WOSAS Risk Register August 2024 Annex 1

RISK EVALUATION				CURRENT RISK EVALUATION			RESPONSE						STATUS
Risk Heading No.	Risk Description	Risk Effect	Owner	Probability (H/M/L)	Impact (H/M/L)	P + I Score	Approach	Mitigation	Residual Risk (RAG)	Owner	Completion Date	Comments	↑/↓
Leadership													
L1	Failure to maintain WoSAS's position as the lead Archaeological advisory service for West & Central Scotland	WoSAS becomes less relevant to partner Councils	Steering Group	L	M		Treat	• Strive to include in the Work Programme new ways: – To plan and design for the delivery of the WoSAS functions. – Identifying partner authorities' requirements.	Sustain low probability	Steering Group	Ongoing	Currently being treated through the update/replacement of MoA/SLA.	↔
L2	Failure to maintain the visibility of the WoSAS as the regional experts on Archaeology	WoSAS is overlooked by potential Council partners	Steering Group	M	M		Treat	• Ensure the Communications Strategy uses multiple tools to target identified audiences about the WoSAS's expertise. • Ensure the role of WoSAS is reflected in Council information-web/ strategy • Consider tie-in to wider policy streams e.g. tourism/ placemaking	Sustain low probability	Steering Group	Ongoing	Requires more input?	↔
L3	Failure to retain the ability to influence regional decision-makers about the role of WoSAS	Inability to influence actions and policies of others to support the delivery of a regional archaeological service	Steering Group	L	M		Treat	• Ensure robust business case is in place • Ensure partner authority's requirements are met	Sustain low probability	Steering Group	Ongoing	Currently being treated through the update/replacement of MoA/SLA.	↔
L4	Failure of the WoSAS Joint Committee to meet.	Partner Authorities breach the legal requirements of the Local Authority Accounts (Scotland) Regulation 2014.	Joint Committee Members/ Steering Group	L	**H**		Treat	• Ensure Joint Committee members are appraised of legal requirements • Ensure timely communications through Committee Clerks • Ensure that the necessary reports and accounts are available from the Host Authority finance department at the appropriate times	Sustain low probability	Steering Group/ WoSAS Manager	Ongoing	Procedures in place and monitored by Audit Scotland.	↔
L5	Partners withdrawing from the Partnership would have to replicate existing HER functions and maintenance to meet legal requirement to deliver spatial HE data to The Improvement Service Spatial Hub	Partner Authorities breach the legal requirements of Scottish Government's 2009 law enacting EU INSPIRE Directive on spatial data	Individual Partners	**H**	M		Treat	• Ensure partner authority's legal responsibilities are met • Ensure the role of WoSAS is understood within Partner authorities	Reduced probability and impact	Partners/ WoSAS Manager	Ongoing	Levels of understanding have improved due to current Service Delivery Review	↔
Partnership													
P1	Reduced level of attendance or level of representation at Steering Group meetings	Partner Authorities become disengaged and opportunities are lost for WoSAS	Steering Group / Individual Partners	**H**	M		Treat	• Meet with individual partners organisations to discuss representation and format of meetings • Explore options to improve representation of partner organisations through a Steering Group meeting discussion • Consider how to make Steering Group meetings more engaging for partner organisations	Reduced probability	Steering Group		Recent attendance has improved in response to current Service Delivery Review.	↔
P2	Narrow or stagnant Steering Group representation	A narrowing perspective on the breadth of value of WoSAS	Steering Group / Individual Partners	**H**	M		Treat	• Explore options to rotate representation of partner organisations through a Board meeting discussion • Make greater use of virtual meetings to make better use of officer time	Reduced probability	Steering Group/Host Authority			↔
P3	Sudden departure of Partner(s) from the Partnership due to lack of enforceable legal agreement	Increased financial instability and existential threat to remining Partnership	Steering Group / Individual Partners	**L**	H		Treat	• Prioritise review and replacement of outdated legal agreement between Partners • Seek guidance from Host Authority's Legal Services regarding the significance of the status of original hard-copy legal agreement	Reduced probability	Steering Group/Host Authority		Document search within Host Authority has concluded that the original hard-copy agreement has inadvertently been destroyed.	↑
Organisational													
O1	Dependence on a small Executive Team whose contracts can be impacted upon by partner withdrawals. Lack of career progression opportunities	Staff departure or long term absences reduce ability to deliver service	Steering Group / Host Authority	**H**	**H**		Treat	• Plan for staff substitution or replacement in event of staff absence/vacancy • Investigate potential for changing contracts with partners to secure jobs • Investigate potential for 1 yr+ contract when recruiting • Develop knowledge of individuals who could provide emergency capacity • Seek secondees to bolster team capacity and develop expertise • Contingency funding • Recruit and train entry-level curatorial archaeologist to provide additional staffing and plan for staff succession	Reduced probability and impact	Steering Group/Host Authority		Business case for succession planning recruitment as approved by WoSASJC has been accepted by Host Authority HR Recruitment of replacement for retiree is underway	↑

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O2	Site-specific disaster recovery and resilience systems inadequate	A functioning office is lost for a protracted period with reduced ability to deliver work programme	Chair/ Manager	L	**H**		Treat	• Develop a Business Continuity & Recovery Plan • Maintain systems to highest affordable standards. • Maintain system of data backup.	Reduced impact	Steering Group Chair/ WoSAS Manager		Disaster Recovery Plan for HER data in place and upgraded.	↔
O3	The current 'Host Authority' withdraws its role from the Partnership	Employment and other supporting systems lost with reduced ability to deliver work programme	Steering Group / Host Authority	M	M		Treat	• Sustain good working relationship with current Host Authority • Agree with Partners the process that would be taken to identify and put in place a new host authority, in the event of the current arrangements ending.	Reduced probability and impact	Steering Group		Currently being treated through the update/replacement of MoA/SLA.	↔
O4	National emergency or health crisis affects service resilience In operation through restricted access to systems and/or digital resources	A reduction in service performance and/or response times. Reduction in the range of services that can be provided.	Host Authority/ Manager	M	H			• Review and revise technical specifications of IT systems supporting the services • Enhance flexibility through capacity for remote/hybrid working • Add resilience through enhanced mobile IT hardware solutions	Reduced impact	Host Authority/ WoSAS Manager		Has been addressed as part of the host authority's update/replacement of PC equipment in response to Covid	↔
Financial													
F1	One or more Partner Authorities unable to contribute to the core budget due to financial constraints	Insufficient budget to sustain current staff levels	Steering Group / Manager	**H**	**H**		Treat	• Provide partner organisations with early notification of budget contributions and hold individual discussions • Make the case for delivery of Regional Archaeological service within a Business and Action Plan • Demonstrate linkages between WoSAS work and other mainstream agendas • Seek new funding options • Prepare a plan for use in the event of a partner giving notice to withdraw.	Reduced *probability* and impact	Partners/WoSAS Manager		Currently being treated through the update/replacement of MoA/SLA. Will be affected by Local Govt pay settlement. Will be impacted by LA funding following Covid crisis	↔
F2	Failure to attract sufficient external income required to support the core budget	Insufficient budget to sustain current staff levels	Steering Group / Manager	M	**H**		Treat	• Identify potential project work that WoSAS can deliver for a wider audience or customer base that brings funding in. • Identify potential project work for Partners (additional to core Work Programme) or external organisations (within remit) that funds staff costs • Consider scope and scale of fees on *Access to Information and Fee Charging Policy*	Reduced probability and impact	WoSAS Manager		Enhanced fee-earning opportunities are currently under review.	↔
F3	Insufficient financial reserves to offset any liabilities of the Partnership	Partner Authorities have to find additional financial resources to settle liabilities	Steering Group / Manager	M	M		Treat	• Ensure that the necessary reserves target is updated through discussion with Host Authority finance and HR departments • Ensure reserves are protected and sufficient through financial reporting and budgetary planning	Reduced probability	Host authority/ WoSAS Manager	Ongoing	Approved Reserves Policy in place and annually reviewed.	↔
F4	Ability to share an office and office resources with Host authority is removed	Overhead costs for staff team increase.	Chair/ Manager	M	M		Treat	• Retain good working relationship with Host Authority Planning Service • Ensure the mutual financial and working benefits of a shared office are recognised by Partner organisations	Reduced probability	Chair/ WoSAS Manager	Ongoing	Currently being treated through the update/replacement of MoA/SLA.	↔
F5	Partners withdrawing from the Partnership would have to replicate HER functions and maintenance to meet legal requirement to deliver spatial HE data to The Improvement Service and their HE roles and responsibilities under planning legislation	Additional procurement costs relating to standalone data management and updating issues for historic environment data for the Authority area, and staffing costs for planning expertise/advice element currently procured jointly	Individual Partners	**H**	M		Treat	• Ensure partner authority's legal and quasi-legal responsibilities are met • Ensure the role of WoSAS is understood within Partner authorities • Ensure cost-savings delivered through joint-working arrangements are understood and quantified in benchmarking exercises	Reduced probability and impact	Partners/ WoSAS Manager	Ongoing	Levels of understanding have improved due to discussions related to current Service Delivery Review.	↔