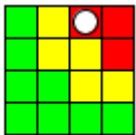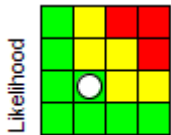# Strategic Risk Report

Generated on: 25 January 2022

	SR 001 Significant financial funding reductions / limitations from Scottish Government	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 and ongoing projected population change with West Dunbartonshire. 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; likely increased 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. Pay awards and other inflationary pressures are expected to continue to be higher than any settlement position. Covid-19 introduces a risk in relation to the potential net cost to the Council versus the ongoing funding support and/or financial flexibilities provided by the Scottish Government, though this is anticipated to be fully funded.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	12-Jan-2022	**12**		31-Mar-2022	**4**	Gillian McNeilly

Potential Effect	Shortfall in finances and therefore the Council is unable to provide all services as intended.
Measures of Impact	- Reduction in government grant - Demographic change (population decline/growth, aging population) - Cost reduction required including cutting level and/or quality of service provision - Increased Debt (collection of Council Tax, HRA rents, etc)
Risk Factors	- Level of government grant - Lack of time to plan for changes in the level of grant funding due to single year settlements and 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
Internal Controls	- 10 year Financial Strategy subject to regular review - Monitor and maintain General Services and Housing Revenue Account prudential targets - Reporting and monitoring of Treasury Management Strategy - Budgetary control process - Regular budgetary control and savings monitoring reports provided to CMT and Council / committees - Rigorous debt collection processes - Annual Internal Audit Plan - Work of External Auditors (external control) - Annual Governance Statement - Procurement Improvement Plan
Latest Note	For the remainder of the Strategic Plan period there is a very high likelihood that the funding received from the Scottish Government will be reduced as the population of West Dunbartonshire continues to decline compared to the Scottish average position. There is a potential for some additional funds arising from Barnett Consequentials, however these may not be "free" funds and may be linked to Scottish Government priorities.
Risk Opportunity	- 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/21-22/009 Report agreed savings options and management adjustments through the budgetray control process	66%	⚠️	Gillian McNeilly
RES/21-22/007 Review and update the long term finance strategy	50%	▶️	Laurence Slavin

⚠️	**SR 002 Failure to implement broad-ranging school improvement to raise attainment and achievement**	This risk concerns the delivery of excellence and equity for our young people to support them to attain and achieve at the highest level. In particular, it is aimed at bridging the attainment gap and breaking the cycle of disadvantage. This also includes the focus on intervention at early years to improve life chances at all points on the learning journey. A key 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.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	12-Jan-2022	**6**		31-Mar-2022	**1**	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 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	Examination results - Her Majesty's Inspectors of Education inspection reports - validation reports - stakeholder feedback - local learning community attainment data - control group model - small test of change model - risk matrix model - bespoke model of intervention for young people and families at early stages to improve on attendance/lateness; social and emotional health; supports for mental health issues; parenting/behaviour management skills and early linguistic & cognitive development - pre/post intervention assessment - increased expectation of raising attainment being the responsibility of all - school to school collaboration with locally initiated bottom-up enquiry - higher level of Science Technology and Maths subject uptake in secondary schools - increased numbers of learners entering STEM related career pathways - standardised literacy and numeracy tests Evidence gathering is underway to provide robust evidence of attainment by end June. Direct comparison of latest years attainment data in 2015-19 should reflect different context of 2021
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. In March 2020 children were home working remotely for 7 months. There is increased risk of targets to narrow the attainment gap and increase attainment being affected. A contingency and recovery plan are in place. Therefore, this is not severe risk. However, it is predicted that there will be some impact due to extended periods of school closure. Need to ensure that assessment is not disproportionate and becomes a burden to pupils. The ongoing disruption due to the pandemic will have an impact on attainment.
Internal Controls	Raising Attainment Strategy Project management by Senior Education Officer Raising Attainment Project Board (led by Chief Education Officer) Termly progress reports submitted as part of Educational Service committee reports Relevant Continuous Professional Development programme to support education staff Meetings between WDC and Education Scotland/Her Majesty's Inspectors of Education BGE Attainment and Performance Data Educational Services Improvement Framework 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.
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

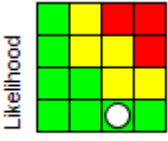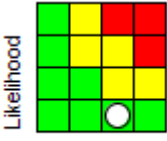| Linked Actions Code & Title	Progress	Status
ELA/21-22/DP/01 Deliver the best start in learning	67%	▶
ELA/21-22/DP/03 Increase attainment and positive destinations	24%	▶
ELA/21-22/DP/04 Review and improve support for reducing inequity	23%	▶
ELA/21-22/DP/05 Develop empowered leadership to provide the highest quality of learning and teaching	27%	▶

✓ SR 003 Councils Assets	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

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	12-Jan-2022	4		31-Mar-2022	4	Craig Jardine; Michelle Lynn; Gail Macfarlane; Alan Young

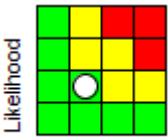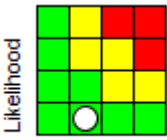| **Potential Effect**	- Assets are not utilised in the most effective and efficient manner - Service cannot be properly delivered to the satisfaction of service users - Service users seek alternative service provision -Increase in reactive maintenance costs/ demand/ volume -Council assets in poor conditions -Council assets fail to meet relevant standards
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
Risk Factors	Adequacy of funding available to improve asset base - Adequacy of staff resources allocated to the area of asset management - Council buildings/ assets deemed to be unfit for existing purpose - Economic conditions may reduce level of potential capital receipts from surplus property sales -Over one third of the road network is in need of repair and the current long term capital funding only sustains a steady state condition of the road network - Increased public liability claims due to poor condition of roads network - Increase public liability claims due to poor condition of footpaths and roads which are not part of our adopted network.
Internal Controls	- 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. - Property Asset Management Plan - HRA Capital Investment Programme (refreshed and delivered annually) - Capital plan

	- Roads and Lighting Asset Implementation Plan - Fleet Asset Implementation - Open Space Asset Implementation Plan - Detailed asset database that shows relevant information on a property by property basis in relation to operational, non-operational and HRA properties. - Sustainability Policy - More Homes Better Home Project Board.		
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.		
Risk Opportunity	-Enhance reputation of Council by being able to improve Council -Estate, assets and service delivery (e.g. new school buildings, operational building upgrades, office and depot rationalisation projects, housing investment programme to meet SHQS/EESSH, 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 -Improved satisfaction from tenants and public building users - 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.		

Linked Actions Code & Title	Progress	Status	Assigned To
R&N/21-22/021 Review the composition of the vehicle fleet and ensure the conversion from the current diesel powered fleet to a low /zero CO2 emissions fleet is implemented in a planned and sustainable way (via Fleet Strategy)	60%	▶	Kenny Lang
SD&P/2022/CAM/01 Develop and implement new Corporate Asset management plan 2021-26	75%	▶	Craig Jardine
SD&P/2022/CAM/02 Develop and implement new Property Asset action plan	75%	▶	Craig Jardine
SD&P/2022/HAI/01 Ensure the Council's Housing stock progresses towards the achievement of the energy efficiency standard for social housing.	80%	▶	Alan Young
SD&P/2022/HAI/02 Deliver the HRA Capital Investment programme for 2021/22	80%	▶	Alan Young

✅ SR 004 Information Technology			Failure to keep pace with changing technology environment during periods of austerity and supplier rather than business led change			
Current Risk Matrix	**Last Review Date**	**Current Rating**	**Target Risk Matrix**	**Target Date**	**Target Rating**	**Assigned To**
	07-Jan-2022	2		31-Mar-2022	2	James Gallacher; Patricia Kerr; Brian Miller
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.					
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 projects delivered and more are in					

	progress Workforce mgnt self service, Housing mgnt system replacement, CMIS upgraded and hosted, increased volume of web and intranet traffic, SEEMIS replacement, 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.
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. Additional tools being purchased to help support remote working environment. - Poor project and programme change management arrangements. - Poor quality of mobile communication provision. - Poor uptake on channel shift
Internal Controls	- Capital programme established for technology refresh projects - Information & Communication Technology (ICT) Policy - Governance structures such as ICT Steering Board, Education ICT Steering Board, Digital Transformation Board in place to support integrated planning and decision making in relation to ICT - Use of both internal IT resources from across the Council and skilled specialist advisers in key areas - Fit for purpose data centre (with remote back up site). Shared data centre went live in Dec 2014 and replacement WDC data centre live January 2018. WDC and EDC are taking a lead role on data centre sharing across Scotland
Latest Note	Jan 2022. Council spend plans continue to include investment in technology thereby demonstrating the Council's ongoing commitment to technology solutions and improvements.
Risk Opportunity	-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 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 - 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

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/2022/ICT/01 Support the Councils transformation and improvement projects	50%	▶	James Gallacher; Patricia Kerr; Brian Miller
P&T/2022/ICT/02 Deliver secure and compliant infrastructure to support Council wide services	33%	▶	James Gallacher; Patricia Kerr; Brian Miller
P&T/2022/ICT/03 Deliver process and technology improvements to the ICT service	60%	▶	James Gallacher; Patricia Kerr; Brian Miller
WFP/P&T/21-22/05/ICT Build succession planning and explore and initiate workforce shadowing/ transfer opportunities across P&T	75%	▶	Patricia Kerr

SR 005 Partnerships				The Council fails to engage adequately with partnership bodies			
Current Risk Matrix	**Last Review Date**	**Current Rating**	**Target Risk Matrix**	**Target Date**	**Target Rating**	**Assigned To**	
	12-Jan-2022	**3**		31-Mar-2022	**3**	Amanda Graham	

Potential Effect	failure of partnership impacts on Councils obligations under Community Empowerment Act
Measures of Impact	partnership response to COVID19 Successful delivery of LOIP and supporting plans positive partnership inspections
Risk Factors	-COVID19 response is agency specific and leads to gaps and missed opportunities - inability to deliver improved outcomes which require strong partnership activity - Council's reputation is adversely affected through a failed partnership arrangement
Internal Controls	- Robust partnership arrangements through community planning partnership - Align the Council's strategic plan with the Local Outcome Improvement Plan (LOIP) - Ensure that partners have signed up to deliver on the outcomes and targets set in the LOIP - Develop data sharing protocols with partner agencies - Participate in reform agenda as it impacts on Council area
Latest Note	No change to risk assessment. 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.
Risk Opportunity	- Position West Dunbartonshire as a modernising Council

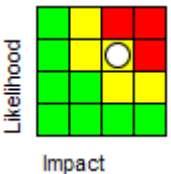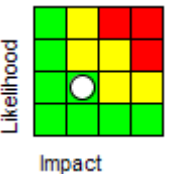| Linked Actions Code & Title	Progress	Status	Assigned To
H&E/2022/CT/02 Develop a detailed Delivery Plan through consultation with CPWD and the local community to ensure the aims of the CE Strategy are deliverable.	66%	▶	Elaine Troup
H&E/2022/CT/03 Complete the Review of the Scheme for Establishment for Community Councils	33%	▶	Elaine Troup
CCF/2022/CO/01 Review Community Planning arrangements to create a long-term sustainable model for WDC	100%	✅	Amanda Graham

SR 006 Citizens and communities				The risk is that the Council does not establish or maintain positive communications with local residents and the communities it represents			
Current Risk Matrix	**Last Review Date**	**Current Rating**	**Target Risk Matrix**	**Target Date**	**Target Rating**	**Assigned To**	
	12-Jan-2022	**4**		31-Mar-2022	**2**	Amanda Graham	

Potential Effect	- Tensions develop with citizens and local community groups -reputational damage to council services -lack of trust in service provision
Measures of Impact	- informed and engaged citizens participating in consultation activity - telephone survey monthly, quarterly and annual measures -increased social media engagement and reach
Risk Factors	pace of change in response to COVID19 means services may not be communicating fully and effectively citizens may be suffering from information overwhelm and not engage in the high volume of updates being shared by services Services are having to change and update plans in response to new information - meaning it can be difficult to keep up with current position and ensure the message is shared

	Lack of appropriate staff development / skills may be lacking to support new model of service delivery inequity of engagement across the partnership on key local issues council seen as unresponsive to community if feedback from engagement not acted upon apathy within communities leads to little or no engagement some community groups feel their voices are not being heard
Internal Controls	- Ensure robust mechanisms for public feedback (Embedding the Strategic Engagement Framework) - Annual budget consultation events - Citizens Panel - Open Forum questions at Council meetings - continue to deliver 4 issues of housing news each year - delivery of effective communications and public information through social media - use of telephone survey
Latest Note	We continue to promote and ensure strong communications and engagement through the Engaging Communities Framework. 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	citizens are more comfortable with the digital platform as a result of the enforced cessation of face to face services - this presents an opportunity to modernise communication Community Empowerment Act participation requests asset transfer

Linked Actions Code & Title	Progress	Status	Assigned To
CCF/2122/SR/02 Produce four publications of Housing News per year	75%	▶	Amanda Graham
CCF/2122/SR/03 Gather Citizens feedback through regular engagement channels including Citizens Panel and Telephone Survey	75%	▶	Amanda Graham
CCF/2122/SR/01 Ensure communications are widely distributed across all channels to residents	100%	✅	Amanda Graham

✅	**SR 007 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, 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.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	17-Jan-2022	4		31-Mar-2022	4	John Duffy; Alison McBride

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.
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.
Risk Factors	Resources, robust policies and practices, adequate H&S strategy.
Internal Controls	• 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 Chief Officers, 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 Chief Officer meeting to report on service safety performance •Chief Officers have H&S committees at Directorate and Corporate 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.
Latest Note	Target Risk was reviewed and given current pandemic no change.
Risk Opportunity	Demonstrate to committees, elected members, Trade Unions, employees, the community and other external partners of robust H&S culture.

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/2022/H&S/01 Embed an organisational health and safety culture though extending organisational use of Figtree and understanding of health & safety	62%	▶	John Duffy; Anna Murray

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⚠	**SR 008 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
	07-Jan-2022	9		31-Mar-2022	4	Iain Kerr

Potential Effect	• 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
Measures of Impact	• 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	• Inappropriate Cyber defences at the perimeter of the council networks • Inappropriate delivery of security patches to desktop and server estates • Compliance with security standards such as PSN, PCI, Public Sector Action Plan on Cyber resilience for Scotland • Continually changing threat landscape • Maintaining relevant skill sets among employee group / cost of securing expert resources
Internal Controls	• Implementation of internal Policies on Patching and hardware/software hardening and expanded during COVID to patch thin build 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 • PCI working group

	• Information Security/Data Protection forum • Multiple layers of Cyber defences • Network Segration • 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
Latest Note	Jan 2022. Recent cyber threats coupled with attackers focus on exploiting vulnerabilities means the risk profile remains as significant however the Council has and will continue to invest in mitigating technologies (e.g. for scanning purposes) which helps to mitigate the likelihood. Monitoring and management of the ICT estate continues to be a key priority for the ICT service as well as raising awareness regarding cyber threats and user education.
Risk Opportunity	• Increase Cyber resilience and awareness for staff, members and citizens • Contribute to Scottish Government Public Sector Action Plan on Cyber resilience for Scotland • Upskill employees to address current and emerging threats • Increased employee awareness across Council

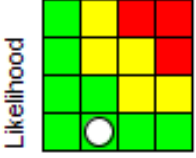| Linked Actions Code & Title	Progress	Status	Assigned To
P&T/2022/ICT/01 Support the Councils transformation and improvement projects	50%	▶	James Gallacher; Patricia Kerr; Brian Miller
P&T/2022/ICT/02 Deliver secure and compliant infrastructure to support Council wide services	33%	▶	James Gallacher; Patricia Kerr; Brian Miller
P&T/2022/ICT/03 Deliver process and technology improvements to the ICT service	60%	▶	James Gallacher; Patricia Kerr; Brian Miller
WFP/P&T/21-22/04/ICT Support Digital Transformation implementation and plan through ROI, consultancy only where necessary skills not internally available	75%	▶	Patricia Kerr
WFP/P&T/21-22/05/ICT Build succession planning and explore and initiate workforce shadowing/ transfer opportunities across P&T	75%	▶	Patricia Kerr

✓	**SR 009 Failure to deliver the Early Years Agenda**	Timescales for delivery of 1140 hours has been revised by the SG due to the impact of COVID 19 on progress with delivery. The statutory delivery date for eligible 2 year olds and all 3 and 4 year olds has been revised to August 2021. There is no risk to West Dunbartonshire Council as the statutory entitlement was delivered by May 2021 for all eligible 2 year olds and entitlement for all 3 and 4 year olds.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	12-Jan-2022	**3**		31-Mar-2022	**3**	Kathy Morrison
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					
Measures of Impact	Care Inspectorate standards All ELC meet the National Standard Criteria Key project milestones Scottish Government requirements					

	Parental expectations Key personnel positions
Risk Factors	Maintaining level of Scottish Government investment Availability of contractors within project timescales Recruitment of suitable staffing for centres Creation of flexible delivery model Staff engagement with the Early Years Strategy Quality of communication with parents and staff Successful transition to new delivery model Impact of closure due to COVID-19 will delay some projects
Internal Controls	Reports to Education Services Committee Early Learning and Childcare Strategy 2016 - 20 Care Inspectorate Children and Young Peoples Act (S) 2014 Education Governance Board Revised implementation plan for recovery Revised DLO building programme of works for outstanding projects Early Years Implementation Board Financial reports - budget monitoring and review Inter departmental working Partnership SLA's Workforce Development Reports to Scottish Government Improvement Service
Latest Note	There are capital projects remaining in our ELC plan, specifically these are building and service improvement projects which require to meet Care Inspectorate and Environmental standards. 5 ELC were awaiting reinspection, of the 5 two have been reinspected with positive evaluations of 'GOOD' and above. Statutory consultation is planned for the end of the current school session.
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

Linked Actions Code & Title	Progress	Status	Assigned To
CCF/2022/FM/03 Undertake planning, recruitment and procurement in readiness for expansion of Free School Meals to primary school pupils in P4-P7	20%	⚠️	Lynda Dinnie
CCF/2022/FM/02 Provide FM support to Early Years 1140 Expansion programme	100%	✅	Lynda Dinnie

✅	**SR 010 Ensure an appropriately resourced workforce.**	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.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
Likelihood / Impact	12-Jan-2022	**4**	Likelihood / Impact	31-Mar-2022	**2**	Alison McBride
Potential Effect	- 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					

Measures of Impact	- Access to and participation of employees in learning and development activities - Absence rate and trends - Employee turnover - Grievance, discipline and other monitoring information - Employee survey results and associated actions - Reports from external scrutiny bodies and award bodies - Benchmarking with appropriate comparators
Risk Factors	- Lack of appropriate development / shortage of skills may pose a risk to new models of service delivery - Lack of capability to deliver - Workforce unable to adapt to change
Internal Controls	- 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 polices - Effective use of Occupational Health Service - Robust Be the Best Conversations process - Effective leadership and management behaviours and practice
Latest Note	Workforce planning has developed well alongside service delivery planning. This has been supported by better use of data in this area to inform decision making via the use of the console. New ACAS guidance (issued July 17) Return to Work and Hybrid Working reinforces the work WDC have undertaken to date, particularly around the workstyle exercise, employee consultation, remote working guidance, planned/ phased return and variations to contracts which all see WDC well placed in supporting the workforce. Further work to develop the approach to working flexibly has commenced. Despite a robust package of wellbeing resources being available, absence levels are starting to rise, with stress and MSK absences prevalent. WDC continue to provide additional access to counselling. Development course for mid to senior leaders has commenced in January 2022. Trickle rollout has now been completed for the whole of the organisation and will be used for employee feedback and engagement. There will be a launch of the Trade Union Learning Agreement which encourages all employees to participate in regular learning and development. WDC Fit for Future programme continues to support services.
Risk Opportunity	- Identity previously unknown skills and talents in the workforce - Realise the potential of staff

Linked Actions Code & Title	Progress	Status	Assigned To
P&T/2022/OD/01 Build workforce skills and support for the future across all services through innovative development programmes and bespoke interventions	20%	▶	Lorraine Mair
P&T/2022/SHR/01 Embed good people practice through a focus on employee well-being, sound policies and workforce planning	60%	▶	Louise Hastings; Alison McBride

	SR 011 EU Exit	The Council has continued to proactively prepare for EU Exit, working alongside key partners and officers. Overtime, there may be service disruption, finance pressure, economic impacts. Since the UK left the EU, there has been no significant or noted impact of EU Exit in West Dunbartonshire. The emergence of the Omicron variant of Covid-19 has placed concurrent pressures on services, however these and challenges continue to be effectively managed through the Resilience Groups.

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	19-Jan-2022	6		31-Mar-2022	2	Operational Resilience Group

Potential Effect	West Dunbartonshire Council has reviewed the risks on a regular basis taking particular attention of any local risks ensuring mitigating actions were put in place to minimise any local impact. Local impacts are yet to be realised however they are still being monitored through the EU Exit Assurance Action Plans (Council & HSCP). These continue to be live documents which are regularly reported to Audit Committee and Corporate Services Committee. For further information on the potential effect please refer to WD HSCP EU Exit Assurance Plan & WDC EU Exit Action Plan.
Measures of Impact	The measure of impact is detailed in both EU Exit Assurance Plans
Risk Factors	Financial Workforce Goods, services & supply chains Community Regulation Insurance Education Global Pandemic
Internal Controls	All internal controls are managed through both EU Exit Assurance Action Plans. In addition, the Council's Resilience Groups continue to work with the Civil Contingencies Service (CCS) to act as the main driver to support and monitor the new Trade and Cooperation agreement. The Civil Contingencies Officer participates in EU Exit calls hosted by COSLA and working with other LAs to address any issues and raise concerns to Scottish Government. However, COSLA have reduced the frequency of their meetings. Additionally, the emergence of the Omicron variant of Covid has resulted in a greater focus on managing the impacts associated specifically from the ongoing pandemic. The Civil Contingencies Officer crossed referred both plans with the updated UK Planning Assumptions of reasonable worst-case scenarios and is a live document allowing officers to update their respective fields if and when required.
Latest Note	The rating of 6 is retained from the previous assessment. It remains challenging to 'unpick' direct EU Exit impacts from those resultant from the Covid pandemic. Additionally, staggered changes to the UK Border Model from 1st January 2022 presents potential additional impacts on supply chains while affected industry sectors adapt.

Linked Actions Code & Title	Progress	Status	Assigned To
SR011-10 Workforce Planning	100%	✅	Victoria Rogers
SR011-2 Regeneration	100%	✅	Peter Hessett
SR011-3 Procurement	100%	✅	Annabel Travers
SR011-4 Legal & Evironmental Health	100%	✅	Peter Hessett
SR011-5 P&T impact of EU nationals employed by WDC	100%	✅	Victoria Rogers
SR011-7 Communications	100%	✅	Amanda Graham

| SR011-8 Resilience | 100% | ✓ | Victoria Rogers |
| SR011-9 Education | 100% | ✓ | Laura Mason |

	SR 012 Pandemic (COVID)	The Council is faced with significant ongoing demands with disruption to service delivery, increasing PPE and workforce pressures as a result of Covid 19 and subsequent local and national outbreaks. This involves both responding to the crisis and from services returning to a new normality based on Response, Recovery and Renew guidance produced by Scottish and National Government. NB. Financial risk is also reflected in SR001

Current Risk Matrix	Last Review Date	Current Rating	Target Risk Matrix	Target Date	Target Rating	Assigned To
	29-Jan-2022	4		31-Mar-2022	2	John Duffy; Alison McBride

Potential Effect	Reduced service delivery, disruption to service provision, demand for increased workforce in many areas, increased financial pressures and difficulty in responding effectively to demands from employees, Trade Unions and the wider public.
Measures of Impact	Reduction in government funding Reduction in revenue and income Service reductions or closures/reducing quality/limiting quantity Reduction in WDC/WDLT workforce Increased debt owed to the Council Reputational damage to WDLT and Council due to reduced delivery/quality of services
Risk Factors	Levels of government funding for COVID 19 Second wave of COVID-19 Local outbreaks, non compliance resulting in further restrictions or local lockdown Workforce reduction/absence/recruitment difficulties/wellbeing impacted/additional PPE requirements/difficulty with supply chain/increased costs Concerns from Elected Members/employees/Trade Unions about provision/ safety of service/facilities Additional hardware/software to cope with prolonged remote working Significant additional burden in Capital receipts
Internal Controls	10 year Financial Strategy as referred within SR001 Powers delegated to council officers to speed up critical decision making during pandemic Business continuity plans – organisational and service specific SRG/SRRG established as a key decision-making body guided by strategic council aims. Decisions noted and reported periodically to full Council. Regular sharing of information and guidance to officers and managers in relation to COVID-19 via exception reporting and situation (SITREP) reporting to ORG/SRG ORG established as an operational delivery body to ensure consistent messages and SRG decisions implemented, governance and compliance managed via SRRG. Dedicated Intranet page established; acting as a vehicle for sharing current information and best practice. WDC officers/councillors are actively participating in national forums to update SG as to WDC's position and stay updated on national advice Regular Workforce updates issued to ensure clarity of message and provide clear advice WDC/WDLT management to undertake reviews to find efficiencies to reduce costs and improve sustainability opportunities for savings and greater sustainability. Additional forums for collective consultation and information sharing established with trade unions.
Latest Note	Covid booster programme is progressing well in WDC. There has been significant disruption due to Omicron however, it seems indications are the direction of travel is cautiously positive. Whilst WDC have experienced some employee absence due to Omicron, services have been maintained. Schools are open, restrictions are easing and isolation periods reduced with rules around self-isolation of household contacts having eased (providing negative LFTs). Risk assessments have been reviewed and employees are encouraged to complete regular LFTs. Offices re-opened, although SG guidance around Omicron enforced return to home-working. Plans to re-open are due to commence at the end of January. In light of the above the risk rating has reduced from 6 to 4. Whilst any further outbreaks would have an

		Sub-Risks Traffic Light Icon	Sub-Risks Managed By
	impact, WDC resilience plans are well established.		
Risk Opportunity	Enhance reputation of Council by being able to provide confidence clear guidance and supports Continue to build on digital service delivery via Digital Board plans. Continue with estate, assets and service delivery Enhance employees "feeling valued" by providing good conditions, wellbeing opportunities and supports Secure external funding for assisting in the delivery of council aims		

Sub-Risks Description	Sub-Risks Measures of Impact/Internal Controls	Sub-Risks Traffic Light Icon	Sub-Risks Managed By
Workforce	**The Council is faced with significant workforce demands in relation to absence, reduction, recruitment and wellbeing.** Employees' absence as a result of self-isolation, infection or caring requirements. Workforce reductions - due to insufficient funding, employees leaving due to caring requirements and anxiety. Recruitment issues caused by insufficient funding, demand in certain areas and skills. Wellbeing with employees working for an extended period at home, mental health, DSE and ongoing supports. Business Continuity Plans reflect employees' absences of up to 30% in determining how critical services will be delivered such diverting non critical roles to support key roles. Volunteer process in place to allow managers to apply for support and have volunteers identified and matched. To reduce the loss of key worker the council have promoted flexible working arrangements, providing childcare facilities and access to health supports. National and Government schemes accessed such as DWP Kickstart to supplement and support the local vaccination centres. West Dunbartonshire has been very receptive to the vaccine programme with high uptake across most age cohorts. This means the majority of West Dunbartonshire constituents have been vaccinated which helps build immunity, reduced the risk of developing coronavirus and makes symptoms milder. Wellbeing strategy in place with a focus on Mental Health supports, OH provider has delivered bespoke supports and i-learn has been expanded to support additional needs of the workforce. Significant internal demand on OH supports increasing costs substantially – little evidence of use of national supports for social care workers. New ACAS guidance (issued July 17) Return to Work and Hybrid Working reinforces the value and innovative approaches undertaken to date, particularly around the workstyle exercise, employee consultation, remote working guidance, planned/ phased return and variations to contracts which mean we are well placed for these changes. Numbers of employees absent due to Covid and/or isolating is reducing. Plans are now progressing with offices re-opening at the end of January with all offices planning to be opened by end of February.	✅	All relevant managers/ORG members
Service Delivery	**The Council is faced with significant delivery demands in relation to moving services online, disruption, reduction and quality.** Services are disrupted as a result of employee's absence, increased demand or lack of equipment/supplies. Reduction & quality are impacted due to insufficient funding leading to reduced numbers of employees and impacting on quality-of-service delivery. The Council have moved where possible to meet the needs of citizens via a more digital delivery method. Transformation projects will be reviewed in light of the developments made in this area. Business Continuity Plans identify critical activities and the minimum resources required to deliver critical activities – these were updated within the last 12 months. Employees are being supported at home with the correct equipment (DSE),ensuring employees take time off, receive regular breaks and	✅	All relevant managers/ORG members

	other supports such as BTB conversations. Absence levels are now improving in relation to Covid/isolating and all services have been maintained throughout.		
Protection	**The Council is faced with significant demands for protection in relation to additional and constant changing legislation and guidelines, PPE requirements, supply chain, cost of PPE and ensuring workforce safety.** WDC officers are actively participating in national forums to stay updated on national advice and ensure this is cascaded council wide. Officers from across the organisation review the SG COVID website daily to capture any changes. PPE demands continue and supply chain issues could impact upon our ability to purchase key equipment or resources, or affect any areas where we are reliant on a contractor. Business Continuity Plans consider supplier dependencies, including potential alternative suppliers. WDC have an established Risk assessment process to ensure safe practices for work. Lateral flow tests are available to WDC employees to ensure regular testing and distributed alongside PPE.	✅	All relevant managers/ORG members
Public uncertainty	**The Council is faced with significant demands around public uncertainty and leads to additional burdens upon services, seeking information, advice and support.** Council continue to work with key stakeholders and citizens to ensure clarity of information as services recommence, ensuring this is shared with members of the public via social media/Council website, alongside FAQs being made available where necessary. Information on updated Government advice is distributed through these channels regularly, and as soon as possible after Govt announcements, Requests made via the contact centre to reduce burden on services. Both symptomatic and asymptomatic testing has been undertaken across WDC. Messaging has been clear and a drive to ensure services review their digital presence is underway. Plans are progressing to open buildings for Phase 1&2 early Feb, with the remainder opening at the end of Feb, with a plan to reopen to public following this.	✅	All relevant managers/ORG members

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