
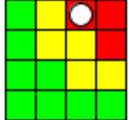
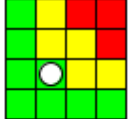

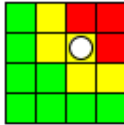
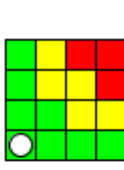




Strategic Risk Report

Generated on: 19 February 2021


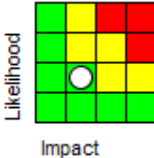
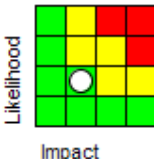
SR 001

	SR 001 Significant financial funding reductions / limitations from Scottish Government	Current Risk Matrix	Current Rating	Last Review Date
Description	<p>The Council is faced with significant ongoing funding reductions from the Scottish Government. Austerity or the financial impact of previous austerity measures is expected to continue for a number of years into the future and likely to result in funding reductions or limitations. This coincides with a period where costs are expected to rise in relation to Social Care due to an aging population and capped powers to raise funds through Council Tax. The ongoing population decline of West Dunbartonshire versus the average population for the whole of Scotland is also expected to generate ongoing funding reductions with little impact on service delivery cost/need.</p> <p>Covid-19 introduces a risk in relation to the potential net cost to the Council versus the ongoing funding support and/or financial flexibilities provided by the Scottish Government</p>		12	28-Jan-2021
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.		4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Reduction in government grant - Demographic change (population decline/growth, aging population) - Cost reduction required including cutting level and/or quality of service provision - Increased Debt (collection of Council Tax, HRA rents, etc) 	Latest Note	<p>Given the impact of covid on the UK economy, together with continuing reduction to the Scottish population living in West Dunbartonshire, it is now expected that there will be a reduction in the general funding availability from the Scottish Government in 2021/22 onwards</p>	
Risk Factors	<ul style="list-style-type: none"> - Level of government grant - Lack of time to plan for changes in the level of grant funding due to single year settlements and settlement information from Scottish Government - Welfare reform - General inflationary factors - Significant additional burdens - Capital receipts 			
Internal Controls	<ul style="list-style-type: none"> - 10 year Financial Strategy subject to regular review - Monitor and maintain General Services and Housing Revenue Account prudential targets - Reporting and monitoring of Treasury Management Strategy - Budgetary control process - Regular budgetary control and savings monitoring reports provided to CMT and Council / committees - Rigorous debt collection processes - Annual Internal Audit Plan - Work of External Auditors (external control) - Annual Governance Statement - Procurement Improvement Plan 	Managed By Stephen West Assigned To Gillian McNeilly		
Progress of Linked Actions				
Risk Opportunity	<ul style="list-style-type: none"> - Annual exercise to identify efficiencies - Projects to implement new ways of working (e.g. commercialisation, asset management) - Enhance the reputation of the Council as an organisation which manages its finances soundly 			

	SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement	Current Risk Matrix	Current Rating	Last Review Date
Description	This risk concerns the delivery of excellence and equity for our young people to support them to attain and achieve at the highest level. In particular, it is aimed at bridging the attainment gap and breaking the cycle of disadvantage. This also includes the focus on intervention at early years to improve life chances at all points on the learning journey. A key driver is the Council's participation in the Scottish Attainment Challenge which will be delivered over 4-years from 2015. Year 3 commenced in April 2017 and will bring together the workstreams to deliver a self improving school system programme.		9	28-Jan-2021
Potential Effect	The national expectation for education would not be delivered. Improved outcomes for young people would not be attained and achieved. The Council would fail to meet the needs of individual learners. The Service would fail to bridge the attainment gap and break the cycle of disadvantage. The Council would fail in its legal duty for the education of young people within West Dunbartonshire. There would be reputational damage to the service and the wider Council. There would be a lack of income generation from external funding sources.		1	31-Mar-2022
Measures of Impact	Examination results – Her Majesty’s Inspectors of Education inspection reports - validation reports - stakeholder feedback - local learning community attainment data - control group model - small test of change model - risk matrix model - bespoke model of intervention for young people and families at early stages to improve on attendance/lateness; social and emotional health; supports for mental health issues; parenting/behaviour management skills and early linguistic & cognitive development - pre/post intervention assessment - increased expectation of raising attainment being the responsibility of all - school to school collaboration with locally initiated bottom-up enquiry - higher level of Science Technology and Maths subject uptake in Science Technology and Maths secondary schools - increased numbers of learners entering related career pathways - standardised literacy and numeracy tests	Latest Note	<p>National data collection cancelled for session 2019/20 due to COVID. Scottish Attainment Challenge projects implementation delayed due to COVID. West Dunbartonshire Projects : early level play and learning, literacy and numeracy, school Improvement partnerships, multi – agency family hubs, skills academy</p> <p>A revised equity plan under development as part of the Education Recovery Plan with revisions to workstreams in the Service Delivery Plan to take account of recovery from impact of pandemic.</p> <p>Impact analysis of lockdown on school attainment is ongoing due to the extended period of school closures. On going uncertainty regarding pupil / staff absence; changes to the national qualifications; pupil well being and sustained engagement in learning.</p>	
Risk Factors	Staff resources - adequate funding for projects - workforce development - effective leadership - accurate and timely data collection - accurate and timely reporting - effective communication with partners and external agencies - disrupted learning - staff absence - pupil absence - adapted model of delivery to ensure safety - limiting curriculum flexibility - learning style flexibility - impact of COVID on social and emotional wellbeing - risk to funding streams Since March 2020 children have been at home working remotely for 7 months. There is increased risk of targets to narrow the attainment gap and increase attainment being affected. A contingency and recovery plan are in place. Therefore, this is not severe risk. However, it is predicted that there will be some impact due to extended periods of school closure.			
Internal Controls	Raising Attainment Strategy Project management by Service Manager Raising Attainment Project Board (led by Chief Education Officer) Termly progress reports submitted as part of Educational Service committee reports Relevant Continuous Professional Development programme to support education staff Meetings between WDC and Education Scotland/ Her Majesty’s Inspectors of Education	Managed By	Laura Mason	
		Assigned To	Julie McGrogan	


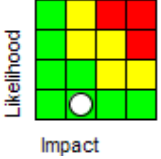
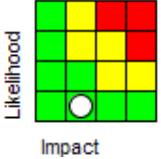
	Broad General Education Attainment and Performance Data School Improvement Literacy, Numeracy and HWB Steering Group National Improvement Framework (National Improvement Framework) Education Recovery Plan			
Progress of Linked Actions	E/1920DP/02DEI Develop and Deliver Educational Improvement Across West Dunbartonshire			Andrew Brown; Julie McGrogan
Risk Opportunity	Improved attainment - improved attendance - reduced exclusions - reduced violent incidents - reduction requirement for targeted support over time - reduction requirement for specialist placements over time - improved learning & community engagement - children/pupils at risk identified earlier and more effectively - more empowered community providing self-sustaining peer support - increase in the percentage and range of positive destinations over time - increased access to digital learning resources			




SR 003

	SR 003 Councils Assets	Current Risk Matrix	Current Rating	Last Review Date
Description	Risk: That the Council's assets and facilities are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective services. Assets included in this assessment are; the Council's property portfolio, housing stock, roads and lighting, fleet and open space		4	22-Jan-2021
Potential Effect	<ul style="list-style-type: none"> - Assets are not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users - Service users seek alternative service provision - Increase in reactive maintenance costs - Roads assets in poor conditions - Assets fail to meet relevant standards 		4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Condition surveys - Suitability surveys - Road Condition SPI - Customer perceptions of service delivery - Investment levels in upkeep and improvement of asset base and facilities - Staff satisfaction - Operating costs and savings 	Latest Note	January 2021 Update, although budgets and asset management plans remain in place for management of Council Assets, it should be noted that COVID has impacted early year progress on programmes but not to the extent that would adversely affect the risk. Further COVID disruptions have inhibited full delivery of programmes that manage/invest in the assets.	
Risk Factors	<ul style="list-style-type: none"> - Adequacy of funding available to improve asset base - Adequacy of staff resources allocated to the area of asset management - Council buildings deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts from surplus property sales - Over one third of the road network is in need of repair and the current long term capital funding only sustains a steady state condition of the road network - Increased public liability claims due to poor condition of roads network 			
Internal Controls	<ul style="list-style-type: none"> - Corporate Asset Management Strategy (scheduled refresh in 2nd half of 2021/22 year) - Schools Estate Strategy - Capital Investment Team - Existence of Asset Management Group with meetings held on a regular basis - Property Asset Management Plan 	Managed By	Angela Wilson	
		Assigned To	Craig Jardine; Michelle Lynn; Gail Macfarlane; Alan Young	


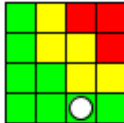
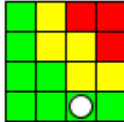
	<ul style="list-style-type: none"> - HRA Capital Investment Programme (refreshed and delivered annually) - Capital plan - Roads and Lighting Asset Implementation Plan - Fleet Asset Implementation - Open Space Asset Implementation Plan - Detailed asset database that shows relevant information on a property by property basis - Sustainability Policy - Housing Improvement Board - Housing Improvement Plan - Housing Asset Management Strategy 			
Progress of Linked Actions				
Risk Opportunity	<ul style="list-style-type: none"> - Enhance reputation of Council by being able to improve Council - Estate, assets and service delivery (e.g. new school buildings, operational building upgrades, office and depot rationalisation projects, housing investment programme to meet SHQS/ESSH, roads upgrade programme, vehicle replacement programme, greenspace upgrade projects) - Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities - Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland) - Prioritised Building Upgrade Plan - The continued implementation of the energy efficient street lighting project will both improve the asset and reduce costs significantly through reduced maintenance, energy consumption and carbon output. - The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology. 			

SR 004

	SR 004 Information Technology	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to keep pace with changing technology environment during periods of austerity and supplier rather than business led change		2	23-Dec-2020
Potential Effect	A lack of consistent, sufficiently robust planning in respect of ICT arrangements is likely to result in the Council being ill prepared to meet future demands in key service areas and lacking the capacity to respond effectively to changing need.		2	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Degree of compliance with security controls to prevent data loss through poor o/s patching, cyber attack, firewall configurations etc - Extent of wireless connections in the Council network – all schools and refurbished Office accommodation complete - Number of ICT Help Desk calls resolved within half day - exceeding target of 35%. Target was increased. - Extent of functionality development in key Council systems (i.e. lack of development beyond base system leading to ineffective management information) – several channel shift projects delivered and more are in progress Workforce mgnt self service, increased volume of web and intranet traffic, streamlined financial and purchasing processes, document management. - Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers. 	Latest Note	Dec 20. Continued investment in change and technology projects such as 365 to further enhance the digital capabilities within WDC.	

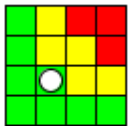
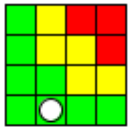
	<ul style="list-style-type: none"> - Provide efficient desktop services to meet changing workforce flexibility and property rationalisation requirements. Thin client deployment complete in corporate estate and started in Education. 5-year Device replacement programme in place. - Implementation of mobile and flexible working, enabling a downsizing of required office accommodation through enabling people to work more efficiently and to adopt a more flexible policy towards office accommodation and desk provision. Bridge St, Aurora, CTCO, Municipal, Church St complete. - Broadband speed in the Council area - WDC has 2nd highest broadband speeds in Scotland. Investigating funding options for fibre network. 			
Risk Factors	<p>Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised</p> <ul style="list-style-type: none"> - poor network security controls implemented. lack of intrusion detections alerts, failure to respond to audit / PSN test findings and recommendations, insufficient resources allocated to security tasks. Service redesigned and resources aligned to security tasks and improved monitoring processes and tools implemented. - Poor project and programme change management arrangements. - Poor quality of mobile communication provision. - Poor uptake on channel shift 			
Internal Controls	<ul style="list-style-type: none"> - Capital programme established for technology refresh projects - Information & Communication Technology (ICT) Policy - Governance structures such as ICT Steering Board, Education ICT Steering Board, Digital Transformation Board in place to support integrated planning and decision making in relation to ICT - Use of both internal IT resources from across the Council and skilled specialist advisers in key areas - Fit for purpose data centre (with remote back up site). New shared data centre went live in Dec 2014 and new WDC data centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland 	Managed By Victoria Rogers Assigned To James Gallacher; Patricia Kerr; Brian Miller		
Progress of Linked Actions	P&T/2021/ICT/01 Deliver a secure and resilient IT Infrastructure		<div><div>75%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/02 Technologies to Support ICT Service Delivery Improvements		<div><div>40%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/03 Process Changes to Support ICT Service Delivery Improvements		<div><div>60%</div></div>	Patricia Kerr; Victoria Rogers
Risk Opportunity	<ul style="list-style-type: none"> - COVID-19 has increased the number of users and services working remotely. several manual processes amended and driving process reviews across the Council. - rapid deployment of conferencing technologies has helped drive demand and give visibility to importance and suitability of digital technologies and processes - annual network penetration tests - Annual PSN compliance audit - Annual External Audit on ICT Controls - Continued investment and Modernisation of ICT infrastructure and its focus on network security and resilience. - Provide 21st century state of the art technology for employees and service users - Rationalise IT systems - Use of innovative IT linked service delivery models to effect change - Provide Council employees with secure access to email and supporting systems at times and locations of choice - Increased use of mobile devices eg tablet devices and mobile phones. - Provide self service style systems to employees and the local community 			

SR 005


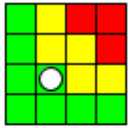
	SR 005 Partnerships	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council fails to engage adequately with partnership bodies	 Likelihood Impact	3	08-Jan-2021
Potential Effect	failure of partnership impacts on Councils obligations under Community Empowerment Act	 Likelihood Impact	3	31-Mar-2022
Measures of Impact	partnership response to COVID19 Successful delivery of LOIP and supporting plans positive partnership inspections	Latest Note	Community planning partnership is well established with strong partnership working arrangements in place, reducing likelihood of this risk being realised	
Risk Factors	-COVID19 response is agency specific and leads to gaps and missed opportunities - inability to deliver improved outcomes which require strong partnership activity - Council's reputation is adversely affected through a failed partnership arrangement			
Internal Controls	- Robust partnership arrangements through community planning partnership - Align the Council's strategic plan with the Local Outcome Improvement Plan (LOIP) - Ensure that partners have signed up to deliver on the outcomes and targets set in the LOIP - Develop data sharing protocols with partner agencies - Participate in reform agenda as it impacts on Council area	Managed By	Amanda Coulthard	
		Assigned To	Amanda Coulthard	
Progress of Linked Actions				
Risk Opportunity	- Position West Dunbartonshire as a modernising Council			

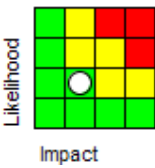


SR 006

	SR 006 citizens and communities	Current Risk Matrix	Current Rating	Last Review Date
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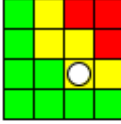
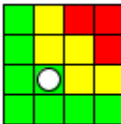
Description	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents	 Likelihood Impact	4	08-Jan-2021
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	<ul style="list-style-type: none"> - Tensions develop with citizens and local community groups -reputational damage to council services -lack of trust in service provision 	 Likelihood Impact	2	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - informed and engaged citizens participating in consultation activity - telephone survey monthly, quarterly and annual measures -increased social media engagement and reach 	Latest Note	strong communication and engagement in place through the engaging communities framework	
Risk Factors	<p>pace of change in response to COVID19 means services may not be communicating fully and effectively</p> <p>citizens may be suffering from information overwhelm and not engage in the high volume of updates being shared by services</p> <p>Services are having to change and update plans in response to new information - meaning it can be difficult to keep up with current position and ensure the message is shared</p> <p>Lack of appropriate staff development / skills may be lacking to support new model of service delivery</p> <p>inequity of engagement across the partnership on key local issues</p> <p>council seen as unresponsive to community if feedback from engagement not acted upon</p> <p>apathy within communities leads to little or no engagement</p> <p>some community groups feel their voices are not being heard</p>			
Internal Controls	<ul style="list-style-type: none"> - Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework) - Annual budget consultation events - Citizens Panel - Open Forum questions at Council meetings - continue to deliver 4 issues of housing news each year - delivery of effective communications and public information through social media - use of telephone survey 	Managed By	Malcolm Bennie	
		Assigned To	Amanda Coulthard; Amanda Graham	
Progress of Linked Actions				
Risk Opportunity	<p>citizens are more comfortable with the digital platform as a result of the enforced cessation of face to face services - this presents an opportunity to modernise communication</p> <p>Community Empowerment Act</p> <p>participation requests</p> <p>asset transfer</p>			










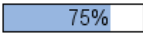

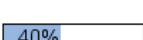


SR 007

	SR 007 Health and Safety of Employees and Others	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.	 Likelihood Impact	4	28-Jan-2021
		Target Risk Matrix	Target Rating	Target Date


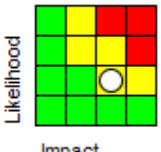
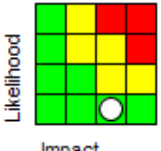
Potential Effect	Risk of an employee, service user, pupil (young person) or member of the public being seriously / fatally injured by fault of the Council. There are various risks associated with the outcome: reputational risk regarding negative publicity; financial risk in terms of claims management compensation to the injured party; risk of prosecution by the HSE resulting in a fine or, , Strategic Leads/Directors / Chief Executive being subject to criminal charges.		4	31-Mar-2022
Measures of Impact	Time and cost associated with in-house/HSE investigation. Service delivery impact in terms of injury-related absence and potentially enforced cessation of work activities. Impact of legal proceedings, in terms of costs, potential reputational damage and, worst case, risk of criminal charges.	Latest Note	Target Risk was reviewed and given current pandemic no change.	
Risk Factors	Resources, robust policies and practices, adequate H&S strategy.			
Internal Controls	<ul style="list-style-type: none"> • Council has in place a robust H&S policy and strategy (and separate Fire Risk Management Strategy) that includes service specific health and safety plans, duties and responsibilities for Strategic Directors, Strategic Leads, managers and employees. • Adequate H&S resources in place to fulfil statutory obligations in terms of the Health and Safety at Work etc. Act and the Management of Health and Safety at Work Regulations. • Embedded H&S culture that discusses H&S issues at a top level and cascades throughout the organisation through the health and safety committee system. • Monthly reports to PaMG on organisational safety performance. • Each link H&S Officer attends Service Strategic Lead meeting to report on service safety performance • Services have H&S committees at Service and Directorate level. • Workplace inspection and audit programme. • Service risk profiling. • H&S training needs analysis for every employee group. • Toolbox talks take place at directorate level. • The Council has in place a Trade Union Health and Safety Partnership Agreement. • Council promotes health and safety training for TUs to diploma level. 	Managed By	Victoria Rogers	
		Assigned To	John Duffy; Alison McBride	
Progress of Linked Actions	P&T/2021/H&S/01 Embed an organisational health and safety culture though extending organisational use of Figtree and understanding of health & safety			Alison McBride
Risk Opportunity	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partners of robust H&S culture.			


SR 008

	SR 008 Threat of Cyber-attack	Current Risk Matrix	Current Rating	Last Review Date
Description	Data, systems and/or infrastructure are impacted as result of security attacks which are increasing in number at a time when this threat is already placing demands on resources to deliver increased levels of security controls.	 Likelihood Impact	6	19-Jan-2021
Potential Effect	<ul style="list-style-type: none"> • Disruption of Services impacting service delivery to citizens • Loss of Data • Staff and Citizen data loss with the potential for misuse such as identity fraud • Mis-information being delivered to the public via WDC communication channels • Potential for significant fines currently under the Data Protection Act and from May 2018 under the provisions of the General Data Protection Regulations • Reputational damage • Redirection of resources to deal with the effects of an attack and away from BAU work 	 Likelihood Impact	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> • Recorded attempts from external sources to breach council cyber defences • Recorded cyber related incidents in the Cyber incident log • Quantity of breaches/incidents reported to the Information Commissioners Office • Fines levied for breaches 	Latest Note	Jan 21. Threats and attacks continue regularly. Continuing to raise awareness with ICT and Council wide. Cyber audit took place in 2020 providing opportunity to continuously improve processes and documentation.	Risk Factors
	<ul style="list-style-type: none"> • Inappropriate Cyber defences at the perimeter of the council networks • Inappropriate delivery of security patches to desktop and server estates • Compliance with security standards such as PSN, PCI, Public Sector Action Plan on Cyber resilience for Scotland • Continually changing threat landscape • Maintaining relevant skill sets among staff group/cost of securing expert resources 			
Internal Controls	<ul style="list-style-type: none"> • Implementation of internal Policies on Patching and hardware/software hardening and expanded during COVID to patch thin build devices remotely. 	Managed By	James Gallacher; Patricia Kerr; Brian Miller	


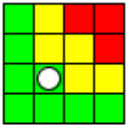
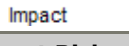
	<ul style="list-style-type: none"> Annual PSN compliance audit including a comprehensive IT Health Check Governance structure in place, ICT Steering Board consisting of senior management and relevant stakeholders meeting bi-monthly or as required in response to incidents/events Programme of Internal and External ICT audits PCI working group Information Security/Data Protection forum Multiple layers of Cyber defences; Network Segregation Rolling programme of security awareness sessions Interagency and cross Council working groups and sharing. National Digital Office / Scottish Government Public Sector Security programme and guidance 	Assigned To Iain Kerr		
Progress of Linked Actions	CS/IAAP/519 1. Underlying Technical Controls required to facilitate automatic failover to DR site still to be configured/tested			Patricia Kerr
	CS/IAAP/520 2. DR Plans for the main telephony delivery systems have yet to be implemented/tested			Patricia Kerr
	CS/IAAP/521 3. Systems without parallel DR arrangements are not fully tested			Patricia Kerr
	CS/IAAP/525 7. Lack of formal DR testing schedule at primary DR site			Patricia Kerr
	P&T/2021/ICT/01 Deliver a secure and resilient IT Infrastructure			Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/02 Technologies to Support ICT Service Delivery Improvements			Patricia Kerr; Victoria Rogers
	P&T/2021/ICT/03 Process Changes to Support ICT Service Delivery Improvements			Patricia Kerr; Victoria Rogers
Risk Opportunity	<ul style="list-style-type: none"> Increase Cyber resilience and awareness for staff, members and citizens Contribute to Scottish Government Public Sector Action Plan on Cyber resilience for Scotland Upskill staff to address current and emerging threats Increased staff awareness across Council 			

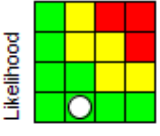




SR 009

	SR 009 Failure to deliver the Early Years Agenda	Current Risk Matrix	Current Rating	Last Review Date
Description	This risk concerns an increase in entitled hours which the Scottish Government is planning to provide for early years children, from 600 to 1140 hours by 2020. In project management terms this is a complex piece of work of products, demanding timescales and dependencies across its duration. The timescales for delivery will be revised by the Scottish Government due to the closure of ELC's and impact of COVID-19.		6	29-Jan-2021
Potential Effect	Reputational damage Failure to meet the Scottish Governments delivery plan to increase free ELC hours Children would not receive the best start in life Failure to meet our statutory duties Partner providers may be adversely affected		3	31-Mar-2022


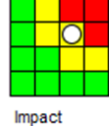
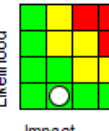
Measures of Impact	Care Inspectorate standards Key project milestones Scottish Government requirements Parental expectations Key personnel positions	Latest Note	The risk of not completing the building programme puts 1140 hours for all 3 and 4 year olds at risk, the Scottish Government has recently reinstated the entitlement of 1140 hours for all 3 and 4 yr olds which all LA's have to ensure is in place for August 2021.			
Risk Factors	Maintaining level of Scottish Government investment Availability of contractors within project timescales Recruitment of suitable staffing for centres Creation of flexible delivery model Staff engagement with the Early Years Strategy Quality of communication with parents and staff Successful transition to new delivery model Impact of closure due to COVID-19 will delay some projects Funding flexibility will delay some project until April 2021					
Internal Controls	Reports to Education Services Committee Early Learning and Childcare Strategy 2016 - 20 Care Inspectorate Children and Young Peoples Act (S) 2014 Education Governance Board Revised implementation plan for recovery Revised DLO building programme of works for outstanding projects Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Change Board updates Reports to Scottish Government Improvement Service	Managed By	Laura Mason			
		Assigned To	Kathy Morrison			
Progress of Linked Actions	E/1920DP/11EYS Deliver the Early Years Strategy		<div><div>100%</div></div>	Kathy Morrison		
Risk Opportunity	Parents and children will receive a more flexible childcare service Greater opportunities to tackle the impacts of inequalities on the very young and vulnerable children Improvement in quality assessment and moderation and interactive play-based methodologies across the Early Level Accessible provision will play a vital role in reducing the poverty related attainment gap through high quality early learning and childcare Opportunities for professional learning to meet the standard required					






SR 010

	SR 010 Ensure an appropriately resourced workforce.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to ensure that there is an appropriately resourced workforce in place to meet future organisational needs, either in effectively executing the Council's 2017-22 Workforce Plan, or in ensuring that the Plan is adapted over time if and when earlier assumed circumstances change.	 Likelihood	4	28-Jan-2021
		 Impact	Target Risk Matrix	Target Rating
			Target Rating	Target Date


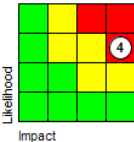
Potential Effect	<ul style="list-style-type: none"> - Low staff morale - Inability to deliver services effectively - Reduced level of service - Lack of improvement or increase in staff absences - Council underachieves as an organisation - Employee conflict 	 <p>Likelihood</p> <p>Impact</p>	2	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Access to and participation of employees in learning and development activities - Absence rate and trends - Employee turnover - Grievance, discipline and other monitoring information - Employee survey results and associated actions - Reports from external scrutiny bodies and award bodies - Benchmarking with appropriate comparators 	Latest Note	<p>Workforce planning has developed well alongside service delivery planning. This has been supported by better use of data in this area to inform decision making via the use of the console and the wellbeing dashboards.</p>	
Risk Factors	<ul style="list-style-type: none"> - Lack of appropriate development / shortage of skills may pose a risk to new models of service delivery - Lack of capability to deliver - Workforce unable to adapt to change 		<p>The workforce were surveyed around home working to ensure we are supporting and ensuring the resources required are in place to support service delivery. This has ensured wellbeing resources have maintained a holistic approach in supporting the workforce.</p> <p>In addition a number of workforce planning activities around work style and isolation monitoring during Covid has allowed us to operate a volunteer supply list to priority areas requiring additional support.</p>	
Internal Controls	<ul style="list-style-type: none"> - HR processes designed to meet service delivery needs - Develop new structures to reflect strategic priorities and aligned to Future Operation Model (FOM) - Align workforce plan to the Council's strategic planning processes (i.e. have the right people available at the right time with the right skills to fulfil properly all of the Council's strategic priorities) - Periodic review of pay arrangements in accordance with EHRC guidance (currently every 3 years) - Incorporation of succession planning into workforce planning framework - Identify training programmes to reskill staff as identified by training needs analysis - Effective use of SWITCH to support alternative careers - Flexible HR policies, in particular recruitment & selection, learning & development (including elearning), continuous improvement / development flexible working, attendance management, employee wellbeing related policies - Effective use of Occupational Health Service - Robust Be the Best Conversations process - Effective leadership and management behaviours and practice 	Managed By Victoria Rogers Assigned To Alison McBride		
Progress of Linked Actions	<p>P&T/1920/SHR/02 Review and relaunch the Council's Employee Wellbeing Strategy.</p>			Alison McBride
	<p>P&T/1920/SHR/04 Continue to embed the Council's Strategic Workforce Planning Framework with a particular focus on the impact of digital skills</p>			Alison McBride
Risk Opportunity	<ul style="list-style-type: none"> - Identify previously unknown skills and talents in the workforce - Realise the potential of staff 			

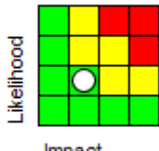

SR 011




	SR 011 EU Exit	Current Risk Matrix	Current Rating	Last Review Date
Description	<p>The Council has continued to proactively prepare for EU Exit, working alongside key partners and officers. Overtime, there may be service disruption, finance pressure, economic impacts. This has yet to be realised due to the ongoing lockdowns and restrictions presented by COVID-19. The true impact of leaving the EU will not be resultant instantly therefore a true reflection of its impact may require to be measured over an extended period of time.</p>		9	27-Jan-2021
Potential Effect	<p>There are a host of potential impacts that may be a direct result of EU Exit. UK Government put together a document outlining the Reasonable Worst-Case Scenario (RWCS). This set of planning assumptions outlined key risks taking into account the likelihood and impact. This allowed West Dunbartonshire Council to take cognisance of local risks and ensure mitigating actions were put in place to minimise any impact.</p> <p>On the back of the RWCS two EU Exit Action Plans were created. Once for Council risks and the other for risks that affect the HSCP. These action plans are live documents and regularly update and reported to the Audit Committee and Corporate Service Committee.</p> <p>For further information on the potential effect please refer to WD HSCP EU Exit Assurance Plan & WDC EU Exit Action Plan.</p>		2	31-Mar-2022
Measures of Impact	The measure of impact is detailed in both EU Exit Assurance Plans	Latest Note		
Risk Factors	Financial Workforce Goods, services & supply chains Community Regulation Insurance Education Global Pandemic			

Internal Controls	All internal controls are managed through both EU Exit Assurance Action Plans. In addition, the Council’s Resilience Groups continue to work with the Civil Contingencies Service (CCS) to act as the main driver to support and monitor the new Trade and Cooperation agreement. To compliment this, there is frequent liaison with multi-agency partners to ensure a shared understanding of risks locally, regionally and nationally. The Civil Contingencies Officer participates in regular EU Exit calls hosted by COSLA and working with other LAs to address any issues and raise concerns to Scottish Government. The Action Plans were recently crossed referenced with the updated UK Planning Assumptions of reasonable worst case scenarios and is a live document allowing officers to update their respective fields if and when required. The recent report to Leaders on the progression of EU Exit (also circulated to all Elected Members and Lay Members of the Audit Committee) which has allowed the Civil Contingencies Officer to determine how this may impact us locally.	Managed By	Victoria Rogers	
		Assigned To	Operational Resilience Group	
Progress of Linked Actions	SR011-1 Finance		<div><div>100%</div></div>	
	SR011-2 Regeneration		<div><div>100%</div></div>	
	SR011-3 Procurement		<div><div>100%</div></div>	
	SR011-4 Legal & Environmental Health		<div><div>100%</div></div>	
	SR011-5 P&T impact of EU nationals employed by WDC		<div><div>100%</div></div>	
	SR011-6 Insurance		<div><div>100%</div></div>	
	SR011-7 Communications		<div><div>100%</div></div>	
	SR011-8 Resilience		<div><div>100%</div></div>	
	SR011-9 Education		<div><div>100%</div></div>	
	SR011-10 Workforce Planning		<div><div>100%</div></div>	
	SR011 – 11 Citizens/Communities		<div><div>100%</div></div>	
Risk Opportunity	SR012 PANDEMIC (COVID)”			






SR 012

	SR 012 Pandemic (COVID-19)	Current Risk Matrix	Current Rating	Last Review Date
Description	<p>The Council is faced with significant ongoing demands with disruption to service delivery, increasing PPE and workforce pressures as a result of Covid 19 and subsequent local and national outbreaks.</p> <p>This involves both responding to the crisis and from services returning to a new normality based on Response, Recovery and Renew guidance produced by Scottish and National Government.</p> <p>NB. Financial risk is also reflected in SR001</p>		12	27-Jan-2021
		Target Risk Matrix	Target Rating	Target Date

Potential Effect	Reduced service delivery, disruption to service provision, demand for increased workforce in many areas, increased financial pressures and difficulty in responding effectively to demands from employees, Trade Unions and the wider public.		4	31-Mar-2022
Measures of Impact	Reduction in government funding Reduction in revenue and income Service reductions or closures/reducing quality/limiting quantity Reduction in WDC/WDLT workforce Increased debt owed to the Council Reputational damage to WDLT and Council due to reduced delivery/quality of services	Latest Note	Scoring of SR012 Covid 19 is still marked at 12. While the likelihood has reduced given that the mass vaccination programme is now being rolled out, the impact is still high due to the new strain of the virus, increased numbers following festive period, impact on health services and resourcing vaccination centres.	
Risk Factors	Level of government funding for COVID 19 Second wave of COVID-19 Local outbreaks, non compliance resulting in further restrictions or local lockdown Workforce reduction/absence/recruitment difficulties/wellbeing impacted/additional PPE requirements/difficulty with supply chain/increased costs Concerns from Elected Members/employees/Trade Unions about provision/ safety of service/facilities Additional hardware/software to cope with prolonged remote working Significant additional burden in Capital receipts			
Internal Controls	10 year Financial Strategy as referred within SR001 Powers delegated to council officers to speed up critical decision making during pandemic Business continuity plans – organisational and service specific SRG/SRRG established as a key decision making body guided by strategic council aims. Decisions noted and reported periodically to full Council. Regular sharing of information and guidance to officers and managers in relation to COVID-19 via exception reporting and situation (SITREP) reporting to ORG/SRG ORG established as an operational delivery body to ensure consistent messages and SRG decisions implemented, governance and compliance managed via SRRG. Dedicated Intranet page established; acting as a vehicle for sharing current information and best practice. WDC officers/councillors are actively participating in national forums to update SG as to WDC's position and stay updated on national advice Regular Workforce updates issued to ensure clarity of message and provide clear advice WDC/WDLT management to undertake reviews to find efficiencies to reduce costs and improve sustainability opportunities for savings and greater sustainability. Additional forums for collective consultation and information sharing established with trade unions.	Managed By	Victoria Rogers	
		Assigned To	John Duffy; Alison McBride	
Sub-Risks Description	Sub-Risks Measures of Impact/Internal Controls	Sub-Risks Traffic Light Icon		Sub-Risks Managed By
Workforce	The Council is faced with significant workforce demands in relation to absence, reduction, recruitment and wellbeing. Employees absence as a result of self-isolation, infection or caring requirements. Workforce reductions - due to insufficient funding, employees leaving due to caring requirements and anxiety. Recruitment issues caused by insufficient funding, demand in certain areas and skills. Wellbeing with employees working for an extended period at home, mental health, DSE and ongoing supports. Business Continuity Plans reflect employees absences of up to 30% in determining how critical services will be delivered such diverting non			All relevant managers/O RG members

	<p>critical roles to support key roles. Volunteer process in place to allow managers to apply for support and have volunteers identified and matched. To reduce the loss of key worker the council have promoted flexible working arrangements, providing childcare facilities and access to health supports.</p> <p>National and Government schemes being accessed such as DWP Kickstart to supplement the local vaccination centres.</p> <p>WDC are working with NHS Greater Glasgow and Clyde in the roll out of mass vaccination for COVID-19.</p> <p>A multi-disciplinary oversight group has been set up to provide leadership to develop and monitor the delivery of West Dunbartonshire's Mass Vaccination Plan. This is being supported by a delivery group which will deliver operational and logistical implementation aspects of the plan. National schemes being accessed such as DWP Kickstart to supplement the local vaccination centres.</p> <p>A cross-team approach has been agreed to supporting the operation of 3 mass vaccination centres (Alexandria Community Centre, The Hub Clydebank and The Concorde, Dumbarton) within West Dunbartonshire. WDC are also exploring options with voluntary organisations to complement the SRworkforce to embed in medium to longer term resilience.</p> <p>Recruitment processes reviewed with online process developed with Disclosure Scotland and SSSC.</p> <p>Wellbeing strategy in place with a focus on Mental Health supports, OH provider has delivered bespoke supports and i-learn has been expanded to support additional needs of the workforce. Significant internal demand on OH supports increasing costs substantially – little evidence of use of national supports for social care workers.</p>			
Service Delivery	<p>The Council is faced with significant delivery demands in relation to moving services online, disruption, reduction and quality.</p> <p>Services are disrupted as a result of employees absence, increased demand or lack of equipment/supplies. Reduction & quality are impacted due to insufficient funding leading to reduced numbers of employees and impacting on quality of service delivery.</p> <p>The Council have moved where possible to meet the needs of citizens via a more digital delivery method. Transformation projects will be reviewed in light of the developments made in this area.</p> <p>Business Continuity Plans identify critical activities and the minimum resources required to deliver critical activities – these were updated within the last 12 months.</p>			All relevant managers/O RG members
Protection	<p>The Council is faced with significant demands for protection in relation to additional and constant changing legislation and guidelines, PPE requirements, supply chain, cost of PPE and ensuring workforce safety.</p> <p>WDC officers are actively participating in national forums to stay updated on national advice and ensure this is cascaded council wide. Officers from across the organisation review the SG COVID website daily to capture any changes.</p> <p>PPE demands continue and supply chain issues could impact upon our ability to purchase key equipment or resources, or affect any areas where we are reliant on a contractor. Business Continuity Plans consider supplier dependencies, including potential alternative suppliers.</p> <p>WDC have an established Risk assessment process to ensure safe practices for work.</p>			All relevant managers/O RG members
Public uncertainty	<p>The Council is faced with significant demands around public uncertainty and leads to additional burdens upon services, seeking information, advice and support.</p> <p>Council continue to work with key stakeholders and citizens to ensure clarity of information as services recommence, ensuring this is shared with members of the public via social media/Council website, alongside FAQs being made available where necessary.</p> <p>Information on updated Government advice is distributed through these channels regularly, and as soon as possible after Govt announcements, Requests made via the contact centre to reduce burden on services.</p>			All relevant managers/O RG members
Risk Opportunity	<p>Enhance reputation of Council by being able to provide confidence clear guidance and supports</p> <p>Continue to build on digital service delivery via Digital Board plans.</p> <p>Continue with estate, assets and service delivery</p> <p>Enhance employees "feeling valued" by providing good conditions, wellbeing opportunities and supports</p>			

	Secure external funding for assisting in the delivery of council aims
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Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown