

EAST RENFREWSHIRE COUNCIL

AUDIT AND SCRUTINY COMMITTEE

Thursday 10 April 2014

Report by Chief Executive

REVIEW OF THE STRATEGIC RISK REGISTER

PURPOSE OF REPORT

1. This report provides the Audit and Scrutiny Committee with the latest annual update of the Council's strategic risk register. The previous update of the Council's strategic risk register was considered by the Audit and Scrutiny Committee on 26 September 2013.

RECOMMENDATIONS

2. The Audit and Scrutiny Committee is asked to note the development of the 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 additions to the strategic risk register, several risks have been amended to include additional control measures and the risks have been rescored for significance. Risks identified by Audit Scotland in the draft Assurance and Improvement plan have also been incorporated into the strategic risk register.

REPORT

5. The following remain as **high risks**

- Reduced government funding.
- Increase in older people leading to an over demand on certain council services.
- Economic difficulties and welfare reform leading to increased poverty.
- Reduced capital investment arising from economic downturn.
- Ensuring sufficient catchment places for ER children and young people in light of new residential developments - in particular the Local Development Plan (although this reduced in score from 16 to 12).
- Failure to manage the Council's information assets.

6. The following risk **increased from medium to high**

- Inability to deliver on the flexibility element associated with the increase to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Bill due to lack of capacity.

7. The following risk increased **from low to medium**
 - Lack of appropriately skilled workforce due to the combination of redundancy/early retirement and the changing nature of workload leads to a reduction in service levels damaging council reputation.
8. The following risk **reduced from high to medium**
 - Adverse staff reaction to UK government proposals on pension fund contribution and pay.
9. The following risk **reduced from medium to low**
 - Failure to reach agreement with teachers on recommendations outlined in McCormac Review.
10. The following risks **were added** to the register
 - Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand for CHCP and Education services.
 - Inability to implement the new commitment by the Scottish Government to provide free school meals for all P1-P3 pupils by January 2015 (Children & Young People Bill) due to lack of capacity and/or requisite resources.
 - Inability to deliver on the new commitment by the Scottish Government to extend provision of early learning and childcare to certain 2 year olds by August 2014 (Children & Young People Bill) due to insufficient capacity and/or requisite resources.
 - The loss of several councils from membership of COSLA may lead to a difficulty in their ability to continue to represent the collective interests of the remaining councils.
 - Failure to carry out duties to contribute to climate change mitigation (reducing greenhouse gas emissions) and adaptation (preparing for anticipated changes in the climate) results in non-compliance with Climate Change (Scotland) Act 2009, negative impact on environmental sustainability and damage to the Council's reputation.
11. The following risks **were removed** from the register as they were no longer considered risks at this stage
 - New qualifications framework may lead to young people taking examinations at point of exit without a 'safety net' leading to drop in attainment, lack of prospects and subsequent impact on people moving to ERC and economy of area.
 - Impact of new SPSO complaint handling process and potential spike in complaints.
12. The following risk description **was incorporated into an existing risk**
 - Failure to achieve accreditation from the Cabinet Office on the Public Service Network standard leads to inability to deliver key council services.

13. Additional **control measures which have been implemented** include:

- Local Government employees accepted the changes to pension and pay award.
- Revised national pay and conditions offer now issued by the Scottish Negotiating Committee for Teachers (SNCT). Trade unions recommending that union members accept.
- East Renfrewshire Local Development Plan approved by Council on 28 January 2014.
- Capital plan to reflect new build educational estate, supplemented as appropriate by maximising developer contributions.
- Capital Plan includes provision for some additional pre 5 capacity (Busby/Clarkston)
- Third annual corporate staff survey to gather continual feedback on ways to improve.
- Police & Fire Services now reformed as national bodies.
- Implementation of Public Services Network action plan including new information handling policies including classification index.
- Enable wireless and bring your own device for learners in schools- pilot underway.
- Tender process for the Clyde Valley long term residual waste treatment process has entered the final stage of competitive dialogue with 4 bidders remaining. However the competitive dialogue process is currently on hold pending SEPA's review of the recently introduced Thermal Treatment Guidelines 2013.
- Publication of the Council's Planning for the Future report to help provide accurate data on which to plan and develop services.

14. Additional **control measures which have been proposed** include:

- The Local Development Plan will be submitted to the Scottish Government's Reporters Unit in April 2014 for Formal Examination.
- The hearing for challenging the responsibility for financial costs arising from the Children's Hearings (Scotland) Act 2011 adjourned until 15 April 2014.
- Castlerigg supporting Renfrewshire and East Renfrewshire with a range of collaborative workstreams and a collaborative strategic review of ICT.
- Creation of Community Planning Board.
- Long term budget and scenario planning.

RISK AND WELFARE REFORM

15. The proposals for Welfare Reform (Welfare Reform Act 2012) continue to place pressure on both council tax and rent collection levels. A Welfare Reform Planning Group with 5 workstreams meets every 6 weeks to consider the impact of current and forthcoming changes.

16. A welfare reform action plan is monitored on Covalent and reported regularly to the Corporate Management Team. The plan sets out the key activities being undertaken to mitigate the impact of welfare reform.

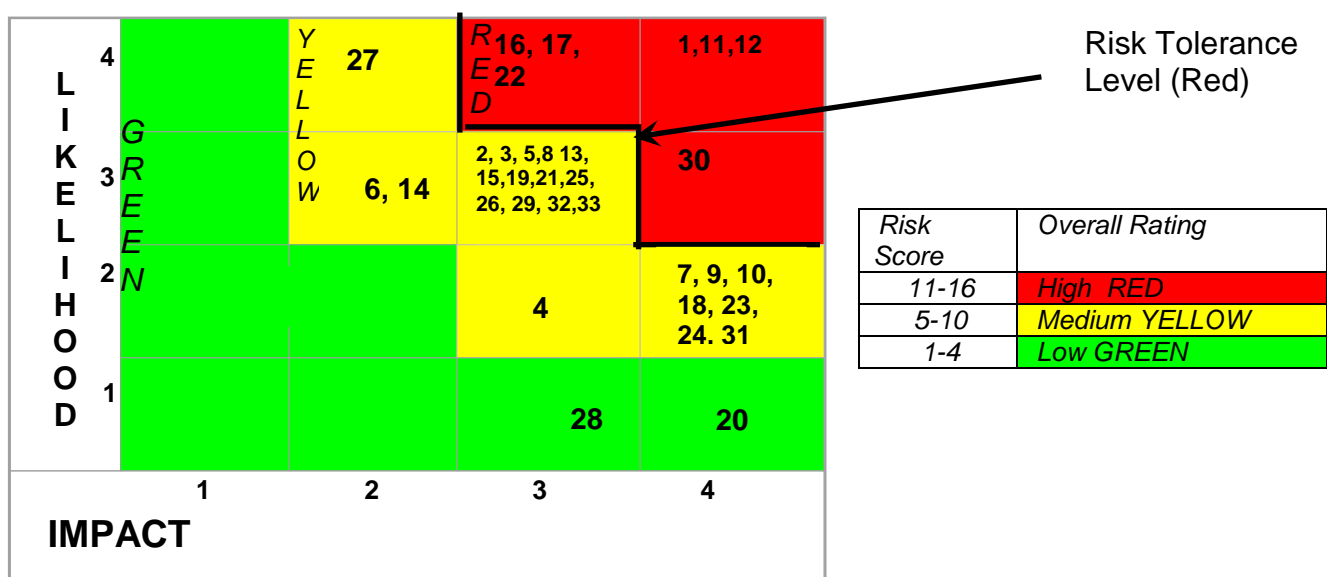
17. A welfare reform e-learning module to raise staff awareness of benefit changes will be promoted shortly across the Council.

RISK TOLERANCE AND LINKS TO THE SINGLE OUTCOME AGREEMENT

18. There are 33 risks on the strategic risk register, of which 8 are evaluated as high, 23 medium and 2 low risk. Although several risks have been deleted and new risks added since the last update, the risk scores remain at a similar level.

19. The strategic risk register continues to align with the council's key outcomes and the current internal and external business environment. The risk register reflects the corporate risks associated with the current strategic change and reform agenda of the council as well as those that are inherent in the day to day business of council.

Map of strategic risks in East Renfrewshire Council (risk nos. from 1-33)



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.		6		6
2. East Renfrewshire residents are fit and active and have the skills for learning, life and work		3	2	5
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses to grow.		6	2	8
4. East Renfrewshire residents are safe and supported in their communities and homes.		3		3
5. Older people in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.			1	1
Customer, Efficiency and People Outcomes	2	5	3	10
Total strategic risks	2	23	8	33

20. The previous table links the Council's SOA outcomes with strategic risks. As can be seen, there are risks associated with most outcomes. As our approach to the new SOA and Outcome Delivery Plan continues with the identification of new lead officers for each outcome, the strategic risks will be aligned more closely with risks.

FINANCE AND EFFICIENCY

21. 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, Public Service Excellence programme and the Outcome Delivery Plan. The Council's vision was amended in the strategic risk register to reflect the wording of the Corporate Statement which was approved by Council in December 2013.

CONSULTATION

22. 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.

23. It is essential that customers have the opportunity to highlight key areas of risk. To ensure that the main risks are covered in the strategic risk register, an analysis of all Council complaints in 2013/14 highlighted the following themes (by volume):

- Recycling and refuse (suitability of containers, conditions after collection, missing items, missing collections).
- Housing repairs.
- Parking enforcement (especially at beginning of 2013/14).
- Grass cutting and tree issues
- Facilities at Eastwood Leisure Centre (opening hours, class availability and parking issues).
- Availability of Barrhead Sports Centre facilities during building works (power disruption/ changes to timetable and opening hours) with parking issues.

The implementation of control measures within the operational risk registers will help to address concerns raised by customers relating to the themes above.

With the changes to the complaints handling process from April 2013, the current LAGAN system for recording complaints was updated and every department has now received a detailed complaints report. As part of year end reporting, each department has been asked to identify and report on key improvement actions relating to complaints. This information will be included in the end year reporting to Cabinet.

CONCLUSION

24. Staff from across the Council continually identify and record risks. On the strategic risk register, there are several proposed additional control measures which may help reduce the level of risk. The risks associated with the delivery of the Single Outcome Agreement have been identified and linked to this updated strategic risk register.

25. In this update, the number of strategic risks has increased by 2 to 33 overall risks with 5 new risks identified and 3 risks removed. A number of risks have reduced or increased in score but the overall amount of high risks remains similar to the previous update.

RECOMMENDATION

26. The Audit and Scrutiny Committee is asked to note the development of the council's strategic risk register.

Lorraine McMillan, Chief Executive

25 March 2014

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BACKGROUND PAPERS

Appendix 1 Council's strategic risk register

KEY WORDS

This report provides the Audit and Scrutiny Committee with the latest biannual update of the Council's strategic risk register.

East Renfrewshire Council's Vision: Your Council -Striving to be the best we can be to deliver a better future for all. Corporate Statement 2013-2017

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 26/03/14

Risk Score	Overall Rating
11-15	High
5-10	Medium
1-4	Low

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]		
				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]
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.	Budget strategy group Corporate ownership Early communication of likely impacts and issues affecting the Council (budget consultation) Treasury management strategy Increase in council's reserves. 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 Public Service Excellence programme and continual review of projects to ensure effective progress and business cases.	4	4	16	Achievement of targets and outcomes outlined in Public Service Excellence programme. Long term budget and scenario planning.	4	4	16
C	2	Opportunities to improve efficiency by moving towards partnership working in both in terms of working with other public sector organisations and other agencies.	Ensure regular communication with staff/trade unions on the shared services agenda to create awareness and provide reassurance. Position East Renfrewshire Council as modernising Council. Chief Executive plays a leading role in the National ICT Strategy for Scotland. Mid and end year performance review meetings between each department and Chief Executive. Monitoring performance levels using corporate Covalent system. Departments to engage with Corporate Procurement at an early stage in business planning so procurement can evaluate potential benefits/ risks. Council Restructure and Public Service Excellence Agenda. Participate actively on additional shared service work stream groups. Partners have all signed up to deliver on the outcomes and targets set out in the SOA. Regular team meetings and project plan for Scottish Futures Trust project. Participation in West Territory hub to permit joint development of capital projects Police & Fire Services now reformed as national bodies. Contractors to adopt CHCP policies and procedures.	3	3	9	Continue to communicate with staff on shared service agenda. Consider opportunities for sharing services with Renfrewshire and Inverclyde Councils. Castlerigg supporting Renfrewshire and East Renfrewshire with a range of collaborative workstreams and a collaborative strategic review of ICT. Creation of Community Planning Board. 6-monthly partnership performance and accountability review meetings. Development of procurement supplier and contract management procedures.	3	3	9
N	3	The loss of several councils from membership of COSLA may lead to a difficulty in their ability to continue to represent the collective interests of the remaining councils.	Further reports to COSLA meetings will seek to resolve the current differences and East Renfrewshire will participate in these meetings.	3	3	9		3	3	9
C	4	The shift towards prevention strategies leads to poorer performance on reactive performance measures (e.g. SPI's)	Performance management reporting framework with mid and end year reports to Cabinet and CMT. Extensive use of Covalent across Council departments to capture and record performance data. Participation in SOLACE benchmarking to identify best practice. Early years strategy approved Earmarked supplementary funds within the 2013/14 and 2014/15 financial estimates to Change Funds to encourage preventative spend.	2	3	6	Expand to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Bill and extend provision of early learning and childcare to certain 2 year olds by August 2014. Future prevention strategies and projects to consider impact on current performance measures. Future developments for family centre in Auchinback Prevention strategies referenced in reviewed SOA.	1	3	3
C	5	Development of government policies / legislation may mean a change in political priorities or a shift in priorities away from those set out in the Corporate Statement, SOA or Public Excellence programme, meaning that the stated objectives within cannot be delivered or may be delayed.	Corporate Statement prepared based on the administration. Structure also ties closely to the Single Outcome Agreement framework, which reflects the priorities and requirements of the Scottish Government Continue to keep up-to-date with government policies as part of day-to-day business via forums such as SOLACE, COSLA Leaders' meetings and National Performance Framework Board. Single Outcome Agreement: engage with the Scottish Government in the process of negotiation and review of outcome indicators and targets.	3	3	9	Continue to ensure that the priorities of the Council are in line with government policies and legislation. Review corporate statement/ SOA following a political change.	3	3	9
C	6	Legislation in connection with the Public Bodies (Joint Working)(Scotland) Bill on the integration of health and social care may affect the influence of the Council in the partnership.	Actively participate in joint NHS/Council consultation and reference groups at national level Transitional Planning Group comprising East Renfrewshire, Inverclyde and West Dunbartonshire Councils and the NHSGGC.	3	2	6	CHCP Committee to take on additional role of the Shadow Integration Joint Board	3	1	3

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S	7	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 gradings and terms and conditions. Engagement with legal representatives of equal pay claimants Identification of defensible equal pay claims including second wave claims. 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.	2	4	8	Continual gathering of market intelligence from external legal advisers. East Renfrewshire Council Organisation Development Plan	2	4	8
C	8	Lack of appropriately skilled workforce due to the combination of redundancy/ early retirement and the changing nature of workload leads to a reduction in service levels damaging council reputation. C69	Implementation of new service delivery model in HR and Finance. Learning and Development strategy including e-learning. Improvements to Performance Review and Development Scheme. Workforce planning strategy approved with improved recruitment and selection procedures. Wellness programme for all staff in place (achieved Gold Healthy Working Life award and re-accredited April 2013). Services available for staff include employee counselling, personal resilience training, physiotherapy, alternative therapies, staff gym membership, health shield, eye examinations. Revised PRD scheme including new competency framework. Mid and end year performance review meetings between each department and Chief Executive. Knowledge sharing amongst staff with written procedures notes to avoid single points of failure. Action plans in place to address employee feedback from corporate and health at work surveys. Use of How Good is our Service Model for self-assessment. Continual benchmarking of activities to strive for best in class including participation in SOLACE. Use of organisational and financial business case when considering redundancies/ early retirements. Succession planning toolkit available for managers Occupational health service provision from a single provider covering health assessments, referrals, physiotherapy, audio and hand arm vibration checks.	3	3	9	Further implementation of service reviews. Third annual corporate staff survey to gather continual feedback on ways to improve. East Renfrewshire Council Organisation Development Plan	3	3	9
C	9	Inability to deliver essential council services due to lack of staff from adverse weather, loss of key operational premises or loss of key plant and materials.	Business continuity plans and staff training in conjunction with relevant agencies. Investment in CCTV to key premises such as Thornliebank depot. Upgraded CCTV control room. Pandemic influenza contingency plan, outbreak control plans and emergency control protocols. Implementation of the maximising attendance policy. Replacement local plan (flood prevention)	2	4	8	Climate change adaptation discussions. Revised arrangements for winter maintenance of key properties. Agile worker function to enable service continuity for maintenance officers	2	3	6
C	10	Adverse staff reaction to UK government proposals on pension fund contribution rates and/or Scottish employers restriction to pay award leads to industrial action.	Revision of grading scheme with fully implemented Living Wage. Business continuity plans and emergency control protocols. Revised national pay and conditions offer now issued by SNCT to include amendments to short term supply rate conditions. Trade Unions recommending members accept. Local Government employees accepted the changes to pension and pay award. Industrial action strategy and communication plan.	2	4	8	Continue to engage trade unions at local level on financial position.	2	4	8

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C	11	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 Working Group with cross departmental representation led by Head of Revenues. £900K set aside for 2014/15 to deal with impact of Welfare Reform. Implement welfare reform action plan.	4	4	16	Further presentations and reports to the Council on the impact of Welfare Reform.	4	4	16
			Additional financial support staff provided to support welfare reform changes.				Prepare/ plan and implement the necessary investment programmes to bring the NHER ratings for council housing up to the minimum standard.			
			Closer working with CAB, East Renfrewshire Council Credit Union, Housing associations, DWP, Jobcentreplus to work in partnership to maximise resources on offer.				Greenlaw Business Park, Spiersbridge Business Park, Shanks Park, Glasgow Road Barrhead Darnley Country Park, Barrhead Town Centre.			
			Economic recovery action plan outlines measures to be taken to support residents and businesses. Home Energy Scotland Area Based Scheme in operation.				Economic recovery action plan (annual update).			
			New council financial support campaign launched (free money advice and free benefit health check). Press coverage and leaflet with the council tax bills. Back cover of Winter ER magazine. Drop in clinics for money advice launched.				Review of the provision of Council's temporary accommodation with a view to increasing capacity			
			Regeneration plan, health improvement plan and community learning and development strategy.				Review of charges for council services to ensure affordability.			
			Anti-social behaviour policy and expanded community warden service providing front line enforcement services.				Review relationship with CAB and respective responsibilities to ensure effective partnership arrangements.			
			Review the National Housing Energy ratings for all council housing stock.							
			DHP funding made available to residents. Joint working with East Renfrewshire Credit Union to promote use of direct debit for paying rent and budgeting.							
			Work with North Strathclyde Community Justice Authority to develop criminal justice services to avoid risk of re-offending.							
Regular budget monitoring of actual versus estimated income.										
Welfare reform awareness sessions for staff and welfare reform e-learning module for council staff										
Creation of the early years collaborative to target children in deprived areas.										
C	12	Reduction on capital investment arising from economic downturn may negatively impact on the planned General capital plan.	Management of borrowing portfolio.	4	4	16	Achievement of outcomes from corporate asset management plan including consultation on future service delivery.	4	3	12
			Revised capital plan (plan covers 8 years as opposed to 5 years)				New Eastwood Health & Care Centre with Greater Glasgow NHS and East Renfrewshire Council CHCP (project)			
			Improved CPA process and a more corporate approach to service delivery through the Corporate Asset Management Group.				Maximise developer contributions			
			Prudent budgeting with an increase in reserves.							
			Specialist treasury advice.							
			Forward planning.							
			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 Projects already progressed: new replacement Barrhead HS to delivered through Hub and in partnership with West Dunbartonshire Council.							
			Public consultation exercises in connection with the proposed Eastwood Health and Care Centre							
Day to day treasury management.										
C	13	There is a risk that the potential rationalisation of properties, in accordance with a new Asset Management approach, will result in local public resistance and lack of political support (downturn in economy leads to reduced capital receipts).	Early political consideration.	3	3	9	Community Engagement programme closely linked to asset management arrangements.	2	3	6
			Asset disposal framework with decision by Cabinet.							
			Co-ordinated asset management plan.							
			Capital plan.							
C	14	Reduction in house sales and available capital resources may negatively impact on the planned HRA business plan and achievement of 2015 standard leading to intervention from the Scottish Housing regulator and/ or may result in additional rent increase due to additional borrowing costs.	Annual budgetary review of income and expenditure.	3	2	6	Strategic housing asset management plan.	3	2	6
			Stock condition survey and stock retention business plan.							
			Revised management structure.							
Reviewed 30 year housing business programme and business plan informed by stock condition survey.										
C	15	Failure to upkeep the condition of the roads network, leading to increased public liability claims, road closures and travel restrictions, service disruption, damage to council's reputation	Maintain investment in roads.	3	3	9		3	3	9
			Routine and reactive safety inspection processes							
			Planned patching and resurfacing works							
			Jetpatch vehicle, introduce targeted proprietary repair.							
Emergency repairs system with 24/7 hours of operation										

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C	16	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. Additional funds allocated to support demographic changes. Planning for the future report outlining key demographic trends. 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. Fees and charges policy (concessions).	4	3	12	Redesign services to free up capacity in other areas (home care).	4	2	8
N	17	Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in CHCP services.	Additional funds allocated to support demographic changes.	4	3	12	Atholl service review Foster care service review	4	2	8
S	18	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and 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. Child protection services rated best in Scotland by HMie (1 excellent/ 5 very good) Training and awareness in place. Partnership working is at an advance stage. Sharing of information have been finalised. The existing of a inspection regime for CP. The requirement to produce and publish reports of activities. The availability of data with varying limitation for analysis and evaluation. The clear involvement of the chief officers group.	2	4	8	Develop a framework for reporting to the community planning partnership. Clear financial frameworks to be established. Negotiate with SG on the whole protection agenda for uniformity . Ensure the links are made for learning opportunity within the protection agenda. Development of protection of vulnerable groups scheme (new staff then existing staff) with replacement of enhanced disclosures.	2	4	8
S	19	Failure to comply with equality legislation, in particular the Council's public duties contained in the Equality Act 2010 and the Scottish Equality Specific Duties (2012), leading to disharmony and enforcement actions and a reduction in the reputation of the Council.	Working with the Equality Officer Working Group to implement an action plan to fulfil our equality duties Published Equalities Outcomes for the Outcome Delivery Plan. Carrying out a How Good is Our Service Assessment of the Equality Officers Working Group and implementing improvement measures Provision of relevant update information to relevant staff and members as required Programme of staff training on equalities. Supporting the activities of community engagement structures such as the faith forum, East Renfrewshire Disability Action and the Minority Ethnic Reference Group. Equality Impact Assessment of Policies Minority Ethnic Community Engagement and Development Strategy.	3	3	9	Supporting the development and operation of a forum for all equality groups in East Renfrewshire Council. Encouraging/assisting departments to gather relevant equality data for improvement planning	2	2	4
C	20	Failure to reach agreement with teachers on recommendations outlined in McCormac Review. Teacher unions initiate industrial action.	LNCT (Local Negotiating Committee for Teachers) staff consultation. Revised national pay and conditions offer now issued by SNCT (Scottish Negotiating Committee for Teachers). Trade unions recommending that union members accept.	1	4	4	Continuing LNCT (Local Negotiating Committee for Teachers) staff consultation.	1	4	4
C	21	Implementation of the Additional Support for Learning Act (Amendments 2009) could lead to further placing requests to East Renfrewshire schools, increasing pressure on school places, budgets and our capacity to meet the range of needs, possibly resulting in increased number of tribunals and delays in to acquiring funding / resources from home authorities.	Education Consultative Group ADES Social Inclusion Network	3	3	9	Work with neighbouring local authorities to agree protocol for making and charging for places in specialist provision (similar to previous 'COSLA Agreement') to minimise need for legal challenges between councils. Consider the function of existing control measures with a view to creating a strategic forum which would oversee the implementation of the revised Act.	2	2	4

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C	22	Ensuring sufficient catchment places for ER children and young people in light of new residential developments- in particular the Proposed Local Development Plan.	Capital plan to reflect new build educational estate, supplemented as appropriate by developer contributions. Timescales and extent of provision noted in LDP (approved Jan 2014).	3	4	12	Approval of capital aligned with operational timescales. Education statutory consultation to be undertaken in advance.	2	2	4
			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.				A consultation would be undertaken depending on the need for prioritisation. 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.			
C	23	Inability to deliver on the flexibility element associated with the increase to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Bill due to lack of capacity.	Existing provision in East Renfrewshire Council is 570 hours (national average is 475 hours a year) for 3 and 4 year olds.	4	3	12	Ensure additional Scottish Government funding is received and requisite capital to provide additional new facility (Crookfur).	3	3	9
			Capital Plan includes provision for some additional pre5 capacity (Busby/Clarkston) with limited flexibility for parents from August 2015 onwards.				Revise nursery catchments to reflect consultation results.			
							Support new partner providers to establish high quality nurseries in areas where places are at a premium. Manage expectations for flexibility through consultation with parents every two years.			
N	24	Inability to implement the new commitment by the Scottish Government to provide free school meals for all P1-P3 pupils by January 2015 (Children & Young People Bill) due to lack of capacity and/or requisite resources.	COSLA negotiating the terms of the financial support for local authorities. Managers currently assessing impact.	2	4	8		2	4	8
N	25	Inability to deliver on the new commitment by the Scottish Government to C33 (Children & Young People Bill) due to insufficient capacity and/or requisite resources.	COSLA negotiating the terms of the financial support for local authorities. Managers currently assessing impact.	3	3	9		3	3	9
S	26	Potential new duties from the Children and Young People (Scotland) Bill 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		3	3	9
C	27	The Children's Hearings (Scotland) Act 2011 was implemented on 24 June 2013 and has resulted in additional demand for CHCP services and a transfer of responsibility for financial costs between local authorities. This additional expenditure was unexpected.	Appeal against decision to transfer financial liability between local authorities Assess potential demand on CHCP services	4	2	8	Challenge legislation- hearing adjourned until 15 April 2014.	4	1	4
C	28	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.	Introduced successful managed weekly (food and garden) collections to 28,000 homes from 1 November 2010 to reduce residual waste. Phase 2 of MWC currently being rolled out to flatted properties.	1	3	3	Continue to working as part of the Clyde Valley Workstream to meet 2020 landfill ban.	1	3	3
			The Tender process for the Clyde Valley long term residual waste treatment process has entered the final stage of competitive dialogue, with 4 bidders remaining. However the competitive dialogue process is currently on hold pending SEPA's review of the recently introduced Thermal Treatment Guidelines 2013. The risk rating has not been changed at this time until this outcome has become clear. Participating Councils remain as East Renfrewshire Council, East Dunbartonshire Council, North Lanarkshire Council, North Ayrshire Council and Renfrewshire Council.				Continue to improve and enhance recycling schemes to reduce residual waste.			
			Achieved 50% recycling performance in advance of the 2013 target.							
			Monitor quarterly waste data/flow returns.							
			Excess waste and additional bin policy.							
			Landfill diversion option to be built into new waste management contract from October 2014.							

East Renfrewshire Council's Vision: Your Council -Striving to be the best we can be to deliver a better future for all. Corporate Statement 2013-2017

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 26/03/14

Risk Score	Overall Rating
11-15	High
5-10	Medium
1-4	Low

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]		
				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]
S	29	Over reliance on private car use, especially around schools, leads to congestion, environmental, safety and parking problems.	<p>Modal transfer from private car to walking/public transport.</p> <p>Promote public transport infrastructure improvements such as provision of real time information and high access kerbs for the mobility impaired at bus stops and improved park and ride provision at railway stations.</p> <p>Implementation of Decriminalised Parking Enforcement in the Council Area from 2 April 2013. The Council is currently undertaking a review of its Traffic Regulation Orders to make the most efficient use of parking spaces to balance the needs of traffic flow, pedestrians, residents and businesses in Clarkston and Busby.</p> <p>Promote infrastructure improvements for pedestrians and cyclists.</p> <p>Participate in road safety campaigns and programmes as part of the West of Scotland Road Safety Partnership.</p> <p>Promote walking and cycling to schools to pupils and parents combining infrastructure improvements with behaviour change campaigns and initiatives.</p>	3	3	9	<p>Develop and promote walking and cycling infrastructure improvements</p> <p>Develop and promote public transport improvements in partnership with Strathclyde Partnership for Transport and public transport operators</p> <p>Following the formal consultation on the review of Traffic Regulation Orders, prepare the draft Traffic Regulation Order, and start the formal (legal) process for altering the TRO.</p> <p>Provide bike ability level 2 cycle training to all primary schools in East Renfrewshire, on-road training where practical.</p>	3	2	6
C	30	Failure to effectively manage the Council's information assets to comply with the Public Service Network standard (PSN) and legislation, in particular the Freedom of Information (Scotland) Act, the Data Protection Act and the Scottish Records Act. This could result in legal action, financial penalty, damage to council reputation and/or inability to provide council services.	<p>USB encryption is in place across the council and deployment in Schools will be completed in 2014/15.</p> <p>Enable wireless & bring your own device for learners in schools- pilot underway.</p> <p>Security standards identified through risk assessment and compliant with ISO/IEC 27000, PSN security policies and HMG Security Policy Framework .</p> <p>New information handling policies including classification index.</p> <p>IT Software and procedures are applied to the external facing side of the network as well as internal network, and these are updated regularly to maintain standards.</p> <p>Information Security Forum consisting of senior management to discuss and review departmental information security issues. Access control procedures secure network logon supported by password policies. Websense reports to managers to provide exception reports on internet usage.</p> <p>Implementation of WWAN (Wireless Wide Area Network) and WLAN (Wireless Local Area Network) across various sites leading to reduction in cost (£40K from 1 April 2013) and improved performance.</p> <p>Departmental Information Asset Register recording all information assets, their owners and core details about storage, retention and 3rd party sharing.</p> <p>Online awareness material and training workshops available to staff and regular articles in staff magazines on the Intranet on security issues.</p> <p>Network backup procedures, IT Disaster Recovery plans and Departmental business continuity plans.</p> <p>Regular penetration tests of the council's network to highlight potential security concerns.</p>	3	4	12	<p>Development of the corporate retention schedule and records management plan compliant with the Scottish Records Act.</p> <p>Development of the corporate electronic document & records management system.</p> <p>Continue to review and Implement PSN action plan and achieve annual accreditation (submit by July 2014- with outcome in August 2014).</p> <p>Ensure third party compliance with PSN standard by June 2014.</p> <p>Provide remote working using VIEW with encrypted council devices.</p>	2	4	8
C	31	The Council is required to comply with all Tenure Housing Requirement contained within the Glasgow and Clyde Valley Strategic Development Plan (SDP). Failure to deliver a Local Development Plan which complies with the SDP exposes the Council to a risk that, during Examination, the Reporter will identify additional/alternative sites for residential development.	<p>East Renfrewshire Local Development Plan approved by Council on 28 January 2014.</p> <p>All local groups, organisations and members of the public were invited to offer their comments on East Renfrewshire Council's Proposed Local Development Plan during a consultation period from 6 February to 1 May 2013.</p> <p>Representations on LDP for noting presented to Council on 11 September 2013.</p> <p>East Renfrewshire Proposed Local Development Plan approved for consultation by the Council on 12 December 2012.</p>	2	4	8	<p>The Local Development Plan will be submitted to the Scottish Government's Reporters Unit in April 2014 for Formal Examination.</p>	1	3	3
S	32	Competing demands on HR, PSE, Finance and ICT resources due to the need for these functions to support the change agenda leading to failure to deliver planned benefits and develop new and emerging opportunities (e.g. agile working).	<p>Implementation of new service delivery model in HR and Finance.</p> <p>Presentation to PSE Board on ICT Capacity Dec 2012.</p> <p>PSE Plan presented to CMT May 2013 and Cabinet August 2013.</p>	3	3	9	<p>Consider workload implications of new areas of work.</p> <p>PSE benefits plan updated for 2014/15</p> <p>New governance in place for Collaboration Workstreams.</p>	2	2	4
N	33	Failure to carry out duties to contribute to climate change mitigation (reducing greenhouse gas emissions) and adaptation (preparing for anticipated changes in the climate) results in non-compliance with Climate Change (Scotland) Act 2009, negative impact on environmental sustainability and damage to the Council's reputation.	<p>Environmental Sustainability Strategy and Action Plan</p> <p>Environment Partnership</p> <p>Scotland's Climate Change Declaration – Delivery of commitments and Annual Report</p>	3	3	9	<p>Ensure priorities of the Council are aligned with government policies and legislation</p> <p>Corporate ownership of revised Environmental Sustainability Strategy and Action Plan (which incorporates our Climate Change and Carbon Management Plan)</p>	2	3	6

Strategic Risk Register
East Renfrewshire Council

Appendix 1

East Renfrewshire Council's Vision: Your Council -Striving to be the best we can be to deliver a better future for all. Corporate Statement 2013-2017

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 26/03/14

Risk Score	Overall Rating
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