




Strategic Risk Report 2019 Feb

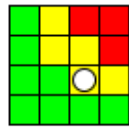
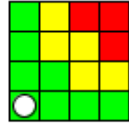



Generated on: 22 January 2019


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.	<div>Likelihood</div> <div><table><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr></table></div> <div>Impact</div>																	12	21-Jan-2019
<div>Target Risk Matrix</div>	<div>Target Rating</div>	<div>Target Date</div>																		
Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.	<div>Likelihood</div> <div><table><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr></table></div> <div>Impact</div>																	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	This risk has been reviewed and it is considered appropriate to leave at the current scoring																	
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																	
		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																	
Progress of Linked Actions	RES/1819/009 Review and update long term finance strategy		<div><div></div>100%</div>	RES - Resources (SLA)																


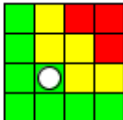
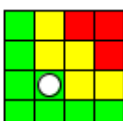
SR 002


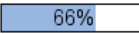

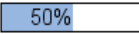

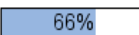
	SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement	Current Risk Matrix	Current Rating	Last Review Date
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Description	This risk concerns the delivery of excellence and equity for our young people to support 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	16-Jan-2019
		Impact		
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	Further analysis of school performance against National Benchmarks and stretch aims for 2019/20 and 2024/25 has identified schools at risk of under performing. Targets have been set for LA and individual schools.	
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	Managed By	Laura Mason	
		Assigned To	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			
Progress of Linked Actions	E/1819DP/ALN Deliver improvement in attainment, literacy and numeracy		<div><div></div></div> 32%	ELA - Education, Learning & Attainment (SLA)
	E/1819DP/ALN/01 Implement improvements in learning, teaching and assessments in literacy		<div><div></div></div> 26%	
	E/1819DP/CAG Implement broad-ranging school improvement to close the attainment gap		<div><div></div></div> 50%	ELA - Education,


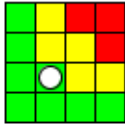
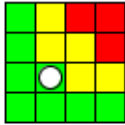
				Learning & Attainment (SLA)
	E/1819DP/CAG/01 Narrow the gap in CfE Attainment levels to 5%		62%	


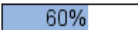

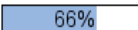
SR 003

	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	<div>Likelihood</div>  <div>Impact</div>	4	21-Jan-2019
		Target Risk Matrix	Target Rating	Target Date
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	<div>Likelihood</div>  <div>Impact</div>	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	This risk was re-assessed in May 2018, taking into consideration the investment and improvement of assets in recent years. It is recognised that investment levels are required to be sustained in order for the assets to maintain their current condition and improve further in future years. With particular requirement of an increase in investment to the roads infrastructure and greenspaces. Whilst this risk is scored low it is considered to be appropriate to remain of strategic importance due to the scale of cost implication in maintaining or improving the Councils Assets.	
Risk Factors	<p>Adequacy of funding available to improve asset base</p> <ul style="list-style-type: none">- 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	Ronnie Dinnie; Craig Jardine; Jim McAloon; Alan Young	
Risk	-Enhance reputation of Council by being able to improve Council			

Opportunity	-Estate, assets and service delivery (e.g. new school buildings, operational building upgrades, office and depot rationalisation projects, housing investment programme to meet SHQS/EESSEH, roads upgrade programme, vehicle replacement programme, greenspace upgrade projects) - Enhance employee "feel good" factor by providing modern office accommodation equipped with up to date IT facilities - Secure external funding for development of assets (e.g. EC, lottery, Historic and Environment Scotland) - Prioritised Building Upgrade Plan - The continued implementation of the energy efficient street lighting project will both improve the asset and reduce costs significantly through reduced maintenance, energy consumption and carbon output. - The effect of these energy efficiencies has demonstrated that significant savings and environmental benefit can be achieved through the utilisation of developing technology.			
Progress of Linked Actions	Reg/1819/CI/01 Make further progress towards implementation of the Strategic Plan for the regeneration of the remaining schools estate.			REGEN - Regeneration (SLA); REGEN-Capital Investment
	Reg/1819/CI/02 Deliver the allocated General Services investment programme projects for 2018/19			REGEN - Regeneration (SLA); REGEN-Capital Investment
	Reg/1819/HAI/02 Deliver the HRA Capital Investment programme for 2018/19.			CORP-Regeneration, Environment & Growth (SD); REGEN - Regeneration (SLA)

SR 004

	SR 004 Information Technology		Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to keep pace with changing technology environment during periods of austerity and supplier rather than business led change	 Likelihood Impact	4	21-Jan-2019	
		Target Risk Matrix	Target Rating	Target Date	
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	- 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	Latest Note	Jan 19. During 2018 Improvements to infrastructure and application monitoring processes and tools have been implemented. These improvements coupled with continued improvement and investment in the underlying		

	projects delivered and more are in progress Workforce mgnt self service, increased volume of web and intranet traffic, streamlined financial and purchasing processes, document management. - Fit for purpose Council website, delivering information and services to a significant percentage of the Council's customers. - 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.		resilience of the IT infrastructure have resulted in fewer high impact Council-wide disruptions.	
Risk Factors	Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised - 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	- - 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 centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland	Managed By	Victoria Rogers	
		Assigned To	James Gallacher; Patricia Kerr; John Martin; Brian Miller	
Risk Opportunity	- 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			
Progress of Linked Actions	P&T/1819/ICT/01 Transformation & Channel Shift - Providing IT Support for Service Transformation Projects			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/ICT/02 Continue to review and develop business case for shared IT services			CORP - Transformation & Public Sector Reform

				(SD); P&T - People & Technology (SLA)
	P&T/1819/ICT/03 Continue to deliver ICT tasks to support Property Rationalisation and Improvement Projects			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/ICT/04 Continue to review and deliver ICT service improvements aligned to business needs			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	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.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	PT/1718/ICT/004 Support corporate and strategic transformation and channel shift projects.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	PT/1718/ICT/008 Investigate shared infrastructure components			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)

SR 005

	SR 005 Partnerships	Current Risk Matrix	Current Rating	Last Review Date
Description	The Council fails to engage adequately with partnership bodies	 Likelihood	3	03-Jan-2019
		Impact		
		Target Risk Matrix	Target Rating	Target Date
Potential Effect	failure of partnership impacts on Councils obligations under Community Empowerment Act	 Likelihood	3	31-Mar-2022
		Impact		
Measures of	Successful delivery of LOIP and supporting plans	Latest Note	CPWD strengthened through	


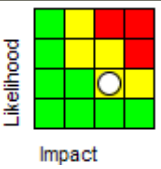
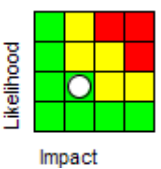
Impact	positive partnership inspections		publication of LOIP and strong DIGs
Risk Factors	<ul style="list-style-type: none"> - inability to deliver improved outcomes which require strong partnership activity - Council's reputation is adversely affected through a failed partnership arrangement 		
Internal 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	
Risk Opportunity	- Position West Dunbartonshire as a modernising Council		
Progress of Linked Actions	CCC/1819/P&S/03 Ensure citizens are supported to engage and participate in service design and delivery		75% CCC - Communications, Culture & Communities (SLA); CORP - Transformation & Public Sector Reform (SD)
	CCC/1819/P&S/04 Support Community Planning West Dunbartonshire to further develop locality planning and involvement in line with the Community Empowerment Act		66% CCC - Communications, Culture & Communities (SLA); CORP - Transformation & Public Sector Reform (SD)
	GOV-18-008 8. Partnership risk		100% CCC - Communications, Culture & Communities (SLA)


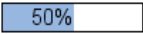

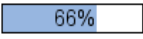

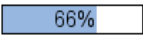
SR 006



	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-Jan-2019
Potential Effect	- Tensions develop with citizens and local community groups	Target Risk Matrix Likelihood Impact	2	Target Date 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	<ul style="list-style-type: none"> - Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework) - Annual budget consultation events - Citizens Panel - Open Forum questions at Council meetings - continue to deliver 4 issues of housing news each year - delivery of effective communications and public information through social media - use of telephone survey 	Managed By Malcolm Bennie Assigned To Amanda Coulthard; Amanda Graham	
Risk Opportunity	Community Empowerment Act participation requests asset transfer		
Progress of Linked Actions	<p>CCC/1819/CC/04 Increase social media audience (to 33%) and engagement (to 1.5m) across each platform through continually evaluating our approaches to social media and responding to social media trends and evolution</p> <p>CCC/1819/P&S/03 Ensure citizens are supported to engage and participate in service design and delivery</p>	<p>▶</p> <p>▶</p>	<p>66%</p> <p>75%</p> <p>CCC - Communications, Culture & Communities (SLA); CORP - Transformation & Public Sector Reform (SD)</p> <p>CCC - Communications, Culture & Communities (SLA); CORP - Transformation & Public Sector Reform (SD)</p>


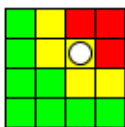
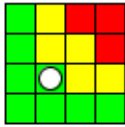
SR 007






	SR 007 Health and Safety of Employees and Others	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to meet the Council's duty to protect the health, safety and welfare of its employees and other people who might be affected by its business, either in the provision of an effective health and safety management system or in ensuring adherence to that system as part of an embedded health and safety culture.		6	11-Jan-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.		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		

Risk Factors	Resources, robust policies and practices, adequate H&S strategy.			
Internal Controls	<ul style="list-style-type: none"> • Council has in place a robust H&S policy and strategy (and separate Fire Risk Management Strategy) that includes service specific health and safety plans, duties and responsibilities for Strategic Directors, Strategic Leads, managers and employees. • Adequate H&S resources in place to fulfil statutory obligations in terms of the Health and Safety at Work etc. Act and the Management of Health and Safety at Work Regulations. • Embedded H&S culture that discusses H&S issues at a top level and cascades throughout the organisation through the health and safety committee system. • Monthly reports to PaMG on organisational safety performance. • Each link H&S Officer attends Service Strategic Lead meeting to report on service safety performance • Services have H&S committees at Service and Directorate level. • Workplace inspection and audit programme. • Service risk profiling. • H&S training needs analysis for every employee group. • Toolbox talks take place at directorate level. • The Council has in place a Trade Union Health and Safety Partnership Agreement. • Council promotes health and safety training for TUs to diploma level. 	Managed By	Victoria Rogers	
		Assigned To	John Duffy; Alison McBride	
Risk Opportunity	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partners of robust H&S culture.			
Progress of Linked Actions	P&T/1819/H&S/01 Continue to embed an organisational health and safety culture			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/H&S/02 Further develop and implement the Council health and safety management software system (Figtree)			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	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.			CORP - Transformation & Public Sector Reform

				(SD); P&T - People & Technology (SLA)
	P&T/1819/H&S/04 Develop and implement a Council Fire Risk Management Strategy.		<div><div>50%</div></div>	CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/H&S/05 Review effectiveness of Council approach to risk management and implement improvement action as appropriate.		<div><div>40%</div></div>	P&T - People & Technology (SLA); Darren Paterson

SR 008

	SR 008 Threat of Cyber-attack	Current Risk Matrix	Current Rating	Last Review Date
Description	Data, systems and/or infrastructure are impacted as result of security attacks which are increasing in number at a time when this threat is already placing demands on resources to deliver increased levels of security controls.	 Likelihood Impact	9	15-Jan-2019
Potential Effect	<ul style="list-style-type: none"> • Disruption of Services impacting service delivery to citizens • Loss of Data • Staff and Citizen data loss with the potential for misuse such as identity fraud • Mis-information being delivered to the public via WDC communication channels • Potential for significant fines currently under the Data Protection Act and from May 2018 under the provisions of the General Data Protection Regulations • Reputational damage • Redirection of resources to deal with the effects of an attack and away from BAU work 	 Likelihood Impact	4	31-Mar-2022
Measures of Impact	<ul style="list-style-type: none"> • Recorded attempts from external sources to breach council cyber defences • Recorded cyber related incidents in the Cyber incident log • Quantity of breaches/incidents reported to the Information Commissioners Office • Fines levied for breaches 	Latest Note	Jan 19. Improved monitoring technologies and processes have been implemented during 2018 to identify vulnerabilities. Cabinet Office PSN annual submission and National Digital Office Cyber programme help to ensure continued focus on this risk.	
Risk Factors	<ul style="list-style-type: none"> • Inappropriate Cyber defences at the perimeter of the council 			

	<p>networks</p> <ul style="list-style-type: none"> • Inappropriate delivery of security patches to desktop and server estates • Compliance with security standards such as PSN, PCI, Public Sector Action Plan on Cyber resilience for Scotland • Continually changing threat landscape • Maintaining relevant skill sets among staff group/cost of securing expert resources 			
Internal Controls	<ul style="list-style-type: none"> • Implementation of internal Policies on Patching and hardware/software hardening • 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 	Managed By	Patricia Kerr; John Martin; Brian Miller	
		Assigned To	Iain 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 			
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>	
	CS/IAAP/520 2. DR Plans for the main telephony delivery systems have yet to be implemented/tested		<div><div>33%</div></div>	
	CS/IAAP/521 3. Systems without parallel DR arrangements are not fully tested		<div><div>100%</div></div>	
	CS/IAAP/525 7. Lack of formal DR testing schedule at primary DR site		<div><div>100%</div></div>	
	P&T/1819/ICT/01 Transformation & Channel Shift - Providing IT Support for Service Transformation Projects		<div><div>60%</div></div>	CORP - Transformation & Public Sector Reform

				(SD); P&T - People & Technology (SLA)
	P&T/1819/ICT/02 Continue to review and develop business case for shared IT services			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/ICT/04 Continue to review and deliver ICT service improvements aligned to business needs			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	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.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)


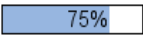

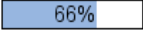

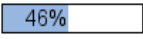

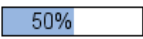

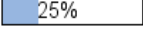
SR 009


	SR 009 Failure to deliver the Early Years Agenda	Current Risk Matrix	Current Rating	Last Review Date
Description	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	14-Jan-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	Twelve ELCC's are currently in the phasing plan for opening by August 2019 for increased hours 600-1140. Work has commenced by DLO in the centres that require work, Care Inspection dates are arranged.	
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	Managed By	Laura Mason	
		Assigned To	Kathy Morrison	






	Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Change Board updates			
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			
Progress of Linked Actions	E/1819DP/EYA/01 Overview of the workforce		<div><div>100%</div></div>	
	E/1819DP/EYA/02 Implement new Early Years staffing structure		<div><div>100%</div></div>	
	E/1819DP/EYA/03 Work with HR, Finance, Facilities Management and Estates to deliver Early Learning and Childcare Expansion Plan Phase 1		<div><div>80%</div></div>	
	E/1819DP/EYA/04 Ensuring Quality		<div><div>0%</div></div>	
	E/1819DP/EYA/05 Workforce Development		<div><div>33%</div></div>	
	E/1819DP/EYA/06 Physical Capacity/Resources		<div><div>100%</div></div>	
	E/1819DP/EYA/07 Process / technologies and admin change		<div><div>100%</div></div>	
	E/1819DP/EYA/08 Implementation of Delivery Model		<div><div>33%</div></div>	

SR 010

	SR 010 Ensure an appropriately resourced workforce.	Current Risk Matrix	Current Rating	Last Review Date
Description	Failure to ensure that there is an appropriately resourced workforce in place to meet future organisational needs, either in effectively executing the Council's 2017-22 Workforce Plan, or in ensuring that the Plan is adapted over time if and when earlier assumed circumstances change.	 Likelihood Impact	4	21-Jan-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	- Lack of appropriate development / shortage of skills may pose a risk to new models of service delivery			

	<ul style="list-style-type: none"> - 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	
Risk Opportunity	<ul style="list-style-type: none"> - Identify previously unknown skills and talents in the workforce - Realise the potential of staff 			
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			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/OD/03 Continue to embed Be The Best Conversations council wide.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/SHR/01 Continue to provide HR support to inform and implement organisational change projects.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/SHR/02 Continue to implement the Council's Employee Wellbeing Strategy.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)
	P&T/1819/SHR/04 Continue to embed the Council's Strategic Workforce Planning Framework.			CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology

				(SLA)
	P&T/1819/SHR/30 Address workforce equalities objectives		<div><div>66%</div></div>	CORP - Transformation & Public Sector Reform (SD); P&T - People & Technology (SLA)

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown