
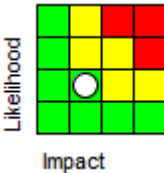
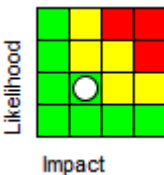

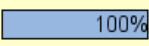

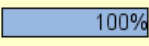

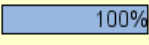

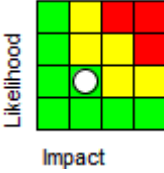
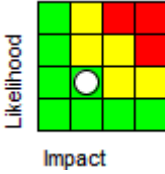


Appendix 4 Corporate Services Department Strategic Risk Report 2010 - 2014

Generated on: 19 November 2010

Corporate Services

	SR006 Failure to implement Single Status & Job Evaluation	Current Risk Matrix	Current Rating	Last Review Date
Description	The job evaluation process could result in the less goodwill of staff, low moral and a flood of appeals, staff leaving. Resources may need to be diverted to defend position at ITs. There is also the possibility of industrial action.	 Likelihood Impact	4	31 Dec 2010
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	Has the potential to cause major disruption to services through strike action.	 Likelihood Impact	4	31 Mar 2010
Internal Controls	The council is in the process of implementing the Local Government (Red Book) Job Evaluation Scheme, which has jointly been designed by employees and trade unions. Guidance has been sought from external consultants who have expertise in job evaluation and equal pay. Employees and trade unions are fully engaged in the process. A consultant has been engaged to oversee the process and to ensure a consistent approach to evaluating different posts and to advise the authority generally on implementing the scheme. Employees who are down graded are entitled to receive protected salary rights for a period of three years. A robust appeals process has been put in place that include trade union membership. Minutes of the steering group are posted on the Intranet.			
Linked Actions	To develop and implement Pay Modernisation strategies			Corporate Services
	To implement and manage the Job Evaluation Appeals process			Corporate Services
	To coordinate the development of strategies to mitigate detriment within the Council			Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Tricia O'Neill	

	SR011 Failure of Capital Receipts	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure of capital receipts materialising.	 Likelihood Impact	4	31 Dec 2010
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	Impacting on the Council's Financial Strategy and possible reduction in service provision. Reduction in capital expenditure. Could result in more borrowing and less spending.	 Likelihood Impact	4	01 Feb 2010

Internal Controls	Currently developing a 10 year financial strategy and a more robust model that will eliminate the need to forecast estimates. External consultants are being engaged to undertake a survey of the council's property portfolio. Regular reporting to CMT. Asset disposal group established and a new financial committee in place.			
Linked Actions	Capital working group updates			Corporate Services
	Capital disposal group			Corporate Services
	Capital programme report to Council			Corporate Services
	Early identification of possible financial issues to enable action to be taken.			Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell	

	SR008 Failing to recruit essential staff	Current Risk Matrix	Current Rating	Last Review Date
Description	Difficulties in delivering essential services due to staff shortages. Inappropriate recruitment of staff leading to poor service delivery / increased risk to clients. Perception of work as unattractive / stressful / threatening. National shortage of qualified staff. Pay and conditions poor in relation to other local authorities. Perceived lack of support for staff. High turnover of staff. Staff uncertainty due to pay and Job evaluation and conditions review.	 Likelihood	6	02 Oct 2009
Potential Effect	Has the potential to result in reduced level of service. Possible increase in staff absence due to increased workloads.	 Likelihood	4	31 Mar 2010
Internal Controls	Rigorous pre-employment checks on potential employees including Disclosure Scotland. Complaints and whistleblowing policy within council. Use of national press and professional publications to advertise posts. Pay and conditions packages for staff to be comparable with other authorities. Ongoing professional development of current staff. Access to training and qualifications for unqualified staff. Undertake PDP with staff and implement findings. Evaluate exit questionnaires and address issues raised. Improved absence management includes supporting staff and early intervention to assist in return early to work.			
	Implement the Core Brief			Chief Executive's Department; Corporate Communications & Marketing
	Complete recruitment of key posts identified in Brodies report			Corporate Services
	Develop Wellbeing and Attendance strategy and action plan			Corporate Services
	Implement Absence module within Frontier HR system and develop framework for absence reporting for managers			Corporate Services
	Continue the development of the Occupational Health Service to enable the provision of proactive activity in the areas of health promotion/HWL/policy development and wellbeing initiatives.			Corporate Services
	Develop management skill in attendance management within pre-employment practice: absence management - short and long term: rehabilitation: reasonable adjustment: wellbeing			Corporate Services
	Develop 2-year rolling programme of HR policy review and development with associated action plan			Corporate Services
	Manage and co-ordinate the annual phased implementation of HR policy			Corporate Services

Linked Actions	Rewrite key HR policies in line with new legislation and HR modernisation practice ie Discipline; Grievance; Performance Improvement: Flexible Retirement: Discretions:		<input type="text" value="100%"/>	Corporate Services
	Develop a range of measures to support female employees and support employment opportunities within West Dunbartonshire Council		<input type="text" value="100%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Tricia O'Neill	

	SR009 Failure to maintain sound finances	Current Risk Matrix	Current Rating	Last Review Date
Description	The council fails to maintain sound finances through either its budgetary preparation and management processes or maintaining adequate reserves.		8	16 Sep 2009
Potential Effect	Shortfall in finances available to carryout services.		2	01 Feb 2010
Internal Controls	The risk is managed through defined processes which accounting services play a lead role in dealing with all aspects of budget preparation, management and involving the CMT and elected members.			
	Continue to improve revenue & benefits/contact centre enquiry resolution		<input type="text" value="0%"/>	Corporate Services
	Develop approach to 3 year budgeting		<input type="text" value="100%"/>	Corporate Services
	Introduce 12-month council tax payment scheme (IC/5)		<input type="text" value="100%"/>	Corporate Services
	Develop 2-year financial plan, incorporate into rolling 10-year financial strategy (IC/6)		<input type="text" value="100%"/>	Corporate Services
	Undertake a review of the need for a new finance review framework (IC/7)		<input type="text" value="100%"/>	Corporate Services
	Review all current debt profiles (IC/8)		<input type="text" value="100%"/>	Corporate Services
	Review use of long-term cash-flows to reduce or repay borrowings (IC/9)		<input type="text" value="100%"/>	Corporate Services
	Review financial aspects of how an infrastructure hub could be established and operate with partners (IC/10a)		<input type="text" value="100%"/>	Housing, Environmental and Economic Development ; 03b HEED Departmental Administration
	Improve revenue & benefits/contact centre enquiry resolution		<input type="text" value="100%"/>	Corporate Services
	Obtain Committee approval for Corporate Debt Policy		<input type="text" value="100%"/>	Corporate Services
	Develop & deliver Members and Senior Officers training programme on strategic financial issues		<input type="text" value="100%"/>	Corporate Services
	Review budget process		<input type="text" value="0%"/>	Corporate Services

Linked Actions	Complete review of income maximisation project		<input type="text" value="50%"/>	Corporate Services
	Develop framework to assist in the setting, measuring and realisation of efficiency targets into the budget process		<input type="text" value="0%"/>	Corporate Services
	Develop financial planning process through new commissioning strategies		<input type="text" value="0%"/>	Corporate Services
	Further develop linkages between budget planning, service planning and workforce planning		<input type="text" value="0%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell	











Corporate Services Department Risk 2010 – 2014



	CS004/10-14 Failure to ensure people are managed and developed appropriately through good management practice.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to have in place good people management and development practices underpinned by appropriate robust employment policies and procedures which meet legislative requirements and which support a positive and productive employee working environment.	 Likelihood Impact	3	04 Mar 2010
Potential Effect	An organisational culture within WDC that lacks the necessary effective people management competences which are central to the delivery of high performing services.	 Likelihood Impact		
Internal Controls	Ensure people are managed and developed within a framework of good employment practice which supports high performance by:			
	Redesign, develop and re-launch Intranet as a West Dunbartonshire portal with information for staff and partners		<input type="text" value="54%"/>	Corporate Services
	Identify all relevant aspects of employment law and incorporate into policy, procedure and practice.		<input type="text" value="50%"/>	Corporate Services
	Develop a range of HR&OD Performance Indicators to support policy, procedure and practice		<input type="text" value="25%"/>	Corporate Services
	Align Human Resources activity with the employment action plan of the WDC Equality Scheme 2009-12		<input type="text" value="60%"/>	Corporate Services
	Develop a range of communications tools		<input type="text" value="25%"/>	Corporate Services
	Commence the implementation of the new model of HR and OD service delivery to provide HR Business Partnering, Centres of HR and OD expertise, Pay Provision and an HR Contact Centre operation in support of high quality service provision		<input type="text" value="20%"/>	Corporate Services
	Develop supporting processes to further continue the integration of Workforce Planning within the Council.		<input type="text" value="25%"/>	Corporate Services
	Develop a revised approach to training, coaching, and delivery of support measures to assist managers in the effective management of absence, using appropriate resources and interventions.		<input type="text" value="33%"/>	Corporate Services

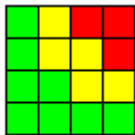












Linked Actions	Introduce a programme of interventions aimed at improving employee health and wellbeing.		<input type="text" value="33%"/>	Corporate Services
	Establish a corporate behaviour and values framework for all managers and staff		<input type="text" value="40%"/>	Corporate Services
	Implement revised performance and personal development framework		<input type="text" value="20%"/>	Corporate Services
	Identify leadership skills and behaviours and associated development programme to support strategic leadership and culture change.		<input type="text" value="80%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell; Andrew Fraser; Tricia O'Neill	


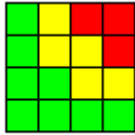
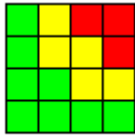

	CS001/10-14 Failure to provide financial stewardship.	Current Risk Matrix	Current Rating	Last Review Date
Description		Likelihood Impact		04 Mar 2010
Potential Effect		Likelihood Impact		
Internal Controls				
Linked Actions	05. Council agrees that the CMT in conjunction with the Strategic Finance working group develops a revised reserves policy, taking account of requisitions and other circumstances.		<input type="text" value="100%"/>	Corporate Services
	06. Council agrees that the CMT should investigate and conduct an options appraisal examining the transfer of staff who have a responsibility for departmental financial control and monitoring being transferred to the Corporate Services Department		<input type="text" value="42%"/>	Corporate Services
	08. Council agrees that preparations for the 2011/12 budget and through to 2015 will adopt zero based budget pilots as part of our long term financial planning strategy.		<input type="text" value="50%"/>	Chief Executive's Department
	09. Council agrees that budget preparations will begin in February with briefings to the SMT's and that appropriate training continues to be rolled out to all budget holders as part of the organisational development work plan		<input type="text" value="100%"/>	Corporate Services
	Review Long Term Financial Strategy 2010-14 in accordance with the agreed framework		<input type="text" value="100%"/>	Corporate Services
	Report Phase 1 programme (2009/10) of competitiveness reviews of selected services and implement agreed actions		<input type="text" value="50%"/>	03b HEED Departmental Administration
	Develop Phase 2 programme (2010/11) of competitiveness reviews of selected services		<input type="text" value="0%"/>	03b HEED Departmental Administration
	Establish sound internal and external review processes and ensure robust governance and stewardship of the ICT Service		<input type="text" value="23%"/>	Corporate Services
	Review transaction and monthly card limits annually		<input type="text" value="100%"/>	Corporate Services
	Update Corporate Procurement Strategy		<input type="text" value="0%"/>	Corporate Services


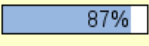

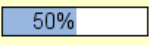

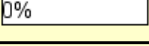

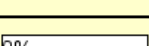

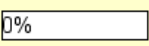

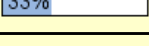

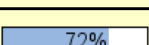

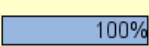

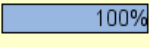

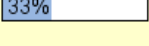

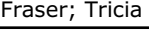


Ownership Managed By	Joyce White	Ownership Assigned To	David Connell
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
	CS002/10-14 Failure to meet our long term financial plans.	Current Risk Matrix	Current Rating	Last Review Date
Description		 Likelihood Impact		04 Mar 2010
		Target Risk Matrix	Target Rating	Target Date
Potential Effect		 Likelihood Impact		
Internal Controls				
Linked Actions	05. Council agrees that the CMT in conjunction with the Strategic Finance working group develops a revised reserves policy, taking account of requisitions and other circumstances.		<input type="text" value="100%"/>	Corporate Services
	06. Council agrees that the CMT should investigate and conduct an options appraisal examining the transfer of staff who have a responsibility for departmental financial control and monitoring being transferred to the Corporate Services Department		<input type="text" value="42%"/>	Corporate Services
	08. Council agrees that preparations for the 2011/12 budget and through to 2015 will adopt zero based budget pilots as part of our long term financial planning strategy.		<input type="text" value="50%"/>	Chief Executive's Department
	Review Long Term Financial Strategy 2010-14 in accordance with the agreed framework		<input type="text" value="100%"/>	Corporate Services
	Continue to develop the 10 year Financial Strategy		<input type="text" value="66%"/>	Chief Executive's Department; Corporate Services
	Report Phase 1 programme (2009/10) of competitiveness reviews of selected services and implement agreed actions		<input type="text" value="50%"/>	03b HEED Departmental Administration
	Develop Phase 2 programme (2010/11) of competitiveness reviews of selected services		<input type="text" value="0%"/>	03b HEED Departmental Administration
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell	

	CS003/10-14 Failure to modernise systems and technologies.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to modernise by not taking advantage of the latest technological advancements in hardware, software and services. Failure to do this may result in less than optimum use of existing resources, lack of integration between systems, increased security risk, reduced interoperability between systems and increased revenue costs of systems.	 Likelihood Impact		04 Mar 2010
		Target Risk Matrix	Target Rating	Target Date

Potential Effect				
		Likelihood		
		Impact		
Internal Controls				
Linked Actions	12. Council agrees in principle to develop a first point service centre for call handling		<input type="text" value="33%"/>	Corporate Services
	13. Council agrees that a further report detailing infrastructure and logistical issues is brought to the Corporate and Efficient Governance Committee by September 2010		<input type="text" value="87%"/>	Corporate Services
	Redesign, develop and re-launch Intranet as a West Dunbartonshire portal with information for staff and partners		<input type="text" value="54%"/>	Corporate Services
	Deliver improved customer experiences and corporate efficiencies through the implementation of Customer First priorities and Community Engagement strategies		<input type="text" value="50%"/>	Corporate Services
	Modernise ICT service to deliver efficiencies, remove duplication and streamline IT processes and systems		<input type="text" value="12%"/>	Corporate Services
	Establish sound internal and external review processes and ensure robust governance and stewardship of the ICT Service		<input type="text" value="23%"/>	Corporate Services
	Centralise WDC ICT Services		<input type="text" value="46%"/>	Corporate Services
	Implement remote working technologies		<input type="text" value="50%"/>	Corporate Services
	Continue to Implement ITIL Change management procedures		<input type="text" value="81%"/>	Corporate Services
	Continue to Implement ITIL Configuration management procedures		<input type="text" value="0%"/>	Corporate Services
	Develop supporting processes to further continue the integration of Workforce Planning within the Council.		<input type="text" value="25%"/>	Corporate Services
	Produce a business case for the further development of on-line forms for all EH service requests in line with the Customer First programme.		<input type="text" value="33%"/>	Corporate Services
	Ownership Managed By	Joyce White	Ownership Assigned To	David Connell

	CS005/10-14 Failure to deliver appropriate levels of customer satisfaction.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to deliver appropriate level to satisfaction to customers resulting in dissatisfied customers and reduced confidence in the Services provided. This may result in reduced productivity of the workforce, reduced availability of systems, increased productivity costs within the authority and reputation damage of the authority.			04 Mar 2010
		Likelihood		
Potential Effect				
		Likelihood		
Internal Controls				
	12. Council agrees in principle to develop a first point service centre for call handling		<input type="text" value="33%"/>	Corporate Services

Linked Actions	13. Council agrees that a further report detailing infrastructure and logistical issues is brought to the Corporate and Efficient Governance Committee by September 2010			Corporate Services
	Deliver improved customer experiences and corporate efficiencies through the implementation of Customer First priorities and Community Engagement strategies			Corporate Services
	Continue to improve revenue & benefits/contact centre enquiry resolution			Corporate Services
	Continue to improve revenues and benefits information on website			Corporate Services
	Continue to improve council tax and benefits processing			Corporate Services
	Continue to establish the Contact Centre as the first point-of-contact for all incoming customer calls and enquiries			Corporate Services
	Provide information, advice and assistance to consumers about consumer protection matters.			Corporate Services
	Provide information, advice and assistance to businesses about consumer protection matters.			Corporate Services
	Visit 40 retailers each year to provide advice designed to help businesses to comply with the law on underage sales.			Corporate Services
	Implement the Scottish Food Hygiene Information Scheme within local food businesses to enable consumers to make an informed choice of where they choose to eat locally.			Corporate Services
	Pursue licensing and e-payment in line with services directive and the Customer First programme.			Corporate Services
	Produce a business case for the further development of on-line forms for all EH service requests in line with the Customer First programme.			Corporate Services
	Ownership Managed By	Joyce White	Ownership Assigned To	David Connell; Andrew Fraser; Tricia O'Neill

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown