EAST RENFREWSHIRE COUNCIL

CABINET

24 September 2020

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 Cabinet on 6th June 2019.  This report was due to be considered by Cabinet in May 2020 but was delayed due to the Covid-19 Pandemic.

**RECOMMENDATIONS**

2.      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.

**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 12th March 2020 and was previously considered by the Cabinet on 6th June 2019.

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 33 risks of which 15 are evaluated as high and 18 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.      Given 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 (9th September 2020).

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:**

- Failure to deliver 1,140 hours of free early learning and childcare (ELC) by August 2020. *(Risk 1.1)*
- 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)*

- 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 the demands of the S21 notice. *(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 or significant care concerns. *(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)*

- 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)*

- Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services. *(Risk 6.9)*

- 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)*

- Failure to implement a new Finance/HR/Payroll System within planned timescales leading to the anticipated benefits and savings not being delivered for the Council. *(Risk 6.14)*

- A Brexit with no further agreement between the UK and EU leads to significant disruption to Council operations and the services we provide, including front line and support services. *(Risk 6.16)*

- The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided. *(Risk 6.17)*

- The Re-emergence, escalation or further waves of Covid-19; or the emergence of a new Pandemic Disease – with impact on staff availability, supply chain, increased demands on service; with resultant impact on financial and service planning. Potential for : Panic buying, limiting our ability to purchase.; Government advice / measures leading to isolation / closure of buildings or communities; Significant increase in burials, cremations & associated registrations; need to provide continued support to vulnerable communities as a result of poverty and access challenges *(Risk 6.18)*

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

- 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.  Ongoing impact of school closures on attainment of young people.  Ongoing threat of COVID-19 impacts on the Council's ability to provide early learning and childcare through our nurseries and early years centres and our work with funded providers.  *(Risk 1.4 – medium)*

- Changes in SQA certification processes in 2019/20 and 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 2.6 – medium)*

- Failure to implement a new Council Tax/Benefits ICT system within planned timescales, leading to the anticipated benefits and savings not being delivered for the Council & significantly increased project costs *(Risk 6.19 – high)*

11.    Risk 2.5 "Potential successful judicial review into lawfulness of charging for instrumental music leads to additional budget pressures due to loss of income as well as increased service demand" was **removed** from the Strategic Risk Register and will be monitored though the Education Department Risk Register.

12.    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).

- Failure to deliver 1,140 hours of free early learning and childcare (ELC) ~~by~~ **beyond** August 2020:  Inability to deliver our preferred or at least an acceptable model to locally address the principles of quality, flexibility, accessibility and affordability.

  o  Failure to deliver 1,140 hours of free early learning and childcare (ELC) beyond August 2020: Inability to deliver our preferred or at least an acceptable model to locally address the principles of quality, flexibility, accessibility and affordability. *(Risk 1.1)*

- 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. **Use of ELC funding for wider COVID related expenditure across Education throughout 2020/21 as required by the Scottish Government**

  o  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.  Use of ELC funding for wider COVID related expenditure across Education throughout 2020/21 as required by the Scottish Government. *(Risk 1.3)*

- 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 the demands of the S21 notice and the possibly increased demand of access to records and potential claims against the Council as Inquiry work progresses** *(Risk 4.4)*

  o 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 the demands of the S21 notice and the possibly increased demand of access to records and potential claims against the Council as Inquiry work progresses *(Risk 4.4)*

- The Re-emergence, escalation or further waves of Covid-19 (or **any other** emerging Pandemic Disease) ~~with impact on staff availability, supply chain, increased demands on service, with resultant impact on financial and service planning~~ **result in an increased requirement for testing among employees and residents; as well as the potential for controls and restrictions to be implemented within East Renfrewshire**. **This will impact on employee availability, supply chain, demands on services, financial and service planning.** There is significant potential for: Panic buying, limiting our ability to purchase; Government advice / measures leading to restrictions on Council and community activity – e.g. isolation, closure of buildings / communities, lockdown, etc.  Significant increase in burials, cremations and associated registrations. **Adaptions of services and Council properties to respond to changed demand dynamics in offering support to vulnerable communities. Consideration of suitable premises to support testing, treatment & vaccinations (where applicable).**

  o The re-emergence, escalation or further waves of Covid-19 (or any other emerging pandemic) result in an increased requirement for testing among employees and residents; as well as the potential for controls and restrictions to be implemented within East Renfrewshire.

    This will impact on employee availability, supply chain, demands on services, financial and service planning. There is significant potential for:
      ▪ Panic buying, limiting our ability to purchase;
      ▪ Government advice / measures leading to restrictions on Council and community activity – e.g. isolation, closure of buildings / communities, lockdown, etc.
      ▪ Significant increase in burials, cremations and associated registrations.
      ▪ Adaptions of services and Council properties to respond to changed demand dynamics in offering support to vulnerable communities.
      ▪ Consideration of suitable premises to support testing, treatment & vaccinations (where applicable). *(Risk 6.18)*

**RISK TOLERANCE**

**13.  Map of strategic risks in East Renfrewshire Council**

| Likelihood | | | | | |
|---|---|---|---|---|---|
| | **4** | | | 2.2; 4.4; 5.2; 6.9; 6.10 | 5.1; 6.16; 6.17; 6.18; 6.19 |
| | **3** | | | 1.3; 1.4; 3.2; 6.1; 6.4; 6.8; 6.12 | 1.1; 2.3; 5.3; 6.7; 6.14 |
| | **2** | | | 3.3; 6.3 | 2.4; 2.6; 3.1; 3.5; 3.7; 4.1; 4.2; 6.6; 6.15 |
| | **1** | | | | |
| | | **1** | **2** | **3** | **4** |
| | | **Impact** | | | |

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

| Count of risk | Category | | | |
|---|---|---|---|---|
| **Local outcomes** | **Low GREEN** | **Medium YELLOW** | **High RED** | **Total** |
| 1. All children in East Renfrewshire experience a stable and secure childhood and succeed | - | 2 | 1 | 3 |
| 2. East Renfrewshire residents are healthy and active and have the skills for learning, life and work | - | 2 | 2 | 4 |
| 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 |
| Our Strategic Outcomes: Customer, Efficiency and People | - | 7 | 8 | 15 |
| *Total strategic risks* | - | *18* | *15* | *33* |

**RISK PROGRESS**

14.     The Corporate Management Team has discussed and reviewed the Strategic Risk Register on a regular basis.  A number of updates have been made to reflect the risk Control Measures currently in place and the proposed risk control measures.


**FINANCE AND EFFICIENCY**

15.     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**

16.     The Corporate Management Team, Heads of Service and all Corporate Risk Representatives were invited to provide updates to the Strategic Risk Register. In addition, all operational risk registers were scrutinised and high risks examined to determine if they should be escalated to the Strategic Risk Register. Risks associated with East Renfrewshire Culture and Leisure (ERCL) and the Integrated Joint Board were also considered and escalated to the Council's Strategic Risk Register where appropriate.

**CONCLUSION**

17.     As part of the review of the register, 3 new risk was added, 1 risk was removed and 4 risk descriptions were amended to reflect the current position. There are now 33 risks on the register of which 15 are classified as "high" risk.

18.     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 (9th September 2020).

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


**RECOMMENDATIONS**

20.     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 2020


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Appendix 1     East Renfrewshire Council Strategic Risk Register_V9.1_09.09.2020


**KEY WORDS**

This report provides the Cabinet with the latest annual update of the Council's Strategic Risk Register.

**Strategic Risk Register**

**East Renfrewshire Council**

| | | | |
|---|---|---|---|
| **East Renfrewshire Council's Vision:** "A modern, ambitious council, creating a fairer future with all" | | | |
| Completed by: Corporate Management Team (CMT) & Heads of Service | Date reviewed | 09/09/2020 | |
| | Version | 9.1 | |

**Outcome 1: All children in East Renfrewshire experience a stable and secure childhood and succeed**

| Risk status S/C/N (Same, Changed, New) | Risk No. | Risk (Threat/Opportunity to achievement of business objective) | Risk Control Measures currently in place | Assessment of Risk [As it is now] | | | Proposed Risk Control Measures | Date for completion of Proposed Risk Measure | Assessment of Residual Risk [proposed] | | | Risk Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Risk Score [ L x I ] | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Residual Risk [ L x I ] | |
| **C** (31/08/2020) | 1.1 | **Failure to deliver 1,140 hours of free early learning and childcare (ELC) beyond August 2020:** **Inability to deliver our preferred or at least an acceptable model to locally address the principles of quality, flexibility, accessibility and affordability.** | Following resubmission of financial projections by Local Authorities (LAs) in March 2018, multi year revenue and capital funding announced by (SG)/COSLA (reflecting national population projections). Scottish Government (SG) commitment made to review annually. Report to Education Committee in June 2018 highlighted funding gap due to higher local population projections and detailed options/ impact if additional funding not forthcoming. Recommendation accepted that officers and elected members continue to lobby SG/COSLA. Ongoing lobbying of SG/COSLA pending annual review of funding allocations. Current funding covers period to 2021/22 and discussions have commenced at national level about funding thereafter. Continue to monitor provision and regularly review delivery models based on affordability, preferences of parents and taking account of any changes in policy/ legislation making bids as appropriate for funding. The 8 year capital plan reflects infrastructure requirements. Major new builds at construction stage and currently progressing according to revised programme given impact of COVID-19 pandemic. Continue to support the development and engagement of funded providers, including childminders, to increase ELC places. Implement Early Learning and Childcare Strategy including continuing to work with all providers to ensure quality early learning and childcare. | 3 | 4 | 12 | 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. Continue to consult with parents and families on Early Learning and Childcare and adherence to the principles. Programme monitoring and reporting of infrastructure through to CAMG. | 17/08/2021 Ongoing Ongoing | 2 | 4 | 8 | Director of Education |

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| C (24/08/2020) | 1.3 | **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.** **Use of ELC funding for wider COVID related expenditure across Education througout 2020/21 as required by the Scottish Government** | High quality, flexible accessible childcare available within East Renfrewshire Local Authority settings. Rigorous scrutiny process to determine partnership status for ERC Funded Providers. As new facilities become operational, flexibility and choice is available for parents. Forecasting of the current demand and cost of children accessing non-LA settings. West Partnership cross-boundary protocol developed for August 2020 in response to Funding Follows the Child guidance. | 3 | 3 | 9 | Promote the quality and affordability aspects of all ELC settings with parents and carers. | 30/08/2021 | 1 | 3 | 3 | Director of Education |
| | | | | | | | Revised ELC admissions policy reflecting the enhanced 1140 provision and the allocation of places. | 17/08/2021 | | | | |
| | | | | | | | Implement the WP Cross Boundary Protocol within current financial and space capacity. | 17/08/2021 | | | | |
| N (25/8/2020) | 1.4 | **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.** **Ongoing impact of school closures on attainment of young people.** **Ongoing threat of COVID-19 impacts on the Council's ability to provide early learning and childcare through our nurseries and early years centres and our work with funded providers.** | Local Delivery Phasing Plan and individual school recovery plans in place to ensure continuing provision of education in the event of a localised or widespread lockdown/closure. Test & Protect measures in place across all establishments. Ongoing communication with parents and families as part of the Council's approach. Robust adherence to health and safety measures across all settings to reduce transmission rates. | 3 | 3 | 9 | Ongoing review of local recovery plans and individual school contingency plans to support implementation of blended learning approaches. Additional resources from the Scottish Government to begin to address learning loss, in addition to guidance to Head Teachers from the department. Ongoing support from Educational Psychological Services to support wellbeing amongst pupils. Roll out of additional IT devices to support out of school learning. Use of additional SG resources to tackle learning loss amongst children and young people | ongoing | 3 | 2 | 6 | Director of Education |

| | | | | Assessment of Risk [As it is now] | | | | Date for completion of Proposed Risk Measure | Assessment of Residual Risk [proposed] | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk status S/C/N (Same, Changed, New) | Risk No. | Risk (Threat/Opportunity to achievement of business objective) | Risk Control Measures currently in place | Likelihood (Probability) | Impact (Severity) | Risk Score | Proposed Risk Control Measures | | Likelihood (Probability) | Impact (Severity) | Residual Risk Score | Risk Owner |
| | | | | [ L ] | [ I ] | [ L x I ] | | | [ L ] | [ I ] | [ L x I ] | |
| **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.** | Appointed Advanced Practitioner to improve practice across adult and children services in preparing young people with additional support needs for adulthood. Inclusive Support redesign completed and implemented (April 2019). Analysis of demographic changes. Increased financial forecasting. Children's Services redesign implemented. Education Resource Group to manage specialist resources and admission to specialist provision. Phase 1 Fit for the Future Redesign implemented. Ongoing monitoring of applications and admissions to Isobel Mair School. The Resource Allocation Group (RAG) has strengthened its membership to include an educational psychologist and occupational therapist. | 4 | 3 | 12 | HSCP/Education to meet to look at strengthening transition arrangements — 31/10/2020. Council continues to contribute to funding to demographic cost pressures — Ongoing. | | 4 | 2 | 8 | Chief Officer HSCP |
| **C** (31/08/2020) | 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. 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. | 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. — Annual update (next due 28/02/2021). As appropriate education statutory consultation to be undertaken in advance and within required timeframes. — In line with relevant timescales. Contribution to Proposed LDP2 and associated documentation for the Examination/ Reporter stage — Submitted August 2020. 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. — In line with relevant timescales. Continue to review school rolls projections annually and Pupil Product Ratios (PPRs) at least every 2 years. Initial PPR work undertaken but the update impacted by lockdown/LDP examination stage work. — Annual update (next due 30/10/2020). | | 2 | 4 | 8 | Director of Education |

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

| Ref | No. | Risk | Current Controls | L | I | Score | Planned Actions | Timescale | L | I | Score | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| S (30/08/19) | 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. | 2 | 4 | 8 | Capital Plan reviewed annually and updated to reflect operational requirements of facilities operated by the Trust. This will be ongoing. | Annual update (next due 28/02/2021) | 2 | 3 | 6 | Director of Education/Head of Accountancy |
| | | | Quarterly meetings take place between the Trust and Property and Technical Services to monitor performance. | | | | Progress new facilities planned for Eastwood Park and Neilston Leisure Centres in line with timescales set out in the Capital Plan. | In line with timescales set out in Capital Plan | | | | |
| | | | Business Continuity Plans in place for services. | | | | 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. | In line with relevant timescales | | | | |
| | | | 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. | | | | | | | | | |
| N (25/8/2020) | 2.6 | **Changes in SQA certification processes in 2019/20 and 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** | East Renfrewshire Council contributes to consultation with SQA on assessment arrangements and timing of SQA exams in 2020/21 | 2 | 4 | 8 | ERC contributes through ADES networks to working with the SG and SQA on updated assessment arrangements for future exam diets. | Subject to timescale of SG/SQA review | 2 | 3 | 6 | 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 No. | Risk (Threat/Opportunity to achievement of business objective) | Risk Control Measures currently in place | Assessment of Risk [As it is now] | | | Proposed Risk Control Measures | Date for completion of Proposed Risk Measure | Assessment of Residual Risk [proposed] | | | Risk Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Risk Score [ L x I ] | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Residual Risk [ L x I ] | |
| S (14/04/19) | 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 UK and Scottish Government.** | Collaborative agreement in place between the Clyde Valley partners committing to project delivery and additional GVA. / Rigorous check of all business cases by Programme Management Office (PMO) prior to expenditure approval and project implementation. / Assurance Framework in place, which will be subject of a Cabinet Report in April 2019. / All business cases developed in accordance with green book guidance / Existing and new employees trained in PRINCE2 to ensure effective project management / Regular meeting of the City Deal Governance Group within the Environment Department, led by the Director of Environment to monitor progress and issues relating to City Deal projects | 2 | 4 | 8 | Monitor City Deal projects through use of Microsoft Project. | Currently ongoing with monthly review | 2 | 3 | 6 | **Director of Environment** |
| S (30/08/19) | 3.2 | **Increase in construction inflation costs may negatively impact on the planned capital plan and City Deal GVA.** | Major capital projects have been reviewed for inflationary impact in preparing the 2020/21 to 2029/30 Capital Plan. Reassessment of capital plan to ensure budget can be met. / Prudent budgeting and ongoing monitoring of reserves / Building Cost Information Service (BCIS) is updated annually and the mid construction point is used to inflate projects, and notified to the Finance service. / Close monitoring of capital expenditure/income against budget throughout year | 3 | 3 | 9 | Monitor potential effects of Brexit on construction costs and labour availability. | Currently ongoing with monthly review | 3 | 2 | 6 | **Director of Environment** |

| | | Risk Description | Existing Controls | | | L | I | Rating | Planned Actions | Target Date | | L | I | Rating | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| C (13/08/2020) | 3.3 | **Potential breaches of State Aid compliance leads to lengthy investigations, suspension of works leading to costly delays and financial penalties.** | State Aid reference is made within appropriate Cabinet/Council reports, where relevant. | | | 2 | 3 | 6 | | | | 2 | 3 | 6 | **Director of Environment** |
| | | | An annual State Aid return is submitted to the Scottish Government's State Aid Unit in June of each year. | | | | | | | | | | | | |
| | | | 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. | | | | | | | | | | | | |
| | | | The Scottish Government's State Aid Unit recently delivered a training session to employees from Environment, Legal Services, Finance and Procurement.  A recent email was sent to all Heads of Service asking if new employees required training. Further training can be requested from the Scottish Government State Aid Unit.  Training is carried out every two years, the last event being October 2018. | | | | | | | | | | | | |
| | | | 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. | | | | | | | | | | | | |
| | | | 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. | | | | | | | | | | | | |
| | | | A Council-wide grant aid register and process for addressing State Aid with clear governace/guidelines has been established (February 2020). | | | | | | | | | | | | |
| C (14/01/2020) | 3.5 | **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.** | Full fencing of the site completed November 2019. Warning signs erected around the perimeter. | | | 2 | 4 | 8 | Repair of fence when breached. | Ongoing | | 2 | 2 | 4 | **Director of Environment** |
| | | | Regular inspections undertaken and repair regime maintained and documented. | | | | | | Digitalise process. | 30/11/2020 | | | | | |
| | | | No mitigation factors are presently in place for an internal structural collapse other than protection of the public through restricted access. | | | | | | 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. | Long term project | | | | | |
| S (14/04/19) | 3.7 | **Impact of severe weather (caused by climate change) disrupting the functioning of the Council and its ability to deliver services.** | Business Impact Assessments and Business Continuity Plans consider implications of sudden and severe weather events. | | | 2 | 4 | 8 | Develop a Climate Change Strategy | [to be determined] | | 2 | 3 | 6 | **Director of Environment** |
| | | | 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. | | | | | | Adaptation Strategy being developed at Glasgow City Region level | 30/11/2020 | | | | | |
| | | | Continue to construct and maintain all buildings and infrastructure to the best possible standard to reduce likelihood of structural failure. | | | | | | Implement the Climate Change and Sustainability Strategy | [to be determined] | | | | | |
| | | | Participate in Clyde And Loch Lomond Flood Risk Management Group (CALL) | | | | | | | | | | | | |

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

| Risk status S/C/N (Same, Changed, New) | Risk No. | Risk (Threat/Opportunity to achievement of business objective) | Risk Control Measures currently in place | Assessment of Risk [As it is now] | | | Proposed Risk Control Measures | Date for completion of Proposed Risk Measure | Assessment of Residual Risk [proposed] | | | Risk Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Risk Score [ L x I ] | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Residual Risk [ L x I ] | |
| C (12/08/20) | 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, Adult Protection committees and MAPPA meetings to deal with the strategic and practice issues. | 2 | 4 | 8 | Develop new schedule for performance reporting for adult services. | 31/11/2020 | 1 | 4 | 4 | Chief Officer HSCP |
| | | | Service Manager Adult Support and Protection (ASP) has responsibility for chairing Case Conferences and leading on self evaluation and audit activity. | | | | Review Quality assurance framework for ASP activity annually. | 31/10/2020 | | | | |
| | | | Risk assessment integral part of the assessment process | | | | Engagement with social workers not yet vetted to NPPV status. Increase in vetting coverage for criminal justice has improved but focus engagement consulting with non-vetted Social Workers for NPP | 31/12/2020 | | | | |
| | | | Internim Adult Protection Committee (APC) Chair in place. | | | | | | | | | |
| | | | New Service Manager ASP commenced in post May 2020. | | | | Introduce rolling review of PVGs on 3 yearly basis. Consistent with Care Inspectorate regulations | 31/03/2021 | | | | |
| | | | Council officer and managers forums established | | | | | | | | | |
| | | | Rolling programme of All front line managers provided with refresher training concerning statutory compliance. | | | | Strengthen reporting arrangements around SSSC registrations | 31/03/2021 | | | | |
| | | | Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners. | | | | | | | | | |
| | | | Quarterly external audit of MAPPA cases in place | | | | | | | | | |
| | | | Multi Agency Risk Assessment Conference (MARAC) fully operational (05.03.19) | | | | | | | | | |
| | | | "Safe Together" model implemented. | | | | | | | | | |
| | | | 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. | | | | | | | | | |
| | | | PVG (Protecting Vulnerable Groups) scheme in place | | | | | | | | | |
| | | | Increased communication and intelligence sharing with other statutory bodies implemented during Covid-19 | | | | | | | | | |
| | | | New Head of Recovery and Intensive Services taken on role of professional lead for social work practice within adult services. | | | | | | | | | |
| | | | Data report and outcome report for children's services completed (COPP - May 2020) | | | | | | | | | |

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| C (02/09/12020) | 4.2 | **The establishment of a cross-departmental working group to develop actions to raise awareness amongst Council and Trust+C23ation.** | 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. | | | 2 | 4 | 8 | Continuing to liaise, as appropriate, with key partners to ensure that appropriate interventions are made for any individuals identified as being at higher risk of being drawn into terrorism. | Ongoing | 1 | 4 | 4 | Director of Corporate & Community Services |
| | | | 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 Professional Concern 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. | | | | | | | | | | | |
| C (12/08/2020) | 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 the demands of the S21 notice and the possibly increased demand of 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. | | | 4 | 3 | 12 | Debriefing session to take place for children's managers to identify key learning from this work and any implications for future staff briefings/ training etc. | 30/09/2020 | 4 | 3 | 12 | Chief Officer HSCP |
| | | | Clear process for managing historical cases and protocol in place with Legal Services. | | | | | | | | | | | |
| | | | Work completed to date on S21 notice as far as possible (likely to be further requests from enquiry team) | | | | | | | | | | | |
| | | | Identified leads in HSCP working alongside legal services to manage the progress of any allegations/claims made | | | | | | | | | | | |
| | | | Senior Information and Improvement Officer (within Chief Executive's Business Unit) collaborating with historical archivists. | | | | | | | | | | | |

| | | | | Assessment of Risk [As it is now] | | | | | Assessment of Residual Risk [proposed] | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **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 No.** | **Risk (Threat/Opportunity to achievement of business objective)** | **Risk Control Measures currently in place** | Likelihood (Probability) | Impact (Severity) | Risk Score | **Proposed Risk Control Measures** | **Date for completion of Proposed Risk Measure** | Likelihood (Probability) | Impact (Severity) | Residual Risk | **Risk Owner** |
| | | | | [ L ] | [ I ] | [ L x I ] | | | [ L ] | [ I ] | [ L x I ] | |
| **C** (12/08/2020) | 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.** | Scottish Government -providing additional resources for Health and Social Care with emphasis on managing demographic pressures. | 4 | 4 | 16 | Further rollout of Talking Points as part of Community Led Support programme diverting people to community resources and building own assets. | Ongoing | 4 | 2 | 8 | Chief Officer HSCP |
| | | | Outcome Delivery Plan (ODP) and HSCP strategic plans build on foundation of CHCP and wider council prevention and early intervention strategy for older people. | | | | Continue Council funding for demographic cost pressures | Ongoing | | | | |
| | | | Agile working for HSCP employees improves efficiency. | | | | Conclude redesign work focusing on rehabilitation and frailty pathways | 31/03/2021 | | | | |
| | | | Annual budget setting takes account of demographic projections. | | | | Unscheduled Care Action Group to take forward agreed unscheduled care commissioning programme of activity - Financial Framework to be agreed. | Ongoing | | | | |
| | | | 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. | | | | | | | | | |
| | | | Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people. | | | | | | | | | |
| **C** (12/08/2020) | 5.2 | **Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability 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** | Work with the Care Inspectorate to ensure robust action plans for improvement are in place. | 4 | 3 | 12 | Implement learning from independent review of recent provider failure. | 31/10/2020 | 3 | 3 | 9 | Chief Officer HSCP |
| | | | Work with Scottish Government, Scotland Excel and CoSLA on care home market | | | | | | | | | |
| | | | Consideration of balance of market share across external market providers | | | | Work with providers at risk to agree phased and managed approach to closure if required. | Ongoing | | | | |
| | | | Independent learning review conlcuded - Action plan developed following recommendations and plan to disseminate learning agreed | | | | | | | | | |
| | | | Company Credit Health Checks undertaken. | | | | | | | | | |

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| C (12/08/20) | 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. Reputational risk to HSCP and Council. Risk of enforcement action should we fail to meet the Care Inspectorate requirements.** | Ongoing transfer of some packages to external providers to ensure capacity<br><br>Increased resource to support robust absence management.<br><br>Recruitment campaign complete - additional care at home staff recruited.<br>Medication policy in place<br>Medication management training embedded in rolling training programme<br>Oversight Board chaired by Chief Executive established.<br>Improvement Task Force overseeing phase 2 of improvement activity re-established<br>Regular updates being provided to CI<br>Performance management of reviewing activity in place through weekly reporting<br>Co-location during Covid-19 to Care at Home Hub has had Positive impact on relationships and performance<br>Embedded full time Pharmacy resource within the service (Jul-20)<br>New permanent Registered Manager appointed and in post. | 3 | 4 | 12 | Increase level of quality assurance. | 01/09/2020 | 2 | 3 | 6 | Chief Officer HSCP |
| | | | | | | | Roll out medication management training to remaining staff | 31/11/2020 | | | | |
| | | | | | | | Arrangements for singular base for Care at Home to be agreed (and allow for resolution of longstanding telecommunication issues for the service) | 31/10/2020 | | | | |
| | | | | | | | Re-mobilise the service redesign activity | 31/10/2020 | | | | |

| Our Strategic Outcomes: Customer, Efficiency and People | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk status S/C/N (Same, Changed, New) | Risk No. | Risk (Threat/Opportunity to achievement of business objective) | Risk Control Measures currently in place | Assessment of Risk [As it is now] | | | Proposed Risk Control Measures | Date for completion of Proposed Risk Measure | Assessment of Residual Risk [proposed] | | | Risk Owner |
| | | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Risk Score [ L x I ] | | | Likelihood (Probability) [ L ] | Impact (Severity) [ I ] | Residual Risk [ L x I ] | |
| C (16/03/20) | 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. | Budget strategy group; Corporate ownership; Treasury management strategy; "Ongoing monitoring of Council reserves"; 3 Year budget arrangements; Change to financial planning timetable to allow earlier budget deliberations and a realignment of budget with council outcomes. Close monitoring of expenditure/income against budget throughout year. Prioritisation of Modern Ambitious Programme and continual review of projects to ensure effective progress and business cases. Budget aligns with conditions set out in Scottish Government settlement letter. Updated settlement figures received from Scottish Government. Long term budget and scenario planning. Outline Financial Plan, reserves and Council Tax level reviewed annually by Council. | 3 | 3 | 9 | Achievement of annual targets and outcomes outlined in Modern Ambitious Programme. Considering education resources in context of school empowerment: carry forward limit agreed July 2020. Potential for additional funding to come from finalisation of Scottish and UK Government 2020/21 budgets in March 2020. CMT to report to Council April/May 2020 once final settlement figures confirmed with proposals for additional funding. Review reserves and consider options for future years' utilisation/ reclassification to assist in meeting budget pressures if required. | Annually (31/08/20) / 31/12/2020 | 2 | 3 | 6 | Head of Accountancy |
| C (23/06/2020) | 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. | Leadership Competencies (which are linked to PRD) and the Leaders of the Future Development Programme. Head of Service lead in each department on workforce planning with an active corporate workforce planning group. Use of organisational and financial business case when considering redundancies/ early retirals. Workforce planning strategy approved with improved recruitment and selection procedures. Succession planning toolkit available for managers. Actively support COSLA working groups to benchmark best practices in workforce planning. Modern Ambitious Programme (MAP) ongoing with core programmes on Digital and Core Systems supported by Strategic programme reporting fro MAP Phase 1 complete. Workforce plan updated detailing department actions and demonstrating alignment with financial plan. Develop Strategic programme reporting Phase 2 - investment | 2 | 3 | 6 | Implement the actions from the Workforce Planning Action Plan. Review MAP programme & projects to ensure that 2020/21 focus of work is in line with budget guidance re: essential-only spend | 31/03/2022 / 31/10/2020 | 2 | 2 | 4 | Director of Corporate & Community Services |

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| C (23/06/2020) | 6.4 | The drive to deliver our ambitious change programme has an adverse impact on our employees as they strive to balance a relentless pace and scale of change with day to day responsibilities, leading to slower delivery of benefits and/or lower performance as services go through change. | Modern Ambitious Programme with core workstreams on Organisational Development, Digital, Data and Modernising in place since 2015. Core Systems Programme live since 2017. Each department has its own change programme and governing board to oversee progress, capacity, performance and delivery of benefits. Programmes also in place for Digital and Core Systems. | 3 | 3 | 9 | 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. | 30/11/2020 | 2 | 3 | 6 | Director of Corporate & Community Services |

The remaining control measures listed in the fourth column (with no corresponding values in the final columns):

- Use of Modernisation Fund to ensure projects are adequately resourced, including use of additional employees on temporary contracts.
- 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.
- Review of Council's values with the OD Board, to support delivery of change.
- Use of resource planning tools and project prioritisation model to determine impact of new and ongoing projects especially for key corporate resources (e.g. ICT, HR, PMO, Accountancy) with CMT oversight through MAP Board
- Development of Programme management reporting in line with recommendations from Best Value Audit.

| | | | Controls | Likelihood | Impact | Score | Actions | Date | Likelihood | Impact | Score | Owner |
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| C (23/06/2020) | 6.6 | **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**<br><br>**Failure to incorporate information governance elements through a privacy by design approach into procurement, project management, process and technologies**<br><br>**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** | Review of processes and procedures to ensure compliance with the General Data Protection Regulations and the Data Protection Act 2018 completed.<br><br>Review of current contracts and sharing agreements completed.<br><br>New procedures in relation to Subject Access Requests (SAR) introduced.<br><br>Records Management Plan updated in line with Audit review and through ongoing revision.<br><br>Retention schedule under ongoing review and revision.<br><br>Data Protection Officer started April 2019. | 2 | 4 | 8 | Consider review or resubmission of Records Management Plan — 31/12/2020<br><br>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. — 30/03/2021<br><br>Data Protection Impact Assessment (DPIA) Framework is currently being reviewed and new guidance and templates to be published and supported by training. — 31/12/2020<br><br>Assessment of requirements for storage of hard-copy records to be considered — 31/12/2020<br><br>Review of breach reporting. — 31/12/2020 | 1 | 3 | 3 | Chief Executive<br><br>Director of Corporate & Community Services<br><br>Director of Corporate & Community Services<br><br>Chief Executive<br><br>Director of Corporate & Community Services |

| | | | | | | | Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery. Target updated to reflect COVID impact to timeline. | 31/03/2021 | | | | |
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| Ref | | | Controls | | | | Actions | Target Date | | | | Owner |
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| C (02/09/2020) | 6.7 | 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). | 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. | 4 | 3 | 12 | Undertake Critical Impact Assessments across all ICT delivered services to define priority for availability/recovery. Target updated to reflect COVID impact to timeline. | 31/03/2021 | 2 | 2 | 4 | Director of Corporate & Community Services |
| | | | Ensure that the Council reviews Business Continuity Plans at least annually. | | | | Plan and perform regular audited disaster recovery tests and rehearsals. Target updated to reflect COVID impact to timeline. | 31/03/2021 | | | | |
| | | | Ensure that equipment is regularly maintained and replaced as required. | | | | Identify costs and capabilities to implement generator backup options and secure further capability for the Barrhead Data Centre to improve power and service resilience. Seek agreement and approval for resources and appropriate options. Target updated to reflect COVID impact to timeline. | 31/12/2020 | | | | |
| | | | Ensure supplier(s) contracts support recovery activities. | | | | | | | | | |
| | | | Undertake independent review of core infrastructure design and architecture to gain validation and assurance of both security and operational capability. | | | | | | | | | |
| | | | Improve monitoring and alerting of hardware and environmental systems to provide a proactive response. | | | | | | | | | |
| | | | Cyber insurance taken out in 2018 to provide an element of cover in the event of such an outage. | | | | Review and implement fixes for issues identified with basic network service resilience following incidents of summer 2019. Target updated to reflect COVID impact to timeline. | 31/11/2020 | | | | |
| | | | 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. | | | | | | | | | |
| | | | 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. | | | | | | | | | |
| | | | 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. | | | | | | | | | |
| | | | 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. | | | | | | | | | |
| | | | Security standards are reviewed and revised using a risk management approach. | | | | | | | | | |
| | | | The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts. | | | | | | | | | |
| | | | Ensure the security architecture follows layered approach as defined by best practice. | | | | | | | | | |
| | | | Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation. | | | | | | | | | |
| | | | Information Security Schedule included within all procurement exercises establishing minimum security requirements supported by operational Data Sharing and Processing Agreements. | | | | | | | | | |

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| | | | 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. | | | <span style="color:red">■</span> | | | | | | <span style="color:green">■</span> |
| | | | Review infrastructure architecture to provide assurance of levels of resilience. | | | | | | | | | |
| C (23/06/2020) | 6.8 | **Failure to pay invoices within a specified timeframe (Local Government Benchmarking Framework indicator) or failure to pay invoices 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; and possibly, in the extreme, legal action.** | Centralisation of invoice delivery to Creditors implemented January 2017. | 3 | 3 | **9** | Establish Purchase to Pay Steering Group" of senior officers to ensure focus on continuous improvement, development & links to Core Systems | 31/10/2020 | 2 | 3 | **6** | Director of Corporate & Community Services |
| | | | Good progress on delivery against Internal Audit recommendations. | | | | | | | | | |
| | | | Regular governance meetings of Purchase to Pay process, chaired by the Senior Management. Daily tasking/production line meetings held with Creditors team. | | | | | | | | | |
| | | | Monthly performance figures produced for Corporate Management Team. | | | | | | | | | |
| | | | New Induction pack including procedures developed January 2020 | | | | | | | | | |
| | | | Regular sessions with departmental representatives to address progress. Progress reports to Audit and Scrutiny Committee in January and August 2017 and March 2018. | | | | | | | | | |
| | | | Compliance Officer recruited to focus on procedures, training, audit sampling and financial compliance. | | | | | | | | | |
| | | | Use of AP Forensics system to identify potential duplicate payments prior to each payment run. | | | | | | | | | |
| | | | All invoices over £20k subject to a double-check by senior employees prior to payment. Accountants included in this check. Checklist developed with Internal Audit. | | | | | | | | | |
| | | | Percentage sample of all payments under £20k checked prior to each payment. | | | | | | | | | |
| | | | Use of finance networks to share information on potential frauds. | | | | | | | | | |
| | | | Continue to implement all audit actions timeously. | | | | | | | | | |
| | | | Continue to focus on financial compliance and control with development of regular management reporting on accuracy, processing rates and performance. | | | | | | | | | |
| | | | Participate in Core Systems Programme to replace the Council's finance system in 2019. | | | | | | | | | |

| Risk (Type/Date) | Ref | Risk Description | Controls / Mitigations | L | I | Score | Action | Target Date | L | I | Score | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| C (16/03/20) | 6.9 | **Brexit leads to economic uncertainty and detrimental impact on the Council budget, operations and services.** | 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.<br><br>Corporate Management Team consider possible implications of Brexit for services and take action as appropriate.<br><br>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. | 4 | 3 | 12 | Continue to monitor national position during 2020. Revise future budget plans if required, taking account of financial scenarios outlined in Financial Plans to Council in February 2020. | 29/02/2021 | 4 | 3 | 12 | Head of Accountancy |
| S (05/04/19) | 6.10 | **Impact of Living Wage on the council salary scales with continuing pressure on the lower grades of the scale. Not maintaining differentials between grades.** | Supplement currently paid on Grade 1,2 and 3. COSLA paper has been prepared to share with Elected Members on the impact of living wage | 4 | 3 | 12 | Consolidation of the Scottish Local Government Living Wage was agreed as part of the implementation of the 2018-21 pay award. | 31/03/2021 | 4 | 2 | 8 | Director of Corporate & Community Services<br><br>Director of Education<br><br>Chief Officer HSCP |
| C (02/09/2020) | 6.12 | **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.** | 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.<br><br>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.<br><br>Security standards are reviewed and revised using a risk management approach.<br><br>The Council is a member of several Information / Cyber Security groups to monitor emerging threats and risk and share security alerts.<br><br>Ensure the security architecture follows layered approach as defined by best practice.<br><br>Adopt and implement Scottish Government Cyber Resilience Action Plan which will result in Cyber Essentials Plus Accreditation.<br><br>Information Security Schedule included within all procurement exercises establishing minimum security requirements supported by operational Data Sharing and Processing Agreements.<br><br>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.<br><br>Undertake regular rehearsal of Cyber Incident Response process across ICT. First event planned and calendar being developed. | 3 | 3 | 9 | Enforce and report on mandatory information security training ensuring that managers are provided with reports of non-compliance. Package being developed | 31/12/2020 | 3 | 2 | 6 | Director of Corporate & Community Services |

| Ref | No. | Risk | Controls | L | I | Score | Further Action | Target Date | L | I | Score | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | 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. Contract now awarded, implementation over coming months. | | | | | | | | | |
| C (02/09/2020) | 6.14 | **Failure to implement a new Finance/HR/Payroll System within planned timescales leading to the anticipated benefits and savings not being delivered for the Council.** | Strong and robust Core Systems Programme and associated Project governance and risk and issues registers backed by appropriate level of resources. | 3 | 4 | 12 | Detailed testing of all workstreams including technology and unique services | 31/03/2021 | 2 | 4 | 8 | Chief Executive |
| | | | At least monthly meetings of the Core Systems Programme Board where Programme level risks and issues are discussed. | | | | Comprehensive training of employees in the new system to support implementation. | 31/03/2021 | | | | |
| | | | Core Systems Programme Team using lessons learned from other public sector organisations who have implemented an integrated core corporate system. | | | | Review staffing, structure and temporary funding for Core Systems team. Current team contracts end March 2021. This will need to be extended to December 2021 or March 2022 to ensure appropriate skills are retained. | 31/03/2021 | | | | |
| | | | Regular engagement with a wide range of stakeholders across the Programme and Projects. | | | | | | | | | |
| | | | 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. | | | | | | | | | |
| | | | Identification and recruitment of employees with key skills and expertise to form the appropriate Programme Team and associated Project Teams in place. | | | | | | | | | |
| | | | Business readiness reviews in place prior to "go live" for all workstreams and Departments. | | | | | | | | | |
| | | | Phase 1 Finance system successfully implemented August 2019 | | | | | | | | | |
| C (29/06/20) | 6.15 | **Failure to ensure adequate insurance cover is in place (which cover includes Cyber, Employer, Engineering, Motor, Property, Public Liability & Travel) which could result in the Council incurring financial loss and reputational damage.** | 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. | 2 | 4 | 8 | Increased level of engagement with ERC Insurers on the Insurance arrangements in place, with guidance where appropriate also being shared with Internal Departments. | 31/03/2021 | 2 | 3 | 6 | Director of Corporate and Community Services |
| | | | When reviewing content of the Strategic Risk Register, departments are now advised to consider potential insurance implications of risks and take advice. | | | | | | | | | |
| | | | Quarterly meeting held with Insurance Providers to review Insurance arrangements (split between Renewals and Broker). This includes pricing and cover. | | | | | | | | | |
| | | | Quarterly communication issued to department contacts to remind any changes which may impact upon Insurance Cover arrangements must be notified to Revenues. | | | | | | | | | |
| | | | Revenues Operations Manager and Insurance Officer review of both claims experience and wider environment which may impact upon level and type of cover | | | | | | | | | |
| | | | A review of the current insurance premium payment process has been undertaken and any opportunities for enhancement implemented. | | | | | | | | | |
| | | | A review the Strategic Risk Register to ensure that adequate consideration has been given to insurance implications of existing risks has been undertaken. | | | | | | | | | |

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| C (27/08/2020) | 6.16 | A Brexit with no further agreement between the UK and EU leads to significant disruption to Council operations and the services we provide, including front line and support services. | Arrangements are in place for current EU nationals to apply for settled status, allowing them to continue to work in the UK after EU withdrawal. | 4 | 4 | 16 | Additional activity to increase awareness of EU Settlement Scheme. Work to target community groups & review language needs of available materis to commence following the publication of quarterly Home Office stats on 27 August 2020. | 30/06/2021 | 4 | 2 | 8 | Director of Corporate & Community Services |
| | | | Cross Departmental Working Group establish to ensure co-ordinated approach to all aspects of Brexit work. | | | | Brexit Working Group and Brexit Co-ordinator reconvened in July (following suspension of formal meetings during Covid Response / Recovery in March 2020) to regularly review the situation ensuring risk register and actions undertaken are appropriate. | 31/01/2021 | | | | |
| | | | Crisis Resilience Management Team (CRMT) liaising with National Organisations as appropriate and leading work to minimise potential disruption and ensure a smooth exit in all scenarios. | | | | | | | | | |
| | | | Service specific mitigation in place where identified as appropriate. | | | | Refresh and implement agreed call, meeting and reporting cycles and responsibilities through EU-Exit date until agreed date post EU-Exit date. | 30/12/2020 | | | | |
| | | | Brexit Co-ordinator in post to lead Brexit activity across the Council including chairing the Brexit Working Group. | | | | | | | | | |
| S (16/01/2020) | 6.17 | The UK significantly diverges from existing EU legal and regulatory provisions, leading to significant disruption to Council operations and services provided. | 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. | 4 | 4 | 16 | Monitoring of negotiations, identifying any significant known changes to enable relevant departments to consider training and updating of procedures where required. | 31/11/2020 | 4 | 3 | 12 | Director of Corporate & Community Services |
| | | | Specific services maintain up to date policies and procedures; reflective of their duties and obligations. | | | | | | | | | |
| | | | Officers are appropriately trained to carry out their duties. | | | | | | | | | |

| Ref | No. | Risk | Controls | L | I | Rating | Actions | Timescale | L | I | Rating | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| C (09/09/2020) | 6.18 | The re-emergence, escalation or further waves of Covid-19 (or any other emerging pandemic) result in an increased requirement for testing among employees and residents; as well as the potential for controls and restrictions to be implemented within East Renfrewshire.<br><br>This will impact on employee availability, supply chain, demands on services, financial and service planning. There is significant potential for:<br>- Panic buying, limiting our ability to purchase;<br><br>- Government advice / measures leading to restrictions on Council and community activity – e.g. isolation, closure of buildings / communities, lockdown, etc.<br><br>- Significant increase in burials, cremations & associated registrations.<br><br>- Adaptions of services and Council properties to respond to changed demand dynamics in offering support to vulnerable communities.<br><br>- Consideration of suitable premises to support testing, treatment & vaccinations (where applicable). | Council Resilience Management Team oversight of Business Continuity & contingency planning and would lead on the tactical response to any pandemic.<br><br>Bespoke Council Resilience Management Team Sub Groups have been established during the response for Covid-19 and can be utilised for further waves / pandemics. Groups have been in place for: PPE, Critical Functions, Recovery, Additional Deaths, Humanitarian Support.<br><br>Up to date Mass Fatalities Guidance completed<br><br>Up to date Pandemic Guidelines for the Council & for the HSCP completed<br><br>Established links to NHS Public Health & Multi Agency Working<br><br>Established links to Regional Resilience Partnerships<br><br>Regularly updated Guidance of managers and communications with employees<br><br>Implementation of Local Delivery Phasing Plan to ensure continued provision of education through a blended learning approach.<br><br>Support additional deaths facility as part of Greater Glasgow & Clyde Health Board (GG&CHB) inititaive | 4 | 4 | 16 | Monitor up to date Government guidance — ongoing<br><br>Continued monitoring of needs for dedicated working & of membership of any sub groups — Ongoing through pandemic response & recovery<br><br>Regular updating of documentation based on lessons learned & organisational changes — Ongoing<br><br>Ensure consistent staff messaging — ongoing<br><br>Sharing of key Health / Government advice to the public — ongoing<br><br>Regular updating of risk assessments — ongoing<br><br>Capturing of any lessons learned in debriefing — 31/03/2021<br><br>Continue to lobby Scottish and UK Governments for funding/fiscal flexibility to address the additional financial pressures relating to COVID-19 — ongoing<br><br>Regular annual updates of Business Continuity Planning, supported by reviewing of formats and training / exercising — 31/03/2021<br><br>Ongoing review of LDPP and individual school contingency plans as part of wider education recovery approach. — Ongoing | | 4 | 3 | 12 | Chief Executive |
| N (21/07/2020) C (25/08/2020) | 6.19 | Failure to implement a new Council Tax/Benefits ICT system within planned timescales, leading to the anticipated benefits and savings not being delivered for the Council & significantly increased project costs | Strong and robust project governance and risk and issues registers backed by appropriate level of resources.<br><br>At least monthly meetings of the departmental change board risks and issues are discussed.<br><br>Project team using lessons learned from other public sector organisations who have implemented similar systems.<br><br>Working closely with ICT to manage and resolve issues<br><br>Identification and recruitment of employees with key skills and expertise to form the Project Teams.<br><br>Business readiness reviews in place prior to "go live" for all workstreams | 4 | 4 | 16 | Continual review of project plan seeking scope for parallel phases due to tightness of timescales as a result of COVID-19 and ICT challenges. — 30/09/2020<br><br>Funding bid being developed for additional project resource to mitigate risks of compliance and financial control arising from lack of accountancy skills on the project. — 30/09/2020<br><br>Working closely with ICT & system suppliers to resolve issues of remote access difficulties which are at risk of compromising training and implementation timelines — 30/09/2020<br><br>ICT to develop a supplementary test environment to build further resilience in system back-up arrangements — 30/09/2020 | | 3 | 3 | 9 | Director of Corporate & Community Services |

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