
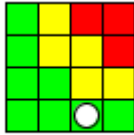
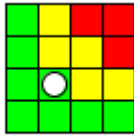
















Corporate Services Department Risk Report 09 - 13

Report Type: Risks Report
Generated on: 03 December 2009

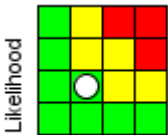
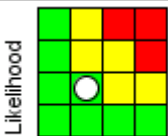



















Corporate Services

	CS004/9-13 Failure to support the infrastructure services	Current Risk Matrix	Current Rating	Last Review Date
Description		Likelihood  Impact	3	20 May 2009
Potential Effect		Target Risk Matrix Likelihood  Impact	4	30 Sep 2009
Internal Controls				
	Establish the Contact Centre as the first point-of-contact for all incoming customer calls and enquiries		<input type="text" value="55%"/>	Corporate Services
	Develop business focused ICT strategy		<input type="text" value="37%"/>	Corporate Services
	Modernise Departmental internal business processes by implementing new systems and technologies		<input type="text" value="60%"/>	Corporate Services
	Deliver WDC Customer First Work Programme		<input type="text" value="31%"/>	Corporate Services
	Develop leadership and management development strategy		<input type="text" value="0%"/>	Corporate Services
	Develop corporate workforce plan for the Council incorporating departmental workforce planning requirements		<input type="text" value="0%"/>	Corporate Services
	To develop and implement Pay Modernisation strategies		<input type="text" value="0%"/>	Corporate Services
	To implement and manage the Job Evaluation Appeals process		<input type="text" value="85%"/>	Corporate Services
	Help to ensure a seamless transition of the District Courts to Scottish Court Services in 2009		<input type="text" value="33%"/>	Corporate Services
	Maximise responsive support to Elected Members in strategic decision making		<input type="text" value="50%"/>	Corporate Services
	Review and contribute to improvements in WDC's corporate governance		<input type="text" value="85%"/>	Corporate Services
	Fully embed risk management into the culture of WDC		<input type="text" value="100%"/>	Corporate Services
	Continue to provide a high level of comprehensive legal services having regard to council priorities and new legislation		<input type="text" value="0%"/>	Corporate Services
	Plan, organise, administer and run successful elections		<input type="text" value="60%"/>	Corporate Services

Linked Actions	Provide information, advice and assistance to businesses		<input type="text" value="0%"/>	Corporate Services
	Provide information, advice and assistance to consumers		<input type="text" value="66%"/>	Corporate Services
	Improve the efficiency and effectiveness of Registration Services in dealing with new and enhanced service provision		<input type="text" value="100%"/>	Corporate Services
	Demonstrate/improve competitiveness		<input type="text" value="0%"/>	Corporate Services
	Explore greater integration with our WDC contact centre		<input type="text" value="100%"/>	Corporate Services
	Review, consolidate and modernise support systems		<input type="text" value="20%"/>	Corporate Services
	Develop a Business Continuity Plan.		<input type="text" value="28%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell	


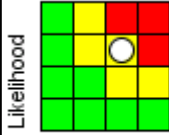
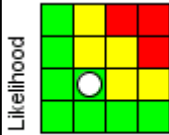

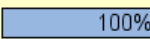

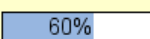

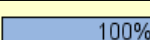







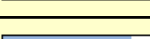

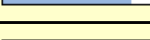



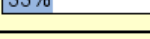

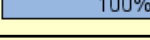

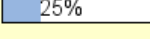

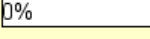

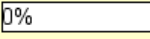

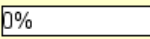

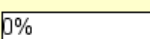

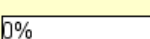

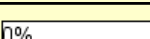

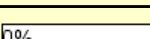
	CS009/9-13 Failure to deliver election correctly	Current Risk Matrix	Current Rating	Last Review Date
Description			3	14 May 2009
Potential Effect	Reputational Risk to the Chief Executive and Council and Election Team		4	30 Sep 2009
Internal Controls	<ul style="list-style-type: none"> · Sound management control and review mechanisms · Ensure adequate insurance cover · Legal support · Effective training of all staff Clear audit trail of election activities, including evidence of a project management approach and structured risk management process 			
Linked Actions	Book Count Accommodation		<input type="text" value="100%"/>	Corporate Services
	Operational Arrangements for Premises		<input type="text" value="100%"/>	Corporate Services
	Prepare and implement systems for successful administration of European Parliamentary elections in June 2009.		<input type="text" value="100%"/>	Corporate Services
	Plan, organise, administer and run successful elections		<input type="text" value="60%"/>	Corporate Services
	Prepare and implement systems for successful administration of European Parliamentary elections in June 2009.		<input type="text" value="100%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Anne Laird	

	CS003/9-13 Employment Framework	Current Risk Matrix	Current Rating	Last Review Date
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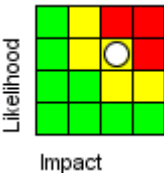
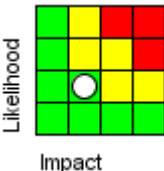

Description	Failure to have in place employment policies and procedures which meet legislative requirements and underpin a positive employee working environment.		4	22 Oct 2009
		Impact		
Potential Effect			4	31 Mar 2010
Internal Controls				
	Implement a leadership development programme		<input type="text" value="25%"/>	Corporate Services
	Implement wider roll-out of management development		<input type="text" value="85%"/>	Corporate Services
	Develop leadership and management development strategy		<input type="text" value="0%"/>	Corporate Services
	Implement strategic leadership action plan		<input type="text" value="0%"/>	Corporate Services
	Implement an organisational learning and development strategy		<input type="text" value="0%"/>	Corporate Services
	Develop and implement a framework for managing individual performance and personal development planning		<input type="text" value="0%"/>	Corporate Services
	Implement a pilot workforce planning project for SW and H		<input type="text" value="100%"/>	Corporate Services
	Develop model workforce plan and facilitate workforce planning processes within other 3 departments		<input type="text" value="90%"/>	Corporate Services
	Develop corporate workforce plan for the Council incorporating departmental workforce planning requirements		<input type="text" value="0%"/>	Corporate Services
	Commence Phase 1 of a 2-year project to review, update and modernise recruitment, selection and assessment practices to enable better, safer and more robust recruitment.		<input type="text" value="25%"/>	Corporate Services
	Continue further development of national recruitment portal to align with HR system and modernised recruitment practice.		<input type="text" value="33%"/>	Corporate Services
	Develop Wellbeing and Attendance strategy and action plan		<input type="text" value="100%"/>	Corporate Services
	Review and revise Maximising attendance policy		<input type="text" value="63%"/>	Corporate Services
	Progress year 2 of 3 year Stress Action plan		<input type="text" value="70%"/>	Corporate Services
	Implement Absence module within Frontier HR system and develop framework for absence reporting for managers		<input type="text" value="70%"/>	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.		<input type="text" value="70%"/>	Corporate Services
	Develop management skill in attendance management within pre-employment practice: absence management - short and long term: rehabilitation: reasonable adjustment: wellbeing		<input type="text" value="50%"/>	Corporate Services
	Develop 2-year rolling programme of HR policy review and development with associated action plan		<input type="text" value="100%"/>	Corporate Services
	Manage and co-ordinate the annual phased implementation of HR policy		<input type="text" value="30%"/>	Corporate Services


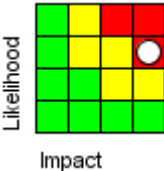
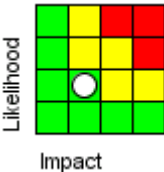







Linked Actions	Rewrite key HR policies in line with new legislation and HR modernisation practice ie Discipline; Grievance; Performance Improvement: Flexible Retirement: Discretions:		<input type="text" value="63%"/>	Corporate Services
	Review HR written communications format for managers re HR policy, procedure and practice.		<input type="text" value="70%"/>	Corporate Services
	Finalise and implement EO policy and supporting guidance		<input type="text" value="10%"/>	Corporate Services
	Develop and implement a programme of EO awareness raising sessions for managers on policy and guidance		<input type="text" value="22%"/>	Corporate Services
	Develop management reporting framework on range of EO indicators in line with capability of new HR system		<input type="text" value="20%"/>	Corporate Services
	Deliver Equalities and Diversity Learning and Development for Employees		<input type="text" value="20%"/>	Corporate Services
	this a free code for 9-13		<input type="text" value="0%"/>	Corporate Services
	Develop and implement a framework of training to support managers' skills in conflict management ie using Grievance and D@W policy and practice; mediation resources; conflict resolution techniques;		<input type="text" value="40%"/>	Corporate Services
	Develop a range of measures to support female employees and support employment opportunities within West Dunbartonshire Council		<input type="text" value="40%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Tricia O'Neill	

	CS008/9-13 Failure to fully embed risk management across the Council will lead to inadequate control of risk	Current Risk Matrix	Current Rating	Last Review Date
Description	Ensure that risk management is embedded throughout the Council at both strategic and operational level		6	28 Apr 2009
		Target Risk Matrix		
Potential Effect	An established culture where risk management is part of the Council's core values and effective management.		4	30 Sep 2009
Internal Controls	Yes, refer to action and milestones			
Linked Actions	Carry out risk and H&S assessments and implement priority actions		<input type="text" value="0%"/>	Corporate Services
	Implement ITIL incident management procedures		<input type="text" value="53%"/>	Corporate Services
	Implement project governance controls including project prioritisation criteria, business case and improve project management procedures and controls		<input type="text" value="55%"/>	Corporate Services
	Embedding risk management throughout the Council.		<input type="text" value="100%"/>	Corporate Services
	Fully embed risk management into the culture of WDC		<input type="text" value="100%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Andrew Fraser	

	CS001/9-13 Failure to provide financial stewardship	Current Risk Matrix	Current Rating	Last Review Date
Description			9	20 May 2009
		Target Risk Matrix		
Potential Effect			4	30 Sep 2009
Internal Controls				
Linked Actions	Introduce 12-month council tax payment scheme (IC/5)			Corporate Services
	Develop 2-year financial plan, incorporate into rolling 10-year financial strategy (IC/6)			Corporate Services
	Undertake a review of the need for a new finance review framework (IC/7)			Corporate Services
	Review all current debt profiles (IC/8)			Corporate Services
	Review use of long-term cash-flows to reduce or repay borrowings (IC/9)			Corporate Services
	Review financial aspects of how an infrastructure hub could be established and operate with partners (IC/10a)			Corporate Services
	Set-up spend-to-save budget for continuous improvement (IC/47,48)			Corporate Services
	Develop local procurement policy (IC/60b)			Corporate Services
	Review and further update the Council's budgetary control process and reporting techniques			Corporate Services
	Develop business plan for Revenues and Benefits Service			Corporate Services
	Develop and Implement benefit overpayment policy			Corporate Services
	Develop benefits take up strategy			Corporate Services
	PCOS Taking over Lacmas			Corporate Services
	Develop & deliver Members and Senior Officers training programme on strategic financial issues			Corporate Services
	Review budget process			Corporate Services
	Complete review of income maximisation project			Corporate Services
	Develop framework to assist in the setting, measuring and realisation of efficiency targets into the budget process			Corporate Services
	Develop financial planning process through new commissioning strategies			Corporate Services
	Further develop linkages between budget planning, service planning and workforce planning			Corporate Services
Ownership	Joyce White	Ownership	David Connell	

Managed By		Assigned To	
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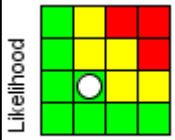



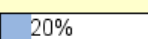

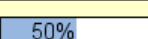

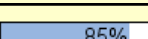

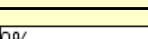

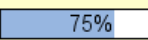
	CS006/9-13 Failure to find dog kennelling means failure to comply with statutory duty	Current Risk Matrix	Current Rating	Last Review Date
Description			9	27 Apr 2009
Potential Effect			4	30 Sep 2009
Internal Controls				
Linked Actions	Acquire new dog kennels		<input type="text" value="100%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Andrew Fraser	






	CS002/9-13 Failure to implement new systems and technologies	Current Risk Matrix	Current Rating	Last Review Date
Description			12	20 May 2009
Potential Effect			4	30 Sep 2009
Internal Controls				
	Establish the Contact Centre as the first point-of-contact for all incoming customer calls and enquiries		<input type="text" value="55%"/>	Corporate Services
	Undertake feasibility study of creating two video-conferencing suites (IC/40)		<input type="text" value="100%"/>	Corporate Services
	Continue project to purchase data archiving facility.		<input type="text" value="87%"/>	Corporate Services
	Implement ITIL best practice process for IT service delivery		<input type="text" value="50%"/>	Corporate Services
	Develop business focused ICT strategy		<input type="text" value="37%"/>	Corporate Services
	GSX Re-authorisation		<input type="text" value="50%"/>	Corporate Services
	Modernise Departmental internal business processes by implementing new systems and technologies		<input type="text" value="60%"/>	Corporate Services

Linked Actions	Deliver WDC Customer First Work Programme		<input type="text" value="31%"/>	Corporate Services
	Implement Frontier Workforce Management system to enable provision of accurate and comprehensive workforce analytics to underpin development of workforce plans		<input type="text" value="50%"/>	Corporate Services
	Continue further development of national recruitment portal to align with HR system and modernised recruitment practice.		<input type="text" value="33%"/>	Corporate Services
	Implement Absence module within Frontier HR system and develop framework for absence reporting for managers		<input type="text" value="70%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	David Connell	

	CS005/9-13 Failure to support fabric of Council buildings	Current Risk Matrix	Current Rating	Last Review Date
Description	Particularly Clydebank Town Hall and Municipal Buildings Dumbarton which could result in closure or disruption to services	 Likelihood Impact	12	27 Apr 2009
Potential Effect	Buildings being closed due to being in a run down condition	 Likelihood Impact	4	30 Sep 2009
Internal Controls				
Linked Actions	Prioritise works and secure budget for the repair and maintenance of council buildings, particularly Clydebank Town Hall and WDC's municipal buildings		<input type="text" value="100%"/>	Corporate Services
	Work in collaboration with HEED to allocate and implement the distribution of WDC's duties and responsibilities re Local private sector housing under the Housing (Scotland) Act 2006		<input type="text" value="50%"/>	Corporate Services
	Help to ensure a seamless transition of the District Courts to Scottish Court Services in 2009		<input type="text" value="33%"/>	Corporate Services
	Review and implement contaminated land strategy		<input type="text" value="66%"/>	Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Andrew Fraser	

	CS007/9-13 Failure to regularly review and update governance structure to adequately train members will impact on the quality and effectiveness of strategic decision making	Current Risk Matrix	Current Rating	Last Review Date
Description		 Likelihood Impact	12	20 May 2009
		Target Risk Matrix	Target Rating	Target Date

Potential Effect	Poor strategic decisions taken by elected members resulting in poor performance report.	 Likelihood Impact	4	30 Sep 2009
Internal Controls				
Linked Actions	Facilitate implementation of the performance and personal development framework for the CMT in partnership with the Improvement Service (IC49,50)			Corporate Services
	Embed CPD framework for Elected Members and development programme			Corporate Services
	Maximise responsive support to Elected Members in strategic decision making			Corporate Services
	Review and contribute to improvements in WDC's corporate governance			Corporate Services
	Continue to provide a high level of comprehensive legal services having regard to council priorities and new legislation			Corporate Services
	Review officer attendance at Member/officer working groups and WDC committee meetings			Corporate Services
Ownership Managed By	Joyce White	Ownership Assigned To	Andrew Fraser	

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown