

EAST RENFREWSHIRE COUNCILCABINET23 March 2017Report by Chief ExecutiveREVIEW 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 of the Council's strategic risk register was considered by the Cabinet on 24 March 2016.

RECOMMENDATIONS

2. It is recommended the Cabinet consider and approve the updated Council's strategic risk register.

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. As well as deletions from the strategic risk register, 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 was undertaken by the CMT and risks are now grouped in the register by outcome from the Single Outcome Agreement. There are now 25 risks of which 8 are evaluated as high, 13 medium and 4 low.

5. 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

6. The following remain as **high risks (summarised below with additional wording highlighted in bold- risk no in italics)**

- 6.1 Reduced central government funding (1).
- 6.2 Interruption to service or total inability to provide ICT Services due to the loss of the Barrhead Data Centre **and/or other critical infrastructure components** (7).
- 6.3 Outcome of EU referendum leads to economic uncertainty (9).
- 6.4 Impact of Living Wage on the council's, **contractors and commissioned providers salary** scales (10).
- 6.5 Inability to deliver sufficient early years places including an element of flexibility for the proposed increase to 1,140 annual hours (12).

- 6.6 Increase in the number of vulnerable adults and children with additional support requirements (15).
- 6.7 Closure of facilities (related to Trust) as a result of unforeseen failure (17).
- 6.8 Increase in older people due to demographic changes leads to an over demand (25).
7. The following risks **were removed** from the register
- 7.1 Uncertainty over changes to ward boundaries leads to delay in preparations for 2017 elections.
Update: In October 2016, the Council expressed its extreme disappointment that the Scottish Government accepted ward design proposals set out by the Local Government Boundary Commission which we believe are fundamentally flawed.
- 7.2 National redesign of community justice and review of criminal justice social work funding could lead to removal of ring fenced funding and additional pressures on limited resources to manage risk and protect local communities.
Update: The Council received confirmation that ring fenced funds for community justice are not at risk for 2017/18.
- 7.3 Due to the increased demand for services to develop new and emerging opportunities there is a risk of reducing service levels damaging council reputation if staff do not adapt quickly.
Update: This risk was reworded to reflect the current situation and is now included within revised risk no 4.
- 7.4 Ongoing tribunal decisions on equal pay claims and receipt of second wave equal pay claims leads to substantial financial liability.
Update: Final claims settled.
- 7.5 Equality and Human Rights Commission (EHRC) intention to legally challenge kinship care allowance rates paid by local authorities may lead to significant financial liability for the Council.
Update: Local authorities and COSLA worked with Social Work Scotland and Scottish Government on a solution. The implemented solution removes the legal threat so that both foster carers and kinship carers receive the same amount of funding. This decision had significant financial implications for the Council. Risk no 13 on the current risk register reflects the ongoing financial implications.
- 7.6 Any local/national incident or emergency impacting business continuity e.g. extreme weather, industrial action, system failure, pandemic illness.
Update: CMT agreed that this risk should be included in operational/departmental registers where appropriate and the risk will be added to the strategic risk register in specific circumstances.
- 7.7 Economic difficulties and future changes to welfare/benefits legislation leads to an increase in poverty or hardship, the creation of an over/under demand on certain council services and a reduction in council income to support services.
Update: After reflection, it was agreed that this should not be classed as a strategic risk, it is instead a key priority for the Council to alleviate poverty and reduce its impact on residents. Therefore it was removed from the register however the Council continues to prioritise measures and joint working with agencies to support residents.

8. The following risks **reduced in score from high to medium (any changes in wording highlighted and deletions shown in bold)**

- 8.1 If the grant condition on local government funding i.e. pupil: teacher ratio is not met nationally in 2017/18 or the living wage is not maintained across all council services then the Council's reputation would be adversely affected ~~and it could face financial penalties.~~ (14).
- 8.2 Increase in construction inflation costs may negatively impact on the planned capital plan (20).
- 8.3 Ensuring sufficient catchment places for East Renfrewshire children and young people in light of new residential developments- in particular the Local Development Plan (16).
- 8.4 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 (3).

9. The following risks retained the same score as before but the risk descriptions were amended to **reflect the current position.**

- 9.1 Projects included in the Glasgow and Clyde Valley City Deal programme **(including those 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 (19).
- 9.2 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 (4).

10. A **sample of control measures which have been implemented or are proposed** include:

- 10.1 Outline Financial Plan to Council (Feb 2017) which takes cognisance of the economic uncertainty around the EU referendum outcome. Reserves policy paper to Council (Feb 2017) (1 and 9).
- 10.2 Early years- Scottish Government's draft budget 2017/18 includes some revenue and capital provision- allocations of which are awaited (12).
- 10.3 Develop a training programme for existing staff to gain necessary qualification to work in Early Learning and Childcare sector. Work as part of an inter-authority partnership to develop clear guidelines on quality early learning and childcare provision (12).
- 10.4 Education Resource Group to manage specialist resources and admission to specialist education provision. Implement Children's services redesign HSCP (15).
- 10.5 New arrangements for admissions and P7 to S1 transfer for all Roman Catholic and non-denominational primary and secondary schools were approved on 20 December 2016 and are being implemented (16).
- 10.6 Improved CPA process and a more corporate approach to service delivery through the Corporate Asset Management Group. The CAMG monitor impact of construction inflation closely (20).
- 10.7 Centralisation of invoice delivery to Creditors implemented January 2017 (8).

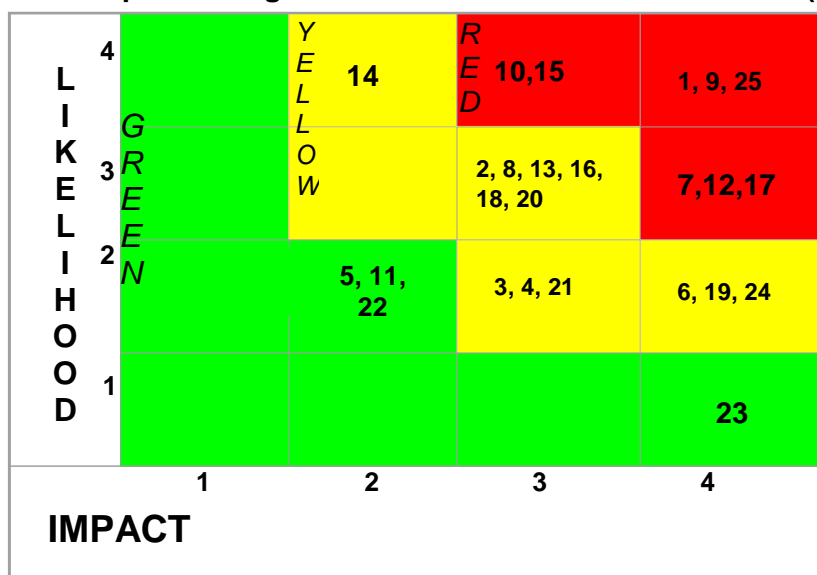
10.8 Audit process in place with staff training for Multi-Agency Public Protection Arrangements (MAPPA) extension to include violent offenders who present a serious risk of harm (23).

11. There are now 25 risks, in total, on the strategic risk register of which 8 are evaluated as high, 13 medium and 4 low.

12. The strategic risk register continues to align with the council's key outcomes (risks are grouped by outcomes) and the current internal and external business environment. The risk register reflects the corporate risks associated with the current strategic change and transformation agenda of the council.

RISK TOLERANCE AND LINKS TO THE SINGLE OUTCOME AGREEMENT

13. Map of strategic risks in East Renfrewshire Council (risk nos. from 1-25)



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

Count of risk	Category			
	Low GREEN	Medium YELLOW	High RED	Total
Local outcomes				
1. All children in East Renfrewshire experience a stable and secure start to their lives and are supported to succeed.	0	1	1	2
2. East Renfrewshire residents are fit and active and have the skills for learning, life and work	0	3	2	5
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses to grow.	1	3	0	4
4. East Renfrewshire residents are safe and supported in their communities and homes.	1	1	0	2
5. Older people in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.	0	0	1	1
Customer, Efficiency and People Outcomes	2	5	4	11
Total strategic risks	4	13	8	25

RISK PROGRESS

14. Over 2016, the Corporate Risk Management Group met to review the risk management process to identify areas for improvement. This resulted in more emphasis on the discussion of risks at departmental management team meetings. The Corporate Management Team decided to change their approach to reviewing the strategic risk register and it now forms part of the regular agenda. Therefore, the review of risks is taking place more regularly on a formal basis within regular board meetings.

15. Departmental risk representatives continue to embed risk management principles within their departments ensuring staff attend risk management training on the corporate calendar. We also carried out a number of bespoke training courses for education staff, the IJB, senior management, procurement teams and insurance staff during the year. Our approach to risk management is constantly under review to incorporate best practice.

FINANCE AND EFFICIENCY

16. The review of the strategic risk register forms a fundamental role in ensuring that the Council meets the objectives detailed in the Single Outcome Agreement, Corporate Statement, Modern Ambitious Programme and the Outcome Delivery Plan.

CONSULTATION

17. The Corporate Management Team, Heads of Service and all Corporate Risk Representatives were invited to provide updates to the strategic risk register. In addition to this, 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

18. The risks captured in the strategic risk register continue to be monitored and evaluated by the Corporate Management Team on a regular basis. Although the strategic risk register is reported every 6 months to the Audit and Scrutiny Committee and annually to the Cabinet, the register will be updated continually throughout the next year and referred to as a live document.

19. As part of the review of the register, 7 risks were removed, 5 risk descriptions were updated and several mitigation measures were amended. There are now 25 risks on the strategic risk register of which 8 are evaluated as high, 13 medium and 4 low.

RECOMMENDATIONS

20. It is recommended the Cabinet consider and approve the updated Council's strategic risk register.

Lorraine McMillan, Chief Executive

1 March 2017

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Strategic Risk Register
East Renfrewshire Council

Appendix 1

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

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

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 06/03/2017

C= Changed
N =New
S =Same

Risk status S/C/N (same, change d, new)	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	Assessment of Residual Risk [proposed]		
				Likelihood (Probability)	Impact (Severity)	Risk Score [L x I]		Likelihood (Probability)	Impact (Severity)	Residual Risk Score
				[L]	[I]	[L x I]		[L]	[I]	[L x I]

Customer, Efficiency and People Outcomes

C	1	Reduced central government funding leading to failure to support the current level of service provision and the requirement to draw down council reserves to an unacceptable level, leading to public discontent and negative effect on the Council's reputation and increased pressure on future years' budgets.	Budget strategy group	4	4	16	Achievement of targets and outcomes outlined in Modern Ambitious Programme.	3	4	12
			Corporate ownership							
C	2	Improvements to the reconciliation process for certain Health and Social Care Partnership client payments are not effective in preventing future overpayments to service providers.	Treasury management strategy	3	3	9	Any open audit actions and progress are reported to every IJB Performance & Audit Committee	2	3	6
			Increase in council's reserves (met target of maintaining reserves at 4% of net revenue budget)							
C	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.	3 Year budget arrangements	2	3	6	Further workforce planning and review.	2	2	4
			Early communication of likely impacts and issues affecting the Council (budget)							

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Customer, Efficiency and People Outcomes (cont.)

C	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.	PSE programme closed after 5 years in reports to Cabinet in June/August 2015. New change programme launched (Cabinet June 2015 & August 2015) in form of Modern Ambitious Programme with core workstreams on OD, Digital, Data and Modernising.	2	3	6	Use of resource planning tools to determine impact of new and ongoing projects for key corporate resources (e.g. ICT, HR, PMO, Accountancy)	1	3	3
			Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional staff on temporary contracts.				Encouraging staff to develop project management and change management skills to support change in their departments.			
			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.				Consideration of flexible external assistance and skills when change projects require.			
			Development of change management skills across the Council using accredited Project Management Courses, agile courses, management training and yellow belt				Mapping of budget savings proposals to MAP and 5 Capabilities as part of budget process			
			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.							
			Discussion of benefits in Change Boards as part of project mandates, briefs and PIDS.							
Closer working with ICT using HOS and posts of Enterprise Architect and IT Business Relationship Managers.										
C	5	Failure to reduce absence levels which will affect the Council's ability to provide high quality services and lead to additional cost.	Two additional HR resource are coaching and mentoring managers on how best to tackle absence especially complex issues particularly in hot spot areas.	2	2	4		2	2	4
			Continue to monitor the best practices and see which has the most impact.							
			Improved reporting (now electronic automated reports available from the system) .							
			Trigger reports are issued to managers. Increased accountability within departments for return to work and absence review meetings leading to increased adherence to policy and improved use of the capability policy. DMTs and CMT receiving regular absence reports and are reviewing absence levels closely.							
			Revised maximising attendance policy implemented.							
			New Occupational Health tender awarded to improve the support and service received.							
			Absence management training improved with blended learning approach which allows more practical focus on case studies.							
C	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 Public Service Network standard (PSN). This could result in legal action, financial penalty, damage to council reputation and/or inability to provide council services.	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.	2	4	8	Information Classification Software to be deployed across Council's networks.	1	3	3
			IT Health Check and Information Security audit carried out annually to check compliance with recognised information security standards including PSN and PCI (see proposed measures on PCI).				Achieve full PCI-DSS Compliance by meeting Merchant Bank requirements and delivering Cardholder Not Present compliance through the Core Corporate Project.			
			Security standards are reviewed and revised using a risk management approach.				Review of the Council's Records Management Plan.			
			The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.				Review processes and procedures to ensure compliance with the new General Data Protection Regulations			
			The CMT agreed that Information Security training should be mandatory to raise staff awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.D67							
			Development of the corporate electronic document & records management system.							

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Customer, Efficiency and People Outcomes (cont.)

C	7	Interruption to service or total inability to provide ICT Services 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.	3	4	12	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.	2	2	4
			Ensure that the Council has up to date Business Continuity Plans.				Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery.			
			Ensure that equipment is regularly maintained and replaced as required.				Perform regular audited disaster recovery tests and rehearsals.			
			Ensure supplier(s) contracts support recovery activities.				Improve monitoring and alerting of hardware and environmental systems to provide a proactive response.			
			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 staff awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.				Improve fire protection and monitoring systems in current Barrhead Data Centre. Undertake independent review of core infrastructure design and architecture to gain validation and assurance of both security and operational capability.			
C	8	Failure to pay invoices within a specified timeframe (Local Government Benchmarking Framework indicator) which could lead to cessation of suppliers, risks to delivery of critical services; reputational damage to Council and possibly, in the extreme, legal action.	Successful implementation programme for EDRM system for invoice scanning, storage and retrieval to improve management of creditor payments underway.	3	3	9	E-invoicing project commencing 2017/18.	2	3	6
			Centralisation of invoice delivery to Creditors implemented January 2017.				Monthly departmental breakdowns of invoice performance to be provided for Chief Executive.			
			Action plans in place to deal with Internal Audit recommendations.				New process for escalation of outstanding invoices to be introduced January 2017.			
			Participating in national group looking at invoice performance indicator.				Ongoing supplier management as part of centralisation.			
			Regular sessions with departmental representatives to address progress. Progress report to Audit and Scrutiny Committee in January 2017.				Full implementation of EDMS system for invoice scanning, storage and retrieval to improve management of creditor payments due in 2017.			
			Overtime and temporary staff being used to manage workloads and provide additional capacity for processing and evidence of performance improvements.				Departments reminded of their obligations to pass invoices, correctly and timeously for processing and follow-up stakeholder engagement planned and regular department information passed back to ensure improved processes in departments.			
			New management of the service through Business Change & Revenues Service to enhance resilience for staff and fast-track the change programme.							
Permanent post for management of Creditors team appointed.										
C	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	4	16	Budget Strategy Group to plan for range of financial scenarios. Outline Financial Plan to Council Feb 2017 takes cognisance of this.	4	3	12
C	10	Impact of Living Wage on the council's, contractors and commissioned place providers 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	A full review of the grading scheme could be required. There are two possible outcomes - maintain a supplement with low impact or a full salary grade review which could result in significant cost to the council.	4	2	8
C	11	Inappropriate use of social media leads to information breaches compromising customer relationships leading to reputational damage, substantial fines or prosecution.	Social media policy and guidelines for employees. Employee code of conduct.	2	2	4	Additional training/ reminders for staff, development of better digital skills for staff.	1	2	2
			Handbook for social media business users.							
			Approval required from Communications Team prior to setting up any new social media accounts.							
			Social media training and resources.							

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

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 06/03/2017

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				[L]	[I]	[L x I]		[L]	[I]	[L x I]
SOA 1 All children in East Renfrewshire experience a stable and secure start to their lives and are supported to succeed.										
C	12	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.	<p>Scottish Government is consulting with local authorities to assess capacity, population and workforce requirements for the 1140 hours. Additional revenue and some capital funding is anticipated to support the implementation of this policy. Scottish Government's draft budget 2017/18 includes some revenue and capital provision- allocations of which are awaited.</p> <p>Progress new facilities in the capital plan which have if required undergone education statutory consultation and have Education committee approval.</p> <p>New build primary schools noted in capital plan include some early years provision. Current capital plan also includes provision for non denominational nursery from re-modelling accommodation at St Cadoc's PS - subject to education statutory consultation.</p> <p>Implement Early Learning and Childcare Strategy to plan longer term for expected extension to entitlement for preschool children.</p> <p>A scoping bid has been prepared for consideration through the capital plan to address additional places required. In the interim officers are assessing requirements.</p>	3	4	12	<p>Detailed Capital Project Appraisals (CPAs) prepared for consideration through the capital plan to address additional places required. Establish new provision in accordance with approvals granted.</p> <p>Continue to monitor provision in light of any policy changes/legislation and make appropriate bids for funding to take forward any required projects.</p> <p>Support new partner providers to establish high quality nurseries in areas where places are at a premium. Develop a training programme for existing staff to gain necessary qualification to work in Early Learning and Childcare sector. Work as part of an inter-authority partnership to develop clear guidelines on quality early learning and childcare provision.</p>	2	4	8
C	13	Potential new duties from the Children and Young People (Scotland) Act in relation to extending the age to which care leavers can receive support from their local authority and supporting kinship carers and families will have a significant financial impact and may lead to over demand on CHCP services.	<p>COSLA negotiations on schedule of financial support</p> <p>The Chief Social Worker attends Scottish Government Working Groups</p>	3	3	9	Resource alignment to support additional duties to comply from 2016 regarding named person, child's plans and additional corporate parenting responsibilities for young people up to 26 years old.	3	2	6

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SOA 2 East Renfrewshire residents are fit and active and have the skills for learning, life and work.A103										
C	14	If the grant condition on local government funding i.e. pupil: teacher ratio is not met nationally in 2017/18 or the living wage is not maintained across all council services then the Council's reputation would be adversely affected.	<p>Scottish Government intends to consult on a national funding formula for schools following the recent Governance Review. This may influence the requirement for local authorities to maintain the overall pupil: teacher ratio financial settlement condition.</p> <p>Draft budget for 2017/18 reflects teacher staffing budgets based on maintaining the pupil teacher ratio at Census 2016 level taking account of projected pupil numbers for session 2017/18.</p> <p>Close monitoring of teaching vacancies in liaison with HR to ensure all action possible taken to meet pupil: teacher ratio required for Census 2017.</p> <p>Maximise the bid for newly qualified teachers.</p>	4	2	8	<p>Continue to work with ADES (Association of Directors of Education in Scotland) colleagues to influence the proposed new national staffing standard and other changes to funding arrangements for schools.</p>	3	2	6
C	15	Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in Education and HSCP services.	<p>Analysis of demographic changes. Increased financial forecasting.</p> <p>Increase in foster carers through local recruitment campaign.</p> <p>Education Resource Group to manage specialist resources and admission to specialist provision.</p> <p>Learning disability supported living redesign.</p>	4	3	12	<p>Review transition arrangements - child to adult services</p> <p>Implement Children's services redesign.</p>	4	2	8
C	16	Ensuring sufficient catchment places for East Renfrewshire children and young people in light of new residential developments- in particular the Local Development Plan.	<p>Regular review of places and demand.</p> <p>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.</p> <p>New facilities are progressing according to need/resources and necessary consultations/ approvals.</p> <p>New arrangements for admissions and P7 to S1 transfer for all Roman Catholic and non-denominational primary and secondary schools were approved on 20 December 2016 and are being implemented.</p>	3	3	9	<p>Capital Plan regularly reviewed and updated to align with developments as they occur and reflect operational requirements. Education statutory consultation to be undertaken in advance.</p> <p>Respond to the Main Issues Report and contribute to the new LDP (2) highlighting any impact in terms of the educational estate.</p>	2	3	6
C	17	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.	<p>ERC's Asset Management Plan.</p> <p>Quarterly meetings take place between the Trust and Property and Technical Services to monitor performance.</p> <p>Business Continuity Plans in place for services.</p>	3	4	12	<p>Capital Project Appraisals (CPAs) prepared for consideration through the capital plan to address operational requirements.</p>	2	4	6
C	18	Inability due to lack of resources to realise the agreed ambition or vision for East Renfrewshire Culture and Leisure (ERCL).	<p>ERCL key partner within the Community Planning Partnership and contributes to the on-going delivery of the single outcome agreement.</p> <p>Regular meetings take place between senior staff of ERCL and ERC. Regular meetings take place between the Chairman of the ERCL Board and ERC elected members.</p> <p>Role of those ERC elected members who are also ERCL Trustees including explaining and communicating ERCL strategies, policies, decision etc. to the Council.</p>	3	3	9	<p>ERCL involvement in developing the Main Issues Report and contributing to the new LDP (2).</p> <p>Further training and support provided to ERCL Trustees including the introduction of Trustee appraisals.</p>	2	3	6

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				[L]	[I]	[L x I]		[L]	[I]	[L x I]

SOA 3 East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses to grow.

C	19	Projects included in the Glasgow and Clyde Valley City Deal programme (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.	Tri-partite agreement between UK and Scottish Governments and the Clyde Valley partners signed in August 2014.	2	4	8	Ongoing monitoring working groups plus ongoing review and implementation of agreed Assurance Framework.	1	4	4
			Rigorous independent check of proposed project plans prior to implementation							
			Strong governance regime							
C	20	Increase in construction inflation costs may negatively impact on the planned capital plan.	Management of borrowing portfolio.	3	3	9	Achievement of outcomes from corporate asset management plan including consultation on future service delivery.	3	2	6
			Major capital projects have been reviewed for inflationary impact in preparing the 2016/17 Capital Plan. Reassessment of capital plan to ensure budget can be met.							
			New Eastwood Health & Care Centre with Greater Glasgow NHS and East Renfrewshire Council HSCP delivered.							
			Improved CPA process and a more corporate approach to service delivery through the Corporate Asset Management Group. The CAMG monitor progress with the capital plan and measure the impact of construction inflation closely.							
			Prudent budgeting with an increase in reserves.							
			Specialist treasury advice.							
			Funding bids e.g. heritage lottery fund							
			Close monitoring of capital expenditure/income against budget throughout year.							
Participation in West Territory hub to permit joint development of capital projects										
Maximise developer contributions										
S	21	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.	2	3	6	Develop a Communications Plan with Communications for the dissemination of State Aid information including a link on the council's Intranet.	1	3	3
			An annual State Aid return is submitted to the Scottish Government's State Aid Unit.							
			A member of the Council's Economic Development and Regeneration Team now attends 3 meetings per year at the Scottish State Aid Local Authority Network.							
			The Scottish Government's State Aid Unit recently delivered a training session to staff from Economic Development and Regeneration, Legal Services, Finance and Procurement.							
S	22	Implementation of the Community Empowerment (Scotland) Act - failure to have statutory processes in place within required timeframes (such as Local Outcome Improvement Plan and Outcome Participation Requests process) and failure to meet community demands and expectations leading to negative impact on the reputation of the Council and the Community Planning Partnership.	Presentations to Community Planning Partnership (CPP) Board and Performance and Accountability Review (PAR) to ensure partners aware of expectations. PAR has established a Strategic Working Group to focus on implementation of 2 key elements of the Act (Local Outcome Improvement Plan and Outcome Participation Requests).	2	2	4	CPP has programme for the development of leadership and capacity building for staff across the Partnership to be able to respond to the requirements of the Act	1	2	2
			CPP Board has overall responsibility for ensuring CPP meets statutory duties through scrutiny and oversight at annual meetings.							
			PAR has responsibility for monitoring CPP performance in relation to outcomes.							

Strategic Risk Register
East Renfrewshire Council

Appendix 1

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

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

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 06/03/2017

C= Changed
N =New
S =Same

Risk status S/C/N (same, change, new)	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	Assessment of Residual Risk [proposed]		
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				[L]	[I]	[L x I]		[L]	[I]	[L x I]

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

C	23	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 CP, AP committees and MAPPA's meetings to deal with the strategic and practice issues.	1	4	4	Following the extension of MAPPA to include Category 3 violent offenders, 3 staff have completed Risk of Serious Harm training, 3 awaiting training dates.	1	4	4
			MAPPA extension to include violent offenders who present a serious risk of harm fully implemented. Audit process in place.				Negotiate with SG on the whole protection agenda for uniformity .			
			Development of protection of vulnerable groups scheme (new staff then existing staff) with replacement of enhanced disclosures.				Ensure the links are made for learning opportunity within the protection agenda.			
			Training on MAPPA extension completed.				Develop a framework for reporting to the community planning partnership.			
			Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners.							
			The requirement to produce and publish reports of activities.							
			The availability of data with varying limitation for analysis and evaluation.							
C	24	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.	2	4	8
			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.			
			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 staff 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.							

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SOA 5 Older people in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.										
C	25	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.	Scottish Government -providing additional resources for Health and Social Care with emphasis on managing demographic pressures. ODP and HSCP strategic plans build on foundation of CHCP and wider council prevention and early intervention strategy for older people. Agile working for HSCP staff improves efficiency. Annual budget setting takes account of demographic projections. Fees and charges policy (concessions).	4	4	16	HSCP fit for the future review and redesign Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people. has led to creation of various posts that refocus on preventions and early intervention. Community Led Support programme diverting people to community resources and building on own assets.	4	2	8