

EAST RENFREWSHIRE COUNCIL
AUDIT AND SCRUTINY COMMITTEE

29th September 2022

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 7th April 2022.

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 7th April 2022.

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 38 risks of which 8 are evaluated as high and 30 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. 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 (14th September 2022).

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 - High*)
- 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 - High*)
- 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 - High*)
- 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 – High*)
- Interruption to service or total inability to provide ICT services, resulting in impact to Council business, due to the loss of the Barrhead Data Centre and/or other critical infrastructure components due to fire, vandalism, equipment malfunction (including environmental controls). (*Risk 6.7 - High*)
- Our major works capital programmes face significant pressures as a result of raw material costs, supplier costs, supply chain or contractor difficulties as a result of Covid-19, Brexit and the war in Ukraine. This will have a detrimental impact on the costs and/or timescales related to the delivery of projects. (*Risk 6.22 – 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*)

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

- Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards. (*Risk 5.3 - Medium*)
- 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 – Medium*)
- 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- Medium*)

- High workloads with additional work as a result of the Covid-19 pandemic coupled with business as usual may impact on employee absence and poor wellbeing and also may impact on project delivery resulting in delayed deadlines which could damage the Council's reputation. (*Risk 6.23 – Medium*)

11. The following risk was rescored up from **medium to high**:

- Inability to continue to deliver East Renfrewshire Council's preferred (or at least an acceptable) model of 1,140 hours of free early learning and childcare (ELC) which locally addresses the principles of quality, flexibility, accessibility and affordability. (*Risk 1.1 – High*)
 - Increased: Rescored due to increased likelihood. This is linked to the continuing challenges around the documented revenue shortfall for the delivery of the statutory entitlement in the context of the wider savings required.

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

- The handback of PFI/PPP schools from the current management to the Council results in a decline in service due to an inability to successfully manage the transition and ongoing operation of the buildings. Buildings handed back to the Council as per the PFI/PPP agreements are not in an appropriate condition, resulting in additional maintenance costs for the Council. (*Risk 2.12 – Medium*)
- Resettlement of displaced persons from Ukraine and Afghanistan (or any other area) overwhelms the availability of resources in East Renfrewshire, impacting upon already stretched availability for housing, facilities (e.g. school provision, GP access, etc.), Council Services and the Third Sector. (*Risk 6.26 – Medium*)

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

- Continued disruption in schools and potential changes in SQA certification processes in 2021/22 detrimentally impacts upon exam results of young people in the 2021/22 exam diet with a subsequent negative impact on the Council's reputation. (*Risk 2.7*)
 - Removed: The 2021/22 exam session has now been completed. The Department of Education will continue to monitor and liaise with national partners on any changes to the exam diet for session 2022/23.
- 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. Challenges to the programmes may delay our citizens in receiving test results or their vaccinations. (*Risk 2.10*)

- Removed: This risk has been combined with Risk 6.20 to reflect a single vaccination risk.
- 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. *(Risk 2.11)*
 - Removed – This is no longer considered a Covid specific risk and will be monitored as part of the Department of Environment Risk Register.
- As a result of current events (including Brexit) that impact the UK politically & economically - there is a disruption to Council operations and the services we provide, including frontline and support services. A further example is the conflict in Ukraine, which may lead to significant volumes of displaced individuals residing in East Renfrewshire, requiring support and potentially facing complex needs. Additionally, the conflict in Ukraine may lead to disruptions in key supply areas - with Russia and Ukraine making up significant amounts of global exports in wheat and gas, for example. (Risk 6.16)
 - Removed: This risk as it was originally created to reflect the risks identified around Brexit which will continue to be monitored and should further specific risks be identified a new risk will be added to the Strategic Risk Register.

14. No risks 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) on this occasion.

RISK TOLERANCE

15. Map of strategic risks in East Renfrewshire Council

Likelihood	4			2.2; 5.2; 6.7; 6.22; 6.24	
	3			1.3; 2.8; 2.12; 3.2; 3.3; 4.4; 5.1; 6.1; 6.4; 6.12; 6.14; 6.20; 6.26	1:1 2.3; 2.4;
	2			1.2; 1.4; 2.6; 2.9; 2.12; 3.1; 3.3; 6.3; 6.6; 6.18; 6.25	3.5; 3.7; 3.8; 4.1; 4.2; 5.3;
	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	-	3	1	4
2. East Renfrewshire residents are healthy and active and have the skills for learning, life and work	-	4	3	7
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses	-	6	-	6
4. East Renfrewshire residents are safe and live in supportive communities	-	3	-	3
5. Older people and people with long term conditions in East Renfrewshire are valued; their voices are heard and they enjoy full and positive lives	-	2	1	3
6. Our Strategic Outcomes: Customer, Efficiency and People	-	12	3	15
Total Strategic Risks	-	30	8	38

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.

17. A review of the Risk Management Strategy is currently being undertaken and a new Risk Management Strategy 2022 – 2025 will be prepared in due course to ensure that the approach to risk management continues to meet the needs of East Renfrewshire Council.

18. During the discussion on risk management at the Audit and Scrutiny Committee on 7th April 2022, it was suggested by Audit Scotland that consideration was given to including any information on areas of interest or which could, at some point in the future, reach a level which would then result in a risk to the Council and, at that point, be included in the Strategic Risk Register. “Horizon scanning” information is therefore included in this report to provide a high level overview of areas which are currently being considered but have not, as yet, resulted in a risk being added to the Strategic Risk Register.

19. Horizon scanning at present broadly includes the following areas which are being kept under review by the Corporate Management Team, Departments and Services as appropriate. Any risks identified will be added to the appropriate service, operational, departmental or Strategic Risk Register in due course.

- National Care Service Bill
- Housing – possible implications of the Housing Bill
- Energy –
- Welfare – Scottish Child Payment changes
- Education Reform Bill
- Scottish Government intention to introduce a Referendum Bill to hold another plebiscite in October 2023.
- Asylum Dispersal Scheme

FINANCE AND EFFICIENCY

20. 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

21. 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

22. As part of the review of the register 2 new risks was added and 4 risks were removed. There are now 38 risks on the register of which 8 are classified as "high" risk.

23. The risks captured in the Strategic Risk Register continue to be monitored and evaluated by the Corporate Management Team on a regular basis. The Appendix to this report therefore contains the most up to date position at the time of this report (14th September 2022).

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

RECOMMENDATIONS

25. 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.

REPORT AUTHOR

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- 29th September 2022

BACKGROUND PAPERS

- Appendix 1 East Renfrewshire Council Strategic Risk Register_V4.5_Updated
14.09.2022

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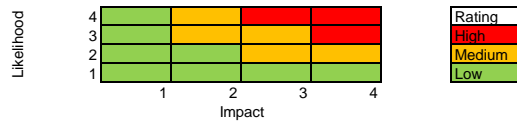
Classification	Official Sensitive
Name	East Renfrewshire Council Strategic Risk Register
Version	V4.6
Date	14/09/2022
Updated by:	Gill Darbyshire, Chief Executive's Business Manager

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
C (13/09/2022)	1.1	Inability to continue to deliver East Renfrewshire Council's preferred (or at least an acceptable) model of 1,140 hours of free early learning and childcare (ELC) which locally addresses the principles of quality, flexibility, accessibility and affordability.	<p>ERC's anticipated annual revenue funding shortfall from the first full year (2021/22) of implementation of 1140 hours 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 helped delay the full financial impact of the funding gap up to and including 2022/23.</p> <p>High quality, flexible accessible childcare available within East Renfrewshire Local Authority settings.</p> <p>Continue to monitor provision and regularly review delivery models based on bi-annual consultation, ensuring efficiency in the use of space and resources, whilst offering choice to families to make LA provision attractive.</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. Use of temporary contracts to ensure flexibility in revenue budget.</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>Introduction of Add-on hours and more flexible models of delivery beyond 1140, enabling families to purchase additional hours where capacity allows.</p>	3	4	12	<p>Following the national funding review (currently underway as of August 2022), assess the impact on ERC's delivery models and report to elected members as appropriate.</p> <p>Review of delivery models and provision following the ELC Consultation to be undertaken throughout September 2022 in advance of the admissions window for session 2023/24.</p> <p>Ongoing review of capacity across communities to ensure sufficient places for families to access 1140.</p>	<p>Subject to outcome of National Review.</p> <p>Nov 2022</p> <p>Nov 2022</p>	2	4	8	Director of Education
C (21/09/2022)	1.2	<p>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> <p>Review of sustainable rate places increased pressure on the budget.</p>	<p>Rigorous scrutiny process to determine partnership status for ERC Funded Providers.</p> <p>Collaborate with West Partnership to utilise Ipsos Mori data and set a fair and transparent sustainable rate (Session 22 / 23).</p> <p>Promote the quality and affordability aspects of all ELC settings with parents and carers.</p> <p>Forecasting of the current demand and cost of children accessing non-LA settings.</p> <p>Continue to implement Funding Follows the Child and the West Partnership Cross Boundary Protocol, allowing parents maximum choice.</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> <p>Review of application process to ensure LA and Funded Provider applications run in parallel, reducing 'double offers' made to families.</p> <p>Introduction of Add-on from August 2022 (where capacity allows) to increase the flexibility available within LA settings.</p>	2	3	6	<p>Review of models of delivery in LA settings through the ELC Consultation exercise to provide greater choice and flexibility, increasing the attractiveness of LA provision (every 2 years).</p>	Nov 2022	1	3	3	Director of Education

C (21/09/2022)	1.3	<p>An increase in the number of requests from parents and carers for children to defer their entry to school, ahead of the required 2023 policy implementation date, leads to insufficient places being available and increased costs to ensure provision can be made.</p>	<p>Implementation of the new ELC Admission Policy (updated November 2020).</p> <p>ELC settings to continue to engage with parents, outlining the progress and achievements of children.</p> <p>Playful pedagogy approach in Early Years of Primary School including high quality remote provision during times of restrictions.</p> <p>Departmental officer sitting on national Scottish Government working group.</p> <p>Deferral mapping system in place to support service planning.</p>	3	2	6	<p>Early notification for parents/carers seeking to defer, to provide sufficient time for planning within ELC settings.</p> <p>Ongoing review of school/nursery admission processes to ensure continued compliance and notification on deferred children.</p> <p>Ongoing review of capacity across communities to ensure sufficient places for families to access additional year of funded ELC.</p>	Dec 2022 Dec 2022 Dec 2022	2	2	4	Director of Education
S (25/8/2020)	1.4	<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.</p> <p>Higher rates of staff absence due to impact of Covid-19 cases and the need for self isolation.</p> <p>Ongoing impact of school closures on attainment of young people.</p>	<p>Legacy guidance in place to support schools as they transition from the pandemic whilst continuing to encourage good practice around hygiene.</p> <p>Links to individual school remote learning plans able to be put in place where required.</p> <p>Introduction of new SEF funding, with ongoing support for schools to continue to address the challenges associated with the disruption caused by Covid.</p> <p>Ongoing support from Educational Psychological Services to support wellbeing amongst pupils including through HealthIER Minds.</p> <p>Robust adherence to pragmatic health and safety measures across all settings to reduce potential risks.</p> <p>Regular review of risk and control measures in places across establishments.</p> <p>Tracking of attendance figures on an ongoing basis by ELT, highlighting areas of concern with QI team for further investigation. Assessment of longer term absence.</p>	2	3	6	<p>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.</p> <p>Wider Scottish Government commitment for significant device provision across schools, with promise of a device and connectivity for every pupil.</p> <p>Development of a support to focus on Emotionally Based School Absence to aid transition back into school.</p>	June 2023 June 2023 Subject to national timescales	1	2	2	Director of Education

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 (28/03/2022)	2.2	Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.	<p>Advanced Practitioner post to improve practice across adult and children services in preparing young people with additional support needs for adulthood.</p> <p>Analysis of demographic changes and increased financial forecasting.</p> <p>Education Resource Group manage specialist resources and admission to specialist provision.</p> <p>Resource Allocation Group (RAG) strengthened membership to include educational psychologist and occupational therapist.</p> <p>Concluded work to review transitions and new strategy developed</p>	4	3	12	<p>Present Transitions Strategy to Children Services Partnership Group for sign off</p> <p>Implement Transitions Strategy - transition team to be developed to lead delivery of strategy - transitions team currently being recruited and transition planning to feature in R&R programme (reviewed Sep)</p> <p>Continued monitoring and Covid support to partly offset increased demand.</p>	<p>30/12/2022</p> <p>30/12/2022</p> <p>Ongoing (review Mar 23)</p>	4	2	8	Chief Officer HSCP
C (17/03/2022)	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.	<p>Regular review of places and demand; and implementation of admission arrangements policy.</p> <p>Current capital plan reflects new build educational estate supplemented as appropriate by developer contributions, according to timescales and extent of provision noted in LDP (1), approved June 2015.</p> <p>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.</p> <p>Revised Pupil Product Ratios (PPRs) for ELC, primary, secondary and ASN (Additional Support Needs) reflecting current build costs published summer 2019 and PPRs refreshed.</p> <p>Continue to review school rolls projections annually and Pupil Product Ratios (PPRs) at least every 2 years.</p>	3	4	12	<p>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.</p> <p>As appropriate education statutory consultation to be undertaken in advance and within required timeframes.</p> <p>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.</p>	<p>Annual update (next due 28/02/2023)</p> <p>In line with relevant timescales</p> <p>In line with relevant timescales</p>	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.	<p>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.</p> <p>Quarterly meetings take place between the Trust and Property and Technical Services to monitor performance.</p> <p>Business Continuity Plans in place for services.</p> <p>SLA in place between ERC & ERCL.</p> <p>Responded to the Main Issues Report and contributed to the new LDP (2) highlighting any impact in terms of the culture and leisure estate.</p> <p>Additional capital maintenance budget agreed for Trust properties in February 2019.</p>	3	4	12	<p>Capital Plan reviewed annually and updated to reflect operational requirements of facilities operated by the Trust. This will be ongoing.</p> <p>Progress new facilities planned for Eastwood Park and Neilston Leisure Centres in line with timescales set out in the Capital Plan.</p> <p>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.</p>	<p>Annual update (next due 23/02/2023)</p> <p>In line with timescales set out in Capital Plan</p> <p>In line with timescales set out in Capital Plan.</p>	2	3	6	Director of Education/Head of Accountancy

C (13/09/2021)	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. Focus on supporting children and young people in to school and the promotion of in school learning. Effective multi-agency planning around the child. HealthIER Minds Service to support pupils and staff. Education Resource Group Inter-agency recovery group A review of specialist supports and services across the Education Department. Emotionally Based School Absence Support package developed including guidance, CLPL and specialist support.	2	3	6	Implementation of the findings of the ASN review. Wider campaign around the promotion of pupil attendance. Scottish Attainment Challenge funding from Scottish Government to support wider efforts across schools.	30/06/2023 30/06/2023 31/12/2022	2	1	2	Director of Education
S (24.08/2022)	2.8	Covid-19 pandemic leads to customer anxiety, affects demand, attendances and revenues, impedes full recovery and results in an increased management fee. Combined with a requirement for rescheduling and reprogramming throughout the year affecting venue availability and high rates of staff absence, the national trend of loss of staff to the sector following lockdown and an inability to recruit, all continue to impact the ability to provide high quality service across all venues.	Council Resilience Management Team oversight of Business Continuity and contingency planning lead on the tactical response to the ongoing pandemic. 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. Trust staff training to identify new products, solutions and operating procedures. Workforce Planning Group established	3	3	9	Close financial modelling and management Local management of opening/closures supported by multi-channel customer communications (website, sms, app, social media)	01/04/2023 In line with Scottish Government guidance	3	2	6	Director of Education
S (24/08/2021)	2.9	Inability to recruit appropriately skilled teacher workforce at all levels, leading to a reduction in service levels and an inability to provide adequate teaching across schools. Inability to recruit head teachers and other senior leaders, leading to an inability to provide education leadership. Lack of appropriately qualified CDOs results in decrease in quality across ELC provision.	Workforce planning strategy approved with improved recruitment and selection procedures. Ongoing work with university partners to ensure upskilling of new teacher workforce at all levels. Succession planning toolkit for managers. Training and support for aspiring leaders to provide a continuum from middle leadership through to HT. Leadership strategy embedded across the department.	2	3	6	Ongoing development of CLPL Revisit the ELC staffing strategies to consider actions required to support potential future expansion.	30/06/2023 31/12/2022	1	2	2	Director of Education
N (13/9/2022)	2.1 2	The handback of PFI/PPP schools from the current management to the Council results in a decline in service due to an inability to successfully manage the transition and ongoing operation of the buildings. Buildings handed back to the Council as per the PFI/PPP agreements are not in an appropriate condition, resulting in additional maintenance costs for the Council.	PPP/PFI handback management group established, comprising of Bellrock SPV and appropriate officers from the Council to direct and monitor actions of operational sub groups: staffing; building condition and maintenance; equipment; legal; and finance.	3	2	6	Ongoing work of oversight group and subgroups to plan effective transition to ensure ongoing services, building condition suitability and financial/legal issues are concluded. Ongoing membership of local government officers group. Membership of oversight group to include representative from SFT.		1	2	2	Director of Education

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
S (21/09/2021)	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 (17/08/2022)	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	Re-profiling of 10 Year Capital Plan should significant variations occur or are likely to occur in a single financial year.	Long Term Consideration	3	2	6	Director of Environment

S (04/03/2022)	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 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>Continued & enhanced Scottish State Aid Local Authority Network communications are taking place in light of UK changes to the State Aid regime (arising from EU Exit), with Environment Department staff engaged.</p> <p>In light of potential UK changes to the State Aid regime, 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 any 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>	31/01/2023 31/01/2023 31/01/2023	2	2	4	Director of Environment
S (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 30/11/2022 To be determined	2	3	6	Director of Environment
S (21/12/2021)	3.8	<p>Lack of Government funding to address climate change leads to East Renfrewshire Council being unable to achieve targets at the same time as maintaining core services with resulting public criticism/reputational damage.</p>	<p>Regular petitioning of Scottish Government via COSLA takes place for adequate funding.</p> <p>The Council works closely with regional partners to ensure sharing of best practice.</p>	2	4	8			2	4	8	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 (12/09/2022)	4.1	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and Multi-Agency Public Protection Arrangements- MAPPA) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.	The operation of Child Protection Committee (CPC), Adult Protection Committee (APC) and MAPPA meetings deal with strategic and practice issues. "Safe Together" model implemented in HSCP. Regular reporting to COPP in place for adult, children and high risk offenders.	2	4	8	Strengthen reporting arrangements around SSSC registrations. (Short-life working group established Mar-22 - progressing action plan) Roll out "Safe Together" across Council	31/12/2022 31/12/2022	1	4	4	Chief Officer HSCP
C (20/12/2021)	4.2	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.	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. 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. 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. 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.	2	4	8	Deliver work plan agreed by Prevent operational group to ensure education and awareness is received by the relevant staff groups.	31/03/2023	1	4	4	Director of Business Operations & Partnerships
S (28/03/2022)	4.4	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	Adult Protection Committee and Child Protection Committee have been sighted on these issues. Final s21 submission made to the Inquiry in July 2020 in relation to the foster care case study. The Inquiry requested further information which was submitted in Jan-22. The Inquiry will begin to take evidence from Jun-22 onwards – it is unclear at this point whether ER will be cited to court Key learning from S21 work shared with managers Identified leads in HSCP working alongside legal services to manage the progress of any allegations/claims made.	3	3	9			3	3	9	Chief Officer HSCP

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
S (28/03/2022)	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 (winter planning) for Health and Social Care with emphasis on managing demographic pressures.</p> <p>Outcome Delivery Plan (ODP) and HSCP strategic plans build on foundation of wider council prevention and early intervention strategy for older people.</p> <p>UCC Delivery Plan approved by IJB in March-22.</p> <p>Concluded redesign work focusing on rehabilitation</p> <p>Annual budget setting takes account of demographic projections.</p> <p>Reviewed front door arrangements to ensure fit for purpose in terms of recovery – new model launched Summer and making significant positive impact on waiting list for assessment</p> <p>Re-started Talking Points as part of Community Led Support programme, diverting people to community resources and building own assets.</p>	3	3	9	<p>Review Talking Points approach as part of winter planning.</p> <p>Monthly reporting to Scottish Government on winter planning funding.</p>	31/10/22 Ongoing Monthly (review Dec-22)	3	2	6	Chief Officer HSCP
C (28/03/2022)	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>We work with providers at risk to agree phased and managed approach to closure if required. Escalation process in place.</p> <p>Work with Scottish Government, Scotland Excel and CoSLA on care home market.</p> <p>Scotland Excel framework provides larger provider base to mitigate risk.</p> <p>Care Home assurance group established May 2020 (meets twice weekly).</p> <p>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> <p>Increased monitoring by Commissioning and Contracts service (reviewed September 2022)</p>	30/09/2022	3	3	9	Chief Officer HSCP
C (28/03/2022)	5.3	Significant pressures and lack of service capacity impacts on service delivery and quality standards. Impact on service users and carers.	<p>Increased resource to support robust absence management.</p> <p>Single base operating for Care at Home</p> <p>Embedded full time Pharmacy resource within the service (Jul-20).</p> <p>Ongoing quality assurance and monitoring activity in place.</p> <p>Significant recruitment progressing</p> <p>Increased OT resource to maximise outcomes and reduce supports required</p> <p>Payment of carried over annual leave made to increase staff availability</p>	2	4	8	<p>Re-mobilise the service redesign activity.</p> <p>Conclude work to realign staff work patters in order to maximise resource</p> <p>Enhance data availability and reporting capability of hospital referrals</p>	30/08/2022 30/08/2022 31/08/2022	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
C (20/09/2022)	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 Digital Transformation 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>	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 2023/24.</p> <p>Avoid all non-essential spend.</p> <p>Investigate new Service Concession flexibility.</p> <p>Consider any additional fiscal flexibilities offered by Scottish Government.</p>	<p>31/10/2022</p> <p>31/12/2022</p> <p>31/03/2023</p> <p>31/12/2022</p> <p>31/12/2022</p>	2	3	6	Head of Accountancy
C (22/03/2022)	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/Senior Manager lead in each department on workforce planning with an active corporate workforce planning group.</p> <p>Review 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>Digital Transformation Programme launched with key programmes on Customer Experience, Business Systems & Processes and Workforce Productivity, supported by Organisational Development (OD) and a shared resourcing model including updated staffing structures.</p> <p>Strategic programme reporting for transformation programmes and investment reporting in place.</p> <p>Workforce plan updated detailing department actions and demonstrating alignment with financial plan.</p> <p>Digital champions in place to support O365 training.</p>	2	3	6	<p>Implement the actions from the Workforce Action Plan and start review of overall plan.</p> <p>Launch new governance for Digital Transformation from 1 April 2022 for delivery across 2022/23.</p>	<p>31/05/2022</p> <p>31/03/2023</p>	2	2	4	Director of Business Operations & Partnerships

<p>C (22/03/2022)</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. New Digital Transformation programme approved as part of Digital Strategy in June 2021, with launch 1 April 2022. Key programmes on Customer Experience, Business Systems & Processes; and Workforce Productivity. New governance in place to oversee progress, capacity, performance and delivery of benefits. Shared resources for digital transformation in plan via mix of revenue and Capital funding and use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts where required. 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 Capital Bids required to demonstrate alignment to 5 capabilities and key outcomes. Consideration of flexible external assistance and skills when change projects require. Greater use of "agile" project methodology to chunk projects into smaller, more manageable iterations, with lower risk. Agile training delivered to Leadership cohort in March 2022. 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>Implement first year of new approach to digital transformation project prioritisation, working with new programme governance to ensure a joint strategic approach to decisions on projects including assessments of benefits realisation, skills and capacity.</p>	<p>31/03/2023</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Director of Business Operations & Partnerships</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 Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies Inability to recognise the value of our information assets may result in lost opportunities to use data to inform decision making, transform services, support increased performance, enhance customer service and promote transparency and information quality assurance</p>	<p>Review of processes and procedures to ensure compliance with the General Data Protection Regulations and the Data Protection Act 2018 completed. Records Management Plan updated in line with Audit review and through ongoing revision. Retention schedule under ongoing review and revision. 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. New guidance has been created and published in respect of Redaction which will ensure that personal data is not inadvertently published. Data Protection Policy has been revised to reflect the role of a dedicated Data Protection Officer (DPO). Service Privacy Notice Template updated and exercise in place to ensure that these are regularly reviewed. Annual Data Protection reporting mechanism to CMT established 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. New breach reporting procedures have been created and are published. 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. 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>Establish a cross departmental group responsible for coordinating the implementation of information governance related statutory duties, organisational policies and progress a work plan to take forward the development and promotion of a positive information governance culture through targeted activities, technical controls, training and communications 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. Assessment of requirements for storage of hard-copy records to be considered.</p>	<p>31/03/2023 31/03/2023</p>	<p>1</p>	<p>3</p>	<p>3</p>	<p>Director of Business Operations & Partnerships Chief Executive</p>

<p>C (20/12/2021)</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>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>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>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 from 31/03/22 to 31/08/22 to reflect delays incurred from email critical incident.</p> <p>Plan and perform regular audited disaster recovery tests and rehearsals. Target updated from 31/03/22 to 31/08/22 to reflect delays incurred from email critical incident.</p> <p>Develop an approach to adding out-of-hours monitoring and response for critical infrastructure to the ICT Service.</p>	<p>30/09/2022</p> <p>30/08/2022</p> <p>30/09/2022</p>	<p>2</p>	<p>2</p>	<p>4</p>	<p>Director of Business Operations & Partnerships</p>
<p>S (15/02/2021)</p>	<p>6.8</p>	<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 access 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>	<p>2</p>	<p>4</p>	<p>8</p>	<p>Monitoring and controls have been reviewed and enhanced across general invoice, Covid-19 and Educational Benefit payment processing. Risk of overreliance on key managerial resource will be mitigated when Hardship Payment Team Leader joins in April 2022 (Temp appointment for 15 months). Given ongoing changing environment, the risk is subject to ongoing review with formal assessment to be undertaken Dec 2022</p> <p>Ongoing challenge to resource processing of Self-Isolation Support Grant in particular where spikes arise in Covid levels. This is being mitigated through support from other teams within ERC and external support.</p>	<p>31/12/2022</p> <p>31/10/2022</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Director of Business Operations and Partnerships</p>
<p>C (21/03/2022)</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 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>3</p>	<p>3</p>	<p>9</p>	<p>Due to heightened tensions as a result of the conflict in Ukraine, the Information Security Officer will liaise with Scottish Local Authority Information Security Group, CISP and other national bodies to ensure the Council defences are updated timeously on receipt of specific threat intelligence.</p>	<p>30/09/2022</p>	<p>3</p>	<p>2</p>	<p>6</p>	<p>Director of Business Operations & Partnerships</p>

<p>C (21/03/2022)</p>	<p>6.14</p>	<p>Failure to achieve anticipated benefits and savings from the Finance/HR/Payroll System would lead services short of capacity and risk service delivery.</p>	<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 set-up improvements to increase robustness of system.</p> <p>Staffing reviewed for transition from Core Systems Programme to new Business Systems & Processes programme for implementation from 1 April 2022.</p> <p>New governance for Business Systems & Processes Programme in place from 1 April 2022, with transitional handover meeting from Core Systems Board on 30/3/22.</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Regular review of ongoing releases and project prioritisation with Business Systems & Processes Board & Corporate Management Team throughout 2022/23.</p>	<p>31/03/2023</p>	<p>2</p>	<p>3</p>	<p>6</p>	<p>Chief Executive</p>
<p>C (08/09/2022)</p>	<p>6.18</p>	<p>The re-emergence, escalation or waves of any emerging human health disease (including the Covid-19 pandemic) result in increased controls and restrictions being implemented within East Renfrewshire.</p> <p>This may impact on provision of services through: staff availability, supply chain issues, increased service demand, financial and service planning upheaval.</p>	<p>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.</p> <p>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.</p> <p>Up to date Contingency Planning arrangements: including Pandemic Guidelines for the Council and HSCP; Business Continuity and Incident Response Procedures.</p> <p>Established links to NHS Public Health and appropriate Multi Agency partners (included through Local and Regional Resilience Partnerships).</p> <p>Lobbying Scottish & UK Government for funding / flexibilities to address the additional financial pressures relating to Covid-19.</p> <p>CRMT meeting schedule has been variable throughout the pandemic - allowing response to developing pictures. Meeting frequency has flexed and enhanced in response to elements of concern, e.g. Omicron Variant..</p>	<p>2</p>	<p>3</p>	<p>6</p>			<p>2</p>	<p>3</p>	<p>6</p>	<p>Chief Executive</p>

<p>C (15/08/2022)</p>	<p>6.20</p>	<p>Supporting the mass vaccination 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>	<p>The Council has determined that support to the Vaccination Programme is the Corporate priority.</p> <p>The Mass Vaccination programmes has 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 the 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 appropriate. This includes if any Critical Functions are at risk - with the CRMT considering and suggesting strategies to protect these services during key periods (e.g. winter weather, new variants, etc.).</p> <p>As Scottish Government restrictions came to an end in March 2022; regular reviews take place on the scale and level of support offered for vaccinations.</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Agreement is in place until January 2023 for use of halls & vaccination buses (Carmichael Hall, Glen Halls and The Foundry for the Bus) - this will continue to be monitored with communication taking place between the Council, Trust, HSCP and NHS on any extensions to this date.</p>	<p>31/01/2023</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Chief Executive</p>
<p>C (29/03/2022)</p>	<p>6.22</p>	<p>Our major works capital programmes face significant pressures as a result of raw material costs, supplier costs, supply chain or contractor difficulties as a result of Covid, Brexit and the war in Ukraine. This will have a detrimental impact on the costs and/or timescales related to the delivery of projects.</p>	<p>EU Exit pressures are highlighted through the Brexit Working Group and shared appropriately.</p> <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> <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>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> <p>Roads keep an adequate stock of cold lay material for urgent/emergency repairs & are placing bitumen orders at as early a juncture as possible.</p>	<p>4</p>	<p>3</p>	<p>12</p>	<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> <p>Re-profiling of 10 Year Capital Plan should significant variations occur or are likely to occur in a single financial year.</p>	<p>All ongoing considerations</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>Director of Environment</p>

C (15/08/2022)	6.23	High workloads with additional work as a result of the Covid-19 pandemic coupled with business as usual may impact on employee absence 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> <p>Review approach to mental health and understand by benchmarking if there are other supports that could be provided.</p> <p>Health & Wellbeing strategy and Action Plan developed to support employee health and wellbeing.</p>	2	4	8		2	4	8	Director of Business Operations and Partnerships	
S (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 Participatory Budgeting.	<p>Participatory Budgeting training and briefings being delivered refresh staff awareness and understanding as required.</p> <p>Regular updates to Corporate Management Team on progress.</p> <p>Support being given to Departments to develop PB proposals.</p> <p>Examples of good practice from other authorities being identified and shared with services.</p>	4	3	12	Develop multi-year PB project pipeline beyond 22/23 to build on current activity, provide sufficient advanced planning time to services and reduce the risk of not meeting the 1% goal in future years.	31/03/2023	2	3	6	Director of Business Operations and Partnerships
C (08/09/2022)	6.25	COVID-19 developments lead to more stringent isolation requirements. This impacts on the number of staff available - which may limit the delivery of key COVID-19 workstreams (Vaccination Centres, Testing, Isolation Support, etc.) and potentially limits our ability to offer key services / service as normal. As well as the risk to normal Council & Trust business at present more stringent isolation requirements may arise through variants of concern, worry about NHS impacts, symptoms caused, etc.	<p>Business continuity plans are in place and regularly updated with a view to identifying critical services and the resources needed to deliver these.</p> <p>CMT and CRMT maintain regular oversight of concerns within Departments, allowing interventions or support to be considered.</p> <p>Regular COVID reporting is provided to Elected Members, identifying issues, backlogs, etc.</p> <p>Internal Volunteer & Critical Function processes can be restarted through the CRMT where required.</p>	2	3	6			2	3	6	Chief Executive
N (25/08/2022)	6.26	Resettlement of displaced persons from Ukraine and Afghanistan (or any other area) overwhelms the availability of resources in East Renfrewshire, impacting upon already stretched availability for housing, facilities (e.g. school provision, GP access, etc.), Council Services and the Third Sector.	<p>Regular engagement on Resettlement with COSLA, the UK and Scottish Governments - this will include highlighting the issues and challenges faced.</p> <p>An East Renfrewshire Resettlement group has been established and can be escalated where there is urgent support or information sharing needs.</p> <p>Available Scottish Government funding has been utilised to enhance available resources - including the recruitment of a further Client Advisor, recruitment of an ESOL tutor.</p>	3	3	9	<p>Exploration of proposals to buy back Council housing and increase Private Sector Leasing to enhance available housing options.</p> <p>As UK & Scottish Government funding models and opportunities are available, explore further ways to improve and enhance on services.</p>	31/08/2023 30/04/2023	3	3	9	Chief Executive & Director of Environment