

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: 17/02/2016

C= Changed
N=New
S=Same

Risk status S/C/N (same, changed, 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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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 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 Early communication of likely impacts and issues affecting the Council (budget) 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.	4	4	16	Achievement of targets and outcomes outlined in Modern Ambitious Programme. Long term budget and scenario planning.	4	4	16
C	2	If the grant condition on local government funding i.e. pupil: teacher ratio is not met nationally in 2016/17 or the living wage is not maintained across all council services then the Council could face financial penalties.	COSLA still seeking way forward with Scottish Government to move from outcome rather than input measures. Spending pressures submitted for 2016/17 reflect teacher staffing budgets based on maintaining the pupil: teacher ratio at census 2015 level taking account of projected pupil numbers for session 2016/17. Close monitoring of teaching vacancies in liaison with HR to ensure all action possible taken to meet pupil: teacher ratio required for Census 2016 Maximise the bid for newly qualified teachers.	4	4	16	Support COSLA move to seek national agreement to provide for flexibility to use broader outcome measures for grant conditions e.g. linked to attainment or inspections.	3	4	12
S	3	Improvements to the reconciliation process for certain Health and Social Care Partnership client payments are not effective in preventing future overpayments to service providers.	Reconciliations completed for affected providers and overpayments recovered. Client records updated. Phased transfer of records to new Care First system progressing with additional resources applied. More robust checks applied to payment authorisations. Majority of providers no longer paid under schedule arrangements.	3	3	9	Reconciliations to be kept up to date. Full implementation of Care Finance by March 2016 Restructure of HSCP Finance Team Cessation of all schedule payments Execute full action plan based on internal/external audit reports received.	2	3	6
C	4	Projects included in the Glasgow and Clyde Valley City Deal programme 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	Rigorous independent check of proposed project plans prior to implementation Strong governance regime Ongoing monitoring working groups plus ongoing review and implementation of agreed Assurance Framework.	1	4	4
C	5	Changes in European accounting rules (ESA10) requiring the Scottish Government to revise arrangement for hub DBFM schemes could impact upon timescale and funding of the replacement Barrhead High School.	Scottish Government and Scottish Futures Trust have revised contractual arrangements to meet the new requirements. Revised timescales, costings and funding have been agreed for the project.	2	4	8	Continued dialogue with SFT and HwS Implement territory specific legal documentation and seek to achieve financial close for Barrhead HS in March 2016.	1	4	4
C	6	Ongoing tribunal decisions on equal pay claims and receipt of second wave equal pay claims leads to substantial financial liability.	Acceptance with trade unions on pay and grading and terms and conditions. Engagement with legal representatives of equal pay claimants All first wave claims have been settled. Communication Strategy. Effective Project Planning underway. National Agreement re: Salary protection. Robust contractual arrangements. Expert advice from external legal advisers. Regular financial monitoring of potential equal pay liability.	3	3	9	Second wave offers are currently being made.	2	3	6

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C	7	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 reduction in service levels damaging council reputation.	<p>New Leadership Competencies (which are linked to PRD) and the new Leaders of the Future Development Programme.</p> <p>Use of organisational and financial business case when considering redundancies/ early retirements.</p> <p>Workforce planning strategy approved with improved recruitment and selection procedures.</p> <p>Succession planning toolkit available for managers.</p> <p>Service redesigns to improve offering and promote joint working e.g. Money Advice, Income Maximisation and Welfare Rights teams integrated as a single team (Money Advice & Rights) within Customer First since April 2015. Rent collection service transferred to Housing (July 2015). Payroll services transferred to HR (July 2015).</p> <p>Actively support COSLA working groups to benchmark best practices in workforce planning.</p> <p>New Modern Ambitious Programme (MAP) launched with core workstreams on OD, Digital, Data and Modernising.</p>	4	3	12	<p>Further workforce planning and review</p> <p>Full implementation of Leadership Competencies and Leaders of the Future Development Programme.</p> <p>Full implementation of Modern Ambitious Programme (MAP).</p>	3	3	9
C	8	Future vision of the Council requires modernised processes and new ways of working. In addition, there is an increase in demand for services to develop new and emerging opportunities (e.g. agile working, City Deal, HSCP integration, Hub schemes and Leisure Trust etc.). If staff do not adapt quickly to meet these challenges (and resources are not appropriately deployed) there is a risk of reducing service levels damaging council reputation.	<p>Future vision of what the Council should look like now in place and closely aligned to Organisational Development Strategy and 5 capabilities.</p> <p>New Modern Ambitious Programme (MAP) launched with core workstreams on OD, Digital, Data and Modernising.</p> <p>Capacity grid concept developed to manage key resources. MAP governance in place to prioritise resource and ensure benefits are delivered.</p> <p>New Leadership Competencies (which are linked to PRD) and the new Leaders of the Future Development Programme.</p> <p>Learning and Development strategy including e-learning. Improvements to Performance Review and Development Scheme.</p> <p>Workforce planning strategy approved with improved recruitment and selection procedures.</p> <p>Use of organisational and financial business case when considering redundancies/ early retirements.</p>	4	3	12	<p>Use of capacity grid to transparently flag impact of new and ongoing projects for key corporate resources (e.g. ICT, HR, PMO)</p> <p>Service Level Agreements for support services will be reviewed within first 9 months of the Trust's operations.</p>	3	3	9
C	9	Failure to deliver planned benefits of the change agenda leading to shortfall in the efficiency and savings targets.	<p>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.</p> <p>Capacity grid concept developed to manage key resources. 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.</p> <p>Closer working with ICT using HOS and posts of Enterprise Architect and IT Business Relationship Managers.</p>	2	3	6	<p>Use of capacity grid to transparently flag impact of new and ongoing projects for key corporate resources (e.g. ICT, HR, PMO)</p> <p>Encouraging staff to develop project management and change management skills to support change in their departments.</p> <p>Consideration of flexible external capacity and capability when change projects require.</p> <p>Utilisation of Modernisation Fund to resource change projects</p>	1	3	3
C	10	Any local/national incident or emergency impacting business continuity e.g. extreme weather, industrial action, system failure, pandemic illness.	<p>Civil contingency procedures are in place and communicated.</p> <p>Agreed process with Trade Unions to agree essential cover during industrial action.</p> <p>Business continuity plans in place for all services.</p> <p>Extreme weather guidance in place on intranet for employees.</p>	2	3	6	<p>Encourage staff to attend civil contingency training.</p>	2	3	6

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C	11	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. 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. Absence management training improved with blended learning approach which allows more practical focus on case studies.	3	3	9	Continue to monitor the best practices and see which has the most impact. Improvement to reporting facilities . Revised maximising attendance policy to be introduced to enhance approach to absence. New Occupational Health tender will be awarded to improve the support and service received.	3	2	6
C	12	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.	Welfare reform workstreams review complete. Welfare Reform strategic group, UC practitioners group and Fairer 3rd sector group now the communication channels. Welfare reform contingency budget. Closer working with CAB, East Renfrewshire Council Credit Union, Housing associations, DWP, Jobcentreplus to work in partnership to maximise resources on offer. Money Advice, Income Maximisation and Welfare Rights teams integrated as a single team (Money Advice & Rights) within Customer First since April 2015. Preparations for roll-out of Universal Credit in East Renfrewshire in 2016. Opening of Barrhead Foundry. Regeneration plan, health improvement plan and community learning and development strategy. Anti-social behaviour policy and expanded community warden service providing front line enforcement services. Development of business parks such as Greenlaw and Spiersbridge. Regular budget monitoring of actual versus estimated income. Creation of the early years collaborative to target children in deprived areas. Relationship with CAB reviewed and collaborative approach to Welfare Reform and UC in particular continues. CAB attend the strategic and practitioner level workstreams and strong ties continue to ensure effective partnership arrangements.	4	4	16	Preparations complete for roll-out of Universal Credit in East Renfrewshire on 15th February 2016. Regular liaison meetings have been set up with the DWP, SPOC role created in Revenues and secure internal and external liaison methods set up. Economic recovery action plan (annual update). Implementation of City Deal programme will improve economic activity. Review of charges for council services to ensure affordability. During the first year of UC to March 2017, the expected number of claimants is predicted at 21 per month and an annual total of 315 is expected. These claimants will specifically be single people, with no dependants, be of working age and making new benefit applications. Taken in isolation these UC claimant numbers would not be expected to have a material impact on the local economy, but this should be closely monitored in the wider context of welfare reforms in particular changes to PIP/DLA and disability benefits.	4	4	16
C	13	Increase in construction inflation costs may negatively impact on the planned capital plan.	Management of borrowing portfolio. 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. Improved CPA process and a more corporate approach to service delivery through the Corporate Asset Management Group. 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	4	4	16	Achievement of outcomes from corporate asset management plan including consultation on future service delivery. Corporate Asset Management Group's remit has been updated to monitor progress with the capital plan. New Eastwood Health & Care Centre with Greater Glasgow NHS and East Renfrewshire Council CHCP (project manager and risk register in place). Implementation of projects from City Deal programme will contribute to capital investment and increase economic activity across the area.	4	3	12

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S	14	Increase in older people due to demographic changes leads to an under/over demand on certain services and failure to meet legislation, overspend and negative publicity.	Implementation of the rehabilitation and enablement service redesign Scottish Government spending review and 3 year financial planning cycle providing additional resources for elderly client group. Community care plan. Fund Bid for reshaping older people's services. Older peoples' strategy Change Fund for reshaping older people's services. Day Service Review Implemented Raise awareness of eligibility and of pressures. Agile working for CHCP staff improves efficiency. Fees and charges policy (concessions).	4	4	16	Redesign services to free up capacity in other areas (home care).	4	2	8
C	15	Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in Education and CHCP services.	Analysis of demographic changes. Increased financial forecasting. Foster carer campaign launched	4	3	12	Atholl service review Foster care service review Learning Disability Support Living Redesign	4	2	8
C	16	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. Continue to provide high quality child protection services as confirmed by being rated best in Scotland by HMie (1 excellent/ 5 very good) 2010 Recent inspection of Integrated Children Services has confirmed strength of child protection services (3 Excellents) September 2014. Training and awareness in place. Partnership working is at an advance stage. Sharing of information have been finalised. The requirement to produce and publish reports of activities. The availability of data with varying limitation for analysis and evaluation. Chief Officers to be advised of preparation taking place in advance of extension of MAPPA to include violent offenders.	1	4	4	Develop a framework for reporting to the community planning partnership. Clear financial frameworks to be established. Development of protection of vulnerable groups scheme (new staff then existing staff) with replacement of enhanced disclosures. Negotiate with SG on the whole protection agenda for uniformity . Ensure the links are made for learning opportunity within the protection agenda. MAPPA will be extended on 1 April 2016 to include violent offenders who present a serious risk of harm. Training to be rolled out to staff during 2016. Audit process for MAPPA cases implemented across Community Justice Authority area.	1	4	4
C	17	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.	SG Funding contribution received 2015/16 for equitable allowance for Kinship carers. Shortfall identified as budget pressure. All Kinship carer have recived financial assessment and income maximisation in place.	2	2	4	Kinship Panel to consider and review kinship payments. Income maximisation processes are supporting Kinship Carers Budget pressures identified.	2	2	4
C	18	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.	Submission to Consultation on proposed new model Work commenced with community planning partners to agree reporting mechanism with Community Planning Board. Contribute to national funding review research. Work with CJA partners to plan for implementation of new national body.	3	3	9	Partners identified in proposed model to submit community transition plan to Scottish Government. Local governance, accountability and reporting arrangements to be agreed. Transition Plan submitted to Scottish Government for approval. Establish clear financial frameworks through national funding review. Ensure links are made with partners for effective offender management.	2	3	6
C	19	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. 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. Ensuring that our emergency procedures are in line with good practice.	2	4	8	Continuing to liaise, as appropriate, with relevant national intelligence 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.	2	4	8
			Regular review of places and demand.				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.			

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C	20	Ensuring sufficient catchment places for ER children and young people in light of new residential developments- in particular the Local Development Plan.	Current capital plan reflects new build educational estate supplemented as appropriate by developer contributions, according to timescales and extent of provision noted in LDP (approved June 2015) New facilities are progressing according to need/resources and necessary consultations/ approvals. In terms of denominational school places and following consultation with Catholic Church, consider adopting religion as a placing request criteria and undertake the necessary authority wide consultation.	3	4	12	Continue to review the sufficiency of denominational places and if and when necessary bring forward options to address pressure on places. The outcome of consultation identifies way ahead which can be implemented within timescale and are viable and legal. Resulting in revised admissions and placing request criteria for East Renfrewshire denominational schools.	2	3	6
C	21	Inability to deliver sufficient pre 5 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.	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. Progress new facilities in the capital plan which have if required undergone education statutory consultation and have Education committee approval. Where necessary, interim arrangements adopted until permanent facilities established. New build primary schools noted in capital plan include some pre5 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. Prepare Childcare Strategy to plan longer term for expected extension to entitlement for preschool children.	3	4	12	Capital Project Appraisals (CPAs) prepared for consideration through the capital plan to address additional places required. Establish new provision in accordance with approvals granted. Continue to monitor provision in light of any policy changes/legislation and make appropriate bids for funding to take forward any required projects. Support new partner providers to establish high quality nurseries in areas where places are at a premium.	3	4	12
C	22	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.	COSLA negotiations on schedule of financial support The Chief Social Worker attends Scottish Government Working Groups	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	3	9
C	23	Failure to find alternative treatment processes to Land filling by 2020 will result in non compliance with the Waste (Scotland) Regulations and leave the Council without a disposal point for its residual waste.	The Tender process for the Clyde Valley long term residual waste treatment process has been completed and a preferred bidder nominated. Participating Councils remain as East Renfrewshire Council, East Dunbartonshire Council, North Lanarkshire Council, North Ayrshire Council and Renfrewshire Council. Subject to Council approval on 20th April, a new Inter Authority Agreement will be entered into, which will enable financial close to be completed with the preferred bidder. Monitor quarterly waste dataflow returns. Excess waste and additional bin policy. Landfill diversion option to be built into new waste management contract.	1	3	3	Continue to working as part of the Clyde Valley Workstream to meet 2020 landfill ban. Continue to improve and enhance recycling schemes to reduce residual waste.	1	3	3

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C	24	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 Records management advice and records storage provision. Records Management Plan under the Public Records (Scotland) Act submitted to the Keeper in December 2015. IT Health Check and Information Security audit carried out annually to check standards remain compliant with recognised information security standards including PSN and PCL. Security standards are reviewed and revised using a risk management approach. The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts. 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.	2	4	8	Approval from the Keeper of the Council's records management plan in compliance with the Public Records (Scotland) Act. Development of the corporate electronic document & records management system. Information Classification Software to be deployed across Council's networks.	2	3	6
C	25	Proposals for councillor numbers and ward redesign from the Local Government Boundary Commission is based on a new methodology that has never been tested. After failed attempts to gain further evidence to support the change in methodology, the Council is concerned that the Commission's approach does not deliver suitable equity of electoral representation and it may leave the Council open to challenge on its failure to deliver effective and convenient government and criticism about the additional cost incurred in changing ward design.	Obtained FOI response from the Local Government Boundary Commission but this did not provide evidence of why the inclusion of deprivation was deemed to be a relevant determining factor in the setting of councillors numbers and subsequent ward redesign. Liaise with other COSLA/ SOLACE to discuss collective concerns about the sudden change in methodology and to determine a way forward. Continue to express concerns to the Local Government Boundary Commission (asked for a local inquiry).	3	3	9	Discuss the Council's concerns around the flawed methodology with Scottish Ministers.	2	3	6
N	26	Interruption to service or total inability to provide ICT Services due to the loss of the Barrhead Data Centre due to fire, vandalism, equipment malfunction (including environmental controls).	Ensure that a robust data back-up and protection schedule for data is in place. Ensure that the Council has up to date Business Continuity Plans. Ensure that equipment is regularly maintained and replaced as required. Ensure supplier(s) contracts support recovery activities.	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. Perform complete review of all current back-up arrangements to optimise resilience. Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery. Perform regular audited disaster recovery tests and rehearsals. Improve monitoring and alerting of hardware and environmental systems to provide a proactive response. Improve fire protection and monitoring systems in current Barrhead Data Centre.	2	2	4
N	27	Failure to pay invoices within a specified timeframe (Local Govt. 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 modernisation fund bid to implement new EDM system for invoice scanning, storage and retrieval to improve management of creditor payments starting in February 2015 (first phase complete- creditors team using new system) Overtime and temporary staff being used to manage workloads and provide additional capacity for processing. New management of the service through Business Change & Revenues Service to enhance resilience for staff and fast-track the change programme. Recruitment exercise for permanent post for management of Creditors team.	4	3	12	Change programme and performance management system in place to manage work/capacity of Creditors service with regular governance updates to senior management. Full implementation of EDMS system for invoice scanning, storage and retrieval to improve management of creditor payments due by summer 2017. Departments reminded of their obligations to pass invoices, correctly and timeously for processing and follow-up stakeholder engagement planned.	3	3	9
N	28	Lack of clarity or agreement on the respective roles, funding and responsibilities of the IJB (Integrated Joint Board) and the Council could lead to failure to maximise partnership working and maintain good working relationships.	Chief Officer (IJB) sits on Corporate Management team of both organisations and has regular one to one meeting with both NHSGgc and ERC Chief Executives. Chief Officer (IJB) has a clear role in both organisations budgetary discussions. Convenor for Social Work and Health (Vice-Chair of IJB)	2	4	8	IJB review resources to ensure they match delegated authority. On-going stakeholder engagement and communication. Ensure clarity of roles and responsibilities of parent organisations. Annual Report to Council meetings	1	4	4

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			briefs Council on a regular basis.				6 Monthly report on SOA outcomes			
N	29	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.	ERC's Asset Management Plan. Liaison between Trust and ERC's Property and Technical Services team. Business Continuity Plans in place for services.	3	4	12	Quarterly meetings will take place between the Trust and Property and Technical Services to monitor performance. Capital Project Appraisals (CPAs) prepared for consideration through the capital plan to address operational requirements.	2	3	6
N	30	Inappropriate use of social media leads to unintentional information breaches compromising customer relationships leading to reputational damage, substantial fines or prosecution.	Social media policy and guidelines for employees. 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	2	4	8	Additional training/ reminders for staff, development of better digital skills for staff.	2	4	8