EAST RENFREWSHIRE COUNCIL

CABINET

6 June 2019

Report by Chief Executive

REVIEW OF THE STRATEGIC RISK REGISTER
AND RISK MANAGEMENT PROGRESS

PURPOSE OF REPORT

1.   This report provides the latest annual update of the Council's Strategic Risk Register and a summary of risk management progress. The previous update on the Strategic Risk Register was considered by the Cabinet on 5 April 2018.

RECOMMENDATIONS

2.   It is recommended the Cabinet consider and note the updated East Renfrewshire Council 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 Cabinet on 5 April 2018 and by Audit and Scrutiny Committee on 14 March 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 29 risks of which 9 are evaluated as high and 20 medium. Where a risk has been evaluated as "low" it has been removed from the Strategic Risk Register and will be monitored within Departmental or Operational registers if appropriate.

6.   An additional column has been added to the Strategic Risk Register to record the "Date for Completion of the Proposed Risk Measure". This provides a date for when it is anticipated that the proposed measure will be completed and therefore included in the "risk control measures currently in place".

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

8.   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

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

- Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020: Inability to deliver sufficient early years places including an element of flexibility for the proposed increase to 1,140 annual hours of flexible early learning and childcare (by 2020) or further changes in entitlement. (*Risk 1.1*)
- Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in Education and HSCP services. *(Risk 2.2)*
- Increase in older people due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity. Pressures from new national delayed discharge targets of 72 hours. (*Risk 5.1*)
- Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability or significant care concerns. Consequences could include: disruption to service delivery, requirement to implement contingency plans, impact on individuals and families with potential disruption to care arrangements. *(Risk 5.2)*
- Outcome of EU referendum leads to economic uncertainty and detrimental impact on the Council budget. *(Risk 6.9)*
- Impact of Living Wage on the Council's 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 Core System leading to the anticipated benefits and savings not being delivered for the Council. *(Risk 6.14)*

10.   The following risks were **added** to the register
- New Scottish Government Funding Follows the child guidance in relation to parents accessing Early Learning & Childcare (ELC) in their choice of provider will have a significant financial impact on budget. *(Risk 1.3 – Medium)*
- 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. *(Risk 2.5 – Medium)*
- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards resulting in an impact on service users and carers and a reputational risk to HSCP and Council. *(Risk 5.3 - High)*

11.   The following risk was **increased in score from medium to high**:
- Ensuring sufficient catchment places for East Renfrewshire children and young people in light of new residential development – in particular the Local Development Plan. *(Risk 2.3)*

12.   The following risk was **reduced in score from high to medium**:
- Closure of facilities (related to Trust) as a result of unforeseen failure resulting in loss of attendance, revenue, damage to reputation and increased management fee. (*Risk 2.4*)
- Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services. *(Risk 3.7)*

- Reduced central government funding leading to failure to support the current level of service provision leading to public discontent and negative effect on the Council's reputation and increased pressure to draw down on future years' budgets. (*Risk 6.1*)

- Failure to effectively manage the Council's information assets to comply with Information legislation, in particular the Public Records (Scotland) Act, the Freedom of Information (Scotland) Act, the Data Protection Act and the General Data Protection Regulations. This could result in legal action, financial penalty, damage to Council reputation and/or inability to provide Council services. *(Risk 6.6)*
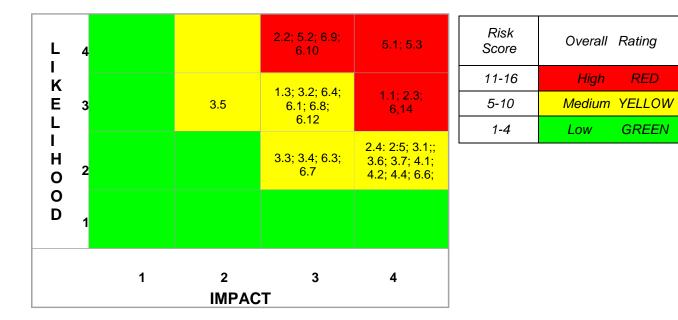
13.   The following risks retained the same score as before but the risk descriptions were amended to **reflect the current position** (additions in bold, removed text with line through and revised risk included below for clarity):

- **Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020:** Inability to deliver sufficient early years places including an element of flexibility for the proposed increase to 1,140 annual hours of flexible early learning and childcare (by 2020) or further changes in entitlement. *(Risk 1.1)*

    o   Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020: Inability to deliver sufficient early years places including an element of flexibility for the proposed increase to 1,140 annual hours of flexible early learning and childcare (by 2020) or further changes in entitlement.

- Increase in the number of ~~vulnerable~~ adults and children with additional support requirements leading to a rise in demand ~~in Education and HSCP~~ **on** services. *(Risk 2.2)*
    o   Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.

- ~~Poor environmental performance in implementing climate change mitigation and adaptation measures could result in legislative noncompliance, higher utility and maintenance spend and reputational damage to the Council. It could also reduce the Council's ability to maintain services, buildings, infrastructure and public safety and wellbeing in the event of extreme weather occurring within the area. Ultimately this would impact on the Council's ability to achieve its agreed outcomes.~~ *(Risk 3.7)*
    o   Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services.

- Failure to implement a new ~~Core~~ **Finance/HR/Payroll** System within planned timescales leading to the anticipated benefits and savings not being delivered for the Council *(Risk 6.14)*
    o   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

14.   The following risks were **removed** from the register: (reason to remove the risk included below each risk)

- Subject to approval of the draft Scottish Government budget for 2018/19 continuation of the grant condition related to the pupil:teacher ratio – Should the grant condition on local government (ie maintain pupil: teacher ratio at 13.7) not be met nationally in 2018/19 then the Council's reputation would be adversely affected *(Risk 2.1)*

    o   East Renfrewshire Council have maintained the pupil: teacher ratio for 2018/19 and therefore this risk was removed.

RISK TOLERANCE

15.   **Map of strategic risks in East Renfrewshire Council**

		IMPACT		
L I K E L I H O O D 4			2.2; 5.2; 6.9; 6.10	5.1; 5.3
3		3.5	1.3; 3.2; 6.4; 6.1; 6.8; 6.12	1.1; 2.3; 6,14
2			3.3; 3.4; 6.3; 6.7	2.4: 2:5; 3.1;; 3.6; 3.7; 4.1; 4.2; 4.4; 6.6;
1				
	1	2	3	4

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

Count of risk	Category			
Local outcomes	**Low GREEN**	**Medium YELLOW**	**High RED**	**Total**
1. All children in East Renfrewshire experience a stable and secure start to their lives and are supported to succeed.	-	1	1	2
2. East Renfrewshire residents are fit 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 to grow.	-	7	-	7
4. East Renfrewshire residents are safe and supported in their communities and homes.	-	3	-	3
5. Older people in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.	-	-	3	3
Customer, Efficiency and People Outcomes	-	7	3	10
Total strategic risks	*0*	*20*	*9*	*29*

RISK PROGRESS

16.   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

17.   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

18.   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

19.   As part of the review of the register, several new risks were added, some were removed and others were amended. There are now 29 risks on the register of which 9 are classified as "high" risk.

20.   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

21.   It is recommended the Cabinet consider and note the updated East Renfrewshire Council 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   6 June 2019

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Appendix 1   East Renfrewshire Council Strategic Risk Register_V6.6_22.05.19

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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 | 22/05/2019 |
| Version | 6.7 |

Outcome 1: All children in East Renfrewshire experience a stable and secure start to their lives and are supported to 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]	
C (13/05/19)	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). 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. Maintain tight programme governance as per ELC Expansion Board Ongoing lobbying of SG/COSLA pending annual review of funding allocations. Revise preferred delivery model as necessary should shortfall in funding remain and report such to Council and Scottish Government. Regular review of delivery models based on affordability and preferences of parents from nursery applications. The 8 year capital plan reflects infrastructure requirements. Establish new ELC provision as soon as practically possible. Sites for the new ELC facilities have been identified with planning decisions still awaited on a few. Tender package developed and issued for new build facilities. Continue to monitor provision in light of any policy changes/legislation and make bids as appropriate for funding to take forward any required projects Training programmes established for existing employees to gain the necessary qualification to work in the ELC sector and to pilot our preferred delivery model in some communities. Engagement with partner providers, including childminders, to increase ELC places underway. Early Years Development Officer in post to support current and potential partner providers.	3	4	12	Subject to available funding, continue to grow our own workforce ensuring quality staff once trained are secured and retained within ERC. Invest in current and future playworkers by providing the opportunity to uplevel their qualifications to SVQ Level 3 or HNC equivalent. (This activity in readiness for August 2020 delivery.) Support new partner providers to establish high quality nurseries in areas where places are at a premium. (This activity in readiness for August 2020 delivery.)	31/08/20 31/08/20	2	4	8	Director of Education

			Work as part of an inter-authority partnership to develop clear guidelines on quality early learning and childcare provision.									
			Implement Early Learning and Childcare Strategy to plan longer term for extension to entitlement for preschool children.									
N (05/04/19	1.3	**New Scottish Government Funding Follows the child guidance in relation to parents accessing Early Learning and Childcare (ELC) in their choice of provider will have a significant financial impact on budget.**	High quality, flexible accessible childcare available within East Renfrewshire Local Authority settings. Rigorous scrutiny process to determine partnership status for ERC Funded Providers. New facilities progressing offering further choice for parents. Forecasting of the current demand and cost of children accessing non-LA settings.	3	3	9	Contribute via ADES (Association of Directors of Education Scotland) and West Partnership to the guidance for Funding Follows the Child. (This activity in readiness for August 2020 delivery.)	30/08/20		1	3	3	Director of Education

				Assessment of Risk [As it is now]				Date for completion of Proposed Risk Measure	Assessment of Residual Risk [proposed]			
Outcome 2: East Renfrewshire residents are fit 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**	Likelihood (Probability)	Impact (Severity)	Risk Score	**Proposed Risk Control Measures**		Likelihood (Probability)	Impact (Severity)	Residual Risk Score	**Risk Owner**
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
C (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. Inclusive Support redesign completed and implemented (April 2019) Education Resource Group to manage specialist resources and admission to specialist provision. Phase 1 of Fit for the Future Redesign implemented. Children's Services redesign implemented.	4	3	12	Review transition arrangements - child to adult services	31/10/19	4	2	8	Chief Officer HSCP
							Completion of Fit for the Future Phase 2.	31/03/20				
							Council continues to contribute to funding to demographic cost pressures	Ongoing				
C (13/05/19)	2.3	**Ensuring sufficient catchment places for East Renfrewshire children and young people in light of new residential developments- in particular the Local Development Plan.**	Regular review of places and demand; and implementation of admission arrangements policy. 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. On an ongoing basis, Education/Environment continue to review the release of housing and infrastructure requirements. This will also take cognisance of ongoing residential developments under the adopted LDP1 and any windfall sites. Education/Environment carried out a full review of demographic data to assist in forecasting future education needs and provision for LDP2 Council's Capital Investment Strategy reflects needs. Report submitted to Council on 31 October 2018 noting the impact on education provision of LDP2.	3	4	12	Depending on what is ultimately approved for LDP2, projects will be included in appropriate capital plans and future Council's Capital Investment Strategy to take account of operational requirements/timescales.	In line with relevant timescales	2	4	8	Director of Education
							Education statutory consultation to be undertaken in advance and within required timeframes.	In line with relevant timescales				
							Continue to review roll projections annually and Pupil Product Ratio (PPR) on a 2 yearly basis.	31/7/19 and 2 yearly thereafter				

Ref	No.	Risk	Existing Controls	L	I	Score	Planned Action	Timescale	L	I	Score	Owner
C (15/04/19)	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.	Ongoing	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 what is ultimately approved for LDP2 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.									
N (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)									

				Assessment of Risk [As it is now]					Assessment of Residual Risk [proposed]			
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	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures	Date for completion of Proposed Risk Measure	Likelihood (Probability)	Impact (Severity)	Residual Risk	Risk Owner
				[L]	[I]	[L x I]			[L]	[I]	[L x I]	
C (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.**	Collaborative agreement in place between the Clyde Valley partners committing to project delivery and additional GVA. Rigorous check of all business cases by Programme Management Office (PMO) prior to expenditure approval and project implementation. Assurance Framework in place, which will be subject of a Cabinet Report in April 2019. All business cases developed in accordance with green book guidance Existing and new employees trained in PRINCE2 to ensure effective project management Regularly minuted meetings of Regeneration Board and East Renfrewshire Council City Deal Programme Team to oversee progress with project delivery.	2	4	8	Monitor City Deal projects through use of Microsoft Project.	Currently ongoing with monthly review	2	3	6	**Director of Environment**
C (14/04/19)	3.2	**Increase in construction inflation costs may negatively impact on the planned capital plan and City Deal GVA.**	Major capital projects have been reviewed for inflationary impact in preparing the 2019/27 Capital Plan. Reassessment of capital plan to ensure budget can be met. Prudent budgeting with an increase in reserves Close monitoring of capital expenditure/income against budget throughout year	3	3	9	BCIS is updated annually and the mid construction point is used to inflate projects, and notified to the Finance service. Monitor potential effects of Brexit on construction costs and labour availability.	Currently ongoing with monthly review / Currently ongoing with monthly review	3	2	6	**Director of Environment**
C (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.**	State Aid reference is made within appropriate Cabinet/Council reports, where relevant. An annual State Aid return is submitted to the Scottish Government's State Aid Unit in June of each year. 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. 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. 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.	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 (14/04/19)	3.4	Potential issues arising from public/fatal accident inquiries etc concerning the structural or other integrity of public buildings.	Annual visual inspections undertaken of all buildings. Any issues identified requiring further investigation are referred to specialists or consultants.	2	3	6	Regularly review the adequacy of visual inspections and supplement them with additional measures where required	Currently ongoing with 6 monthly review from 30/06/19	2	1	2	Director of Environment
C (14/04/19)	3.5	Failure to comply with the access restrictions to specific zoned areas of Braidbar Quarry, Giffnock leads to injury/ fatality.	Partial fencing of Council owned land perimeter.	3	2	6	Fence off complete perimeter of Council owned land.	30/11/19	2	2	4	Director of Environment
			Regular inspections undertaken and repair regime maintained and documented.				Extend inspection regime once full perimeter fence is in place..	30/11/19				
			Extensive warning signs around all areas of the site.				Maintain warning signs.	Currently ongoing				
C (14/04/19)	3.6	There is a risk of a ground collapse at Braidbar Quarry which could result in fatalities. Several residential properties are blighted by this site.	No mitigation factors are presently in place for a ground collapse.	2	4	8	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	1	4	4	Director of Environment
C (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	Annual review of Business Impact Assessments (BIAs) and Business Continuity Plans (BCPs)	31/10/19	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.				Develop Adaptation Strategy to assist the Council in anticipating the adverse effects of Climate Change to prevent or minimise the damage, mitigating the effects of climate change related hazards. A Strategy is being developed at a Glasgow City Region level.	31/01/20				
			Continue to construct and maintain all buildings and infrastructure to the best possible standard to reduce				Implement an Adaptation Strategy.	To be determined				
			Participate in Clyde And Loch Lomond Flood Risk Management Group (CALL)				Attend Flood Risk Management Group	Quarterly meetings				

Outcome 4: East Renfrewshire residents are safe and supported in their communities and homes.

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) [L]	Impact (Severity) [I]	Risk Score [L x I]			Likelihood (Probability) [L]	Impact (Severity) [I]	Residual Risk [L x I]	
C (22/05/19)	4.1	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and Multi-Agency Public Protection Arrangements- MAPPA) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.	The operation of Child Protection, Adult Protection committees and MAPPA meetings to deal with the strategic and practice issues. Senior Manager Adult Support and Protection (ASP) responsible for chairing Case Conferences and leading on self evaluation and audit activity. Some refresher training delivered to Council officer and managers forums. Risk assessment integral part of the assessment process New Chair of Adult Protection Committee (APC) appointed April 2019. Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners. The extension of MAPPA to include Category 3 violent offenders - Risk of Serious Harm training completed. PVG (Protecting Vulnerable Groups) scheme in place The availability of data with varying limitation for analysis and evaluation. "Safe Together" model implemented. All front line managers provided with refresher training concerning statutory compliance. 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. Multi Agency Risk Assessment Conference (MARAC) fully operational (5th March 2019)	2	4	8	Adult Protection Committee (APC) workshop to develop new improvement plan for 2019/20 Increased frequency of APC meetings and additional reporting requirements to be agreed at development session for APC. Introduction of new practice standards and new programme of single agency audit commencing September 2019. Engagement with social workers not yet vetted to NPPV status Introduce rolling review of PVGs on 3 yearly basis	30/06/2019 30/06/19 01/12/19 30/06/2019 30/06/19	1	4	4	Chief Officer HSCP

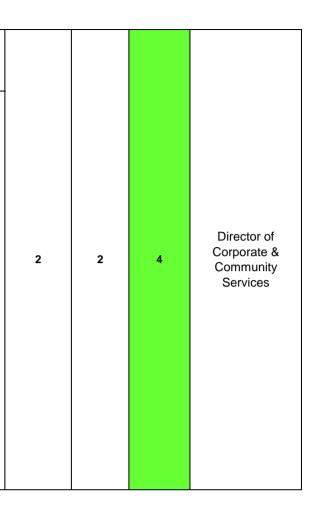|												
C (14/05/19)	4.2	Recent increases in acts of violence and intimidation, directed at some religious groups abroad, migrate to the Council area, thereby undermining the Council's Equality Outcome 6, "Members of equality groups live their lives, safe from discrimination, harassment, victimisation and violence" .	A new Duty on public authorities under the Counter Terrorism and Security Act (2015) to have " due regard to the need to prevent people from being drawn into terrorism", in the exercise of their functions.	2	4	8	Continuing to liaise, as appropriate, with relevant national intelligence services. Local PREVENT arrangements in place with key partners aimed at supporting those who may be vulnerable to being drawn into terrorism	31/12/19	1	4	4	Director of Corporate & Community Services
			The establishment of a working group represented by appropriate departments of the Council to support the development of an action plan that will satisfy the requirements of the Duty under the Counter Terrorism and Security Act (2015) .				Presentations to Head Teachers and East Renfrewshire's Child Protection Committee to raise awareness.	27/09/19				
			The development of links with the appropriate Services within Police Scotland to enable and facilitate training to support those officers of the Council who work with vulnerable people, including young people and to raise awareness of the Duty and its requirements amongst appropriate employee groups									
			Joint monitoring of incidents between the Council, Police and relevant religious/community leaders. Liaising, as appropriate, with relevant national intelligence services.									
			Working group and posts for refugee resettlement programme in place.									
			Ensuring that our emergency procedures are in line with good practice.									
C (22/05/19)	4.4	Historical Sexual Abuse Enquiry	Adult Protection Committee and Child Protection Committee have been sighted on these issues.	2	4	8	Indentified leads in HSCP will work alongside Legal Services to manage the process of any allegations/claims made.	Ongoing	1	4	4	Chief Officer HSCP
			Clear process for managing historical cases and protocol in place with Legal Services.									
			Risk although low may be difficult to determine due to historial nature.				Public Protection sub group to quality assure training and awareness raising for employees.	31/05/20				

Outcome 5: Older people and people with long term conditions in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.												
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) [L]	Impact (Severity) [I]	Risk Score [L x I]			Likelihood (Probability) [L]	Impact (Severity) [I]	Residual Risk [L x I]	
C (21/05/19)	5.1	**Increase in older people 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.**	Scottish Government -providing additional resources for Health and Social Care with emphasis on managing demographic pressures.	4	4	16	Next phase of HSCP Fit for the Future redesign to focus on rehabilitation and frailty pathways	31/12/19	4	2	8	Chief Officer HSCP
			Outcome Delivery Plan (ODP) and HSCP strategic plans build on foundation of CHCP and wider council prevention and early intervention strategy for older people.				Rollout of Talking Points as part of Community Led Support programme diverting people to community resources and building own assets.	Ongoing/ commences May 19				
			Agile working for HSCP employees improves efficiency.									
			Annual budget setting takes account of demographic projections.				Review Council funding for demographic cost pressures	Annually (29/02/20)				
			Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people.									
C (13/05/19)	5.2	**Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability or significant care concerns.** **Consequences could include:** **- disruption to service delivery** **- requirement to implement contingency plans** **- impact on individuals and families with potential disruption to care arrangements**	Ensure robust monitoring and robust action plans for improvement are in place	4	3	12	Implement learning from independent review of recent provider failure, due to be completed summer 2019.	31/12/2019	3	3	9	Chief Officer HSCP
			Work with Scottish Government, Scotland Excel and Cosla on care home market									
			Consideration of balance of market share across external market providers				Work with providers at risk to agree phased and managed approach to closure if required	Ongoing				
			Company Credit Health Checks									
N (10/05/19)	5.3	**Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards resulting in an impact on service users and carers and a reputational risk to HSCP and Council**	Movement of some packages to external providers	4	4	16	Improvement Task Force overseeing implementation of improvement activity supported by additional funding including revised care planning and risk documentation	30/9/19	3	3	9	Chief Officer HSCP
			Increased resource to support robust absence management				Recruitment of additional care at home staff	31/8/19				
							Ensure all Care at Home clients have an up to date review	30/11/19				
							Implement medication management policy and commence rollout of training	31/08/19				

Our Organisational Outcomes: Customers, 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 (22/05/19)	6.1	Reduced central government funding leading to failure to support the current level 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; Corporate ownership; Treasury management strategy; Increase in council's reserves (met target of maintaining reserves at 4% of net revenue budget); 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. In line with conditions attached to the financial settlement, the 2019/20 budget provides for the maintenance of pupil: teacher ratios. 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.	3	3	9			2	3	6	Head of Accountancy
C (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. 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 retirals. 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 Organisational Development (OD).	2	3	6	Updated workforce plan detailing department actions and demonstrating alignment with financial plan. (22/05/19) Implement the actions from the Workforce Planning Action Plan. (31/03/2022) Strategic Programme reporting for Modern Ambitious Programme (MAP) (Phase 1) and Investment (Phase 2). (31/12/19)	22/05/19; 31/03/2022; 31/12/19	2	2	4	Director of Corporate & Community Services

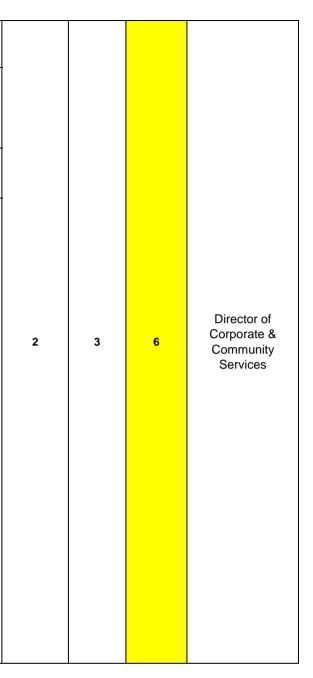|												
C (06/04/19)	6.4	The drive to deliver our ambitious change programme has an adverse impact on our employees as they strive to balance a relentless pace and scale of change with day to day responsibilities, leading to slower delivery of benefits and/or lower performance as services go through change.	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.	3	3	9	Development of Strategic Programme management reporting in line with recommendations from Best Value Audit.	30/06/19	2	3	6	Director of Corporate & Community Services
			Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts.				Enhance the role of service design and user design in change projects to ensure that the outcome best meets customer needs.	30/04/20				
			CMT oversight of key corporate resources e.g. HR, ICT, PMO, Accountancy through MAP Board. MAP governance in place to prioritise resource and ensure benefits are delivered.									
			Development of change management skills across the Council using accredited Project Management Courses, agile courses, management training and yellow belt training to assist with service redesign and broader skills and capacity for change in house.									
			Capital Bids required to demonstrate alignment to 5 capabilities and single outcome agreement									
			Overall summary of cashable efficiency benefits produced as part of Annual Efficiency Statement.									
			Consideration of flexible external assistance and skills when change projects require.									
			Greater use of "agile" project methodology to chunk projects into smaller, more manageable iterations, with lower risk.									
			Review of Council's values with the OD Board, to support delivery of change.									
			Use of resource planning tools to determine impact of new and ongoing projects for key corporate resources (e.g. ICT, HR, PMO, Accountancy)									
C (06/04/19)	6.6	Failure to effectively manage the Council's information assets to comply with Information legislation, in particular the Public Records (Scotland) Act, the Freedom of Information (Scotland) Act, the Data Protection Act and the General Data Protection Regulations. This could result in legal action, financial penalty, damage to council reputation and/or inability to provide council services.	Review of processes and procedures to ensure compliance with the General Data Protection Regulations and the Data Protection Act 2018 completed.	2	4	8	Consider review or resubmission of Records Management Plan	31/07/19	1	3	3	Chief Executive
			Review of current contracts and sharing agreements completed.				Implement a proportionate Information Governance Framework across the Council to ensure consistent approach to governance.	30/03/20				
			New procedures in relation to Subject Access Requests (SAR) introduced.				Creation of processes around privacy impact assessments.	31/12/19				
			Records Management Plan updated in line with Audit review and through ongoing revision.				Assessment of requirements for storage of hard-copy records to be considered	31/12/19				
			Retention schedule under ongoing review and revision.				Review of breach reporting.	31/12/19				
			Data Protection Officer started April 2019.									

C (05/04/19)	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.	2	3	6	Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery.	30/08/19	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.	30/09/19				
			Ensure that equipment is regularly maintained and replaced as required.									
			Ensure supplier(s) contracts support recovery activities.									
			The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts. 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.									
			Undertake independent review of core infrastructure design and architecture to gain validation and assurance of both security and operational capability.									
			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.									

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.	Successful implementation programme for EDRM system for invoice scanning, storage and retrieval to improve management and oversight of creditor payments	3	3	9	Continue to implement all audit actions timeously.	31/03/20	2	3	6	Director of Corporate & Community Services
			Centralisation of invoice delivery to Creditors implemented January 2017.				Continue to focus on financial compliance and control with development of regular management reporting on accuracy, processing rates and performance.	31/03/20				
			Good progress on delivery against Internal Audit recommendations.				Participate in Core Systems Programme to replace the Council's finance system in 2019.	31/03/20				
			Regular governance meetings of Purchase to Pay Improvement Steering Group, chaired by the Deputy Chief Executive. Daily tasking/production line meetings held with Creditors team.				New comprehensive procedures manual due later in 2019 to coincide with new system. Any changes to financial procedures will be signed off by Head of Accountancy.	31/12/19				
			Monthly performance figures produced for Corporate Management Team.									
			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.									
			Weekly updates on departmental invoice performance given to department representatives to direct action on payments.									
			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 (15/04/19)	6.9	**Outcome of EU referendum leads to economic uncertainty and detrimental impact on the Council budget.**	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.										
C (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
			Use of finance networks to share information on potential frauds.										
C (03/04/19)	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.**	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.				3	3	9	Enforce and report on mandatory information security training ensuring that managers are provided with reports of non-compliance.	30/06/19	3	2	6	Director of Corporate & Community Services
			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.							Undertake regular rehearsal of Cyber Incident Response process across ICT.	31/12/19			
			Security standards are reviewed and revised using a risk management approach.							Deliver additional capability for granular and specific data restores through the procurement of next generation back up and recovery tool.	30/06/19			
			The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.							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.	30/10/19			
			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.										

C (21/05/19)	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. At least monthly meetings of the Core Systems Programme Board where Programme level risks and issues are discussed. 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. ICT are leading the work to architect the overall design of the Core System to ensure a Council wide approach to systems.	3	4	12	Close liaison with supplier to address any issues regarding connectivity and identify alternative solutions if required. Comprehensive training of employees in the new system to support implementation.	31/08/19 31/12/19	2	4	8	Chief Executive

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