

MC01 - Corporate Risks Report 1  
CMT 16 July 2012








## APPENDIX B







**Report Type:** Risks Report  
**Report Author:** Gerald Tait  
**Generated on:** 09 July 2012









Calculation of risk:-  
Multiply Likelihood x Impact  
Possible Results:  
1-10 – Very Low or Low risk  
11-16 – Medium Risk  
17-25 – High or Critical Risk














Risk Title	Latest Note	Internal Controls	Linked Actions Code & Title	Linked Actions Latest Note	Linked Actions Due Date	Linked Actions Status Icon
People risks  <b>All aspects of employment: recruitment, retention, development, health and safety, external influences, morale during change, absence, age, compliance with policy.</b>  Original Risk Score 18 Current Risk Score 12 Target Risk Score 6, by 31 March 2014	<b>Q1 12/13:</b> People Strategy being reported again to Full Council on 26 June 2012. It remains a focal point. Other HR initiatives are underway including: Launch of Celebrate Midlothian; Violent Incidents improvements nearing closure; Positive Mental Health Framework; Employee Engagement sessions to be planned; Mainstreaming surveys; MiTeam Phase 2 and Social Networking Policy being rolled out. However, leave the current risk score at 13 (medium risk) as the HR Advisory Team fully stretched for resource during this period of business transition. Also, there are further challenges with the ITrent project development.	01 - Main internal controls centre on the approved People Strategy and supporting initiatives. 02 - HR related policies 03 - Management of external factors that affect staff 04 - Significant stress awareness campaign 05 - Competency Framework 06 - Various initiatives to keep staff informed of change 07 - Absence Monitoring/Reporting.	MC01-01.01(A) Develop and have approved the new People Strategy and Action Plan (and progress it year, by year)	<b>Q1 11/12: Completed:</b> People Strategy approved by BTB and presented to Council. The action plan is the key to mitigating several of the employee risks. There will be risk in installing the People Strategy and a specific PS risk register (MC11) is installed.	30-Jun-2011	
			MC01-01.02(A) Ensure that high health and safety risks are reported to every Risk Management Group	<b>Q4 10/11: Completed:</b> Now a regular feature of the Risk Management Group	02-Sep-2010	
			MC01-01.03(A) Finalise an internal audit of health and safety	<b>Q2 11/12: Completed:</b> Audit findings presented to management in late September 2011.	31-May-2011	
			MC01-01.04(A) Use free risk consultancy of insurer to survey parts of our health and safety practice	<b>Q1 12/13: Completed and ongoing:</b> We have already had a recent report on asbestos control and have asked for another review on administering	15-Nov-2011	








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				medicines to clients, which has been a concern of the unions.		
			MC01-01.05(A) Resolve the situation with regard to delays in recruitment detrimental to the delivery of both core services and the progression of transformational activity	<b>Q1 12/13: Completed:</b> Recruitment processes now part of systems-thinking project in Business Services stream of BTP. Processes reviewed, team established and project plan in place and being delivered on time.	30-Nov-2011	
			MC01-01.06(A) Ensure BT Work Stream Risk Register for the People Strategy is used effectively and problem risk exposures reported accordingly	<b>Q3 11/12: Complete:</b> Risk Register now live and being used appropriately.	17-Nov-2011	
			MC01-01.07(A) Carry out an Internal Audit of the ITrent system	<b>Q1 12/13: Off Target:</b> Likely completion date, end of July.	30-Jun-2012	
			MC01-01.09(A) Commence an exercise in updating key health and safety policies and integrate with PIs	<b>Q1 12/13: On Target:</b> An initial assessment by the new Senior Health and Safety Adviser has highlighted issues	31-Jul-2012	
			MC01-01.10(A) Introduce a more robust driver assessment/training arrangement for Council 1,000+ drivers	<b>Q1 12/13: On Target:</b> Assessment and training continues to be in place for fleet driving. New MLO e-learning package will give further support to fleet but also leased car and casual use driving.	31-Aug-2012	
			MC01-01.11(A) Completion/activation of the Violent Incidents database to support the VI Policy	<b>Q1 12/13: Off Target:</b> Policy adopted. Database underway.	30-Jun-2012	
			MC01-01.12(A) Ensure Children & Families staff are adequately covered in the	<b>Q1 12/13: Off Target:</b> Early discussions with C&F management and progress being made	30-Jun-2012	






Risk Title	Latest Note	Internal Controls	Linked Actions Code & Title	Linked Actions Latest Note	Linked Actions Due Date	Linked Actions Status Icon
			Tunstall Lone Working arrangement			
<p>Governance and Standards in Public Life</p> <p><b>Macro governance</b></p> <p><b>Micro governance</b></p> <p><b>Standards of Behaviour</b></p> <p>Original risk score 18 Current risk score 12 Target Risk score 6 by 31 December 2012</p>	<p><b>Q1 12/13:</b> Work still ongoing in reviewing the Code of Corporate Governance. Changes to Scheme of Administration to be incorporated and taken back to June Council. Data protection governance improvements underway. Annual Assurance statements by Heads of Service being collated by Internal Audit. Leave as medium risk for the time being.</p>	<p>The main internal controls for macro governance are the Council's Code of Corporate Governance, its Annual Governance Statement, Standing Orders, Scheme of Administration and Financial Regulations/Directives</p>	MC01-02.01(A) Finalise the review of the governance and risk management in the six thematic groups in Community Planning	<b>Q1 12/13: Completed:</b> But it would be useful to have a further review.	28-Feb-2011	
			MC01-02.02(A) Ensure Standards Committee are provided with revised guidance on new Code of Conduct, once available from Standards Commission (expected April/May 2011)	<b>Q1 12/13: Completed:</b> Guidance was issued late in 2011. Training has been provided (08 May) as part of the induction programme for Elected Members following the May 2012 elections.	30-Jun-2011	
		<p>The main micro governance internal controls are governance arrangements for a whole host of partnerships like shared services, community planning, projects, the BTP and corporate requirements like data protection, risk management and health and safety.</p>	MC01-02.03(A) Finalise all Service Risk Registers that are outstanding and interpret results to risk management group, DMTs and CMT	<b>Q1 12/13: Completed:</b> All risk registers subject to regular scrutiny and Internal Audit comment.	31-May-2011	
			MC01-02.04(A) Create action plan arising from review of Councillor and Officer relationships (Audit Scotland national study)	<b>Q2 11/12: Completed:</b> Results and draft action plan presented to Standards Committee on 11 Oct 2011 and then to Council on 25 Oct 2011. Approved to take forward, largely through Elected Member training programme.	30-Jun-2011	
		<p>The conduct of elected members and employees is governed by Codes of Conduct and the role of the Monitoring Officer and the Standards Committee. The Audit Committee also has a role in promoting good governance.</p>	MC01-02.05(A) Review and update the Council's Code of Corporate Governance	<b>Q1 12/13: On Target:</b> Chief Executive wants it presented to an early Council meeting	31-Jul-2012	
		<p>More recently, the new Council (wef May 2012) is being trained in governance matters and being presented with a SOLACE/SOLAR/CoSLA Multi Member Ward protocol.</p>	MC01-02.06(A) Ensure compliance with the Bribery Act 2010 by carrying out a further risk assessment and presentations to the CMT and Audit Committee	<b>Q1 12/13: Off Target:</b> Being compiled and discussed . Further risk assessment by the end of July.	30-Jun-2012	

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			MC01-02.07(A) Present a report/risk assessment on the Bribery Act 2010 to the Standards Committee on 11 October 2011	<b>2011/12: Off Target:</b> Awaiting further risk actions and new Standards Committee, post May elections.	11-Oct-2011	
			MC01-02.08(A) Carry out an internal audit of the Council's existing Code of Corporate Governance	<b>Q1 12/13: Complete:</b> The review has led to the publication of the Annual Governance Statement (AGS)	18-May-2012	
			MC01-02.09(A) Publication of the BV 2 report and consider any governance implications	<b>Q1 12/13: Completed:</b> BV2 report published and available for reporting within the Council	30-Jun-2012	
			MC01-02.10(A) Ensure governance arrangements for major projects like BTP are robust.	<b>Q1 12/13: Completed:</b> Governance for the BTP revised.	30-Apr-2012	
			MC01-02.11(A) Have Gallagher Bassett (GB) carry out a critical-friend review of this Corporate Risk Register	<b>Q1 12/13: Completed:</b> Report received and noted	31-Aug-2012	
			MC01-02.12(A) Benchmark the Council's Code of Corporate Governance with at least one other Council	<b>Q1 12/13: On Target.</b> However, production of the new code is being delayed because of Secretariat workload	30-Sep-2012	
			MC01-02.13(A) Benchmark the Corporate Risk Register with at least 2 similar-sized Councils	<b>Q1 12/13: On Target:</b> Gallagher Bassett helping us identify Councils. We are about to relate with East Renfrewshire and South Lanarkshire and other Councils could be included	31-Aug-2012	
Customers and Performance <b>Complaints</b>	<b>Q1 12/13:</b> Progress continues on various sub-projects within this workstream. Main risks/issues are around resources, corporate buy-in,	The main internal controls are complaints systems, further development of the website, Customer Services BT work	MC01-03.01(A) Complete high-level objectives of Customer Services Strategy in CS workstream	<b>11/12: On Target:</b> Good progress on some actions although changes in priorities mean that not all those initially planned have been completed. New	13-Aug-2012	





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<b>Reputation Using Management Information Capacity to Improve Inspection Reputation Damage</b>  Original risk score 18 Current risk score 13 Target risk score 6 by 31 March 2013	interdependencies on other workstreams e.g. EWiM, clarity in relating to definitive position for frontline service delivery (location) and prioritised list of service reviews. Issues are being monitored through Project Board and Business Transformation Board progress reports. Need to leave as medium risk meantime.	stream, Planning and Performance Management system, POG meetings involving Performance Officers, Performance Reporting, Website Performance page and planning for external inspections. Specifically, Community Plan and SOA reported six-monthly, all other matters are reported quarterly. More recently, duplication is to be removed between SOA, Community Plan and Corporate Strategy.		2012/13 plan set out in PDD approved by BTSG and Council.		
			MC01-03.02(A) Implement new Customer Care Standards and Customer Services Charter	<b>Q3 11/12: Completed:</b> Customer Care Standards and Customer Services Charter approved and launched. Posters of Charter now display and first taster sessions of face to face training took place in Dec 2011. Full roll-out will continue for all frontline staff in coming months.	30-Sep-2011	
			MC01-03.03(A) Create group to oversee website phase 2 development, agree representation on group and remit.	<b>Q2 11/12: Completed:</b> Group endorsed project plans for five work streams - one for each of the three Divisions, one for transactional and one for generic work. Each plan outlines various tasks and priorities to be progressed.	31-Oct-2011	
			MC01-03.04(A) Ensure development of website phase 2 easily fits in with each service review	<b>Q3 11/12: Completed:</b> Main focus for Q2 & Q3 was around "top tasks" and SOCITM assessment. Customer Connections Group meeting in Jan 2012 will more clearly define the priorities for the forthcoming period. Channel Shift Strategy to be considered. Clear procedure now in place for link between services (and associated reviews) via Customer Connections Group, to ensure that priorities and demands are considered along with mainstream web development work.	01-Aug-2011	
			MC01-03.05(A) Conduct an Internal Audit into LPis	<b>Q1 12/13: Off Target:</b> Audit at an advanced stage (draft report being considered by management). Some process issues. Better corporate guidance required. Some inaccuracies in LPis. Agreed recommendations should help	30-Jun-2012	




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			MC01-03.06(A) Conduct an internal audit into some of the 2010-11 SPIs	<b>2011/12: Completed.</b> There were positive results re accuracy of SPIs. Some process improvements required, however.	12-Aug-2011	
<p>Internal Control Environment</p> <p><b>Fraud Waste &amp; Inefficiency Error</b></p> <p>Original risk score 14 Current risk score 13 Target risk score 6 by 31 December 2012</p>	<p><b>Q1 12/13:</b> Internal Audit and others continue to be watchful of the internal control environment, especially during this period of significant change for the Council. There is focus on the main financial systems, this corporate risk register, compliance with procurement procedures, making the authorised signatories system even more robust, extension of term contracting in the property maintenance services, roll out of a MILO sessions to finance officers and close liaison between Grant Thornton and Internal Audit on Anti-Fraud and Corruption measures.</p>	<p>The main internal controls across the three threats are:- 01 - Stewardship role of the Head of Finance and HR 02 - Financial Regulations and Directives 03 - Standing order 20 on contracts 04 - Finance intranet for guidance 05 - Focused Internal Audit Plan on high risks 06 - Audit Committee promotion of internal control 07 - Internal Audit guidance made available on successful internal control 08 - Fraud Policy and associated procedures 09 - Part of bi-annual National Fraud Initiative and annual local data matching 10 - Close inspection of budgets and income collection levels 11 - Management assurance that External/Internal Audit recommendations are properly installed 12 - Electronic and real-time authorised signatories system with security features 13 - 5 year plan on anti fraud and corruption measures by internal and External Audits 14 - Anti Money Laundering Officer nominated 15 - MILO training on Internal Control.</p>	MC01-04.01(A) Produce risk assessments over key financial systems like Finance Ledger, Sales Ledger, Purchase Ledger and HR Transactions, host briefing sessions, seek endorsement of Audit Committee	<b>Q1 12/13: Completed:</b> However audits of Accounts Receivable and Payable have shown that the risk assessments are not reviewed regularly. Planning to have further meetings.	31-Mar-2011	
			MC01-04.02(A) Complete the championing of improvements in the authorised signatories system	<b>Q2 11/12: Completed:</b> The system is live and being extensively used but is subject to an internal review of segregation of duties and further automation.	31-May-2011	
			MC01-04.03(A) Convene a Fraud Workshop on 8 September and assess potential for fraud	<b>Q3 10/11:Completed:</b> Risk workshop held and results informing Audit Plan etc..	08-Sep-2010	
			MC01-04.04(A) Follow up Heads of Service concerns about certain parts of their internal control systems	<b>Q2 11/12: Completed:</b> Issues gathered in from HOS and being addressed through initiatives like internal control guidance onto MILO.	31-Jul-2011	
			MC01-04.05(A) Systematic adoption of the data protection management action plan arising from the internal audit report on data protection	<b>Q3 11/12: Off Target:</b> 'Completed' signal in Q2 reversed to 50%. Revised completion date of 31 March 2012.	31-Mar-2012	
			MC01-04.06(A) Review of Disclosure Scotland process	<b>Q2 11/12: Completed:</b> Disclosure process weaknesses relayed to management for ongoing improvement	31-Oct-2011	







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			MC01-04.07(A) Detailed review of Audit Scotland internal control findings and separate high from low risk	<b>Q3 11/12: Completed:</b> All issues have been addressed.	31-Oct-2011	
			MC01-04.09(A) Completion of the improvements in Following the Public Pound when viewed against the Audit Scotland national study	<b>Q1 12/13: On Target:</b> Decision required on whether an in-house team or Internal Audit reviews compliance or do we wait for Grant Thornton carrying out their mandatory review.	31-Jul-2012	
			MC01-04.10(A) Review and update the Council's Internal Control Guide with appropriate roll-out and re-training.	<b>2011/12: Completed:</b> Finishing touches being applied to MILO e-learning package. Thereafter, it will be piloted with around 20 managers and will be introduced to auditees before every relevant audit.	31-Dec-2011	
			MC01-04.11(A) Improve the Council's general whistle blowing facility that includes scope for non-financial concerns reporting	<b>Q1 12/13: Completed:</b> new whistle blowing procedure is now installed on the Council's website, under 'Report It'. Needs to go to CMT/Unions and on the intranet too.	31-May-2012	
			MC01-04.12(A) Internal Audit carry out a consultancy exercise on Accounts Receivable collection performance	<b>Q1 12/13: Completed:</b> Report published and recommendations accepted. Internal Audit on hand to support improvement	30-Apr-2012	
			MC01-04.13(A) Build into Audit Committee routine presentations on Audit Scotland & Grant Thornton national/thematic studies	<b>Q1 12/13: On Target:</b> Beginning to gather documents in for presentation to next available/appropriate Audit Committee.	31-Jul-2012	
			MC01-04.14(A) External and Internal Audit liaison on anti-fraud measures	<b>Q1 12/13: Completed:</b> It is likely that these audit functions will set forth a plan of coverage over the next few years. The action is to agree the approach.	31-May-2012	








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			MC01-04.15(A) Update the Fraud and Corruption Policy to adequately cover Anti Money Laundering controls	<b>Q1 12/13: On Target:</b> AMLO nominated as Head of Finance and HR	31-Jul-2012	
			MC01-04.16(A) Train the new Audit Committee	<b>Q1 12/13: Completed:</b> Training of AC facilitated by Grant Thornton and Internal Audit on 12 June. Interim Chair being further briefed shortly.	30-Jun-2012	
			MC01-04.17(A) Identify and brief an independent Chair for the Audit Committee	<b>Q1 12/13: On Target:</b> Commencing the process of advertising.	30-Sep-2012	
<p>Balancing Budgets in future years</p> <p><b>Realising Savings/Benefits Unforeseen commitments and impact on reserves Poor Income Collection Rates Failure to attract specific grants</b></p> <p>Original risk score 14 Current risk score 13 Target risk score 6 by 31 March 2014.</p>	<p><b>Q1 12/13:</b> Robust budget projections are to be developed for the 2013/14 and 2014/15 financial years. Released £3.107m into the 2012/13 budget. Planning regular reports to Council on ongoing projections/forecasts. Maintaining a robust financial monitoring routine and progress financial discipline across all service areas.</p>	<p>01 - Finances and efficiencies are enveloped within the BT Programme and are reported regularly to Full Council. BTP is expected to heavily impact on efficiencies.</p> <p>02 - Financial Planning</p> <p>03 - Development of Service Review Programme and engagement of all stakeholders in finding efficiencies</p> <p>04 - Other BT work streams</p> <p>05 - External grant-finder database</p> <p>06 - Income streams subject to debt recovery and performance indicators</p>				
<p>Emergency Planning and Business Continuity Management</p> <p><b>Censure – non</b></p>	<p><b>Q1 12/13:</b> Generally compliant with CCA but Location Recovery Plans are in need of update. This exercise should be completed during the summer. Leave current risk score as</p>	<p><u>Compliance with the Act</u></p> <p>01 - Regular comparison of practice with Act</p> <p>02 - Role of the Contingency Planning Officer post</p>	<p>MC01-06.01(A) Present a report to CMT on 30.8.10 refreshing EP and BCM</p> <p>MC01-06.02(A) Activate training in emergencies for</p>	<p><b>Q4 10/11: Completed:</b> The report was submitted to CMT and has been a catalyst for planned improvements</p> <p><b>Q2 11/12: Completed:</b> Activation in place and improvements progressing</p>	<p>30-Aug-2010</p> <p>31-Aug-2011</p>	<p></p> <p></p>



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<b>compliance with CCA</b> <b>Slow recovery from an incident</b> <b>Significant community incident</b> <b>Fatal Accident Inquiries</b>  Original risk score 19 Current risk score 12 Target risk score 6 by 31 December 2012	medium for the time being.	03 - Role of the Contingency Planning Group to ensure policies and practice comply with the Act 04 - Regular updating of plans and test exercises 05 - Part of Lothian and Borders Strategic Coordinating Group 06 - Linkage with Community Risk Register 07 - Enhancements to role of Contingency Planning Officer during emergencies 08 - CPO work plan <u>Major internal incident</u> 01 - Incident Response Plans in every establishment 02 - Business Continuity Plans for each major building linked to Business Impact Analysis 03 - Focus on IT downtime/collapse/destruction with Infrastructure Manager and Education Officer Schools ICT <u>Major community incident</u> 01 - Emergency Plan 02 - Midlothian Emergency Plan linked to Lothian and Borders E.Plan 03 - Training for the Emergency Management Team <u>Financial</u> 01 - Contingency Planning budget 02 - Revised Remuneration arrangements	the Emergency Management Team and extend the improvement to matters like Rest Centres	commencing with Exercise Storm in November.		
			MC01-06.03(A) Complete the Emergency Planning/BCM Work Plan (a focused work plan is the way f/wd)	<b>Q4 11/12: Completed:</b> Some slippage on some actions but overall a significant number of improvements put in place e.g. teleconferencing. Outstanding actions carried f/wd.	31-Jul-2012	
			MC01-06.04(A) Create a revised remit for the Contingency Planning Group and have it approved by this forum	<b>Q3 11/12: Completed:</b> It is expected that the remit will be reviewed annually	01-Dec-2011	
			MC01-06.05(A) Arrange for CPOs to have access to folders and files out of hours	<b>2011/12: Off Target:</b> IT currently reviewing the matter	29-Feb-2012	
Corporate Policies and	<b>Q1 12/13:</b> Number of HR Policies	<u>General</u>	MC01-07.02(A) Consider a	<b>Q1 12/13: Completed:</b> All HR policies	31-Dec-	

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<p>Strategies</p> <p><b>Out-of-date</b> <b>Illegal</b> <b>Non-compliance</b> <b>Not relevant</b></p> <p>Original risk score 14 Current risk score 13 Target risk score 6 by 31 December 2012</p>	<p>updated and amended this year. Business processes also streamlined. Further work ongoing in 2012/13 work plan. Subject of regular scrutiny.</p>	<p>01 - Corporate policies refreshed on a regular basis 02 - Cabinet or the Full Council approves policy 03 - Management responsibility to monitor policy compliance <u>To which has been added:-</u> 04 - HR policies in a 3 year review cycle 05 - Risk Management Policy to be adopted by new Cabinet 06 - HR intranet site being restructured 07 - Training to be developed on HR through new Leadership Development Programme.</p>	<p>review of corporate policies and strategies in terms of helping managers make easier their management role</p>	<p>now in a 3 year review schedule, with FAQs and top ten points being developed. Intranet section being restructured to improve user-friendliness. Training to be delivered through new Leadership Forum development programme.</p>	2011	
<p>Corporate Change and Transition</p> <p><b>Cost creep</b> <b>Delays</b> <b>Objectives not met</b></p> <p>Original risk score 18 Current risk score 13 Target risk score 6 by 31 march 2015</p>	<p><b>Q1 12/13:</b> Revised Business Transformation Programme risk register presented to BTB in May 2012. A progress report will be presented to June BTB providing an update on the actions identified to mitigate the risks. Project risk registers developed which align to the BT governance model. A BT Risk Management Strategy has been developed to set the context for programme and project risk management, including reporting and escalation arrangements.</p>	<p><b>General:-</b> 01 - Corporate Improvement Programme and BT Programme supported by Governance Framework and a Strategy Board 02 - Business Transformation Board 03 - Approved BT Governance Model 04 - Risk assessments at appropriate levels within the BT Programme 05 - BT maintained at a high profile through various initiatives including Leadership Forum, agendas and minutes available to staff and In brief. 06 - PC Replacement Programme investment, in support of change, approved by CMT on 18.6.12</p>	<p>MC01-08.01(A) Once the Corporate Strategy refresh for 2011-13 has been undertaken, carry out a risk assessment and present to CMT</p>	<p><b>Q4 10/11: Action Cancelled:</b> To avoid duplication, corporate priorities are now risk assessed through unit, project or corporate risk registers.</p>	30-Apr-2011	
			<p>MC01-08.02(A) Conduct an Internal Audit into the governance of the Corporate Improvement Programme</p>	<p><b>Q4 10/11: Completed:</b> Audit completed and recommendations installed</p>	31-Oct-2010	
			<p>MC01-08.03(A) Ensure risk registers and risk reporting is in place for all BT work streams (in liaison with other managers)</p>	<p><b>Q1 12/13: On Target:</b> Project Risk registers developed which align to the BT governance structure. BT Risk Management model developed to set the context for programme and project risk management, including reporting and escalation arrangements. Further work required to ensure risk registers are progressed in accordance with the BT Risk Management Strategy and Council's</p>	31-Jul-2012	

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				approach to risk management.		
<p>Legal and Regulatory Compliance</p> <p><b>Censure Ultra Vires Reputation Fines</b></p> <p>Original risk score 13 Current risk score 12 Target risk score 6 by 31 December 2012</p>	<p><b>Q1 12/13:</b> Significant assurance required in relation to protecting data. Welfare Reform Bill is challenging and has been separated out as new risk MC01-12. There are also outstanding challenges with IT compliance with the Payment Card Industry Standard (PCI). There also appear to be outstanding challenges in relation to Equalities legislation and Strategic Environmental Assessment. New actions have been created. Suggest raise risk score back up to medium meantime.</p>	<p><u>General:-</u> 01 - New legislation is accepted and resources allocated accordingly 02 - Occasionally the Council is consulted on secondary legislation 03 - Changes to regulation can result in training of staff e.g. Revenues section 04 - Role of the Monitoring Officer (Head of Customer Services) 05 - Legal Services section advice 06 - Projects are often supported by external legal consultancy 07 - Equalities Impact Assessments 08 - External inspection pre-assessments focus on compliance 09 - Each piece of major legislation is risk assessed e.g. Bribery Act and Welfare Reform Bill 10 - Significant investment and time devoted to IT Data Security</p>	MC01-09.01(A) Convene and facilitate risk workshops for all 11 Heads of Service and Middle Managers	<b>Q4 10/11:</b> Complete: Workshops completed and risk assessments finalised. These included risks of non-compliance. Heads of Service reviewing risks on a quarterly basis.	18-Nov-2010	
			MC01-09.02(A) Carry out a risk assessment into the threat of not addressing the Bribery Act 2010	<b>Q2 11/12: Complete:</b> Risk Assessment complete and been presented to CMT and approved. A few actions arising from the assessment including presentation by Brodie, Solicitors on Bribery Act and whether Council's arrangements are robust. Useful to have this 'critical friend' review.	31-Aug-2011	
			MC01-09.03(A) Remind management that risk assessing new legislation is useful and provide the risk assessment facility.	<b>2011/12: Off Target:</b> This stipulation in Cabinet Policy on Risk Management has elapsed but has been resurrected in terms of the Bribery Act and Welfare Reform Bill, two major pieces of legislation. Other new pieces of legislation will be discussed at the Risk Management Group, and back on target thereafter.	29-Feb-2012	
			MC01-09.04(A) Develop better corporate approach to Strategic Environmental Assessment (SEA)	<b>Q1 12/13: Off Target:</b> To assist management with compliance, an Internal Audit has been commenced and the results are likely to be known in early August 12.	30-Jun-2012	
			MC01-09.05(A) Expand the Fraud & Corruption Policy to include more detail on the Bribery Act 2010	<b>Q1 12/13: Off Target:</b> Currently being addressed alongside a fresh risk assessment.	30-Jun-2012	
			MC01-09.06(A) Carry out an Internal Audit of compliance with Equalities legislation	<b>Q1 12/13: Cancelled:</b> Agreed that finite audit resource should be directed to SEA under MC01-09.04(A) above.	31-Aug-2012	

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			MC01-09.08(A) Invest in Info Management/Encryption (e-mails)	<b>Q1 12/13: On Target:</b> Report approved by CMT 18.6.12	31-Oct-2012	
			MC01-09.08(A) Invest in ongoing improvements in information management and data encryption (e-mail)	<b>Q1 12/13: On Target:</b> Initial report to CMT 18.6.12	31-Oct-2012	
			MC01-09.09(A) Invest in Payment Card Industry (PCI) compliance.	<b>Q1 12/13: On Target:</b> Report approved by CMT on 18.6.12	31-Oct-2012	
Procurement <b>Savings realisation Compliance</b>  Original risk score 18 Current risk score 12 Target risk score 6 by 31 March 2013	<b>Q1 12/13:</b> Arrangements have been put in place, including increased procurement staffing, to move f/wd with procurement standards and compliance. Moved from 23% to 33%.	<u>General:-</u> 01 - Procurement Policy and Procedures 02 - Procurement Manager post 03 - PCA assessment has helped establish level of compliance 04 - BT work stream 05 - Assessment of required procurement resource for the future 06 - Engagement of SOLACE Enterprises to provide an in-depth procurement assessment.	MC01-10.01(A) Conduct an Internal Audit into Procurement	<b>Q4 10/11:Completed:</b> Two important internal audits have been completed in the past 2 years which is helping to increase compliance with procurement procedures	30-Nov-2010	
			MC01-10.02(A) Ensure that all officers across the Council are aware that they must follow the procurement policies and procedures	<b>Q1 11/12: Completed:</b> Message been placed on the intranet and cascaded through divisions.	30-Jun-2011	
			MC01-10.03(A) Responding through a robust action plan to the PCA assessment and SOLACE presentation (health check)	<b>Q2 11/12: Complete:</b> Procurement Manager appointed. Update report to BTB/BTSG.	30-Sep-2011	
Asset Condition – buildings, vehicles, computer, roads  <b>Slow deterioration Decisions on investment flawed General decay</b>	<b>Q1 12/13:</b> Various important mitigating measures have been put in place. For example, buildings are subject to rationalisation of building programme, EWiM and Service Reviews. Vehicles have had some investment through funding. In Schools ICT, parts of redundant computers are being re-used and in the future pupils may be encouraged	01 - Asset management planning and reduction in buildings being used to release funds 02 - Limited capital fund allocations 03 - Developer Contributions and new schools 04 - Asset Management Planning	MC01-11.01(A) Risk management group to analyse the asset condition situation and recommend a way f/wd with a balanced approach to risk	<b>Q2 11/12:</b> Action cancelled as group suggests that it is not the role of the group to analyse this and it should be a part of the BTP.	31-Aug-2011	

Risk Title	Latest Note	Internal Controls	Linked Actions Code & Title	Linked Actions Latest Note	Linked Actions Due Date	Linked Actions Status Icon
Original risk score 18 Current risk score 13 Target risk score 6 by 31 December 2014	to bring their own equipment into schools. There has also been funding awarded to stabilise roads and footpaths. Leave as medium risk for the time being.					
Welfare Reform Bill  <b>Censure            Non-compliance            Delays            Significant for Council            and Citizens</b>  Original risk score 23 Current risk score 19 Target risk score 6 by 31 March 2013	<b>Q1 12/13:</b> PDD agreed and report due for Council. This has brought clarity. Project Manager in place. However, some external risks may not be controllable. Leave as high, current risk at present	01 - Working Group chaired by Acting Director, CWB and involving 3 divisions 02 - Risk Assessment within project - WF risks as well as project risks 03 - Summarising reports to CMT 04 - Project management set up; adopting project management principles and creating work streams and project deliverables 05 - Work streams are - targeted advice programme, advice and support services, interagency training and development, housing, revenues and communications 06 - Appropriate project and training resource identified 07 - One report already submitted to Council after New Year 2012; another planned for Summer 2012 08 - First phase of impact analysis 09 - PDD is planned to bring clarity 10 - Attempting to influence external risks which could be				

Risk Title	Latest Note	Internal Controls	Linked Actions Code & Title	Linked Actions Latest Note	Linked Actions Due Date	Linked Actions Status Icon
		uncontrollable 11 - CoSLA attendance and other elements of consultation e.g. with community planning partners				