

Corporate Risks Under Review

Risk

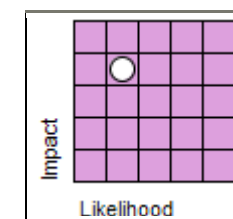
CORRR0010 Core Governance

Risk Description

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

Actions/Controls already in place

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



Likelihood

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

Likelihood Score: 2

Potential Impact Score: 4

Overall Risk Score: 8

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






Target Likelihood: 2

Target Impact: 4

Target Risk Score: 8

Latest Note	Latest Note Date	Latest Note Author
The position recorded at the March 2016 review has been maintained and therefore the Impact and Likelihood assessments have been maintained.	04 Oct 2016	Richard Stiff

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0010.1 We will ensure that the Monitoring Officer and Chief Financial Officer to be properly involved in development of all key policies and key decisions so they can fulfil their statutory roles	31-Mar-2015	 Complete	Mark Armstrong; Alan McKeown; Margo Williamson	Resources Director ensures MO and CFO are timeously briefed on activity of EMT and Leadership meetings. Consultation on all Committee Reports. This will remain in place until complete transferal of resources and governance to the Integrated Joint Board.	01-Apr-2015
CORRR_0010.2 We will review new Committee reporting arrangements after 1 year to assess if decision making governance is still adequate	31-Mar-2015	 Complete	Sheona Hunter	We have re-established the member Officer Group on Committee structures and are reviewing the role of the social work & health committee in light of Integration of Health & Older People's services.	23-Mar-2016
CORRR_0010.4 We will consult with budget holders on their needs (if any) for additional financial monitoring information and any training on financial management required to address any gaps which may exist	31-Oct-2016	 Complete	Ian Lorimer	work to address issued raised is ongoing and will be taken into account in the Transforming Resources project but the original action can now be regarded as complete	21-Nov-2016
CORRR_0010.5 We will clarify the advisory role of the Service Manager (Governance)	31-Mar-2016	 Complete	Richard Stiff	The Service Manager Governance has had an active engagement with CMT and EMT in this regard. Ongoing.	24-Dec-2014
CORRR_0010.6 We will review the corporate governance assurance process which will inform the 2015/16 Annual Governance Statement	31-Mar-2016	 Complete	Shan Coombs	Process for 2015/16 agreed by CGOG 7/1/16 and by CMT 12/1/16. Assurance questionnaires issued to Directorates 2/2/16.	03-Mar-2016

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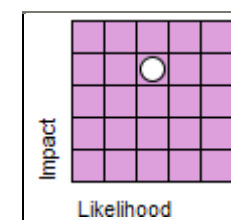
CORRR0015 Health and Social Care Integration

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

Target Likelihood: 3

Potential Impact Score: 4





Target Impact: 3

Overall Risk Score: 12

Target Risk Score: 9

Latest Note	Latest Note Date	Latest Note Author
Given completion of actions, potential impact score has been reduced from 5 to 4.	05 Jan 2016	Alison Frew

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0015.1 We will ensure optimal Council representation on planning bodies and in governance arrangements for HSCI implementation	31-Oct-2015	 Complete	Mark Armstrong; Tim Armstrong; George Bowie	Council members and officers continue to be actively involved in a wide range of planning and governance groups leading HSCI	27-Aug-2015
CORRR_0015.2 We will ensure optimal Council representation on workstreams reporting to Strategic Planning Group, in particular in locality planning group	31-Dec-2015	 Complete	Mark Armstrong; Tim Armstrong; George Bowie	Council officers continue to be actively involved in a wide range of planning groups leading HSCI. SPG commenced meeting on 26 August	27-Aug-2015
CORRR_0015.3 We will review approach to service inclusion in HSCI through options appraisal	31-Oct-2015	 Complete	Mark Armstrong; Tim Armstrong; George Bowie	Integration Scheme has been revised and resubmitted to Scottish Government. This defines the services included in HSCI	27-Aug-2015
CORRR_0015.4 We will complete an analysis of readiness for HSCI using the JIT tool	31-Oct-2014	 Complete		Achieved.	24-Dec-2014

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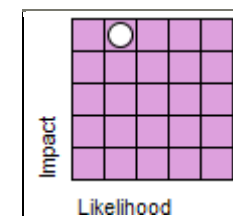
CORRR0016 Public Protection

Risk Description

There is a failure to protect a looked after, a vulnerable adult or manage an offender appropriately leading to negative impact on another person

Actions/Controls already in place

Existing MAPPA, child and adult protection procedures, training and staff development. Multi-agency management and monitoring processes and external inspection. Internal audit programmes. Learning events from initial and significant case reviews



Likelihood

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

Likelihood Score: 2

Potential Impact Score: 5

Overall Risk Score: 10

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




Target Likelihood: 2

Target Impact: 4

Target Risk Score: 8

Latest Note	Latest Note Date	Latest Note Author
Likelihood remains low although impact is critical. Systems and processes continue to be overseen by the Public protection Executive Group.	03 Oct 2016	Tim Armstrong

Mitigating Actions

Action	Due Date	Status	Assigned To	Latest Note	Latest Note Date
CORRR_0016.1 We will maintain scrutiny of our systems, procedures, skills, knowledge-base and decision-making through the existing controls, in particular through the scrutiny of the three Committees (MAPPA, ACPC, AAPC) and their sub-committees	31-Dec-2015	 Complete	Tim Armstrong	The Child Protection and Adult Protection Committees and their sub-committees have work plans for the coming year. The recent MAPPA audit will inform the development plan for the Tayside MAPPA SOG.	04-Dec-2015
CORRR_0016.2 We will develop the role of the Executive Group in overseeing the three Committees at a high level and in ensuring that appropriate connections are made between all three elements of public protection	31-Mar-2015	 Complete	Margo Williamson	The Public Protection Committee now comprises a small number of Chief Officers from the multi agency partnerships. Close scrutiny of the three groups have led to this change.	01-Apr-2015
CORRR_0016.3 We will remain vigilant about the skills and qualifications of staff involved in this area of work, especially those at key decision-making points	31-Mar-2016	 Complete	Tim Armstrong	There are multi agency training strategies in place for Child Protection and Adult Protection training and a separate training strategy for Children and Young People Services.	25-Mar-2016

