff need to engage with strategic and organisational change. Without this, the delivery of change will not achieve the range or volume of benefits which are necessary.

Potential Impact

Failure to deliver the objectives of organisational change through transformational change could lead to failure to establish a sustainable council and services while also 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.






The estimated financial gap has widened substantially over the year.	
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Likelihood Score: 4
Potential Impact Score: 4
Overall Risk Score: 16

Appetite Likelihood: 2
Appetite Impact: 3
Appetite Risk Score: 6

Latest Note	Latest Note Date	Latest Note Author
Our agreement with the strategic partner has come to an end but the risk remains significant due to the substantial financial gap.	16 Oct 2017	Vivien Smith

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0001.7 We will effectively target staff resources and skills at delivering service transformation	31-Mar-2018		Gordon Cargill	28 September 2017: Change programme approved by Council on 7 September 2017 with Business Change Leads and Project Support Officers identified to deliver the respective projects.	28-Sep-2017
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.	31-Mar-2018		Heads of Service	Communications Strategy has been developed and will be considered by CMT at their meeting on 12 Dec 2017. Currently looking at aligning the change programme with recently agreed outcomes & priorities.	26-Oct-2017
CORRR_0003.6 Continue to develop the change programme to ensure a 3 year savings position is targeted.	31-Mar-2019		Vivien Smith	Action added after October review of risks.	26-Oct-2017
CORRR_0003.7 Ensure priorities and outcomes are captured in the change programme and clearly demonstrate investment against priorities.	31-Mar-2019		Vivien Smith	Action added after October review of risks.	26-Oct-2017
CORRR_0003.8 Develop the evidence base for change in relation to the council's priorities and understand demand.	31-Mar-2019		Heads of Service	Action added after October review of risks.	26-Oct-2017

Risk **Risk Owner: Les Hutchinson**

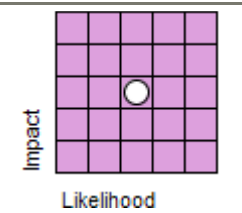
CORRR0004 Performance Management

Risk Description

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

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




The council does not know how well it performs (in terms of customer satisfactions, costs 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 are 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
Potential Impact Score: 3
Overall Risk Score: 9

Appetite Likelihood: 2
Appetite Impact: 3
Appetite Risk Score: 6

Latest Note	Latest Note Date	Latest Note Author
EMT review October 2017 – actions updated.	19 Oct 2017	Alison Frew

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
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		Les Hutchinson	The Council Plan (approved on 07 September 2017) contains a comprehensive suite of measures that will fully address this risk.	11-Oct-2017
CORRR_0004.2 We will complete a review of our Performance planning and reporting arrangements to ensure they focus on the key information needed by the public and elected members to judge our performance.	30-Sep-2017		Les Hutchinson	The Council Plan (approved on 07 Sept 2017) contains a range of measures that will address this risk.	11-Oct-2017
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.	31-Oct-2017		Les Hutchinson	The measures in the Council Plan will be used for this process. This is likely to be an iterative process, as budget decisions are made. I recommend that the next review is scheduled as part of a debrief in March 2018, after the next budget has been set.	11-Oct-2017

Risk **Risk Owner: Sharon Faulkner**

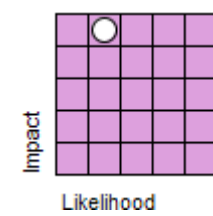
CORRR0006 Workforce Fit for the Future

Risk Description

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 workplace 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.



Likelihood

The council is reducing staff resources and ceasing to deliver some services. Any further workforce reductions require to be balanced with on-going workload demands 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

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

Appetite Likelihood: 3
Appetite Impact: 4
Appetite Risk Score: 12

Latest Note	Latest Note Date	Latest Note Author
This risk continues to be monitored as we continue the service review and redesign programme. As reviews are likely to increase and accelerate we will require to regularly monitor the impact on staff morale, retention, numbers and skills requirements	25 Jan 2017	Sharon Faulkner

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date

Risk

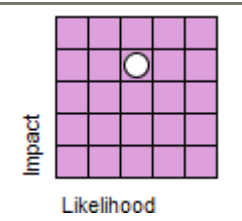
CORRR0007 Information Governance

Risk Description

A lack of consistency around implementation of information governance policies 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

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

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
Potential Impact Score: 4
Overall Risk Score: 12

Appetite Likelihood: 2
Appetite Impact: 4
Appetite Risk Score: 8

Latest Note	Latest Note Date	Latest Note Author
Reviewed by CMT Nov 16	22 Nov 2016	Alison Frew

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0007.1 We will ensure that all action plans pertaining to Information Governance are progressed at the stated timescales.	31-Mar-2018		Sheona Hunter	Reworded as a result of CMT review of risk register.	22-Nov-2016

Risk

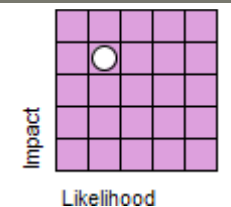
CORRR0010 Core Governance

Risk Description

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

Actions/Controls already in place

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



Likelihood

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

Potential Impact

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

Likelihood Score: 2
Potential Impact Score: 4
Overall Risk Score: 8

Appetite Likelihood: 2
Appetite Impact: 4
Appetite Risk Score: 8

Latest Note	Latest Note Date	Latest Note Author
Risk will be removed when EMT agree that it has been adequately reflected in risk 0002 and /or 0003.	19 Oct 2017	Alison Frew

Risk

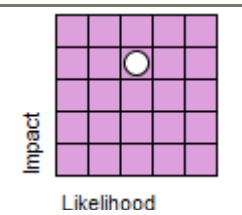
CORRR0015 Health and Social Care Integration

Risk Description

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

Actions/Controls already in place

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



Likelihood

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

Potential Impact

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

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

Target Likelihood: 3
Target Impact: 3
Target Risk Score: 9

Latest Note	Latest Note Date	Latest Note Author
Risk to be re-worded to reflect the council’s position.	19 Oct 2017	Alison Frew

Risk **Risk Owner: Kathryn Lindsay**

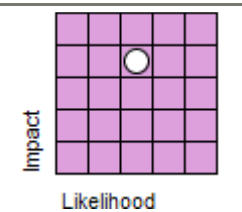
CORRR0016 Public Protection

Risk Description

There is a failure of multi-agency protecting people arrangements resulting in significant harm to a child or vulnerable person and / or a failure to manage an offender appropriately leading to significant harm to another person.

Actions/Controls already in place

Multi-Agency Public Protection Arrangements (MAPPA), Angus Child Protection Committee and Angus Adult Protection Committee.
 Chief Officer Group oversee committees at strategic multi-agency level.
 Child and adult protection procedures, training and staff development.
 Staff have appropriate skills and qualifications.
 Multi-agency management and monitoring processes and external inspection.
 Internal audit programmes.
 Learning events from initial and significant case reviews



Likelihood

Low to High. Wide range of existing controls mitigates the likelihood. These controls are monitored and revised as necessary.

Potential Impact

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


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

Appetite Likelihood: 2
Appetite Impact: 4
Appetite Risk Score: 8

Latest Note	Latest Note Date	Latest Note Author
Protecting people involves a wide range of agencies and services across the Council. The increasing financial challenge impacting across all protecting people agencies, including frontline council social work services, increases the likelihood of a service failure occurring. Whilst individual service and partnership governance arrangements remain in place, and priority is given to protection issues, there is a significant pressure on services to respond to increasing demand with reduced resources.	13 Oct 2017	Kathryn Lindsay

Decisions taken by Council must ensure that adequate resources and infrastructure remain available to support this area of work.		
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Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0016.1 Report to Chief Officers Group on the frequency and representation at key protecting people fora.	31-Mar-2018		Kirsty Lee	New action added after risk review October 2017.	16-Oct-2017

Risk **Risk Owner: Sheona Hunter**

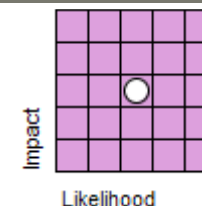
CORRR0018 Legislative Change

Risk Description

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

Actions/Controls already in place

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



Likelihood

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

Potential Impact

Financial impact on current budget and priorities
Reputational damage
Legal challenges

Likelihood Score: 3

Potential Impact Score: 3

Overall Risk Score: 9

Appetite Likelihood: 3

Appetite Impact: 3

Appetite Risk Score: 9

Latest Note	Latest Note Date	Latest Note Author

Risk **Risk Owner: Caroline Cooper**

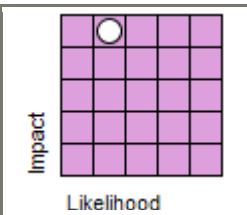
CORRR0019 IT Systems Business Continuity

Risk Description

There is a risk that the agreed Recovery Time Objectives (RTO's) within the business continuity plan will not be met in the event of loss / partial loss of the council's data centre.

Actions/Controls already in place

For email there is failover to secondary data site in Arbroath.



Likelihood

There is resilience and protections in place however there are a number of circumstances where significant damage to the data centre is possible.

Potential Impact







The RTO's in the business continuity plan, dependent on IT systems and applications, are not achievable if there was significant damage / total loss of the council's data centre. A number of business critical systems on which the council is wholly dependent to provide services could take several days to recover. The restoration of Business As Usual (BAU) services could take several weeks.

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

Appetite Likelihood: 1
Appetite Impact: 2
Appetite Risk Score: 2

Latest Note	Latest Note Date	Latest Note Author
New risk identified from review by EMT October 2017.	19 Oct 2017	Alison Frew

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0019.1 Where appropriate transfer the risk to third parties who are contractually able and have significant experience in providing resilience.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017
CORRR_0019.2 Where appropriate avoid the risk by provisioning the services differently.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017
CORRR_0019.3 IT will review, with the service units, the RTO's against estimates of recovery time and agree priorities for actions.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017
CORRR_0019.4 IT will continue to work on a technology roadmap to significantly improve the resilience of a number of components.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017
CORRR_0019.5 Update the IT Disaster Recovery Plan and undertake walkthroughs of scenarios.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017
CORRR_0019.6 Identify those applications diverging the most from their RTO and assign as a priority for change.	31-Dec-2018		Caroline Cooper	New action added at October review.	19-Oct-2017

Risk **Risk Owner: Mark Armstrong**

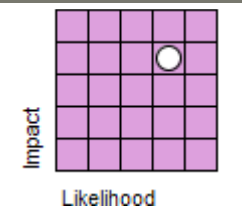
CORRR0020 Health & Safety Compliance

Risk Description

Failure to achieve compliance will result in enforcement action being taken by the Health and Safety Executive (HSE); can include improvement / prohibition notices, imprisonment and unlimited fines.

Actions/Controls already in place

Professionally qualified Safety Team provides competent health & safety advice.
 Health and Safety is a standing item on management team meetings and identified issues are escalated to Directorate Consultative Groups where required.
 Staff training programme in place covering a range of relevant skills and competences.



Likelihood

Letter of non-compliance has already been issued by the HSE with actions to be taken within deadlines so likelihood is High.

Potential Impact






Further and more stringent enforcement action and prosecution by HSE.
 Reputational damage.
 Increased likelihood of employees sustaining injuries at work.

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

Appetite Likelihood: 2
Appetite Impact: 2
Appetite Risk Score: 4

Latest Note	Latest Note Date	Latest Note Author
New risk identified at October review by EMT.	19 Oct 2017	Alison Frew

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0020.1 Ensure issued Improvement Notice is complied with.	15-Jan-2018		Susan Bruce	New action added at October review.	19-Oct-2017
CORRR_0020.2 Ensure Safety Team have time and resource to fulfil their functions effectively.	30-Jun-2018		Sharon Faulkner	New action added at October review.	19-Oct-2017
CORRR_0020.3 Ensure our management arrangements satisfy the key components required for an effective health & safety management system.	31-Dec-2018		Susan Bruce	New action added at October review.	19-Oct-2017
CORRR_0020.4 Encourage more interest, support and involvement from senior management.	31-Mar-2018		Sharon Faulkner	New action added at October review.	19-Oct-2017
CORRR_0020.5 Review and if necessary update committee responsibility for health & safety matters.	31-Dec-2017		Mark Armstrong	New action added at October review.	19-Oct-2017