

EAST RENFREWSHIRE COUNCIL

CABINET

Thursday 26 March 2015

Report by Chief Executive

REVIEW OF THE STRATEGIC RISK REGISTER

**PURPOSE OF REPORT**

1. This report provides the Cabinet with the latest annual update of the Council's strategic risk register.

**RECOMMENDATIONS**

2. It is recommended that the Cabinet consider and approve the updated strategic risk register.

**BACKGROUND**

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

4. As well as additions to the strategic risk register, several risks have been amended to include additional control measures and the risks have been rescored for significance. Risks identified by Audit Scotland in the Assurance and Improvement plan (reported to Cabinet on 19 June 2014) have also been incorporated into the strategic risk register.

**REPORT**

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

- Reduced government funding.
- Increase in older people leading to an over demand on certain council services.
- Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in CHCP services.
- Economic difficulties and welfare reform leading to increased poverty.
- Reduced capital investment arising from economic downturn.
- Ensuring sufficient catchment places for East Renfrewshire children and young people in light of new residential developments- in particular the Local Development Plan.
- New legislative rulings on the calculation of holiday pay for employees to include all pay elements leads to back pay claims.

6. The following risks **were added** to the register

- Predicted overspend in CHCP budget (2014/15) due to underlying pressures associated with an ageing population, increasing numbers of people with additional support needs and looked after children. (high)
- If grant conditions on teacher target numbers are not met in 2015/16, the Council would lose a significant amount of General Revenue funding.(high)
- Failure to complete the current disclosure arrangements (Protecting Vulnerable Groups Scheme) PVG retrospective checks by October 2015 resulting in council employees unable to carry out regulated work.(medium)
- Failure to deliver Culture and Leisure Trust (CLT) from July 2015 resulting in additional requirement for savings.(medium)
- Once established, the Culture and Leisure Trust fails to deliver East Renfrewshire Council's statutory requirements and other outcomes leading to financial and reputational risks.(medium)
- Recent increases in acts of violence and intimidation, directed at some religious groups abroad, migrate to the Council area. (medium)

7. The following risks **increased from medium to high**

- Equality and Human Rights Commission (EHRC) intention to legally challenge kinship care allowance rates paid by local authorities may lead to significant financial liability for the Council.
- Lack of appropriately skilled workforce due to the combination of redundancy/early retirement leads to a reduction in service levels.

8. The following risks **reduced in risk**

- Inability to deliver sufficient pre 5 places which is compounded by the flexibility element associated with the increase to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Act or further changes in entitlement.
- Failure to deliver a Local Development Plan which complies with the SDP exposes the Council to a risk that, during Examination, the Reporter will identify additional/alternative sites for residential development.

9. The following risks **were removed** from the register as they were no longer considered risks at this stage

- Inability to implement the new commitment by the Scottish Government to provide free school meals for all P1-P3 pupils by January 2015 (Children & Young People Act) due to lack of capacity and/or requisite capital resources.
- Delay in securing a site for the new Barrhead High School leads to increased costs and public dissatisfaction.

10. **Control measures which have been implemented** include:

- The Examination Report for the Local Development Plan was received by the Scottish Government Reporters on 22/1/2015. The Reporters accepted the Council's proposed development strategy and accepted the Council's approach to both private and affordable housing supply and the Reporters did not identify significant additional sites.

- Investigated feasibility of potential transfer of the management of Culture and Leisure services to a charitable organisation. Decision to proceed taken at full Council meeting on 17 December 2014. Employee forum established to ensure coverage of all issues across services.
- Capital Plan includes provision for Auchenback Family Centre and Community Hub.
- Opening of Barrhead Foundry.
- Education statutory consultation complete and Education committee approval granted (05/02/15) to establish a faith schools' joint campus from session 2017/18.
- Current capital plan includes provision for some additional pre 5 capacity (Busby/Clarkston) with limited flexibility for parents from August 2015 onwards. Statutory consultation now complete.
- Draft scheme for Integrated Joint Board (Heath and Social Care Partnership) produced for consultation.
- Extra resource has been provided to support the current disclosure arrangements (Protecting Vulnerable Groups Scheme) PVG retrospective checks by October 2015.
- The Tender process for the Clyde Valley long term residual waste treatment process has entered the final stage of competitive dialogue, with 3 bidders remaining. Participating Councils remain as East Renfrewshire Council, East Dunbartonshire Council, North Lanarkshire Council, North Ayrshire Council and Renfrewshire Council.
- Social media policy and employee guidelines produced and advertised (January 2015).

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

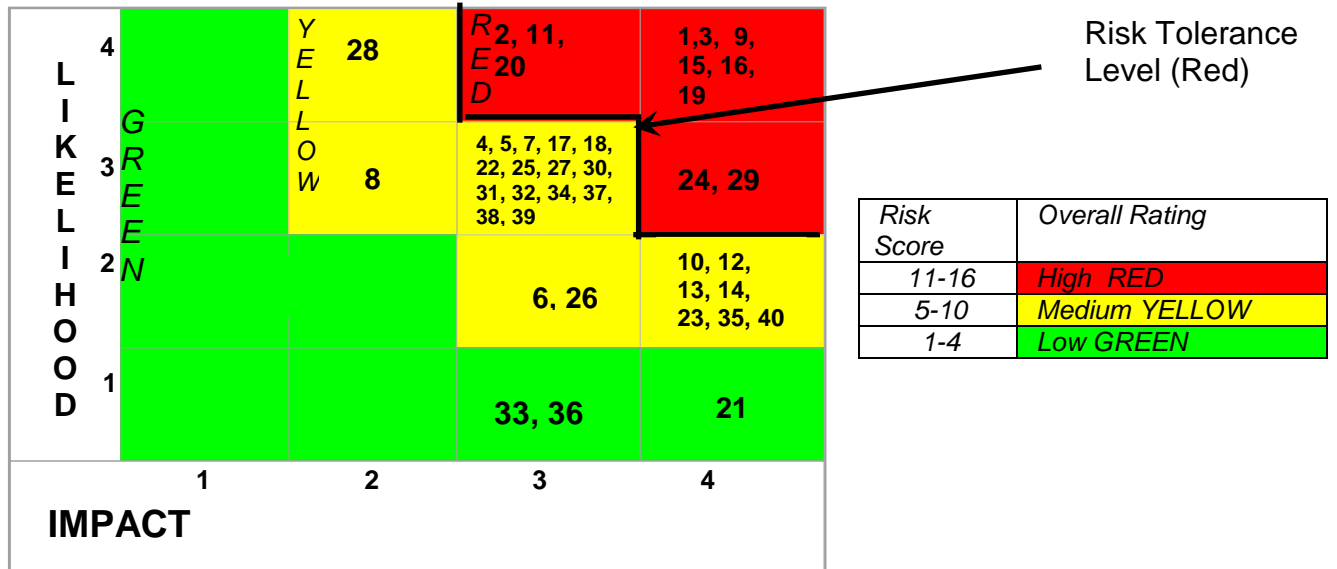
- The Examination Report for the Local Development Plan will be reported to Council in March 2015 and if approved, the Council will move to adopt the Plan.
- Current capital plan also includes provision for non denominational nursery from re-modelling accommodation at St Cadoc's PS - subject to education statutory consultation.
- SLAs being developed to capture service support that the Trust will receive from East Renfrewshire Council.
- Further implementation of service redesigns e.g. rent collection service to transfer to Housing, money advice services to transfer to Customer First and payroll services to transfer to HR.
- Departments are being asked to take on more of the responsibility for the current disclosure arrangements (Protecting Vulnerable Groups Scheme) PVG retrospective checking process.
- Development of the corporate retention schedule and records management plan compliant with the Scottish Records Act.

## **RISK TOLERANCE AND LINKS TO THE SINGLE OUTCOME AGREEMENT**

12. There are 40 risks on the strategic risk register, of which 11 are evaluated as high, 26 medium and 3 low risk. There were 6 new risks added to the register and 2 risks removed. The level of risk (amount of high risk) remains similar to the previous update.

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

### Map of strategic risks in East Renfrewshire Council (risk nos. from 1-40)



Count of risk	Category			
	Low GREEN	Medium YELLOW	High RED	Total
Local outcomes				
1. All children in East Renfrewshire experience a stable and secure start to their lives and are supported to succeed.	0	3	2	5
2. East Renfrewshire residents are fit and active and have the skills for learning, life and work	0	2	1	3
3. East Renfrewshire is a thriving, attractive and sustainable place for residents and businesses to grow.	2	4	2	8
4. East Renfrewshire residents are safe and supported in their communities and homes.	1	3	1	5
5. Older people in East Renfrewshire are valued; their voices are heard and they are supported to enjoy full and positive lives for longer.	0	0	2	2
Customer, Efficiency and People Outcomes	0	14	3	17
<b>Total strategic risks</b>	<b>3</b>	<b>26</b>	<b>11</b>	<b>40</b>

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

## **FINANCE AND EFFICIENCY**

15. The review of the strategic risk register forms a fundamental role in ensuring that the Council meets the objectives detailed in the Single Outcome Agreement, Corporate Statement, Public Service Excellence programme and the Outcome Delivery Plan. The Council's vision was amended in the strategic risk register to reflect the wording of the Corporate Statement which was approved by Council in December 2013.

## **CONSULTATION**

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 to this, all operational risk registers were scrutinised and high risks examined to determine if they should be escalated to the strategic risk register. The Audit and Scrutiny Committee considered the updated Strategic Risk Register on the 5 March 2015 and recommended to the Cabinet that the register be approved.

## **CONCLUSION**

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

18. In this update, the number of strategic risks has increased by 4 to 40 overall risks with 6 new risks identified and 2 risks removed.

## **RECOMMENDATIONS**

19. It is recommended that the Cabinet consider and approve the updated strategic risk register.

**Lorraine McMillan, Chief Executive**

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Report Date – 5 March 2015

## **BACKGROUND PAPERS**

Appendix 1 Council's strategic risk register

## **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

APPENDIX 1

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

Completed by: Corporate Management Team/Heads of Service

Date reviewed: 24/02/15

Risk Score	Overall Rating
11-16	High
5-10	Medium
1-4	Low

Risk status S/C/N (same, change, new)	No.	Risk (Threat/Opportunity to achievement of business objective)	Risk Control Measures currently in place	Assessment of Risk [As it is now]			Proposed Risk Control Measures	Assessment of Residual Risk [proposed]		
				Likelihood (Probability) [L]	Impact (Severity) [I]	Risk Score [L x I]		Likelihood (Probability) [L]	Impact (Severity) [I]	Residual Risk Score
C	1	Reduced central government funding leading to failure to support the current level of service provision and the requirement to draw down council reserves to an unacceptable level, leading to public discontent and negative effect on the Council's reputation.	Budget strategy group Corporate ownership Treasury management strategy Increase in council's reserves (met target of maintaining reserves at 4% of net revenue budget) 3 Year budget arrangements Early communication of likely impacts and issues affecting the Council (budget) Change to financial planning timetable to allow earlier budget deliberations and a realignment of budget with council outcomes. Close monitoring of expenditure/income against budget throughout year. Prioritisation of Public Service Excellence programme and continual review of projects to ensure effective progress and business cases.	4	4	16	Achievement of targets and outcomes outlined in Public Service Excellence programme. Long term budget and scenario planning.	4	4	16
N	2	Predicted overspend in CHCP budget (2014/15) due to underlying pressures associated with an ageing population, increasing numbers of people with additional support needs and looked after children	Increased frequency of financial forecasting reports	4	3	12	Better management information to be provided via implementation of CareFirst Finance Project. Redesign services to free up capacity in other areas.	3	3	9
N	3	If grant conditions on teacher target numbers are not met in 2015/16, the Council would lose a significant amount of General Revenue funding.	COSLA seeking way forward with Scottish Government to move from outcome rather than input measures.	4	4	16	More flexibility to use broader outcome measures for grant conditions e.g. linked to attainment or inspections.	3	4	12
C	4	Opportunities to improve efficiency by moving towards partnership working in both in terms of working with other public sector organisations and other agencies.	Ensure regular communication with staff/trade unions on the shared services agenda to create awareness and provide reassurance. Investigated feasibility of potential transfer of the management of Culture and Leisure services to a charitable organisation. Decision to proceed taken at full Council meeting on 17 December 2014. Position East Renfrewshire Council as modernising Council. Chief Executive plays a leading role in the National ICT Strategy for Scotland. Castlerigg supporting Renfrewshire and East Renfrewshire with a range of collaborative workstreams and a collaborative strategic review of ICT. Creation of Community Planning Board. Departments to engage with Corporate Procurement at an early stage in business planning so procurement can evaluate potential benefits/ risks. Public Service Excellence Agenda. Participate actively on additional shared service work stream groups. Partners have all signed up to deliver on the outcomes and targets set out in the SOA. Regular team meetings and project plan for Scottish Futures Trust project. Participation in West Territory hub to permit joint development of capital projects Police & Fire Services now reformed as national bodies. Contractors to adopt CHCP policies and procedures.	3	3	9	Continue to communicate with staff on shared service agenda. To bring forward a draft business plan and recommend that arrangements now be put in place to establish a H179 Consider opportunities for sharing services with Renfrewshire and Inverclyde Councils. Participation in City Deal programme Development of Health and Social Care Partnership. The CHCP Committee will be replaced with an Integration Joint Board. Our Council was already further forward than most other councils having already integrated health and social care services. However the new partnership will mean that there will be a joint budget managed by the Chief Officer (Julie Murray).	3	3	9
S	5	The loss of several councils from membership of COSLA may lead to a difficulty in their ability to continue to represent the collective interests of the remaining councils.	Further reports to COSLA meetings will seek to resolve the current differences and East Renfrewshire will participate in these meetings.	3	3	9		3	3	9

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C	6	The shift towards prevention strategies leads to poorer performance on reactive performance measures (e.g. SPI's)	<p>Performance management reporting framework with mid and end year reports to Cabinet and CMT.</p> <p>Future prevention strategies and projects to consider impact on current performance measures. Extensive use of Covalent across Council departments to capture and record performance data.</p> <p>Participation in SOLACE benchmarking to identify best practice.</p> <p>Early years strategy approved</p> <p>Prevention strategies referenced in reviewed SOA.</p> <p>Earmarked supplementary funds within the 2015/16 financial estimates to Change Funds to encourage preventative spend.</p> <p>Expand to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Act 2014 by August 2014 and extend provision of early learning and childcare to certain 2 year olds.</p> <p>Capital Plan includes provision for Auchenback Family Centre and Community Hub.</p>	2	3	6	<p>Continue to petition Scottish Government via COSLA for adequate resourcing to implement requirements of Children and Young People (Scotland) Act 2014. e.g. kinship care payments.</p> <p>Future developments for family centre in Auchenback.</p>	1	3	3
C	7	Development of government policies / legislation may mean a change in political priorities or a shift in priorities away from those set out in the Corporate Statement, SOA or Public Excellence programme, meaning that the stated objectives within cannot be delivered or may be delayed.	<p>Corporate Statement prepared based on the administration. Structure also ties closely to the Single Outcome Agreement framework, which reflects the priorities and requirements of the Scottish Government</p> <p>Continue to keep up-to-date with government policies as part of day-to-day business via forums such as SOLACE, COSLA Leaders' meetings and National Performance Framework Board.</p> <p>Single Outcome Agreement: engage with the Scottish Government in the process of negotiation and review of outcome indicators and targets.</p>	3	3	9	<p>Continue to ensure that the priorities of the Council are in line with government policies and legislation. Review corporate statement/ SOA following a political or legislative change.</p>	3	3	9
C	8	Legislation in connection with the Public Bodies (Joint Working)( Scotland) Bill on the integration of health and social care may affect the influence of the Council in the partnership.	<p>Actively participate in joint NHS/Council consultation and reference groups at national level</p> <p>Technical Finance Working Group comprising East Renfrewshire, Renfrewshire, Inverclyde, Glasgow, East and West Dunbartonshire Councils and the NHSGGC. Draft scheme for Integrated Joint Board produced for consultation.</p>	3	2	6	<p>CHCP Committee to take on additional role of the Shadow Integration Joint Board</p>	3	1	3
S	9	New legislative rulings on the calculation of holiday pay for employees to include all pay elements intrinsically linked to performance under the employment contract leads to back pay claims resulting in substantial financial liability and the requirement to reduce council service provision.	<p>Cabinet report (approved 4 September 2014) approves changes to calculation of holiday pay in line with new legislative ruling (back dates to 1 January 2014)</p> <p>Ensuring the use of casual overtime is reviewed and monitored. Examining the adequacy of all existing contracts.</p>	4	4	16	<p>COSLA are working on behalf of the employers about the possibility of working together with the Trade Unions to agree a settlement process</p>	2	4	8
S	10	Ongoing tribunal decisions on equal pay claims and receipt of second wave equal pay claims leads to substantial financial liability.	<p>Acceptance with trade unions on pay and grading and terms and conditions.</p> <p>Engagement with legal representatives of equal pay claimants</p> <p>Identification of defensible equal pay claims including second wave claims.</p> <p>Communication Strategy.</p> <p>Effective Project Planning underway.</p> <p>National Agreement re: Salary protection.</p> <p>Robust contractual arrangements.</p> <p>Expert advice from external legal advisers.</p> <p>Regular financial monitoring of potential equal pay liability.</p>	2	4	8	<p>Continual gathering of market intelligence from external legal advisers.</p>	2	4	8

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				[L]	[I]	[L x I]		[L]	[I]	[L x I]
C	11	Lack of appropriately skilled workforce due to the combination of redundancy/ early retirement and the changing nature of workload leads to a reduction in service levels damaging council reputation.	Recruitment of service manager post in Revenues in advance of retirement to allow period of overlap Learning and Development strategy including e-learning. Improvements to Performance Review and Development Scheme. Workforce planning strategy approved with improved recruitment and selection procedures. Wellness programme for all staff in place (achieved Gold Healthy Working Life award). Services available for staff include employee counselling, personal resilience training, physiotherapy, alternative therapies, staff gym membership, health shield, eye examinations. Revised PRD scheme including new competency framework. Mid and end year performance review meetings between each department and Chief Executive. Knowledge sharing amongst staff with written procedures notes to avoid single points of failure. Action plans in place to address employee feedback from corporate and health at work surveys. Use of How Good is our Service Model for self-assessment. Continual benchmarking of activities to strive for best in class including participation in SOLACE. Use of organisational and financial business case when considering redundancies/ early retireals. Succession planning toolkit available for managers Occupational health service provision from a single provider covering health assessments, referrals, physiotherapy, audio and hand arm vibration checks.	4	3	12	Further implementation of service redesigns e.g. rent collection service to transfer to Housing, money advice services to transfer to Customer First and payroll services to transfer to HR. East Renfrewshire Council Organisation Development Plan	3	3	9
S	12	Inability to deliver essential council services due to lack of staff from adverse weather, loss of key operational premises or loss of key plant and materials.	Business continuity plans and staff training in conjunction with relevant agencies. Increased agile working with more widespread use of laptops with VIEW technology Investment in CCTV to key premises such as Thornliebank depot. Upgraded CCTV control room. Pandemic influenza contingency plan, outbreak control plans and emergency control protocols. Implementation of the maximising attendance policy. Replacement local plan (flood prevention)	2	4	8	Climate change adaptation discussions. Revised arrangements for winter maintenance of key properties. Continued roll out of agile worker function to enable service continuity.	2	3	6
N	13	Failure to complete the current disclosure arrangements (Protecting Vulnerable Groups Scheme) PVG retrospective checks by October 2015 resulting in council employees unable to carry out regulated work.	PVG project timeline being monitored closely, all individuals who require checking will be identified by Human Resources. Extra resource has been provided to support the process. Different strands of the project are being run simultaneously.	2	4	8	Departments are being asked to take on more of the responsibility for the process.	2	2	4
C	14	Adverse staff reaction to Scottish employers pay award (2015/16) leads to industrial action.	Revision of grading scheme with fully implemented Living Wage. Business continuity plans and emergency control protocols. Teachers accepted the national pay and conditions offer issued by SNCT which included amendments to short term supply rate conditions. Industrial action strategy and communication plan.	2	4	8	Continue to engage trade unions at local level on financial position. Continue to monitor reactions to any proposed changes to pay award and/or any pension fund changes.	2	4	8



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				[L]	[I]	[L x I]		[L]	[I]	[L x I]
S	15	Economic difficulties and future changes to welfare/benefits legislation leads to an increase in poverty or hardship, the creation of an over/under demand on certain council services and a reduction in council income to support services.	Welfare Reform Working Group with cross departmental representation led by Head of Revenues. Contingency fund (£900K) set aside for 2014/15 to deal with impact of Welfare Reform. Implement welfare reform action plan. Closer working with CAB, East Renfrewshire Council Credit Union, Housing associations, DWP, Jobcentreplus to work in partnership to maximise resources on offer. New council financial support campaign launched (free money advice and free benefit health check). Press coverage and leaflet with the council tax bills. Drop in clinics for money advice launched. Opening of Barrhead Foundry. Regeneration plan, health improvement plan and community learning and development strategy. Anti-social behaviour policy and expanded community warden service providing front line enforcement services. Development of business parks such as Greenlaw and Spiersbridge. Review of the provision of Council's temporary accommodation to increase capacity (reported to Cabinet on 21 August 2014 good progress made) DHP funding made available to residents. Joint working with East Renfrewshire Credit Union to promote use of direct debit for paying rent and budgeting. Work with North Strathclyde Community Justice Authority to develop criminal justice services to avoid risk of re-offending. Regular budget monitoring of actual versus estimated income. Welfare reform awareness sessions for staff and welfare reform e-learning module for council staff Creation of the early years collaborative to target children in deprived areas.	4	4	16	Further presentations and reports to the Council on the impact of Welfare Reform Development of Barrhead Town Centre. Economic recovery action plan (annual update). Participation in City Deal programme will improve economic activity. Review of charges for council services to ensure affordability. Review relationship with CAB and respective responsibilities to ensure effective partnership arrangements.	4	4	16
S	16	Reduction on capital investment arising from economic downturn may negatively impact on the planned General capital plan.	Management of borrowing portfolio. Revised capital plan (plan covers 8 years as opposed to 5 years) Improved CPA process and a more corporate approach to service delivery through the Corporate Asset Management Group. Prudent budgeting with an increase in reserves. Specialist treasury advice. Funding bids e.g. heritage lottery fund Close monitoring of capital expenditure/income against budget throughout year. Participation in West Territory hub to permit joint development of capital projects e.g. new replacement Barrhead HS to be delivered through Hub and in partnership with West Dunbartonshire Council is being progressed. Maximise developer contributions Public consultation exercises in connection with the proposed Eastwood Health and Care Centre Day to day treasury management.	4	4	16	Achievement of outcomes from corporate asset management plan including consultation on future service delivery. New Eastwood Health & Care Centre with Greater Glasgow NHS and East Renfrewshire Council CHCP (project Implementation of projects from City Deal programme will contribute to capital investment and increase economic activity across the area.	4	3	12
S	17	There is a risk that the potential rationalisation of properties, in accordance with a new Asset Management approach, will result in local public resistance and lack of political support (downturn in economy leads to reduced capital receipts).	Early political consideration. Asset disposal framework with decision by Cabinet. Co-ordinated asset management plan. Capital plan. Corporate Asset Management Group presentation to elected members.	3	3	9	Community Engagement programme closely linked to asset management arrangements. The Scottish Government and COSLA's Community Empowerment Action Plan promotes the empowerment of communities through the ownership of assets (land and buildings). The Council will support the community ownership of assets where the business case has been proven.	2	3	6
S	18	Failure to upkeep the condition of the roads network, leading to increased public liability claims, road closures and travel restrictions, service disruption, damage to council's reputation	Maintain investment in roads. Routine and reactive safety inspection processes Planned patching and resurfacing works Jetpatch vehicle, introduce targeted proprietary repair. Emergency repairs system with 24/7 hours of operation	3	3	9		3	3	9

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C	19	Increase in older people due to demographic changes leads to an under/over demand on certain services and failure to meet legislation, overspend and negative publicity.	Implementation of the rehabilitation and enablement service redesign Scottish Government spending review and 3 year financial planning cycle providing additional resources for elderly client group. Planning for the future report outlining key demographic trends. Community care plan. Fund Bid for reshaping older people's services. Older peoples' strategy Change Fund for reshaping older people's services. Day Service Review Implemented Raise awareness of eligibility and of pressures. Agile working for CHCP staff improves efficiency. Fees and charges policy (concessions).	4	4	16	Redesign services to free up capacity in other areas (home care).	4	2	8
S	20	Increase in the number of vulnerable adults and children with additional support requirements leading to a rise in demand in CHCP services.	Analysis of demographic changes. Increased financial forecasting.	4	3	12	Atholl service review Foster care service review Learning Disability Support Living Redesign	4	2	8
S	21	Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and MAPPA) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.	The operation of CP, AP committees and MAPPA's meetings to deal with the strategic and practice issues. Continue to provide high quality child protection services as confirmed by being rated best in Scotland by HMie (1 excellent/ 5 very good) 2010 Recent inspection of Integrated Children Services has confirmed strength of child protection services (3 Excellents) September 2014. Training and awareness in place. Partnership working is at an advance stage. Sharing of information have been finalised. The requirement to produce and publish reports of activities. The availability of data with varying limitation for analysis and evaluation. The clear involvement of the chief officers group.	1	4	4	Develop a framework for reporting to the community planning partnership. Clear financial frameworks to be established. Development of protection of vulnerable groups scheme (new staff then existing staff) with replacement of enhanced disclosures. Negotiate with SG on the whole protection agenda for uniformity . Ensure the links are made for learning opportunity within the protection agenda.	1	4	4
S	22	Failure to comply with equality legislation, in particular the Council's public duties contained in the Equality Act 2010 and the Scottish Equality Specific Duties (2012), leading to disharmony and enforcement actions and a reduction in the reputation of the Council.	Working with the Equality Officer Working Group to implement an action plan to fulfil our equality duties Published Equalities Outcomes for the Outcome Delivery Plan. Carrying out a How Good is Our Service Assessment of the Equality Officers Working Group and implementing improvement measures Provision of relevant update information to relevant staff and members as required Programme of staff training on equalities. Supporting the activities of community engagement structures such as the faith forum, East Renfrewshire Disability Action and the Minority Ethnic Reference Group. Equality Impact Assessment of Policies Minority Ethnic Community Engagement and Development Strategy.	3	3	9	Supporting the development and operation of a forum for all equality groups in East Renfrewshire Council. Encouraging/assisting departments to gather relevant equality data for improvement planning	2	2	4
N	23	Recent increases in acts of violence and intimidation, directed at some religious groups abroad, migrate to the Council area, thereby undermining the Council's Equality Outcome 6, "Members of equality groups live their lives, safe from discrimination, harassment, victimisation and violence" .	Joint monitoring of incidents between the Council, Police and relevant religious/community leaders. Liaising, as appropriate, with relevant national intelligence services. Ensuring that our emergency procedures are in line with good practice.	2	4	8	Continuing to liaise, as appropriate, with relevant national intelligence services.	2	4	8

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			Likelihood (Probability) [L]	Impact (Severity) [I]	Risk Score [L x I]	Likelihood (Probability) [L]	Impact (Severity) [I]	Risk Score [L x I]	Likelihood (Probability) [L]	Impact (Severity) [I]	Residual Risk Score
C	24	Ensuring sufficient catchment places for ER children and young people in light of new residential developments- in particular the Proposed Local Development Plan.	Regular review of places and demand. Current capital plan reflects new build educational estate supplemented as appropriate by developer contributions, according to timescales and extent of provision noted in LDP (approved Jan 2014) Education statutory consultation complete and Education committee approval granted (05/02/15) to establish a faith schools' joint campus from session 2017/18. In terms of denominational school places and following consultation with Catholic Church, consider adopting religion as a placing request criteria and undertake the necessary authority wide consultation.	3	4	12	Capital Plan regularly reviewed and updated to align with developments as they occur and reflect operational requirements. Education statutory consultation to be undertaken in advance. Continue to review the sufficiency of denominational places and if and when necessary bring forward options to address pressure on places. The outcome of consultation identifies way ahead which can be implemented within timescale and are viable and legal. Resulting in revised admissions and placing request criteria for East Renfrewshire denominational schools.	2	2	4	
C	25	Inability to deliver sufficient pre 5 places which is compounded by the flexibility element associated with the increase to 600 annual hours of flexible early learning and childcare in line with the Children and Young People (Scotland) Act or further changes in entitlement.	600 hours of early learning and childcare provided for all 3 and 4 year olds from August 2014. Scottish Government has confirmed additional revenue and some capital funding for 2014/15 and 2015/16 to support the implementation of this policy. Initial additional revenue costs reflected in 2015/16 estimates. Current capital plan includes provision for some additional pre 5 capacity (Busby/Clarkston) with limited flexibility for parents from August 2015 onwards. Statutory consultation now complete. New build primary schools noted in capital plan include some pre5 provision. Current capital plan also includes provision for non denominational nursery from re-modelling accommodation at St Cadoc's PS - subject to education statutory consultation.	3	3	9	Capital Project Appraisals (CPAs) prepared for consideration through the capital plan to address additional places required. Establish new provision in accordance with approvals granted. Continue to monitor provision in light of any policy changes/legislation and make appropriate bids for funding to take forward any required projects. Support new partner providers to establish high quality nurseries in areas where places are at a premium. Develop a Childcare Strategy.	2	3	6	
C	26	Inability to deliver on commitments by the Scottish Government to extend provision of early learning and childcare to certain 2 year olds (Children & Young People Act) due to insufficient capacity and/or requisite resources.	Scottish Government has confirmed additional revenue and some capital funding for 2014/15 and 2015/16 to support the implementation of this policy. Initial additional revenue costs reflected in 2015/16 estimates. Managers have assessed the financial and operational impact of introducing this policy. Current capital plan includes provision for some additional capacity for eligible 2 year olds (Busby/Clarkston, Madras and the Barrhead area) - subject to appropriate consultation. In addition Arthurlie Family centre to be relocated to Auchinback Family Centre and Community Hub.	2	3	6	Continue to monitor provision in light of any policy changes/legislation and make appropriate bids for funding to take forward any required projects.	2	2	4	
C	27	Potential new duties from the Children and Young People (Scotland) Act in relation to extending the age to which care leavers can receive support from their local authority and supporting kinship carers and families will have a significant financial impact and may lead to over demand on CHCP services.	COSLA negotiations on schedule of financial support The Chief Social Worker attends Scottish Government Working Groups	3	3	9	Resource alignment to support additional duties to comply from 2016 regarding named person and child's plans	3	3	9	
S	28	The Children's Hearings (Scotland) Act 2011 was implemented on 24 June 2013 and has resulted in additional demand for CHCP services and a transfer of responsibility for financial costs between local authorities. This additional expenditure was unexpected.	Appeal against decision to transfer financial liability between local authorities- awaiting decision from hearing. Assess potential demand on CHCP services	4	2	8	Association of Directors of Social Work (ADSW) and Scottish Children's Reporter Administration (SCRA) have developed a protocol for the management of contact arrangements for children. They have asked Chief Social Worker Officers in all local authorities to adhere to the protocol.	4	1	4	
C	29	Equality and Human Rights Commission (EHRC) intention to legally challenge kinship care allowance rates paid by local authorities may lead to significant financial liability for the council.	Kinship Care Worker in post with responsibility to ensure income of Kinship Carers is maximised. COSLA Leaders Group advised. Kinship Carers entitled to claim state benefits to supplement household income	3	4	12	Liaison with other local authorities in anticipation of legal action Monitor income maximisation processes to support Kinship Carers Advice and guidance from Legal Services	3	2	6	

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Date reviewed: 24/02/15

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11-16	High
5-10	Medium
1-4	Low

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C	30	Adverse staff/public reaction coupled with the workload demands associated with the potential transfer of the management of Culture and Leisure services to a charitable organisation leads to a short/medium term decline in service delivery	Investigated feasibility of potential transfer of the management of Culture and Leisure services to a charitable organisation. Decision to proceed taken at full Council meeting on 17 December 2014.  Steering group established with representatives from all relevant departments. Group role includes project monitoring against project plan.  Research on other trusts and discussions with SPORTA, the national leisure trust organisation.	3	3	9	Implementation of a communication strategy for staff/public and continued engagement with trade unions.  Drafting of a robust Business Plan  Recruitment of Shadow Board Members and development of strong governance arrangements	3	3	9
N	31	Failure to deliver Culture and Leisure Trust (CLT) from July 2015 resulting in additional requirement for savings.	Robust draft Business Plan considered by Council. Employee forum established to ensure coverage of all issues across services.  Project team has dedicated manager to deliver project.  Learning from best practice across the UK.	3	3	9	Series of workshops with operational staff to identify potential unknown issues.  Trust draft budget under continuous review (with external support) during approval process.	3	3	9
N	32	Once established, the Culture and Leisure Trust fails to deliver East Renfrewshire Council's statutory requirements and other outcomes leading to financial and reputational risks.	SLAs being developed to capture service support that the Trust will receive from East Renfrewshire Council. Reporting and monitoring (SOA and financial) will be in line with existing ERC robust process.  Heads of Service asked to consider, and adapt if necessary, all policies, procedures and other arrangements in their area for use by the Trust. The Trust operating model will therefore meet the same stringent conditions that are expected within East Renfrewshire Council.  2 week "check" period built-in for Managers moving to Trust to consider SLAs and policies/procedures.	3	3	9	Project Team liaise strongly with incoming Chief Exec/Trustees to ensure understanding and agreement during handover.  Sector leading external training programme for Chief Exec/Trustees.  Modelling of Trust budgets with support from Ernst & Young and confirmation of arrangements.	3	3	9
C	33	Failure to find alternative treatment processes to Land filling by 2020 will result in non compliance with the Waste (Scotland) Regulations and leave the Council without a disposal point for its residual waste.	Introduced successful managed weekly (food and garden) collections to 28,000 homes from 1 November 2010 to reduce residual waste. Phase 2 of MWC currently being rolled out to flatted properties.  The Tender process for the Clyde Valley long term residual waste treatment process has entered the final stage of competitive dialogue, with 3 bidders remaining. Participating Councils remain as East Renfrewshire Council, East Dunbartonshire Council, North Lanarkshire Council, North Ayrshire Council and Renfrewshire Council.  Achieved 50% recycling performance in advance of the 2013 target.  Monitor quarterly waste dataflow returns.  Excess waste and additional bin policy.  Landfill diversion option to be built into new waste management contract from October 2014.	1	3	3	Continue to working as part of the Clyde Valley Workstream to meet 2020 landfill ban.  Continue to improve and enhance recycling schemes to reduce residual waste.	1	3	3

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C	34	Over reliance on private car use, especially around schools, leads to congestion, environmental, safety and parking problems.	3	3	9	3	2	6			
C	35	Failure to effectively manage the Council's information assets to comply with Information legislation, in particular the Public Records (Scotland) Act, the Freedom of Information (Scotland) Act, the Data Protection Act and the Public Service Network standard (PSN). This could result in legal action, financial penalty, damage to council reputation and/or inability to provide council services.	2	4	8	2	4	8			

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				[L]	[I]	[L x I]		[L]	[I]	[L x I]
C	36	The Council is required to comply with all Tenure Housing Requirement contained within the Glasgow and Clyde Valley Strategic Development Plan (SDP). Failure to deliver a Local Development Plan which complies with the SDP exposes the Council to a risk that, during Examination, the Reporter will identify additional/alternative sites for residential development.	The Local Development Plan was submitted to the Directorate for Planning and Environmental Appeals for Examination in Public in April 2014. The Examination Report was received by the Scottish Government Reporters on 22/1/2015. The Reporters accepted the Council's proposed development strategy and accepted the Council's approach to both private and affordable housing supply and the Reporters did not identify significant additional sites.	1	3	3	The Examination Report will be reported to Council in March 2015 and if approved, the Council will move to adopt the Local Development Plan.	1	3	3
C	37	Competing demands on HR, PSE, Finance and ICT resources due to the need for these functions to support the change agenda leading to failure to deliver planned benefits and develop new and emerging opportunities (e.g. agile working, City Deal, CHCP integration, Hub, Leisure Trust etc).	New targeting operating model under discussion for future PSE projects. Presentation to PSE Board on ICT Capacity Dec 2012. PSE Plan presented to CMT May 2013 and Cabinet August 2013. PSE benefits plan updated for 2014/15	3	3	9	Consider workload implications of new areas of work. New governance in place for Collaboration Workstreams.	2	2	4
C	38	Failure to carry out duties to contribute to climate change mitigation (reducing greenhouse gas emissions) and adaptation (preparing for anticipated changes in the climate) results in non-compliance with Climate Change (Scotland) Act 2009, negative impact on environmental sustainability and damage to the Council's reputation.	Environmental Sustainability Strategy and Action Plan Environment Partnership Scotland's Climate Change Declaration – Delivery of commitments and Annual Report- exceeded target.	3	3	9	Ensure priorities of the Council are aligned with government policies and legislation Corporate ownership of revised Environmental Sustainability Strategy and Action Plan (which incorporates our Climate Change and Carbon Management Plan)	2	3	6
S	39	National redesign of community justice and review of criminal justice social work funding could lead to removal of ring fenced funding and additional pressures on limited resources to manage risk and protect local communities.	Submission to Consultation on proposed new model Work commenced with community planning partners to agree reporting mechanism with Community Planning Board. Contribute to national funding review research. Work with CJA partners to plan for implementation of new national body.	3	3	9	Work with community planning colleagues to establish clear reporting and governance arrangements. Clear financial frameworks to be established. Ensure links are made with partners for effective offender management.	2	3	6
S	40	Projects included in the Glasgow and Clyde Valley City Deal programme do not proceed on schedule and/or do not produce the anticipated economic benefits resulting in a gap in funding provided by UK and Scottish Government.	Tri-partite agreement between UK and Scottish Governments and the Clyde Valley partners signed in August 2014	2	4	8	Rigorous independent check of proposed project plans prior to implementation Strong governance regime Ongoing monitoring working groups	1	4	4