

EAST RENFREWSHIRE COUNCIL

AUDIT AND SCRUTINY COMMITTEE

12 March 2020

Report by Chief Executive

REVIEW OF THE STRATEGIC RISK REGISTER
AND RISK MANAGEMENT PROGRESS

PURPOSE OF REPORT

1. This report provides the latest biannual update of the Council's Strategic Risk Register and a summary of risk management progress. The previous update of the Strategic Risk Register was considered by the Audit and Scrutiny Committee on 26th September 2019.

RECOMMENDATIONS

2. The Audit and Scrutiny Committee is asked to consider and note the development of the Council's Strategic Risk Register noting that this is considered a "live" document and will be updated and amended by the Corporate Management Team (CMT) as appropriate.

BACKGROUND

3. The Strategic Risk Register (Appendix 1) sets out the key strategic risks to be considered by East Renfrewshire Council and details the actions that management has put in place to manage these risks. Each service has an operational risk register to record day to day and service specific risks.

4. The previous update of the Council's Strategic Risk Register was considered by the Audit and Scrutiny Committee on 26th September 2019.

5. Several risks have been amended to include additional control measures and the risks have been rescored for significance. A thorough review of all risks on the register has been undertaken by the CMT. There are now 31 risks of which 14 are evaluated as high and 17 as medium. Where a risk has been evaluated as "low" it will be removed from the Strategic Risk Register and monitored within Departmental or Operational registers if appropriate.

6. Where risk numbers are not sequential within the Register this is as a result of a risk having been removed from the Strategic Risk Register.

7. Relevant significant risks which may impact on the achievement of the Council's outcomes relating to the work of the Integrated Joint Board and the Culture and Leisure Trust have been considered as part of this update.

REPORT

8. The following risks remain as **high risks**:

- Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020. (*Risk 1.1*)

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- Increase in the number of children and adults with additional support requirements leading to a rise in demand on services. (*Risks 2.2*)
- Ensuring sufficient catchment places for East Renfrewshire children and young people across all sectors in light of impact of new residential developments – in particular the Local Development Plan. (*Risk 2.3*)
- Increase in older people, particularly very old, due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity. (*Risk 5.1*)
- Risk of failure of a key care provider, including care home, care at home and other care provider due to financial instability or significant care concerns. (*Risk 5.2*)
- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. Impact on service users and carers. Reputational risk to HSCP and Council. Risk of enforcement action should we fail to meet the Care Inspectorate requirements. (*Risk 5.3*)
- Interruption to service or total inability to provide ICT services, resulting in impact to Council business, due to the loss of the Barrhead Data Centre and/or other critical infrastructure components due to fire, vandalism, equipment malfunction (including environmental controls). (*Risk 6.7*)
- Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services. (*Risk 6.9*)
- Impact of Living Wage on the council salary scales with continuing pressure on the lower grades of the scale. Not maintaining differentials between grades. (*Risk 6.10*)
- Failure to implement a new Finance/HR/Payroll System within planned timescales leading to the anticipated benefits and savings not being delivered for the Council. (*Risk 6.14*)
- A Brexit with no further agreement between the UK and EU leads to significant disruption to Council operations and the services we provide, including front line and support services. (*Risk 6.16*)

9. The following risks **were added to** the register:

- The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided. (*Risk 6.18 – high*)
- Emergence of a Pandemic Disease – with impact on staff availability, supply chain, increased demands on service; with resultant impact on financial and service planning. Potential for :
 - Panic buying, limiting our ability to purchase.
 - Government advice / measures leading to isolation / closure of buildings or communities.
 - Significant increase in burials, cremations & associated registrations.(*Risk 6.18 – high*)

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10. The following risk **increased in score from medium to high**.

- Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care. Capacity to meet the demands of the S21 notice. (*Risk 4.4*)

11. Risk 3.4 (Potential issues arising from public/fatal accident inquiries etc concerning the structural or other integrity of public buildings) **was removed** from the Strategic Risk Register and will be managed under the Environment Department's Risk Register

12. The following risks retained the same score as before but the risk descriptions were amended to **reflect the current position or provide further clarity** (additions in bold, removed text with line through and revised risk included below for clarity).

- ~~Recent increases in Acts of harassment, violence and intimidation, directed at some particular religious or minority groups abroad, migrate to the Council area, thereby undermining the Council's Equality Outcome 6, "Members of equality groups live their lives, safe from discrimination, harassment, victimisation and violence~~ **impact on individuals and communities, resulting in harm and reduced confidence in being able to live safely and without fear within East Renfrewshire.** (*Risk 4.2*)
 - Acts of harassment, violence or intimidation, directed at particular religious or minority groups, impact on individuals and communities, resulting in harm and reduced confidence in being able to live safely and without fear within East Renfrewshire.
- ~~Historical Sexual Abuse Enquiry~~ – **Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care. Capacity to meet the demands of the S21 notice.** (*Risk 4.4*)
 - Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care. Capacity to meet the demands of the S21 notice.
- Increase in older people, **particularly very old**, due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity. ~~Pressures from national delayed discharge targets of 72 hours.~~ (*Risk 5.1*)
 - Increase in older people, particularly very old, due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity.
- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. Impact on service users and carers. Reputational risk to HSCP and Council. **Risk of enforcement action should we fail to meet the Care Inspectorate requirements.** (*Risk 5.3*)
 - Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. Impact on service users and carers. Reputational risk to HSCP and Council. Risk of enforcement action should we fail to meet the Care Inspectorate requirements.

RISK TOLERANCE

13. Map of strategic risks in East Renfrewshire Council

Likelihood	4			2.2; 4.4	5.1; 5.3; 6.16; 6.17; 6.18
	3			1.3; 3.2; 6.1; 6.4; 6.8; 6.12	1.1; 2.3; 5.2; 6.7; 6.9; 6.10; 6.14
	2			3.3; 6.3	2.4; 2.5; 3.1; 3.5; 3.7; 4.1; 4.2; 6.6; 6.15
	1				
		1	2	3	4
Impact					

<i>Risk Score</i>	<i>Overall Rating</i>
11-16	High RED
5-10	Medium YELLOW
1-4	Low GREEN

Count of risk	Category			
	Low GREEN	Medium YELLOW	High RED	Total
1. All children in East Renfrewshire experience a stable and secure childhood and succeed	-	1	1	2
2. East Renfrewshire residents are healthy and active and have the skills for learning, life and work	-	2	2	4
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses	-	5	-	5
4. East Renfrewshire residents are safe and live in supportive communities	-	2	1	3
5. Older people and people with long term conditions in East Renfrewshire are valued; their voices are heard and they enjoy full and positive lives	-	-	3	3
Our Strategic Outcomes: Customer, Efficiency and People	-	7	7	14
Total strategic risks	-	17	14	31

RISK PROGRESS

14. The CMT has discussed and reviewed the Strategic Risk Register on a regular basis. A number of updates have been made to reflect the risk Control Measures currently in place and the proposed risk control measures.

FINANCE AND EFFICIENCY

15. The review of the Strategic Risk Register forms a fundamental role in ensuring that the Council meets the objectives detailed in Fairer East Ren, the Modern Ambitious Programme (MAP) and the Outcome Delivery Plan.

CONSULTATION

16. The Corporate Management Team, Heads of Service and all Corporate Risk Representatives were invited to provide updates to the Strategic Risk Register. In addition, all operational risk registers were scrutinised and high risks examined to determine if they should be escalated to the Strategic Risk Register. Risks associated with East Renfrewshire Culture and Leisure (ERCL) and the Integrated Joint Board were also considered and escalated to the Council's Strategic Risk Register where appropriate.

CONCLUSION

17. As part of the review of the register, 2 new risks was added and 4 risk descriptions were amended to reflect the current position. There are now 31 risks on the register of which 14 are classified as "high" risk.

18. The risks captured in the Strategic Risk Register continue to be monitored and evaluated by the Corporate Management Team on a regular basis. The Strategic Risk Register is reported every 6 months to the Audit and Scrutiny Committee and annually to the Cabinet.

RECOMMENDATIONS

19. The Audit and Scrutiny Committee is asked to consider and note the development of the Council's Strategic Risk Register noting that this is considered a "live" document and will be updated and amended by the Corporate Management Team (CMT) as appropriate.

Lorraine McMillan, Chief Executive

10 March 2020

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Appendix 1 East Renfrewshire Council Strategic Risk Register_V7.10_26.02.2020

KEY WORDS

This report provides the Audit and Scrutiny Committee with the latest biannual update of the Council's Strategic Risk Register.

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Strategic Risk Register
East Renfrewshire Council

East Renfrewshire Council's Vision:
"A modern, ambitious council, creating a fairer future with all"

Completed by: Corporate Management Team (CMT) & Heads of Service

Date reviewed	04/03/2020
Version	7.11

Outcome 1: All children in East Renfrewshire experience a stable and secure childhood and succeed

Risk status S/C/N (Same, Changed, New)	Risk No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			Risk Owner
				Likelihood (Probability)	Impact (Severity)	Risk Score			Likelihood (Probability)	Impact (Severity)	Residual Risk	
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
S (05/09/19)	1.1	Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020: Inability to deliver our preferred or at least an acceptable model to locally address the principles of quality, flexibility, accessibility and affordability.	Following resubmission of financial projections by Local Authorities (LAs) in March 2018, multi year revenue and capital funding announced by (SG)/COSLA (reflecting national population projections). Scottish Government (SG) commitment made to review annually. Report to Education Committee in June 2018 highlighted funding gap due to higher local population projections and detailed options/ impact if additional funding not forthcoming. Recommendation accepted that officers and elected members continue to lobby SG/COSLA.	3	4	12	Make best use of available funding to recruit, retain and develop quality staff in readiness for August 2020 delivery.	17/08/20	2	4	8	Director of Education
			Maintain tight programme governance as per ELC Expansion Board				Support new funded providers to establish high quality nurseries/ childminding provision in areas where places are at a premium in readiness for August 2020 delivery.	17/08/20				
			Ongoing lobbying of SG/COSLA pending annual review of funding allocations. Current funding covers period to 2021/22 and discussions have commenced at national level about funding thereafter. Continue to monitor provision and regularly review delivery models based on affordability, preferences of parents and taking account of any changes in policy/ legislation making bids as appropriate for funding.									
			The 8 year capital plan reflects infrastructure requirements. Major new builds now at construction stage and currently progressing according to programme.									
			Ongoing training programme for existing employees to gain the necessary qualification to work in the ELC sector and ongoing pilot our preferred delivery model in some communities. Early recruitment of additional ELC staff on a phased basis to ensure required workforce in place by August 2020.									
			Ongoing engagement with funded providers, including childminders, to increase ELC places underway.									
Implement Early Learning and Childcare Strategy including continuing to work with all providers to ensure quality early learning and childcare.												

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Outcome 2: East Renfrewshire residents are healthy and active and have the skills for learning, life and work

Risk status S/C/N (Same, Changed, New)	Risk No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			Risk Owner
				Likelihood (Probability)	Impact (Severity)	Risk Score			Likelihood (Probability)	Impact (Severity)	Residual Risk Score	
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
S (21/05/19)	2.2	Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.	Analysis of demographic changes. Increased financial forecasting.	4	3	12	Recruit Advanced Practitioner to improve practice across adult and children services in preparing young people with additional support needs for adulthood.	31/05/20	4	2	8	Chief Officer HSCP
			Inclusive Support redesign completed and implemented (April 2019)				Completion of Fit for the Future Phase 2.	31/03/20				
			Education Resource Group to manage specialist resources and admission to specialist provision.				Council continues to contribute to funding to demographic cost pressures	Ongoing				
			Phase 1 of Fit for the Future Redesign implemented.				HSCP/Education to meet to look at strengthening transition arrangements	03/04/20				
			Children's Services redesign implemented.									
S (05/09/19)	2.3	Ensuring sufficient catchment places for East Renfrewshire children and young people across all sectors in light of inward migration including the impact of new residential developments- in particular the Local Development Plan.	Regular review of places and demand; and implementation of admission arrangements policy.	3	4	12	Council's Capital Investment Strategy and the associated future 10-year Capital Plan updated to reflect education estate requirements for all school sectors taking account of operational requirements/timescales.	Annual update (next due 28/02/2021)	2	4	8	Director of Education
			Current capital plan reflects new build educational estate supplemented as appropriate by developer contributions, according to timescales and extent of provision noted in LDP (1), approved June 2015.				As appropriate education statutory consultation to be undertaken in advance and within required timeframes.	In line with relevant timescales				
			On an ongoing basis, Education/Environment continue to review the release of housing and infrastructure requirements. This will also take cognisance of inward migration to existing housing along with ongoing residential development under the adopted LDP1 and any windfall sites as reflected in the Housing Land Supply register.				Education and Environment to collaborate closely about any potential further residential development as LDP3 progresses to ensure sufficiency of places across the education estate and that any new provision is included in future Capital Investment Strategies.	In line with relevant timescales				
			Revised Pupil Product Ratios (PPRs) for ELC, primary, secondary and ASN (Additional Support Needs) reflecting current build costs published summer 2019.				Continue to review school rolls projections annually and Pupil Product Ratios (PPRs) at least every 2 years.	Annual update (next due 30/6/2020)				
			Council approved in June 2019 that the Proposed LDP2 go out to consultation in Autumn 2019 adopting a strategy of consolidation and regeneration with no further new housing sites released.									

S (30/08/19)	2.4	Closure of facilities (related to Trust) as a result of unforeseen failure or management practices resulting in loss of attendance, revenue, damage to reputation and increased management fee.	Current capital plan reflects major new replacement for Eastwood Leisure Centre and provision for repair and maintenance of Culture & Leisure facilities to improve the customer environment. In addition the capital plan includes the intent to renew sports and library facilities for the village of Neilston as part of campus approach to replace outdated local educational provision.	2	4	8	Capital Plan reviewed annually and updated to reflect operational requirements of facilities operated by the Trust. This will be ongoing.	Annual update (next due 28/02/2021)	2	3	6	Director of Education/Head of Accountancy		
			Quarterly meetings take place between the Trust and Property and Technical Services to monitor performance.				Progress new facilities planned for Eastwood Park and Neilston Leisure Centres in line with timescales set out in the Capital Plan.	In line with timescales set out in Capital Plan						
			Business Continuity Plans in place for services.				ERCL to take advantage of any opportunities offered by development of LDP3 taking account of due process such as planning and consultation in partnership with East Renfrewshire Council and in line with relevant timescales.	In line with relevant timescales						
			SLA in place between ERC & ERCL.											
			Responded to the Main Issues Report and contributed to the new LDP (2) highlighting any impact in terms of the culture and leisure estate.											
			Additional capital maintenance budget agreed for Trust properties in February 2019.											
S (13/05/19)	2.5	Potential successful judicial review into lawfulness of charging for instrumental music leads to additional budget pressures due to loss of income as well as increased service demand.	Charges are reviewed annually as part of the Charging for Services exercise with any impact factored into the budget setting process.	2	4	8	Monitor progress of potential judicial review and assess the budget implications of the outcome.	Subject to timescale of potential judicial review	2	3	6	Director of Education/Head of Accountancy		
			Concessions currently in place providing free tuition for children and young people eligible for free school meals and discounts provided for siblings and no charges levied for pupils studying music in S4-S6.											
			Following service review strategies to encourage uptake from pupils from less affluent households are being prioritised as well as an enhanced extra-curricular programme for pupils (within current budgets/staff allocations)											

Outcome 3: East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses

Risk status S/C/N (Same, Changed, New)	Risk No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			Risk Owner
				Likelihood (Probability)	Impact (Severity)	Risk Score			Likelihood (Probability)	Impact (Severity)	Residual Risk	
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
S (14/04/19)	3.1	Glasgow and City Region City Deal infrastructure projects (including those projects outwith East Renfrewshire) do not proceed on schedule and/or do not produce the anticipated economic benefits resulting in a gap in funding provided by UK and Scottish Government.	<p>Collaborative agreement in place between the Clyde Valley partners committing to project delivery and additional GVA.</p> <p>Rigorous check of all business cases by Programme Management Office (PMO) prior to expenditure approval and project implementation.</p> <p>Assurance Framework in place, which will be subject of a Cabinet Report in April 2019.</p> <p>All business cases developed in accordance with green book guidance</p> <p>Existing and new employees trained in PRINCE2 to ensure effective project management</p> <p>Regular meeting of the City Deal Governance Group within the Environment Department, led by the Director of Environment to monitor progress and issues relating to City Deal projects</p>	2	4	8	Monitor City Deal projects through use of Microsoft Project.	Currently ongoing with monthly review	2	3	6	Director of Environment
S (30/08/19)	3.2	Increase in construction inflation costs may negatively impact on the planned capital plan and City Deal GVA.	<p>Major capital projects have been reviewed for inflationary impact in preparing the 2020/21 to 2029/30 Capital Plan. Reassessment of capital plan to ensure budget can be met.</p> <p>Prudent budgeting and ongoing monitoring of reserves</p> <p>Building Cost Information Service (BCIS) is updated annually and the mid construction point is used to inflate projects, and notified to the Finance service.</p> <p>Close monitoring of capital expenditure/income against budget throughout year</p>	3	3	9	Monitor potential effects of Brexit on construction costs and labour availability.	Currently ongoing with monthly review	3	2	6	Director of Environment
S (14/04/19)	3.3	Potential breaches of State Aid compliance leads to lengthy investigations, suspension of works leading to costly delays and financial penalties.	<p>State Aid reference is made within appropriate Cabinet/Council reports, where relevant.</p> <p>An annual State Aid return is submitted to the Scottish Government's State Aid Unit in June of each year.</p> <p>A member of the Environment Department attends 2 meetings per year at the Scottish State Aid Local Authority Network, to keep up to date with any changes to State Aid compliance.</p> <p>The Scottish Government's State Aid Unit recently delivered a training session to employees from Environment, Legal Services, Finance and Procurement. A recent email was sent to all Heads of Service asking if new employees required training. Further training can be requested from the Scottish Government State Aid Unit. Training is carried out every two years, the last event being October 2018.</p> <p>There is an explicit inclusion of State Aid in East Renfrewshire Council's Financial Regulations and/or Standing Orders. Further information including examples of what constitutes State Aid is provided in the relevant links.</p>	2	3	6	Develop a Council-wide grant aid register and process for addressing State Aid with clear governance/guidelines.	31/12/19	1	3	3	Director of Environment

C (14/01/2020)	3.5	There is a risk of an internal structural collapse at Braidbar Quarry which could result in the ground surface opening up possibly leading to fatalities if restrictions on access are not maintained. Several residential properties are blighted by this site.	Full fencing of the site completed November 2019. Warning signs erected around the perimeter.	2	4	8	Repair of fence when breached.	Ongoing	2	2	4	Director of Environment
			Regular inspections undertaken and repair regime maintained and documented.				Digitalise process.	30/11/2020				
			No mitigation factors are presently in place for an internal structural collapse other than protection of the public through restricted access.				Remediation of the affected land is the only measure which will completely remove this risk. Achieving this however would be a multi-million pound exercise and would require significant collaboration with land remediation specialists.	Long term project				
S (14/04/19)	3.7	Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services.	Business Impact Assessments and Business Continuity Plans consider implications of sudden and severe weather events.	2	4	8	Develop a Climate Change Strategy	[to be determined]	2	3	6	Director of Environment
			The Council participates in Climate Ready Clyde (CRC) project to evidence the impacts of climate change on the area and its assets and develop a climate change risk and opportunity assessment, adaptation strategy and action plan.				Adaptation Strategy being developed at Glasgow City Region level	November '20				
			Continue to construct and maintain all buildings and infrastructure to the best possible standard to reduce likelihood of structural failure.				Implement the Climate Change and Sustainability Strategy	[to be determined]				
			Participate in Clyde And Loch Lomond Flood Risk Management Group (CALL)									

Outcome 4: East Renfrewshire residents are safe and live in supportive communities

Risk status S/C/N (Same, Changed, New)	Risk No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			Risk Owner
				Likelihood (Probability)	Impact (Severity)	Risk Score			Likelihood (Probability)	Impact (Severity)	Residual Risk	
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
C (05/12/19)	4.1	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and Multi-Agency Public Protection Arrangements- MAPPAs) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.	<p>The operation of Child Protection, Adult Protection committees and MAPPAs meetings to deal with the strategic and practice issues.</p> <p>Service Manager Adult Support and Protection (ASP) responsible for chairing Case Conferences and leading on self evaluation and audit activity. Post vacant since 5th November 2019.</p> <p>ASP priorities for 2019/20 improvement and proposal for new structure and increased frequency of APC meetings agreed (06.06.19)</p> <p>Risk assessment integral part of the assessment process</p> <p>New Chair of Adult Protection Committee (APC) appointed April 2019.</p> <p>Council officer and managers forums established</p> <p>All front line managers provided with refresher training concerning statutory compliance.</p> <p>The extension of MAPPAs to include Category 3 violent offenders - Risk of Serious Harm training completed.</p> <p>Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners.</p> <p>Job descriptions for statutory criminal justice social work posts in East Renfrewshire have been amended and candidates are required to be eligible to achieve NPPV (Non Police Personal Vetting) level 2 vetting status.</p> <p>Multi-Agency Audit of Child Protection (CP) cases undertaken in November 2019.</p> <p>Multi Agency Risk Assessment Conference (MARAC) fully operational (5th March 2019)</p> <p>"Safe Together" model implemented.</p> <p>PVG (Protecting Vulnerable Groups) scheme in place</p>	2	4	8	<p>New Postholder to start</p> <p>01/05/20</p> <p>New schedule for performance reporting to be developed for adult services.</p> <p>13/11/2020</p> <p>Quality assurance framework for ASP activity. To be annual activity</p> <p>31/10/2020</p> <p>Engagement with social workers not yet vetted to NPPV status. Increase in vetting coverage for criminal justice has improved but focus engagement consulting with non-vetted Social Workers for NPP status.</p> <p>31/12/20</p> <p>Data report and outcome report to COPP</p> <p>31/05/20</p> <p>Introduce rolling review of PVGs on 3 yearly basis. Consistent with Care Inspectorate regulations</p> <p>31/03/20</p>	1	4	4	Chief Officer HSCP	

C (09/01/2020)	4.2	Acts of harassment, violence or intimidation, directed at particular religious or minority groups, impact on individuals and communities, resulting in harm and reduced confidence in being able to live safely and without fear within East Renfrewshire.	Local authorities have a duty under the Counter Terrorism and Security Act (2015) to have “ due regard to the need to prevent people from being drawn into terrorism”. The Council participates in multi-agency 'Prevent' and 'CONTEST' working groups, alongside other local authorities, Police Scotland and the Scottish Government, and has designated the Head of Digital and Community Safety as the Single Point of Contact (SPOC) for Prevent.	2	4	8	The establishment of a cross-departmental working group to develop actions to raise awareness amongst Council and Trust staff of the Prevent duty and identifying signs and risk factors of potential radicalisation.	30/06/2020	1	4	4	Director of Corporate & Community Services
			The Council CRMT and the Civil Contingencies Service (CCS) ensure that appropriate business continuity and civil contingencies procedures are developed and maintained, to co-ordinate an effective response in the event of an incident impacting people, infrastructure or services.				Continuing to liaise, as appropriate, with key partners to ensure that appropriate interventions are made for any individuals identified as being at higher risk of being drawn into terrorism.	Ongoing				
			Where an individual has been identified as being at risk of being drawn into terrorism, there are well-established procedures for multi-agency case conferences (chaired by the Head of Adult Support and Protection) using the Prevent Professional Concern referral process, with appropriate information sharing between the Council and Police to deliver targeted intervention activities.									
C (14/01/20)	4.4	Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care. Capacity to meet the demands of the S21 notice.	Adult Protection Committee and Child Protection Committee have been sighted on these issues.	4	3	12	Identified leads in HSCP will work alongside Legal Services to manage the process of any allegations/claims made.	Ongoing	4	3	12	Chief Officer HSCP
			Clear process for managing historical cases and protocol in place with Legal Services.				Child Protection Committee (CPC) to address awareness raising/training for staff.	31/03/20				
			East Renfrewshire Working Group established to take forward S21 work.									
			Chief Social Work Officer (CSWO) has written to the inquiry to request an extension to the 27/01/20 return date from the S21 notice.									
			Email issued by Chief Social Work Officer highlighting support for survivors of abuse.									
			Appointed Team Manager to manage the demands of the historical inquiry. Partial submission for Parts A and B on 27 January 2020. Submission for Parts C & D to be completed by 10th April 2020.									
			Scoping exercise carried out to determine the potential scale of survivors involved.									
			Senior Information and Improvement Officer (within Chief Executive's Business Unit) collaborating with historical archivists.									

<p>C (02/12/19)</p>	<p>5.3 Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. Impact on service users and carers. Reputational risk to HSCP and Council. Risk of enforcement action should we fail to meet the Care Inspectorate requirements.</p>	<p>Increased resource to support robust absence management. We have recruited additional care at home staff and there is an ongoing recruitment programme.</p>	<p>4</p>	<p>4</p>	<p>16</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Chief Officer HSCP</p>		
		<p>New medication policy adopted. Commenced medication management training and implemented small scale pilot testing medication policy.</p>								<p>Ensure recruitment targets can be met through focussed recruitment campaign including social media and TV advertising</p>	<p>1/6/20</p>
		<p>Improvement Task Force overseeing phase 2 of improvement activity involving embedding the changes into operational teams and commencing our service redesign activity. This is supported by additional funding to secure resources required. Recruited additional care at home staff. Ongoing recruitment programme in place.</p>								<p>Increased level of quality assurance of care plans and reviews undertaken</p>	<p>31/5/20</p>
		<p>All Care at Home clients have an up to date review</p>								<p>Rollout of medication management training to all staff.</p>	<p>30/6/20</p>
		<p>Oversight Board chaired by Chief Executive established.</p>								<p>Continue rolling medication management programme to ensure refresher training continues to be undertaken</p>	<p>Ongoing</p>

Our Strategic Outcomes: Customer, Efficiency and People

Risk status S/C/N (Same, Changed, New)	Risk No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			Risk Owner
				Likelihood (Probability)	Impact (Severity)	Risk Score			Likelihood (Probability)	Impact (Severity)	Residual Risk	
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
C (24/2/20)	6.1	Reduced central government funding leading to failure of service provision leading to public discontent and negative effect on the Council's reputation and increased pressure to draw down council reserves on future years' budgets.	Budget strategy group	3	3	9	Achievement of annual targets and outcomes outlined in Modern Ambitious Programme.	Annually (31/08/20)	2	3	6	Head of Accountancy
			Corporate ownership									
			Treasury management strategy									
			Maintain Council reserves between 2% and 4% in line with Audit Scotland recommendations									
			3 Year budget arrangements									
			Change to financial planning timetable to allow earlier budget deliberations and a realignment of budget with council outcomes.									
			Close monitoring of expenditure/income against budget throughout year.									
			Prioritisation of Modern Ambitious Programme and continual review of projects to ensure effective progress and business cases.									
			Budget aligns with conditions set out in Scottish Government settlement letter									
			Updated settlement figures received from Scottish Government.									
Long term budget and scenario planning. Outline Financial Plan, reserves and Council Tax level reviewed annually by Council.												
S (06/04/19)	6.3	Lack of appropriately skilled workforce due to the combination of loss of experience from redundancy / retirement, difficulties recruiting due to temporary contracts and shortage of skills in market place leads to a reduction in service levels damaging council reputation.	Leadership Competencies (which are linked to PRD) and the Leaders of the Future Development Programme.	2	3	6	Implement the actions from the Workforce Planning Action Plan.	31/03/2022	2	2	4	Director of Corporate & Community Services
			Head of Service lead in each department on workforce planning with an active corporate workforce planning group.									
			Use of organisational and financial business case when considering redundancies/ early retirements.									
			Workforce planning strategy approved with improved recruitment and selection procedures.									
			Succession planning toolkit available for managers.									
			Actively support COSLA working groups to benchmark best practices in workforce planning.									
			Modern Ambitious Programme (MAP) ongoing with core programmes on Digital and Core Systems supported by Strategic programme reporting from MAP Phase 1 complete									
			Workforce plan updated detailing department actions and demonstrating alignment with financial plan.									

S (18/09/19)	6.4	<p>The drive to deliver our ambitious change programme has an adverse impact on our employees as they strive to balance a relentless pace and scale of change with day to day responsibilities, leading to slower delivery of benefits and/or lower performance as services go through change.</p>	<p>Modern Ambitious Programme with core workstreams on Organisational Development, Digital, Data and Modernising in place since 2015. Core Systems Programme live since 2017. Each department has its own change programme and governing board to oversee progress, capacity, performance and delivery of benefits. Programmes also in place for Digital and Core Systems.</p> <p>Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts.</p> <p>Skills development in support of change includes accredited Project Management Courses, agile courses, management training, training to assist with service redesign and new courses on user research, Service Design, following the <u>Scottish Approach to Service Design</u></p> <p>Capital Bids required to demonstrate alignment to 5 capabilities and key outcomes.</p> <p>Overall summary of cashable efficiency benefits produced as part of Annual Efficiency Statement.</p> <p>Consideration of flexible external assistance and skills when change projects require.</p> <p>Greater use of "agile" project methodology to chunk projects into smaller, more manageable iterations, with lower risk.</p> <p>Review of Council's values with the OD Board, to support delivery of change.</p> <p>Use of resource planning tools and project prioritisation model to determine impact of new and ongoing projects especially for key corporate resources (e.g. ICT, HR, PMO, Accountancy) with CMT oversight through MAP Board</p> <p>Development of Programme management reporting in line with recommendations from Best Value Audit.</p>	3	3	9	Enhance the role of service design and user design in change projects to ensure that the outcome best meets customer needs planned for Spring 2020	30/06/20	2	3	6	Director of Corporate & Community Services
S (04/09/19)	6.6	<p>Failure to effectively manage the Council's information assets may lead to a risk of inadequate data handling, not adequately preventing loss of data and unlawful sharing of data may result in non compliance with legislation in particular Data Protection Act 2018 (GDPR) , Freedom of Information Scotland Act(2002) and Records Management Public Services Act 2011</p> <p>Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies</p> <p>Inability to recognise the value of</p>	<p>Review of processes and procedures to ensure compliance with the General Data Protection Regulations and the Data Protection Act 2018 completed.</p> <p>Review of current contracts and sharing agreements completed.</p> <p>New procedures in relation to Subject Access Requests (SAR) introduced.</p> <p>Records Management Plan updated in line with Audit review and through ongoing revision.</p> <p>Retention schedule under ongoing review and revision.</p> <p>Data Protection Officer started April 2019.</p>	2	4	8	<p>Consider review or resubmission of Records Management Plan</p> <p>Implement and embed a clear, defined and communicated information Governance Strategy (IGS) across the Council that supports a pragmatic and risk based approach to ensuring the confidentiality, integrity and availability of information assets whilst focusing on citizen and employee safety, business transparency, and legislative compliance.</p> <p>Data Protection Impact Assessment (DPIA) Framework is currently being reviewed and new guidance and templates to be published and supported by training.</p> <p>Assessment of requirements for storage of hard-copy records to be considered</p>	<p>31/12/20</p> <p>30/03/21</p> <p>31/12/20</p> <p>31/12/20</p>	1	3	3	<p>Chief Executive</p> <p>Director of Corporate & Community Services</p> <p>Director of Corporate & Community Services</p> <p>Chief Executive</p>

		our information assets may result in lost opportunities to use data to inform decision making, transform services, support increased performance, enhance customer service and promote transparency and information quality assurance				Review of breach reporting.	31/12/20					Director of Corporate & Community Services
S (06/09/19)	6.7	Interruption to service or total inability to provide ICT services, resulting in impact to Council business, due to the loss of the Barrhead Data Centre and/or other critical infrastructure components due to fire, vandalism, equipment malfunction (including environmental controls).	Ensure that a robust data back-up and protection schedule for data is in place. Perform complete review of all current back-up arrangements to optimise resilience.	4	3	12	Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery.	31/12/19	2	2	4	Director of Corporate & Community Services
			Ensure that the Council reviews Business Continuity Plans at least annually.				Plan and perform regular audited disaster recovery tests and rehearsals.	31/03/20				
			Ensure that equipment is regularly maintained and replaced as required.				Identify costs and capabilities to implement generator backup options and secure further capability for the Barrhead Data Centre to improve power and service resilience. Seek agreement and approval for resources and appropriate options.	30/09/19				
			Ensure supplier(s) contracts support recovery activities.				Review infrastructure architecture to provide assurance of levels of resilience.	31/12/19				
			Undertake independent review of core infrastructure design and architecture to gain validation and assurance of both security and operational capability.				Review and implement fixes for issues identified with basic network service resilience following incidents of summer 2019.	31/12/19				
			Improve monitoring and alerting of hardware and environmental systems to provide a proactive response.									
			Cyber insurance taken out in 2018 to provide an element of cover in the event of such an outage.									
			Secure a co-located Data Centre or equivalent geographically different Disaster Recovery capability at a commercial or partner location to increase resilience and provide necessary service continuity.									
			Loss of data or interruption to service due to cyber attack from internal or external malicious actors, or indiscriminate malicious programmes, deriving from both Council operations and those of its supply chain.									
			ISO27001 range of technology, policy, procedures, standards and training exists across the council which is reviewed regularly to ensure it remains consistent with changes in technology, working practices and emerging threats.									
			The CMT agreed that Information Security training should be mandatory to raise employee awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.									
			Security standards are reviewed and revised using a risk management approach.									
The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.												
Ensure the security architecture follows layered approach as defined by best practice.												
Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation.												

			Information Security Schedule included within all procurement exercises establishing minimum security requirements supported by operational Data Sharing and Processing Agreements.															
			Delivered additional capability for granular and specific data restores through the recently installed enterprise backup solution which enables fast and reliable backups and enables a resilient replication schedule which stores the councils data locally before replicating all backed up data to our secondary DC site.															
S (22/01/19)	6.8	Failure to pay invoices within a specified timeframe (Local Government Benchmarking Framework indicator) or failure to pay invoices correctly (either through fraud or error), which could lead to cessation of supplies; risks to delivery of critical services; inappropriate payments; loss of funds to the Council; reputational damage to Council; issues with insurers; and possibly, in the extreme, legal action.	Centralisation of invoice delivery to Creditors implemented January 2017.	3	3	9	Continue to implement all audit actions timeously.	31/03/20	2	3	6	Director of Corporate & Community Services						
			Good progress on delivery against Internal Audit recommendations.				Continue to focus on financial compliance and control with development of regular management reporting on accuracy, processing rates and performance.	31/03/20										
			Regular governance meetings of Purchase to Pay process, chaired by the Senior Management. Daily tasking/production line meetings held with Creditors team.				Participate in Core Systems Programme to replace the Council's finance system in 2019.	31/03/20										
			Monthly performance figures produced for Corporate Management Team.															
			New Induction pack including procedures developed January 2020															
			Regular sessions with departmental representatives to address progress. Progress reports to Audit and Scrutiny Committee in January and August 2017 and March 2018.															
			Compliance Officer recruited to focus on procedures, training, audit sampling and financial compliance.															
			Use of AP Forensics system to identify potential duplicate payments prior to each payment run.															
			All invoices over £20k subject to a double-check by senior employees prior to payment. Accountants included in this check. Checklist developed with Internal Audit.															
Percentage sample of all payments under £20k checked prior to each payment.																		
Use of finance networks to share information on potential frauds.																		
C (15/01/20)	6.9	Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services.	Economic situation monitored via Directors of Finance network/ Liaison with Scottish Government via COSLA to keep up to date with likely developments on UK/Scottish settlements.	4	3	12	Continue to monitor national position during 2019. Revise future budget plans if required, taking account of financial scenarios outlined in Financial Plans to Council in February 2019.	29/02/20	4	3	12	Head of Accountancy						
			Corporate Management Team consider possible implications of Brexit for services and take action as appropriate.															
			The price of goods / services is reviewed by appropriate officers within Departments, with concerns raised at an early stage against significant increases. Business Continuity planning considers alternative suppliers to ensure key service continuity.															

S (05/04/19)	6.10	Impact of Living Wage on the council salary scales with continuing pressure on the lower grades of the scale. Not maintaining differentials between grades.	Supplement currently paid on Grade 1,2 and 3. COSLA paper has been prepared to share with Elected Members on the impact of living wage	4	3	12	Consolidation of the Scottish Local Government Living Wage was agreed as part of the implementation of the 2018-21 pay award.	31/03/21	4	2	8	Director of Corporate & Community Services Director of Education Chief Officer HSCP
S (30/08/19)	6.12	Loss of data or interruption to service due to cyber attack from internal or external malicious actors, or indiscriminate malicious programmes, deriving from both Council operations and those of its supply chain.	<p>ISO27001 range of technology, policy, procedures, standards and training exists across the council which is reviewed regularly to ensure it remains consistent with changes in technology, working practices and emerging threats.</p> <p>The CMT agreed that Information Security training should be mandatory to raise employee awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.</p> <p>Security standards are reviewed and revised using a risk management approach.</p> <p>The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.</p> <p>Ensure the security architecture follows layered approach as defined by best practice.</p> <p>Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation.</p> <p>Information Security Schedule included within all procurement exercises establishing minimum security requirements supported by operational Data Sharing and Processing Agreements.</p> <p>Delivered additional capability for granular and specific data restores through the recently installed enterprise backup solution which enables fast and reliable backups and enables a resilient replication schedule which stores the councils data locally before replicating all backed up data to our secondary DC site.</p> <p>Undertake regular rehearsal of Cyber Incident Response process across ICT. First event planned and calendar being developed.</p>	3	3	9	<p>Enforce and report on mandatory information security training ensuring that managers are provided with reports of non-compliance. Package being developed</p> <p>Implement additional protection technology to provide proactive threat detection. Use of a partner Security Operations Centre to deliver round the clock detection of malicious activity. Contract now awarded, implementation over coming months.</p>	31/12/20 30/06/20	3	2	6	Director of Corporate & Community Services

S (18/09/19)	6.14	Failure to implement a new Finance/HR/Payroll System within planned timescales leading to the anticipated benefits and savings not being delivered for the Council	Strong and robust Core Systems Programme and associated Project governance and risk and issues registers backed by appropriate level of resources.	3	4	12	Detailed testing of all workstreams including technology and unique services	31/08/20	2	4	8	Chief Executive
			At least monthly meetings of the Core Systems Programme Board where Programme level risks and issues are discussed.				Comprehensive training of employees in the new system to support implementation.	31/08/20				
			Core Systems Programme Team using lessons learned from other public sector organisations who have implemented an integrated core corporate system.									
			Regular engagement with a wide range of stakeholders across the Programme and Projects.									
			Working closely with ICT, the Core Systems Team use enterprise architecture to ensure that the potential impact of each Project release is co-ordinated and accounted for.									
			Identification and recruitment of employees with key skills and expertise to form the appropriate Programme Team and associated Project Teams in place.									
			Business readiness reviews in place prior to "go live" for all workstreams and Departments.									
S (03/09/19)	6.15	Failure to ensure adequate insurance cover is in place (which cover includes Cyber, Employer, Engineering, Motor, Property, Public Liability & Travel) which could result in the Council incurring financial loss and reputational damage.	At time of renewal, Insurance Policies are reviewed to ensure the type and level of cover is adequate for the Council. This in conjunction with relevant departments.	2	4	8	A review of the current insurance premium payment process to be undertaken to identify any further potential opportunities for enhancement.	31/03/20	2	2	4	Director of Corporate and Community Services
			When reviewing content of the Strategic Risk Register, departments are now advised to consider potential insurance implications of risks and take advice.				Review the Strategic Risk Register to ensure that adequate consideration has been given to insurance implications of existing risks.	31/03/20				
			Quarterly meeting held with Insurance Providers to review Insurance arrangements (split between Renewals and Broker). This includes pricing and cover.				Follow-up any identified areas with services and the Council's insurers.	31/03/20				
			Quarterly communication issued to department contacts to remind any changes which may impact upon Insurance Cover arrangements must be notified to Revenues.									
			Revenues Operations Manager and Insurance Officer review of both claims experience and wider environment which may impact upon level and type of cover									
C (15/01/2020)	6.16	A Brexit with no further agreement between the UK and EU leads to significant disruption to Council operations and the services we provide, including front line and support services.	Arrangements are in place for current EU nationals to apply for settled status, allowing them to continue to work in the UK after EU withdrawal.	4	4	16	Additional activity to increase awareness of EU Settlement Scheme.	31/01/20	4	2	8	Director of Corporate & Community Services
			Cross Departmental Working Group establish to ensure co-ordinated approach to all aspects of Brexit work.				Brexit Working Group and Brexit Co-ordinator to regularly review the situation ensuring risk register and actions undertaken are appropriate.	30/07/2020				
			Crisis Resilience Management Team (CRMT) liaising with National Organisations as appropriate and leading work to minimise potential disruption and ensure a smooth exit in all scenarios.				Refresh and implement agreed call, meeting and reporting cycles and responsibilities through EU-Exit date until agreed date post EU-Exit date.	30/12/2020				
			Service specific mitigation in place where identified as appropriate.									
			Brexit Co-ordinator appointed and in post to lead Brexit activity across the Council including chairing the Brexit Working Group.									
N (16/01/2020)	6.17	The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided.	Environmental Health collective engagement with other Local Authorities, COSLA and the Scottish Government - to ensure that Export Health Certificates and associated concerns are considered and addressed.	4	4	16	Monitoring of negotiations, identifying any significant known changes to enable relevant departments to consider training and updating of procedures where required.	31/11/2020	4	3	12	Director of Corporate & Community Services
			Specific services maintain up to date policies and procedures; reflective of their duties and obligations.									
			Officers are appropriately trained to carry out their duties.									

N (26/02/2020)	6.18	Emergence of a Pandemic Disease – with impact on staff availability, supply chain, increased demands on service; with resultant impact on financial and service planning. Potential for : - Panic buying, limiting our ability to purchase. - Government advice / measures leading to isolation / closure of buildings or communities. - Significant increase in burials, cremations & associated registrations.	Council Resilience Management Team oversight of Business	4	4	16	Monitor up to date Government guidance	ongoing	4	3	12	Chief Executive
			Updated Mass Fatalities Guidance				Consider PPE & Cleaning Requirements	3/3/20				
			Established links to NHS Public Health & Multi Agency Working				Ensure consistent staff messaging	ongoing				
			Establish links to Regional Resilience Partnerships				Sharing of key Health / Government advice to the public	ongoing				
			Develop initial communications to Managers and Staff				Regular updating of risk assessments	ongoing				
							Consideration of buying & storing PPE or cleaning materials as an outbreak emerges	13/3/20				
							Up to date and maintained Business Continuity Plans that consider significant staff absence levels (e.g. 20%) in their delivery of critical functions	13/3/20				

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