
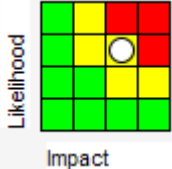
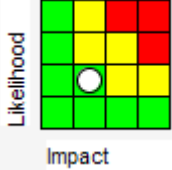



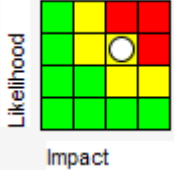
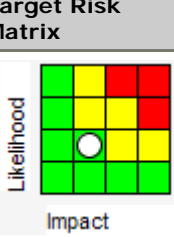
Appendix 1

Strategic Risk Register 2012-13


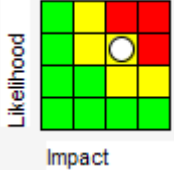
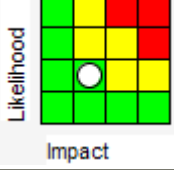
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	SR105 Failure to deliver strong financial governance and sustainable budget management	Current Risk Matrix	Current Rating	Last Review Date
Description	<p>The Council fails to deliver strong financial governance through either its budgetary preparation and management processes or maintaining adequate reserves.</p>		9	04-Dec-2012
Potential Effect	<p>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.</p>		4	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	<p>The range of risks have been 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.</p>	
Risk Factors	<ul style="list-style-type: none"> - Level of government grant - 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 			
Internal Controls	<ul style="list-style-type: none"> - 10 year Financial Strategy subject to regular review - Financial planning - Budgetary control process - Regular budgetary control 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 	Managed By	Angela Wilson	
		Assigned To	Gillian McNeilly; Stephen West	
Risk Opportunity	<ul style="list-style-type: none"> - Annual exercise to identify efficiencies - Major projects such as those within the Income Securitisation process, e.g. windfarm - Enhance the reputation of the Council as an organisation which manages its finances soundly 			
Linked Actions	CA/WDC/0602/001 Update Long Term Financial Strategy	Corporate Services		
	CA/WDC/0602/002 10 Year Capital Plan	Corporate Services		


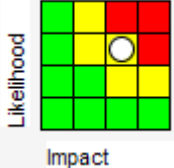
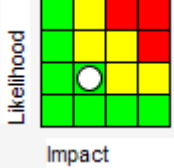
	CA/WDC/0602/003 Capital Plan	Corporate Services
	CS/12-13/FAR/004 Seek out and develop innovation in ways in which we work to ensure value for money to our users	Corporate Services
	CS/12-13/PR/01 Develop procurement leadership and governance across Council	Corporate Services
	CS/12-13/PR/02 Implement Procurement Strategy and Objectives	Corporate Services
	CS/1217/FAR/002 Ensure compliance with all applicable legislation and Codes of Practice	Corporate Services
	CS/1217/FAR/003 Improve procurement leadership and governance across the Council	Corporate Services
	CS/1217/FAR/004 Implement procurement strategy and objectives	Corporate Services
	CS/1217/FAR/009 Provide comprehensive advice & delivery services to our customers and increase in the number of customer requests resolved at 1st point of contact by staff skilled to take on new tasks and responsibilities from service processes	Corporate Services
	CS/1217/FAR/020 Produce budgets which reflect the councils corporate aims and objectives	Corporate Services
	CS/12-17/WR/001 Implement legislative requirements for Housing benefit, Council tax benefit replacement scheme & Universal Credit	Corporate Services
Linked PIs	CS/FICT/SPI1/002 Amount of free reserves - HRA	Corporate Services
	CS/FICT/SPI1/003 Amount of free reserves - General Services	Corporate Services
	CS/PRO/001 Procurement capability assessment score	Corporate Services
	SCM6b CM6bi: Percentage of income due from Council Tax for the year, net of reliefs and rebates that was received during the year	Corporate Services
	SHS4ai HS5aiiii: Current tenant arrears as a percentage of the net amount of rent due in the year	Corporate Services; Housing, Environmental and Economic Development

	SR106 Council estate and facilities are not fit for purpose	Current Risk Matrix	Current Rating	Last Review Date
Description	<p>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</p>		9	09-Nov-2012
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 	Latest Note The Council has recently taken the decision to implement a 10 year investment plan designed to direct investment toward asset management priorities as they support strategic objectives. Plans for recurring spend lines and year 1-3 projects which are fully funded are being developed & implemented. To optimise impact on both general services and HRA capital spend revised planning & performance management arrangements are being introduced. Additional capacity to support delivery has been provided for with capital sums determined.		
Risk Factors	<ul style="list-style-type: none"> - Lack of funding available to improve asset base - Lack of staff resources allocate to the area of asset management - Council buildings deemed to be unfit for existing purpose - Meeting SQHS by 2015 - Economic downturn may reduce level of potential capital receipts from surplus property sales - Increased public liability claims due to poor condition of roads network 			
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 - Detailed asset database that shows relevant information on a property by property basis - Sustainability Policy - Housing Asset Management Strategy - Housing Improvement Plan - Housing Estate Management Strategy 	Managed By	Elaine Melrose	
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, new 	Assigned To	Ronnie Dinnie; Jim McAloon; Helen Turley	


	Council Headquarters, meeting SQHS)) - 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) - Leisure Trust	
Linked Actions	H/2012/CAM/05 Support and develop new business cases for renewal of assets	Housing, Environmental and Economic Development
	H/2012/CAM/06 Develop new schools Estate Strategy in partnership with Educational Services	Housing, Environmental and Economic Development
	H/2012/CAM/09 Develop new Energy Strategy for WDC	Housing, Environmental and Economic Development
	H/2012/CAM/10 Submit Carbon Reduction Commitment Report and submit for approval	Housing, Environmental and Economic Development
	H/2012/FWS/03 Implement and continually review the Vehicle Fleet Asset Management Plan	Housing, Environmental and Economic Development
	H/2012/HCS/03 Work towards meeting the Scottish Housing Quality Standard by 2015	Housing, Environmental and Economic Development
	H/2012/RT/09 Implement and continually review Roads Asset Management Plan	Housing, Environmental and Economic Development
Linked PIs	H/CAM/01 Tonnage of carbon dioxide emissions from Council operations and assets	Housing, Environmental and Economic Development
	H/CAM/09 Energy Consumption value per m2 (ga, electricity, oil, solid fuel) per kwh	Housing, Environmental and Economic Development
	SCM9a CM8aiii: Proportion of operational accommodation that is in a satisfactory condition	Housing, Environmental and Economic Development
	SH7axii HS2avi: The total percentage of Council's housing stock meeting the Scottish Housing Quality Standard	Housing, Environmental and Economic Development
	SRL1e RL1v: Overall percentage of road network that should be considered for maintenance treatment	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	<p>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.</p>		9	04-Dec-2012
Potential Effect	<p>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.</p>		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	General infrastructure is not robust and recent underinvestment has resulted in systems which require upgrading. Council agreed £4M funding for IT infrastructure to improve robustness and capability of employees.	
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	
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 	Assigned To	Patricia Marshall	
Linked Actions	CS/1217/FAR/011 Implement ICT asset management strategy and plan	Corporate Services		
	CS/1217/FAR/015 Development and delivery of the ICT Modernisation project	Corporate Services		
	CS/1314/PAT/019 Implement ICT asset management strategy	Corporate Services		


	and year 3 plan	
Linked PIs	CS/ICT/SP001 Percentage of schools with optimal data communication network band width in operation	Corporate Services
	CS/ICT/SP002 Percentage of Council information technology desktop hardware that meets ICT's agreed minimum software specification	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		9	12-Dec-2012
		Target Risk Matrix	Target Rating	Target Date
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 		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 A significant amount of work has been undertaken in this area with a number of the linked actions now complete or underway. Focus has been on the Council campaign to reduce absence; embedding PDP, including our Elected Members; further development of our workforce strategy and implementation of a cyclical framework to support the process.		
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	
		Assigned To	Vicki Rogers	
Risk Opportunity	<ul style="list-style-type: none"> - Identify previously unknown skills and talents in the workforce - Realise the potential of staff 			
Linked Actions	CS/1217/HROD/003 Implement systematic approach for monitoring and reporting absence case management	Corporate Services		
	CS/1217/HROD/004 Develop robust process for reporting sickness absence	Corporate Services		
	CS/1217/HROD/007 Implement key health and wellbeing initiatives	Corporate Services		
	CS/1217/HROD/012 Increase awareness of Council's equalities obligations.	Corporate Services		






	CS/1217/HROD/026 Develop dispute resolution framework in partnership with TU's & ACAS	Corporate Services
	CS/1217/HROD/028 Facilitate annual performance cycle and embed PDP framework	Corporate Services
	CS/1217/HROD/033 Support development and delivery of Elected Member business day programme	Corporate Services
	CS/1217/HROD/034 Implement PDP (CPD framework) for Elected Members	Corporate Services
	CS/1217/HROD/036 Implement leadership development and support for senior managers	Corporate Services
	CS/1217/HROD/038 Facilitate development and support programmes for middle and front line managers.	Corporate Services
	CS/1217/HROD/040 Complete review of the Continuous Improvement Strategy	Corporate Services
	CS/1217/HROD/052 Develop an HR Strategy	Corporate Services
	CS/1217/HROD/053 Work in partnership with directors to implement key departmental restructures and initiatives	Corporate Services
	CS/1217/HROD/054 Review departmental workforce & Council workforce planning process	Corporate Services
	CS/1314/COMS/002 Lead a communications campaign to support the Attendance Management strategy and reduce absence levels.	Corporate Services
	CS/1314/COMS/003 Improve the Council management newsletter to maximise manager satisfaction and staff communication	Corporate Services
	CS/1314/COMS/006 Produce 4 issues of Talk magazine and increase satisfaction levels with the publication amongst staff	Corporate Services
	CS/1314/COMS/007 Improve Council Intranet and maximise staff satisfaction and Council efficiency	Corporate Services
	CS/HROD/SPI1/001 Percentage of staff who have an agreed annual personal development plan	Corporate Services
	CS/OD/101 Percentage of employees who express satisfaction with the Council as a place of work	Corporate Services
Linked PIs	SCM1aiv: CM1biii: Average number of working days lost per employee through sickness absence for all other local government employees	Corporate Services
	SCM1civ CM1aiii: Average number of working days lost per employee through sickness absence for teachers	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	04-Dec-2012
Potential Effect	<ul style="list-style-type: none"> - Use of public sector resources not optimised in local area - Council left holding the tab 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 strategic plan is fully aligned with the current SOA and all partnership opportunities are progressed through CPP structures, either at CPP strategic board or through thematic groups. The national and local reviews of community planning give us the opportunity to ensure stronger governance and accountability against delivery of the priority outcomes for the area. Any necessary supports, agreements and processes for this will be developed following agreement of the new CPP structure, and a new CPP risk register will be developed. The CPP will act as the scrutiny body for local fire and police plans to ensure strategic oversight and key linkages to service delivery areas.		
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	Peter Barry	

Risk Opportunity	- Position West Dunbartonshire as a modernising Council - Police and Fire Reform - Shared Services options	
Linked Actions	CS/12-17/CP/005 Lead and manage the delivery, monitoring and reporting of the SOA 2011-14	Corporate Services
	CS/12-17/CP/006 Lead and manage the effective governance and administration of Community Planning	Corporate Services
	CS/12-17/CP/007 Ensure effective response to COSLA Review of Community Planning	Corporate Services
Linked PIs	CHCP/CICR/001 Percentage of Council-operated children's residential care homes which are graded 5 or above	Community Health and Care Partnership
	CHCP/CIHC/001 Percentage of Council Home Care services which are graded 5 or above	Community Health and Care Partnership
	CHCP/CIOPR/001 Percentage of Council-operated older people's residential care homes which are graded 5 or above	Community Health and Care Partnership
	CS/CCP/002 Percentage of WD third sector organisations involved in SOA delivery that report constructive engagement with the Council	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	04-Dec-2012
Potential Effect	- Tensions develop with individuals and local community groups		3	31-Mar-2017
Measures of Impact	- Responsiveness to communities PI measures	Latest Note Community engagement services are currently being reviewed with the view to streamlining and improving the Council's ability to reach wider communities. Positive and effective models such as citizens panel, PPF and tenant participation will form the core of the community engagement approach going forward. The emphasis will be on community engagement processes as opposed to over reliance on static structures.		
Risk Factors	- The Council tries to please everyone and so ends up pleasing no-one			
Internal Controls	<ul style="list-style-type: none"> - 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	
Risk Opportunity	- Community Empowerment and Renewal Bill - Council seen as being open, honest and transparent with the local community	Assigned To	Peter Barry	
Linked Actions	CS/12-17/CP/004 lead the development of new framework for Community Engagement across Council and CPP	Corporate Services		
	CS/1314/COMS/004 Lead the telephone satisfaction survey project and explore ways in which its data can have the most impact on service improvement.	Corporate Services		
	CS/1314/COMS/005 Improve the Council website to maximise visitor satisfaction and Council efficiency with a particular focus on SOCITM ratings.	Corporate Services		
	CS/1314/COMS/008 Provide an effective Press Office service that promotes the Council's achievements and protects the organisation against unfair criticism	Corporate Services		
Linked PIs	CED/CP/002 Percentage of Citizens' Panel (CP) respondents who agree that there is evidence that the Council and it's Community Planning partners listen to what they tell us in surveys on developing and changing the way we provide services	Corporate Services		

	CED/CP/003 Percentage of Citizens Panel respondents who think the Council communicates well with its residents	Corporate Services
	CS/CCM/1000 Percentage of citizens who are satisfied with the Council website	Corporate Services
	CS/FAR/015 Percentage of Audit Scotland-led Shared Risk Assessment and Improvement Plans areas assessed as having no significant risk	Corporate Services
	CS/ICT/SP003 Percentage of complaints received by the Council that are resolved at Stage 1	Corporate Services

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown