

WEST DUNBARTONSHIRE COUNCIL**Report by Strategic Lead – People & Technology****Audit Committee: 25 September 2019**

Subject: Strategic Risks 2017-22**1. Purpose**

- 1.1** To provide an update on the strategic risks for 2017-22.

2. Recommendations

- 2.1** It is recommended that the Committee consider the report and the strategic risks as detailed at Appendix 1.

3. Background

- 3.1** As part of the agreed improvements arising from the report to the 12 December 2019 Audit Committee on “Audit Committee Self-Assessment and reporting on audit assignments” Committee agreed that it should receive reports on risk management. This is the first such report to be reported to Audit Committee on risk management following that decision. This report has already been reported to Members to the Corporate Services Committee on 21 August 2019.
- 3.2** Since the Council first developed and published strategic risks in 2008, they have been incrementally refined in line with strategic plans. The appended risks were reviewed in 2017 and are re-assessed bi-annually before being reported to this Committee..

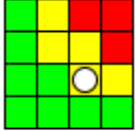

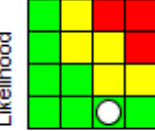

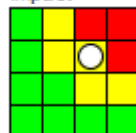



4. Main Issues**Strategic Risk**

- 4.1** In line with the Council’s Risk Management Framework, a re-assessment of the strategic risks has taken place as detailed within Appendix 1. Each risk is managed through internal controls, linked actions and associated milestones with the objective being to reduce or stabilise the level of risk through completion of linked actions over a period of time and / or ensure mitigation factors are adequate should the risks actually materialise.
- 4.2** Table 1 represents a risk dashboard that includes information on the original, current and target ratings for each strategic risk, as well as an assessment of the current risk status. Each strategic risk is identified and supported by more

detailed information available on a “drill-down” basis in Appendix 1. Nine Strategic Risks, associated actions and milestones are progressing as expected and likely to reach their assigned targets. SR001 is significantly off target and is not likely to reach its intended risk outcome of low.

Table 1 Key Strategic Risk Information

Strategic Risk	Original Risk 2017	Current Risk 2019	Target Risk 2022	Risk Status Rationale
SR 001 Financial Funding.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 002 School improvements.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 003 Council Assets.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 004 Information Technology.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 005 Partnerships.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 006 Citizens and Communities.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 007 Health and Safety of Employees and Others	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	
SR 008 Cyber Attack.	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	

SR 009 Early Years Agenda.				
SR 010 Resourced Workforce.				

Risk Methodology and Reporting

4.3 Each strategic risk is populated in Pentana in terms of the following template:

- Risk title and code;
- Description;
- Ownership;
- Potential effect;
- Measures of impact;
- Risk factors;
- Internal controls;
- Risk opportunity; and
- Linked actions.

4.4 Each risk has been scored using a “4 x 4” matrix for likelihood and impact in relation to:

- Current risk (with review dates set at pre-determined intervals); and
- Target risk (i.e. 31 March 2022 - the duration of the Strategic Plan).

The risk descriptors used in the “4 x 4” matrix are as follows:

Likelihood

<u>Score</u>	<u>Descriptor</u>
1	Unlikely
2	Likely
3	Very likely
4	Certain

Impact

<u>Score</u>	<u>Descriptor</u>
1	Minor
2	Moderate
3	Significant
4	Critical

- 4.5** For ownership, each strategic risk is “Managed By” a Strategic Lead and “Assigned To” a Service Manager. Strategic risks are reported on a bi-annual basis to the Performance & Monitoring Review Group and Corporate Services Committee.

Service Risk

- 4.6** Following the methodology in 4.3 to 4.4 above, each service has service owned operational risk registers in Pentana; these will be further developed and updated through the current strategic plan.
- 4.7** The Section Head – Risk & Health and Safety is currently working with the Civil Contingencies Service (CCS) in exploring the risks associated with Britain’s exit from the EU and potential impact on services, developing the Council Brexit Contingency Plan which will be further developed as a strategic risk once exit takes place.

Strategic Risk Management Training

- 4.8** As part of the Management Development Programme risk management training has been delivered to new and middle managers, another session is being planned for Regulatory Services.
- 4.9** A commitment has also been made to deliver risk management training, through Gallagher Basset, to members of Community Planning West Dunbartonshire. This will be built into the 2019/20 schedule for the partnership.
- 4.10** Through discussion with the procurement and insurance sections and the council’s insurance brokers, a more tailored session will be developed and delivered on procurement and insurance risk for the procurement teams by November 2019.

5. People Implications

- 5.1** There are no people implications associated with this report.

6. Financial and Procurement Implications

- 6.1** There are no financial and/or procurement implications.

7. Risk Analysis

- 7.1** Failure to progress on risk management is likely to result in the Council being criticised by External Audit for not having an integrated approach to embedding risk management within the authority with the result that a “no scrutiny required” status will not be achieved.

7.2 Progressing with risk management will demonstrate that the Council is taking ownership of risk management so that effective measures will be put in place for the management of risk. The ability to demonstrate risk ownership should benefit the Council in terms of:

- Understanding risk and its potential impact on the Council's priorities and objectives;
- Reducing insurance premiums going forward by recognising that a mature approach to risk management will contribute to a reduction in the number and value of claims across a range of insurance classifications;
- Contributing towards incident prevention based upon post-incident investigation;
- Meeting statutory/regulatory requirements; and
- Ensuring better partnership working with external and internal partners.

8. Equalities Impact Assessment (EIA)

8.1 An equalities screening was undertaken that identified no impact on a particular protected group.

9. Consultation

9.1 The strategic risks have been discussed with the Strategic Leads and Directors.

10. Strategic Assessment

10.1 At its meeting on 25 October 2017, the Council agreed that its five main strategic priorities for 2017 - 2022 are as follows:

- A Strong local economy and improved employment opportunities;
- Supported individuals, families and carers living independently and with dignity;
- Meaningful community engagement with active empowered and informed citizens who feel safe and engaged;
- Open, accountable and accessible local government; and
- Efficient and effective frontline services that improve the everyday lives of resident

10.2 The strategic risks in 4.1 have been identified to complement the main strategic priorities.

Name: Victoria Rogers
Designation: Strategic Lead People & Technology
Date: 27 August 2019

Person to Contact: John Duffy (Section Head) Risk and Health & Safety.
Telephone 01389 737897

john.duffy2@wdc.gcsx.gov.uk

Appendices:

Appendix 1: Detailed Strategic Risk List


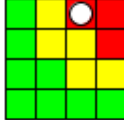
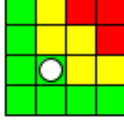


Background Papers:


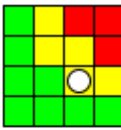
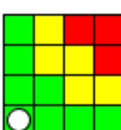

Report to Council on 25 October 2017 - West
Dunbartonshire Council Strategic Plan 2017-22
Risk Management Framework

Strategic Risk Report August 2019


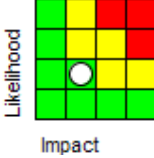
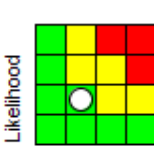








Generated on: 27 August 2019


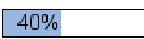

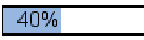
SR 001


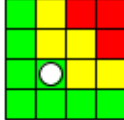
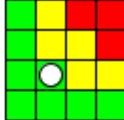
	SR 001 Significant financial funding reductions from Scottish Government	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council is faced with significant ongoing funding reductions from the Scottish Government. Austerity is expected to continue for a number of years into the future and likely to result in funding reductions. This coincides with a period where costs are expected to rise in relation to Social Care due to aging population and capped powers to raise funds through Council Tax.	 Likelihood Impact	12	25-Jun-2019
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.	 Likelihood Impact	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> - Reduction in government grant - Demographic change (population decline/growth, aging population) - Savings required including cutting level and/or quality of service provision - Increased Debt (collection of Council Tax, HRA rents, etc) 	Latest Note	Following assessment, this risk remains significant. We continue to monitor and update projections.	
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 - 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	RES/1819/009 Review and update long term finance strategy			Stephen West
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 			












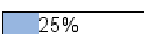

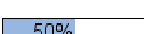

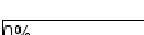

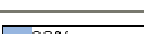

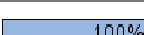


	SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement	Current Risk Matrix	Current Rating	Last Review Date
Description	This risk concerns the delivery of excellence and equity for our young people to support them to attain and achieve at the highest level. In 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.		6	26-Aug-2019
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 - HMIE 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 STEM subject uptake in secondary schools - increased numbers of learners entering STEM related career pathways - standardised literacy and numeracy tests	Latest Note Attainment has improved and the poverty-related attainment gap is narrowed in the majority of key areas.		
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			
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 CPD programme to support education staff Meetings between WDC and Education Scotland/HMIE BGE Attainment and Performance Data School Improvement Literacy, Numeracy and HWB Steering Group National Improvement Framework (NIF)	Managed By	Laura Mason	
		Assigned To	Julie McGrogan	
Progress of Linked Actions	E/1920DP/02DEI Develop and Deliver Educational Improvement Across West Dunbartonshire		3%	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			


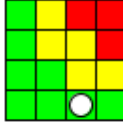
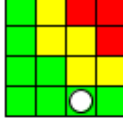









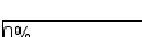


SR 003


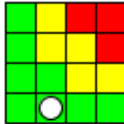
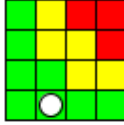



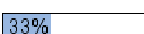
	SR 003 Councils Assets	Current Risk Matrix	Current Rating	Last Review Date
Description	Risk: That the Council's assets and facilities are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective services. Assets included in this assessment are; the Council's property portfolio, housing stock, roads and lighting, fleet and open space		4	03-Jul-2019
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		Risk matrix score should remain unchanged at this time. Additional planned maintenance funds for buildings have been allocated within 2019/20 and the impact of this will be monitored.
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 - Schools Estate Strategy - Capital Investment Team - Existence of Asset Management Group with meetings held on a regular basis - Property Asset Management Plan - HRA Capital Investment Programme - 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 	Managed By	Richard Cairns	
		Assigned To	Craig Jardine; Gail Macfarlane; Jim McAloon; Alan Young	
Progress of Linked Actions	Regen/1819/AM/01 Make further progress towards implementation of the Strategic Plan for the regeneration of the remaining schools estate.			Jim McAloon
	Regen/1819/AM/03 Deliver the allocated General Services investment programme projects for 2019/20			Jim McAloon
	Regen/1819/HAI/02 Deliver the HRA Capital Investment programme for 2018/19.			Jim McAloon
	Regen/1920/AM/01 Review the Strategic Plan for the regeneration of the remaining schools estate including the production of a new Schools Estate Management Plan.			Jim McAloon

	Regen/1920/AM/03 Deliver the allocated General Services investment programme projects for 2019/20			Jim McAloon
	Regen/1920/HAI/02 Deliver the HRA Capital Investment programme for 2019/20.			Jim McAloon
Risk Opportunity	<p>-Enhance reputation of Council by being able to improve Council</p> <p>-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)</p> <p>- Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities</p> <p>- Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland)</p> <p>- Prioritised Building Upgrade Plan</p> <p>- 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.</p> <p>- The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology.</p>			









	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	 Likelihood Impact	4	20-Jun-2019
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.	 Likelihood Impact	4	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 mgmt 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. - 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. 	Latest Note	Continued investment in corporate and service-specific improvement projects and technologies such as the annual device replacement programme; 365 pilot; 'follow you' printing; and extending the functionality available via HR and Housing Management systems demonstrate the Council's commitment to maximising and leading on technology based improvements.	
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"> - - Information & Communication Technology (ICT) Policy - Governance structures 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 	Managed By	Victoria Rogers	
		Assigned To	James Gallacher; Patricia Kerr; Brian Miller	


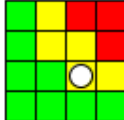
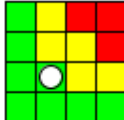
	centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland			
Progress of Linked Actions	P&T/1819/ICT/01 Transformation & Channel Shift - Providing IT Support for Service Transformation Projects			Patricia Kerr
	P&T/1819/ICT/02 Continue to review and develop business case for shared IT services			Patricia Kerr; Victoria Rogers
	P&T/1819/ICT/03 Continue to deliver ICT tasks to support Property Rationalisation and Improvement Projects			Patricia Kerr; Victoria Rogers
	P&T/1819/ICT/04 Continue to review and deliver ICT service improvements aligned to business needs			Patricia Kerr
	P&T/1819/ICT/11 Deliver projects and changes required to continue to improve the overall security, compliance and resilience of the Councils IT Infrastructure.			Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/01 Transformation & Channel Shift			Patricia Kerr
	P&T/1920/ICT/02 Explore Sharing Opportunities			Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/03 Deliver a secure and resilient IT Infrastructure			Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/04 Implement ICT Service Improvements			Patricia Kerr
	PT/1718/ICT/004 Support corporate and strategic transformation and channel shift projects.			Patricia Kerr
	PT/1718/ICT/008 Investigate shared infrastructure components			Patricia Kerr
Risk Opportunity	<ul style="list-style-type: none"> - 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 Partnerships	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council fails to engage adequately with partnership bodies	 Likelihood Impact	3	03-Jul-2019
Potential Effect	failure of partnership impacts on Councils obligations under Community Empowerment Act	 Likelihood Impact	3	31-Mar-2022
Measures of Impact	Successful delivery of LOIP and supporting plans positive partnership inspections	Latest Note	CPWD strengthened through publication of LOIP and strong DIGs	
Risk Factors	<ul style="list-style-type: none"> - inability to deliver improved outcomes which require strong partnership activity - Council's reputation is adversely affected through a failed partnership arrangement 			
Internal Controls	<ul style="list-style-type: none"> - 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	Malcolm Bennie	
		Assigned To	Amanda Coulthard	
Progress of Linked Actions	CCC/1819/P&S/03 Ensure citizens are supported to engage and participate in service design and delivery			Malcolm Bennie
	CCC/1819/P&S/04 Support Community Planning West Dunbartonshire to further develop locality planning and involvement in line with the Community Empowerment Act			Malcolm Bennie
	CCCF/1920/P&S/01 Support Community Planning West Dunbartonshire to further develop locality planning and involvement in line with the Community Empowerment Act			Malcolm Bennie
	CCCF/1920/P&S/04 Ensure robust data and analysis is available to support decision making across all services			Malcolm Bennie
	CCCF/1920/P&S/06 Review and embed frameworks which support continuous improvement and best value across the organisation			Malcolm Bennie
	GOV-18-008 8. Partnership risk			Malcolm Bennie
Risk Opportunity	- Position West Dunbartonshire as a modernising Council			


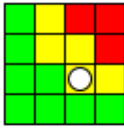
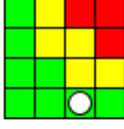

	SR 006 citizens and communities	Current Risk Matrix	Current Rating	Last Review Date
Description	The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents	 Likelihood Impact	2	03-Jul-2019
Potential Effect	- Tensions develop with citizens and local community groups	 Likelihood Impact	2	31-Mar-2022
Measures of Impact	- informed and engaged citizens participating in consultation activity	Latest Note	Actions to mitigate this risk are progressing as planned.	
Risk Factors	Lack of appropriate staff development / skills may be lacking to support new model of service delivery inequity of engagement across the partnership on key local issues council seen as unresponsive to community if feedback from engagement not acted upon apathy within communities leads to little or no engagement some community groups feel their voices are not being heard			
Internal Controls	- 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	CCC/1819/P&S/03 Ensure citizens are supported to engage and participate in service design and delivery			Malcolm Bennie
	CCCCF/1920/COT/03 Increase social media audience (to 40%) and engagement (to 1.5m) across each platform through continually evaluating our approaches to social media and responding to social media trends and evolution			Malcolm Bennie
Risk Opportunity	Community Empowerment Act participation requests asset transfer			


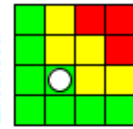
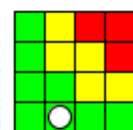








✓	SR 007 Health and Safety of Employees and Others	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.	 Likelihood Impact	4	20-Jun-2019
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.	 Likelihood Impact	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	Actions to mitigate this risk are progressing as planned.	
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. 	Managed By	Victoria Rogers	
		Assigned To	John Duffy; Alison McBride	







	<ul style="list-style-type: none"> Council promotes health and safety training for TUs to diploma level. 			
Progress of Linked Actions	P&T/1819/H&S/01 Continue to embed an organisational health and safety culture		<div><div>100%</div></div>	Alison McBride
	P&T/1819/H&S/02 Further develop and implement the Council health and safety management software system (Figtree)		<div><div>100%</div></div>	Alison McBride
	P&T/1819/H&S/03 Develop and implement the Council's Health & Safety management system to reflect new ISO 45001 (Occupational Health and Safety) standard.		<div><div>100%</div></div>	Alison McBride
	P&T/1819/H&S/04 Develop and implement a Council Fire Risk Management Strategy.		<div><div>100%</div></div>	Alison McBride
	P&T/1819/H&S/05 Review effectiveness of Council approach to risk management and implement improvement action as appropriate.		<div><div>75%</div></div>	Alison McBride
	P&T/1920/H&S/01 Embed an organisational health and safety culture though extending organisational use of Figtree and understanding of health & safety		<div><div>57%</div></div>	Alison McBride
	P&T/1920/H&S/02 Increase understanding of Council Fire Risk Management Strategy.		<div><div>25%</div></div>	Alison McBride
	P&T/1920/H&S/03 Undertake a review of the effectiveness of Council approach to risk management and implement improvement action as appropriate.		<div><div>25%</div></div>	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 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.	<div>Likelihood</div>  <div>Impact</div>	6	20-Jun-2019
		Target Risk Matrix	Target Rating	Target Date
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	<div>Likelihood</div>  <div>Impact</div>	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	Cyber attacks are a daily occurrence and the continued and increased focus on regular device and system security patching, firewall and network perimeter controls are helping to minimise and reduce the likelihood of a threat. The Council continues to raise employee awareness as well as ensuring business continuity plans are in place should our defences be compromised.	
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		Managed By	James Gallacher;	

	<ul style="list-style-type: none"> Implementation of internal Policies on Patching and hardware/software hardening Annual PSN compliance audit including a comprehensive IT Health Check Governance structure in place, ICT Board consisting of senior management and relevant stakeholders meeting once per month 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 		Patricia Kerr; Brian Miller	
		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		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/520 2. DR Plans for the main telephony delivery systems have yet to be implemented/tested		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/521 3. Systems without parallel DR arrangements are not fully tested		<div><div>100%</div></div>	Patricia Kerr
	CS/IAAP/525 7. Lack of formal DR testing schedule at primary DR site		<div><div>100%</div></div>	Patricia Kerr
	P&T/1819/ICT/01 Transformation & Channel Shift - Providing IT Support for Service Transformation Projects		<div><div>100%</div></div>	Patricia Kerr
	P&T/1819/ICT/02 Continue to review and develop business case for shared IT services		<div><div>100%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1819/ICT/04 Continue to review and deliver ICT service improvements aligned to business needs		<div><div>100%</div></div>	Patricia Kerr
	P&T/1819/ICT/11 Deliver projects and changes required to continue to improve the overall security, compliance and resilience of the Councils IT Infrastructure.		<div><div>100%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/01 Transformation & Channel Shift		<div><div>25%</div></div>	Patricia Kerr
	P&T/1920/ICT/02 Explore Sharing Opportunities		<div><div>50%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/03 Deliver a secure and resilient IT Infrastructure		<div><div>0%</div></div>	Patricia Kerr; Victoria Rogers
	P&T/1920/ICT/04 Implement ICT Service Improvements		<div><div>20%</div></div>	Patricia Kerr
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 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.	 Likelihood Impact	6	25-Jun-2019
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	 Likelihood Impact	3	31-Mar-2022
Measures of Impact	Care Inspectorate standards Key project milestones Scottish Government requirements Parental expectations Key personnel positions	Latest Note	The key risks are delays and delivery of infrastructure, recruiting and developing a committed workforce and ensuring all the ELCC's meet the criteria for the National Standard.	
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			
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 Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Change Board updates	Managed By	Laura Mason	
		Assigned To	Kathy Morrison	
Progress of Linked Actions	E/1920DP/11EYS Deliver the Early Years Strategy		<input type="text" value="0%"/>	Andrew Brown
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 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 Impact	4	03-Jul-2019
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 	 Likelihood Impact	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		Whilst risk rating remains as per last review in May 2018, relevant internal controls are in place and linked Delivery Plan actions are being progressed in line with identified timescales
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 			
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&T/1819/OD/01 Continue to deliver a variety of development opportunities such as Lean/Six Sigma, New Managers Induction, build digital literacy workforce knowledge & skills and relaunch the Coaching & mentoring Programme		 100%	Alison McBride
	P&T/1819/OD/03 Continue to embed Be The Best Conversations council wide.		 100%	Alison McBride
	P&T/1819/SHR/01 Continue to provide HR support to inform and implement organisational change projects.		 100%	Victoria Rogers
	P&T/1819/SHR/02 Continue to implement the Council's Employee Wellbeing Strategy.		 91%	Victoria Rogers

	P&T/1819/SHR/04 Continue to embed the Council's Strategic Workforce Planning Framework.		<div><div>100%</div></div>	Victoria Rogers
	P&T/1920/OD/01 Continue to progress and deliver a variety of development opportunities such as Lean/Six Sigma, New Managers Induction, build digital literacy workforce knowledge & skills and relaunch the Coaching & mentoring Programme		<div><div>0%</div></div>	Alison McBride
	P&T/1920/OD/03 Monitor the impact of Be The Best Conversations council wide.		<div><div>25%</div></div>	Alison McBride
	P&T/1920/SHR/01 Address workforce equalities objectives		<div><div>0%</div></div>	Alison McBride
	P&T/1920/SHR/02 Review and relaunch the Council's Employee Wellbeing Strategy.		<div><div>40%</div></div>	Alison McBride
	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		<div><div>20%</div></div>	Alison McBride
Risk Opportunity	<ul style="list-style-type: none"> - Identity previously unknown skills and talents in the workforce - Realise the potential of staff 			

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

