

# Strategic Risk Register

1	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
		<b>Pure (Uncontrolled) Risk</b>			<a href="#">View Risk Matrix Tables</a>	<b>Current Risk</b>							<b>Potential Residual Risk</b>		
<b>Risk Reference</b>	<b>Risk Description</b>	<b>L</b>	<b>I</b>	<b>Risk</b>	<b>Controls in place</b>	<b>L</b>	<b>I</b>	<b>Risk</b>	<b>Actions</b>	<b>Corporate/Service/Other Plan link</b>	<b>Responsibility</b>	<b>Timescale</b>	<b>L</b>	<b>I</b>	<b>Risk</b>
SR01	Long term absence of staff	4	3	Med	Adequate response in acting up and cover. Increased programme of training for all staff.	3	3	Med	1.Review absence management procedures. 2.Monitor and manage absence within departments.	ABC13a ABC13b ABC13c	1. Strategic HR 2. All Services	Ongoing	2	3	Med
SR02	Inability to recruit and retain high quality staff	4	4	High	Robust recruitment policies, trained recruitment staff, corporate grow your own	3	4	Med	<b>Info from SHR</b>	ABC10a ABC13a ABC13b ABC13c	All Services and Strategic HR		3	4	Med
SR03	Failure to acknowledge and implement legislation in relation to the young and vulnerable.	4	5	High	Identification of all new posts requiring disclosure checks. Auditing of outside organisations. Retrospective referrals, continuous assessment, new and updated procedures approved by SMT.	3	5	High	Participation by services in vetting and barring group and feed back to departments as necessary, application of Disclosure Checks to staff.	ABC05a ABC05b ABC06a	Community Operational and Corporate		2	5	Med
SR04	Adverse media coverage due to ineffective and inaccurate communication by the Council	3	5	High	Experienced and competent Communications team and media protocol	2	4	Med	Development of Communications Policy	ABC10b	Ch Exec/ L. Syed	On going	2	3	Med
SR05	Failure or loss of IT software and existing data	4	5	High	Information and software back up from IT. Disaster recovery plan in place	3	4	Med	Further development of disaster recovery plan		Corporate/D. Bailey	On going	2	3	Med
SR06	Failure to provide strong leadership and direction	3	5	High	Current constitutional framework of Council, current budgetary process and current policy and strategy outlining the Councils aims and objectives	2	4	Med	Implement improvement plan	ABC12a ABC12b ABC12c ABC12d	Ch Exec		1	4	low
SR07	Failure to maximise the benefits of Best Value	4	4	High	Chief executive and Directors own action plans to address concerns raised by Audit Scotland	3	4	Med	Implement improvement plan	ABC10a	Ch Exec		2	3	Med

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SR08	Failure to realise efficiency gains	3	3	Med	Shared Services & Procurement Board established to agree strategy and oversee action plan. Shared services diagnostic completed.	2	2	low	Principles for future sharing in roll out of Process for Change to be agreed by Performance Improvement Board	ABC11	All Services/Judy Orr	Nov-09	2	2	low
SR09	Failure to progress community planning partnership	3	4	Med	Chief Executive and Council Leader engage in decisions. Process and buy in from common services	3	3	Med	PPMF for community planning, revised community plan and structure and governance arrangements	ABC12a ABC12b ABC12c ABC12d	Ch Exec/ Brian Barker		2	3	Med
SR10	Inefficient use of Council assets and consequent financial loss	4	5	High	Employment of trained staff to prepare, implement and maintain the Councils Asset Management Strategy	3	4	Med	Staff training and establishment of procedures. Implement Service Asset Management Plans		Operational/ Sandy MacTaggart		2	3	med
SR11	Failure to meet capital/revenue spending targets, thus contributing to financial inefficiency	4	4	High	Employment of qualified staff. Budget monitoring in place. Accredited Quality Management System in place.	3	3	Med	Detailed monitoring of budget on basis		Head of SF	On going	2	2	low
SR12	Failure of members to maintain standards of conduct in public life	3	4	High	Regular training and advice to members, monitoring of Members Register of Interest by Corporate Services	3	3	Med	Annual update and training for members	ABC10a	Corporate/N. Stewart		2	3	med
SR13	Failure to comply with new regulations and inspection regimes	3	5	High	All new legislation passed to relevant managers for comment at draft stage and impact reviewed with them regarding need to amend procedures	2	4	Med	None	ABC10a	All Services		2	4	Med
SR14	Failure to implement the Single Outcome Agreement	3	5	High	Implementation programme being undertaken within departments and with partners	2	5	Med	SOA will be linked to Corporate and Community Plan and be performance managed	ABC12a ABC12b ABC12c ABC12d ABc14	Ch Exec		2	5	Med
SR15	Failure to clearly identify overall strategic aims and objectives of the Council	4	5	High	Ongoing development of the Corporate Plan to take account of financial pressures and risks	4	4	HIGH	PPMF		Ch Exec/SMT		3	3	Med

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SR16	Financial management processes need to be aligned with structures and Council's objectives	4	5	High	Review of Financial procedures to ensure they are consistent with the Council's method of operation	3	4	Med	PPMF		Ch Exec/SMT		2	4	Med
SR17	Possible under/overspend through capital borrowing	3	3	Med	Monitoring of capital programmes to ensure that they meet the necessary criteria and that expenditure is sustainable and affordable.	2	3	med	None		Head of SF		2	3	med
SR18	Failure to have a robust internal control process and system	4	5	High	Internal Audit work plan. Financial guidelines and directives, codes of conduct, annual statement in budget	3	4	Med	Annual programme for Internal Audit		Head of SF		2	4	Med
SR19	Non recurring financial burdens and one off financial crises like the credit squeeze	4	5	High	Ongoing monitoring of the current financial position. Reporting changes to SMT for discussion	4	4	High	Continue to monitor financial position		Head of SF	Ongoing	4	4	High
SR20	Failure to embed risk management into the organisation	4	5	High	Corporate wide Risk Management Group and risk management framework in place. Current review of Strategic Risk Register to confirm links to the Corporate Plan.	3	3	Med	Review of both Strategic and Operational risk registers and inclusion of these within Pyramid. PPMF		All Services/l. Jackson		2	3	Med
SR21	Failure to progress Business Continuity Programme within the Council and failure to comply with CCA	4	5	High	Ongoing development of BC programme to ensure compliance with CCA and recovery from major disruption to ability to provide services	3	4	Med	Complete BC programme		Corporate/ l. Jackson	Mar-09	2	3	med
SR22	Failure to ensure the Council acts in accordance with the Law and its own regulatory framework	4	4	High	Council Constitution, scheme of delegation sets down processes for decision making, governance arrangements in place	3	4	Med	Review of Council Constitution, scheme of delegation and governance arrangements		Head of DS&G		2	4	Med
SR23	Failure to maintain and improve attainment/achievement levels of school pupils	5	5	High	National Exam results, HMIE Inspections and Quality Improvement Officer teams	3	4	Med	Progress Curriculum for excellence programme	ABC04a ABC04b	Heads of Secondary Education and Head of Primary Education	ongoing	2	4	Med

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SR24	Failure to agree and implement the School Estate Strategy	4	4	High	Ongoing work with IPF Consultants to complete option appraisal exercise.	3	4	Med	Regular meetings with IPF and Scottish Government to ensure that all requirements are met.	ABC04c	Head of Community Regeneration	Feb-09	2	3	med
SR25	Demographic/Societal changes significantly increase demand for services beyond existing/planned budget levels. Failure to meet these has potential results including serious injury and death.	5	5	High	National and local policy. Maintenance of accurate demographic/other information. Operation of prioritisation framework for service delivery.	4	5	High	None	ABC05a ABC05b	Head of Children and Families and Head of Adult Services	ongoing	4	5	High
SR26	Demographic projections for older people indicate the requirement of a budget allocation of inflation plus 2.5% growth per annum to 2020 to maintain service delivery at present levels	5	5	High	Services provided within a 4 point Prioritisation Framework. Services presently provided to priorities 1 & 2 (essential services) only	5	5	High	None	ABC05b	Head of Adult Care	ongoing	5	5	High
SR27	Demographic change for Children and Adults with Learning Disability who require specialist Care Home Placements. Projected recurring financial deficit of £366k	5	5	High	Placements agreed at central Resource Group at Head of Service Level, Children, Education and Adult Care.	4	4	High	None	ABC05a ABC05b	Head of Children and Families and Head of Adult Care	ongoing	4	4	High
SR28	Demographic change for Children with Disabilities who require support within the community. Projected financial deficit of £150k for 2009/10.	5	5	High	Care packages authorised at central resource group and by Head of Children & Families	4	4	High	None	ABC05a	Head of Children and Families and Head of Adult Care	ongoing	4	4	High

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SR29	Scottish Government policy to increase respite to carers. Projected financial implications,2009/10: £82k and 2010/11:£142k. It has not been confirmed whether this is new and additional revenue.	5	3	High	Services provided within a 4 point Prioritisation Framework. Services presently provided to priorities 1 & 2 (essential services) only	5	3	High	None	ABC05a ABC05b	Head of Adult Care	2009/10	5	3	High
SR30	New statutory responsibilities for Adult Protection. Investment of £282,780 for 2009/10 required for additional staffing framework. To date it has not been confirmed whether this is new and additional revenue.	5	3	High	Adult Protection Committee and Senior Officers Group	5	3	High	None	ABC05b	Head of Adult Care	2009/10	5	3	High
SR31	New commitment subject to the Concordat that kinship carers will be paid the equivalent of foster carers by 2011. Projected financial deficit of £250k per annum.	5	5	High	Revenue allocation would be authorised by Head of Children & Families	5	4	High	None	ABC05a	Head of Children and Families	2010/11	5	4	High
SR32	Failure to comply with H & S Legislation, resulting in possible prosecutions, injury, loss of life, loss of staff resources and damage to reputation	4	5	High	Employment of qualified staff, individual RAs and SWMs developed, Procedures established	3	4	Med	Further staff training and monitoring of procedures. Continual review of RAs and SWMs		Ch Exec/ L. Collins		2	3	Med
SR33	Failure to attract external funding to assist Council's strategic projects during current and future funding programmes leading to reduction in service outcomes	3	4	Med	Excellent knowledge of current priorities and programme scope. Staff in place to meet demand	2	4	Med	Lobbying and staff trained to implement and cascade info.	ABC07a ABC08	Development/J. Fowler	ongoing as determined by budget for co-finance	1	2	low
SR34	Failure to implement agreed Town Centre Action Plans due to lack of resources, leading to adverse economic and environmental impact.	4	4	High	Formation of delivery mechanisms	3	3	Med	None	ABC08	Development/K. Williams		3	3	Med

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SR35	Lack of resources to respond to statutory duties eg. Access, leading to censure from SE and possible legal challenge	3	3	High	Recognition of need to allocate adequate resources.	2	3	Med	Higher funding allocation sought via service plan cast pressure for implementing core path plan. PPMF		Head of Planning	Feb-09	1	3	low
SR36	Lack of resources to carry out tasks to a professional standard in relation to local plan production. If Plan not kept up to date, likely to lead to a failure to address issues affecting communities, resulting in adverse economic impact on communities and undermining of ability to process planning applications.	5	4	High	Limit work to basic requirements with flexibility built in to plan document. Two additional officers appointed.	2	3	Med	None		Head of Planning		2	3	Med
SR37	Failure to obtain transportation improvements through grant funding to Regional Transportation Partnership 2006/09	5	5	High	Regional Transport Strategy in place. The Council has identified and set aside funding - core funding is included in the Capital Programme.	2	4	Med	None	ABC07a	Development		2	4	Med
SR38	Loss of fee income due to reduction in building activity due to credit crunch may have an impact on Service delivery because of staff reductions	4	4	High	None	4	4	High	Cost5 pressure bid to be put in Service Plan process to gain revenue		Head of Planning	Feb-09	2	4	Med
SR39	Failure to implement Business Gateway	5	5	High	Programme established to implement with H&I Partnership & HIE by 01/04/09	3	5	High	Resource support identified from HIE	ABC09a	Dev/J.Fowler	01/04/2009	2	5	Med
SR40	Failure to deliver Marketing Argyll & Bute due to no resource	5	5	High	Include in Service Plan as service development bid	4	5	High	None	ABC03b ABC09b	Dev/J.Fowler		4	5	High

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SR41	Failure to control energy/utility costs	5	3	High	Appointment of Energy Manager and introduction of energy management software	2	3	Med	Centralisation of energy/utility invoice payments; provision of information/advice on Energy Management to front line users. Saving measures such as restriction on temperature levels and annual heating periods	ABC01a	Operational/Neil Leckie	Ongoing	1	3	low
SR42	Failure to meet recycling targets	3	3	Med	Review of recycling methods. Support of Community initiatives. Ongoing clarification with Shanks as to standard of composted material	2	3	Med	Continuous adaption of refuse collection methods and response to technological advances in recycling	ABC02	Operational/Walter MacArthur	Ongoing	1	3	low
SR43	Failure of ferries/damage to ferries/collapse of ferry contractor	4	4	High	Maintenance of fleet/contract for back up vessels	4	2	med	Funding for long term improvement to fleet vessels	ABC07a ABC07b	Operational/Martin Gorrington	Ongoing	4	1	low
SR44	Failure to maintain Roads Infrastructure	5	4	High	Adequate arrangements for maintenance	5	2	med	Adequate design and maintenance	ABC07a ABC07b	Operational/Alan Kerr/Neil Brown	Ongoing	5	1	low