

EAST RENFREWSHIRE COUNCILAUDIT AND SCRUTINY COMMITTEE26 September 2019Report by Chief ExecutiveREVIEW 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 5th March 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 5th 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 30 risks of which 11 are evaluated as high and 19 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. 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" list.

7. 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.

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 2-2-; Inability to deliver our preferred or at least an acceptable model to locally address the principles of quality, flexibility, accessibility and affordability. *(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)*
- 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. *(Risk 2.3)*
- 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 an operational or financial failure to a key provider including care home, care at home and other care providers. 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)*
- 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'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 Finance/HR/Payroll System within planned timescales 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:

- 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)*
- Insurance Risk - 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. *(Risk 6.15 - medium)*
- "No Deal" Brexit leads to significant disruption to Council operations and the services we provide, including front line and support services. *(Risk 6.16 – high)*

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

- 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*)

12. The following risks **reduced in score from high to medium**.

- 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 or provide further clarity** (additions in bold, removed text with line through and revised risk included below for clarity).

- Risks 3.5 and 3.6 were combined to create a revised risk description for Risk 3.5

~~Failure to comply with the access restrictions to specific zoned areas of Braidbar Quarry, Giffnock leads to injury/ fatality. (Risk 3.5)~~

~~There is a risk of a ground collapse at Braidbar Quarry which could result in fatalities. Several residential properties are blighted by this site. (Risk 3.6)~~

- 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. (*Risk 3.5*)

- Risks 3.7 and 3.8 were combined to create a revised risk description for Risk 3.7

~~Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services (e.g. flooding or storms causing damage to public buildings, infrastructure and people and the effects of extreme cold/hot weather events) (Risk 3.7)~~

~~Poor environmental performance in implementing climate change mitigation and adaptation measures could result in legislative non-compliance, 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 3.8)~~

- Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services. (*Risk 3.7*)

- ~~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.~~ **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. Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies. Inability to recognise the value of 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 (Risk 6.6)

- 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. Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies. Inability to recognise the value of 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
- ~~Outcome of the EU Referendum~~ **Brexit** leads to economic uncertainty and detrimental impact on the Council budget, **operations and services.** (Risk 6.9)
 - Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services.

14. No risks were removed from the Strategic Risk Register.

RISK TOLERANCE

15. Map of strategic risks in East Renfrewshire Council

L I K E L I H O O D	4		2.2; 5.2; 6.7; 6.9; 6.10	5.1; 5.3; 6.16	
	3		1.3; 3.2; 6.1; 6.4; 6.8; 6.12	1.1; 2.3; 6.14;	
	2		3.3; 3.4; 6.3;	2.4; 2.5; 3.1; 3.5; 3.7; 4.1; 4.2; 4.4; 6.6; 6.15	
	1				
		1	2	3	4
		IMPACT			

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
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	-	6	-	6
4. East Renfrewshire residents are safe and live in supportive communities	-	3	-	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	5	12
Total strategic risks	0	19	11	30

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, 4 new risks were added and 4 risk descriptions were amended to reflect the current position. There are now 30 risks on the register of which 11 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. 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

17 September 2019

Report Author: Gill Darbyshire, Chief Executive's Business Manager
gill.darbyshire@eastrenfrewshire.gov.uk

Appendix 1 East Renfrewshire Council Strategic Risk Register_V7.1_11.09.19

KEY WORDS

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

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	Review transition arrangements - child to adult services	31/10/19	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.									
			Children's Services redesign implemented.									
C (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.	27/02/2020	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.	Ongoing				
			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.									

C (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.	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 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.									
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)									

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>Regularly minuted meetings of Regeneration Board and East Renfrewshire Council City Deal Programme Team to oversee progress with project delivery.</p>	2	4	8	Monitor City Deal projects through use of Microsoft Project.	Currently ongoing with monthly review	2	3	6	Director of Environment
C (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 2019/27 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

S (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 (30/08/19)	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.	Partial fencing of Council owned land perimeter.	2	4	8	An extended fenceline completing a full perimeter restriction to access the most dangerous parts of the site was commenced on 19th August 2019 and should be completed by November.	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				
			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	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 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 (05/09/19)	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.	2	4	8	Introduction of new practice standards and new programme of single agency audit commencing September 2019.	01/12/19	1	4	4	Chief Officer HSCP
			Senior Manager Adult Support and Protection (ASP) responsible for chairing Case Conferences and leading on self evaluation and audit activity.				Engagement with social workers not yet vetted to NPPV status	30/12/2019				
			Risk assessment integral part of the assessment process				Introduce rolling review of PVGs on 5 yearly basis	31/03/20				
			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									
			Council officer and managers forums established									
			"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)									
			ASP priorities for 2019/20 improvement and proposal for new structure and increased frequency of APC meetings agreed (06.06.19)									

S (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.												
S (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	Identified 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.				Public Protection sub group to quality assure training and awareness raising for employees.	31/05/20				
			Risk although low may be difficult to determine due to historical nature.									

Outcome 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

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 (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 2019				
			Agile working for HSCP employees improves efficiency.				Review Council funding for demographic cost pressures	Annually (29/02/20)				
			Annual budget setting takes account of demographic projections.									
			Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people.									
S (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				Work with providers at risk to agree phased and managed approach to closure if required	Ongoing				
			Consideration of balance of market share across external market providers									
			Company Credit Health Checks									
N (05/09/19)	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	30/09/19	3	3	9	Chief Officer HSCP
			Increased resource to support robust absence management. We have recruited additional care at home staff.				Will continue to recruit in line with service demands	Ongoing				
			New medication policy adopted.				Ensure all Care at Home clients have an up to date review	30/11/19				
							Start testing of policy implementation in small scale pilot	30/09/19				
							Commence medication management training	30/09/19				

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]	
S (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	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									
			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.												
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.				Strategic Programme reporting for Modern Ambitious Programme (MAP) (Phase 1) and Investment (Phase 2).	31/12/19				
			Use of organisational and financial business case when considering redundancies/ early retirees.									
			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).									
			Workforce plan updated detailing department actions and demonstrating alignment with financial plan.									

<p>C (18/09/19)</p>	<p>6.4</p>	<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>3</p>	<p>3</p>	<p>9</p>	<p>Enhance the role of service design and user design in change projects to ensure that the outcome best meets customer needs. User Research course arranged for September & tender out for Service Design courses to run later in 2019/20.</p>	<p>31/03/20</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Director of Corporate & Community Services</p>
			<p>Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts.</p>									
			<p>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.</p>									
			<p>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.</p>									
			<p>Capital Bids required to demonstrate alignment to 5 capabilities and single outcome agreement</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 to determine impact of new and ongoing projects for key corporate resources (e.g. ICT, HR, PMO, Accountancy)</p>									
<p>Development of Programme management reporting in line with recommendations from Best Value Audit.</p>												

C (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.				
			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.									

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
C (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>	3	3	9	<p>Enforce and report on mandatory information security training ensuring that managers are provided with reports of non-compliance.</p> <p>Undertake regular rehearsal of Cyber Incident Response process across ICT.</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.</p>	<p>31/12/19</p> <p>31/12/19</p> <p>30/10/19</p>	3	2	6	Director of Corporate & Community Services

C (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.									
N (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									
N (03/09/19)	6.16	"No Deal" Brexit 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	Active input to local, regional and national work to deal with a no-deal Brexit.	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 Co-ordinator appointed and in post.	30/09/2019				
			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.				Implement agreed call, meeting and reporting cycles and responsibilities through EU-Exit date until agreed date post EU-Exit date.	30/09/19				
			Service specific mitigation in place where identified as appropriate.									