Erratum Notice

Audit Committee

Date: Wednesday, 9 August 2023

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Time: 10:00

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Venue: Council Chambers, Clydebank Town Hall, 5 Hall Street, Clydebank, G81 1UB

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Contact: Ashley MacIntyre, Committee Officer
ashley.macintyre@west-dunbarton.gov.uk

Dear Member

ERRATUM

I refer to the papers for the above Meeting of the Audit Committee which were issued on 26 July 2023 and enclose a revised version of the Appendix relating to **Item 7, 'Strategic Risks 2022-2027'.** This supersedes pages 43 to 57 of the original papers issued for the meeting.

The revised Appendix has been amended in relation to the milestones at Strategic Risk 3 (page 45), 4 (page 46) and 10 (page 54).

I apologise for any inconvenience caused.

Yours faithfully

PETER HESSETT

Chief Executive
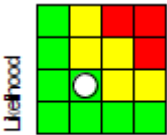
Strategic Risk Report

Generated on: 12 July 2023

	SR 01 Significant financial funding reductions / limitations from Scottish Government	It is expected that the Council will continue to be faced with significant real term funding reductions from the Scottish Government settlement. This is based on recent settlements, the March 2022 Resource Spending Review which states that Council funding will remain as 'flat cash' (at current 2022/23 levels) until 2025/26 with a £100m added in 2026/27. This coincides with a period where costs are continuing to rise in relation to social care, significant inflationary increases impacting all services, the impact of increases in the bank interest rate on the cost of borrowing and pay award pressures linked to inflation. Whilst there are discussions between the Scottish Government and Local Government on a new deal which may reduce the extent that funding is ring fenced the reality of what this will look like is still to be seen and there is still considerable ring fencing in place which significantly restricts how the Council can most effectively use the funds made available to it.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	28-Jun-2023	**16**		31-Mar-2027	**4**	Laurence Slavin

Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.
Measures of Impact	- 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)
Risk Factors	- Level of government grant - Lack of time to plan for changes in the level of grant funding due to single year settlements and late settlement information from Scottish Government - General inflationary factors -Bank of England Base Rate increases - Significant additional cost pressures - Capital receipts-Insufficient funding from the Scottish Government in relation to Local Government pay awards
Internal Controls	- 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
Latest Note	Assumptions on future Scottish Government funding, and other material budget assumptions, are updated regularly and reported to Council periodically throughout the year. It is expected that future Scottish Government funding will be insufficient to pay for current levels of service delivery, furthermore it is expected that future local government settlements will be a real terms reduction in local government funding. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	-Annual exercise to identify efficiencies - Projects to implement new ways of working (e.g. digitisation, automation, asset management) - Enhance the reputation of the Council as an organisation which manages its finances soundly

Linked Actions Code & Title	Progress	Status	Assigned To
RES/23-24/006 Review the current capital programme reporting	0%	▶	Carol Alderson

procedures			
RES/23-24/007 Review ways of decreasing corporate debt through continued improvements to debt collection processes in relation to sundry, NDR, Council Tax and rent	0%	▶	Ryan Chalmers
RES/23-24/008 Review ways to improve rent collection rates in conjunction with Housing and W4U	0%	▶	Ryan Chalmers

	SR 02 Challenges in implementing broad-ranging school improvement to raise attainment and achievement	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 national and local priority is to accelerate progress with the aspirations to deliver improved attainment, tackle the poverty related attainment gap and recover from any negative impact of the pandemic. Scottish Equity funding devolved to local authorities aims to deliver on priorities between 2023-26.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	28-Jun-2023	**4**		31-Mar-2027	**2**	Julie McGrogan

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 poverty related 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.
Measures of Impact	Stretch Aims and Targets set in October 2022 to be reported on by December 2023– locally set but aggregated nationally. New 3 year stretch aims will be set in September 2023 to be achieved by 2026 with expectations of annual progress reporting. West Dunbartonshire Performance Targets West Dunbartonshire Improvement Board Quality Indicator Evaluations National Qualifications Attainment and Achievement Results Broad General Education Achievement of Level Results West Dunbartonshire Scottish National Standardised Assessment Data Positive Destination Data West Partnership Attainment , Equity and Destination Performance Measures Her Majesty's Inspectors of Education inspection reports Stakeholder Feedback
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. There is a change to the local authority funding model for Scottish Equity Fund (SEF) with an annual tapered reduction of funding to WDC between 2022-2026. This will reduce resources available to deliver work streams related to SEF.
Internal Controls	-Raising Attainment Strategy -Project management by Senior Education Officer -Education Improvement Board chaired by Chief Education Officer -Scrutiny by Scottish Government and Education Scotland (progress reports produced and submitted) -WDC Improvement Framework -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 -BGE Attainment and Performance Data -Literacy, Numeracy and HWB Steering Group -National Improvement Framework (NIF) -Education Recovery Plan
Latest Note	The key risk to ongoing progress is SG's plan for a tapered SAC funding model between 2022 to 2026.

The service has maintained a strong record of progress with young people in quintile 1 attaining in the broad general education above the national average; and in 2022 an increase was achieved in the number of young people finding a positive destination moving WDC to 20th position out of the 32 local authorities.

Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.

Risk Opportunity	IImproved 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

Linked Actions Code & Title	Progress	Status	Assigned To
ELA/23-24/003 Narrow the attainment gap between the most and least disadvantaged children and young people	0%	▶	Julie McGrogan
ELA/23-24/004 Improve skills and sustained, positive school leaver destinations for all young people	0%	▶	Andrew Brown
ELA/23-24/005 Improve attainment, particularly in literacy and numeracy	0%	▶	Julie McGrogan

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✓	**SR 03 Maintaining Council Assets that are fit for purpose**	The 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.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	28-Jun-2023	4		31-Mar-2027	2	Michelle Lynn

Potential Effect	- Assets are not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users - Service users require to seek alternative service provision -Increase in reactive maintenance costs/ demand/ volume -Council assets in poor conditions -Council assets fail to meet relevant standards which are reported to either Scottish Government and/or Care Inspectorate.
Measures of Impact	- Condition surveys - Suitability surveys - Customer perceptions of service delivery - Investment levels in upkeep and improvement of asset base and facilities -Asset user satisfaction - Operating costs and savings
Risk Factors	- Adequacy of funding available to improve asset base - Adequacy of staff resources allocated to the area of asset management - Council buildings/assets deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts from surplus property sales - Increase public liability claims
Internal Controls	- Corporate Asset Framework - Learning Estate Strategy 2020-2030 - Property Asset Plan 2023-2028 - Property and Land Disposal Strategy - Capital project meetings are carried out regularly in addition to project specific meetings and Building Services/Asset Management monthly meetings - Capital Programme - Strategic Asset Management Group - Learning Estate Project Board - Detailed asset database that shows relevant information on a property by property basis in relation to operational, non-operational - Sustainability Policy
Latest Note	No change to risk matrix score. The Property Action Plan 2023-28 approved February IRED Committee will

	monitor all requirements to maintain risk score. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	-Enhance reputation of Council by being able to improve Council assets. -Estate, assets and service delivery (e.g. new school buildings, operational building upgrades, office and depot rationalisation projects) - Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities -Improved satisfaction from public building users - Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland) - Prioritised Building Upgrade Plan

Linked Actions Code & Title	Progress	Status	Assigned To
SD&P/23-24/BS/01 Deliver the HRA Capital Improvement programme for 2023/24	25%	▶	Martin Feeney
SD&P/23-24/CAM/02 Progress disposal of key strategic sites over 23/24	0%	▶	Michelle Lynn
SD&P/23-24/CAM/03 Develop and implement plans and support other services to achieve the various asset related options agreed by Council.	33%	▶	Michelle Lynn

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✅ **SR 004 Keeping abreast of developments in the innovative use of Information Technologies** — Failure to keep pace with changing technology environment

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
Likelihood / Impact	20-Jun-2023	**2**	Likelihood / Impact	31-Mar-2027	**2**	James Gallacher

Potential Effect	A lack of consistent, sufficiently robust service 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 such as increased requirement for remote working as identified during covid pandemic.
Measures of Impact	• Close relationship and working practices with council Asset Management Service regarding property rationalisation. • Implementation of mobile and flexible working, enabling a downsizing of required office accommodation as people to work more efficiently and to adopt a more flexible policy towards office accommodation and desk provision. • Number of systems that have supplier maintenance contracts. – annual process. • Invocation of Service Business Continuity Plans and ICT Disaster Recovery plan • Degree of compliance with security controls to prevent data loss through poor o/s patching, cyber-attack, firewall configurations, switch replacements/upgrades etc • Fit for purpose primary and secondary data centres • Modern Wi-Fi technology in all council locations. • Broadband speed in the Council area - WDC has 2nd highest broadband speeds in Scotland. Investigating funding options for fibre network. • Number of ICT Service Desk incidents resolved within half day - exceeded the target and higher target set. • 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. PSN/Risk/challenging. Support service areas. • Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers. • Provide efficient desktop services supporting laptops, Chromebooks, PCs, Thin client terminals to meet changing workforce flexibility and property rationalisation requirements. 5-year Device replacement programme in place.
Risk Factors	• Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised • Lack of network security controls implemented. I. e Lack of intrusion detections alerts • failure to respond to audit / PSN test findings and recommendations, • insufficient resources allocated to security tasks. However, Service redesign and ICT resources aligned to

	security tasks and improved monitoring processes and tools as well as additional tools purchased to help support remote working environment all help to mitigate this risk. • Insufficient Service Business Continuity Plans and/or Disaster Recovery Capability. • Lack of project and programme change management arrangements. • Poor quality of mobile communication provision. • Lack of uptake on channel shift.
Internal Controls	- Ongoing Capital programme established for technology refresh projects - Information & Communication Technology (ICT) Policies such as ICT Security Framework - Governance structures such as ICT Steering Board, Education ICT Steering Board, Digital Transformation Board in place to support governance, integrated planning and decision making in relation to ICT -Use of both internal IT resources from across the Council and skilled specialist consultants in key areas - Fit for purpose primary and secondary data centres
Latest Note	• Wi-Fi Upgrade – project in progress to replace end of life Wireless Access Points in all WDC locations. • WDC mailboxes migrated to Microsoft 365 cloud platform enabling secure authentication access from anywhere and any device. • Review of technology to deliver business applications to employees in progress. • Review of remote access technology redesign underway to accommodate the increased demand of hybrid working. • Review of bandwidth requirements to improve line speeds in corporate and education estates. • Reconfiguration of windows updates technology and process underway with the aim reduce disruption to employees. • Automation project underway for data matching, maintenance, and operational tasks. • New storage area network installed and data migration plan in progress
Risk Opportunity	-365. Provide Council employees with secure access to email and supporting systems from anywhere. -Opportunity to redesign infrastructure and introduce new tools and security measures to support hybrid working environments. – - Annual network penetration tests and for PSN compliance audit - Annual External Audit on ICT Controls - Continued investment in ICT infrastructure and its focus on network security and resilience. - Provide appropriate technology for employees, pupils, and service users as well as for ICT support teams - Rationalise IT systems - Increased use of mobile devices e.g., laptop/tablet devices and Chromebooks - Review of device strategy and efficient/effective approach. - Provide self-service style systems to employees and citizens

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/23-24/CT/02 Upgrade Wi-Fi technology in council buildings	20%	▶	Andrew Cameron; James Gallacher
P&T/23-24/CT/03 Review and implement ICT Tech Desk service	75%	▶	James Gallacher
P&T/23-24/CT/04 Develop and establish Skills programme to address ICT skills shortage	16%	▶	James Gallacher
P&T/23-24/CT/05 Coordinate ICT device replacement programme	25%	▶	James Gallacher; Patricia Kerr; Dorothy Nicolson

✔ **SR 05 Engaging positively with Residents, Communities & Partnerships**	The risk that the Council fails to adequately engage, establish and maintain positive relationships with local residents and communities in addition to partnership bodies.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	28-Jun-2023	3		31-Mar-2027	2	Elaine Troup

Potential Effect	Potential for tensions to develop with residents and local community groups Reputational damage to council services Degradation of trust in service provision A failure of strong partnerships could impact on the Councils obligations under Community Empowerment Act

Measures of Impact	Successful delivery of Local Outcome Improvement Plan (LOIP) and supporting plans positive partnership inspections Informed and engaged residents participating in consultation activity Telephone survey monthly, quarterly and annual measures Increased social media engagement and reach
Risk Factors	Inability to deliver improved outcomes which require strong partnership activity Council's reputation is adversely affected through a failed partnership arrangement 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	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 Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework) Annual budget consultation events Citizens Panel Open Forum questions at Council meetings
Latest Note	Citizens & Communities & Partnerships were previously two separate risks but have been combined for the next 5 year Strategic Plan. Whilst the Community Planning Partnership has been managed under a shared service agreement, it is well established with strong partnership working arrangements in place reducing likelihood of this risk being realised. This approach will continue with the Communities team leading on West Dunbartonshire Community Planning support from April 23. It should be noted that the Communities Team is currently working through the restructure in response to savings option HE04. This is not likely to conclude until August at the earliest and may have an impact on service delivery. Development of the Community Empowerment Strategy priority projects including a Communication strategy aimed at a community led transition from the Community Alliance. While progress has been made there remains some challenges to people actively wanting to participate within CPWD structures. Work will continue in this area and with Community Planning partners. We continue to gather resident feedback and we ensure that key information is communicated through a variety of media channels including online, social media and publications such as Housing News. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	Position West Dunbartonshire as a modernising Council Residents 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 Community Empowerment Act Participation requests Asset transfer

Linked Actions Code & Title	Progress	Status	Assigned To
H&E/23-24/CT/03 Build community resilience and advance community empowerment including the development of a training programme to support the Community empowerment agenda	25%	▶	Elaine Troup
H&E/23-24/CT/06 Deliver the objectives set out in the Community Empowerment Strategy and Action Plan through identified priority projects	25%	▶	Elaine Troup
H&E/23-24/CT/08 Lead on the Council's approach to Participatory Budgeting Mainstreaming across the organisation	0%	▶	Elaine Troup
H&E/23-24/HD&H/04 Review and provide greater integration within Housing Support	0%	▶	John Kerr

	SR 06 Challenges in protecting the Health and Safety of Employees and Others	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				
Current Risk Matrix	**Last Review Date**	**Current Rating**	**Target Risk Matrix**	**Target Date**	**Target Rating**	**Assigned To**
	05-Jul-2023	**4**		31-Mar-2027	**4**	Alison McBride

Potential Effect	Poor health and safety culture within the organisation leading to; Risk of an employee, service user, pupil (young person) or member of the public being seriously / fatally injured by fault of the Council; reputational risk regarding negative publicity; financial risk in terms of claims management compensation to the injured party; increase in insurance premiums; risk of prosecution by the HSE resulting in a fine and/or a Council Employee being subject to criminal charges, poor employee morale, high staff turnover leading to diminished service delivery.
Measures of Impact	Resources associated with in-house/HSE investigation. Incident statistics. Service delivery impact in terms of injury-related absence and potentially enforced cessation of work activities. Impact of injury on employees/members of the public, legal proceedings, financial penalties, potential reputational damage and risk of criminal charges. Hazard reporting. Actions at health and safety committees. Implementation of Corporate health and safety plan.
Risk Factors	Lack of resources, inadequate Safety Management Standards and H&S strategy. Poor health and safety culture. Under reporting of incidents. Blame culture. Poor communication between management and employees. Competent advice.
Internal Controls	•Competent health and safety advice readily available from the Corporate H&S team. •Corporate health and safety plan developed and monitored via Pentana. •Robust health and safety management system, FIGTREE. • Council has in place a robust H&S policy, Safety Management Standards and Fire Risk Management Strategy that includes service specific health and safety plans, duties and responsibilities for Chief Officers, managers and employees. • Adequate H&S resources in place to that will allow statutory obligations in terms of the Health and Safety at Work etc. Act and supporting legislation. • Embedded H&S culture that discusses H&S issues at senior level and cascades throughout the organisation through the health and safety committee system. • Monthly reports to PMRG on organisational safety performance and issues. •Chief Officers attend service H&S committees on a quarterly basis. • Workplace inspection and audit programme. • Service risk profiling. • H&S training needs analysis for every employee group. • The Council has in place a Trade Union Health and Safety Partnership Agreement. • Council promotes health and safety training for TUs to diploma level. • Hazard reporting module via FIGTREE. • Health & safety e-learning package. • Risk assessment working groups for service areas and review process.
Latest Note	The H&S team continue to review and streamline key service areas such as safety management standards and learning. Figtree has seen improvements in how risk assessments are managed and the latest update has integrated a hazard report form to the platform. A quarterly newsletter is published to update and promote good practice. The team continue to support all H&S committees and RPO's to ensure a consistent approach. The team are continuing to improve the process in management health surveillance with OH and line managers. Most recent projects include management workplace inspections, noise monitoring, audits and corporate warning market system. Fire safety management is ongoing across the authority including fire risk assessments and fire safety training and changes to the recent changes from the SFRS in relation to response to fire alarm signals. At the time of reporting the new procedures for this change are still being finalised and services will be supported to implement new procedures by Corporate H&S.
Risk Opportunity	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partner's evidence of robust H&S culture. Good knowledge and awareness of health and safety throughout all services. Positive relationship with Corporate health & safety team and all services. Reduced incidents, costs and absence rates.

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/23-24/P&C/02 Continue to embed sound H&S practice	25%	▶	Anna Murray

	SR 07 Complexities in ensuring an appropriately resourced and resilient workforce	Failure to ensure that there is an appropriately resourced and resilient workforce in place to meet future organisational needs, in effectively executing the Council's 2022-27 Strategic Plan.				
Current Risk Matrix	**Last Review Date**	**Current Rating**	**Target Risk Matrix**	**Target Date**	**Target Rating**	**Assigned To**
Likelihood / Impact	28-Jun-2023	**4**	Likelihood / Impact	31-Mar-2027	**2**	Alison McBride
Potential Effect	Inability to deliver services effectively Reduced level of service Lack of improvement or increase in staff absences Council underachieves as an organisation Low staff morale Employee conflict Increased turnover Inability to attract/recruit					
Measures of Impact	- Access to and participation of employees in learning and development activities - Absence rate and trends - Employee turnover - Grievance, discipline and other monitoring information - Employee voice and associated actions - Reports from external scrutiny bodies and award bodies - Benchmarking with appropriate comparators					
Risk Factors	- Inability to attract/recruit - Lack of appropriate development - inadequate skills -risk to new models of service delivery - Lack of resource/capability to deliver - Workforce unable to adapt to change					
Internal Controls	- HR processes designed to meet service delivery needs - Develop new structures to reflect strategic priorities and aligned to Standard Operation Model (SOM) - 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 upskill staff - Effective use of SWITCH to support alternative careers - Flexible HR policies, in particular People First covering workforce planning, learning & development (including elearning), digital/continuous improvement, employee wellbeing & engagement. - Effective use of Occupational Health Service - Robust Be the Best Conversations process - Effective leadership and management behaviours, practice and programmes					
Latest Note	Workforce Planning Strategy in place for 2022-2027. People First Strategy is in place covering 2022-2027 and this is a consolidation of a number of areas: well-being, employee engagement, workforce planning, learning and development and digital. WDC are recognised as leading in terms of adapting flexible working practices. A recent report around the use of Church Street offices has reinforced employee behaviour and expectation around accessing flexible working. There is plans to re-visit this in the financial year 2023-24. A robust package of wellbeing resources continue to be available, absence levels are closely monitored, with personal stress and minor ailments absences prevalent. Development course for mid to senior leaders is ongoing with positive feedback received. Trickle relaunch is ongoing across the whole of the organisation to ensure this tool is better used for employee feedback and engagement. WDC Fit for Future programme continues to support services. Digital Skills Framework has been launched to support employees to keep abreast of digital skills and will support Office 365.					

| | Services are still adjusting to the reducing in financial funding and this will be closely monitored in the coming months.

Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway. |
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Risk Opportunity	- Identify previously unknown skills and talents in the workforce - Realise the potential of staff

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/23-24/P&C/01 Review and update FfF approach to improve budget efficiencies	40%	▶	Anne McFadden
P&T/23-24/P&C/03 Implement improvements in recruitment life cycle processes	25%	▶	Louise Hastings; Lisa MacGregor; Anne McFadden
P&T/23-24/P&C/04 Maintain and monitor employee wellbeing, engagement and workforce planning.	0%	▶	Leeanne Galasso; Louise Hastings; Lisa MacGregor

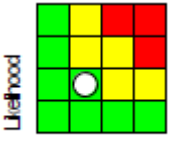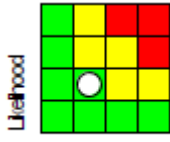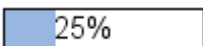| ⚠ **SR 08 Threat of Cyber-attack**		Data, systems and/or infrastructure are impacted as result of security attacks which are increasing in number at a time when this threat is already placing demands on resources to deliver increased levels of security controls.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
Likelihood / Impact	20-Jun-2023	9	Likelihood / Impact	31-Mar-2027	4	Andrew Cameron; James Gallacher; Iain Kerr

Potential Effect	• Remote working could be impacted by loss of internet services. • Disruption to services impacting service delivery to citizens • Employee and Citizen data loss with the potential for misuse such as identity fraud • Misinformation 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 impact of an attack and away from BAU work
Measures of Impact	• Obligation to secure Cabinet Office PSN compliance certification. • Obligation to comply with DWP MOU • Monitor remote access usage to capacity plan • Recorded attempts from unauthorised 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
Risk Factors	• Potential for attacks out of normal working hours /days • Inappropriate Cyber defences at the perimeter of the council networks • Inappropriate delivery of security patches to desktop, network switches 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 employee group / cost of securing expert resources • Increased targeted attacks and risks due to Remote working. •Remote access technology may not remain fit for purpose in a Smart working environment
Internal Controls	Robust backup strategy in place on premise and cloud backup for 365 with immutable capability. • Service Continuity Plans • ICT Disaster Recovery Plan • Continually review and update internal policies on patching and system hardening to ensure we keep abreast of emerging threats and trends • 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 • Information Security/Data Protection forum. Project specific forums • Multiple layers of Cyber defences

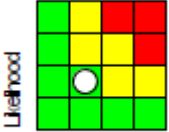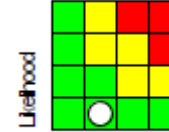|	• Network Segregation • Rolling programme of security awareness sessions • Interagency and cross Council working groups and sharing. • National Digital Office / Scottish Government Public Sector Security programme and guidance • Continually review technologies in line with new working practices to ensure security and assurance is integral. • Monthly device and server patching regime. •Creation of dedicated Cyber Security team and providing industry standard training.
Latest Note	WDC ICT continues to follow NCSC guidance and implement additional tools and fixes as identified. Recent focus has centred on extending the resources available in the ICT security team to build resilience and experience within the service. Resourcing of security team will continue to be examined as part of normal ICT service design management processes. Employees have also been upskilled by obtaining industry standard certifications such as Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM) and Comptia Security+ There is a continual review of the process to apply security updates, patches, and software deployments. Recent improvements have been implemented to automate the update processes where possible and new technology to control, secure and manage remote accessing of devices Geo-blocking to GB remains in place and the geo-political situation continues to be monitored. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	• Increase Cyber resilience and awareness for employees, members and citizens, this can be done through existing training and awareness platform • Contribute to Scottish Government Public Sector Action Plan on Cyber resilience for Scotland and potential to become involved in a national/shared security operations centre • Upskill employees to address current and emerging threats • Increased employee awareness across Council

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/23-24/ICT/01 Secure the Council's Technology Infrastructure	0%	▶	James Gallacher

	SR 09 Challenges in delivering effective services in relation to Roads & Neighbourhoods	The risk that the Council's fails to deliver on the three services within Roads & Neighbourhood: Roads & Transportation, Fleet & Waste and Greenspace. These areas provide services across a range of areas including managing and maintain roads, footpaths and associated infrastructure, managing flood risk, grounds maintenance, street cleaning, burial and cremation, outdoor facilities, waste and recycling and vehicle fleet management. Failing to ensure these services are not fully fit for purpose could result in adverse consequences in relation to delivering efficient and effective services.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	05-Jul-2023	**4**		31-Mar-2027	**2**	Gail Macfarlane

Potential Effect	- 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/ demand/ volume -Council assets in poor conditions -Council assets fail to meet relevant standards -Failure to comply with Transport (Scotland) Act 2019 -Failure to comply with Waste (Scotland) Regulations 2012
Measures of Impact	- Condition surveys - Defect inspection and management - Suitability surveys

	- Road Condition SPI - Customer perceptions of service delivery - Investment levels in upkeep and improvement of asset base and facilities -Asset user satisfaction -Operating costs and savings -Local Government Benchmarking Framework (LGBF) -Association for Public Service Excellence (APSE) -Waste Managers Network Group
Risk Factors	-Adequacy of funding available to improve asset base - Adequacy of funding to maintain asset base - Adequacy of staff resources allocated to the area - Council assets deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts -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 - Increase public liability claims due to poor condition of footpaths and roads which are not part of our adopted network. -Poor customer engagement for recycling, deposit return scheme, refuse transfer station -Financial challenges - Budget Sensitivity Analysis (fuel costs, waste refuse disposal tonnage costs, bitumen availability and costs)
Internal Controls	-Strategic Asset Management Group - Corporate Asset Management Strategy (scheduled refresh in 2nd half of 2021/22 year) - Learning Estate Strategy - Capital Investment Team - Capital project meetings are carried out monthly in addition to project specific meetings. - Capital plan - Roads and Lighting Asset Implementation Plan - Fleet Asset Implementation - Open Space Asset Implementation Plan - Sustainability Policy -User feedback – complaints data, Citizens' Panel and monthly telephone survey -Fit for future service reviews -Deposit Return Scheme -Climate Change Strategy -Community Empowerment Strategy -Food Growing Strategy and Allotments -Equality Outcomes
Latest Note	Service continues to provide full service, monitoring in place to ensure any adverse issues are highlighted and appropriate actions taken. No change to Risk Matrix. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	-Enhance reputation of Council -Ensure services are fit for the future and are compliant with legislation changes -Estate, assets and service delivery (e.g. office and depot rationalisation projects, roads upgrade programme, vehicle replacement programme, greenspace upgrade projects) - Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland) - 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.

Linked Actions Code & Title	Progress	Status	Assigned To
R&N/23-24/F&W/02 Develop Strategy for transition to electric fleet	0%	▶	Gail Macfarlane
R&N/23-24/F&W/06 Review of Waste & Fleet Service Provision	0%	▶	Gail Macfarlane
R&N/23-24/GS/06 Develop Ash die back action plan	0%	▶	Ian Bain

	SR 10 Failure to maintain Housing Stock	The risk that Council's Housing Stock are not fully fit for purpose with consequent adverse impact on our ability to deliver efficient and effective housing for Council tenants.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	04-Jul-2023	4		31-Mar-2027	4	Alan Young

Potential Effect	- Housing stock is not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users -Increase in reactive maintenance costs/ demand/ volume -Housing stock in poor condition -Housing stock fail to meet relevant standards - Non-compliance with Scottish Housing Quality Standard
Measures of Impact	- Condition surveys - Suitability surveys - Customer perceptions of service delivery - Investment levels in upkeep and improvement of housing stock -User satisfaction -Operating costs and savings - Local Government Benchmarking Framework (LGBF)
Risk Factors	- Adequacy of funding available to improve housing stock - Adequacy of staff resources allocated to the management of housing stock - Housing stock deemed to be unfit for existing purpose -Increasing issues relating to supply of labour and materials, due to increased energy, transport and raw material costs, impacted on supply chains, and third parties and our ability to carry out works within budget and on time.
Internal Controls	- Housing Capital Investment Programme (refreshed and delivered annually) - Housing Capital Improvements - WDC Local Housing Strategy 2021-25 - The Housing Capital Investment Team - The Planned Maintenance Section - Housing Asset Management Strategy - Detailed asset database that shows relevant information on a property by property basis in relation to HRA properties. - More Homes Better Home Project Board. - Telephone Survey feedback - Fit for future reviews -Other benchmarking/ feedback - Climate Change Strategy
Latest Note	No change to risk score, programme for investment and upgrades to council housing continues into 23-24 and a further five year programme to 27-28.
Risk Opportunity	-Enhance reputation of Council by being able to improve Council housing stock -Estate, assets and service delivery (housing investment programme) -Improved satisfaction from tenants - The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology. -Improvement of SHQS & EESSH compliance performance and points, and reduced SHQS abeyance numbers through the strategic planning and management of housing assets. - Increase in environmental improvements including bin stores - Increase in internal (e.g kitchens, bathrooms, showers, special needs adaptations, central heating, smoke detectors, windows and doors) and external updates (e.g new roof coverings, external insulated render and tenement structural refurbishments) - Increase in number of New Build Homes as part of the Strategic Housing Investment Programme (SHIP) -Achieve energy efficiency standard for social housing

Linked Actions Code & Title	Progress	Status	Assigned To
SD&P/23-24/HAI/01 Ensure the Council's Housing stock maintains compliance with the Scottish Housing Quality Standard and reduce the number of properties held in abeyance.	25%	▶	Alan Young

SD&P/23-24/HAI/02 Ensure the Council's Housing stock progresses towards the achievement of the energy efficiency standard for social housing.	25%	▶	Alan Young

✅	**SR 11 Inability to reduce carbon footprint in line with targets**	The risk that the Council will be unable to achieve net zero emissions by 2045, both in relation to mitigating carbon emissions and adapting to the impacts of climate change. Net zero refers to achieving an overall balance between emissions produced and emissions taken out of the atmosphere. This target has been developed in a way that mirrors the emission reduction trajectory set by the Scottish Government in light of the Climate Emergency.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
Likelihood / Impact	11-Jul-2023	**4**	Likelihood / Impact	31-Mar-2027	**2**	Gillian McNamara

Potential Effect	. Failure to meet mandatory national and international policy drivers Failure to meet duties placed on Council by The Climate Change (Scotland) Act 2009 . Failure to meet duties placed on Council by The Climate Change (Emissions Reduction Targets) (Scotland) Act 2019 . Failure to meet duties placed on the Council by The Heat Networks (Scotland) Act 2021 and Local Heat and Energy Efficiency Strategies (Scotland) Order 2022. . Failure to meet the provisions set out in Waste (Scotland) Regulations 2012 which help Scotland move toward the objectives and targets set out in the Scotland's Zero Waste Plan to help transition toward a circular economy. . Reputational damage. . Financial burden of responding to adverse events such as extreme weather (including, but not limited to, flooding, heat waves, wind driven storm events, etc.) resulting in action. Impacts to Council operations and supply chains as a result of adverse climate/extreme weather events. This also impacts residents, local businesses and wider infrastructure across West Dunbartonshire. . Financial burden on WDC from increasing energy prices in light of current energy and economic crises'. Energy Efficiency works on our own estate must increase to counteract these impacts.
Measures of Impact	. Improving organisational resilience against the impacts of climate change. . Improving local biodiversity through planting of native trees and bulbs in WDC . WDC Waste Services Citizens Panel Survey regarding attitudes towards recycling improving . The extension of the Queens Quay District Heating Network to NHS Golden Jubilee Hospital, Social Housing, NHS Health Centre, Council buildings and further connections as per scope. . Inspiring change through including climate change learning in staff induction, training, team meetings, etc. . Uptake in e-learning modules on climate change. . Uptake in staff carrying out Sustainable Procurement assessments for tenders. . Ensuring climate change and sustainability metrics are included in tenders for suppliers/contractors/etc. (such as carbon reduction measures) so they are being measured for accountability for the impacts they have on the environment . Management of service areas setting climate change targets for their operations and staff. . The uptake of Green Champion roles, which help normalise Climate Change and Sustainability, practices across the Council. Uptake in sustainable travel such as walking cycling and public transport
Risk Factors	. Funding availability – delivery of actions to mitigate will require resources, capital works and investment by the Council- e.g enhanced energy measures, and heating and renewables projects in both domestic and non-domestic building assets . Budget stress – notably due to energy and economic crisis, meaning it's more difficult for Council to set aside budget to deliver on Climate Change and Net Zero projects and actions. . Funding approach – a combination of internal and external funding sources will be need to delivery climate action at scale. Short term funding mechanisms such as annual payback of Council expenditure presents difficulties for delivering long-term projects. Climate Change investments also need to take account of whole-life costs including reduced maintenance costs and avoided Adaptation costs. . Internal capacity – limited staff time and availability, largely due to reduced Council budgets, further impacted by Covid19. . Communication – both internally (to avoid 'silo' working) and externally (engaging with the public and keeping abreast of local/national/international changes to policy). . Economics – some technologies, materials and skills are still very expensive so innovation must progress to enhance the viability of climate actions within the context of the Council's budget constraints. . Strategy and planning – all existing and future Council plans should place responding to the climate emergency at their core and ensure integration with other Council services.

	. Legislation & Regulatory – the ability to implement some climate actions is constrained at the local level by minimum standards and other restrictions set through legislation and national policy, for example in relation to building regulations, planning and procurement. . Public attitudes and behaviours - Changing behaviour of residents, businesses and stakeholders positively and proactively, especially where there are cost implications to the delivery of climate actions.
Internal Controls	. Climate Change Strategy 2021-2026 . Action Plan 2021-2026 . Climate Change Action Group (CCAG) . Pentana Risk Management System – devolved responsibilities of climate change actions/milestones/KPI's to service areas. . Scottish Government – Mandatory annual Climate Change Duties Reporting . Queens Quay District Heating Network . Strategic Environment Assessment (SEA) . Air quality monitoring . Converting some Council pool fleet to Electric Vehicles (EVs). . Climate Ready Clyde (CRC) – a cross-sector initiative funded by fifteen member organisations and supported by the SG. Delivery of a Locale Heat & Energy Efficiency Strategy (LHEES) and delivery plan by December 2023 – which sets out the Council's area-based approach to reducing emissions of heating and energy efficiency improvements to ALL assets across WD. This includes private housing, businesses, etc. which are not owned/operated by WDC. . Waste infrastructure and greatly improving approach to how Council and residents reduce, reuse and recycle waste. Notably, taking a Circular Economy approach to waste services and implementing appropriate infrastructure and contracts to do so.
Latest Note	Until all carbon emissions data becomes available in October 2023 and analysed, the risk profile will remain the same. Please note that new actions have been added from the 23/24 Delivery Plan and milestone dates have not passed hence the 0% progress shown below. However work to progress these actions and respective milestones is underway.
Risk Opportunity	Our local environment is protected, enhanced and valued resulting in: - Our public spaces are attractive and welcoming - Our residents feels pride in their local neighbourhood - The percentage of household waste sent for reuse, recycling and composting has increased resulting in reduction in the percentage that was being landfilled. - The percentage of council land which promotes diversity of habitat and species has increased Our resources are used in an environmentally sustainable way - Increase in the percentage of businesses taking action to reduce their carbon impact - Reduction in CO2 emissions under the Council's influence - Reduction in West Dunbartonshire Area-Wide emissions as per requirements of the climate change (Scotland) act - Residents actively involved in tackling climate change and protecting the environment - The economy and infrastructure become more low carbon and environmentally-friendly Our neighbourhoods are sustainable and attractive - Increased investment in our housing stock including improving energy efficiency - Housing developments are meeting the needs of our changing population - The quality of neighbourhoods has improved - Our roads and transport network are maintained and they promote safe travel routes

Linked Actions Code & Title	Progress	Status	Assigned To
REG&R/23-24/008 Co-ordinate, monitor and report the progress of the Council's Climate Change Action Plan for 2023/24	0%	▶	Gillian McNamara
REG&R/23-24/009 Develop a Local Heat and Energy Efficiency Strategy	0%	▶	Gillian McNamara

Risk Status	
🔴	Alert
🔶	High Risk
⚠	Warning
✅	OK
❓	Unknown