

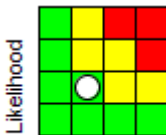



Strategic Risk Report

Generated on: 05 January 2023

 SR 01 Significant financial funding reductions / limitations from Scottish Government		<p>It is expected that the Council will be faced with significant ongoing funding reductions/limited increases 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 – the real term impact of this (taking inflation into account) for the next four years is a 7% reduction between 2022/23 and 2026/27. This coincides with a period where costs are expected to rise in relation to social care due to an aging population; inflationary increases with RPI at a level not seen since 1991; post-COVID-19 ongoing costs; increases in the cost of borrowing as interest rates increase and pay award pressures linked to inflation. The ongoing population decline of West Dunbartonshire versus the average population for the whole of Scotland leads directly to funding reductions with marginal impact on service delivery cost/need.</p>				
Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	05-Jan-2023	12		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	<ul style="list-style-type: none"> - Reduction in government grant - Demographic change (population decline/growth, aging population) - Cost reduction required including cutting level and/or quality of service provision - Increased Debt (collection of Council Tax, HRA rents, etc) 					
Risk Factors	<ul style="list-style-type: none"> - Level of government grant - Lack of time to plan for changes in the level of grant funding due to single year settlements and settlement information from Scottish Government - General inflationary factors - Bank of England Base Rate increases - ongoing prevalence and impact of COVID-19 - Significant additional burdens - Capital receipts - EU Exit 					
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 					
Latest Note	The Chief Officer for Resources provided a verbal update to Council on 21 December 2022 on the 2023/24 local government settlement. Assumptions on future Scottish Government funding are updated regularly and a further update will be provided when Council agrees the 2023/24 budget in March 2023. It is still expected that future Scottish Government funding will be insufficient to pay for current levels of service delivery.					
Risk Opportunity	<ul style="list-style-type: none"> - Annual exercise to identify efficiencies - Projects to implement new ways of working (e.g. digitisation, 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/22-23/001 Review ways of decreasing corporate debt through continued improvements to debt collection processes in relation to sundry, NDR, Council Tax and rent				<input type="text" value="33%"/>		Ryan Chalmers

RES/22-23/002 Review ways to improve rent collection rates in conjunction with Housing and W4U	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%		Ryan Chalmers; Stefan Kristmanns
RES/22-23/012 Maximise automation opportunities across the organisation to improve efficiency	<div style="width: 28%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 28%		Arun Menon
RES/22-23/010 Review capital programme, monitoring and reporting	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Gillian McNeilly
RES/22-23/011 Review financial arrangements against the CIPFA financial code of practice	<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%		Gillian McNeilly

	SR 02 Challenges in implementing broad-ranging school improvement to raise attainment and achievement	<p>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.</p> <p>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.</p>
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Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
 Likelihood Impact	05-Jan-2023	4	 Likelihood Impact	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 achieved by December 2023- locally set but aggregated nationally.
 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	Building on achievements made since 2015 the service is developing plans to both accelerate and embed progress in academic sessions 2021/22 and 2022/23, these plans are being reviewed to reflect the refreshed SAC programme. The key risk to ongoing progress is SG's plan for a tapered SAC funding model between 2022 to 2026. In academic session 2021/22, a narrowing of the attainment gap and increase in attainment was achieved in the attainment levels in the Broad General Education at primary level.
Risk Opportunity	Improved attainment - improved attendance - reduced exclusions - reduced violent incidents - reduction requirement for targeted support over time - reduction requirement for specialist placements over time - improved learning & community engagement - children/pupils at risk identified earlier and more effectively - more empowered community providing self-sustaining peer support - increase in the percentage and range of positive destinations over time - increased access to digital learning resources

Linked Actions Code & Title	Progress	Status	Assigned To
ELA/22-23DP/NIF3 Narrow the attainment gap between the most and least disadvantaged children and young people	<input type="text" value="4%"/>		Julie McGrogan
ELA/22-23DP/NIF3/34 To close the poverty-related attainment gap at LA and school level	<input type="text" value="45%"/>		Katherine Forbes; Julie McGrogan
ELA/22-23DP/NIF5 Improve attainment, particularly in literacy and numeracy	<input type="text" value="6%"/>		Julie McGrogan
ELA/22-23DP/NIF3/05 Literacy and numeracy progress is used to measure the attainment gap	<input type="text" value="0%"/>		Rebecca Johnston
ELA/22-23DP/NIF5/05 Continue to track attainment in literacy and numeracy at ELC and close the gap	<input type="text" value="0%"/>		Rebecca Johnston

	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.
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Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
 Likelihood Impact	05-Jan-2023	4	 Likelihood Impact	31-Mar-2027	2	Craig Jardine; Michelle Lynn

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 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.
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Measures of Impact	<ul style="list-style-type: none"> - 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
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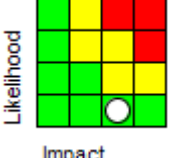
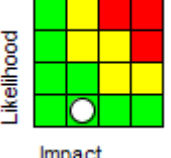




Risk Factors	<ul style="list-style-type: none"> - Adequacy of funding available to improve asset base - Adequacy of staff resources allocated to the area of asset management - Council buildings/ assets deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts from surplus property sales - Increase public liability claims - Ongoing effects of EU Exit
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Internal Controls	<ul style="list-style-type: none"> - Corporate Asset Management Strategy (currently under review) - Learning Estate Strategy - Capital project meetings are carried out monthly in addition to project specific meetings. - Property Asset Management Plan - Capital Programme - Strategic Asset Management Group - Learning Estate Project Board - Detailed asset database that shows relevant information on a
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	property by property basis in relation to operational, non-operational - Sustainability Policy		
Latest Note	The current plan will continue into 2022/23. The new 5 year Corporate Asset Management Strategy and Property Action Plan will be developed in 2022/23 to ensure it meets the aspirations of the new Strategic Plan. No change to risk matrix.		
Risk Opportunity	<ul style="list-style-type: none"> -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/22-23/CAM/03 Progress delivery of the Corporate Asset Management Strategy to align with the Councils Strategic Plan	<input type="text" value="33%"/>		Craig Jardine
SD&P/22-23/CAM/04 Monitor the progress of disposal of key strategic sites over 22/23	<input type="text" value="50%"/>		Craig Jardine

	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
	05-Jan-2023	2		31-Mar-2027	2	Patricia Kerr; Brian Miller
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	<ul style="list-style-type: none"> • Close relationship and working practices with Asset Management Service with regard to commissioning and decommissioning buildings. • Number of systems that have supplier maintenance contracts. • 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 • Extent of wireless connections in the Council network – all schools and refurbished Office accommodation complete • Number of ICT Help Desk incidents resolved within half day - exceeded the target for 2021-22 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. • 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. • 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. • Broadband speed in the Council area - WDC has 2nd highest broadband speeds in Scotland. Investigating funding options for fibre network. 					
Risk Factors	<ul style="list-style-type: none"> • Insufficient resourcing of ICT developments so that benefits and opportunities identified are not realised • poor network security controls implemented for example • 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 					

	<p>support remote working environment all help to mitigate this risk.</p> <ul style="list-style-type: none"> • Poor Service Business Continuity Plans and/or Disaster Recovery Capability. • Poor project and programme change management arrangements. • Poor quality of mobile communication provision. • Poor uptake on channel shift. 			
Internal Controls	<ul style="list-style-type: none"> - Capital programme established for technology refresh projects - Information & Communication Technology (ICT) Policies such as ICT Security Framework - Governance structures such as ICT Steering Board, Education ICT Steering Board, Digital Transformation Board in place to support integrated planning and decision making in relation to ICT - Use of both internal IT resources from across the Council and skilled specialist advisers in key areas - Fit for purpose primary and secondary data centres 			
Latest Note	<p>Dec 2022</p> <ul style="list-style-type: none"> • Began migration of first batch of mailboxes to Microsoft 365 cloud platform enabling secure authentication access from anywhere and any device Mobile Phones also part of migration and testing almost complete. • Project underway to publish ICT Freshservice Helpdesk system externally and available to our customers on any device. • Automation project underway for data matching • Automation project underway for proving ICT system & network status page on WDC Intranet • Wireless – project under way to start replacement of WAP's that are becoming end of support. New AP's will support more modern WIFI 6 and 6E technologies. • Switches – Majority of switch replacement project now complete, 2 devices still on order for delivery in January next switch update required for EOL equipment expected 2026. • SAN – new storage area network installed and preparing data migration plan • Data Domain – tender released view to replace backup storage before this goes end of life April 23. • Server Software upgrade - project is underway to upgrade 125 servers to latest version. • Citrix Cloud Proof of concept in testing with a view to moving Citrix environment to cloud platform. 			
Risk Opportunity	<ul style="list-style-type: none"> - COVID-19 has increased the number of users and services working remotely. Several manual processes amended and driving process reviews across the Council. Opportunity to redesign infrastructure and introduce new tools and security measures to support hybrid working environments. - rapid deployment of conferencing technologies has helped drive demand and give visibility to importance and suitability of digital technologies and processes - annual network penetration tests 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 such as Logmein for remote device support and Qualsys for device vulnerability scanning. - Rationalise IT systems - Provide Council employees with secure access to email and supporting systems at times and locations of choice as part of 365 project. - Increased use of mobile devices eg tablet devices, chromebooks and mobile phones. - Provide self service style systems to employees and the local community 			
Linked Actions Code & Title		Progress	Status	Assigned To
P&T/22-23/ICT/03 Review and implement ICT processes and service improvements in line with new technologies		<div style="width: 50%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">50%</div></div>		James Gallacher
P&T/22-23/ICT/03 Upskill ICT team in new tools and processes		<div style="width: 50%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">50%</div></div>		James Gallacher

	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
	05-Jan-2023	3		31-Mar-2027	2	Clare English; 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 is now being managed under a shared service agreement, it is well established with strong partnership working arrangements in place reducing likelihood of this risk being realised. We continue to promote and ensure strong communications and engagement through the Engaging Communities Framework. Development of the Community Empowerment Strategy priority projects including a Communication strategy is progressing well and includes a Community led transition from the Community Alliance. As well as gathering resident feedback, we ensure that key information is communicated through a variety of media channels including online, social media and publications such as Housing News.					
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/22-23/CT/01 Build community resilience and advance community empowerment including the development of a training programme to support the Community empowerment agenda				45%		Clare English
H&E/22-23/CT/03 Explore alternative forms of funding to encourage less reliance on mainstream council funding				60%		Clare English
H&E/22-23/CT/04 Deliver the objectives set out in the Community Empowerment Strategy and Action Plan through identified priority projects				50%		Clare English
H&E/22-23/CT/05 Lead on the Council's approach to Participatory Budgeting Mainstreaming across the organisation				50%		Clare English

H&E/22-23/CT/06 Develop an Employee Volunteering Policy to support the ambitions of the Community Empowerment (Scotland) Act 2015	<input type="text" value="33%"/>		Clare English
H&E/22-23/CT/07 Identify and implement improvements in partnership working between the CCTV team and key partners to promote feelings of safety in the area	<input type="text" value="50%"/>		Clare English

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
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Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	05-Jan-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


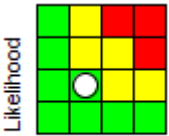
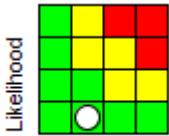
- Competent health and safety advice readily available from the Corporate H&S team.
- Corporate health and safety plan developed and monitored via Pentana.
- Robust health and safety management system, FIGTREE.
- Council has in place a robust H&S policy, Safety Management Standards and Fire Risk Management 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 risk, Safety Management Standards and learning. Figtree has seen improvements in how risk assessments are managed and the team are looking to build on this with hazard reporting. A newsletter has also been developed to update and promote good practice. The team continue support all H&S committees and RPO's to ensure a consistent approach. The team are continuing to improve the process in managing health surveillance with OH& line managers. Fire safety management is ongoing across the authority including fire risk assessments and fire safety training.

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
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P&T/22-23/P&C/03 Embed H&S commitments with service delivery and workforce planning. Build and support workforce groups to promote good practice	60%		Stephen Gallagher
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 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
	05-Jan-2023	4		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	<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 voice and associated actions - Reports from external scrutiny bodies and award bodies - Benchmarking with appropriate comparators 					
Risk Factors	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	<p>Workforce planning has developed well alongside service delivery planning. Workforce planning strategy 2022-2027 to go to Corporate Services Committee in February 2023.</p> <p>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.</p> <p>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.</p> <p>A robust package of wellbeing resources continue to be available, absence levels are closely monitored, with personal stress and minor ailments absences prevalent.</p> <p>Development course for mid to senior leaders is ongoing with positive feedback received.</p> <p>Trickle relaunch is ongoing across the whole of the organisation to ensure this tool is better used for employee feedback and engagement.</p>					

	There will be a further promotion of the Trade Union Learning Agreement which encourages all employees to participate in regular learning and development and now encompasses some volunteering opportunities. WDC Fit for Future programme continues to support services.		
Risk Opportunity	- Identify previously unknown skills and talents in the workforce - Realise the potential of staff		
Linked Actions Code & Title	Progress	Status	Assigned To
CORP/22-23/WFP/01 1. Our people (workforce profile) - Ensure resilience and engagement of the workforce	<input type="text" value="22%"/>		Leeanne Galasso/Louise Hastings
CORP/22-23/WFP/02 2. Recruitment & Retention - Current and predicted future workforce gaps are addressed and core skill sets retained.	<input type="text" value="24%"/>		Lisa McGregor/Leeanne Galasso
CORP/22-23/WFP/03 3. Structure & Roles - Service Structure and delivery model/s are stable, fit for purpose and future requirements	<input type="text" value="15%"/>		Lisa McGregor/John Duffy
CORP/22-23/WFP/04 4. Skills & Capabilities - Current and future skills gaps and capabilities are addressed.	<input type="text" value="18%"/>		Lorraine Mair/Anne McFadden

	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
	05-Jan-2023	9		31-Mar-2027	4	James Gallacher; Iain Kerr
Potential Effect	<ul style="list-style-type: none"> • Homeworking could be impacted by loss of internet services. • Disruption to services impacting service delivery to citizens • Staff 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 effects of an attack and away from BAU work 					
Measures of Impact	<ul style="list-style-type: none"> • Failure to secure Cabinet Office compliance certification. • Monitor remote access usage • 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 					
Risk Factors	<ul style="list-style-type: none"> • 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 COVID/Hybrid working. 					
Internal Controls	<ul style="list-style-type: none"> • Robust backup strategy in place on premise and cloud backup for 365 with immutable capability. • Service Continuity Plans • ICT Disaster Recovery Plan • Implementation of internal Policies on Patching and hardware/software hardening and expanded during COVID to patch devices remotely. • 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 eg PCI working group • Multiple layers of Cyber defences • Network Segregation • Rolling programme of security awareness sessions • Interagency and cross Council working groups and sharing. 					

	<ul style="list-style-type: none"> National Digital Office / Scottish Government Public Sector Security programme and guidance
Latest Note	<p>Dec 2022.</p> <p>We continue to follow NCSC guidance and implement additional tools and fixes as identified.</p> <p>Recent focus has centered on deploying software updates and security patches and automating the update processes where possible and remote accessing of devices which went live in September 2022.</p> <p>Geo-blocking to GB remains in place and the geo-political situation continues to be monitored.</p> <p>Resourcing of security will continue to be examined as part of normal ICT service design management processes.</p>

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 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
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Linked Actions Code & Title	Progress	Status	Assigned To
P&T/22-23/ICT/01 Secure the Council's Technology Infrastructure	<div style="width: 85%;"><div style="background-color: #0070C0; color: white; padding: 2px;">85%</div></div>		James Gallacher
P&T/22-23/ICT/02 Enhance Security and Cyber awareness programmes tailored for hybrid working	<div style="width: 60%;"><div style="background-color: #0070C0; color: white; padding: 2px;">60%</div></div>		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
<p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	05-Jan-2023	4	<p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	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
- 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 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


	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	<p>Service continues to provide full service, monitoring in place to ensure any adverse issues are highlighted and appropriate actions taken.</p> <p>No change to Risk Matrix</p>
Risk Opportunity	<ul style="list-style-type: none"> -Enhance reputation of Council -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/22-23/F&W/02 Continue to work collaboratively with Argyll & Bute and Inverclyde Councils to develop a best value proposal for procuring the reception, transportation, treatment and compliant disposal of biodegradable municipal waste	<input type="text" value="50%"/>		Kenny Lang; Jenna Mccrum
R&N/22-23/F&W/04 Produce a business case for the development of a waste transfer station within Council's boundary	<input type="text" value="75%"/>		Kenny Lang; Jenna Mccrum
R&N/22-23/R&T/12 Develop an action plan for depot rationalization	<input type="text" value="100%"/>		Liam Greene
R&N/22-23/R&T/13 Review winter gritting programme and implement a more effective service provision	<input type="text" value="100%"/>		Liam Greene




	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
	05-Jan-2023	4		31-Mar-2027	4	Alan Young
Potential Effect	<ul style="list-style-type: none"> - Housing stock is not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users 					

	<ul style="list-style-type: none"> -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	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	Full programme of maintenance and upgrade in place, with regular monitoring and reporting.		
Risk Opportunity	<ul style="list-style-type: none"> -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/22-23/HAI/10 Ensure the Council's Housing stock maintains compliance with the Scottish Housing Quality Standard and reduce the number of properties held in abeyance.	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4a86e8; display: flex; align-items: center; justify-content: center;">60%</div>		Alan Young
SD&P/22-23/HAI/11 Deliver the HRA Capital Investment programme for 2022/23	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4a86e8; display: flex; align-items: center; justify-content: center;">60%</div>		Alan Young
SD&P/22-23/HAI/12 Ensure the Council's Housing stock progresses towards the achievement of the energy efficiency standard for social housing.	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4a86e8; display: flex; align-items: center; justify-content: center;">60%</div>		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	05-Jan-2023	4	 Likelihood Impact	31-Mar-2027	2	Adam Armour - Florence
Potential Effect	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> . 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	<p>Progress for 2022/23 emissions target</p> <ul style="list-style-type: none"> • Based on the little data we currently have, progress in meeting the target of 21,649 tCO2 (or reduction in 3.5%) will be challenging, but not unachievable. This is due to the Council's operations being more stable after the years of the COVID 19 Pandemic. <p>2045 - net zero carbon reduction trajectory</p> <ul style="list-style-type: none"> • However, it will be harder to achieve the same carbon reduction targets, and therefore overall carbon reduction trajectory by 2045, particularly in light of budget cuts for the Council. With this in mind, it is important that each service area, including energy & compliance, receive the necessary funding/support (both internal and external) to deliver on climate change projects. Notably, for the reduction in waste streams/emissions, energy efficiency and decarbonising the Council fleet. • The Council is therefore likely more at risk at not achieving the carbon reduction target for 2023/24 onwards, unless momentum is maintained with climate change projects. 			
Risk Opportunity	<p>.Our local environment is protected, enhanced and valued resulting in:</p> <ul style="list-style-type: none"> - 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 <p>.Our resources are used in an environmentally sustainable way</p> <ul style="list-style-type: none"> - 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 <p>. Our neighbourhoods are sustainable and attractive</p> <ul style="list-style-type: none"> - 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/22-23/011 Co-ordinate, monitor and report the progress of the Council's Climate Change Action Plan for 2022/23		<div style="width: 80%; background-color: #4f81bd; color: white; text-align: center; padding: 2px;">80%</div>		Adam Armour - Florence

Risk Status	
	Alert
	High Risk

	Warning
	OK
	Unknown