To: Finance and Resources Policy Board

On: 18th May 2016

Report by: Chief Executive

Heading: Chief Executive's Risk Management Plan 2016/17

1. **Summary**

1.1 In keeping with 'Risk Matters', the Council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis.

1.2 This paper presents the Chief Executive's Service Risk Management Plan for 2016/17 (Appendix 1) to the Finance and Resources Policy Board for approval.

1.3 The Service has identified eleven risks which are core issues. Control measures and linked actions are in place to prevent and/or mitigate these risks and these are set out in Appendix 1.

2. **Recommendations**

2.1 It is recommended that the Finance and Resources Board:

I. approves the Chief Executive's Service Risk Management Plan 2016/17.

3. **Background**

3.1 The business and social environment that the service operates within and provides services to continues to be a challenging and dynamic one and the proposed service risk management plan going forward from April 2016 must continually evolve in order to keep pace with, and accurately reflect the service's key priorities and key challenges.

3.2   The Council actively promotes good and sensible risk management practice. In doing so the council aims to deliver high quality services for all service users, achieve high standards of performance, make the most of opportunity, and provide a safe environment for those it employs, contracts or partners with in providing a wide range of services.

3.3   Good risk management is about seeking to prevent harm or loss, seeking to ensure the right things happen and that 'risk-aware' not 'risk-averse' decisions are made in all aspects of Council business.

3.4   The process to identify key service risks seeks to focus on the significant challenges and uncertainties that may impact on the service's ability to deliver its key priorities and the risks are aligned to the themes of the Council plan.

3.5   The resulting service risk management plan is used to record, monitor and review the management of these risks.

3.6   A number of methods are used and information sources reviewed to ensure a broad and thorough approach to identifying the service's risks and these methods include but are not limited to:

- Consultation and benchmarking within and outwith the service.
- Review of key reports (internal and external) specific to the service responsibilities.
- Review of new/emerging legislation and extension of provision.

4.   Core Risk for Chief Executive's Service

4.1   In presenting the service risk management plan to the Board, the Senior Management Team would wish to draw the Board's attention to a number of specific matters.

4.2   The service risk management plan continues to bring to sharp focus the significant risks facing the service and this should be balanced with recognition of the benefits that also continue to be delivered.

4.3   The risks have been evaluated using the Council's risk matrix (final appendix) and involves multiplying the likelihood of occurrence of a risk by its potential impact. This produces an evaluation of risk as either 'low', 'moderate', 'high' or 'very high.' High/ very high risks are viewed as significant. The profile of the service's risk going forward from April 2016 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High
No. of Risks:	0	6	5	0

4.4   In appraising the service risk management plan, the Senior Management Team have identified those risks that they perceive to be the 'top five' for the service and these relate to:

Risk 1 - Tackling Poverty, Programme Implementation: *The Council is committed along with its partners to tackling poverty in Renfrewshire.*

Programme implementation is in the early stages and with levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.

Risk 2 - Corporate Events Management: *Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the Council on a national and international level.*

Risk 3 - Marketing and Communications: *Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the Council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.*

Risk 4 - Better Council Programme: *The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the Council's business, could result in financial savings and service improvements benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation.*

Risk 5 - Delivering Key Outcomes with Strategic Partners: *The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.*

4.5   In preparing this paper for the Board, the Senior Management Team consider that the proposed corporate risk register suitably reflects the service's risk management focus for the forthcoming year.

4.6   In relation to individual risks recorded, the Senior Management Team believe that appropriate control measures are in place to prevent and/or mitigate adverse effects and that further planned action is appropriate to the level of risk. Where no new actions are defined for any particular risk, this is indicative of a level of confidence in the current control measures in place and a consequent decision to tolerate the risk at this time. Robust monitoring arrangements are in place to track the progress of planned actions.

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Implications of the Report

1.   **Financial**
Recurring costs associated with the measures in place for each risk are considered proportionate to the level of risk, and new planned actions are also considered to be cost effective.

The financial requirements to support the service risk management plan should be met within the service budget allocations. Any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the

Chief Executive and the Director of Finance and Resource Services

2. **HR & Organisational Development**
Any risks relating to HR and Organisational Development issues are reflected within Appendix 1.

3. **Community Planning**

   Children and Young People
   Community Care, Health & Well-being
   Empowering our Communities
   Greener
   Jobs and the Economy
   Safer and Stronger

   Any risks relating to the Community Planning themes are reflected within Appendix 1.

4. **Legal.**
Any risks that may have legal implications are reflected within Appendix 1.

5. **Property/Assets**
Any property-related risks are reflected within Appendix 1.

6. **Information Technology**
Any risks relating to ICT are reflected within Appendix 1.

7. **Equality & Human Rights**

   (a)   The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. **Health & Safety**
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.

9. **Procurement**
Any risks relating to procurement are reflected within Appendix 1.

10. **Risk**
For member assurance, all areas of the service have been consulted to ensure that the relevant risks have been identified.

   The risk scores are believed to be as realistic as possible taking account of the type of risks recorded and the effectiveness of the measures in place to manage them.

The risk profile shows there are significant risks being managed by the service however for assurance, the senior management team believe that this risk can be managed and contained (in relation to the council's risk capacity and tolerance).

Although the risks require close monitoring and scrutiny throughout the year, many are longer term risks that are likely to be a feature of the risk management plan over a number of years.

11.   **Privacy Impact**
         Any risks relating to privacy matters are reflected within Appendix 1

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List of Background Papers

(a) Background Paper 1: Service Risk Management Plan 2016/17

The foregoing background papers will be retained within Chief Executive's service for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Nicola Irvine-Brown, 0141 618 7414.

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Author: *Nicola Irvine-Brown 0141 618 7414*

Appendix 1

Renfrewshire Council

Chief Executive's Service

Service Risk Management Plan

April 2016

CONTENT

1. Risk management arrangements within Chief Executive's Service

1.1   During 2015/16, the Service has implemented a range of standard procedures in keeping with the Council's risk management strategy, "Risk Matters." This includes using the agreed risk management process and the standardised risk matrix for analysis and evaluation of risk within the service.

1.2   The Head of Policy and Commissioning takes the lead role for the management of risk within the Chief Executive's Service and is supported by the Head of Communications and Head of Marketing, all are accountable to the Chief Executive, the Corporate Management Team and the Finance and Resources Policy Board for the management of risk within the Service. Each risk and its associated actions are allocated to responsible officers. Progress against the management of the risks and actions are reported on a quarterly basis to the Senior Management Team. In keeping with the risk management strategy, any exceptional information regarding significant risks is reported to the Corporate Risk Management Group on a quarterly basis, which reports this information to the Corporate Management Team if appropriate.

1.3   The local risk forum for the Chief Executive's Service is the Senior Management Team.

2. Report on service's contribution to relevant strategic risk management objectives

2.1   During 2015/2016, the service has contributed to some of the Council's strategic risk management objectives in the following way:

- effectively managing community planning partnerships to ensure the delivery of key Council objectives and projects, and to deliver value for public money; and
- leading on the Council's duty to comply with Equality and Human Rights legislation.

3. Report on previous year's Risk Management Plan

3.1   When the service's 2015/16 service risk management plan was approved by the Finance and Resources Policy Board on 13 May 2015, four risks were recorded and the evaluation of the risks at that time outlined the service's risk profile as four moderate risks.

3.2   In relation to the 2015/16 service risk management plan, 21 actions were identified and carried out as planned throughout the year.

3.3   A summary of the activity that took place in relation to last year's risks is detailed below.

1. Poor information flow leads to inappropriate, ineffective or late communications – Over 2015/16 a series of actions have been implemented to improve communication across the Council. A Head of Marketing was appointed during 2015, who now manages a team of staff across marketing and event management function. An internal communication plan was also approved by the CMT in January 2016.

2. Legal implications for the Council from failure to comply with equalities legislation - Meetings have been undertaken with the SMT and Officer Working Group to support the EQHRIA approach. New guidance and templates were issued and are now in place. The Diversity & Equality Alliance in Renfrewshire (DEAR) group has been re-established.

3. Due to challenging times, there might be a failure to deliver on the ambitions of the community planning partners – The Community Planning Partnership Board and Thematic Boards continue to operate effectively and the partnership remains focused on achivening achieving the aspirational outcomes for Renfrewshire. A Strategic Partnership Agreement

with the University of the West of Scotland was approved by the Leadership Board in February 2016. Other agreements with key partners are under development.

4. Failure to ensure that date sets are kept up to date leads to an inability to monitor and report progress on the strategic plans – Accurate and complete returns were made to the Improvement Service as part of the Local Government Benchmarking Framework and Statutory Performance indicators were reported on the Council website. Appropriate council and partner organisations have been assigned to relevant Local Outcome Improvement Plan (LOI).

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	**0**	**1**	**3**	**0**	**4**

3.4 A number of required actions were identified and carried out as planned throughout the year. These actions were believed to be proportionate and cost effective in relation to the level of each risk. The Board received a midyear report on the progress being made in relation to this activity.

3.5 Of the 21 actions allocated under the four risks, 85% were completed by the 31st of March 2016. For the remaining 15% actions not completed, these were longer term actions and have been carried forward to the revised service risk management plan to monitor and ensure completeness.

3.6 Two risks (equalities and data) that feature in the revised risk register have been rolled forward from 2015/16, however the focus has been reviewed to ensure that they take account of any changes in context.

4. Current business context for Chief Executive's Service

4.1 The Council continues to focus on the delivery of key policy priorities despite continued financial constraints and reducing resources. In order to adapt to new demands on the organisation, the Chief Executive's Service will undertake significant change over the coming year.

4.2 As approved by the Leadership Board on 18 February 2015, there has been a strengthening of the role of corporate policy, planning and performance management across the organisation, with the Chief Executive's Service managing this on behalf of the Council. This will ensure that activities are managed strategically and resources available to the Council continue to be focussed on the delivery of Council priorities. Procurement and Business Change services have also transferred into Chief Executive's Service, this will enable a strategic and policy led approach to the future commissioning of services, and delay of transformational change within the Council.

4.3 Senior Management Team members have considered the planned activity for delivering the forthcoming year's service priorities and any significant challenges for achieving the service priorities are reflected within the service risk management plan for 2016/2017. A number of the risks that have transferred into the Chief Executives Service are included within the Corporate Risk Register for 2016/17, such as Phase 2 of the Better Change Programme.

4.4 On the basis of the above review of the business context for Chief Executive's Service, the Senior Management Team has identified the key risks to be recorded within its risk register for 2016/17, as outlined in section 5.2.2.

5.   The service risk profile and top risks going forward from April 2016

5.1.   The detailed service risk management plan from April 2016 is provided in the attached appendix. The risks are aligned to the themes of the Council's business plan, "Better Future, Better Council."

5.2.   By way of summarising the information contained within the appendix, the remainder of this section provides:

- Table 5.2.1: the service risk profile in terms of low, moderate, high and very high risks
- Table 5.2.2: all service risk areas ranked in descending order of significance;
- Table 5.2.3: the service's TOP 5 risks with a brief narrative overview.
- Table 5.2.4: an overview of how risks relate to the themes of the council's business plan.

Table 5.2.1: Service Risk Profile

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:		6	5		

Table 5.2.2: Risk Areas in Order of Significance
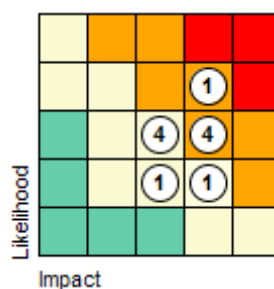
Chief Executive's Service Risk matrix 2016:

Risk areas	Likelihood	Impact	Score	Evaluation
1. Tackling Poverty	04	04	16	High
2. Better Council Programme	03	04	12	High
3. Corporate Events Management	03	04	12	High
4. Marketing and Communications	03	04	12	High
5. Delivering Key Outcomes with Strategic Partners	03	04	12	High
6. Equality and Human Rights	03	03	9	Moderate
7. Community Empowerment Act	03	03	9	Moderate
8. Digital Participation	03	03	9	Moderate
9. Procurement Contract	03	03	9	Moderate
10. Data and Performance Management	02	04	8	Moderate
11. Inspection & self-assessment	02	03	6	Moderate

Table 5.2.3: TOP Risks

Title	Score	Risk	Overview
Tackling Poverty	16	**The council is committed along with its partners to tackle poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.**	An extensive programme of work is being progressed locally through a range of projects and initiatives and the lead for delivering on the project is held by the Chief Executive's Service. The programme will run until the end of 2016/17 and a critical role of this service will be to ensure that projects are completed on time and on budget and crucially that the positive benefits of these programmes are realised. Officers from the service continue to work with other local authorities and a national level to identify best practice approaches, and will also develop longer term options to produce a long-term evidence based approach to tackling poverty, based on learning from the programme.
Better Council Programme	12	**The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation**	The Council has successfully managed the impact of wider public sector financial constraints in recent years, implementing a significant programme of transformational change through our Better Council programme and through increased efficiency. However, the impact of the recent local government budget settlement will be felt acutely by this local authority and will require all Council services to identify further opportunities for budgetary savings and efficiencies whilst maintaining a commitment to deliver quality services to local people and businesses. The organisation will deliver the second phase of our Better Council Change Programme to further strengthen the savings already achieved from the first phase of the programme.
Corporate Events Management	12	**Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level**	2016 is an exciting time for Paisley as we continue with our bid to become UK City of Culture 2021. The Chief Executive's Service will lead on launching our new marketing campaign that will put Renfrewshire on the map and make it much easier for everybody to see what the area has got to offer and the benefits of visiting, living or investing here.
Delivering Key Outcomes with Strategic Partners	12	**The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and**	The Service will continue to strengthen these partnership links through the development of Strategic Partnership Agreements. A review of community planning arrangements will also be undertaken to ensure that these meet the requirements of the Community Empowerment Act and facilitate wider, open access to the community planning process. The Service will continue to work with partners to adopt best practice approaches at a local level to the new legislation.

Title	Score	Risk	Overview
		partnership aims and objectives.	
Marketing and Communications	12	**Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.**	The Communications Team have developed an Internal Communications Strategy to ensure that employees are kept up-to-date on the workings of the Council. Our employees are at the centre of all the services that we deliver across Renfrewshire and it is important that they feel well-informed about what is happening across the Council.

Table 5.2.4: Relationship with council business plan

1: A Better Future - PLACE		
Priority 2: Building on our Culture and Heritage	CRR16.01.02 Corporate Events Management	Context: • Beer and Food Festival 20th - 23rd April • British Pipe Band Championships - 21st May • Sma Shot Day - 2nd July • Paisley Pipe Band Champs- 16th July • Fire Engine Rally - 13th Aug • Paisley Make - 29th Aug - 4th Sept • Doors open Day - 3rd and 4th Sept • The Spree Festival 14th - 22nd Oct • Halloween Festival 28th - 29th Oct • Fireworks Display 5th Nov • Christmas Lights On Events - Nov. • European Curling Championships 18th - 26th Nov • Ongoing desire to host Monte Carlo Rally

2: A Better Future - PEOPLE		
Priority 5: Reducing the Level and Impact of Poverty	CRR16.05.08 Tackling Poverty – Programme Implementation	Context: • Tackling Poverty Commission report published March 2015. • Tackling Poverty strategy launched in October 2015. • Extensive programme of projects and initiatives being progressed, with £6m of funding allocated by the Council to support delivery and achievement of key outcomes. • Governance of programme established. • Delivering approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms. • Delivering a range of interventions to support financial inclusion across Renfrewshire. • Producing a long-term, evidence based and sustainable approach to tackling poverty, based on learning from Tackling Poverty programme.

	CRR16.10.17 Digital Inclusion	Context:
		 • Implementing the digital participation plan to support access to the internet.
		 • Providing customers with easy to use digital services.
		 • Addressing the known barriers to accessing the internet, lack of:
		    - digital skills;
		    - access; cost and motivation (fear, internet safety, desire, limited understanding the benefits).
		 • Targeting our efforts initially on those individuals who are most likely to be digitally excluded.

3: A Better Council		
10 Continuing to be a Well Run Council	CRR16.10.14 Better Council Programme	Context: • Implementation of a significant programme of transformational change • Increased efficiency. • Second phase of the programme, 2016/17 to facilitate identification of additional savings areas.

	CRR16.10.16 Marketing & Communications	Context: • Supporting staff through change through effective internal communications • Ensuring employees understand the key priorities being driven by the council through the Council Plan and their role in achieving these. • Engaging Renfrewshire's communities in the objectives of the Community Plan. • Communicating important information to local residents about initiatives such as the Tackling Poverty strategy and digital strategy and what it means for them. • Crisis communications. • Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns. • Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire are world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely. • Providing branding and promotions to support the 2021 Bid • Delivering a range of diverse and exciting events to increase visitor numbers to our town centre.
	CERR16.P4.01 Data & performance mgt	Context: • LOI and Community Plan performance indicators held on Covalent to ensure that they are kept secure and easily accessible; • Statutory Performance Indicators are held on Covalent and monitored to ensure that accurate information is reported to Audit Scotland within timescale; • Local Government Benchmarking Indicators included as part of the SPIs from April 2014; • Arrangements in place for collection of accurate and complete information; • Arrangements in place that meet the criteria in Audit Scotland's Direction for reporting performance information; • Audit Scotland SPI Direction and the council's statutory duties complied with; and • Council and Community planning partner performance information available from the Council's website
	CRR16.08.10 Delivering Key Outcomes with Strategic Partners	Context: • Expanding the Families First approach. • Implementing the Children and Young People Act. • Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan. • Extending telecare and telehealth services. • Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups. • Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well bein.g
	CERR16.P1.04 Equalities	Context: • Corporate progress reported to CMT and Council's Leadership Board on an annual basis. • Corporate guidance to support assessment of equality and human rights impacts accessible on Renfo and the Council's website. • Equality and Human Rights Impact Assessment e-learning developed to support for employees and managers. • Board Reports revised to ensure equality and human rights impacts are an integral part of the decision making. • An Equality Awareness Week is run every year, demonstrating the Council's commitment to support employees to develop a better understanding. • Continue to lead on Diversity and Equality Alliance in Renfrewshire Group in order to achieve better outcomes for everyone in Renfrewshire.
	CERR16.P3.01 Community Empowerment (Scotland) Act 2015	Context: • Renfrewshire Council, supported by the Head of Policy and Commissioning, will ensure the requirements of the Act are followed up. • The structure of Renfrewshire Community Planning Partnership includes a Forum for Empowering Communities and progress on implementing the Act is reported to each meeting. The Chief Executive of Engage Renfrewshire (single access point for community action, volunteering and social enterprise in Renfrewshire) chairs the forum. • Renfrewshire Council has an asset transfer policy in place, which is being delivered to take account of the Community Empowerment Act and associated guidance. • Engage Renfrewshire is organising an event on asset transfer for third sector organisations in spring 2016. • In April 2015 agreed to the transfer of land at Linwood to a community

		development trust.
		• Renfrewshire is a pilot area for developing revised national standards on community engagement;
		• Community Planning Partnerships are encouraged to use these standards as a tool for community empowerment; and
		• Renfrewshire Community Planning is currently conducting a review of its partnership arrangements in the context of the Community Empowerment (Scotland) act 2015.
	CERR16P5.03 Procurement Contracts	<u>Context:</u> • The Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives, comes into force on 18 April 2016. • The draft Procurement (Scotland) Regulations 2016 also comes into force on 18 April 2016
	CERR16P3.02 Inspection & self-assessment	<u>Context:</u> • In December 2014, the Accounts Commission concluded its review of Best Value; • The review identified the need for more frequent assurance on Best Value across all 32 councils, with an increased emphasis on improvement, the quality of service experienced by the public and the outcomes achieved; • This new approach will take effect as part of the new local government audit appointments from 1st October 2016; • Thereafter, an integrated annual audit and a public report (Controller of Audit report to the Accounts Commission) for each council at least once in a five-year period; • As Renfrewshire Council last Best Value audit was in November 2005 we are anticipating to be one of the first Council's to be assessed by Audit Scotland; and • Undertake a corporate self-assessment in line with current best value guidance.

5.3.   The risk treatment activity planned for the risks is shown within the appendix that follows. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects.

5.4.   A midyear progress report on the service risk management plan will be reported in due course to the Board. Information on specific significant risks will be reported to the Corporate Risk Management Group and the Corporate Management Team as required on an exceptional basis.

Chief Executive's Service Risk Register 2016/17

Report Author: Nicola Irvine _Brown
Generated on: 02 May 2016

Priority 1: A Better Future - PLACE

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.01.02 Corporate Events Management Context: *Beer and Food Festival 20th - 23rd April *British Pipe Band Championships - 21st May *Sma Shot Day - 2nd July *Paisley Pipe Band Champs- 16th July *Fire Engine Rally - 13th Aug *Paisley Make - 29th Aug - 4th Sept *Doors open Day - 3rd and 4th Sept *The Spree Festival 14th - 22nd Oct *Halloween Festival 28th - 29th Oct *Fireworks Display 5th Nov *Christmas Lights On Events - Nov. *European Curling Championships 18th - 26th Nov *Ongoing desire to host Monte Carlo Rally	Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level	Head of Marketing	**Top 5 controls:** *Monthly Strategic Events Group in place to co-ordinate preparation for various events as per event schedule, with representation from all relevant council services and community partners *Events Guidance Manual in operation *Considerable pre-event liaison with in house teams and the emergency services *The events team and in-house specialists have considerable experience and a good track record in organising and managing events *Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked **Other controls:** Accredited and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events.	03	04	12

Action Codes	Linked Actions		Assigned To	Due Date	Status
CE.SIP.16.01.01	Deliver a range of diverse and exciting events to increase visitor numbers to our town centre		Head of Marketing	31-Mar-2018	◁

Priority 1 Better Future - PEOPLE

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.05.08 Tackling Poverty - Programme Implementation Context: *Tackling Poverty Commission report published March 2015 *Tackling Poverty strategy launched in October 2015 *Extensive programme of projects and initiatives being progressed, with £6m of funding allocated by the Council to support delivery and achievement of key outcomes *Governance of programme established *Delivering approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms *Delivering a range of interventions to support financial inclusion across Renfrewshire *Producing a long-term, evidence based and sustainable approach to tackling poverty, based on learning from Tackling Poverty programme	The council is committed along with its partners to tackling poverty in Renfrewshire. Programme implementation is in the early stages and with levels of poverty estimated to rise across Scotland, if the partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.	Head of Policy & Commissio ning	**Top 5 controls:** *Tackling Poverty strategy published in October 15 *Council funding allocated to progress range of targeted initiatives and interventions *Robust programme management processes in place *Governance structure agreed for reporting progress and budgetary monitoring *Annual report to be submitted to Leadership board in June 2016 Lead Officer working with services to progress long term sustainable options for tackling poverty post cessation of the funding in September 2017.	04	04	16

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.02.01	Provide strategic leadership for the delivery of the overarching Tackling Poverty Strategy	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	🔻
CE.SIP.16.02.02	Manage the delivery of projects within the Tackling Poverty Programme, ensuring delivery on time and budget, and that benefits are realised for people living in poverty	Strategic Lead for Tackling Poverty & Welfare	31-Mar-2017	🔻

			Reform	
CE.SIP.16.02.03	Advise on and support service improvements that deliver the strategic outcomes of the Tackling Poverty Programme	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2017	◀
CE.SIP.16.02.04	Produce a long term, evidence based and sustainable approach to tackling poverty, based on learning from the Tackling Poverty Programme	Strategic Lead for Tackling Poverty & Welfare Reform	30-Sep-2017	◀
CE.SIP.16.02.05	Deliver communications activity which informs and engages citizens around the Tackling Poverty Programme, and that shares learning with partners locally and nationally	Head of Communicatio ns	30-Sep-2017	◀
CE.SIP.16.02.06	Deliver approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	◀
CE.SIP.16.02.07	Deliver a range of interventions to support financial inclusion across Renfrewshire	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	◀
CE.SIP.16.02.10	Implement our digital participation plan to support low income families and other disadvantaged groups to benefit from access to the internet	Strategic Lead for Tackling Poverty & Welfare Reform	31-Mar-2018	◀

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.08.10 Delivering Key Outcomes with Strategic Partners Context: *Expanding the Families First approach *Implementing the Children and Young People Act *Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan *Extending telecare and telehealth services *Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups. *Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being	The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.	Head of Policy & Commissio ning	**Top controls:** *monitoring arrangements in place through appropriate boards and joint committees. *mature community planning partnership arrangements, recognised at national level. *Strategic Partnership Agreement in place with University of West of Scotland with others under development *service level agreements in place as appropriate * Community Planning Partnership arrangements ensure we are operating effectively for partners, delivering on the priority outcomes for Renfrewshire and compliance with the requirement of the Community Empowerment (Scotland) Act.	03	04	12

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.06	Develop collaborative relationships across Local Authorities and other public sector bodies	Partnership Planning & Development Manager	31-Mar-2018	◀
CE.SIP.16.04.11	Develop Strategic Partnership Agreements between Renfrewshire Council and a number of key community planning partners	Partnership Planning & Development Manager	31-Mar-2018	◀
CE.SIP.16.04.15	Support the development of the Scottish Local Government Partnership	Strategic Planning & Policy Development	18-Mar-2018	◀
CE.SIP.16.04.07	Undertake a review of current community planning structures within Renfrewshire and implement recommendations	Partnership Planning & Development	18-Mar-2018	◀

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.14 Better Council Programme Context: *Implementation of a significant programme of transformational change *Increased efficiency *Second phase of the programme, 2016/17 to facilitate identification of additional savings areas. *Addressing capacity challenges (financial and workforce) to deliver change and improvement	The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation	Head of Policy & Commissioning	**Top 5 controls:** *Programme management approach adopted. *Monthly programme boards held as part of CMT agenda. *Effective budget tracking and monitoring *Regular reporting on progress to the Leadership board *Effective joint working with between PMU staff and service leads *Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme. **Other controls:** *A workforce planning strategy will be developed by HR&OD, aligned to the Organisational Development strategy and BCCP. The strategy will support the implementation of highly effective workforce planning approach across services to develop workforce capacity, creating a culture of performance and continuous improvement. *Directors will be supported by HR&OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council's internal or external environments. *A range of learning and development solutions to support managers specifically on areas of change management and workforce planning will be developed.	03	04	12

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.01	Identify the additional savings projects for Phase 2 of the Better Council Change Programme to address the	Strategic Programme	31-Mar-	🔻

	2017/18 gap	Manager	2017	
CE.SIP.16.04.02	Successfully deliver Phase 2 of the Better Council Change Programme	Strategic Programme Manager	31-Mar-2018	◁

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR16.10.16 Marketing & Communications Context: *Supporting staff through change through effective internal communications *Ensuring employees understand the key priorities being driven by the council through the Council Plan and their role in achieving these. *Engaging Renfrewshire's communities in the objectives of the Community Plan *Communicating important information to local residents about initiatives such as the Tackling Poverty strategy and digital strategy and what it means for them *Crisis communications *Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns *Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire are world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely. *Providing branding and promotions to support the 2021 Bid *Delivering a range of diverse and exciting events to increase visitor numbers to our town centre	Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.	Head of Communications	* Head of Communications and senior communications officers liaise with Services/ Senior Management Teams on the co-ordination and timing of information communications, communication strategies, action plans and key milestones * Communications database (NASDAC) is used to track and manage media enquiries * Council information channels such as; website, social media, magazine are used effectively to promote council initiatives Head of Communications is full member of Corporate Management Team * Crisis Communications Strategy in place * All content on website and intranet have review dates set so that checks can be made on currency of information * The Communication Team continue to corporately approve web and intranet content * Communications employees are required to comply with council guidelines when using approved social media applications such as Facebook and Twitter * The Communications team monitors all social media accounts * Emergency Contacts Directory updated to reflect new contact details every 6 months	03	04	12

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.03.01	Implement an internal communications strategy for the Council to improve the quality and nature of two-way	Head of Communicatio	30-Jun-	◁

			2016	
	communication with staff	ns		
CE.SIP.16.03.02	Develop and implement a communications plan to promote awareness of the refreshed Council Plan internally	Head of Communications	30-Jun-2016	🔸
CE.SIP.16.04.23	Implement the Communications Strategy and Action Plan for Renfrewshire Community Planning Partnership	Head of Communications	31-Mar-2017	🔸
CE.SIP.16.04.24	Implement a communications strategy to cover all audiences (including internal) to support the public and our partners. The strategy will cover our development of all communications channels and support the council and community plans	Head of Communications	31-Mar-2017	🔸
CE.SIP.16.04.25	Lead on the roll-out of the Council's new website	Head of Communications	30-Jun-2016	🔸

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P1.04 Equality and Human Rights

Context:
Renfrewshire Council as a public service provider and employer is committed to providing excellent services in a culture which helps to ensure that we are meeting the changing needs of individuals and groups across the diverse population of Renfrewshire.
The Council is required by legislation to pay due regard to the general equality duty set out in the Equality Act 2010 and ensure that everyone's rights are protected/upheld which enables individuals and groups to have the opportunity to realise their full potential free from discrimination as required by the Human Rights Act 1988 | Legal implications for the Council from failure to comply with equalities legislation | Head of Policy & Commissioning | *Progress and areas of development and improvement reported to Best Value Working Group
*Corporate progress reported to CMT and Council's Leadership Board on an annual basis
*Corporate guidance to support assessment of equality and human rights impacts accessible on Renfo and the Council's website
*Equality and Human Rights Impact Assessment e-learning developed to support for employees and managers
*Board Reports revised to ensure equality and human rights impacts are an integral part of the decision making
*An Equality Awareness Week is run every year, demonstrating the council's commitment to support employees to develop a better understanding
*Continue to lead on Diversity and Equality Alliance in Renfrewshire Group in order to achieve better outcomes for everyone in Renfrewshire | 03 | 03 | 9 |

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.17	Coordinate and monitor progress of the Council's equality outcomes for our communities	Strategic Planning & Policy Development	31-Mar-2018	🔶

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P3.01 Community Empowerment (Scotland) Act 2015 Context: Renfrewshire Community Planning Partnership requires to respond effectively to guidance on the Community Empowerment Act to be issued in 2016. This will include responsibility for researching and understanding community needs and developing a partnership wide locality outcome improvement plan (LOIP) and area specific locality plans. The Council also requires to work with partners to ensure that responsibility for the Leadership and governance of community planning arrangements is shared and ensure that communities are empowered to be as involved in the management of assets and delivering of sources as they want to be.	If the council and partners fail to respond to the Community Empowerment (Scotland) Act 2015 and associated guidance, and do not involve local people in the decision about services and empower local communities to deliver services or putting in place arrangements to assess and address local needs this could potentially damage the reputation of the council and our partners and lead to legal challenge.	Head of Policy & Commissioning	• Renfrewshire Council, supported by the Head of Policy and Commissioning, will ensure the requirements of the Act are followed up. • The structure of Renfrewshire Community Planning Partnership includes a Forum for Empowering Communities and progress on implementing the Act is reported to each meeting. The chief executive of Engage Renfrewshire (single access point for community action, volunteering and social enterprise in Renfrewshire) chairs the forum. • Engage Renfrewshire is organising an event on asset transfer for third sector organisations in spring 2016. Renfrewshire Council has an asset transfer policy in place, which is being delivered to take account of the Community Empowerment Act and associated guidance. • In April 2015 agreed to the transfer of land at Linwood to a community development trust. • Renfrewshire is a pilot area for developing revised national standards on community engagement. • Community Planning Partnerships are encouraged to use these standards as a tool for community empowerment. • Renfrewshire Community Planning is currently conducting a review of its partnership arrangements in the context of the Community Empowerment (Scotland) act 2015.	03	03	9

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.07	Undertake a review of current community planning structures within Renfrewshire and implement recommendations	Partnership Planning & Development Manager	31-Mar-2018	🔶

| CE.SIP.16.04.12 | Support Engage Renfrewshire to ensure that community and voluntary groups are involved in and contribute to the Renfrewshire Local Outcome Improvement Plan | Partnership Planning & Development Manager | 31-Mar-2018 | ◀ |
| CE.SIP.16.04.14 | Support the implementation of the Community Empowerment Act | Partnership Planning & Development Manager | 31-Mar-2018 | ◀ |

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P3.02 Inspection & Self-assessment Context: * In December 2014, the Accounts Commission concluded its review of Best Value; * The review identified the need for more frequent assurance on Best Value across all 32 councils, with an increased emphasis on improvement, the quality of service experienced by the public and the outcomes achieved; * This new approach will take effect as part of the new local government audit appointments from 1st October 2016; * Thereafter, an integrated annual audit and a public report (Controller of Audit report to the Accounts Commission) for each council at least once in a five-year period; * As Renfrewshire Council last Best Value audit was in November 2005 we are anticipating to be one of the first Council's to be assessed by Audit Scotland.	Failing to prepare effectively for a future Best Value Audit by not having a sound approach to self-assessment will have reputational damage for the Council.	Head of Policy & Commissioning	Top Controls: The Service are ensuring that they are being kept up to date on any developments e.g. attending national seminars; Informing CMT on recent BV audits; To undertake a mock self-assessment; and As part of this to carry out peer review activity on the outcome.	02	03	6

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.18	Develop options for future self-assessment activities involving staff	Strategic Planning & Policy Development	31-Dec-2016	◀
CE.SIP.16.04.19	Undertake corporate self-assessment in line with current best value guidance	Strategic Planning & Policy Development	31-Mar-2018	◀

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16.P4.01 Data and Performance Management

A Data Analytics and Research Team is being shaped which will support increasing demands across the Council for high quality data required to inform change activities. | Failure to ensure that data sets are kept up to date leads to an inability to monitor and report progress on the strategic plans of the Council and community planning partners with the risk that the Council will be unable to deliver our statutory duties and/or identify improvements that can be made to services. | Head of Policy & Commissioning | • LOI and Community Plan performance indicators held on Covalent to ensure that they are kept secure and easily accessible
• Statutory Performance Indicators are held on Covalent and monitored to ensure that accurate information is reported to Audit Scotland within timescale;
• Local Government Benchmarking Indicators included as part of the SPIs from April 2014;
• Arrangements in place for collection of accurate and complete information;
• Arrangements in place that meet the criteria in Audit Scotland's Direction for reporting performance information;
• Audit Scotland SPI Direction and the council's statutory duties complied with; and
• Council and Community planning partner performance information available from the Council's website. | 02 | 04 | 8 |

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.13	Monitor progress of the Council Plan priorities and success measures	Strategic Planning & Policy Development	31-Mar-2018	🔼
CE.SIP.16.04.20	Undertake a review of current complaints handling processes and data across Council services to ensure that this data is used to drive appropriate service improvement	Strategic Planning & Policy Development	31-Mar-2017	🔼
CE.SIP.16.04.21	Establish and maintain an Open Data Portal which will revolutionise the way in which community planning data is used in Renfrewshire	Strategic Planning & Policy Development	31-Jan-2017	🔼
CE.SIP.16.04.22	Ensure that the Council complies within the SPI Direction for local authorities	Strategic Planning & Policy Development	31-Mar-2018	🔼

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CERR16P5.03 Procurement Contracts Context: * The Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives, comes into force on 18 April 2016. * The draft Procurement (Scotland) Regulations 2016 also comes into force on 18 April 2016	Failure to comply with the Procurement Contracts (Scotland) Regulations 2015, which implements new EU public procurement directives and the Procurement (Scotland) Regulations 2016.	Head of Policy & Commissioning	* Procurement will work with legal services to ensure the Councils standing orders relating to contracts are updated to reflect the changes. * A training plan will be developed for the team and rolled out across services to ensure Council officers are aware of the obligations and processes laid out under the new legislation. * The statutory guidance on fair working practices was released at the end of 2015 and in January 2016 the council set policy to include evaluation criteria (where appropriate) on fair working practices * The evaluation considers works and services contracts tendered by the Council will benefit if performed by employees who have an adequate remuneration package for the work they perform. * Fair work practices should be broadly comparable to those adopted by public sector organisations with those working on public contracts receiving fair, equitable and non-discriminatory pay, terms and conditions and reward packages.	03	03	9

Action Codes	Linked Actions	Assigned To	Due Date	Status
CE.SIP.16.04.05	Develop the Council's Commissioning and Procurement Strategy for the period 2016-2019 covering all key areas laid out in the Council's motion including sustainability, SMEs, Third Sector, Service Level agreements and the local agenda	Strategic Commercial & Procurement Manager	31-Mar-2017	◀

Risk Matrix for Adverse Impact

Introduction

Risk should be analysed consistently across the council in terms of the significance of its impact and the likelihood of occurrence. The Risk Matrix is therefore the tool that is to be used for this purpose. The impact element of the same matrix may be used for the grading of adverse events, complaints or claims.

Impact
When considering the consequences of a potential risk, all scenarios must be considered. It may even be appropriate to consider the worst case scenario, however, those undertaking the risk analysis must be able to provide a robust rationale and have evidence to support their selection. For example, if 'death' could be the ultimate potential impact in relation to a specific problem, the risk assessors must have knowledge that this outcome has occurred in the past either internal or external to Renfrewshire Council. (A full list of descriptions to assist in analysing consequence is contained on the following two pages of this appendix);

Likelihood
Similarly when considering the likelihood of occurrence, the risk assessor's judgement must be based on the prevalence of the event/ circumstance and outcome, backed up by experience and data such as relevant incidents/ events, complaints and/ or claims.

Evaluation
As shown in the matrix below, Impact x Likelihood produces an evaluation of the significance of risk, described as 'Low', 'Moderate', 'High' or 'Very High'.

How a risk is evaluated will determine how the risk is then treated:

Likelihood	Consequent Impact				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
5 Almost Certain	5	10	15	20	25
4 Likely	4	8	12	16	20
3 Possible	3	6	9	12	15
2 Unlikely	2	4	6	8	10
1 Remote	1	2	3	4	5

Low (1-3),   Moderate (4-9),   High (10-16), or   Very High (17-25)

Consequence Impact

"Domains"	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Extreme
Objectives and Projects	▪ Barely noticeable reduction in scope / quality / schedule	▪ Minor reduction in scope / quality / schedule	▪ Reduction in scope or quality, project objectives or schedule.	▪ Significant reduction in ability to meet project objectives or schedule.	▪ Inability to meet project objectives, reputation of the organisation seriously damaged and failure to appropriately manage finances.
Injury (physical and psychological) to clients/staff.	▪ Adverse event leading to minor injury not requiring first aid.	▪ Minor injury or illness, first-aid treatment needed. No staff absence required.	▪ Significant injury requiring medical treatment and/or counselling.	▪ Major injuries or long term incapacity/ disability (loss of limb), requiring medical treatment and/or counselling.	▪ Incident leading to death or major permanent incapacity.
Client experience / outcome	▪ Reduced quality of client experience / outcome not directly related to service delivery.	▪ Unsatisfactory client experience / outcome directly related to service provision – readily resolvable	▪ Unsatisfactory client experience / outcome, short term effects – expect recovery < 1Wk	▪ Unsatisfactory client experience / outcome, long term effects - expect recovery > 1Wk	▪ Unsatisfactory client experience / outcome, continued ongoing long term effects.
Complaints / claims	▪ Locally resolved complaint	▪ Justified complaint peripheral to direct service provision	▪ Below excess claim. ▪ Justified complaint involving inappropriate service.	▪ Claim above excess level. ▪ Multiple justified complaints.	▪ Multiple claims or single major claim.
Staffing and competence	▪ Short term low staffing level (< 1 day), where there is no disruption to service.	▪ Ongoing low staffing level results in minor reduction in quality of client care ▪ Minor error due to ineffective training / implementation of training.	▪ Late delivery of key objective / service due to lack of staff. ▪ Moderate error due to ineffective training / implementation of training. ▪ Ongoing problems with staffing levels	▪ Uncertain delivery of key objective / service due to lack of staff. ▪ Major error due to ineffective training / implementation of training.	▪ Non delivery of key objective/ service due to lack of staff. ▪ Loss of key staff. ▪ Critical error due to insufficient training/ implementation of training.

Service / business interruption	▪ Interruption in a service which does not impact on the delivery of client care or the ability to continue to provide service	▪ Short term disruption to service with minor impact on client care.	▪ Some disruption in service with unacceptable impact on client care. ▪ Temporary loss of ability to provide service.	▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.	▪ Permanent loss of core service or facility. ▪ Disruption to facility leading to significant "knock on" effect.
"Domains"	**1** **Insignificant**	**2** **Minor**	**3** **Moderate**	**4** **Major**	**5** **Extreme**
Financial	▪ Negligible organisational financial loss (£< 1k).	▪ Minor organisational financial loss (£1-10k).	▪ Significant organisational financial loss (£10-100k).	▪ Major organisational financial loss (£100k-1m).	▪ Severe organisational financial loss (£>1m).
Inspection / assessment / audit	▪ Small number of recommend-ations which focus on minor quality improvement issues.	▪ Minor recommend-ations made which can be addressed by low level of management action.	▪ Challenging recommend-ations but can be addressed with appropriate action plan.	▪ Enforcement Action. ▪ Low rating. ▪ Critical report.	▪ Prosecution. ▪ Zero Rating. ▪ Severely critical report.
Adverse publicity / reputation	▪ No media coverage, little effect on staff morale.	▪ Local Media – short term. ▪ Minor effect on staff morale / public attitudes.	▪ Local Media – long term. ▪ Impact on staff morale and public perception of the organisation.	▪ National Media (< 3 days). ▪ Public confidence in the organisation undermined. ▪ Usage of services affected.	▪ National Media (> 3 days). ▪ MP / MSP Concern (Questions in Parliament).
Council / Personal Security, and Equipment	▪ Damage, loss, theft (£< 1k).	▪ Damage, loss, theft (£1-10k).	▪ Damage, loss, theft (£10-100k).	▪ Damage, loss, theft (£100k-1m).	▪ Damage, loss, theft (£>1m).

Likelihood

	1 **Remote**	**2** **Unlikely**	**3** **Possible**	**4** **Likely**	**5** **Almost Certain**
Probability	▪ Will only occur in exceptional circumstances	▪ Unlikely to occur but definite potential exists	▪ Reasonable chance of occurring – has happened before on occasions	▪ Likely to occur – strong possibility	▪ The event will occur in most circumstances