

EAST RENFREWSHIRE COUNCIL

AUDIT AND SCRUTINY COMMITTEE

23rd September 2021

Report by Chief Executive

REVIEW OF THE STRATEGIC RISK REGISTER
AND RISK MANAGEMENT PROGRESS

PURPOSE OF REPORT

1. This report provides the latest biannual update of the Council's Strategic Risk Register and a summary of risk management progress. The previous update of the Strategic Risk Register was considered by the Audit and Scrutiny Committee on 18th March 2021.

RECOMMENDATIONS

2. The Audit and Scrutiny Committee is asked to consider and note the development of the Council's Strategic Risk Register noting that this is considered a "live" document and will be updated and amended by the Corporate Management Team (CMT) as appropriate.

BACKGROUND

3. The Strategic Risk Register (Appendix 1) sets out the key strategic risks to be considered by East Renfrewshire Council and details the actions that management has put in place to manage these risks. Each service has an operational risk register to record day to day and service specific risks.

4. The previous update of the Council's Strategic Risk Register was considered by the Audit and Scrutiny Committee on 18th March 2021.

5. Several risks have been amended to include additional control measures and the risks have been rescored for significance. A thorough review of all risks on the register has been undertaken by the CMT. There are now 42 risks of which 18 are evaluated as high and 24 as medium. Where a risk has been evaluated as "low" it will be removed from the Strategic Risk Register and monitored within Departmental or Operational registers if appropriate.

6. In light of the current Covid-19 pandemic the Strategic Risk Register is reviewed and updated frequently as appropriate to reflect the current "live" situation and therefore liable to change. The Strategic Risk Register in Appendix 1 to this report is therefore reported below as dated (15th September 2021).

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

8. Relevant significant risks which may impact on the achievement of the Council's outcomes relating to the work of the Integrated Joint Board and the Culture and Leisure Trust have been considered as part of this update.

REPORT

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

- Increase in the number of children and adults with additional support requirements leading to a rise in demand on services. *(Risks 2.2)*
- Ensuring sufficient catchment places for East Renfrewshire children and young people across all sectors in light of impact of new residential developments – in particular the Local Development Plan. *(Risk 2.3)*
- Closure of facilities (related to Trust) as a result of unforeseen failure or management practices resulting in loss of attendance, revenue, damage to reputation and increased management fee. *(Risk 2.4)*
- Covid-19 pandemic changes East Renfrewshire Culture & Leisure Trust (ERCLT) customers' behaviours and expectations and affects demand, combined with reduced capacity from continued social distancing and Scottish Government guidance/legislation results in loss of attendance, revenue, damage to reputation and increased management fee. *(Risk 2.8)*
- Signification rates of positive Covid-19 testing within an East Renfrewshire community necessitates enhance local Community testing, particularly for Asymptomatic residents. Residents unable to access prompt PCR testing with subsequent impact on requirements to self-isolate and access to services and education. *(Risk 2.10)*
- Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care. Capacity to meet potential increase in demand in relation to access to records and potential claims against the Council as Inquiry work progresses. *(Risk 4.4)*
- Increase in older people, particularly very old, due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity. *(Risk 5.1)*
- Risk of failure of a key care provider, including care home, care at home and other care provider due to financial instability, staff recruitment and selection difficulties or significant care concerns. Consequences could include: disruption to service delivery, requirement to implement contingency plans, impact on individuals and families with potential disruption to care arrangements. *(Risk 5.2)*
- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. *(Risk 5.3)*
- Interruption to service or total inability to provide ICT services, resulting in impact to Council business, due to the loss of the Barrhead Data Centre and/or other critical infrastructure components due to fire, vandalism, equipment malfunction (including environmental controls). *(Risk 6.7)*
- Failure to achieve anticipated benefits and savings from the Finance/HR/Payroll System would lead services short of capacity and risk service delivery. *(Risk 6.14)*
- The re-emergence, escalation or further waves of Covid-19 (or any other emerging pandemic) result in increased controls and restrictions being implemented within East Renfrewshire. This may impact on provision of services through: staff

availability, supply chain issues, increased service demand, financial and service planning upheaval. (*Risk 6.18*)

- Supporting the mass vaccination and asymptomatic testing programmes within East Renfrewshire leads to other key work being delayed or postponed resulting in longer timescales for projects or work not being undertaken and outcomes for residents being reduced. (*Risk 6.20*)

10. The following risk were rescored from **high to medium**:

- Ongoing threat of Covi-19 impacts on the Council's ability to provide education to children and young people, either through significant rates of absence or school/class closures in schools across the authority. Higher rates of staff absence due to impact of Covid-19 cases and the need for self-isolation. Ongoing impact of school closures on attainment of young people. (*Risk 1.4 - Medium*)
- As a result of the EU-UK Trade & Cooperation Agreement impacts, there is significant disruption to Council operations and the services we provide, including front line and support services. (*Risk 6.16 - Medium*)
- The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided. This may include changes enacted through the Internal Market Act. (*Risk 6.1 - Medium*)

11. The following risks were rescored from **medium to high**:

- Failure to pay invoices, Covid-19 related payments and specific Educational Benefits Payments, within a specified timeframe (Local Government Benchmarking Framework indicator/Government requirements) or failure to pay said types of payments correctly (either through fraud or error), which could lead to cessation of supplies; risks to delivery of critical services; inappropriate payments; loss of funds to the Council; reputational damage to Council; issues with insurers; detrimental business/personal financial impact and possibly, legal action. (*Risk 6.8 - High*)
- Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services. (*Risk 6.9 - High*)
- Following implementation of the new Council Tax and Benefits system, residual risks and issues remain which require to be worked through over a further period including
 - (i) critical activities must be undertaken including annual billing, year-end activity and Housing Benefit subsidy
 - (ii) limited recovery (both system and Covid) has taken place which may result in reduction of expected income levels to the council and
 - (iii) consolidation of Education Benefits functionality on the new system
 - (iv) Citizens Access customer portal still to be implemented (noting Phase 2 to be delivered) and
 - v) recovery of service backlogs, particularly in Benefits service;
 - vi) impact of service backlogs on national performance indicators which will affect rankings and may cause reputational damage. (*Risk 6.19 - High*)

12. The following risks **were added to** the register:

- Our major works capital programmes face significant pressures as a result of raw material costs, supplier costs, supply chain or contractor difficulties. This will have a

detrimental impact on the costs and/or timescales related to the delivery of projects. (Risk 6.22 - High)

- Many of our officers have been exposed to challenging circumstances and intense demands over a prolonged period, because of work during Covid-19. As a result employees may experience increased stress - particularly those who have been working intensely and offering key frontline services. The Council will seek to ensure support for employee's mental and physical wellbeing. *(Risk 6.23 - High)*
- The Covid-19 Pandemic reduces community activity and diverts staff resources away from being able to identify, plan and deliver Participatory Budgeting (PB) opportunities resulting in the Council failing to meet its goal of 1% of spend being via Participatory Budgeting. *(Risk 6.24 – High)*

13. The following risk has been **removed** from the Strategic Risk Register since this was last considered by the Audit and Scrutiny Committee in March 2021.

- Changes in SQA certification processes in 2020/21 detrimentally impacts upon exam results of young people in the 2020/21 exam diet with a subsequent negative impact on the Council's reputation. *(Risk 2.7)*
 - Reason risk removed: This risk has been superseded. The Department of Education will continue to review in light of any national requirement for future years.
- Impact of Living Wage on the council salary scales with continuing pressure on the lower grades of the scale. Not maintaining differentials between grades. (Risk 6.10)
 - Reason risk removed: Living Wage fully implemented.
- Covid-19 impacts on ability of the Returning Officer to conduct the Scottish Parliamentary Election for the Eastwood Constituency on Thursday 6th May 2021 resulting in reputational damage to the Council. *(Risk 6.21)*
 - Reason risk removed: Election conducted and result declared.

14. The following risks retained the same score as before but the risk descriptions were amended to **reflect the current position or provide further clarity** (additions in bold, removed text with line through and revised risk included below for clarity).

- Significant rates of positive Covid-19 testing within an East Renfrewshire community necessitates enhanced local Community testing, particularly for asymptomatic residents. **Residents unable to access prompt PCR testing with subsequent impact on requirements to self-isolation and access to services and education.** (Risk 2.10)
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- Risk of failure of a key care provider, including care home, care at home and other care provider due to financial instability, **staff recruitment and selection difficulties** or significant care concerns. **Consequences could include: disruption to service**

delivery, requirement to implement contingency plans, impact on individuals and families with potential disruption to care arrangements. (Risk 5.2)

- Risk of failure of a key care provider, including care home, care at home and other care provider due to financial instability, staff recruitment and selection difficulties or significant care concerns. Consequences could include: disruption to service delivery, requirement to implement contingency plans, impact on individuals and families with potential disruption to care arrangements. (Risk 5.2)
- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. ~~Impact on service users and carers. Reputational risk to HSCP and Council. Risk of enforcement action should we fail to meet the Care Inspectorate requirements.~~ (Risk 5.3)
 - Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. (Risk 5.3)
- Following implementation of the new Council Tax and Benefits system, residual risks and issues remain which require to be worked through over a further period including (i) critical activities must be undertaken including annual billing, year-end activity and Housing Benefit subsidy (ii) limited recovery (both system and Covid) has taken place which may result in reduction of expected income levels to the council and (iii) delivery of Education Benefits functionality on the new system **has not taken place** (iv) ~~Citizens access still to be implemented (noting Phase 2 to be delivered)~~ (iv) **Citizens Access customer portal still to be implemented (noting Phase 2 to be delivered) and v) recovery of service backlogs, particularly in Benefits service; vi) impact of service backlogs on national performance indicators which will affect rankings and may cause reputational damage.** (Risk 6.19)
 - Following implementation of the new Council Tax and Benefits system, residual risks and issues remain which require to be worked through over a further period including
 - (i) critical activities must be undertaken including annual billing, year-end activity and Housing Benefit subsidy
 - (ii) limited recovery (both system and Covid) has taken place which may result in reduction of expected income levels to the council and
 - (iii) consolidation of Education Benefits functionality on the new system
 - (iv) Citizens Access customer portal still to be implemented (noting Phase 2 to be delivered) and v) recovery of service backlogs, particularly in Benefits service;
 - vi) impact of service backlogs on national performance indicators which will affect rankings and may cause reputational damage. (Risk 6.19)
- Supporting the mass vaccination and ~~asymptomatic~~ **testing programmes and other key Covid-19 response work streams** within East Renfrewshire leads to other key work being delayed or postponed resulting in longer timescales for projects or work not being undertaken and outcomes for residents being reduced. (Risk 6.20)
 - Supporting the mass vaccination, testing programmes and other key Covid-19 response work streams within East Renfrewshire leads to other key work being delayed or postponed resulting in longer timescales for projects or work not being undertaken and outcomes for residents being reduced. (Risk 6.20)

RISK TOLERANCE

15. Map of strategic risks in East Renfrewshire Council

Likelihood	4			2.2; 4.4; 5.2; 6.7; 6.9; 6.19; 6.20	2.8; 5.1; 6.18
	3		1.3	1.2; 3.2; 6.1; 6.4; 6.12; 6.16; 6.17; 6.22	2.3; 2.4; 2.10; 5.3; 6.8; 6.14; 6.23; 6.24
	2			2.6; 2.9; 2.11; 2.12; 3.3; 6.3; 6.:6	1.1; 1.4; 3.1; 3.5; 3.7; 4.1; 4.2; 6.15
	1				
		1	2	3	4
Impact					

Risk Score	Overall Rating
11 to 16	High - RED
5 to 10	Medium - Orange
1 to 4	Low - Green

Outcome	Low Risk	Medium Risk	High Risk	Total
1. All children in East Renfrewshire experience a stable and secure childhood and succeed	-	4	-	4
2. East Renfrewshire residents are healthy and active and have the skills for learning, life and work	-	4	5	9
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses	-	5	-	5
4. East Renfrewshire residents are safe and live in supportive communities	-	2	1	3
5. Older people and people with long term conditions in East Renfrewshire are valued; their voices are heard and they enjoy full and positive lives	-	-	3	3
6. Our Strategic Outcomes: Customer, Efficiency and People	-	9	9	18
Total Strategic Risks	-	24	18	42

RISK PROGRESS

16. The Corporate Management Team continues to discuss and reviewed the Strategic Risk Register on a regular basis and it remains a standing item on the CMT agenda. A number of updates have been made to both the risk control measures currently in place and the proposed risk control measures to ensure the information reflects the most up to date position.

FINANCE AND EFFICIENCY

17. The review of the Strategic Risk Register forms a fundamental role in ensuring that the Council meets the objectives detailed in Fairer East Ren, the Modern Ambitious Programme (MAP) and the Outcome Delivery Plan.

CONSULTATION

18. The Corporate Management Team, Heads of Service and all Corporate Risk Representatives were invited to provide updates to the Strategic Risk Register. In addition at this time 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 Trust (ERCLT) and the Integrated Joint Board were also considered by the relevant Departments and escalated to the Council's Strategic Risk Register where appropriate.

CONCLUSION

19. As part of the review of the register 3 new risks was added, 3 risks were removed and 5 risk descriptions were amended to reflect the current position. There are now 42 risks on the register of which 18 are classified as "high" risk.

20. The risks captured in the Strategic Risk Register continue to be monitored and evaluated by the Corporate Management Team on a regular basis. Given the current Covid-19 pandemic the Strategic Risk Register is under constant review and liable to change. The Appendix to this report therefore contains the most up to date position at the time of this report (15th September 2021).

21. The Strategic Risk Register is reported every 6 months to the Audit and Scrutiny Committee and annually to the Cabinet.

RECOMMENDATIONS

22. The Cabinet is asked to consider and note the development of the Council's Strategic Risk Register noting that this is considered a "live" document and will be updated and amended by the Corporate Management Team (CMT) as appropriate.

Lorraine McMillan, Chief Executive

September 2021

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Appendix 1 East Renfrewshire Council Strategic Risk Register_V3.0_15.09.2021

KEY WORDS

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

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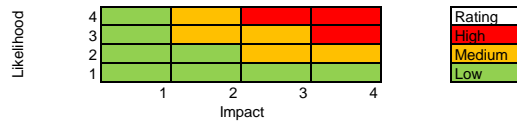
Classification	Official Sensitive
Name	East Renfrewshire Council Strategic Risk Register
Version	V3.0
Date	15/09/2021
Updated by:	Gill Darbyshire, Chief Executive's Business Manager

The risks highlighted within this document are based upon the professional judgement of East Renfrewshire Council Corporate Management Team and officers in East Renfrewshire Council.

The Strategic Risk Register is the property of the Council's Corporate Management Team who will regularly review its contents and scoring.

All risks are currently scored on what is known and based upon information available. Risk scores and controls will be evaluated on an ongoing basis and reflective of developing knowledge.

Risk Scoring is presented based on the risk matrix below



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Outcome 1: All children in East Renfrewshire experience a stable and secure childhood and succeed.												
Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
S (17/02/2021)	1.1	Inability to deliver East Renfrewshire Council's preferred or at least an acceptable model of 1,140 hours of free early learning and childcare (ELC) beyond August 2021 which locally addresses the principles of quality, flexibility, accessibility and affordability.	<p>ERC's ongoing revenue funding shortfall from the first full year (2021/22) of implementation of 1140hours has been well documented since 2018 and officers and elected members have petitioned SG/COSLA. In anticipation officers have sought to maximise the carry forward of specific ELC grant funding released on a phased basis in advance of full implementation. Such actions help delay the full financial impact of the funding gap until 2022/23.</p> <p>Continue to monitor provision and regularly review delivery models, following initial review for 2021/22, based on affordability, preferences of parents and taking account of any changes in policy/ legislation making bids as appropriate for funding.</p> <p>Maintain tight control of revenue spend, including scrutiny of requests to recruit to ensure all recruitment is on a needs (ratio) basis and that staffing levels in ELC settings are operating at maximum efficiency.</p> <p>Increase in local authority provision with all capital work now completed. Funded provider places ERC is in partnership with have also been increased.</p> <p>Continue to support the development and engagement of funded providers, including childminders, to increase ELC places.</p> <p>Implement Early Learning and Childcare Strategy including continuing to work with all providers to ensure quality early learning and childcare.</p>	2	4	8	Following the national funding review (effect from 2022/23), assess the impact on ERC's delivery models and report to elected members as appropriate.	Subject to outcome of National Review.	1	4	4	Director of Education
C (24/08/2021)	1.2	New Scottish Government Funding Follows the child guidance in relation to parents accessing Early Learning and Childcare (ELC) in their choice of provider will have a significant financial impact on budget.	<p>High quality, flexible accessible childcare available within East Renfrewshire Local Authority settings.</p> <p>Rigorous scrutiny process to determine partnership status for ERC Funded Providers.</p> <p>Promote the quality and affordability aspects of all ELC settings with parents and carers.</p> <p>As new facilities become operational, flexibility and choice is available for parents.</p> <p>Forecasting of the current demand and cost of children accessing non-LA settings.</p> <p>West Partnership cross-boundary protocol developed for August 2020 in response to Funding Follows the Child guidance.</p> <p>Revised ELC admissions policy reflecting the enhanced 1140 provision and the allocation of places.</p> <p>Operation of application window to ensure allocation to nurseries can be undertaken to provide financial oversight. Funding request window notified to all funded providers.</p>	3	3	9	<p>Review and implement the West Partnership (WP) Cross Boundary Protocol for next round of applications within current financial and space capacity.</p> <p>Develop improved customer communication in conjunction with legal services to ensure a robust adherence to policy and prevent successful challenges to existing practice.</p> <p>Implementation of new streamlined process of additional flexible hours for families in local authority provision. Pilot in the first term of 2021/22 with wider implementation to follow where space is available.</p>	<p>31/03/2022</p> <p>31/12/2021</p> <p>31/10/2021</p>	1	3	3	

<p>C (24/08/2020)</p>	<p>1.3</p>	<p>An increase in the number of requests from parents and carers for children to defer their entry to school prior to the 2023 policy implementation date leads to insufficient places being available and increased costs to ensure provision can be made.</p>	<p>Adherence to the Department's Deferred Entry to School Policy. Implementation of the new ELC Admission Policy (updated November 2020). ELC settings to continue to engage with parents, outlining the progress and achievements of children. Playful pedagogy approach in Early Years of Primary School including high quality remote provision during times of restrictions. Closely monitor applications and ensure adherence to robust processes for administration. Departmental officer sitting on national Scottish Government working group.</p>	<p>3</p>	<p>2</p>	<p>6</p>	<p>Review of the administration and delivery of the deferred entry policy ensuring accuracy and effectiveness ahead of subsequent school admission process for summer 2022 entry.</p>	<p>31/10/2021</p>	<p>3</p>	<p>1</p>	<p>3</p>	<p>Director of Education</p>
<p>C (25/8/2020)</p>	<p>1.4</p>	<p>Ongoing threat of Covid-19 impacts on the Council's ability to provide education to children and young people, either through significant rates of absence or school/class closures in schools across the authority. Higher rates of staff absence due to impact of Covid-19 cases and the need for self isolation. Ongoing impact of school closures on attainment of young people.</p>	<p>Department guidance and individual school recovery plans in place to ensure continuing provision of education in the event of a localised or widespread lockdown/closure. Ongoing review to ensure continued relevance and deliverability. Additional resources from the Scottish Government to begin to address learning loss, in addition to effective practice guidance to Head Teachers from the department. QI team continue to provide support and challenge to schools. Revised Test & Protect measures in place across all establishments to lessen impact of self-isolation and contact tracing requirements. Ongoing communication with parents and families as part of the Council's approach. Ongoing support from Educational Psychological Services to support wellbeing amongst pupils including the launch of HealthiER Minds. Robust adherence to health and safety measures across all settings to reduce transmission rates. Regular review of risk and control measures in places across establishments. Mass testing programme for all staff and senior pupils in place to minimise impacts of positive cases. Continued promotion of vaccination programme for all staff and eligible pupils. Ongoing engagement with West OS as part of the wider work on the West Partnership to ensure continued access to high quality remote learning provision.</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Ongoing review of the necessary measures and mitigations in place across schools and nurseries to minimise impact of potential further waves. Effective use of further additional resources being made available by the Scottish Government including additional funds for staffing to address learning loss above and beyond existing additional resources. Wider Scottish Government commitment for significant device provision across schools, with promise of a device and connectivity for every pupil.</p>	<p>Subject to Scottish Government national approach 30/06/2022 To be confirmed</p>	<p>2</p>	<p>2</p>	<p>4</p>	<p>Director of Education</p>

Outcome 2: East Renfrewshire residents are healthy and active and have the skills for learning, life and work.

Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
C (12/08/2020)	2.2	Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.	Advanced Practitioner post to improve practice across adult and children services in preparing young people with additional support needs for adulthood. Analysis of demographic changes and increased financial forecasting. Education Resource Group manage specialist resources and admission to specialist provision. Resource Allocation Group (RAG) strengthened membership to include educational psychologist and occupational therapist. Concluded work to review transitions and new strategy developed	4	3	12	Implement new transitions strategy Council continues to contribute to funding to demographic cost pressures.	31.03.2022 Ongoing (review Mar 22)	4	2	8	Chief Officer HSCP
S (17/02/2021)	2.3	Ensuring sufficient catchment places for East Renfrewshire children and young people across all sectors in light of inward migration including the impact of new residential developments- in particular the Local Development Plan.	Regular review of places and demand; and implementation of admission arrangements policy. Current capital plan reflects new build educational estate supplemented as appropriate by developer contributions, according to timescales and extent of provision noted in LDP (1), approved June 2015. On an ongoing basis, Education/Environment continue to review the release of housing and infrastructure requirements. This will also take cognisance of inward migration to existing housing along with ongoing residential development under the adopted LDP1 and any windfall sites as reflected in the Housing Land Supply register. Revised Pupil Product Ratios (PPRs) for ELC, primary, secondary and ASN (Additional Support Needs) reflecting current build costs published summer 2019 and PPRs refreshed. Council approved in June 2019 that the Proposed LDP2 go out to consultation in Autumn 2019 adopting a strategy of consolidation and regeneration with no further new housing sites released. Proposed LDP2 at Examination Reporter Stage. Respond to the requests for clarification/information as part of the Examination/ Reporter stage of LDP2.	3	4	12	Council's Capital Investment Strategy and the associated future 10-year Capital Plan updated to reflect education estate requirements for all school sectors taking account of operational requirements/timescales. As appropriate education statutory consultation to be undertaken in advance and within required timeframes. Education and Environment to collaborate closely about any potential further residential development as LDP3 progresses to ensure sufficiency of places across the education estate and that any new provision is included in future Capital Investment Strategies.	Annual update (next due 28/02/2022) In line with relevant timescales In line with relevant timescales	2	4	8	Director of Education
S (30/08/2019)	2.4	Closure of facilities (related to Trust) as a result of unforeseen failure or management practices resulting in loss of attendance, revenue, damage to reputation and increased management fee.	Current capital plan reflects major new replacement for Eastwood Leisure Centre and provision for repair and maintenance of Culture & Leisure facilities to improve the customer environment. In addition the capital plan includes the intent to renew sports and library facilities for the village of Neilston as part of campus approach to replace outdated local educational provision. Quarterly meetings take place between the Trust and Property and Technical Services to monitor performance. Business Continuity Plans in place for services. SLA in place between ERC & ERCL. Responded to the Main Issues Report and contributed to the new LDP (2) highlighting any impact in terms of the culture and leisure estate. Additional capital maintenance budget agreed for Trust properties in February 2019.	3	4	12	Capital Plan reviewed annually and updated to reflect operational requirements of facilities operated by the Trust. This will be ongoing. Progress new facilities planned for Eastwood Park and Neilston Leisure Centres in line with timescales set out in the Capital Plan. ERCL to take advantage of any opportunities offered by development of LDP3 taking account of due process such as planning and consultation in partnership with East Renfrewshire Council and in line with relevant timescales.	Annual update (next due 28/02/2022) In line with timescales set out in Capital Plan In line with timescales set out in Capital Plan.	2	3	6	Director of Education/Head of Accountancy

C (18/8/2021)	2.6	An increase in the number of children and young people disengaging with learning as a consequence of ongoing Covid-19 impacts and subsequently requiring specialist support.	Curricular focus on health and wellbeing to negate impact of Covid-19 Resources and plans in place for high quality remote learning in all schools and early learning provision. All establishments have been provided with Building Back Better & Fairer plans and continue to be supported by the QI team to ensure continuing high quality. Effective multi-agency planning around the child. HealthiER Minds Service to support pupils and staff. Education Resource Group Inter-agency recovery group	2	3	6	A review of specialist supports and services across the Education Department. Effective use of further resources expected from the Scottish Government to address potential learning loss and support curriculum recovery across all schools and ELC settings in the coming months.	31/10/2021 30/06/2022	2	1	2	Director of Education
C (24/08/2021)	2.8	Covid-19 pandemic changes East Renfrewshire Culture & Leisure Trust (ERCLT) customers' behaviours and expectations and affects demand, combined with reduced capacity from continued social distancing, Scottish Government guidance/legislation and the continued use of buildings as vaccination centres results in loss of attendance, revenue, damage to reputation and increased management fee.	Council Resilience Management Team oversight of Business Continuity and contingency planning lead on the tactical response to the ongoing pandemic. Access furlough scheme to reduce numbers of staff. Monitor up to date Government guidance Sharing of key Health / Government advice with the public. Effective Trust and Council governance arrangements. Effective measures to ensure non staff costs are controlled are in place. Consultation and on-going engagement with customers via online channels to build demand, confidence and allay fears.	4	4	16	Managed opening of ERCL services to minimise costs. Recruitment freeze of Trust staff. Reallocation of staffing to funded projects. Trust staff training to identify new products, solutions and operating procedures.	Whilst beyond Level 0 of Scottish Government Strategic Framework 31/08/2022	4	3	12	Director of Education
C (24/08/2021)	2.9	Lack of appropriately skilled teacher workforce due to a combination of students and newly qualified teachers having experienced interrupted placements in school as a result of Covid. This leads to a reduction in the ability to adequately fill teacher vacancies and a reduction in quality of teaching and learning which in turn places an increased pressure on existing experienced teaching staff workload.	Strategy developed with university partners and in place for term three placements for students and probationers Work with university tutors to ensure health and wellbeing of students/probationers is a priority. Work collaboratively with university partners to develop a strategy to ensure the upskilling of the new teacher workforce at all levels to plug the gap of learning loss over the last 12 month period. Extension of in school placements for final year students and probationers not able to attain SFR or SFPR.	2	3	6	Increased in school provision of mentoring and support for students and probationers. Actively support schools with failing probationers and students through the correct procedures for GTCS/University referral.	30/06/2022 30/06/2022	1	2	2	Director of Education

C (24/08/2021)	2.10	<p>Significant rates of positive Covid-19 testing within an East Renfrewshire community necessitates enhanced local Community testing, particularly for Asymptomatic residents.</p> <p>Residents unable to access prompt PCR testing with subsequent impact on requirements to self-isolation and access to services and education.</p>	<p>The Council has a Lead Officer assigned to this area of working, along with identified Project Leads for avenues of working associated with it.</p> <p>Regular and established contact mechanisms are in place with NHS Greater Glasgow & Clyde, the Scottish Government and appropriate Military Planners to support this area of work in a coordinated manner.</p> <p>Key officers regularly review Covid figures across East Renfrewshire - with a view to identifying which areas may require particular targeting.</p> <p>Escalation processes for areas of concern to the Council Resilience Management Team (CRMT) and Corporate Management Team (CMT) are well established.</p> <p>An Asymptomatic Testing Facility has been established in Barrhead, from 1 March 2021 - this will be in place until at least September 2021.</p> <p>Experience of the May 2021 surge in cases has provided learning and identification of solutions to enhance testing locally - including community group engagement, enhanced communications, additional Mobile Testing Unit placements and testing kit collection.</p>	3	4	12	<p>Level of volunteer staffing or re-deployment of existing staff to be regularly reviewed and considered with escalation to CRMT if insufficient staff numbers identified.</p> <p>Need for additional testing solutions will be considered as appropriate in response to rising numbers of Covid cases or identification of areas of concern.</p>	30/12/2021 30/12/2021	3	3	9	Chief Executive
C (03/06/2021)	2.11	<p>The Covid-19 Pandemic results in additional deaths, which stretch the capacity of existing mortuary storage. This impacts on the NHS requiring the Council to provide additional facilities</p>	<p>Mass Facilities Guidance updated in 2021.</p> <p>Additional Deaths Sub Group established within the Health Board Area and within the Council.</p> <p>Changes have been made to registration requirements to assist reporting.</p>	2	3	6	<p>Continued review & engagement with appropriate agencies through the regular multi agency group meetings.</p> <p>Utilising volunteers and training staff to support key functions where possible.</p>	31/01/2022 31/01/2022	2	2	4	Director of Environment
C (14/08/2021)	2.12	<p>Challenges with the Council supporting the NHS for the Covid-19 Vaccination programme result in delays in East Renfrewshire residents receiving their vaccine.</p>	<p>A designated Emergency Management Team, including Project Managers has been established to lead this work.</p> <p>Dedicated Council support is in place through ICT, HR, Property Management, Health & Safety to maximise support to the NHS & Government in the roll out of vaccines locally.</p> <p>Regular communications and liaison with NHS Greater Glasgow & Clyde</p> <p>Staffing contingency arrangements are regularly explored throughout local Vaccination Centre operation.</p> <p>The need and ability to scale up Vaccination Centre operations is regularly explored.</p> <p>Appropriate financial resources identified to support this work.</p>	2	3	6			2	3	6	Chief Executive

Outcome 3: East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses.

Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
C (21/08/2021)	3.1	Glasgow and City Region City Deal infrastructure projects (including those projects outwith East Renfrewshire) do not proceed on schedule and/or do not produce the anticipated economic benefits resulting in a gap in funding provided by the UK and Scottish Government.	<p>City Deal projects are delivered within the governance, procedures & project management requirements set out in the City Deal Assurance Framework. Regular reporting on City Deal projects is provided for Governance meetings that are held every 2 months. Additionally, there are frequent project & team meetings, with issues raised with the Programme Management Office (PMO).</p> <p>There are rigorous checks of all business cases - initially through checks by the Governance Board, prior to going to the PMO. There is a further check by the PMO prior to expenditure approval and project implementation.</p> <p>Reproofing projects in terms of scope, timescales and cost to ensure the projects remain value for money, can be achieved within current budgets and still provide the required GVA with the Finance Business Partner.</p> <p>The City Deal Governance Group within the Environment Department is chaired by the Director of Environment and meets monthly, enabling monitoring of progress and issues relating to City Deal Projects.</p> <p>A Cabinet report updating on key City Deal elements has been compiled and was discussed at 3 June meeting.</p> <p>All existing & new employees receive regular training to ensure their project management knowledge is up to date. This includes all City Deal project managers being trained in NEC3 contracts and financial standing orders.</p>	2	3	6			2	3	6	Director of Environment
C (17/08/2021)	3.2	Increase in construction inflation costs may negatively impact on the planned capital plan and City Deal GVA (Gross Value Add).	<p>Major capital projects have been reviewed for inflationary impact in preparing the 2020/2021 to 2029/2030 Capital Plan. Reassessment of capital plan to ensure budget can be met.</p> <p>There is prudent budgeting and ongoing monitoring of reserves - including monitoring the effects of Brexit, Covid-19 and construction inflation on costs, availability of labour and changes to safe working practices.</p> <p>Building Cost Information Service (BCIS) is updated annually and the mid construction point is used to inflate projects, and notified to the Finance Service.</p> <p>Regular review of Government budgets and subsequent Council budgets takes place, to consider impacts on major projects.</p>	3	3	9	Consider measures arising from impacts of any 2022/23 Scottish Government and subsequent Council budget on major projects.	31/05/2022	3	2	6	Director of Environment

C (12/08/2021)	3.3	<p>Potential breaches of State Aid compliance leads to lengthy investigations, suspension of works leading to costly delays and financial penalties. This risk is complicated by the potential changes to UK State Aid guidance and procedures as a result of Brexit and the EU-UK Trade Agreement in December 2020.</p>	<p>Close monitoring of capital expenditure/income against budget throughout year.</p> <p>State Aid references is made within appropriate Cabinet/Council reports, where relevant.</p> <p>A member of the Environment Department attends 2 meetings per year at the Scottish State Aid Local Authority Network, to keep up to date with any changes to State Aid compliance.</p> <p>Staff from Environment Department, Legal Services, Finance and Procurement have received training through the Scottish Government's State Aid Unit. Further training can be requested from the Scottish Government State Aid Unit. Council training is carried out every 2 years.</p> <p>There is an explicit inclusion of State Aid in East Renfrewshire Council's Financial Regulations and/or Standing Orders. Further information including examples of what constitutes State Aid is provided in the relevant links on the intranet (Home/Chief Executive's Office/State Aid Guidance)</p> <p>UK Government guidance has been published and is being updated. The current assumption highlighted by CoSLA is that authorities should continue using the EU rules as reference points which the new UK regime is being fully developed and consultation completed. UK Government Guidance is available at: https://www.gov.uk/government/publications/complying-with-the-uks-international-obligations-on-subsidy-control-guidance-for-public-authorities</p> <p>An annual State Aid return is provided to the Scottish Government each June.</p>	2	3	6	<p>Enhanced Scottish State Aid Local Authority Network communications are taking place in light of the end of the Transition Period, with Environment Department staff engaged.</p> <p>Review the requirement for updated training in light of any changes to the State Aid regime: considering opportunities for more officers to undertake this training. This will also encompass the two yearly knowledge update.</p> <p>There will be regular review of UK Government guidance and position on the changes to State Aid that may result from EU Exit. Engagement will take place through the Scottish State Aid Local Authority Network and with the Scottish Government / COSLA to ensure that any changes the Council is required to make are compliant.</p>	31/01/2022 31/01/2022 31/01/2022	2	2	4	Director of Environment
C (28/01/2021)	3.5	<p>There is a risk of an internal structural collapse at Braidbar Quarry which could result in the ground surface opening up possibly leading to fatalities if restrictions on access are not maintained. Several residential properties are blighted by this site.</p>	<p>Full fencing of the site completed November 2019. Warning signs erected around the perimeter. Regular inspections are undertaken, with fencing repaired when the Council is notified of breaches. The Council documents its repair regime.</p> <p>Digitised record inspection records are retained and regularly updated.</p> <p>No mitigation factors are presently in place for an internal structural collapse other than protection of the public through restricted access.</p>	2	4	8	<p>Remediation of the affected land is the only measure which will completely remove this risk. Achieving this however would be a multi-million pound exercise and would require significant collaboration with land remediation specialists.</p>	Long Term Project	2	2	4	Director of Environment
S (14/04/2019)	3.7	<p>Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services.</p>	<p>Business Impact Assessments and Business Continuity Plans consider implications of sudden and severe weather events.</p> <p>The Council participates in Climate Ready Clyde (CRC) project to evidence the impacts of climate change on the area and its assets and develop a climate change risk and opportunity assessment, adaptation strategy and action plan.</p> <p>Continue to construct and maintain all buildings and infrastructure to the best possible standard to reduce likelihood of structural failure.</p> <p>Participate in Clyde And Loch Lomond Flood Risk Management Group (CALL)</p>	2	4	8	<p>Develop a Climate Change & Sustainability Strategy</p> <p>Adaptation Strategy being developed at Glasgow City Region level</p> <p>Implement the Climate Change and Sustainability Strategy</p>	To be determined 30/11/2021 To be determined	2	3	6	Director of Environment

Outcome 4: East Renfrewshire residents are safe and live in supportive communities

Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for Completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
C (15/06/2021)	4.1	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and Multi-Agency Public Protection Arrangements- MAPPA) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.	<p>The operation of Child Protection Committee (CPC), Adult Protection Committee (APC) and MAPPA meetings deal with strategic and practice issues.</p> <p>*Safe Together* model implemented.</p> <p>Data report and outcome report for children's services completed (COPP - May 2020).</p> <p>Rolling programme for all front line managers provided with refresher training concerning statutory compliance.</p> <p>Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners.</p> <p>Increased communication and intelligence sharing with other statutory bodies implemented during Covid-19.</p> <p>Job descriptions for statutory criminal justice social work posts in East Renfrewshire have been amended and candidates are required to be eligible to achieve NPPV (Non Police Personal Vetting) level 2 vetting status. Engagement taken place with workers not yet vetted to NPPV status.</p> <p>Quarterly external audit of MAPPA cases in place.</p> <p>Multi Agency Risk Assessment Conference (MARAC) fully operational (05.03.19).</p> <p>PVG (Protecting Vulnerable Groups) scheme in place.</p> <p>Service Manager ASP has responsibility for chairing Case Conferences and leading on self-evaluation and audit activity.</p> <p>Risk assessment integral part of the assessment process.</p> <p>Process in place for annual review of quality assurance framework for ASP activity</p> <p>Interim APC Chair in place.</p> <p>Training delivered to managers within adult services on supervision policy, quality assurance framework, management oversight.</p> <p>Council officer and managers forums established.</p> <p>New Head of Recovery and Intensive Services taken on role of professional lead for social work practice within adult services.</p>	2	4	8	<p>Develop new schedule for performance reporting for adult services.</p> <p>Introduce rolling review of PVGs on 3 yearly basis. Consistent with Care Inspectorate regulations</p> <p>Strengthen reporting arrangements around SSSC registrations</p>	<p>Ongoing (Review Dec-21)</p> <p>31/12/2021</p> <p>31/12/2021</p>	1	4	4	Chief Officer HSCP

<p>C (15/08/2021)</p>	<p>4.2</p>	<p>Acts of harassment, violence or intimidation, directed at particular religious or minority groups, impact on individuals and communities, resulting in harm and reduced confidence in being able to live safely and without fear within East Renfrewshire.</p>	<p>Local authorities have a duty under the Counter Terrorism and Security Act (2015) to have "due regard to the need to prevent people from being drawn into terrorism". The Council participates in multi-agency 'Prevent' and 'CONTEST' working groups, alongside other local authorities, Police Scotland and the Scottish Government, and has designated the Head of Digital and Community Safety as the Single Point of Contact (SPOC) for Prevent.</p> <p>The Council CRMT and the Civil Contingencies Service (CCS) ensure that appropriate business continuity and civil contingencies procedures are developed and maintained, to co-ordinate an effective response in the event of an incident impacting people, infrastructure or services.</p> <p>Where an individual has been identified as being at risk of being drawn into terrorism, there are well-established procedures for multi-agency case conferences (chaired by the Head of Adult Support and Protection) using the Prevent Multi Agency Panel (PMAP) referral process, with appropriate information sharing between the Council and Police to deliver targeted intervention activities.</p> <p>The establishment of a cross-departmental working group to develop actions to raise awareness amongst Council and Trust staff of the Prevent duty and identifying signs and risk factors of potential radicalisation.</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>Review and implement changes to the PREVENT Guidance update issued by Scottish Government in January 2021 through the Prevent Operational group.</p>	<p>30/11/2021</p>	<p>1</p>	<p>4</p>	<p>4</p>	<p>Director of Corporate & Community Services</p>
<p>S (12/08/2020)</p>	<p>4.4</p>	<p>Scottish Child Abuse Inquiry - Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care.</p> <p>Capacity to meet potential increase in demand in relation to access to records and potential claims against the Council as Inquiry work progresses</p>	<p>Adult Protection Committee and Child Protection Committee have been sighted on these issues.</p> <p>Final s21 submission made to the Inquiry in July 2020 in relation to the foster care case study. The Inquiry have noted that they may come back for further information. Key learning from S21 work shared with managers</p> <p>Identified leads in HSCP working alongside legal services to manage the progress of any allegations/claims made.</p>	<p>4</p>	<p>3</p>	<p>12</p>			<p>4</p>	<p>3</p>	<p>12</p>	<p>Chief Officer HSCP</p>

Outcome 5: Older people and people with long term conditions in East Renfrewshire are valued; their voices are heard and they enjoy full and positive lives												
Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
C (15/06/2021)	5.1	Increase in older people, particularly very old, due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity.	<p>Scottish Government providing additional resources for Health and Social Care with emphasis on managing demographic pressures. Council funding for demographic cost pressure continues</p> <p>Outcome Delivery Plan (ODP) and HSCP strategic plans build on foundation of CHCP and wider council prevention and early intervention strategy for older people.</p> <p>Agile working for HSCP employees improves efficiency</p> <p>Annual budget setting takes account of demographic projections.</p> <p>Rollout of Talking Points, as part of Community Led Support Programme diverting people to community resources and building their own assets commenced in May 2019</p> <p>Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people.</p>	4	4	16	<p>Develop frailty pathways as part of wider UCC work</p> <p>Reopen and further rollout of Talking Points as part of Community Led Support programme diverting people to community resources and building own assets.</p> <p>Reviewing front door arrangements to ensure fit for purpose in terms of recovery</p> <p>Unscheduled Care Action Group to take forward agreed unscheduled care commissioning programme of activity - Financial Framework to be agreed.</p> <p>Continued Council funding for demographic cost pressures.</p>	<p>31/03/2022</p> <p>Ongoing (review Mar 22)</p> <p>30/09/2021</p> <p>30/09/2021</p> <p>Ongoing (review March 2022)</p>	4	2	8	Chief Officer HSCP
C (15/06/2021)	5.2	<p>Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability, staff recruitment and selection difficulties or significant care concerns.</p> <p>Consequences could include:</p> <ul style="list-style-type: none"> - disruption to service delivery - requirement to implement contingency plans - impact on individuals and families with potential disruption to care arrangements 	<p>We work with the Care Inspectorate to ensure robust action plans for improvement are in place.</p> <p>Work with Scottish Government, Scotland Excel and Cosla on care home market.</p> <p>Consideration of balance of market share across external market providers.</p> <p>Company Credit Health Checks undertaken.</p> <p>Scotland Excel framework commenced July and should increase provider base to mitigate risk</p> <p>Actions from independent learning review complete – reporting procedure in place and monthly meetings established</p> <p>We work with providers at risk to agree phased and managed approach to closure if required.</p> <p>We are working with providers to ensure market sustainability and explore the service models moving forward.</p> <p>Care Home assurance group established May 2020 (meets twice weekly). Care homes reporting key information which is reviewed by the care home assurance group to allow management of risk and support</p> <p>Two community hubs established to provide range of support to care homes within Greater Glasgow and Clyde e.g. nursing, infection control support</p>	4	3	12	<p>Reshape strategic commissioning plan based on outcome of the work exploring models of service delivery. Annual progress will inform our longer term approach.</p>	31/03/2022	3	3	9	Chief Officer HSCP
C (15/06/2021)	5.3	Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. Impact on service users and carers.	<p>Increased resource to support robust absence management.</p> <p>Fortnightly updates being provided to Care Inspectorate</p> <p>Single base agreed for Care at Home</p> <p>Embedded full time Pharmacy resource within the service (Jul-20).</p> <p>Increased level of quality assurance in place.</p> <p>Significant recruitment campaign underway</p> <p>Increased OT resource to maximise outcomes and reduce supports required</p> <p>Progressing payment of carried over annual leave to increase staff availability</p>	3	4	12	<p>Roll out medication management training to remaining staff (75% completed)</p> <p>Re-mobilise the service redesign activity.</p> <p>Appoint Senior Manager – currently out to advert</p> <p>Conclude work to realign staff work patters in order to maximise resource</p>	<p>31/03/2022</p> <p>Ongoing (review Mar 22)</p> <p>31/10/2021</p>	2	3	6	Chief Officer HSCP

Our Strategic Outcomes: Customer, Efficiency and People												
Risk Status S/C/N (Same, Changed, New)	Risk Number	Risk (Threat / Opportunity to achievement of business objectives)	Risk Control Measures (Mitigations) current in place	Likelihood (Probability)	Impact (Severity)	Risk Score	Proposed Risk Control Measures (Mitigations)	Date for completion	Re-scored Likelihood (Probability)	Re-scored Impact (Severity)	Re-scored Risk Score	Risk Owner
S (05/03/2021)	6.1	Reduced central government funding leading to failure to support the current level of service provision leading to public discontent and negative effect on the Council's reputation and increased pressure to draw down council reserves on future years' budgets.	<p>Budget Strategy Group</p> <p>Corporate Ownership</p> <p>Treasury Management Strategy</p> <p>Ongoing monitoring of Council reserves</p> <p>3 Year budget arrangements</p> <p>Change to financial planning timetable to allow earlier budget deliberations and a realignment of budget with council outcomes.</p> <p>Close monitoring of expenditure/income against budget throughout the year.</p> <p>Prioritisation of Modern Ambitious Programme and continual review of projects to ensure effective progress and business cases.</p> <p>Budget aligns with conditions set out in Scottish Government settlement letter.</p> <p>Updated settlement figures received from Scottish Government.</p> <p>Long term budget and scenario planning. Outline Financial Plan, reserves and Council Tax level reviewed annually by Council.</p> <p>Education resources reviewed in context of school empowerment and carry forward limit agreed.</p> <p>Additional General Grant Funding confirmed for 2021/22.</p>	3	3	9	<p>Review reserves and consider options for future years' utilisation/reclassification to assist with meeting budget pressures if required.</p> <p>Reintroduction of 3 year national settlements from 2022/23.</p>	<p>31/10/2021</p> <p>31/12/2021</p>	2	3	6	Head of Accountancy
S (05/02/2021)	6.3	Lack of appropriately skilled workforce due to the combination of loss of experience from redundancy / retirement, difficulties recruiting due to temporary contracts and shortage of skills in market place leads to a reduction in service levels damaging council reputation.	<p>Leadership Competencies (which are linked to Quality Conversation) and the Leaders of the Future Development Programme.</p> <p>Head of Service lead in each department on workforce planning with an active corporate workforce planning group.</p> <p>Head of organisational and financial business case when considering redundancies/ early retireals.</p> <p>Workforce planning strategy in place.</p> <p>Succession planning toolkit available for managers.</p> <p>Actively support CoSLA working groups to benchmark best practices in workforce planning.</p> <p>Modern Ambitious Programme (MAP) ongoing with core programmes on Customer Experience; Core Systems and Workforce Productivity, supported by Organisational Development (OD).</p> <p>Strategic programme reporting for MAP and investment reporting complete.</p> <p>Workforce plan updated detailing department actions and demonstrating alignment with financial plan.</p> <p>Focus on developing digital champions with support for O365 training.</p>	2	3	6	<p>Implement the actions from the Workforce Action Plan and start review of overall plan.</p> <p>Review prioritised MAP projects for skills and resourcing requirements, including greater emphasis on national Digital, Data and Technology DDaT Framework.</p>	<p>31/03/2022</p> <p>30/10/2021</p>	2	2	4	Director of Corporate & Community Services

<p>C (05/07/2021)</p>	<p>6.4</p>	<p>The drive to deliver our ambitious change programme has an adverse impact on our employees as they strive to balance a relentless pace and scale of change with day to day responsibilities, leading to slower delivery of benefits and/or lower performance as services go through change.</p>	<p>Modern Ambitious Programme in place since 2015. Each department has its own change programme and governing board to oversee progress, capacity, performance and delivery of benefits. Cross-cutting programmes for Customer Experience, Core Systems; Workforce Productivity, within an underpinning programme re: Data.</p> <p>Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts.</p> <p>Skills development in support of change includes accredited Project Management Courses, agile courses, management training, training to assist with service redesign and new courses on user research, Service Design, following the Scottish Approach to Service Design</p> <p>Capital Bids required to demonstrate alignment to 5 capabilities and key outcomes.</p> <p>Consideration of flexible external assistance and skills when change projects require.</p> <p>Greater use of "agile" project methodology to chunk projects into smaller, more manageable iterations, with lower risk.</p> <p>Review of Council's Values with Organisational Development (OD) Board to support delivery of change.</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Enhance the role of service design and user design in change projects to ensure that the outcome best meets customer needs planned for Spring 2020 but delayed due to Covid-19.</p> <p>31/10/2021</p> <p>31/3/2022</p> <p>31/10/2021</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Director of Corporate & Community Services</p>
<p>S (16/02/2021)</p>	<p>6.6</p>	<p>Failure to effectively manage the Council's information assets may lead to a risk of inadequate data handling, not adequately preventing loss of data and unlawful sharing of data may result in non-compliance with legislation in particular Data Protection Act 2018 (GDPR), Freedom of Information Scotland Act(2002) and Records Management Public Services Act 2011</p> <p>Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies</p> <p>Inability to recognise the value of our information assets may result in lost opportunities to use data to inform decision making, transform services, support increased performance, enhance customer service and promote transparency and information quality assurance</p>	<p>Review of processes and procedures to ensure compliance with the General Data Protection Regulations and the Data Protection Act 2018 completed.</p> <p>Records Management Plan updated in line with Audit review and through ongoing revision.</p> <p>Retention schedule under ongoing review and revision.</p> <p>Review of policies and procedures is now complete and work is ongoing to ensure that policy and guidance is update to date and reflective of good practice.</p> <p>New guidance has been created and published in respect of Redaction which will ensure that personal data is not inadvertently published.</p> <p>Data Protection Policy has been revised to reflect the role of a dedicated Data Protection Officer (DPO).</p> <p>Service Privacy Notice Template updated and exercise in place to ensure that these are regularly reviewed.</p> <p>Annual Data Protection reporting mechanism to CMT established</p> <p>DPIA training course has been developed and delivered to nominated employee across the Council. Scheduled dates have been delivered for this year and will be scheduled on the corporate training calendar on future years.</p> <p>New breach reporting procedures have been created and are published.</p> <p>These have been delayed as a result of the regulator Code of Practice on SAR being published at the end of 2021. New guidance for those involved in the process will be available by June 2021.</p> <p>Self-assessment update on the Council's Records Management Plan which has been refreshed and updated was submitted to The Keeper of the Records of Scotland.</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Implement and embed a clear, defined and communicated information Governance Strategy (IGS) across the Council that supports a pragmatic and risk based approach to ensuring the confidentiality, integrity and availability of information assets whilst focusing on citizen and employee safety, business transparency, and legislative compliance.</p> <p>31/03/2022</p> <p>Data Protection Impact Assessment (DPIA) Framework is currently being reviewed and new guidance and templates to be published and supported by training.</p> <p>31/03/2022</p> <p>Assessment of requirements for storage of hard-copy records to be considered</p> <p>31/03/2022</p> <p>A review of current contracts and sharing agreements will be undertaken.</p> <p>31/03/2021</p>	<p>1</p>	<p>3</p>	<p>3</p>	<p>Director of Corporate & Community Services</p> <p>Director of Corporate & Community Services</p> <p>Chief Executive</p> <p>Director of Corporate & Community Services</p>

<p>S (15/02/2021)</p>	<p>6.7</p>	<p>Interruption to service or total inability to provide ICT services, resulting in impact to Council business, due to the loss of the Barrhead Data Centre and/or other critical infrastructure components due to fire, vandalism, equipment malfunction (including environmental controls).</p>	<p>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.</p> <p>Ensure that the Council reviews Business Continuity Plans at least annually.</p> <p>Ensure that equipment is regularly maintained and replaced as required.</p> <p>Ensure supplier(s) contracts support recovery activities.</p> <p>Undertake independent review of core infrastructure design and architecture to gain validation and assurance of both security and operational capability</p> <p>Improve monitoring and alerting of hardware and environmental systems to provide a proactive response.</p> <p>Cyber insurance taken out in 2018 to provide an element of cover in the event of such an outage.</p> <p>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.</p> <p>Loss of data or interruption to service due to cyber attack from internal or external malicious actors, or indiscriminate malicious programmes, deriving from both Council operations and those of its supply chain.</p> <p>ISO27001 range of technology, policy, procedures, standards and training exists across the council which is reviewed regularly to ensure it remains consistent with changes in technology, working practices and emerging threats.</p> <p>The CMT agreed that Information Security training should be mandatory to raise employee awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.</p> <p>Security standards are reviewed and revised using a risk management approach.</p> <p>The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.</p> <p>Ensure the security architecture follows layered approach as defined by best practice.</p> <p>Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation.</p> <p>Information Security Schedule included within all procurement exercises establishing minimum security</p>	<p>4</p>	<p>3</p>	<p>12</p>	<p>Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery. Target updated to reflect COVID impact to timeline.</p> <p>Plan and perform regular audited disaster recovery tests and rehearsals. Target updated to reflect COVID impact to timeline.</p>	<p>31/03/2022</p> <p>31/03/2022</p>	<p>2</p>	<p>2</p>	<p>4</p>	<p>Director of Corporate & Community Services</p>
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S (15/02/2021)	6.8	<p>Failure to pay invoices, Covid-19 related payments and specific Educational Benefits Payments, within a specified timeframe (Local Government Benchmarking Framework indicator/Government requirements) or failure to pay said types of payments correctly (either through fraud or error), which could lead to cessation of supplies; risks to delivery of critical services; inappropriate payments; loss of funds to the Council; reputational damage to Council; issues with insurers; detrimental business/personal financial impact and possibly, legal action.</p>	<p>Clear segregation of duties across the payment process, including system across controls.</p> <p>Standard Operating Procedures (SOPs) and guides in place for teams, providing instruction other Policy and Procedures which must be adhered to.</p> <p>Full restructure of Accounts Payable Team now implemented, providing enhanced resilience.</p> <p>Range of controls in place which must be completed prior to and as part of the Payment Run. These include over/under £20,000 checks based on both value and sampling commensurate with risk.</p> <p>Use of AP Forensics system to identify potential duplicate payments prior to each payment run.</p> <p>Integra Financial system has a number of inherent controls relative to functionality, authorisation and checks.</p> <p>Monitoring and reporting mechanisms in place to provide for ongoing review of performance, errors, training needs etc.</p> <p>Use of external networks to share information on potential frauds.</p>	3	4	12	<p>Monitoring and controls continue to be reviewed and enhanced across invoice Covid-19 and Educational Benefit payment processing. Late notice from Scottish Government of need for autumn family hardship payment will cause service reprioritisation meaning there will be less focus on purchase to pay improvements and invoice queries. Risk of overreliance on key managerial resource to establish process for various payments in tight timeframe - documenting process to enable business continuity.</p>	31/12/2021	3	3	9	Director of Corporate & Community Services
C (31/08/2021)	6.9	<p>Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services.</p>	<p>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.</p> <p>Corporate Management Team consider possible implications of Brexit for services and take action as appropriate.</p> <p>The price of goods / services is reviewed by appropriate officers within Departments, with concerns raised at an early stage against significant increases. Business Continuity planning considers alternative suppliers to ensure key service continuity.</p>	4	3	12	<p>Monitor national position on new UK Prosperity Fund to replace European Funding as details emerge.</p>	31/12/2021	3	3	9	Head of Accountancy

<p>C (15/02/2021)</p>	<p>6.12</p>	<p>Loss of data or interruption to service due to cyber attack from internal or external malicious actors, or indiscriminate malicious programmes, deriving from both Council operations and those of its supply chain.</p>	<p>ISO27001 range of technology, policy, procedures, standards and training exists across the council which is reviewed regularly to ensure it remains consistent with changes in technology, working practices and emerging threats.</p> <p>The CMT agreed that Information Security training should be mandatory to raise employee awareness of cyber threats and handling information securely. A policy and awareness of this is being developed.</p> <p>Security standards are reviewed and revised using a risk management approach.</p> <p>The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.</p> <p>Ensure the security architecture follows layered approach as defined by best practice.</p> <p>Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation.</p> <p>Information Security Schedule included within all procurement exercises establishing minimum security requirements supported by operational Data Sharing and Processing Agreements.</p> <p>Delivered additional capability for granular and specific data restores through the recently installed enterprise backup solution which enables fast and reliable backups and enables a resilient replication schedule which stores the councils data locally before replicating all backed up data to our secondary DC site.</p> <p>Undertake regular rehearsal of Cyber Incident Response process across ICT. First event planned and calendar being developed.</p> <p>Implement additional protection technology to provide proactive threat detection. Use of a partner Security Operations Centre to deliver round the clock detection of malicious activity. Service live as of 01/12/2020</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Enforce and report on mandatory information security training ensuring that managers are provided with reports of non-compliance. Package being developed.</p>	<p>30/03/2022</p>	<p>3</p>	<p>2</p>	<p>6</p> <p>Director of Corporate & Community Services</p>
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S (16/02/2021)	6.14	Failure to achieve anticipated benefits and savings from the Finance/HR/Payroll System would lead services short of capacity and risk service delivery.	<p>Strong and robust Core Systems Programme and associated Project governance and risk and issues registers backed by appropriate level of resources.</p> <p>At least monthly meetings of the Core Systems Programme Board where Programme level risks and issues are discussed.</p> <p>Core Systems Programme Team using lessons learned from other public sector organisations who have implemented an integrated core corporate system.</p> <p>Regular engagement with a wide range of stakeholders across the Programme and Projects.</p> <p>Working closely with ICT, the Core Systems Team use enterprise architecture to ensure that the potential impact of each Project release is co-ordinated and accounted for.</p> <p>Identification and recruitment of employees with key skills and expertise to form the appropriate Programme Team and associated Project Teams in place.</p> <p>Business readiness reviews in place prior to "go live" for all workstreams and Departments.</p> <p>Phase 1 Finance system successfully implemented August 2019</p> <p>Phase 1 HR/Payroll system successfully implemented December 2020</p> <p>Identify</p>	3	4	12	<p>Review staffing, structure and temporary funding for Core Systems team. Current team contracts end March 2022. Implement longer term structure.</p> <p>Regular review of ongoing releases with Core Systems Board.</p> <p>Review set-up of base system and implement improvements</p>	31/03/2022 31/03/2022 31/03/2022	2	4	8	Chief Executive
S (15/02/2021)	6.15	Failure to ensure adequate insurance cover is in place which cover includes (i) Cyber, Employer, Engineering, Motor, Property, Public Liability & Travel and (ii) potential Covid-19 (or similar pandemic) impacts where changes to Councils services are required, normal business is disrupted which may result in the Council incurring financial loss (additional expenditure) and reputational damage.	<p>At time of renewal, Insurance Policies are reviewed to ensure the type and level of cover is adequate for the Council. This in conjunction with relevant departments.</p> <p>When reviewing content of the Strategic Risk Register, departments are now advised to consider potential insurance implications of risks and take advice.</p> <p>Quarterly meeting held with Insurance Providers to review Insurance arrangements (split between Renewals and Broker). This includes pricing and cover.</p> <p>Quarterly communication issued to department contacts to remind any changes which may impact upon Insurance Cover arrangements must be notified to Revenues.</p> <p>Revenues Operations Manager and Insurance Officer review of both claims experience and wider environment which may impact upon level and type of cover</p> <p>A review the Strategic Risk Register to ensure that adequate consideration has been given to insurance implications of existing risks has been undertaken.</p>	2	4	8	Insurers are to be further engaged, with specific focus upon Covid -19 related impacts upon East Renfshire Council services and requisite necessary insurance arrangements, also taking cognisance of Industry wider Public sector practices	30/09/2022	2	3	6	Director of Corporate and Community Services
C (13/08/2021)	6.16	As a result of the EU-UK Trade & Cooperation Agreement impacts, there is significant disruption to Council operations and the services we provide, including front line and support services.	<p>Cross Departmental Working Group establish to ensure co-ordinated approach to all aspects of Brexit work. This meets regularly to review the situation and ensure appropriate action is undertaken.</p> <p>The Council Resilience Management Team (CRMT) actively involved in Brexit discussions and kept updated of key concerns with oversight of Brexit Risk Register.</p> <p>The Council has oversight of National Coordination Centre reporting, as well as appropriate multi-agency liaison which support work to identify and minimise potential disruptions.</p> <p>Service specific mitigation in place where identified as appropriate.</p> <p>The Brexit Coordinator is in post to lead Brexit activity across the Council - including chairing the Brexit Working Group.</p> <p>Additional activity and engagement has taken place to increase awareness of the EU Settlement Scheme prior to it's June 2021 closure and to highlight steps for late applications.</p> <p>Engagement with COSLA on longer term EU Exit risk identification and mitigation took place on 27 May 2021.</p> <p>Regular reporting takes place as appropriate to ensure</p>	3	3	9	<p>Continue to refresh and implement agreed meeting and reporting cycles - further reporting to Audit & Scrutiny prior to September 2021.</p> <p>Work in collaboration with COSLA and across the Brexit Working Group to ensure that longer term EU Exit Impacts and Risks are identified and mitigated where possible.</p>	30/09/2021 31/12/2021	3	2	6	Director of Corporate & Community Services

S (20/05/2021)	6.17	The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided. This may include changes enacted through the Internal Market Act.	Environmental Health collective engagement with other Local Authorities, COSLA and the Scottish Government - to ensure that Export Health Certificates and associated concerns are considered and addressed. Specific services maintain up to date policies and procedures; reflective of their duties and obligations.	3	3	9	Continued monitoring of any developments, including the changing legal landscape, with a view to identifying any significant known changes. This will enable relevant departments to consider training and updating of procedures where required.	31/12/2021	3	3	9	Director of Corporate & Community Services
C (01/09/2021)	6.18	The re-emergence, escalation or further waves of Covid-19 (or any other emerging pandemic) result in increased controls and restrictions being implemented within East Renfrewshire. This may impact on provision of services through: staff availability, supply chain issues, increased service demand, financial and service planning upheaval.	Council Resilience Management Team oversight of Business Continuity & contingency planning and would lead on the tactical response to any pandemic. This will include monitoring Government & Health Guidance, ensuring up to date and consistent staff & public messaging - which will include Managers Guidance. Bespoke Council Resilience Management Team Sub Groups have been established during the response for Covid-19 and can be utilised for further waves / pandemics. The need for dedicated Sub Groups will be continually monitored, to reflect the situation. Up to date Contingency Planning arrangements: including Pandemic Guidelines for the Council and HSCP; Business Continuity and Incident Response Procedures. Established links to NHS Public Health and appropriate Multi Agency partners (included through Local and Regional Resilience Partnerships). Lobbying Scottish & UK Government for funding / flexibilities to address the additional financial pressures relating to Covid-19.	4	4	16	Identify and review any lessons learned to as a result of May, June & July 2021 surge in cases, identifying best practice for future increases in cases - this may include identifying what has worked well in other areas and streamlining any response measures used in East Renfrewshire.	31/10/2021	4	3	12	Chief Executive
S (15/02/2021)	6.19	Following implementation of the new Council Tax and Benefits system, residual risks and issues remain which require to be worked through over a further period including (i) critical activities must be undertaken including annual billing, year-end activity and Housing Benefit subsidy (ii) limited recovery (both system and Covid) has taken place which may result in reduction of expected income levels to the council and (iii) consolidation of Education Benefits functionality on the new system (iv) Citizens Access customer portal still to be implemented (noting Phase 2 to be delivered) and v) recovery of service backlogs, particularly in Benefits service; vi) impact of service backlogs on national performance indicators which will affect rankings and may cause reputational damage.	"Next level" Project / Operational meetings also held amongst appropriate stakeholders to review, resolve or escalate identified issues Reporting and communications in place, including Change Board and wider ERC Departments upon the Project and Operational impacts Training and support continues to be provided across the teams, with processes in place for individuals and teams to highlight issues for resolution. Contract and Service Level Agreement in place with external provider, which specifically includes support during the annual billing process	3	4	12	Regular monitoring and prioritisation of workload to balance post-project tasks alongside more routine operational business. This will make best use of capacity, prioritise resources, ensure delivery of key outcomes and benefits and enable residual risks or pressure points to be escalated to a relevant governance group for decision. Additional resource applied to recover service backlogs, particularly in Benefits service which is a key priority. Liaison with DWP on service performance and close monitoring of performance indicators.	31/12/2021	3	3	9	Director of Corporate & Community Services

C (31/08/2021)	6.20	Supporting the mass vaccination, testing programmes and other key Covid-19 response work streams within East Renfrewshire leads to other key work being delayed or postponed resulting in longer timescales for projects or work not being undertaken and outcomes for residents being reduced.	<p>The Council has determined that support to the Vaccination Programme is the Corporate priority.</p> <p>Both the Mass Vaccination and Asymptomatic testing programmes have a dedicated Lead Officer, supported by Project Leads in dedicated areas (e.g. HR, Property, Procurement). The CRMT and CMT structure is well established to deal with reporting and early escalation of issues, where the need arises and monitors levels of recovery.</p> <p>All Departments maintain Business Continuity Plans, which should identify acceptable levels of staffing/resource to maintain critical services.</p> <p>Regularly review of membership of each work stream, ensuring that it is up to date and reflective of the prevailing circumstances.</p> <p>Regular engagement with partners - particularly NHS Greater Glasgow & Clyde.</p> <p>Regular briefings / updates are provided to the Corporate Management Team (CMT) and Elected Members on the progress of the Mass Vaccination Centres.</p> <p>Key messaging is appropriately shared with the community.</p> <p>Agreement is in place with the NHS on the staffing of Testing programmes across East Renfrewshire, providing longer term stability.</p> <p>Joint working has taken place between HR, East Renfrewshire Culture & Leisure Trust and Voluntary Action East Renfrewshire to identify, train and establish volunteer resourcing to support longer term staffing of Vaccination Centres.</p> <p>Vaccination centres to support seasonal flu and ongoing Covid-19 immunisations will take place at Barrhead Health & Social Care Centre (weekends) and Carmichael Hall.</p> <p>CRMT is regularly capturing Service backlog information - which will regularly be reported to CMT and Members as</p>	4	3	12	<p>Continued engagement with NHS Greater Glasgow & Clyde - particularly to understand vaccination centre requirements beyond 2021.</p> <p>The CRMT will carry out a review of at risk Critical Functions, considering strategies to protect these services ahead of winter 2021/22.</p>	31/12/2021 31/10/2021	4	3	12	Chief Executive
C (31/08/2021)	6.22	Our major works capital programmes face significant pressures as a result of raw material costs, supplier costs, supply chain or contractor difficulties. This will have a detrimental impact on the costs and/or timescales related to the delivery of projects	<p>The Capital Asset Management Group regularly meets, allowing projects to be tracked - with concerns reported and appropriate interventions considered.</p> <p>Members approval would be sought through the budget monitoring reports of any minor changes to the approved plan and that a separate report would be submitted to Cabinet for approval should there be any substantial changes.</p>	3	3	9	<p>Value engineering of current and future projects to remain within budget.</p> <p>Virement from other projects.</p> <p>Rescheduling of projects into future financial years.</p>	31/03/2022 Long Term Consideration Long Term Consideration	3	3	9	Director of Environment
N (02/09/2021)	6.23	High workloads with additional work as a result of the Covid-19 pandemic coupled with business as usual may lead to employees experiencing increased stress and poor wellbeing and also may impact on project delivery resulting in delayed deadlines which could damage the Council's reputation.	<p>Counselling support accessible via manager or self referral is available for all of our officers.</p> <p>An array of corporate wellbeing advice is provided including signposting to different types of support.</p> <p>Promotion of temporary flexible working options and taking annual leave to prevent fatigue.</p> <p>Governance in place via CRMT and project boards for escalation of resource and timescale issues. Appropriate communications developed if wider messaging required.</p> <p>Regular Council reports to update on impact of Covid within the organisation.</p>	3	4	12	<p>Review approach to mental health and understand by benchmarking if there are other supports that could be provided.</p>	31/03/2022	2	4	8	Director of Corporate and Community Services
N (14/9/2021)	6.24	The COVID-19 Pandemic reduces community activity and diverts staff resources away from being able to identify, plan and deliver Participatory Budgeting (PB) opportunities resulting in the Council failing to meet its goal of 1% of spend being via PB.	<p>Participatory Budgeting training being reintroduced to refresh staff awareness and understanding.</p> <p>Regular updates to Corporate Management Team on progress</p>	4	3	12	<p>Cross Departmental working group being established to support progress.</p> <p>Shift focus to 2022/23 opportunities over remainder of 2021/22 to enable sufficient lead-in planning and delivery time in 2022/23.</p>	31/12/2021 31/03/2022	2	3	6	Director of Corporate and Community Services