

Appendix 1

Corporate Risk Report as at 31 March 2016

The report shows the progress update against improvement actions at 31 March 2016. The current position as at November 2016 is shown in the final column.

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Strength

A	Controls are working effectively
B	Controls require further development
C	Significant controls not operating effectively
D	Significant controls do not exist or have broken down

CORPORATE RISK 1 Support the most vulnerable in our society during welfare reform

The Welfare Reform Act received Royal Assent on 8 March 2012. It introduces a wide range of reforms which aim to make the benefits and tax credits system fairer and simpler. The Council needs to ensure that it implements the changes from reform including helping people to move into and progress in work, while supporting the most vulnerable.

Relevant Strategic Objectives: Supporting people to lead independent, healthy and active lives; and promoting a prosperous, inclusive and sustainable economy.

Risk manager Housing and Community Care
Risk impact with controls 4 - Major
Risk probability with controls 2 - Unlikely
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Employment Connections Partnership in place to improve access to employment services and opportunities for sustained employment for vulnerable and disadvantaged groups and individuals living in both urban and rural areas.	Head of Planning & Development	A		Employment Connections Partnership dissolved and functions incorporated into the new Economy and Lifelong Learning Outcome Delivery Group which will oversee the delivery of actions including employability.	
Employability Strategy and Action Plan in place.	Head of Planning & Development	B	The Growing the Economy Group requested a new Economic Development Strategy in December 2015 to super cede the existing, stand-alone Employability Strategy and asked for it to be completed by the end of October 2016.	In progress. The new Economic Development Strategy and Action Plan are being drafted and should be completed by the end of October 2016. It will then be presented to the Growing the Economy Group before the Outcome Delivery Group and Enterprise and Infrastructure Committee before Christmas 2016. Resource constraints are the biggest risk to this timescale being met.	

Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Perth and Kinross Fuel Poverty Statement and action plan demonstrates the Council's commitment to tackle fuel poverty in Perth and Kinross by 2016.	Head of Housing & Strategic Commissioning	A		Perth and Kinross Council and its Partner agencies are taking a number of actions to address levels of fuel poverty and achieve the local outcomes set out within the Local Housing Strategy. A revised Local Housing Strategy (2016-2021) was approved at Housing and Health Committee in May 2016.	
Effective leadership by the EOT, Housing and Community Care Services Management Team and the Council wide working group.	Head of Finance & Support Services	A		Timely relevant communications and guidance to all relevant stakeholders is ongoing.	
Management					
Revenues & Benefits and Welfare Rights Business Management and Improvement Plan in place to set out current plans for managing welfare reform. Progress monitored by HCC SMT.	Head of Finance & Support Services	A		The Joint Welfare Reform Steering Group continues to be the main communication forum. All changes/issues identified are managed with timeous and effective implementation. Universal Credit began to roll out as of 25 April 2016. Plans are in place for both formal and informal, positive audit checks.	
Ongoing briefings to staff to raise awareness of current developments in welfare reform and potential impact on the Council.	Head of Finance & Support Services	A			
Money and welfare advice is available to all tenants, resident household members, sharing owners and housing applicants and provides information and advice on a range of money matters.	Head of Housing & Strategic Commissioning	A			
Rent Arrears Steering Group oversees implementation of rent arrears action plan and performance management framework.	Head of Housing & Strategic Commissioning	A			

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

CORPORATE RISK 2 Protect vulnerable adults at risk

Public protection covers a wide range of individuals and communities. The council cannot guarantee the protection of the public as such, but can identify the circumstances and opportunities that are most likely to lead to harm and take steps that can help reduce the risk happening. This corporate risk focuses on the protection of adults at risk. Adults at risk are defined as adults aged 16 years or over who: are unable to safeguard their own well-being, property, rights or other interests; are at risk of harm; and because they are affected by disability, mental disorder, illness, or physical or mental infirmity, are more vulnerable to being harmed than adults who are not so affected.

Relevant Strategic Objectives: Supporting people to lead independent, healthy and active lives; and creating a safe and sustainable place for future generations.

Risk manager Housing and Community Care
Risk impact with controls 5 - Critical
Risk probability with controls 1 - Rare
Risk control effectiveness A - Controls are working effectively

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Chief Social Work Officer post in place to provide clear professional leadership and accountability.	Chief Executive	A	Chief Social Work Officer's annual report 2015 – October 15 Chief Social Work Officer's annual report 2016 – October 16	Completed. The Chief Social Work Officer's annual report was approved by Council on 7 October 2015. New Action.	
Management					
Strategic performance management and scrutiny arrangements in place, including use of self-evaluation, to ensure quality control and targets are being met.	Head of Housing & Strategic Commissioning	A			
Training and development of staff at all levels to ensure we have a skilled and competent social care workforce, able to meet the challenges the sector faces.	Senior Corporate Strategy Manager	A			

Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Audit and improvement processes in place including regular adult support and protection case file audits.	Head of Community Care	A	3 monthly report to Service Management – Ongoing	Ongoing. This is reported to the Service Management on a quarterly basis.	
Ongoing public awareness raising around adult and child protection issues to encourage members of the public to report any concerns to the various agencies involved.	Head of Community Care/ Head of Services for Children, Young People & Families	A	Local Engagement Workshop (Protection and Safety) – Ongoing Implement the Child Protection Committee improvement plan for 2014/15 – August 15 Implement the Child Protection Committee improvement plan for 2015-2018 – July 18	In progress. A communication plan for public awareness over the next year is to be established and a joint working group with the Adult Support and Protection Committee on public protection awareness raising. Completed. An update to the Improvement Plan was included in the CPC Standards and Quality Report 2014 - 2015, approved by the Children, Young People and Families Partnership in August 2015 and Full Council in October, with significant progress made across the majority of the high-level actions. New Action. A new three year Child Protection Committee Improvement Plan has been developed for 2015-2018, aligned with the Integrated Children's Services Plan 2013 - 2015. This new plan was approved by the CPC on 26 January 2016.	In progress: A multi-agency Communications Sub Group for Public Protection has been convened and a communications strategy devised to raise public awareness over 2016/17. This group reports progress regularly to the Child Protection Committee (CPC) The CPC will consider more localized approaches to raising community awareness and community responsibility for protecting children at its meeting in August 2016.
Regular involvement of and feedback from service users to ensure services are designed to meet their needs.	Head of Community Care	A			
Disclosure Scotland procedures in place to enhance public safety by protecting vulnerable adults through safer recruitment.	Chief Social Work Officer	A			
Appropriate Adult Scheme in place to ensure people under 17, or anyone with mental health problems or learning difficulties, has an appropriate adult present when interviewed by the Police.	Head of Community Care	A			

Strength

- A** Controls are working effectively
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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Multi Agency Public Protection Arrangements (MAPPA) and Multi-Agency Risk Assessment Conference (MARAC) arrangements are in place to give a consistent approach to the management of offenders across Perth and Kinross.	Head of Community Care/ Head of Services for Children, Young People & Families	A			

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CORPORATE RISK 3**Protect vulnerable children and families**

Public protection covers a wide range of individuals and communities. The Council cannot guarantee the protection of the public as such, but can identify the circumstances and opportunities that are most likely to lead to harm and take steps that can help reduce the risk happening. This corporate risk focuses on the protection of vulnerable children and families.

Relevant Strategic Objectives: Giving every child the best start in life.

Risk manager Education and Children's Services
Risk impact with controls 4 - Major
Risk probability with controls 1 - Rare
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Chief Social Work Officer post in place to provide clear professional leadership and accountability.	Chief Executive	A	Chief Social Work Officer's annual report 2015 – October 15	Complete. This report was approved by Council on 7 October 15 and sent to Scottish Government.	
Effective leadership of the Children, Young People and Families Partnership (CYP&FP) to ensure we work effectively with our partners to deliver seamless services.	Director (Education & Children's Services)	A	Report progress on the Integrated Children's Services Plan – April 16	<p>In progress. The group has been renamed the Children, Young People and Families Partnership the (CYP&FP) to reflect more fully the remit. It continues to meet four times per year as a minimum.</p> <p>A development workshop took place in May 2015 and key actions agreed which will be incorporated into the Integrated Children's Services Plan (ICSP).</p> <p>The Partnership considered a report on the impact of Health and Social Care Integration.</p> <p>The first six-monthly ICSP progress report was received in August 2015.</p> <p>The new Corporate Parenting Sub-Group will be launched in October with a full day of training by <i>Who Cares? Scotland</i>.</p>	

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Management					
Strategic performance management and scrutiny arrangements in place, including use of self-evaluation, to ensure quality control and targets are being met.	Head of Services for Children, Young People & Families	A	Children and Families Services' Management Team to undertake a services self-evaluation – September 15	Revised timescale – August 2016. A self-evaluation programme has been agreed with Team Leaders focusing on 3 Quality Indicators for services for children from <i>How well are we improving the lives of children and young people?</i> , and services for children which link with areas for improvement highlighted in the Child Protection Committee Standards & Quality Report 2014/15.	
			Further embed improvement and reporting across Children and Families' Services – Ongoing	In progress. Relevant information has been collated and complied in the Chief Social Work Officer's Report for 2014/15 and considered by Council on 7 October. A revised and improved performance and quality assurance framework is a priority for 2015/16 and the new Service Manager who comes into post in November 2015.	
			Develop a more detailed quarterly performance management /information framework – April 16	In progress. Relevant information has been collated and complied in the Chief Social Work Officer's Report for 2014/15 and considered by Council on 7 October. A revised and improved performance and quality assurance framework is a priority for 2015/16 and the new Service Manager who comes into post in November 2015.	

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Proportionate intervention in line with GIRFEC (Getting it Right for Every Child).	Head of Education (Early Years & Primary)/ Head of Services for Children, Young People & Families	B	Deliver further training for all key staff – Ongoing	<p>In progress. Six successful multi-agency locality events for staff and managers took place in November and the content emphasized the importance of GIRFEC in delivering the key objectives set out in the Community Plan and Integrated Children's Services Plan.</p> <p>Implementation of the Tayside-wide single Child's Plan and Guidance on Chronologies across Perth and Kinross has commenced from 18 April 2016. New training programmes are developed to support this and led by the ECS GIRFEC Development Officer and Child Protection Learning and Development Officer. This will be evaluated over the summer and a report prepared for the GIRFEC Strategy Group in September 2016.</p> <p>Staff in Services for Young People will receive training in the Named Person role and GIRFEC approaches.</p>	In progress: A GIRFEC progress report was provided to the Children, Young People and Families Partnership in August 2016 showing that there had been very good progress on made in the plans to deliver a successful GIRFEC approach in Perth and Kinross and that our state of readiness for implementation of Parts 4 and 5 of the Children and Young People (Scotland) Act was high.
			Embed the updated integrated assessment framework across all services (multi agency) – Ongoing	<p>In progress. The assessment framework will be reviewed by December 2016 to take account of GIRFEC processes and to reduce, align or streamline the range of meetings which plan for and review progress of children and young people.</p>	In progress: The assessment framework will be reviewed by December 2016 to take account of GIRFEC processes and to reduce, align or streamline the range of meetings which plan for and review progress of children and young people.

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Partnership working with SCRA to reduce delays to processing Children's Hearings and decision making.	Head of Services for Children, Young People & Families	B	Chair Children's Hearing Performance Group and report issues – Ongoing	<p>In progress. Regular meetings take place with the Locality Reporter and Chair of the Children's Panel. Joint training sessions with social workers and panel members are arranged at least once per annum and in March 2016 the focus was Continuing Care and Concurrency which was positive and received well by participants.</p> <p>The adherence to national Time Intervals for the submission of reports to the Children's Reporter has improved and there will be a focus on consolidating this improvement over 2016/17.</p> <p>Two key areas of focus over 2016/17 are the relatively disproportionate referral rate from schools as a single service to the Reporter and closer examination of the reasons which lie behind applications for Child Protection Orders for children with whom Services for Children, Young People and Families are already engaged.</p>	<p>In progress: Regular meetings take place with the Locality Reporter and Chair of the Children's Panel. Joint training sessions with social workers and panel members took place in March 2016 with a focus on Continuing Care and Concurrency, which was positive and received well by participants; a further event will take place in November with a focus on decisions about contact with parents.</p> <p>The adherence to national Time Intervals for the submission of Initial Assessment Reports and Social Background Reports to the Children's Reporter improved over 2015/16 and there is a focus on consolidating this improvement over 2016/17.</p>
			Improvement plan with SCRA – Ongoing	<p>In progress. Revision of current guidance to schools in relation to referral to reporter is underway.</p>	<p>Completed: There is no requirement for an improvement plan but two key areas of focus over 2016/17 are; the relatively disproportionate referral rate from schools as a single service to the Reporter, and closer examination of the reasons which lie behind applications for Child Protection Orders for children with whom Services for Children, Young People and Families are already engaged.</p>
Ongoing public awareness raising around child protection issues to encourage members of the public to report any concerns to the various agencies involved.	Head of Services for Children, Young People & Families	A	Local engagement workshop (Protection and safety) – Ongoing	<p>In progress. A Communications Group has been established and meeting regularly with a joint communications plan under development.</p>	<p>In progress: A Communications Group has been established for Public Protection and this meets regularly. A joint communications plan is being developed for 2016/17.</p>

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Regular involvement of and feedback from service users to ensure services are designed to meet their needs.	Head of Services for Children, Young People and Families	B	Develop approaches for increasing engagement with, and feedback from service users – Ongoing Develop a more structured approach to learning from collective views of children who are looked after and subject to a Child Protection Measure – Ongoing	In progress. A self-evaluation of the effectiveness of advocacy support for children who are looked after and/or whose names are included on the child protection register has been carried out. An advocacy working group has been re-established to agree principles and devise new approaches which are more systematic. Service Level Agreements with independent advocacy services will be reviewed over 2016/17 and new services commissioned in line with need and service priorities for children and young people who are looked after or in need of protection.	
Disclosure Scotland procedures in place to enhance public safety by protecting vulnerable children through safer recruitment.	Chief Social Work Officer	A	Phased introduction of the Protection of Vulnerable Groups Scheme to replace and improve upon the current disclosure arrangements – Ongoing	In progress. Initial phasing of the migration is completed and systems are in place to manage PVG checking for new and existing staff members.	
Child protection frameworks in place to ensure the best possible outcomes for vulnerable children.	Head of Services for Children, Young People & Families / Chief Social Work Officer	A	Further embed improvement and reporting across Children & Families' Services – Ongoing	Completed. From August 2015 – this is reported under the Child Protection Committee Annual Improvement Plan and within the Standards and Quality Report for 2014/15.	Develop more focussed measures to improve performance in relation to Child Protection Case Conferences – Ongoing In progress: A fixed term post of Independent Chair of Child Protection Case Conferences has been created which will have the responsibility for improvement in this area. The post will be filled in November 2016 and this work will be taken forward by November 2017.

Strength

- A** Controls are working effectively
- B** Controls require further development
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CORPORATE RISK 4 Effectively manage changing financial circumstances

We recognise that our Services need to continue to adapt to meet the changing requirements of our communities and the economic environment. There is a serious risk that the financial climate and increasing demands for services will impact on our ability to deliver our outcome targets and maintain service performance into the future.

Relevant Strategic Objectives: Giving every child the best start in life; Developing educated, responsible and informed citizens; Promoting a prosperous, inclusive and sustainable economy; Supporting people to lead independent, healthy and active lives; and Creating a safe and sustainable place for future generations.

Risk manager Chief Executive's Service
Risk impact with controls 4 - Major
Risk probability with controls 3 - Possible
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Effective corporate governance and leadership of transformation programme.	Head of Strategic Commissioning & Organisational Development	A			
Securing the Future Strategy to support the delivery of savings through revised service delivery models and ongoing improvement activities in the Council.	All Directors	A			
Reserves Strategy in place to cushion the impact of uneven cash flow, unexpected events or to meet liabilities.	Head of Finance	A			
Corporate Workforce Plan to recruit and retain high quality staff.	Director (Housing & Social Work)/ Corporate Human Resources Manager	A	Implement Corporate Workforce Plan – improvement actions Ongoing 2013-2018	In progress. The annual workforce report was approved by the Council in December 2014. Various workstreams are underway. Progress will be included in the next annual report in December 2015.	In progress: The annual workforce report Building Ambitions a 21st Century Workforce described progress at the Council in May 2016. Various recruitment initiatives are in place for hard to fill posts.
Medium Term Financial Plan setting out financial direction for the Council.	Head of Finance	A			

Strength

- A** Controls are working effectively
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- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
A Corporate Asset Management Plan in place to manage the Council's infrastructure, assets and IT.	Head of Performance & Resources/ Head of Finance & Support Services	B	Revise Corporate Asset Management Plan	<p>In progress. Asset Management Plans for Roads and Fleet were approved at SP&R Committee in June 2015.</p> <p>Greenspace is scheduled for completion by June 2016.</p> <p>Corporate Asset Management is working with Property colleagues to produce a property asset management plan which is scheduled for completion this year.</p> <p>These updated Asset Management Plans will be utilised to produce an updated Corporate Asset Management Plan to inform the Council's future strategic investment.</p>	<p>In progress. Asset Management Plans for Roads and Fleet were approved at SP&R Committee in June 2015.</p> <p>A Greenspace Asset Management Plan has been drafted but is on hold pending full Council consideration of budget proposals in February 2017 which may impact on the overall greenspace strategy.</p> <p>Corporate Asset Management is working with Property colleagues to produce a property asset management plan in conjunction with the rollout of the property management system, Concerto.</p> <p>Once the stream asset management plans are completed they will be utilised to produce an updated Corporate Asset Management Plan to inform the Council's future strategic investment.</p>
Management					
Financial and performance management systems in place to monitor progress and highlight any issues which are likely to have a significant impact on the Securing the Future Strategy, Medium Financial Plan, Corporate Workforce Plan and Asset Management Plan.	Head of Finance/ Director (Environment)/ Corporate Human Resources Manager	A	Quarterly monitoring to EOT and MOWG – Ongoing	In progress. Quarterly monitoring to EOT and MOWG undertaken.	
Elected Member cooperation/ collaboration in setting priorities for the future.	Head of Public Service Reform, Culture and Community Development	A			
Budget monitoring process to highlight issues which may prevent Services from delivering within planned budget.	Head of Finance	A			

Strength

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Budget Review Process in line with Transformation Strategy.	Head of Finance	A			
Effective communication with members of the public around the budget process.	Head of Finance/ Head of Democratic Services	A		<p>Inclusion in latest issue of Perth & Kinross News, web page developed and added to front page of website and social media messaging/promoted posts scheduled for coming weeks.</p> <p>Budget consultation commenced 1 December 2015.</p>	Feature appeared in the Winter 2015 Perth & Kinross News in relation to the online budget calculator and information featured on the website and in social media. An update on the results was then provided in the committee report and the final budget confirmed in a press release on our website, in social media and in the Spring 2016 issue of Perth & Kinross News.

Strength

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- B** Controls require further development
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CORPORATE RISK 5 Deliver the Council's Capital Programme

The Council's Capital Programme delivers a wide range of major infrastructure projects. Significant controls are in place to ensure that the Council continues to deliver this programme. Progress and levels of slippage are routinely monitored and scrutinised.

Relevant Strategic Objectives: Giving every child the best start in life; Developing educated, responsible and informed citizens; Promoting a prosperous, inclusive and sustainable economy; Supporting people to lead independent, healthy and active lives; and Creating a safe and sustainable place for future generations.

Risk manager The Environment Service
Risk impact with controls 3 - Major
Risk probability with controls 2 - Unlikely
Risk control effectiveness B – Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Effective leadership of the delivery of the programme.	Depute Chief Executive (Sustainability, Strategic and Entrepreneurial Development)	A	Implement actions from review - Ongoing	In progress. Improvements to the delivery of the Capital Programme will continue to be made and monitored.	
Financial and Service Capital Programmes in place.	Depute Chief Executive (Sustainability, Strategic and Entrepreneurial Development)	A	Develop Overall Capital Programme – Ongoing	In progress. An overall Capital Programme has been developed which contains information on project management responsibility, budget and phasing.	

Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Draft contract arrangements in place to take due account of the need to ensure probity in the expenditure of public money.	Head of Legal & Governance Services	B We may wish to consider downgrading this risk	Further review to be carried out as part of the Best Value Property Review and rolled out for the other types of contracts if agreed – Ongoing	Review of procurement completed December 2015. Implementation of resulting action plan is ongoing A revision of the Council Contract Rules and Guidance has commenced. Due for completion by March 2017. A Contracts Review Panel comprising the Head of Legal & Governance Services, the Chief Accountant and the Corporate Procurement Manager now fulfils the role originally envisaged for the Strategic Advisory Group . Action Complete	
Financial regulations in place to ensure that contract arrangements take due account of the need to ensure probity in the expenditure of public money.	Head of Finance	A		Biennial review to commence in 2016.	The updated Financial Regulations will be considered by Council on 14 December 2016.
Management					
Effective scrutiny arrangements in place to enable officers to monitor performance of Capital programme to achieve delivery. Performance arrangements established to confirm performance to EOT, Strategic Investment Group (SIG), SMTs, Corporate Resources Group (CRG) and Committee.	Depute Chief Executive Sustainability, Strategic and Entrepreneurial Development	B		In progress. Reports are considered by SIG on a bi-monthly basis. SP&R Committee approved revised report criteria (report 15/396 refers) on 23 September 2015 for the initial officer assessment of capital funded projects and revised business case templates for capital funded projects.	
A Programme Board for the programme (CRG) has been approved by EOT to monitor progress against key targets and milestones and highlight any issues which are likely to have an impact on the plan.	Depute Chief Executive Sustainability, Strategic and Entrepreneurial Development	B			

Strength

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CORPORATE RISK 6**Maintain security of information and prevent public sector fraud and corruption**

In response to Police Scotland advice, it is proposed that there is a new corporate risk around prevention of public sector fraud and corruption. This includes insider corruption through bribery or intimidation. Better prevention, detection and systems to prevent public sector corruption across all Council Services is essential to our approach to dealing with the current financial pressures we face. In addition, risks are identified in relation to cyber security and maintaining the safety of the Council's information.

Relevant Strategic Objectives: Giving every child the best start in life; Developing educated, responsible and informed citizens; Promoting a prosperous, inclusive and sustainable economy; Supporting people to lead independent, healthy and active lives; and Creating a safe and sustainable place for future generations.

Risk manager Housing and Community Care
Risk impact with controls 4 - Major
Risk probability with controls 3 - Possible
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Fraud and Corruption Policy 2006 sets out the arrangements put in place by the Council to ensure members, employees and contractors behave with honesty and integrity in all their actions in the public service.	Head of Legal & Governance Services/ Head of Finance	B	Training provided to staff to ensure they are aware of how the new policy will apply in the work place – December 15	Revised Timescale – December 16. The high level risk assessments have now been completed for the Services. Counter Fraud and Corruption elearning packages are being reviewed with a view to rolling these out throughout the Council.	
Information Management Strategy.	Head of Legal & Governance Services	B	Strategy to be re-drafted. Final version to be in place – March 16	Revised Timescale – March 17. Development of the Information Management Strategy has begun.	Development of the Information Management Strategy is underway.
Contract rules provide policy and guidance on contract and tendering activity.	Head of Legal & Governance Services	A			

Key:**Strength**

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Councillor's Code of Conduct sets out the standards of behaviour expected of Councillors in Perth and Kinross including gifts and hospitality, use of Council resources and personal conduct.	Head of Legal & Governance Services	A			
Employees' Code of Conduct sets out the standards of behaviour expected of Council employees including gifts and hospitality, use of Council resources and personal conduct.	Corporate Human Resources Manager	A	Roll out of updated e-learning module – October 15	Revised timescale - March 16. The employee Code of Conduct and accompanying managers' guidance has been implemented since 2014. The new version of the e-learning module is due to be rolled out.	Complete: eLearning Module was deployed in March 2016 with the move to Brightwave elearning. An Inside News Bulletin was issued to employees on 2 March promoting the new e-learning module.
Gifts and Hospitality Policy and Procedures introduced in 2011 to supplement the rules set out in the Council's Financial Regulations and Employee Code of Conduct.	Head of Legal & Governance Services	A			
Participation in the National Fraud Initiative and arrangements in place for investigating and reporting data matches identified by NFI.	Head of Finance/ Head of Finance & Support Services	A	Undertake data matching exercise using the electoral register to detect any potential fraud – March 16	In progress. Data matching is well progressed. Information will be available in March 2016 in respect of the initiative.	Complete: All work associated with Housing Benefit has been completed. The next data matching information is expected in November 2016 and appropriate plans are in place.
Management					
Counter Corruption Group established to ensure collaboration with Police Scotland and other agencies with an anti-crime role.	Director (Housing & Community Care)	B	Continue to maintain the Integrity Group within the Community Planning structure at a tactical level reporting to the thematic head for Community Safety who will report to the Community Safety and Environment Delivery Group and thereafter to the CPP - Ongoing	In progress. Governance arrangements include an Integrity Group chaired by the Director (Housing & Community Care) with a remit to reduce organisational vulnerabilities across services and functions through a preventative approach.	

Key:

Strength

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Corporate Policy and Governance Group in place.	Head of Legal & Governance Services	A			
Risk based internal audit plan is prepared annually to provide assurance on the operation of control systems which are designed to detect fraud and irregularities.	Head of Finance	A			
Whistleblowing Procedures.	Head of Finance	A	Risk assessment training – December 15	Revised timescale - April 16. The risk assessment framework is currently being piloted. The risk assessment exercise was due to be completed by 31 December 2015, however, two Services have yet to complete risk assessments and have been requested to do so as a matter of urgency. Once complete and analysed, training will be procured and rolled out throughout the Council.	Revised timescale: December 16. The high level risk assessments have now been completed for the Services. Counter Fraud and Corruption elearning packages are being reviewed with a view to rolling these out throughout the Council.
Written procedures are in place for all significant Council activities, that incorporate the appropriate internal controls to deter fraud or corruption.	Head of Finance	B	This should form part of service risk assessments. In addition, as part of internal audit reviews, these controls will be examined and tested for adequacy and effectiveness – ongoing.	In Progress – this action will remain ongoing for the foreseeable future	
High standards in the recruitment, training and development of employees in order to ensure that all are able to reinforce the high ethical standards of the Council by their leadership and example.	Corporate Human Resources Manager	A	Review the Council's Recruitment Selection Policy and procedures including processes for vetting/screening employees – 2015	Revised timescale - March 16. The Council's Safer Recruitment Toolkit has been refreshed and is about to be piloted by Children & Families. Eric recruitment page to be relaunched.	Revised timescale: 31 October 2016 PKC is participating in the Care Inspectorate/SSSC working group revising the national guidelines for safer recruitment, launching 31 October 2016. PKC toolkit and Eric recruitment page will be relaunched to coincide with national launch. Pilot carried out in Children & Families.

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
			Revise corporate induction programme to highlight employee responsibilities in this area – 2015	<p>Revised timescale - Ongoing. A refreshed Corporate Induction Programme was launched in November 2015 including updated Eric pages and a digital induction guide.</p> <p>Quarterly half day corporate induction events and monthly learning lunches aimed at managers providing a welcoming, supportive induction for new employees are currently ongoing.</p>	Complete: Half day corporate induction events will continue to take place on a quarterly basis. Monthly learning lunches will continue to be offered to managers to support them with induction of new employees.
Arrangements in place for the management of information risk including an information security policy and standards.	Senior Information Risk Owner / Head of Legal & Governance Services	A	Maintain PSN Compliance annually – September 15	Completed. This action is complete and will continue to be subject to ongoing monitoring and review.	
			Awareness raising sessions and training programme – Ongoing	In progress. The Information Security page on Eric has been amended to include general items of information security news. The Information Security e-learning module will be reviewed following its implementation in the Council's new e-learning system.	

**Key:
Strength**

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

CORPORATE RISK 7**Ensure the health, safety and wellbeing of Council employees and those who are affected by the Council's work**

Perth and Kinross Council recognises its responsibilities and obligations to ensure, so far as reasonably practicable, the health, safety and wellbeing of all employees and other persons who might be affected by the Council's undertakings in accordance with the Health & Safety at Work etc. Act 1974 and associated legislation. Maintaining these health and safety standards is a key area of risk for all Council Services.

Relevant Strategic Objectives: Creating a safe and sustainable place for future generations.

Risk manager

The Environment Service

Risk impact with controls

4 - Major

Risk probability with controls

2 - Unlikely

Risk control effectiveness

B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Corporate Health Safety and Wellbeing Consultative Committee provides direction, a means of regular consultation between Perth & Kinross Council elected members, Chief Officers and employees through trade union representatives and a forum for the discussion of corporate health & safety matters.	Head of Performance & Resources	A			
Health, Safety and Wellbeing – Occupational Health and Safety Policy sets out how Perth & Kinross Council manages the health, safety and wellbeing of its employees and those who are affected by the organisation's work.	Head of Performance & Resources	A			

Key:**Strength**

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Management					
Two monthly reporting to the Executive Officer Team on health & safety issues and policy ensures that Council's overall approach to health and safety is rigorously monitored and reviewed.	Head of Performance & Resources	A			
The Corporate Management Group has a strategic role to manage and improve health & safety performance.	Head of Performance & Resources	A			
Performance is reported as part of Corporate and Service level annual health & safety reports and quarterly reports to Service Management Teams, Corporate Management Group, Executive Officer Team and Health, Safety and Wellbeing Consultative Committee.	Head of Performance & Resources	A			
Service Health and Safety Consultative arrangements provide a means of regular consultation between Service Management representatives and employees, providing a forum for the discussion of Service health & safety matters.	Head of Performance & Resources	A			

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Occupational Health Policy promotes good health at work through health screening and surveillance and preventative medical services as well as health promotion and education initiatives as appropriate.	Head of Performance & Resources	A			
Additional Management Arrangements and procedures where appropriate provide details of responsibilities in relation to topic specific hazards.	Head of Performance & Resources	A	Implementation of management arrangements – Ongoing	In progress. Management arrangements are in place on an ongoing basis.	
Health & Safety Team Co-ordinators have been identified as being responsible for ensuring activities and workplaces are assessed to identify risks and determine the suitability of preventative measures put in place and to develop Safe Systems of Work.	Head of Performance & Resources	B	Introduce and develop health and safety performance records that will clearly identify service responsibilities and use these records as an auditing tool	In progress. Each service has a programme of individual risk profile exercises which are complete. Performance Monitoring Records issued by March 2016. Performance Monitoring Records have been issued to all Health & Safety Team Coordinators.	In progress: Performance monitoring records all issued to Health and Safety Team Co-ordinators. All services assessed by Health, Safety & Wellbeing as per the information provided in their risk profile – high, med-high, medium, low medium, low. All high and med-high services will have an interim visit by an advisor to review progress of the service's highest risk areas by December 2016. Visits to those assessed as medium risk to commence January 2017.
The training needs of all employees are regularly assessed using the employee review and development scheme and where appropriate information, instruction and training on health & safety matters are provided.	Head of Performance & Resources	A			

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
The effective communication, by managers, of policies, procedures and safe working practice assist in achieving high standards of health & safety performance.	Head of Performance & Resources	A	Build on existing practices under the new management arrangements – Ongoing	In progress. Policies, procedures and safe working practices are regularly reviewed.	
Council premises remain safe through appropriate repair, maintenance, inspection, examination and testing regimes.	Head of Property	B	A review of all property compliance has been undertaken with a number of improvement actions identified	In progress. The Compliance Team has formally been established since late summer 2015. A review of all contracts and specifications has been undertaken leading to a revised contract strategy being proposed. Associated with this - all existing contracts are extended and the specifications reviewed and refreshed to deliver the appropriate level and quality of service. Legionella, gas safety and fire risk assessments are in place. The revised contract strategy is planned to be implemented in October 2016.	Existing compliance contracts have now been extended to terminate on 31 March 2017; new contracts have been tendered and bids are currently being assessed to commence on 1 April 2017.
Corporate Health, Safety & Wellbeing Team provides advice and supports the preparation, formulation, development, monitoring and auditing of health & safety arrangements throughout the Council.	Head of Performance & Resources	B	Start a Review Programme following the introduction of Health and Safety Performance Records.	In progress. Review programme to monitor compliance to commence in May 2016.	In progress. Interim reviews started in May 2016 looking at all high and high/medium risk activities. These will continue until the end of the financial year (April 2017). Thereafter a full review and reporting process will be implemented to fit with the Corporate Health, Safety and Wellbeing Consultative Committee quarterly cycle.

Key:
Strength

A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

CORPORATE RISK 8 Effective corporate governance

As a public body, the Council is required to operate to the highest possible standards, is subject to scrutiny by other bodies and is accountable to the public. The Council must conduct its business in accordance with the law and ensure that public money is safeguarded, properly accounted for, and used appropriately. To fulfil these duties, the Council has put in place arrangements for the governance of its affairs.

Relevant Strategic Objectives: Giving every child the best start in life; Developing educated, responsible and informed citizens; Promoting a prosperous, inclusive and sustainable economy; Supporting people to lead independent, healthy and active lives; and Creating a safe and sustainable place for future generations.

Risk manager	The Chief Executive's Service
Risk impact with controls	5 - Critical
Risk probability with controls	1 - Rare
Risk control effectiveness	B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Perth and Kinross Council Corporate Plan 2013-18 sets out the vision for the area and how the Council will deliver on its strategic objectives and local outcomes.	Chief Executive	A	<p>Review of Corporate Governance – 30 April 16</p> <p>Review of Corporate Governance – 31 December 16</p> <p>Review of Corporate Governance – 31 March 17</p>	<p>In Progress. A phased programme of review activity is planned.</p> <p>Phase 1:</p> <ul style="list-style-type: none"> • Redesign internal Governance Assurance Process • Develop governance framework for Integrated Joint Board • Review / revise governance arrangements for ALEOs to bring within scope of AGS assurance process • Develop new Local Code on Following the Public Pound • Revise remit of Policy & Governance Group <p>Phase 2:</p> <ul style="list-style-type: none"> • Review of contract commissioning, monitoring and management arrangements • Review Following the Public Pound arrangements across all services <p>Phase 3:</p> <ul style="list-style-type: none"> • Review the remit of audit and scrutiny functions to encompass performance aspect of governance as well as compliance 	<p>On target: 31 March 2017. Phase 1 of the review was complete in June 2016. Phase 2 of the review is currently in progress. The review is on target to meet the deadline of 30 March 2017. Phase 2 and 3 are on target. Phase 2 has commenced.</p> <p>Phase 2:</p> <ul style="list-style-type: none"> • Review of contract commissioning, monitoring and management arrangements • Review Following the Public Pound arrangements across all services <p>Phase 3:</p> <ul style="list-style-type: none"> • Review the remit of audit and scrutiny functions to encompass performance aspect of governance as well as compliance • Refresh Council's Local Code of Corporate Governance • Review key policies and processes to align with the principles of the International Framework of Good

Key:
Strength

A	Controls are working effectively
B	Controls require further development
C	Significant controls not operating effectively
D	Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
				<ul style="list-style-type: none"> Refresh Council's Local Code of Corporate Governance Review key policies and processes to align with the principles of the International Framework of Good Governance in the Public Sector Develop information management strategy 	<ul style="list-style-type: none"> Governance in the Public Sector Develop information management strategy
Perth and Kinross Community Plan/ SOA 2013-23 sets out the shared vision for the area and how the Council will work with other Community Planning Partners.	Chief Executive	A	<p>Develop joint resourcing arrangements across the CPP – December 15</p> <p>Implement recommendations from the Community Empowerment Working Group to strengthen community insight to SOA delivery processes – April 16</p>	<p>The joint resourcing pilot in Eastern Perthshire has developed and is implementing an action plan to deliver service improvements for workless households in the locality. Outcome Delivery Plans 2015/16 have been delivered and have provided six monthly updates to CPP Board. These will continue to be delivered in 2016/17 with updates to CPP Board. A series of workshops were held with elected members in November and December to discuss the Community Empowerment Act and plans for Local Community Planning Partnerships. A workshop with elected members and Heads of Service was held on 8 March to carry out scenario planning for the Local Community Planning Partnership arrangements.</p> <p>Revised timescale – September 16. Joint resourcing is in progress within Eastern Perthshire, and will be rolled out to the rest of the localities.</p> <p>In progress. Plans for Local Community Planning Partnerships are advancing with a start date of April 2016. Initial meetings, which will involve elected members, community reps and services will examine the SOA in relation to the locality and Story of Pace. Governance, Organisational Development and Communications currently being developed and implemented.</p> <p>Revised timescale – June 16. Draft statutory guidance for the Community Empowerment Act have been received late March 16, for consultation. A response to the consultation is currently being prepared.</p>	<p>In progress. Joint Resourcing Pilot reported progress to CPP Boards in April and September and the Economy and Lifelong Learning ODG. Recommendations were approved by both and a detailed action plan is being implemented alongside service improvement work with front line workers in Blairgowrie and Rattray.</p> <p>Action Partnerships have been established with the first meeting commenced in October 2016.</p> <p>The Council responded to the draft regulations and finalised regulation has been published.</p>

Key:
Strength

A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
			Develop proposals for local Community Planning arrangements – April 16		Arrangements are now in place.
Medium Term Financial Plan.	Head of Finance	A			
Local Code of Corporate Governance sets out the decision-making processes of the Council, scrutiny and the role of statutory officers.	Chief Executive	B	Ensure staff and elected members understand the overarching nature of corporate governance – Ongoing	In progress – The Local Code of Corporate Governance will be refreshed in the final phase of the wider review of Corporate Governance once other governance review actions have been implemented– Timescale March 2017	Revised timescale: March 2017. The Local Code of Corporate Governance will be refreshed in the final phase of the wider review of Corporate Governance once other governance review actions have been implemented.
Scheme of Administration sets out membership, powers and responsibilities of the Council's committees, sub-committees and working groups and lists areas where the Council has delegated decision-making to officers.	Head of Democratic Services	A	Review Scheme to better reflect community planning responsibilities – December 15	Revised timescale – June 16.	Revised timescale – December 16.
Standing Orders set out rules for the regulation of proceedings and business of the Council and its Committees/Sub-Committees.	Head of Democratic Services	A	Review Standing Orders to ensure they remain relevant and fit for purpose – December 15	Revised timescale – June 16.	Revised timescale – December 16.
Protocol for Member/ Officer Relations.	Head of Democratic Services	A	Ensure elected members and staff are aware of the protocol and requirement to abide by it – January 16	Revised timescale – 31 March 16.	Complete

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Councillor's Code of Conduct sets out the standards of behaviour expected of Councillors in Perth and Kinross including gifts and hospitality, use of Council resources and personal conduct.	Head of Legal & Governance Services	A			
Contract rules provide policy and guidance on contract and tendering activity.	Head of Legal Services	A	Revise policy against new procurement legislation – March 16	Revised timescale – 31 July 16. The new regulations are still to be published but it is hoped that these will be available in April 2016. Revised timescale of end July 2016 covers revision of contract rules, guidance and all other documentation.	Revised timescale: February 2017. New rules have been drafted, but require further input from the Procurement Team.
Financial regulations in place to ensure that contract arrangements take due account of the need to ensure probity in the expenditure of public money.	Head of Finance	A			
Fraud and Corruption Policy 2006 sets out the arrangements put in place by the Council to ensure members, employees and contractors behave with honesty and integrity in all their actions in the public Service.	Head of Legal & Governance Services/Head of Finance	B	Training provided to staff to ensure they are aware of how the new policy will apply in the work place – December 15	Revised Timescale – December 16. The high level risk assessments have now been completed for the Services. Counter Fraud and Corruption elearning packages are being reviewed with a view to rolling these out throughout the Council.	Revised timescale: March 2017. Rolling out of training.
Whistleblowing Procedures.	Head of Finance	A	Include Whistleblowing procedures in e-learning module – July 16	New action. Whistleblowing procedures are in place. The procedures will be included within the CIPFA e-learning module referred to above.	
Employees' Code of Conduct sets out the standards of behaviour expected of Council employees including gifts and hospitality, use of Council resources and personal conduct.	Corporate Human Resources Manager	A	Consultation with Trade Unions concluded on e-learning module – April 15.	Completed. Delay due to roll out of Brightwave. Inside News Bulletin issued 2 March 2016. All employees and other workers who carry out work for or on behalf of the Council should complete the Employee Code of Conduct eLearning module which is now available and can be found in 'PKC Essentials' on Learn Innovate Grow online (LIGo).	

Key:
Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Code of Guidance on Following the Public Pound.	Head of Legal & Governance Services	A	Working group currently working on simplifying the rules – March 16	<p>In progress. It is still anticipated that a final draft will be complete by 31 March 2016 for submission to the EOT.</p> <p>Initial scope of improvement has been extended to ensure more effective governance around FPP spend in light of the amount of spend identified in 2014/15 annual report (approx. £10M distributed to 200+ organisations).</p> <p>New Draft Code of Guidance being further reviewed in light of anticipated changes to procurement legislation.</p> <p>Practical toolkit is being developed to complement the Code and assist Officers.</p> <p>Review of existing FPP arrangements across the organisation to be reviewed to ensure alignment with commissioning and procurement legislation and good practice.</p>	<p>Complete: the Code of Guidance is complete and has been approved by SP&R</p> <p>In Progress: the review of existing FPP arrangements across the organisation are under review in conjunction with the Corporate Procurement Manager.</p>
Management					
The Chief Executive and Executive Officer Team meet every two weeks as the Executive Officer Team; and the Chief Executive and Depute Chief Executives meet weekly as the Chief Executive Group.	Chief Executive	A		These meetings continue to be held on an ongoing basis.	
Strategic Investment Group monitors all capital projects and meets on an eight weekly basis.	Chief Executive	A		The Strategic Investment Group continues to meet on an 8 weekly basis.	

Key:
Strength

A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Directors and Heads of Service meet as the Corporate Management Group which has a key role in the development and implementation of Council strategy and policy.	Directors	A	Corporate Management Group development programme in place – January 16	Completed. A programme of meetings is in place. Some of these meetings will be used to facilitate the Senior Leadership Development Programme that has been established.	
Corporate Policy and Governance Group in place.	Head of Legal & Governance Services	A			
Performance and risk management framework in place against the Corporate Plan and Community Plan/SOA including annual report to Council and monthly reports to EOT.	Head of Strategic Commissioning and Organisational Development	A			
Corporate Risk Management Strategy identifies the key areas of risk linked to delivery of the Council's strategic objectives and how these are being managed by the Council.	Head of Strategic Commissioning and Organisational Development	A	Review of Risk – June 16	New Action. Review of Risk underway. Findings to be incorporated with Annual Report scheduled for SP&R Committee in June 16.	In Progress: Annual Risk report to go to SP&R Committee in November 2016. New Risk Strategy to go to SP&R/Scrutiny Committees in February 2017.
Service Business Management and Improvement Plans underpin Council's key strategic documents which are reported on six monthly.	Head of Strategic Commissioning and Organisational Development	A			

Key:
Strength

A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Budget Review Process in line with Transformation Strategy. Service Revenue Budget proposals are updated to reflect progress on the delivery of the Council's Transformation Strategy.	Head of Finance	A		The three year Revenue Budget was approved at Council on 11 February 2016.	
Budget monitoring process to highlight issues which may prevent Services from delivering within planned budget.	Head of Finance	A	Continued regular revenue and capital monitoring reporting to the Strategic Policy and Resources Committee and the Executive Officer Team. Reports to Committee – February, April, October and December	In progress. Revenue Monitoring Reports for 2015/16 were considered by SP&R Committee on 23 September 2015, 2 December 2015 and 10 February 2016. The next report to Committee will be on 20 April 2016.	Report to SP&R in April 2016.
Signed agreements and monitoring arrangements in place with external agencies for services provided: This includes regular reporting to Service Senior Management Teams and the Purchased Services Board within Housing and Community Care.	Directors	A	Review client monitoring arrangements in place with Live Active Leisure and Horsecross – Ongoing	In progress. Longer term client monitoring arrangements are being reviewed in context of wider review of procurement and contracting processes across ECS. Interim Change Manager is monitoring both Live Active Leisure and Horsecross pro tem.	
Mechanisms in place for effective communication/ collaboration with elected members in setting priorities for the future and informing policy.	Head of Democratic Services	A	Review the member development programme to ensure members are fully informed of the public sector reform agenda – Ongoing	Completed. Now in implementation phase.	

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Risk based internal audit plan is prepared annually to provide assurance on the operation of control systems which are designed to detect fraud and irregularities.	Head of Finance	A	Internal Audit will complete its approved plan on time and will continually evaluate any changes to the control environment - Ongoing	In progress. This is an end of year target. Currently on schedule for completion by 31 March 16 for planned activity.	Currently on schedule for completion by 31 March 2017.
Arrangements in place for the management of information risk including an information security policy and standards.	Senior Information Risk Owner/ Head of Legal & Governance Services	A			
Council's employment policies and practices promote the public sector equalities duties, are legally compliant and support Council objectives.	Corporate Human Resources Manager	A		The Shared Parental Leave Policy was approved by CMG in April 2015 and has now been implemented. To date, four applications have been received - three Non-Teaching applications and one Teaching application.	
Annual review of governance framework and production of Annual Governance Statement provides assurance to the public about the way the Council is run.	Head of Legal & Governance Services	A	Annual review of governance framework – June 16	New Action. Expected completion date June 16.	Revised timescale: March 2017. As part of the Review of Corporate Governance above.
Right First Time Guidance on decision making.	Head of Legal & Governance Services	B	This action point has been superseded. Effective decision making will be looked at in the wider review of Corporate Governance being carried out by the Head of Legal and Governance Services	Governance Review Scope complete December 2015 Phase 1 of the review complete June 2016 Phase 2 in progress. Timescale March 2017	Revised timescale: March 2017. Governance Review Scope completed December 2015. Phase 1 of the review complete June 2016. Phase 2 in progress.
Committee Report Template.	Head of Democratic Services	A			

Key:
Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

CORPORATE RISK 9 Growing the Economy

The current economic climate is improving and our population is projected to grow by 24% by 2037, which is the third highest in Scotland. Our response is to tackle the obstacles to economic growth that exist within Perth and Kinross to accelerate recovery and promote economic security. The restoration of Perth's city status has presented the Council with a unique opportunity to maximise the potential of Perth as a catalyst for the area's economic growth.

Relevant Strategic Objectives: Promoting a prosperous, inclusive and sustainable economy.

Risk manager The Environment Service
Risk impact with controls 4 - Moderate
Risk probability with controls 2 - Unlikely
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Employability Strategy and Action Plan in place.	Head of Planning & Development	B	The Growing the Economy Group requested a new Economic Development Strategy in December 2015 to super cede the existing, stand-alone Employability Strategy and asked for it to be completed by the end of October 2016.	In progress. The new Economic Development Strategy and Action Plan are being drafted and should be completed by the end of October 2016. It will then be presented to the Growing the Economy Group before the Outcome Delivery Group and Enterprise and Infrastructure Committee before Christmas 2016. Resource constraints are the biggest risk to this timescale being met.	The Employability Strategy is going to SP&R on 20 November.
Economic & Lifelong Learning Outcome Delivery Group Action Plan in place.	Head of Planning & Development	A			
Perth City Plan in place.	Head of Planning & Development	A			
Events and Festivals Strategy in place to provide a strategic framework for the Council's approach to the attraction and development of events and festivals in order to deliver economic growth.	Head of Planning & Development	A			

Key:
Strength
A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Strategic and local development plans and policies set out a vision of how Perth and Kinross should develop in a sustainable way.	Head of Planning & Development	A	Work on supplementary guidance – Ongoing	In progress. MIR prepared for LDP2 in line with statutory requirements to refresh the plan. Public consultation from late November 2015.	Refresh the Local Development Plan 2 (LDP2) – Ongoing In progress: Public consultation has now been concluded and submissions are now being analysed in line with the development plan scheme timetable.
A programme of activity for key sector areas such as tourism, and food & drink is in place through the ODG plan.	Head of Planning & Development	A	Implement the ODG plan – Ongoing	In progress. The CPP Economy and Lifelong Learning Outcome Delivery Group (ODG) have now been tasked with monitoring progress.	
Sustainable development framework in place to manage the impact of plans, programmes and strategies on people, the economy and the environment.	Head of Planning & Development	A			
Management					
Economy and Lifelong Learning Outcome Delivery Group (ODG) established.	Depute Chief Executives	A	Implement the ODG plan – Ongoing	In progress. A monitoring report on progress against the plan is reporting quarterly to the ODG.	
City Development Board in place to support delivery of Perth City plan.	Head of Planning & Development	A	Priorities for Perth City being developed in line with the Perth City Plan. Project and performance management arrangements in place to monitor Council progress in implementing the City Development Strategy and highlight any issues which may impact on delivery of the strategy in line with the Perth City Plan – Ongoing	Completed.	

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Participation in Scottish Cities Alliance.	Depute Chief Executive (Sustainability, Strategic and Entrepreneurial Development)	A	Perth leading on Smart City programme for Scottish Cities Alliance – Ongoing	In progress. Actively working with other cities on developing an ERDF Bid for Smart City Funding to support a wide range of projects.	There is an ongoing work programme in relation to infrastructure delivery, inward investment, low carbon development and smart cities.
City Deal opportunities to fund city growth.	Depute Chief Executive (Sustainability, Strategic and Entrepreneurial Development)	B	Develop a City Deal – Ongoing	In progress. Working in partnership with colleagues in Dundee, Angus and Fife to potentially develop a city plan based on the TAYplan area. A draft bid was submitted in March 2016.	
Annual reporting to members and Executive Officer Team on the implications of planning for growth and the impact that growth will have on communities and all services in an integrated and sustainable way. Full analysis of census 2011 and quarterly Economic Bulletins..	Head of Planning & Development	B		Completed.	
The Housing Land Audit gives details of the housing land supply in Perth and Kinross and is an important source of information for the monitoring of the Perth & Kinross Structure Plan.	Head of Planning & Development	A		Council approved the Proposed TAYplan 2016-2036 in February 2015.	

Key:
Strength

A Controls are working effectively
B Controls require further development
C Significant controls not operating effectively
D Significant controls do not exist or have broken down

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
The Employment Land Audit gives details of the land supply in Perth and Kinross and is an important source of information for the monitoring of the Perth & Kinross Structure Plan.	Head of Planning & Development	A			
Infrastructure planning in place to support anticipated growth.	Depute Chief Executive (Sustainability, Strategic and Entrepreneurial Development)	B	Perth Transport Futures project completion in accordance with anticipated growth – 2020	In progress. A9/A93/A94 scheme committed for completion in 2020.	
Developer Contributions Policy in place.	Head of Planning & Development	A		Policy effectiveness is being monitored.	
Objectives, targets and governance arrangements in place for the Digital Connectivity Projects.	Head of Planning & Development	A	Better monitoring of project progress – Ongoing	In progress. Progress is regularly tracked through reports from Ofcom, Scottish Government and internal information which is then reported to the Enterprise & Infrastructure Committee.	

Key:

Strength

- A** Controls are working effectively
- B** Controls require further development
- C** Significant controls not operating effectively
- D** Significant controls do not exist or have broken down

CORPORATE RISK 10 Policy and legislative reform agenda

The Scottish Government has embarked upon a programme of public service reform to ensure the public, third sector and private organisations work more effectively in partnership with communities and with each other. The Council responds to changes in policy and legislation to design and deliver excellent public services which meet the needs of local people.

Relevant Strategic Objectives: Giving every child the best start in life; Developing educated, responsible and informed citizens; Promoting a prosperous, inclusive and sustainable economy; Supporting people to lead independent, healthy and active lives; and Creating a safe and sustainable place for future generations.

Risk manager The Chief Executive Service
Risk impact with controls 5 - Critical
Risk probability with controls 1 - Rare
Risk control effectiveness B - Controls require further development

Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Leadership					
Perth and Kinross Council Corporate Plan 2013-18 sets out the vision for the area and the Council's response to public service reform.	Chief Executive	A	<p>Review of Corporate Governance – 30 April 16</p> <p>Review of Corporate Governance – 31 December 16</p>	<p>In progress. A phased programme of review activity is planned.</p> <p>Phase 1:</p> <ul style="list-style-type: none"> Redesign internal Governance Assurance Process Develop governance framework for Integrated Joint Board Review / revise governance arrangements for ALEOs to bring within scope of AGS assurance process <p>• Develop new Local Code on Following the Public Pound</p> <p>• Revise remit of Policy & Governance Group</p> <p>Phase 2:</p> <ul style="list-style-type: none"> Review of contract commissioning, monitoring and management arrangements Review Following the Public Pound arrangements across all services <p>Phase 3:</p> <ul style="list-style-type: none"> Review the remit of audit and scrutiny functions to 	<p>On target – 31 March 2017. Phase 1 of the review was complete in June 2016. Phase 2 of the review is currently in progress. The review is on target to meet the deadline of 30 March 2017. Phase 2 and 3 are on target. Phase 2 has commenced.</p> <p>Phase 2:</p> <ul style="list-style-type: none"> Review of contract commissioning, monitoring and management arrangements Review Following the Public Pound arrangements across all services <p>Phase 3:</p> <ul style="list-style-type: none"> Review the remit of audit and scrutiny functions to encompass performance aspect of governance as well as compliance Refresh Council's Local Code of Corporate Governance Review key policies and processes to

Key:
Strength

A Controls are working effectively
B Controls require further development
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			Review of Corporate Governance – 31 March 17	encompass performance aspect of governance as well as compliance <ul style="list-style-type: none"> • Refresh Council's Local Code of Corporate Governance • Review key policies and processes to align with the principles of the International Framework of Good Governance in the Public Sector • Develop information management strategy 	align with the principles of the International Framework of Good Governance in the Public Sector <ul style="list-style-type: none"> • Develop information management strategy
Perth and Kinross Community Plan/ SOA 2013-23 sets out how the Council will work with other Community Planning Partners to deliver public service reform.	Chief Executive	A	<p>Develop joint resourcing arrangements across the CPP – December 15</p> <p>Implement recommendations from the Community Empowerment Working Group to strengthen community insight to SOA delivery processes – April 16</p> <p>Develop proposals for local Community Planning arrangements – April 16</p>	<p>The joint resourcing pilot in Eastern Perthshire has developed and is implementing an action plan to deliver service improvements for workless households in the locality. Outcome Delivery Plans 2015/16 have been delivered and have provided six monthly updates to CPP Board. These will continue to be delivered in 2016/17 with updates to CPP Board. A series of workshops were held with elected members in November and December to discuss the Community Empowerment Act and plans for Local Community Planning Partnerships. A workshop with elected members and Heads of Service was held on 8 March to carry out scenario planning for the Local Community Planning Partnership arrangements.</p> <p>Revised timescale – September 16. Joint resourcing is in progress within Eastern Perthshire, and will be rolled out to the rest of the localities.</p> <p>In progress. Plans for Local Community Planning Partnerships are advancing with a start date of April 2016. Initial meetings, which will involve elected members, community reps and services will examine the SOA in relation to the locality and Story of Pace. Governance, Organisational Development and Communications currently being developed and implemented.</p> <p>Revised timescale – June 16. Draft statutory guidance for the Community Empowerment Act have been received late March 16, for consultation. A response to the consultation is currently being prepared.</p>	<p>Joint resourcing pilot in Eastern Perthshire has concluded. Further development work has been paused, due to other priority work developing Action partnerships, meeting Community Empowerment Act requirements and, creating the new Local Outcome Improvement Plan.</p> <p>Following the receipt of Scottish Government guidance, a timetable for production of the new Community Plan has been prepared and approved by the CPPEOG. This includes timescales and provision for community engagement.</p> <p>Local Action partnerships have been established in five areas, with initial meetings of each Partnership held in October/November 2016.</p>

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Service Business Management and Improvement Plans underpin Council's key strategic documents setting out detailed plans to respond to reforms.	Head of Strategic Commissioning and Organisational Development	A			
Outcome Delivery Plans underpin the Community Plan/ SOA 2013-23 and set out in detail how Community Planning Partners will deliver on the public service reform agenda.	Head of Public Service Reform, Culture and Community Development	B	Further develop Outcome Delivery Plans to ensure they reflect latest developments in public service reform – April 16	<p>Revised timescale – June 16. Outcome Delivery Plan improvement recommendations were agreed by CPP Board in February 2015. ODP six monthly reports were presented to CPP Board in December 2015 and are next scheduled to report on 10 June 2016.</p> <p>Due to changes in the Community Planning framework approved by Council and CPP Board in Nov/Dec 2016, a review of the reporting arrangements for the Outcome Delivery Groups will be needed. This is being carried out by the Community Planning Policy Team, and recommendations will be presented to CPP Board on 10 June 2016.</p>	<p>Current performance practice in community planning was reviewed by the Community Planning Policy Team and recommendations for improvements were agreed at EOT, CPPEOG and CPP Board in August/September 2016.</p> <p>The 'Performance Management and Reporting Framework in Community Planning' report laid out a framework to improve the performance culture in the CPP.</p>
Health and Social Care Integration Plan details key actions and milestones of the Integrated Health and Social Care Pathfinder Board.	Director (Housing and Community Care)	A			
Medium Term Financial Plan.	Head of Finance	A		This is complete but remains under regular review. Approved by Council on 1 July 2015 and updated by SP&R on 23 September 2015.	
Older People Joint Commissioning Strategy prepared as part of the Reshaping Care for Older People partnership in Perth and Kinross.	Director (Housing and Community Care)	A	The Strategy will be incorporated within a new Strategic and Joint Commissioning Plan covering all adult health and social care services in Perth and Kinross 2016-2019 – Ongoing	The final Strategic and Joint Commissioning Plan was submitted to the Integration Joint Board on 23rd March 2016 and to the Scottish Government on 31st March 2016	

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
<u>Early Years Strategy (2010)</u> provides overarching approach for everyone working with children in their early years of life.	Head of Education (Early Years and Primary)	A	Review and refresh Early Years Strategy to ensure it responds to legislation and incorporates all key strands of early years approach – December 15	Completed. The Redesign of Early Years – End of Phase 2 Report was approved by ECS SMT and outlined; the impact, significant achievements, lessons learned and what was being carried forward to Phase 3. Redesign of Early Years Phase 3 is now being undertaken as a transformational project (19) as part of the PKC transformational programme. The Outline Business Case has been updated accordingly.	
Strategic and local development plans and policies set out a vision of how Perth and Kinross should develop in a sustainable way.	Head of Planning & Development	A	Work on supplementary guidance – Ongoing	In progress. Local Development Plan 2 has commenced.	
Management					
Transformation, Change and Organisational Development Group meet on an 8 weekly basis.	Chief Executive	A		The Group continues to meet every eight weeks.	
The Chief Executive and Executive Officer Team meet every two weeks as the Executive Officer Team.	Chief Executive	A		The EOT continues to meet every two weeks.	
Community Planning Partnership Board meets quarterly to monitor CPP progress in delivery of the Perth and Kinross Community Plan/ SOA and has a standing item on public service reform.	Senior Depute Chief Executive	A			

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Outcome Delivery Groups established to take forward the local outcomes within the Perth and Kinross Community Plan/ SOA 2013/14 and consider impact of public service reform.	Head of Public Service Reform, Culture and Community Development	B	Performance management arrangements in place to ensure CPP Board receives regular information from Outcome Delivery Groups – Ongoing	In progress. Six monthly reports were presented to CPP Board in December 2015 and are next scheduled to report on 10 June 2016. Five new Local Community Planning Partnerships (LCPP) will come into being from April 2016. Over the course of 2016 we will support these LCPPs to develop their own role in reporting performance against local outcomes.	Current performance practice in community planning was reviewed by the Community Planning Policy Team and recommendations for improvements were agreed at EOT, CPPEOG and CPP Board in August/September 2016. The 'Performance Management and Reporting Framework in Community Planning' report laid out a framework to improve the performance culture in the CPP.
Community Empowerment Board feeds into the Perth and Kinross Community Planning Partnership to form a strategic link with Perth and Kinross communities and ensure effective engagement with people and communities is at the heart of local public service reform.	Chief Executive	A	The remit of the Community Empowerment Working Group will continue to develop to meet the requirements of the Community Empowerment Act and the CPP's implementation of locality working (from April 2016 onwards) – Ongoing	Updated action. The CEWG continues to deliver the work programme agreed by CPP Board in Feb 2015. This includes piloting participatory budgeting in two localities following the successful Carers event in February 2016, developing Stories of Place to support locality working and piloting participatory research in Tulloch. Members of the CEWG have been on a series of visits in Scotland and North East England to learn how community planning and community empowerment is carried out in other areas.	Ongoing: Following the 1st round of Community Action Partnerships meeting CEWG has provided feedback and recommendations in relation to community engagement and the progress of the Partnerships. These are currently being reviewed and implemented by the Action Partnership Chairs and Leads Group and the Community Planning Policy Team. CEWG is also contributing to the ongoing development of Stories of Place and approaches to Participatory Budgeting. A CEWG sub group is developing recommendations for Community Action Partnerships on effective communication methods and the locality based opportunities for community planning to reach a wider audience.
Perth and Kinross Integration Joint Board.	Director (Housing and Community Care)	A			
Directors and Heads of Service meet as the Corporate Management Group which has a key role in the development and implementation of Council strategy and policy.	Directors	A	Corporate Management Group development programme in place – January 16	Completed. A programme of meetings is in place. Some of these meetings will be used to facilitate the Senior Leadership Development Programme that has been established.	

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Performance and risk management framework in place against the Corporate Plan and Community Plan/SOA including annual report to Council and monthly reports to EOT.	Head of Strategic Commissioning and Organisational Development	A			
Budget Review Process in line with Transformation Strategy. Service Revenue Budget proposals are updated to reflect progress on the delivery of the Council's Transformation Strategy.	Head of Finance	A		The three year Revenue Budget was approved at Council on 11 February 2016.	
Budget monitoring process to highlight issues which may prevent Services from delivering within planned budget.	Head of Finance	A	Continued regular revenue and capital monitoring reporting to the Strategic Policy and Resources Committee and the Executive Officer Team. Reports to Committee - February, April, October and December	In progress. Revenue Monitoring Reports for 2015/16 were considered by SP&R Committee on 23 September 2015, 2 December 2015 and 10 February 2016. The next report to Committee will be on 20 April 2016.	
Joint resourcing guidance developed for Outcome Delivery Groups to use as they develop joint resourcing arrangements.	Head of Public Service Reform, Culture and Community Development / (Education and Children's Services)/ Finance and Business Support Manager (Housing and Community Care)	B	Provide support to Outcome Delivery Groups to improve joint use of resources – Ongoing	In progress. Joint Resourcing Pilot reported progress to CPP Boards in April and September and the Economy and Lifelong Learning ODG. Recommendations were approved by both and a detailed action plan is being implemented alongside service improvement work with front line workers in Blairgowrie and Rattray.	In progress. Joint Resourcing Pilot reported progress to CPP Boards in April and September and the Economy and Lifelong Learning ODG. Recommendations were approved by both and a detailed action plan is being implemented alongside service improvement work with front line workers in Blairgowrie and Rattray.

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Current Internal Controls	Control Owner	Strength	Improvement action and timescale	Progress update against improvement actions	Current – as at November 2016
Mechanisms in place for effective communication/ collaboration with elected members in setting priorities for the future and informing policy.	Head of Democratic Services	A	Review the member development programme to ensure members are fully informed of the public service reform agenda – Ongoing	Completed. Now in implementation phase.	
Ongoing briefings to staff via business breakfasts, manager briefings, delayed office opening and elected member development sessions to raise awareness of current developments in public service reform and potential impact on the Council.	Chief Executive and Directors	A		All are on-going. Recent examples include a planned programme of locality visits for elected members to hub nurseries with Strong Start 2 provision. Recent service business breakfasts have focused on understanding how LIG is being embedded in service developments.	

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Key

	Will achieve critical deadlines
	Monitor
	Monitor with concern
	Won't achieve critical deadlines

Service Risks

Chief Executive's Service Risks 2015 – 2016

Service Risks	Risk without controls in place		Risk with controls in place	
	Impact	Probability	Impact	Probability
Comply with legal requirements	Major	Possible	Minor	Unlikely
Communicate effectively with our stakeholders	Moderate	Likely	Minor	Unlikely
Provide the required level of independent assurance through the internal audit process	Critical	Possible	Moderate	Unlikely
Ensure the health, safety and wellbeing of Council employees and those who are affected by the Council's work	Critical	Possible	Minor	Unlikely
Corporate Risks (managed by Service)	Risk without controls in place		Risk with controls in place	
	Impact	Probability	Impact	Probability
Effectively manage changing financial circumstances	Critical	Likely	Major	Possible
Effective corporate governance	Critical	Unlikely	Critical	Rare
Policy and legislative reform agenda	Critical	Unlikely	Critical	Rare

Key

	Will achieve critical deadlines
	Monitor
	Monitor with concern
	Won't achieve critical deadlines

Education and Children's Services Risks 2015 – 2016

Service Risk	Risk without controls in place		Risk with controls in place	
	Impact	Probability	Impact	Probability
1. There is a risk that we fail to deliver on the Curriculum for Excellence	Major	Likely	Moderate	Rare
2. There is a risk that we do not identify and meet the additional support needs of children and young people	Major	Likely	Moderate	Unlikely
3. There is a risk that we fail to protect vulnerable children and families (Corporate Risk)	Critical	Likely	Major	Rare
4. Failure to effectively respond to business failure (business continuity)	Critical	Likely	Moderate	Unlikely
5. PKC IT service and infrastructure does not meet the needs of users	Critical	Likely	Moderate	Unlikely
6. Failure to deliver the ECS capital programme	Major	Possible	Moderate	Unlikely
7. There is a risk that we do not effectively engage with our communities	Major	Likely	Minor	Rare
8. There is risk that we do not ensure the health, safety and wellbeing of Council employees and those who are affected by the Council's work ¹	Major	Likely	Major	Unlikely

¹ Corporate Risk for which Services are required to develop service level controls and mitigating actions

Key

	Will achieve critical deadlines
	Monitor
	Monitor with concern
	Won't achieve critical deadlines

Housing and Community Care Service Risks 2015-2016

Service Risk	Risk without controls in place		Risk with controls in place	
	Impact	Probability	Impact	Probability
Policy and legislative reform agenda (Corporate Risk 10)	Critical	Unlikely	Critical	Rare
Deliver the Housing Standard Delivery Plan	Major	Possible	Major	Rare
Support the most vulnerable in our society during welfare reform (Corporate Risk 1)	Critical	Likely	Major	Unlikely
Protect vulnerable adults at risk (Corporate Risk 2)	Critical	Likely	Critical	Rare
Provide adequate and affordable social housing	Major	Possible	Major	Rare
Effectively manage changing financial circumstances (Corporate Risk 4)	Critical	Likely	Major	Possible
Maintain security of information and prevent public sector fraud and corruption (Corporate Risk 6)	Critical	Unlikely	Major	Possible
Effective corporate governance (Corporate Risk 8)	Critical	Unlikely	Critical	Rare

Key

	Will achieve critical deadlines
	Monitor
	Monitor with concern
	Won't achieve critical deadlines

The Environment Service Risks 2015-2016

Service Risk	Risk without controls in place		Risk with controls in place	
	Impact	Probability	Impact	Probability
Deliver the Council's capital programme (Corporate Risk)	Major	Likely	Major	Unlikely
Ensure the health, safety and wellbeing of Council employees and those who are affected by the Council's work (Corporate Risk)	Major	Likely	Major	Unlikely
Growing the economy (Corporate Risk)	Major	Likely	Major	Unlikely
There is a risk that we do not access appropriate delivery mechanisms for property contracts.	Major	Likely	Major	Unlikely
There is a risk that the Service may be subject to significant increase in costs in areas over which it has limited control as a result of prevailing economic or market conditions or the specialist nature of the services being procured	Major	Likely	Major	Unlikely

The following risks have been deleted from the Service Risk Profile as management of these risks is embedded within service delivery and monitored at team level:

- There is a risk that we fail to deliver on the Waste Management Strategy
- There is a risk that we fail to sustain the supply of serviced land for when the economy turns around