
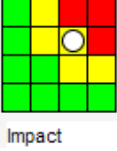
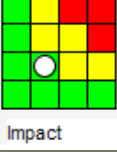









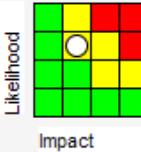
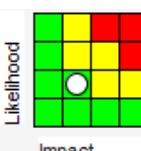
Appendix 1

Strategic Risk Report


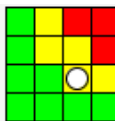
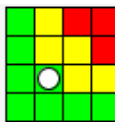




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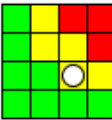
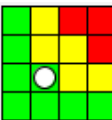






	SR105 Failure to deliver strong financial governance and sustainable budget management	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council fails to deliver strong financial governance through either its budgetary preparation and management processes or maintaining adequate reserves.		9	14-Apr-2014
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended or fund improvements to services through "spend to save" schemes.		4	Target Date 31-Mar-2017
Measures of Impact	<ul style="list-style-type: none"> - Additional burdens (e.g. general inflation, tax increases, fuel cost increases, superannuation, high level care costs) - Actual level of Savings achieved in comparison to level of savings agreed by Council - Reduction in government grant - Demographic shifts - Significant overspends - Savings required - Debt collection statistics - Adverse level of capital receipts (planned v actual) - Underutilised assets / occupancy levels - Does the Council have a 10 year Financial Strategy? Yes / No - Procurement Capability Assessment (PCA) 	Latest Note	The range of risks are monitored & considered and on balance the external risks to funding remain high. Significant mitigation controls are in place and planning processes seek to ensure appropriate action is taken at the right time to reduce levels of financial risk to WDC	
Risk Factors	<ul style="list-style-type: none"> - Level of government grant - Lack of time to plan for changes in the level of grant funding - General inflationary factors - Significant additional burdens (see further under "Measures of Impact") - Poor budgetary control arrangements - Ineffective debt collection (e.g. Council Tax, Housing Rents, sundry debtors) - Capital receipts - Welfare Reform - Health and Social Care integration - Implications from the uncertainty of the Referendum on Treasury Management operations 			
Internal Controls	<ul style="list-style-type: none"> - 10 year Financial Strategy subject to regular review - Financial planning - Monitor and maintain General Services and Housing Revenue Account prudential targets - Reporting and monitoring of Treasury Management Strategy - Budgetary control process - Regular budgetary control and savings monitoring reports provided to CMT and Council / committees - Rigorous debt collection processes - Annual Internal Audit Plan - Work of External Auditors (external control) - Annual Governance Statement - Procurement Improvement Plan - Development of controls for Health and Social Care integration 	Managed By	Angela Wilson	
		Assigned To	Gillian McNeilly; Stephen West	
Risk	- Annual exercise to identify efficiencies			


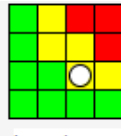
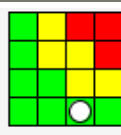
Opportunity	<ul style="list-style-type: none"> - Major projects within the revenue benefits programme (e.g. sales, fees and charges; travel; overtime; training) - Enhance the reputation of the Council as an organisation which manages its finances soundly - Rationalisation of office accommodation 			
Progress of Linked Actions	AIP-110 Review and update the Council's long-term finance strategy and report to Elected Members		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/FAR/02 Continue to deliver a robust and responsive financial management process through accurate BCR and financial reports to CMT, Committee, Council and Board in line with monthly due dates.		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/FAR/03 Deliver a robust and responsive financial management process		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/FAR/04 Continue to improve and deliver the financial statements are prepared on time - WDC/ VJB/ WDLT/Trusts		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/FAR/10 Review ways of increasing council tax collection through process review and benchmarking		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/FAR/11 Improve Housing rent collection rates to meet performance indicator		<input type="text" value="0%"/>	Corporate Services






	SR106 Council estate and facilities are not fit for purpose	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council's assets and facilities are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective services. Included in this assessment is Council's property portfolio, housing stock, roads and lighting, fleet and open space		6	07-Apr-2014
Potential Effect	<ul style="list-style-type: none"> - Assets are not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users - Service users seek alternative service provision, either locally or by moving to another Council area - Roads network in poor condition 		4	31-Mar-2017
Measures of Impact	<ul style="list-style-type: none"> - Condition surveys - Suitability surveys - Road Condition SPI - Customer perceptions of service delivery - Investment levels in upkeep and improvement of asset base and facilities - Staff satisfaction - Operating costs and savings 	Latest Note We are now in year 1 of the 10 year capital plan and projects have been identified which will begin to address fit for purpose criteria. We are also in year 3 of 3 in delivering condition surveys which will also inform project priorities going forward. The 3 year HRA Capital Investment programme will also add significantly to the shift towards improved, fit for purpose assets. The target for 2013/14 was 75% of Housing Stock compliant with SHQS. The outturn figure was in fact 80%. To optimise impact on both General services and HRA Capital spend revised planning & performance management arrangements have been introduced. Additional capacity to support delivery has been provided for with capital sums determined. In relation to the planned acquisition of Clydebank Rebuilt assets, a plan for how these assets will be integrated into our Estate Management team is being developed.		
Risk Factors	<ul style="list-style-type: none"> - Adequacy of funding available to improve asset base - Adequacy of staff resources allocate to the area of asset management - Council buildings deemed to be unfit for existing purpose - Meeting SHQS by 2015 and maintaining standard in future years - Economic downturn may reduce level of potential capital receipts from surplus property sales - Increased public liability claims due to poor condition of roads network - Planned acquisition of Clydebank rebuilt assets could affect overall estate management performance 			
Internal Controls	<ul style="list-style-type: none"> - Corporate Asset Management Strategy - Schools Estate Strategy - Existence of Asset Management Group with meetings held on a regular basis - Asset management plan - (HRA) Asset Management Group/Plan - Capital plan - Roads and Lighting Asset Implementation Plan - Fleet Asset Implementation - Open Space Asset Implementation Plan 	Managed By	Richard Cairns	
		Assigned To	Ronnie Dinnie; Jim McAloon; Helen Turley	


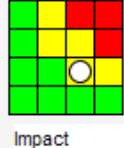
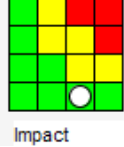










	<ul style="list-style-type: none"> - Detailed asset database that shows relevant information on a property by property basis - Sustainability Policy - Housing Performance Improvement Board - Housing Improvement Plan - Housing Estate Management Strategy 			
Risk Opportunity	<ul style="list-style-type: none"> - Enhance reputation of Council by being able to improve Council estate and service delivery (e.g. new school buildings, Garshake replacement and meeting SHQS)) - Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities - Secure external funding for development of assets (e.g. EC, lottery) - Potential acquisition of Clydebank Rebuilt assets could improve income generation. -The implementation of the energy efficient street lighting project will both improve the asset and reduce costs significantly through reduced maintenance, energy consumption and carbon output. 			
Progress of Linked Actions	H/2014/CAM/01 Continue to deliver the condition survey programme for operational buildings in order to prioritise Building upgrades/Renewal.		<div><div>66%</div></div>	Housing, Environmental and Economic Development
	H/2014/CAM/03 Implement year 2 of the Energy Strategy for WDC		<div><div>0%</div></div>	Housing, Environmental and Economic Development
	H/2014/CAM/04 Continue to reduce the Council's Carbon footprint and produce an annual Carbon Reduction Commitment Briefing		<div><div>0%</div></div>	Housing, Environmental and Economic Development
	H/2014/CAM/09 Prioritise and implement a new schools Estate Rationalisation Strategy in partnership with Educational Services		<div><div>0%</div></div>	Housing, Environmental and Economic Development
	H/2014/CAM/10 Year 1 Implementation of the Councils operational capital projects contained within 10 year Capital Plan		<div><div>0%</div></div>	Housing, Environmental and Economic Development
	H/2014/HS/01 Meet the Scottish Housing Quality Standard by 2015		<div><div>75%</div></div>	Housing, Environmental and Economic Development
	H/2014/HS/02 Implement HRA Capital Programme 2014/15		<div><div>42%</div></div>	Housing, Environmental and Economic Development
	H/2014/HS/03 Refresh Housing Asset management plan to identify key risk stock and take appropriate action		<div><div>28%</div></div>	Housing, Environmental and Economic Development
	H/2014/HS/04 Develop and introduce 2015/2020 HRA Capital Plan		<div><div>25%</div></div>	Housing, Environmental and Economic Development
	H/2014/HS/05 Deliver the Scottish Social Housing Charter outcomes		<div><div>50%</div></div>	Housing, Environmental and Economic Development
	H/2014/RT/01 Implement and Continually review Roads Asset Management Plan		<div><div>0%</div></div>	Housing, Environmental and Economic Development

	SR107 Failure to develop or implement innovative use of Information Technology	Current Risk Matrix	Current Rating	Last Review Date
Description	The risk is that the Council's Information Technology is not sufficiently modernised / brought up to date to enable the delivery of sustainable ICT services to support and enhance the delivery of front line services to the community.	<div>Likelihood</div>  <div>Impact</div>	6	14-May-2014
		<div>Target Risk Matrix</div>		
Potential Effect	A lack of consistent, sufficiently robust planning in respect of ICT arrangements is likely to result in the Council being ill prepared to meet future demands in key service areas and lacking the capacity to respond effectively to changing need.	<div>Likelihood</div>  <div>Impact</div>	4	31-Mar-2017
Measures of Impact	<ul style="list-style-type: none">- Extent of wireless connections in the Council network- Number of ICT Help Desk calls resolved at the first point of contact- Percentage of users of the Council's Contact Centre who are satisfied or very satisfied with the services delivered by the Contact Centre- Extent of functionality development in key Council systems (i.e. lack of development beyond base system leading to ineffective management information)- Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers- Provide efficient desktop services to meet changing workforce flexibility and property rationalisation requirements- Implementation of mobile and flexible working, enabling a downsizing of required office accommodation through enabling people to work more efficiently and to adopt a more flexible policy towards office accommodation and desk provision- Broadband speed in the Council area	Latest Note	May 14. Implementation phase of ICT Modernisation £4M investment has started and the following technical upgrades are expected to be delivered by October 14: 106 locations will have bandwidth increased.; approximately 40 locations will have local IT network and telephony upgraded and all schools will have wireless installed. A further stage to deliver desktop services differently will start from September 14 with target completion of June 15.	
Risk Factors	<ul style="list-style-type: none">- Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised- Poor project and programme change management arrangements- Poor quality of mobile communication provision			
Internal Controls	<ul style="list-style-type: none">- Information & Communication Technology (ICT) Policy- Governance structures to support integrated planning and decision making in relation to ICT- Use of both internal IT resources from across the Council and skilled specialist advisers in key areas- Fit for purpose data centre (with remote back up site)	Managed By	Angela Wilson	
		Assigned To	Patricia Kerr	
Risk Opportunity	<ul style="list-style-type: none">- Provide 21st century state of the art technology for employees and service users- Rationalise IT systems- Use of innovative IT linked service delivery models to effect change- Provide Council employees with secure access to email and supporting systems at times and locations of choice- Provide self service style systems to employees and the local community- Increase the use of electronic document storage and workflow across the Council			
Progress of Linked Actions	CS/1314/PAT/015 Establish a shared ICT Data Centre with East Dunbartonshire Council		<input type="text" value="0%"/>	
	CS/14-15/PAT/01 Implement ICT modernisation project		<input type="text" value="0%"/>	
	CS/14-15/PAT/04 Deliver IT technical input to support departmental change projects		<input type="text" value="0%"/>	Corporate Services
	CS/EAAP/113 13. Information Communication Technology - Use of unsupported and older software		<div><div>100%</div></div>	Corporate Services






	SR108 Lack of strategy / plans / vision to ensure a committed and dynamic workforce	Current Risk Matrix	Current Rating	Last Review Date
Description	There is a risk that the Council fails to develop and implement a flexible, strategic structured approach to workforce and capacity planning	 Likelihood Impact	6	01-May-2014
Potential Effect	<ul style="list-style-type: none"> - Low staff morale - Inability to deliver services effectively - Reduced level of service - Lack of improvement or increase in staff absences - Council underachieves as an organisation (tick box Council) - Employee conflict 	 Likelihood Impact	4	31-Mar-2017
Measures of Impact	<ul style="list-style-type: none"> - Statistics on staff development - Absence rate - Staff turnover - Grievance and discipline statistics - Staff survey statistics - Reports from external scrutiny bodies and award bodies 	Latest Note		
Risk Factors	<ul style="list-style-type: none"> - Lack of appropriate staff development / skills may be lacking to support new model of service delivery - Lack of capability to deliver - Workforce unable to adapt to change 			
Internal Controls	<ul style="list-style-type: none"> - HR processes designed to meet service delivery needs - Develop new structures to reflect strategic priorities - Align workforce plan to the Council's strategic planning processes (i.e. have the right people available at the right time with the right skills to fulfil properly all of the Council's strategic priorities) - Succession planning - Identify training programmes to reskill staff as identified by training needs analysis - Flexible HR policies, in particular recruitment & selection, learning & development (including elearning), continuous improvement / development flexible working, attendance management, employee wellbeing related policies - Effective use of Occupational Health Service - Robust PDP process - Effective leadership and management behaviours and practice - Maintain the Council's Healthy Working Lives Gold Award 	Managed By	Angela Wilson	
Risk Opportunity	<ul style="list-style-type: none"> - Identify previously unknown skills and talents in the workforce - Realise the potential of staff 	Assigned To	Vicki Rogers	
Progress of Linked Actions	CS/14-15/COMS/04 Lead a communications campaign to support the Attendance Management strategy and reduce absence levels		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/COMS/05 Produce 3 issues of Talk magazine and increase satisfaction levels with the publication amongst staff		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/COMS/06 Lead the Be The Best internal change model to assist employees to feel engaged and valued		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/PAT/09 Implement planned and consistent approach to leadership development		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/PAT/10 Analyse and evaluate current learning and development provision through training review project		<input type="text" value="0%"/>	Corporate Services
	CS/14-15/PAT/11 Lead delivery of the Employee Survey improvement plan and measure impact		<input type="text" value="25%"/>	Corporate Services

	SR109 Failure to embrace opportunities which can be derived from constructive partnership working and joined-up service delivery		Current Risk Matrix	Current Rating	Last Review Date
Description	The Council fails to engage adequately with partnership bodies		6	14-Apr-2014	
		Target Risk Matrix			Target Rating
Potential Effect	<ul style="list-style-type: none">- Use of public sector resources not optimised in local area- Council has financial exposure if a partnership relationship fails		3	31-Mar-2017	
Measures of Impact	<ul style="list-style-type: none">- No of shared service arrangements made by the Council- Partnership arrangements go off on tangents not related to the original purpose	Latest Note The CMT, Strategic Leadership Group (SLG) and Senior Manager Network (SMN) are actively seeking opportunities for partnership working through strategic arrangements of Community Planning in West Dunbartonshire. Implementation of the new guidance for joint resourcing requires an approach to partnership activity with renewed focus and explore options in new and more dynamic ways. This framework (through the SOA) also offers opportunities for exploring wider opportunities with other public, private and third sector organisations as they arise. The review and refocus of the Community Planning Partnership in 2013 has given more of a strategic context to partnership activity in the area and has strengthened governance and accountability arrangements.			
Risk Factors	<ul style="list-style-type: none">- Reduction in control through partnership arrangements- Council's reputation is adversely affected through a failed partnership arrangement				
Internal Controls	<ul style="list-style-type: none">- Ensure that partnership opportunities are considered as an option across all Council services- Robust partnership arrangements (e.g. legal documents, service level agreements)- Align the Council's strategic plan with the Single Outcome Agreement (SOA)- Ensure that partners have signed up to deliver on the outcomes and targets set in the SOA- Develop data sharing protocols with partner agencies- Participate in shared service agenda where it is evidently of benefit to the Council- Participate in Police and reform agenda as it impacts on Council area- Develop code of practice for partnerships which would assist in ensuring consistency across the Council- Develop specific partnership risk register	Managed By		Angela Wilson	
		Assigned To		Amanda Coulthard	
Risk	<ul style="list-style-type: none">- Position West Dunbartonshire as a modernising Council				

Opportunity	- Police and Fire Reform - Shared Services options			
Progress of Linked Actions	CS/12-17/CP/004 lead the development of new framework for Community Engagement across Council and CPP		<div><div>100%</div></div>	Corporate Services
	CS/12-17/CP/011c Promote joint working with partner organisations and shared approaches to meeting legal duties		<div><div>100%</div></div>	Corporate Services
	CS/14-15/CCS/07 Improve partnership working with and capacity of community groups		<div><div>0%</div></div>	Corporate Services
	CS/14-15/CCS/17 Develop and strengthen the new model for community planning to meet national requirements		<div><div>0%</div></div>	Corporate Services
	CS/14-15/CCS/18 Review and implement a new framework for community engagement and empowerment which strengthens the voice of our communities		<div><div>0%</div></div>	Corporate Services

	SR110 Failure to ensure positive dialogue with local citizens and communities	Current Risk Matrix	Current Rating	Last Review Date
Description	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents		6	14-Apr-2014
Potential Effect	- Tensions develop with individuals and local community groups		3	31-Mar-2017
Measures of Impact	- Responsiveness to communities PI measures	Latest Note The new framework for community engagement has a focus on involving and engaging with community residents and local citizens in a variety of ways. The strong citizens panel approach will continue to be developed along with a move to more online and telephone based approaches. The success of the budget consultation will be built on for future consultation and engagement exercises and we will continue to share best practice and learn from local partners - joining up our approaches wherever possible. The role out of the neighbourhood management approach will also see us engage with local residents in their own communities in a style not previously used for engagement in this area.		
Risk Factors	Lack of appropriate staff development / skills may be lacking to support new model of service delivery inequity of engagement across the partnership on key local issues council seen as unresponsive to community if feedback from engagement not acted upon apathy within communities leads to little or no engagement some community groups feel their voices are not being heard - Council's reputation is adversely affected through a failed partnership arrangement			
Internal Controls	- Develop mechanisms for public feedback - Develop robust methods for identifying community priorities - Annual budget consultation events - Citizens Panel - Community Council arrangements - Open Forum questions at Council meetings	Managed By	Angela Wilson	
		Assigned To	Amanda Coulthard	
Risk Opportunity	- Community Empowerment and Renewal Bill - Council seen as being open, honest and transparent with the local community			
Progress of Linked Actions	CS/12-17/CP/004 lead the development of new framework for Community Engagement across Council and CPP			Corporate Services
	CS/14-15/CCS/07 Improve partnership working with and capacity of community groups			Corporate Services
	CS/14-15/CCS/17 Develop and strengthen the new model for community planning to meet national requirements			Corporate Services
	CS/14-15/CCS/18 Review and implement a new framework for community engagement and empowerment which strengthens the voice of our communities			Corporate Services
	CS/14-15/CCS/19 Lead the telephone satisfaction survey project			Corporate

	and use the data it generates to assist continuous improvement within the Council.			Services
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Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown