



To: Finance and Resources Policy Board

On: 13 May 2015

Report by: Director of Finance and Resources

Heading: Corporate Risk Register, April 2015

1. Summary

- 1.1 In keeping with 'Risk Matters', the council's combined risk management policy and strategy, the corporate risk register is refreshed on an annual basis; led by the Corporate Risk Management Group on behalf of and in consultation with the Corporate Management Team.
- 1.2 This paper presents the corporate risk register from April 2015 (Appendix 1) to the Board for approval.
- 1.3 Due to the corporate nature of the remit of Finance and Resources, there is a significant degree of overlap between the corporate risk register and that service's risk profile. In order to avoid duplication of reporting and monitoring arrangements, Finance and Resources' strategic risks are reflected within the corporate risk register rather than the service maintaining its own risk management plan. Finance and Resources' operational risks are channelled through the service's improvement plan.
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2. Recommendations

- 2.1 It is recommended that the Board approves the corporate risk register, April 2015.
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3. Background

- 3.1 The business and social environment that the council operates within and provides services to continues to be a challenging and dynamic one and the proposed corporate risk register going forward from April 2015 must continually evolve in order to keep pace with, and

accurately reflect the ongoing financial challenges in Scotland generally and specifically, the council'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. The Council has a public protection role relating to child and adult protection and offending behaviour and works with partners to ensure risk to and by individuals is effectively managed.
- 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 services.
- 3.4 The process to identify key risks seeks to focus on the significant challenges and uncertainties that may impact on the council's ability to deliver its key priorities and the risks are aligned to the themes of the council's business plan.
- 3.5 The resulting corporate risk register is used to record, monitor and review the management of the key risks.
- 3.6 A number of methods have been employed and information sources reviewed to facilitate a broad and thorough approach to identifying the council's corporate risks and these methods are outlined in paragraph 2.6 of Appendix 1.
- 3.7 In presenting the corporate risk register to the Board, the Corporate Management Team would wish to draw the Board's attention to a number of specific matters:
- 3.7.1 The corporate risk register continues to bring to sharp focus the significant risks facing the council and this should be balanced with recognition of the benefits that also continue to be delivered.
- 3.7.2 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 corporate risk going forward from April 2015 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	05	14	1	20

- 3.7.3 It should be noted that the total number of risks has decreased from 23 to 20 and the reasons for this are explained in paragraphs 2.7.1 – 2.7.4 of the attached appendix.
- 3.7.4 In appraising the proposed corporate risk register, the Corporate Management Team and the Corporate Risk Management Group have

identified those risks that they perceive to be the ‘top six’ for the council. An outline of the current position in relation to each of these risks is provided on pages 9 and 10 of the appendix.

TOP 6 Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Tackling Poverty and Inequality	04	04	16	High
3) City Deal: failure to deliver	03	05	15	High
4) Unemployment and economy	03	05	15	High
5) Health & Social Care Integration	03	05	15	High
6) Community Safety & Public Protection	03	05	15	High

- 3.8 In preparing this paper for the Board, the Corporate Management Team and the Corporate Risk Management Group consider that the proposed corporate risk register suitably reflects the council’s risk management focus for the forthcoming year.
- 3.9 In relation to individual risks recorded, the Corporate Management Team and the Corporate Risk Management Group 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.
- 3.10 Robust monitoring arrangements are in place to track the progress of planned actions. It should be noted that actions prefixed by “CRR” exist only for the benefit of reducing or containing the corporate risks, whereas actions with any other prefix reflect improvement activities that lie within the services’ improvement plans that have been linked through to the corporate risk register for completeness where they have a knock on benefit to the related risk.

Implications of the Report

- 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 corporate risk register should be met within the budget of each relevant risk owner, nevertheless, 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 Resources.

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 services 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 council however for assurance, the corporate 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 corporate risk register over a number of years.

11.

Privacy Impact

Any risks relating to privacy matters are reflected within Appendix 1

List of Background Papers

(a) Background Paper 1: Corporate Risk Register 2014/15

The foregoing background papers will be retained within Finance and Resources 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 Risk Manager, Risk Manager, 0141 618 7019, Karen.Locke@renfrewshire.gov.uk

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Corporate Risk Register

April 2015

Document Title:	Corporate Risk Register 2015			1
Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	13/05/2015	Review Dates:	Quarterly by CRMG to 31/03/2016	

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1. Summary update on previous year's Corporate Risk Register

- 1.1 When the 2014/15 corporate risk register was approved by Board on 14 May 2014, 25 corporate risks were recorded and the evaluation of the risks at that time outlined the council's corporate risk profile as:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	8	16	1	25

- 1.2 In relation to the council's capacity and tolerance for risk this indicated that the council had 24 corporate risks (moderate and high) that could be tolerated, albeit the 16 high risks were recognised as being significant.
- 1.3 Notably however, the council had one very high risk, which ordinarily would not be an acceptable position. Nevertheless, it was acknowledged that this risk, relating to the financial sustainability of the council, had been carefully managed at that level since the beginning of the period of austerity and it continued to reflect the external pressures that the council had to respond to, by way of managing available resources with changing demographics and increasing demand for services.
- 1.4 The Board received a progress report on all corporate risks on 12 November 2014. At that time there were no material changes to the risks.
- 1.5 During the third quarter review, two changes were agreed by the Corporate Risk Management Group:
- Land Management: the risk relating to the council's duty to inspect the council area to identify any contaminated land and establish responsibilities for any remediation of land had been successfully managed and monitored and could be de-escalated back to the Community Resources service risk management plan for onward review and monitoring.
 - Public Sector Network Compliance: following a significant period of development work to address the challenges of achieving PSN compliance and achieving a second year of accreditation it was considered it appropriate to remove this risk from the corporate risk register and arrangements for compliance were now 'business as usual.'

- 1.6 At the year-end, the corporate risks actively being managed by the council were therefore evaluated as:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	7	15	1	23

- 1.7 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. At the mid year report in November 2014, progress against planned actions was largely in line with expectation. At the year-end, **80%** of actions linked to the corporate risks and due to be undertaken in-year were completed. Any overdue or longer term actions are pulled through to the revised corporate risk register to monitor and ensure completeness.
- 1.8 The Corporate Risk Management Group, in consultation with the Corporate Management Team, has agreed that the majority of the risks from the 2014/15 corporate risk register remain core issues for the council to address. The risks therefore continue to be reflected within the revised corporate risk register in order to be effectively managed in order to support the council's objectives.
- 1.9 It should be noted that the cost of controlling the corporate risks and undertaking further action have been met within budget and the council has therefore continued to achieve cost effective risk management over the course of the year despite ongoing cost pressures.

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2. The current business environment and key impact areas for the Council

- 2.1 In “An overview of local government in Scotland 2015,” Audit Scotland explains that “for the last five years councils have had to cope with managing austerity, reducing resources, increasing demand for services, and ever increasing public expectations.”
- 2.2 In the Assurance and Improvement Plan for Renfrewshire, Audit Scotland explains “Local councils are operating within a context of significant change as a result of the challenging financial environment and the public service reform agenda.”
- 2.3 In The (Local) State We’re In 2014, PWC explains that “as councils make an honest appraisal of what the future holds, many are redefining their purpose and role and finding new ways of working. A strong theme that emerges in our survey is a shift in the role of the council away from delivering services and towards facilitating outcomes in collaboration with private and public partners, and citizens themselves.”
- 2.4 In her recent report to the Leadership Board, the council’s Chief Executive set out revised chief officer management arrangements for the council which would bring a renewed focus to the delivery of the council’s key priorities in the context of continued financial constraints and enable the delivery of the new corporate support arrangements, and provide the right mix of skills and capacity at a senior management level in the council.
- 2.5 In response to all of the above the risk register is robustly reviewed and revised as necessary to ensure that it suitably reflects the current business environment, capturing the key challenges for the council whether aligned to the corporate priorities or inherent in the current day to day business environment of the council, or indeed other matters of importance that may be imminent or as yet on the horizon.
- 2.6 As in previous years, a number of methods have been employed and information sources reviewed (some of which have already been referred to in the preceding paragraphs), to stimulate a thorough approach to identifying the corporate risks. These are outlined in Table 2.6.1 below.

Table 2.6.1: Methodology for identifying corporate risks

✔ Consultation	(1) The Corporate Risk Management Group met to consider generic themes that apply across the majority of the council’s services and that may impact on the council’s key objectives (2) The Risk Manager engaged with the Corporate Management Team to consider potential challenges in the delivery of the Council Plan (3) Appraisal of service priorities to identify key challenges for delivery that may result in significant impact to central resources (4) Liaison with council insurance brokers/ advisors, insurers and risk management advisors
✔ Benchmarking	(5) Discussion with risk managers in other local authorities through Alarm Scotland, the national public risk management association/ Scottish Group (6) Other public sector risk registers available in the public domain
✔ Review of key reports specific to the council	(7) Audit Scotland: Renfrewshire Council Assurance and Improvement Plan 2014–17 (8) Better Council Programme - Management Structures: Report to Leadership Board, Feb 2015 (9) A Better Future, A Better Council – year 1 monitoring report: Report to Leadership Board, Feb 2015 (10) Local Government Finance Settlement 2015/16: Report to Council, Dec 2014 (11) Revenue Budget and Council Tax 2015/16: Report to Council, Feb

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✔ Consultation	(1) The Corporate Risk Management Group met to consider generic themes that apply across the majority of the council's services and that may impact on the council's key objectives (2) The Risk Manager engaged with the Corporate Management Team to consider potential challenges in the delivery of the Council Plan (3) Appraisal of service priorities to identify key challenges for delivery that may result in significant impact to central resources (4) Liaison with council insurance brokers/ advisors, insurers and risk management advisors
✔ Benchmarking	(5) Discussion with risk managers in other local authorities through Alarm Scotland, the national public risk management association/ Scottish Group (6) Other public sector risk registers available in the public domain
	2015 (12) Glasgow and Clyde Valley City Deal: Report to Council, Aug 2014 (13) Tackling poverty report to Council, March 2015 (14) Audit Scotland: Renfrewshire Council, Annual report on the 2013/14 Audit
✔ Review of key external reports	(15) PWC: The (local) state we're in 2014 (annual survey on local government's financial challenges) (16) Audit Scotland: An overview of local government in Scotland 2015
✔ Consideration of legislative changes	No material legislative changes at this time (that the council is not already addressing)

2.7 While the majority of the risks that feature in the revised corporate risk register have been rolled forward from 2014/15, the focus and scoring of some has been revised to ensure they accurately take account of any changes in context. Paragraphs 2.7.1 to 2.7.4 highlight various changes that have taken place.

2.7.1 New risks coming onto the corporate risk register

The City Deal Programme: The Glasgow and Clyde Valley City Deal will deliver an investment of £1.13bn across the Glasgow City Region, including £274m on three infrastructure projects in the Renfrewshire area, together with additional investment into employment support through the Labour Market Project. The specific Renfrewshire infrastructure and labour market projects are:

- 1) Airport Access (to be jointly delivered with Glasgow City Council)
- 2) Clyde Waterfront and Renfrew Riverside
- 3) Glasgow Airport Investment Area
- 4) Labour Market Projects

The design, construction, operation and maintenance of the major projects being funded through City Deal must be effectively managed to ensure they are delivered on time and on budget and in compliance with the requirements of the City Deal Assurance Framework. All funding conditions and business case assumptions must be accurate to allow the funding to be received. Failure to manage the contracts and meet the requirements of the Assurance Framework could result in project delays, additional costs, loss of grant funding and significant reputational harm.

2.7.2 Risks with increasing scores/ evaluation:

- Serious Organised Crime, Insider Threat and Corporate Fraud – there is new impetus to the management of this risk with the recent establishment of a new Integrity Group to appraise the council's arrangements in place to manage this risk and take forward any improvement actions required. The score has been increased from moderate (9) to high (12) however it should be noted that this is not in relation to increased risk in Renfrewshire but rather

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additional and better quality information within the council supporting a different score to that previously assessed.

2.7.3 Risks moving off the corporate risk register (or merging with others)

- Welfare Reform – this risk has previously featured as one of the council's top risks. Going forward however it is considered that three aspects relating to Welfare Reform (in its present form), can now be approached in a different manner:
 - o The council's arrangements for managing the impact of welfare reform – arrangements are well embedded and are now managed 'business as usual' and this aspect can now be removed from the corporate risk register.
 - o The impact of welfare reform on Renfrewshire citizens – this is an area that now comes under the focus of the Tackling Poverty Commission and so this aspect will be merged with the Tackling Poverty and inequalities risk.
 - o The introduction of Universal Credit in terms of financial impact to the council – this will now be reflected within the financial sustainability risk in general but may now, more specifically, be of focus for Development and Housing Services. As Universal Credit and other elements of welfare reform are rolled out nationally, this risk may be escalated back onto the corporate risk register in the future.
- Shared Services Agenda – this risk is now merged into the Better Council Programme risk.
- Workforce planning, organisational development and supporting our people – this risk is now merged into the Better Council Programme risk
- Leadership and Capacity – the capacity element is now merged into the Better Council Programme risk and the 'leadership' aspect of the risk is removed given that members and officers do provide leadership in such a way as to enable key decisions for the people of Renfrewshire in a timely manner.

2.7.4 Risks with updates to definition or change in focus:

- Tackling poverty and inequality – the context of this risk has been updated to reflect that the first phase (preparatory work) is approaching completion, with focus now towards the implementation phase as reported to Council in March 2015.
- Community safety and public protection – the context of this risk has been updated to incorporate the Community Safety Review and rollout of the CCTV/ Hub project.
- Delivering on SOA outcomes through the Community Planning Partnership – the context of this risk has been updated to reflect changing Community Planning Partnership responsibilities for Criminal Justice, and for the outcome of the Improvement Service benchmarking work/ Community Planning indicators
- Financial sustainability – no immediate change but the risk will require review for any implications arising from the outcomes of the Smith Commission when available.
- Health and Social Care Integration – change in focus as the Renfrewshire Health and Social Care Partnership approaches establishment as a new legal entity (managed by the Integration Joint Board), during 2015 with the operation of the council's adult social care services being delegated to the new body, and to be fully operational by April 2016.
- Property and infrastructure management – the context of this risk has been updated to reflect (1) the decisions made around the transfer of operations for cultural properties to the leisure trust, (2) the council's Heritage Strategy and (3) the asset and management review with regards to hard and soft facilities management.
- Management of elections – the risk would be updated to remove prior references to the Scottish Referendum on Independence.

2.8 The corporate risk register continues to bring to sharp focus the significant risk facing the council and this should be balanced with recognition of the benefits that also continue to be delivered. As

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with previous years, the risk register continues to be aligned with the themes of the council's business plan:

 Better Future	 Increased, sustainable investment in our economy	 Reduction in the causes and impact of poverty
	 Improved health, well-being and life chances for Children and Families	 A safer and stronger Renfrewshire
	 Improved support to vulnerable adults	
 Better Council	 A sustainable council	 Improved information through better technology
	 Effective change management	 Smarter use of assets
	 Putting customers first	 Communication and engagement
	 Investment in our people	
 A High Performing Council	 Governance and assurance	 Managing our performance

2.9 Many of the corporate risks continue to be inter-related and inter-dependent. Given the interdependencies between the council's opportunities, risks and benefits, the oversight that the Corporate Risk Management Group applies on an ongoing basis in terms of close monitoring and review of the corporate risks and progress of associated action, is essential for understanding the complexity of the current risk environment of the council, particularly during a continued period of challenge and considerable organisational change.

2.10 On the basis of the review of the business context for the council, the Corporate Risk Management Group, in consultation with the Corporate Management Team has therefore agreed the key risks to be recorded within the corporate risk register going forward from April 2015.

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3. The Corporate risk profile and Top Risks going forward from April 2015

3.1 The detailed corporate risk register from April 2015 is provided in the attached appendix. The risk register is set out with risks aligned to the themes of the new council's business plan.

3.2 By way of summarising the information contained within the detailed corporate risk register, the remainder of this section provides:

- Table 3.2.1: the corporate risk profile in terms of low, moderate, high and very high risks
- Table 3.2.2: all corporate risk areas ranked in descending order of significance;
- Table 3.2.3: the council's TOP 6 corporate risks with a brief narrative overview.
- Table 3.2.4: an overview of how risks relate to the themes of the council's business plan.

Table 3.2.1: Corporate Risk Profile

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	05	14	1*	20

*Refer to Table 3.2.3 for details relating to the very high risk

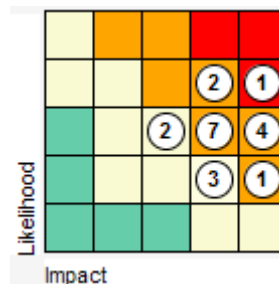


Table 3.2.2: Corporate risk areas in order of significance

Risk areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	04	05	20	Very High
2) Tackling Poverty and Inequality	04	04	16	High
3) City Deal: failure to deliver	03	05	15	High
4) Unemployment and economy	03	05	15	High
5) Health & Social Care Integration	03	05	15	High
6) Community Safety & Public Protection	03	05	15	High
7) Property and Infrastructure Management	03	05	15	High
8) Delivering on SOA outcomes through the Community Planning Partnership	03	04	12	High
9) Better Council Programme	03	04	12	High
10) Equality and Human Rights	03	04	12	High
11) Information Management	03	04	12	High
12) Corporate Events Management	03	04	12	High
13) Communications	03	04	12	High
14) Serious Organised Crime, Insider Threat and Corporate Fraud	03	04	12	High
15) Management of Elections	02	05	10	High
16) Business Continuity	03	03	9	Moderate
17) Incident Response Management	03	03	9	Moderate
18) Energy, carbon and waste management	02	04	8	Moderate
19) Information Governance	02	04	8	Moderate
20) Records Management: Public Records (Scotland) Act 2011	02	04	8	Moderate

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Table 3.2.3: TOP 6 Corporate Risks

Title	Risk	Overview
Financial Sustainability	If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource. The Council previously reported that significant savings of £20-£30m were required over the medium term through to 2017/18. As reported to Council on 12 February 2015, the medium term position remains consistent in nature with that previously reported but with areas of increasing uncertainty and risk, principally around future grant levels and pay pressures, along with significant and growing demand pressures on key service areas principally in relation to Social Work. There remains an anticipated underlying requirement for budget savings over the medium term to 2017/18, however there is an increasing risk that this is more likely to be at the top end of previous projections in the region of £30 million. Audit Scotland's Annual Report on the 2013/14 Audit concluded that the council has a stable short term financial position with actions being taken to address future financial pressures which the Council believes are sustainable. Continuous close monitoring of actions to deliver savings is crucial in ensuring the Council remains in a financially sustainable position.	
Tackling Poverty and Inequality	The council is committed along with its partners to break the poverty cycle in Renfrewshire. If the partners do not effectively tackle the causes and impacts of Poverty in Renfrewshire there will be further polarity of poverty in Renfrewshire, increasing inequality and health inequalities, and greater demand for services. Renfrewshire Council is leading efforts to tackle poverty through the establishment of the Renfrewshire Tackling Poverty Commission. The Commission was tasked with developing an understanding of the causes and impacts of poverty on Renfrewshire's children and their families and critically, with providing the Council and its Community Planning Partners with recommendations that will underpin a new tackling poverty strategy for Renfrewshire. The Commission published its report on 13 March 2015, referring it to the Council and its partners for consideration. At the Special Council meeting on 23 March 2015 Council agreed to deploy £3.23m in support of a programme of preventative and emergency response measures. It was also agreed that the Chief Executive work with Community Planning Partners to develop a wider partnership response to the Commission's recommendations, with a report outlining the partnership response expected to be presented to Council for consideration in June 2016. Universal Credit is being introduced in a limited way across Renfrewshire in June 2016. Plans are being progressed by the Council to provide support services to assist customers' access to the new benefit.	
The City Deal Programme	Failure to manage the City Deal contracts and meet the requirements of the Assurance Framework could result in project delays, additional costs, loss of grant funding and reputational damage. The Glasgow and Clyde Valley City Region has been awarded £1.13bn to be drawn down over the next 20 years to fund major capital projects. The projects in Renfrewshire include investment in the Clyde Waterfront and Renfrew Riverside, Airport Access and the Glasgow Airport Investment Area. A dedicated project team is being established to progress these projects in conjunction with our partners. The design, construction, operation and maintenance of the major projects being funded through City Deal must be effectively managed to ensure they are delivered on time and on budget and in compliance with the requirements of the City Deal Assurance Framework. All funding conditions and business case assumptions must be accurate to allow the funding to be received.	

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Title	Risk	Overview
Unemployment and economy	There are significant challenges in (1) reaching the people who most need our support, (2) enabling more resilient communities/ voluntary groups and (3) getting the right infrastructure and investment in place for the economic development of our towns and villages. If the council and its key partners do not effectively manage these challenges there is a risk of increased poverty, adverse physical and mental health, domestic violence, homelessness, worklessness, youth unemployment, and acquisitive crime. While significant challenges still impact on the ambition of the Council to grow the local economy and to create work for its residents, it is noted that unemployment has significantly reduced in Renfrewshire over the last 2 years. As such over the next three years the Council's Economic Development and Employability Programmes will see a greater focus on particular groups who are furthest from the labour market and the services offered will be more intensive and with greater barrier removal support. This will be delivered through a mix of in-house delivery, partnership funding and contracted activity and in order to recognise the changing demographics of the unemployed population the range of youth services will now be available to people up to the age of 29 while an enhanced programme of Adult Employability Services will also be developed partly in relation to the emerging programmes which are being delivered through the City Deal. In order to track the impact and success of interventions and ensure that ongoing activity is monitored, a new and improved Management Information System is also being rolled out across the Glasgow and Clyde Valley area providing a common approach to measuring the success of employability activities and ensuring that new services can be developed to the benefit of both Renfrewshire's and the City region's residents.	
Health & Social Care Integration	If the Council does not prepare effectively for the implementation of the Public Bodies (Joint Working) (Scotland) Act and form a fully operational Health and Social Partnership by 1 April 2016 there could be significant consequences in terms of logistics and reputation and further impact to council structures, budgets and governance. Preparations for the formal integration of health and social care services in Renfrewshire are progressing well. The Chief Officer designate who will lead the new Partnership has been appointed, and the Integration Scheme (the formal partnership agreement) between the council and NHS Greater Glasgow and Clyde has been developed in line with national guidance and reflects feedback from consultation with stakeholders. The Integration Scheme was approved by Council on 26 February 2015 and was submitted to Scottish Government by the statutory deadline of 1 April 2015. Work is now underway to address the next two key priorities, the procedural and governance arrangements in relation to the establishment of the Integration Joint Board, and the development of the Strategic Plan for the delivery of services in partnership over the next three years.	
Community Safety and Public Protection	The council's community safety and public protection role, delivered within an integrated partnership model is critical to ensuring child and adult protection, and that offending behaviour and community safety services are effectively delivered, or risk of harm to and from individuals may arise. Community safety and public protection is a wide ranging and expanding agenda relating to the protection of vulnerable people, communities, businesses and organisations. What makes us vulnerable changes over time and through individual circumstances - and can sometimes occur unexpectedly as a result of a civil contingencies emergency or event. However there are some broad risks that can and should be foreseen and planned for. These include being very young, ill or very old, having limited or no positive support from family or friends, being financially vulnerable or being subject to anti-social behaviour, crime, violence or discrimination. The council has reviewed its approach to the management and delivery of the community safety and public protection programmes. The community safety and public protection steering group has refreshed its role and remit in order to deliver the strategic objectives for the Council, whilst ensuring that the class leading diversionary programmes, case management and referral processes are delivered. The integrated approach to Community Safety Public Protection will be further enhanced with the provision and deployment of the joint community safety and public protection hub, with state of the art CCTV systems supporting well trained and co-ordinated frontline staff that focus on evidence led early intervention and prevention activities. Children's social work services continue to experience a high level of demand particularly in relation to child protection referrals and the number of looked after children. The Council continues to work with agency and community partners to ensure that children receive support at the earliest opportunity and action is taken to mitigate and manage any identified risks. Since 2013, in conjunction with Police Scotland and Barnardo's Scotland, the Council has had in place a robust system to identify and address child sexual exploitation. Similarly, Adult Services have seen increasing numbers of adult protection referrals and continue to adopt a multi-agency approach to managing identified risks in relation to vulnerable adults. Council actions in relation to the protection of adults and children are subject to scrutiny by the Community Protection Chief Officers Group.	

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Date Effective:	13/05/2015	Review Dates:	Quarterly by CRMG to 31/03/2016	

Table 3.2.4: Relationship with the council's business plan

1: A Better Future		
01 Increased sustainable investment in our economy	The City Deal Programme: failure to deliver	<u>Context:</u> The Glasgow and Clyde Valley City Deal will deliver an investment of £1.13bn across the Glasgow City Region, including £274m on three infrastructure projects in the Renfrewshire area, together with additional investment into employment support through the Labour Market Project. The specific Renfrewshire Infrastructure projects are: (1) Airport Access (to be jointly delivered with Glasgow City Council) (2) Clyde Waterfront and Renfrew Riverside (3) Glasgow Airport Investment Area (4) Labour Market Projects
	Unemployment and Economy	<u>Context:</u> (1) Immediate considerations such as tackling worklessness and youth unemployment (2) Achieving positive destinations for school leavers (3) Longer term considerations such as investing in infrastructure (such as roads, bridges and lighting) to support local economic development (4) Heritage Strategy and Town Centre Regeneration (5) Other public focused issues that may emerge from council plan/ SOA indicators
	Corporate Events Management	<u>Context:</u> (1) 23-26 April 2015 Beer Festival/Food & Drink Festival (2) 7/8 May 2015 The Visit (Conference) (3) 30 May 2015 Street Velodrome (4) 29 June/03 July 2015 Mission Discovery (5) 4 July 2015 Sma' Shot day (6) 11/12 July 2015 National Youth Circuit Race Championships (7) 18 July 2015 Paisley Pipe Band competition (8) 15 August 2015 Fire Engine Rally (9) 5/6 September 2015 Doors Open Days (10) 17-20 Sept 2015 Bring it All Home (11) 9-17 October 2015 The Spree (12) 30/31 October 2015 Halloween Festival (13) 07 November 2015 Fireworks (14) 14 – 28 Nov 2015 Town Centre Christmas Lights switch ons
02 Improved health, well-being and life chances for Children & Families	Delivering on SOA outcomes through the Community Planning Partnership	<u>Context:</u> (1) SOA themes (2) Improvement Service benchmarking (3) SOA indicators and performance (4) CPP future role in respect of Criminal Justice
04 Reduction in the causes and impact of poverty	Tackling Poverty and Inequality	<u>Context:</u> (1) Tackling Poverty Commission report published March 2015 (2) Initial council response – March 2015 (3) Planning for implementation - March to June 2015 (4) Implementation - June 2015 onwards (5) Impact of welfare reform on Renfrewshire citizens
05 A safer and stronger Renfrewshire	Community Safety & Public Protection	<u>Context:</u> (1) Levels of deprivation in Renfrewshire; (2) No. of vulnerable children and adults in Renfrewshire; (3) Complexity of partnership arrangements; (4) Community Safety delivery model arrangements (5) Community Safety Review (6) Community safety and public protection steering group (7) Rollout of CCTV/ Hub project
	Serious Organised Crime, Insider Threat and Corporate Fraud	<u>Context:</u> (1) Serious and Organised Crime is a threat to national security (2) It costs the UK more than £24 billion a year (3) Organised crime, insider threat, bribery and corporate fraud could become an area of concern for the council (4) The council needs to protect its citizens and its business resources

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	Incident Response Management	<u>Context (from Community Risk Register):</u> (1) Industrial Accidents and Environmental Pollution (2) Transport Accidents (3) Severe Weather Incidents (4) Structural Incidents (5) Human Health (6) Animal Health (7) Industrial Action (8) International Events (9) Industrial Technical Failure
2: A Better Council		
01 A Sustainable Council - effective and financially sound	Financial Sustainability	<u>Context:</u> Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2014/15 onwards over the course of the next spending review period. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny. Ongoing challenges include: (1) Demand/ changing demographics (2) Reduction in resources available to deliver services (3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services (4) Financial/ efficiency savings, inflation rates and reduced income from asset sales (5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce (6) Investment/ for roads, schools, housing stock to support existing services and economic growth. (7) Maintaining assets/ backlog maintenance and repair for the estate (8) Environmental/ rising energy and fuel costs, emission reduction targets (9) Potential financial impact of the introduction of Universal Credit (10) Potential outcomes of the Smith Commission
	Energy, carbon and waste management	<u>Context:</u> (1) Environmental Legislation (2) Costs/ financial penalties regime and taxes associated in particular with waste management (3) Clyde Valley Waste Project –in planning phase – moving towards construction in 2016 (4) £.25m funding for energy initiatives (5) % going to Landfill (6) Food waste funding ends 1 April 2015
02 Effective Change Management	Health & Social Care Integration	<u>Context:</u> (1) Integration scheme to be approved by Scottish Government (2) Integration Joint Board to formally appoint Chief Officer and Chief Financial Officer (3) Integration Joint Board to approve Strategic Plan (4) Council to ensure all local arrangements are in place for delegation of adult services to the new IJB during 2015 (5) IJB to be fully operational by April 2016
	Better Council Programme	<u>Context:</u> <u>Strategic Programmes</u> (1) Customer access (2) Agile Council (3) Asset Management (4) Technology (including information and Knowledge Management) (5) Organisational Development (incorporating capacity, workforce planning/ employee wellbeing) (6) Procurement Savings <u>Service Programmes</u> (As being defined) (incorporating shared services agenda) <u>Opportunity governance</u> - ensuring that innovation/ opportunities pursued are subject to the same rigor and level of governance applied to programmes and project
03 Putting Customers First	Business Continuity	<u>Context:</u> Non availability of premises, employees or systems impacting on services/ functions
04 Investment in our People		(Now covered under Better Council Programme)

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06 Smarter use of Assets	Property and Infrastructure Management	<u>Context:</u> (1) Decline in capital spending (2) Assets retained in conflict with strategy (3) Market conditions returning less favourable capital receipts (4) Community asset transfer (5) Statutory compliance inspections/ ensuring assets are safe and fit for purpose for employees and service users (6) General need for more efficient use of assets, in particular property, roads and lighting infrastructure (7) Transfer of operations for Cultural properties (8) Heritage Strategy and Town Centre Regeneration (9) Asset and management review for hard and soft facilities management
	Information Management	<u>Context:</u> Information is a critical resource for council operation therefore the availability, appropriateness and accountability of information, regardless of the format it is held in, is of great importance. The Information Management risk reflects challenges associated with delivery of the outcomes set out in the approved Information Management Policy: (1) Information sharing (2) Information compliance (3) Information efficiency (4) Information quality (5) Information security and resilience
	Records Management: Public Records (Scotland) Act 2011	<u>Context:</u> (1) The Public Records (Scotland) Act 2011 came into effect in January 2013 (2) The Keeper of the Records of Scotland has invited public authorities to submit their records management plans (RMPs) (3) Renfrewshire Council's invitation for the submission of its records management plans (RMP) to the Keeper is currently delayed until the new Records Manager has reviewed work to date, and has met with the Keeper's office. <u>RMP has 14 elements for the council to comply with or demonstrate working towards compliance:</u> •Senior management responsibility •Records manager responsibility •Records management policy statement •Business classification •Retention schedules •Destruction arrangements •Archiving and transfer arrangements •Information security •Data protection •Business continuity and vital records •Audit trail •Competency framework for records management staff •Assessment and review •Shared information
07 Communications and Engagement	Equality and Human Rights	<u>Context:</u> 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
	Communications	<u>Context:</u> (1) The importance of respectful and strategically driven communications with staff during times of change and to effect excellent service delivery (2) Engaging Renfrewshire's communities in the objectives of the Community Plan (3) Informing and supporting communities of the work and resultant outcomes of the tackling poverty commission (4) Crisis communications (5) Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns

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3: A High Performing Council

01 Governance and Assurance	Management of Elections	<u>Context:</u> (1) European and UK Government elections (2) Being cognisant of changing legislation, processes and use of e-counting systems.
	Information Governance	<u>Context:</u> Information is a critical resource for council operations. This risk covers the essential components that the council requires to embed to ensure good information governance and protect the council's and its customers' information and the council's reputation: (1) Policies and procedures (2) Roles and responsibilities (3) Training and education (4) Information Security and compliance (including incident recording monitoring) (5) Move towards cloud based services The Information Commissioner's Office (ICO) is able to order organisations to pay up to £500,000 as a penalty for serious breaches of the Data Protection Act; The ICO may receive extended powers to conduct unscheduled audits.

3.3 The risk treatment activity planned for 2015 and beyond is shown within the corporate risk register in 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. Where there are no actions linked to a risk this indicates that the risk is being managed as 'business as usual' taking account of the control measures currently in place.

3.4 The corporate risk register continues to underpin the key priorities of the council's Annual Strategic Audit Plan. Actions relating to planned audits for 2015/16 have been aligned to the relevant corporate risks in the appendix. Any improvement actions arising from 2014/15 internal audit work will continue to be integrated into the risk register as audit reports are finalised.

3.5 A midyear progress report on the corporate risk register will be reported in due course to the Corporate Management Team and the Finance and Resources Policy Board. Information on specific significant risks will be reported by the Corporate Risk Management Group to the Corporate Management Team as required on an exceptional basis.

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Service:	N/A	Lead Author	Risk Manager on behalf of the Director of F&R	
Date Effective:	13/05/2015	Review Dates:	Quarterly by CRMG to 31/03/2016	

Corporate Risk Register

Report Type: Risks Report
Report Author: Risk Manager

Priority 1: A Better Future Objective 01 Increased sustainable investment in our economy

Context	Risk Statement		Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.01 The City Deal Programme: failure to deliver <u>Context:</u> The Glasgow and Clyde Valley City Deal will deliver an investment of £1.13bn across the Glasgow City Region, including £274m on three infrastructure projects in the Renfrewshire area, together with additional investment into employment support through the Labour Market Project. The specific Renfrewshire Infrastructure projects are: 1) Airport Access (to be jointly delivered with Glasgow City Council) 2) Clyde Waterfront and Renfrew Riverside 3) Glasgow Airport Investment Area 4) Labour Market Projects	The design, construction, operation and maintenance of the major projects being funded through City Deal must be effectively managed to ensure they are delivered on time and on budget and in compliance with the requirements of the City Deal Assurance Framework. All funding assumptions must be accurate to allow the funding to be received. Failure to manage the contracts and meet the requirements of the Assurance Framework could result in project delays, additional costs, loss of grant funding and reputational damage.		Director of Development & Housing Services	- All projects will be managed using the Council's established Project Management Framework and the City Deal Assurance Framework. - Internal governance is now in place via the City Deal Programme Board chaired by the Chief Executive and the Leadership Board. - City Deal Programme Director now appointed.	03	05	15 High
Action Codes	Linked Actions		Assigned To		Due Date		Status
DHRR14.01.05b	Establish a dedicated Project Team with relevant experience of delivering major infrastructure projects. (Posts currently advertised)		Director of Development & Housing Services		30-Jun-2015		▲
DHRR14.01.05f	Negotiate and develop legal agreements with all relevant Partners and Stakeholders. Initial meetings to be arranged. (New)		Managing Solicitor (Projects)		30-Jun-2015		▲
CRR15.01.01a	Achieve planned milestones for current year for project 1 (New)		City Deal Project Director		31-Mar-2016		▲
CRR15.01.01b	Achieve planned milestones for current year for project 2 (New)		City Deal Project Director		31-Mar-2016		▲
CRR15.01.01c	Achieve planned milestones for current year for project 3 (New)		City Deal Project Director		31-Mar-2016		▲
CRR15.01.01d	Achieve planned milestones for current year for project 4 (New)		City Deal Project Director		31-Mar-2016		▲

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.02 Unemployment and economy <u>Context:</u> (1) Immediate considerations such as tackling worklessness and youth unemployment (2) Achieving positive destinations for school leavers (3) Longer term considerations such as investing in infrastructure (such as roads, bridges and lighting) to support local economic development (4) Heritage Strategy and Town Centre Regeneration (5) Other public focused issues that may emerge from council plan/ SOA indicators	There are significant challenges in (1) reaching the people who most need our support, (2) enabling more resilient communities/ voluntary groups and (3) getting the right infrastructure and investment in place for the economic development of our towns and villages. If the council and its key partners do not effectively manage these challenges there is a risk of increased poverty, adverse physical and mental health, domestic violence, homelessness, worklessness, youth unemployment, and acquisitive crime	Director of Development & Housing Services; Director of Children's Services	<u>Employability Initiatives</u> The Renfrewshire Employability Programme (REP) concludes in 2015 and is being replaced by various employability initiatives which will see a greater focus on particular groups who are furthest from the labour market and the services offered will be more intensive and with greater barrier removal support over the next three years. This will be delivered through a mix of in-house delivery, partnership funding and contracted activity and in order to recognise the changing demographics of the unemployed population the range of youth services will now be available to people up to the age of 29 while an enhanced programme of Adult Employability Services will also be developed partly in relation to the emerging programmes which are being delivered through the City Deal. <u>Early Years Strategy</u> The new Strategy aims to give Renfrewshire children the 'best start' in life by improving early education and supporting families on a range of issues which have a direct impact on the youngsters' ability to learn and develop their potential. <u>Renfrewshire Homelessness Strategy 2010-15</u> Agreed partnership homelessness strategy based on Prevention, Access To Services, Housing Options and Sustainable Options. <u>Town Centres Economic Growth</u> ▪ Paisley Heritage Asset Strategy approved in January 2014 ▪ Paisley BID (Business Improvement District) Steering Group established, the Council is supporting the BID process. ▪ Measures to improve the accessibility and the safety and security of the Town Centres have been undertaken. ▪ Comprehensive action plan and governance arrangements in place. ▪ Renfrew Town Centre improvement projected completed. ▪ Johnstone town hall project being implemented. Significant renewal project of old town hall/swimming pool/library complex. Brings together Council services into a new civic centre piece for the town. ▪ Business incubators initiative to support new businesses locating in Town Centres. <u>External Funding</u> ▪ Significant levels of external funding secured from a number of sources incl Big Lottery, ESF, ERDF, Townscape Heritage Fund, Conservation Area Regeneration Scheme. ▪ Compliance team in place to continuously monitor compliance with conditions of grant. ▪ Funding Strategy developed to support Paisley Town Centre and Heritage Asset Strategy. <u>Glasgow Airport</u> ▪ *Maximising the local economic development potential of Glasgow Airport. ▪ *Establishment of Glasgow Airport Business Forum. ▪ *Joint sponsorship of ECOS Study ▪ *Glasgow Airport Investment Area project being progressed through City Deal <u>Community Investment</u> Council maintains significant capital investment locally which supports the local economy. Many major capital projects have significant community benefits built in, e.g. play park provision, enhanced infrastructure.	03	05	15 High

Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CE.SIP.14.03.16	Continue to develop targeted communications to support the Early Years Strategy and Family Centres initiative as part of the Children and Young People and Tackling Poverty communications strategies	Communications activity is planned and delivered within six monthly action plans which focus on communicating key elements and milestones of the Early Years Strategy.	Communications Officer	31-Mar-2017	
DHSIP14.01.04.20	Deliver Business Gateway services in Renfrewshire in partnership with Inverclyde and East Renfrewshire Councils	The current contract runs from Oct 2012 – Oct 2015 and the current year's programme is largely running to plan, the first year had areas of underperformance. Discussions are underway regarding the options for the next programme of support from October 2015 onwards.	Economic Development Manager	31-Mar-2016	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.03 Corporate Events Management	Context: (1) Beer Festival/Food & Drink Festival (2) The Visit (Conference) (3) Street Velodrome (4) Mission Discovery (5) Sma' Shot day (6) National Youth Circuit Race Championships (7) Paisley Pipe Band competition (8) Fire Engine Rally (9) Doors Open Days (10) Bring it All Home (11) The Spree (12) Halloween Festival (13) Fireworks (14) Town Centre Christmas Lights switch ons	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	Director of Development & Housing Services	▪Events Management 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 have a number of years experience in organising and managing events ▪Accredited and experienced stewarding staff are employed at all large scale events ▪Paramedic and trained first aiders are on site at all large scale events ▪Town centre management team training and support from in house specialists ▪Annual events cancellation insurance cover in place although this is not a blanket insurance for all events ▪Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked ▪Events Safety Group has been established	03	04	12 High
Action Codes		Linked Actions	Latest Note				
DHRR15.01.03a		Deliver Events Strategy (New for 2015)		Town Centres Project Manager	Assigned To	Due Date	Status
				Town Centres Project Manager		31-Mar-2016	
DHSIP14.01.05.31		Deliver increased programme of town centre activities as outlined in an approved event strategy	We have delivered and improved existing events programme during 2014-15. A number of new events this year have taken place such as Queens Baton Relay, Street Velodrome and Halloween.	Town Centres Project Manager		31-Mar-2016	

Priority 1: A Better Future
Objective 02 Improved health, well-being and life chances for Children & Families

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.04 Delivering on SOA outcomes through the Community Planning Partnership	The Community Planning Partnership seeks to deliver key outcomes for the community such as tackling poverty and inequality gap in Renfrewshire. If the council does not effectively engage with the partnership through a significant period of challenge, adapting strategy, policy and operations to meet these challenges and ensuring good governance and performance, there will be greater uncertainty around delivering the partnership benefits and achieving the partnership aims and objectives.	Corporate Policy and Performance Manager	- The Renfrewshire Community Plan is the action plan for delivery of the Community Plan and the SOA - The plan clearly outlines a positive vision for change which will be driven by partners - Community Planning targets are defined. These will be revised and updated each year by the Community Plan Partnership Board as progress is achieved - Progress on achieving Community Planning/ Single Outcome Agreement targets is monitored by 6 thematic boards and is reported annually to the CPP Board. - Clear accountability and public reporting is an important aspect of the CPP approach, using data and other evidence, to drive performance within all aspects of the Community Plan	03	04	12 High
(1) SOA themes (2) Improvement Service benchmarking (3) SOA indicators and performance (4) CPP future role in respect of Criminal Justice						
Action Codes	Linked Actions	Latest Note				
CE.SIP.14.01.02	Produce and promote the Community Planning website in conjunction with Engage Renfrewshire	The website is now well established and holds content from a wide range of partners and across all of the community planning themes. It is now being used as the main repository for information on cross-partnership areas such as the children and young people's services review in 2014/ 2015. The structure of the website is being expanded in March 2015 to accommodate increased demand for hosting documents, reports and other information under each of the six plan themes.	Assigned To	Due Date	Status	
			Senior Communications Officer	31-Mar-2017		
CE.SIP.14.01.05	Support Engage Renfrewshire to ensure that community and Voluntary groups are involved in and contribute to community planning outcomes	The council has provided support to Engage Renfrewshire to develop the Renfrewshire Forum for Empowering Communities. Membership of Engage Renfrewshire has been increasing steadily - from 290 member organisations in May 2014 to 322 organisations in December 2014. A volunteering toolkit has been developed and used by local community groups and a number of volunteer recruitment campaigns have been initiated for organisations including St Vincent's Hospice, Reaching Older Adults in Renfrewshire and Active Communities. There has been an increase in the number of people registering to become a volunteer - from 614 in 2012/13 to 675 in 2013/14.	Corporate Policy and Performance Manager	30-Sep-2015		
CE.SIP.14.01.06	Support Renfrewshire Community Planning Partnership to develop a resource plan	Renfrewshire Community Planning Partnership has completed an exercise to identify the estimated public sector revenue expenditure in Renfrewshire. This showed that £975 million is spent by partners in Renfrewshire. Following this exercise the Community Planning Partnership Board identified two areas for the partnership to investigate: opportunities for assets/property and learning and development. This work is already underway and will be reported to future meetings of the Community Planning Partnership Board	Policy Officer	31-Mar-2015		
CE.SIP.14.02.15	Include and maintain detailed data about the businesses, industry, transport infrastructure and economic profile of the communities of Renfrewshire in the Knowledge Bank	Collection of this information remains on hold while the Knowledge Bank is developed. This will be carried out in line with the recently published Scottish Open Data strategy.	Partnership Analyst	31-Mar-2017		

Priority 1: A Better Future Objective 04 Reduction in the causes and impact of poverty						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.05 Tackling Poverty and Inequality Context: (1) Tackling Poverty Commission report published March 2015 (2) Initial council response – March 2015 (3) Planning for implementation - March to June 2015 (4) Implementation - June 2015 onwards (5) Impact of welfare reform on Renfrewshire citizens	The council is committed along with its partners to break the poverty cycle in Renfrewshire. If the partners do not effectively tackle the causes and impacts of Poverty in Renfrewshire there will be further polarity of poverty in Renfrewshire, increasing inequality and health inequalities, and greater demand for services.	Tackling Poverty & Welfare Reform Programme Manager	- Tackling Poverty Commission established to address the causes and impacts of poverty (priorities will be agreed and reflected as action below) - Community Care, Health and Wellbeing Thematic board of the Community Planning Partnership is focused on tackling inequalities at a strategic level. - Elements within a range of council policies and strategies tackle inequalities, such as: - Sustainable Food Strategy - Tobacco Control Strategy - Tobacco Policy for Looked After and Accommodated Children - Elements within range of partnerships, programmes & projects tackle inequalities, eg: - Families First Project - Triple P (Positive Parenting Programme) - Family Nurse Partnership - Healthier Welfare Children Project - Joint Health Improvement Manager - Support for community led health activities - Activity co-ordinators in local authority residential homes for older people - Targeted events such as AgeFest and Feelgood Renfrewshire - Universal Credit is being introduced by the UK government in June 2016. The Council will provide support services to assist customer access to the new benefit.	04	04	16 High
Action	Linked Actions	Latest Note	Assigned	Due Date	Status	
DHSIP14.01.06.38	Implement the actions from the revised Fuel Poverty Strategy action plan	Douglas Morrison 10-Apr-2015 100% of the actions scheduled to be complete by March 2015 have been. The new Fuel Poverty Strategy was approved by the Housing and Community Safety Policy board in May 2014. Three new advocacy energy advisors are now in place and working through the actions in the revised Fuel Poverty Strategy. In March 2015, Council committed £170k to establish a fuel poverty task team offering one-to-one support for local people.	Corporate Asset/Energy Manager	31-Mar-2016		
FCS-SIP14-1-1-01	Tackling Poverty Strategy	The Tackling Poverty Commission tasked with providing the Council and its community planning partners with recommendations that would form the basis of a new Tackling Poverty strategy published its report in March 2015. The recommendations were endorsed by Council on 23 March and a decision taken to fund a series of immediate response measures aligned to the Commission's recommendations. The development of the wider strategy will be aligned to the Community Planning Partnership action plan that will be developed for consideration in June 2016.	Tackling Poverty & Welfare Reform Programme Manager	31-Mar-2015		
SWSIP1403b	Support communities to lead their own health improvement activities, or to co-produce ideas and services with local people	The Health Improvement and Community Link team continues to support community groups. A portal, 'My Renfrewshire' has been developed make it easier for people to find groups which will help them to live healthier and more independent lives. The team is involved in work supporting older peoples' groups, groups for people with disabilities and carers' groups. An exercise to analyse information gathered on localities from community planning conferences and other consultation events began in August 2014 and has identified a number of opportunities for co-production of services and activities. During October 2014, the team provided support for the Scottish Mental Health Arts and Film Festival.	Health Improvement Manager	31-Mar-2015		
SWSIP1403c	Work with wider community partners to tackle health inequalities	Work on health inequalities is a key focus for this board, which receives regular updates on activity in this area. Tackling health inequality will continue to be a long term priority for community planning partners.	Director of Children's Services	31-Mar-2015		

Priority 1: A Better Future
Objective 05 A safer and stronger Renfrewshire

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.06 Community Safety & Public Protection <u>Context:</u> (1) Levels of deprivation in Renfrewshire; (2) No. of vulnerable children and adults in Renfrewshire; (3) Complexity of partnership arrangements; (4) Community Safety delivery model arrangements (5) Community Safety Review (6) Community safety and public protection steering group (7) Rollout of CCTV/ Hub project	The council's community safety and public protection role, delivered within an integrated partnership model is critical to ensuring child and adult protection, and that offending behaviour and community safety services are effectively delivered, or risk of harm to and from individuals may arise	Director of Community Resources; Director of Children's Services	▪ The community safety and public protection steering group drives the strategic focus for the Council, whilst providing a framework for the day to day delivery of early intervention and prevention activities; - o Delivering strategic oversight and planning for key legislative and environmental changes including development of the future model for community justice in Scotland - o Delivering strategic oversight to ensure partner organisations are effectively managing risk in relation to key threats and disruptive activities in our communities and organisations and that appropriate risks and mitigating actions are recorded. ▪ Multi-agency child and adult protection committees well established, with independent chair in place for both. ▪ Procedures developed and implemented across partnerships through the child and adult protection committees and through North Strathclyde Community Justice Authority. ▪ Chief Officers Group, comprising of leaders from all relevant partner agencies meet on a regular basis to discuss key issues. ▪ Joint Communications sub group now established. ▪ Multi-agency child and adult protection training programme in place, facilitated by dedicated trainer ▪ Legally defined role of the Chief Social Worker within Renfrewshire Council to make decisions in relation to individual cases in specific circumstances as prescribed in legislation. ▪ Regular programme of case file auditing undertaken by the adult and child protection committee. Social Work Service implementing and internal case file audit programme. ▪ Practice and service quality subject to regular external scrutiny by Care Inspectorate and other bodies as required in terms of registered services or through thematic inspections. ▪ A multi-agency action plan has been implemented; the Care Inspectorate was invited to review this during 2012 and reported that good progress has been made. ▪ Effective Community Safety Hub, tasking and case management arrangements ▪ Effective diversionary activities and programmes in place including Street Stuff ▪ Good overall governance controls in place for civil contingencies including links to the wider public protection agenda, and corporate strategic management. ▪ Development of female offender services following national review. ▪ Some specialist services for offenders provided on a partnership basis with other local authorities. National review of community justice services currently underway. ▪ The first edition of the new Renfrewshire Public Protection Newsletter issued to all staff on 15 April 2014 ▪ Annual conferences held by both the adult and child protection committees	03	05	15 High

Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CRR14.01.05a	Internal Audit to review business support arrangements for adult protection	This audit is currently ongoing	Chief Auditor	30-Jun-2015	
SWSIP1401c	Implement new arrangements flowing from the national review of criminal justice services	The response to stage 2 of the Community Justice Consultation was published on 15 December 2014. This outlines the new model of community justice and the functions of a national body Community Justice Scotland. Local strategic planning and delivery of services through Community Planning Partnerships (CPPs) is central to the new arrangements. Emphasising collective responsibility through a partnership approach which places decision-making at a local level. The formation of Community Justice Scotland will provide further opportunities to commission services strategically as well as taking on some of the operational work currently undertaken at a Scottish Government level. The establishment of a Hub for innovation, learning and development within the body will provide the community justice workforce with the profile and identity it deserves, together with evidence of what works to inform commissioning, and practice and partnership standards. The model will be defined by a performance culture through the establishment of an outcomes, performance and improvement framework against which local partnerships can plan and report. This will provide real opportunities to monitor progress, drive improvement, offer consistency and link decisions and actions to analysis of need and what works, leading to increased efficiency and effectiveness. Locally work continues with community planning partners, 2016/17 will be a shadow year, with a Renfrewshire action plan to be provided to Scottish Government by the end of 2015 for 2016/17.	Criminal Justice Services Manager	31-Mar-2016	
CRR15.01.06a	Undertake a review of key professional (external) reports to benchmark council arrangements and identify any improvements required (New)		Head of Child Care and Criminal Justice	30-Sep-2015	
CRR15.01.06b	Deliver the integrated CCTV Hub		Head of Public Protection	31-Mar-2016	
CRR15.01.06c	Deliver the Prevent Group work plan (New)		Head of Public Protection	30-Jun-2016	
CRR15.01.06d	Internal Audit to review arrangements for Community Payback Orders (New)		Chief Auditor	30-Jun-2016	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.07	Serious Organised Crime, Insider Threat and Corporate Fraud Context: (1) Serious and Organised Crime is a threat to national security (2) It costs the UK more than £24 billion a year (3) Organised crime/ insider threat, bribery and corporate fraud could become an area of concern for the council (4) The council needs to protect its citizens and its business resources	The council implements a range of measures to prevent and detect serious organised crime, insider threat and corporate fraud. Should measures not implemented and monitored effectively there would be increased threat to resources and security of information.	Head of Public Protection	- Understanding and mitigating risk with 3rd party providers/partners accessing our systems - Integrity Group established to look at the arrangements for managing this risk - Integrity group will deliver the oversight of development and implementation of strategies to respond effectively as an organisation to national strategies relating to serious and organised crime - Other measures recorded within the 'Internal Controls' tab - not published publicly.	03	04	12 High
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
CRR15.01.07a		Undertake counter fraud pilot (New)			Chief Auditor	31-Dec-2015	
CRR15.01.07b		Internal Audit to review the council's arrangements for the prevention and detection of fraud and corruption (New)			Chief Auditor	30-Jun-2016	
CRR15.01.07c	Deliver the Integrity Group work plan (New)			Head of Public Protection	30-Jun-2016		

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.08 Incident Response Management	Disruptive events such as those reflected within the Community Risk Register may adversely impact on the community, the environment, our employees and the reputation of the council	Director of Community Resources	Specific to the Community Risk Register: ▪ Council Civil Contingencies Arrangements ▪ Council Business Continuity Arrangements ▪ Council Pandemic Influenza Arrangements ▪ Corporate communication plan ▪ Local Authority Major Accident Hazards Pipelines (MAHP) Emergency plans ▪ Local Authorities' inspections of all of their bridges on a regular basis ▪ Local Authority Rest Centre Plans ▪ Local Authorities able to identify vulnerable customers for alternative water supplies ▪ Ongoing investment in flood alleviation/ flood response protocol is in place and regularly reviewed ▪ Category 1 and 2 Responders generic emergency plans & procedures ▪ Generic Major Incident Plans ▪ National and local contingency plans ▪ Maritime and Coastguard Agency Major Incident Plans, in conjunction with other Category 1 Responders ▪ Regular exercising of emergency plans ▪ Vaccination programme instigated to priority at risk groups Other corporate arrangements: ▪ Civil Contingency Service - Joint service with Inverclyde and East Renfrewshire Councils ▪ Corporate and service department Crisis and Resilience Management Teams ▪ Senior staff trained as Council Incident Officers ▪ Learning and development programme in place to train all officers with an incident response role ▪ Learning and Development Grant money made available for officers with incident response role to undertake required specialist training ▪ Exercise programme in place to test council response to incidents at an individual, service and corporate level ▪ Debriefing arrangements to enable lessons to be learned and fed back into the planning process ▪ Winter maintenance strategy with appropriate employees trained and exercises undertaken	03	03	9 Moderate	
Context (from Community Risk Register): (1) Industrial Accidents and Environmental Pollution (2) Transport Accidents (3) Severe Weather Incidents (4) Structural Incidents (5) Human Health (6) Animal Health (7) Industrial Action (8) International Events (9) Industrial Technical Failure							
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	

Priority 2: A Better Council
Objective 01 A Sustainable Council - effective and financially sound

Context		Risk	Owned By	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.09 Financial Sustainability		If significant cost pressures and reducing available resources are not successfully planned for and managed effectively over the medium to longer term, there is a serious risk of unplanned/ reactive budget realignments that could jeopardise the financial stability of the council with significant impact on availability and quality of front-line services and capital resource	Director of Finance and Resources	■ The Council approved its Medium Term Financial Strategy in Sept 2012, including key planning principles with regards use of reserves, addressing costs growth, investment in early intervention and preventative spend areas and the use of capital receipts. ■ Well developed budget planning, budget setting and budget monitoring arrangements at both officer and member level; clear decision making and escalation process in place with regards budget management; improving budget reporting to both officer groups and Policy Boards ■ As part of medium term financial planning arrangements there is continuous development of saving workstreams to ensure that the Council has an appropriate range of projects underway which will provide a sufficient scope and depth of saving options for elected members as part of delivering a balanced budget year on year. There is also close monitoring of agreed savings to ensure risk of double counting is minimised ■ Regular updates provided to CMT and Council with regards the national fiscal position, likely developments and the impact on the council through close liaison with national groups and the Scottish Government ■ Areas of improvement with regards financial management, efficiency and competitiveness identified from undertaking the BV2 toolkit self-assessments with actions agreed. ■ Well developed forecasts for energy consumption and related costs based on national contract prices; role as a partner in the development of a waste management shared service allows the council to influence key decisions and be clear on related costs. ■ Improving asset management planning has clarified priority areas for investment in the council's estate, supported by dedicated sources in both the capital plan and revenue budget. ■ Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt payments over long term.	04	05	20 V.High
Context:							
Due to effective financial planning, the council is well placed to address the financial challenges forecast over the shorter term, however there are significant and rising pressures forecast from 2014/15 onwards over the course of the next spending review period. Consequently the risk remains very high and continues to be subject to significant and regular scrutiny.							
Ongoing challenges include:							
(1) Demand/ changing demographics (2) Reduction in resources available to deliver services (3) New 'Self Directed Support' agenda requires the council to make funds available to clients with no guarantee that they will use council services (4) Financial/ efficiency savings, inflation rates and reduced income from asset sales (5) Workforce/ Rising employee and pension costs, meeting increased demand with reduced workforce (6) Investment/ for roads, schools, housing stock to support existing services and economic growth. (7) Maintaining assets/ backlog maintenance and repair for the estate (8) Environmental/ rising energy and fuel costs, emission reduction targets (9) Potential financial impact of the introduction of Universal Credit (10) Potential outcomes of the Smith Commission							
Action Codes	Linked Actions	Latest Note	Assigned		Due Date	Status	
FCS-SIP15	Financial Planning	(New)	Director of Finance and Resources; Head of Finance		31-Mar-2016		
CRR15.02.09a	Internal Audit to review the council's arrangements for Capital Accounting (New)		Chief Auditor		30-Jun-2016		
CRR15.02.09b	Internal Audit to review the council's arrangements for Debt Management (New)		Chief Auditor		30-Jun-2016		
CRR15.02.09c	Internal Audit to review the council's arrangements for Council Tax (New)		Chief Auditor		30-Jun-2016		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.10 Energy, carbon and waste management	If the council does not make the most of innovative opportunities to develop solutions and/ or implement robust arrangements for energy and carbon management challenges (such as the council's Carbon Reduction Commitment), there is a risk of reputational harm (in terms of corporate social responsibility) but more especially the potential for significant unbudgeted costs, financial penalties and a missed opportunity for maximising energy savings	Director of Development & Housing Services; Director of Community Resources; (Director of Finance and Resources)	<u>Energy Management (greener energy, biotechnology, affordability)</u> ▪ Process in place to monitor energy consumption and targets. ▪ Energy Management Unit promotes energy awareness throughout the council. ▪ Participation in national awareness schemes including Earth Hour and National Energy Week. ▪ Automated meter readers installed in operational council buildings. ▪ Boiler control panels installed in council buildings. ▪ PC Power Management Software is implemented. ▪ Programme of energy saving measures have reduced power consumption for street lighting. ▪ Application of Building Regulations (sustainability certificates).	02	04	8 Moderate
Context: (1) Environmental Legislation (2) Costs/ financial penalties regime and taxes associated in particular with waste management (3) Clyde Valley Waste Project –in planning phase – moving towards construction in 2016 (4) £.25m funding for energy initiatives (5) % going to Landfill (6) Food waste funding ends 1 April 2015			<u>Carbon Management (carbon emissions, carbon accounting)</u> ▪ Strong links in place between the Energy Management Unit and Corporate Finance to ensure potential liabilities related to the Carbon Reduction Commitment are well understood and planned for. ▪ Renfrewshire Council have purchased CRC credits 2 years in advance to secure a £47k discount. ▪ Council's Carbon Management Programme/ Plan in place to achieve emissions and cost reductions set out by the Scottish Government and the council. ▪ Greener Fleet monitoring tool supplemented by vehicle tracking system looking at fuel usage, idling, speeding and CO2 usage. ▪ Monitoring the positive impact of recycling through the new proposed carbon metric measure for recycling. ▪ Departmental representative on the Greener Thematic Board.			
			<u>Energy Efficiency Standard for Social Housing (EESSH)</u> ▪ * Opportunities are being investigated to secure external grant funding for energy improvements to meet new energy standards. ▪ * The Scottish Government has confirmed that a review will take place in 2017 to establish if landlords have been successful in securing funding for the investment. Temporary exemptions may be possible where it can be demonstrated that external funding has been sought but cannot be secured. <u>Waste Management</u> ▪ Monitoring the positive impact of recycling through the new proposed carbon metric measure for recycling. ▪ Continued monitoring of Managed Weekly Collections ▪ 4 weekly monitoring of recycling performance in place to ensure zero waste targets are achieve ▪ Disposal contract includes a level of diversion from landfill ▪ Monitoring arrangements are in place to ensure compliance with the Waste (Scotland) Regulations 2012			
Action Codes	Linked Actions				Assigned To	Status
DHRR15.02.07a	Complete Phase 2 of the PV Installation programme (New)				Craig Thorpe	31-Dec-2015
						

Priority 2: A Better Council
Objective 02 Effective Change Management

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.11 Health & Social Care Integration Context: (1) Integration scheme to be approved by Scottish Government (2) Integration Joint Board to formally appoint Chief Officer and Chief Financial Officer (3) Integration Joint Board to approve Strategic Plan (4) Council to ensure all local arrangements are in place for delegation of adult services to the new IJB during 2015 (5) IJB to be fully operational by April 2016	If the Council does not prepare effectively for the implementation of the Public Bodies (Joint Working) (Scotland) Act and form a fully operational Health and Social Care Partnership by 1 April 2016 there could be significant consequences in terms of logistics and reputation and further impact to council structures, budgets and governance.	Chief Executive	- A high level working group has been established lead by the Chief Executive of Renfrewshire Council and NHS GGC - Project management arrangements are in place to plan the programme of work in order to have all the required elements of integrated working in place by the statutory deadline of 1 April 2016. - An integration scheme has been approved by Council and NHS GG&C and will be submitted through the Health Board to the Scottish Government for approval before the statutory deadline of 1 April 2015. - A Chief Officer Designate has been appointed. *The Director of Finance and Corporate Services, and the Social Work head of Resources are a members of the national Integrated Resource Advisory Group which is now working to finalise required financial governance and reporting arrangements. A Board wide joint finance working group has also been established, and meets regularly to agree a consistent approach to the practical implementation of the national guidance. - The Director of Social Work co-chairs the national working group established by the Scottish Government to develop and agree the key outcomes and performance measures which would be adopted by health and social care partnerships. - Social Work Service is one of a small number of councils working with the Information Services Division to develop a national health and social care dataset required by health and social care partnerships to develop a performance management framework for integrated service delivery. - Significant level of joint working already embedded locally between health and social care, with a number of joint teams and co-location arrangements in place. Change Fund for Older People activity is a specific example of the effectiveness of jointly planning and delivery improvements to service provision. - Partnership working well advanced in terms of developing joint commissioning plans with a 10 year plan for older people published during 2014/15 and an overarching strategic plan and care group plans under development. - Joint planning groups for health and social care services (JPIGs) well established, overseen by a Joint Management Group. - Information sharing protocols in place across health and social care services and developed as required.	03	05	15 High
Action Codes	Linked Actions	Latest Note		Assigned	Due Date	Status
SWSIP1404g	Work with NHS and corporate colleagues and partners to agree plans to deliver integrated health and social care in Renfrewshire in line with legislative provisions and timescales	A draft Integration Scheme has been prepared and wide consultation on this is underway. A final draft will be submitted to the Scottish Government by 1 April 2015. A Chief Officer Designate has been appointed and is in post. A programme plan for the shadow year has been drafted and will be finalised by March 2015. Full integration arrangements are required to be in place by 1 April 2016.		Director of Children's Services	31-Mar-2016	
SWSIP1404I	Continue to develop strategic commissioning, and deliver Joint Commissioning Plans for all areas of Adult Services	The development of joint strategic commissioning plans is currently being overseen by a joint steering group and will form part of the Integration Joint Board's Strategic Plan. Work is underway on the plans for Learning Disability Services, Mental Health Services and Physical Disability and Sensory Impairment Services. The current focus is on the development of an		Principal Officer	31-Mar-2016	

CRR15.02.11a		overarching strategic plan for the Integration Joint Board, when established, which must be completed by the end of 2015/16 in line with legislative requirements.			
	Internal Audit to review the arrangements for Health and Social Care – IJB/ Due Diligence Review		Chief Auditor	30-Jun-2016	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.12 Better Council Programme	The current strategic change agenda combined with current organisational capacity for change makes for a highly complex and challenging change 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	Chief Executive	- Sound project governance in line with the Council's Project Management Framework - Strategic programme manager facilitates the coordination of change across the Council and with partners - Resources have been invested in a core team of change specialists - Partnership with Ernst and Young established for additional support - Methodologies and processes have been developed and adopted to manage change. - The development of new processes in business support is seeking to address data quality issues - Ongoing active development of the project management framework and core team of change specialists - CMT now operates as the Better Council Programme Board ensuring the highest level of scrutiny on the progress of the programme - Regular reports to the Leadership Board on progress	03	04	12 High
Action Codes	Linked Actions	Latest Note				
CRR14.02.13c	Implementation of monitoring of benefits	Identification and delivery of benefits - the delivery of savings is being reported to and monitored by CMT through the Better Council Highlight Reports. A template for wider benefits management (to include non-financial benefits) is being developed. The iProjects system which is currently being implemented will be configured to support the ongoing monitoring of benefits delivery.	Reform & Change Team	Assigned To	Due Date	Status
FCS-SIP14-2-1-13	Better Council Strategic Change Programme	Corporate governance arrangements are in place to support the delivery of the Better Council programme. The Strategic Programme Board is meeting fortnightly to review highlight reports on projects and is overseeing the development of communications and engagement plans. Programme governance has been further developed with the creation of Corporate Support Model and Connect Renfrewshire sub-programme boards. Enabling strategies for Agile Working and Customer Access have been approved. A strategic review of ICT has been completed.	Reform & Change Team		31-Mar-2016	
FCS-SIP14-2-1-14	Better Council Strategic Change Programme	Phase 1 of the Better Council programme is mainly complete and focus is now turning to Phase 2 of the programme. This will focus on a number of cross-council change initiatives that will impact across all services. In addition this phase will include a range of tactical projects that will address delivery of near term savings.	Reform & Change Team		31-Mar-2016	
FCS-SIP14-2-1-15	Better Council Strategic Change Programme	Use of the project management framework (PMF) - PMF2 is being reviewed with a view to continuously improving the tools, templates and associated guidance, in particular it will be reviewed to see where it can be further enhanced to support the wider range of projects and programmes of change that the council is now embarking on.	Reform & Change Team		31-Mar-2016	
CRR15.02.12a	Internal Audit to review arrangements for Workforce Planning (New)		Chief Auditor		30-Jun-2016	
CRR15.02.12b	Internal Audit to review arrangements for Programme Management – Options Appraisal (New)		Chief Auditor		30-Jun-2016	
CRR15.02.12c	Internal Audit to review Supporting Attendance arrangements (New)		Chief Auditor		30-Jun-2016	

Priority 2: A Better Council
Objective 03 Putting Customers First

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.13 Business Continuity Context: Non availability of premises, employees or systems impacting on services/ functions	Non availability of (1) premises, either through fire or flood etc; (2) key staff or significant numbers of front-line staff; and/ or (3) systems (ICT, telephony, power failure, data centre proximity and restoration etc) may result in adverse impact on all council functions	Director of Community Resources	- Corporate Business Continuity Plan in place and regularly reviewed. This corporate document reflects information from each service continuity plan and contains information required to prioritise relocation of services across the council and restoration of critical services; - Service Business Continuity Plans are reviewed regularly across services – standing item on Crisis and Resilience Management Teams - A priority footway network for winter maintenance has been developed taking into account the needs of the Community in accessing services supplied by the Council and external services such as the Health Service. - Business Continuity Exercise and Training Manual implemented across all service departments and Civil Contingency Service ensures exercise schedules are adhered to; - Learning Development Grant in place to enable service departments to resource appropriate training. - ICT Disaster Recovery and Management Plan in place. This document reflects all the critical IT applications/ business systems in use for a range of functions across all service departments and provides instruction on the priorities for restoration. the plan is supported by a detailed applications portfolio - Technical controls are in place to prevent and limit the effects of ICT system unavailability including anti-virus software, system/ data backup routines, and system resilience in the form of clustered storage and networks. - Restoration Plans expand on how access to essential information and data will be restored.	03	03	9 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CE.SIP.14.06.26	Offer advice and assistance to local companies and voluntary agencies on business continuity	CCS website now has updated business information on website and produced a leaflet on business resilience		Senior Civil Contingencies Officer	31-Mar-2017	
CRR15.02.13a	Internal Audit to review the schools' arrangements for business continuity (New)			Chief Auditor	30-Jun-2015	
CRR15.02.13b	Internal Audit to review ICT Acquisition and Implementation/ Business Continuity – Cloud Services (New)			Chief Auditor	30-Jun-2015	

Priority 2: A Better Council Objective 06 Smarter use of Assets						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.14 Property and Infrastructure Management	If the council fails to effectively implement an asset management strategy that is comprehensive, prioritised and aligned to the council's objectives, there is a risk of (1) increased maintenance costs and statutory compliance requirements (2) difficulty in demonstrating best value in the disposal or transfer of assets (3) uncertainty around liabilities and potential increased claims (4) challenges in meeting energy targets, and (5) in the worst case scenario, harm to service users.	Director of Finance and Resources; Director of Community Resources	- Corporate Asset Management Strategy approved by Board, covering all asset classes. - All service departments have property asset plans in place. - Corporate Landlord arrangements in place to ensure consistent approach to asset management, planning and maintenance. - All operational properties are now statutory compliant for all inspections and a full database has been implemented to ensure that future inspections are planned and scheduled when they become due. - Council agreed financial planning principle that capital grant funding be utilised primarily in lifecycle maintenance across all asset classes, and this has been built in to the current capital programme. - Phase 1 (Excluding Education) of the asset master planning has been completed as part of the Transforming Renfrewshire programme has been completed, identifying 25 surplus properties to be disposed of. - Working practices have been reviewed to meet the Better Council recommendation of only progressing wind, water tight and statutory compliance works. - Capital investment has been planned up to March 2016 through the Council's Lifecycle Capital projects. - Condition surveys completed for all operational buildings in 2011, programme of updates is ongoing. - The Council has allocated £3m to encourage communities to take control over local community assets.	03	05	15 High
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CRR14.02.17a	Internal Audit review of major investment programmes	This work is ongoing.	Chief Auditor	30-Jun-2015		
CRR15.02.14a	Internal Audit to review the Heritage Asset Strategy (New)		Chief Auditor	30-Jun-2016		
CRR15.02.14b	Internal Audit to review arrangements for Roads Maintenance (New)		Chief Auditor	30-Jun-2016		
DHRR15.	Complete updated condition surveys for Council properties that are transferring to RL (New)		Corporate Asset/ Energy Manager	30-Jun-2015		
DHRR15.	Create a central repository for all statutory inspection information (New)		Corporate Asset/ Energy Manager	30-Jun-2015		
DHRR15.	Deliver the savings/income targets as detailed in the Better Council Board papers (New)		Corporate Asset/ Energy Manager	31-Mar-2016		
DHRR15.	Roll out the implementation of the PPM (Pre-planned Maintenance) module on CAMIS to improve the Statutory inspection regime. (New)		Corporate Asset/ Energy Manager	31-Mar-2016		
DHRR15.	Updated Corporate Asset Strategy to be presented to May cycle (New)		Corporate Asset/ Energy Manager	30-Jun-2015		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.15 Information Management <u>Context:</u> Information is a critical resource for council operation therefore the availability, appropriateness and accountability of information, regardless of the format it is held in, is of great importance. The Information Management risk reflects challenges associated with delivery of the outcomes set out in the approved Information Management Policy: (1) Information sharing (2) Information compliance (3) Information efficiency (4) Information quality (5) Information security and resilience	Insufficient development, implementation and monitoring of information management arrangements and practices could lead to the unavailability of the right information in the right format and at the right time, with knock on impact to effective and efficient service delivery and organisational decision-making. The Council might be affected by serious reputational damage and significant financial penalties as a result of improper and inappropriate management of information which cause a loss and unauthorised access to Council's information.	Director of Finance and Resources	(1) <u>Information sharing</u> ▪ A corporate data sharing code established with clear roles and responsibilities and practices defined ▪ A corporate template is used for information sharing agreements across the Council (2) <u>Information compliance</u> ▪ A corporate Privacy Impact Assessment process established to assess privacy risks when the Council introduce new or changes of information management arrangements and practices as well as to check their compliance to the Data Protection Act (1998) ▪ Remote access procedures for external contractors are in place to monitor the third party access to the Council's information and ICT system and infrastructure in order to compliance with the PSN Accreditation requirements ▪ Working procedures for accepting credit and debit card payments and for managing their associated information are in place for the annual PCI compliance exercise (3) <u>Information efficiency</u> ▪ An ICT business-requirements-based methodology is widely adopted throughout ICT system and database development. (4) <u>Information quality</u> ▪ A corporate Information Asset Register is implemented and consistent information recorded for each information asset. (5) <u>Information security and resilience</u> ▪ Access to the Council network is managed through a corporate identity management system with strong password management controls in place ▪ Two factors authentication is applied to all Council employees when accessing to the Council system remotely ▪ All Council ICT computers are protected by anti-virus software with regular pack upgrade applied ▪ The use of internet is protected by an internet filtering software and can be monitored by managers ▪ Only Council approved and encrypted USB pens are permitted to transfer data and the use of USB pens are reviewed and monitored by the services' representatives of the Information Management and Governance Group ▪ A reporting procedure on information security incidents is in place ▪ A working practice guide on the management of confidential waste is published ▪ All Council information is backed-up regularly on site and a copy is transferred to a remote site simultaneously ▪ Access to the Council building is protected by ID card activated locks and key areas are restricting to authorised staff.	03	04	12 High

Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CRR13.P4.20k	Carry out the first quality check on the risk assessment on the IAR	This action has been postponed and transferred to the council's Information Security Officer. The Information Asset Register is being revisited in light of revised government information classification scheme.	Information Security Officer	31-Mar-2016	
FCS-SIP14-2-1-16	Connect Renfrewshire	The Customer Access project Board has been set up with representatives from Service Departments and all relevant Corporate functions. This includes the Welfare reform manager to ensure that the Welfare Reform and Customer Access workstreams are mutually supportive. Information from a range of sources is being gathered and assessed to identify an initial short list of priority areas to present to the Better Council Strategic Programme Board 17th Oct for approval.	Reform & Change	31-Mar-2016	
FCS-SIP14-2-1-17	Connect Renfrewshire	A Digital Inclusion manager started in post on 09 Feb. A Digital Strategy Group has been formed to coordinate activities across services in relation to digital activity – customer access; superfast broadband; public wi-fi; digital assistance; open data	Reform & Change	31-Mar-2016	
FCS-SIP14-2-1-18	Connect Renfrewshire	Research is underway to provide an updated website and content management system. This will provide an improved design and increased flexibility to change and update the website.	Customer Services Manager	31-Mar-2016	
FCS-SIP14-2-1-20	Information Management Strategy	a) Huddle is in use as a BAU tool so this action is complete b) Collaboration tools will be investigated as part of the ICT Transformation programme - an initial report will be produced by 13/03 and next steps will be agreed at that time	Reform & Change; ICT Applications Manager	31-Mar-2017	
FCS-SIP14-2-1-21	Information Management Strategy	Staff across a range of service areas are preparing a coordinated approach to how the BI tool for HR can be exploited to support the provision of robust absence information to service managers. This will include an exercise to cleanse and maintain line management relationship information in resourcelink	Reform & Change; ICT Applications Manager	31-Mar-2016	
FCS-SIP14-2-1-23	ICT Delivery Model	A meeting is arranged with the providers of SWAN on 05 March to review the final pricing model. Following from this a recommendation will Be made to the Director on the merits of joining SWAN. It is expected that a decision will be made by the end of March.	Reform & Change	31-Mar-2016	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.16 Records Management: Public Records (Scotland) Act 2011	If the council is unable to demonstrate compliance with the Records Management Plan, there is a risk that 'The Keeper of Records' could return an 'unsatisfactory' plan or use their powers to undertake records management reviews and issue action notices for improvement, all of which would be damaging to the council's reputation.	Head of Corporate Governance	- Records Management Policy approved by Board 12 March 2014 - FCS Short life working group established - Archives Working Group monitor progress	02	04	8 Moderate
Context: *The Public Records (Scotland) Act 2011 came into effect in January 2013 *The Keeper of the Records of Scotland has invited public authorities to submit their records management plans (RMPs) *Renfrewshire Council's invitation for the submission of its records management plans (RMP) to the Keeper is currently delayed until the new Records Manager has reviewed work to date, and has met with the Keeper's office. *RMP has 14 elements for the council to comply with or demonstrate working towards compliance: •Senior management responsibility •Records manager responsibility •Records management policy statement •Business classification •Retention schedules •Destruction arrangements •Archiving and transfer arrangements •Information security •Data protection •Business continuity and vital records •Audit trail •Competency framework for records management staff •Assessment and review •Shared information						
Action Codes	Linked Actions			Assigned To	Due Date	Status
CRR15.02.16a	Records Manager to meet with Keeper's office to discuss new submission date. (New)			Records Manager	30-Apr-2015	
CRR15.02.16b	Records Manager to identify new key milestones and timescales to ensure timeous submission to the Keeper. (New)			Records Manager	31-May-2015	

Priority 2: A Better Council
Objective 07 Communications and Engagement

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	
CRR15.02.17 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	The council requires an integrated and transparent approach to implementing Equality and Human Rights and if this is not achieved in a co-ordinated manner across council services and with partners there is a risk that the council will be challenged in evidencing compliance with the duties of the Act.	Chief Executive	■ 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, 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	04	12 High	
				Latest Note		Assigned To	Due Date	Status
CE.SIP.14.06.33		Continue to coordinate the activities/actions of the Diversity and Equality Alliance Group, promoting positive attitudes, encouraging participation of individuals and groups from the diverse communities across Renfrewshire	Partners and members are actively contributing to 6 relevant Equality outcomes. Evidence of progress is now being held electronically on Covalent and is a key agenda item at meetings.		Senior Policy Officer	31-Mar-2016		
CE.SIP.14.08.51		Monitor and coordinate progress of integrated approach to equality and human rights impact assessment	Meetings undertaken with SMT and Officer Working Group, 'roadshow' of SMT meetings arranged at CMT in February 2015, to be undertaken in Q1 2015.		Senior Policy Officer	31-Mar-2016		
CERR14.P1.04.01		Coordinate and monitor corporate actions and activities to evaluate performance and compliance with the general equality duty and human rights	This is monitored on a quarterly basis through the Strategy & Performance Network		Senior Policy Officer	30-Apr-2015		
CERR14.P1.04.02		Conduct an annual review of Council's Policy Board reports to assess progress on adapting an integrated approach to equality and human rights in practise, evaluation and decision making	On the basis of the review further guidance is being developed to update and support services.		Senior Policy Officer	30-Apr-2015		
CERR14.P1.04.03	Collaborate with a wide range of diverse organisations supporting and contributing to the achievement of the Council's Equality Outcomes	Partners from the Diversity & Equality Alliance Group, which is chaired by a Council officer, actively contribute to the achievement of equalities outcomes		Senior Policy Officer	30-Apr-2015			

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CRR15.02.18 Communications Context: (1) The importance of respectful and strategically driven communications with staff during times of change and to effect excellent service delivery (2) Engaging Renfrewshire's communities in the objectives of the Community Plan (3) Informing and supporting communities of the work and resultant outcomes of the tackling poverty commission (4) Crisis communications (5) Increasing demand for employees' access to social media sites and feeds for professional and personal purposes creates security and reputational concerns		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 High
	Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
	CE.SIP.14.01.09	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		Development of integrated communications strategy to be undertaken		Communications Officer	31-Mar-2017	
	CE.SIP.14.07.38	Continue to extend the use and understanding of technology and new communications channels		The council is launching a MyRenfrewshire website which aggregates information published online by community groups and presents in one easily-accessible place for local residents. Development work is ongoing to introduce a My Account feature on the council's website which will allow users to sign-in and personalise content		Communications Officer	31-Mar-2017	
	CE.SIP.14.08.47	Develop a communications module within the corporate induction pack and management development programme		This will be undertaken in line with the new Organisational Development Strategy		Communications Officer	31-Mar-2015	
CRR15.02.18a		Internal Audit to review Corporate Communications (New)				Chief Auditor	30-Jun-2016	

Priority 3: A High Performing Council
Objective 01 Governance and Assurance

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.03.19 Management of Elections Context: (1) European and UK Government elections (2) Being cognisant of changing legislation, processes and use of e-counting systems.	If the council does not effectively manage the forthcoming series of elections this may be damaging to the council's reputation and that of those responsible for conducting elections, with significant adverse media attention and consequences for those directly involved.	Chief Executive; Head of Corporate Governance	- Experienced team in place to oversee the management of the specific challenges of multiple and simultaneous elections; - Good governance in place; - Guidance from the Electoral Commission is always followed and implemented; - Detailed contingency plans and risk registers are always put in place for these events with responsibility for contingency/ mitigating actions clearly defined	02	05	10 High
Action Codes	Linked Actions					Status
FR-SIP15	Elections Action (New action to follow for 2015)	Assigned To Head of Corporate Governance Due Date 31-Mar-2017				

Context	Risk Statement	Owned	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.03.20 Information Governance <u>Context:</u> Information is a critical resource for council operations. This risk covers the essential components that the council requires to embed to ensure good information governance and protect the council's and its customers' information and the council's reputation: (1) Policies and procedures (2) Roles and responsibilities (3) Training and education (4) Information Security and compliance (including incident recording monitoring) (5) Move towards cloud based services The Information Commissioner's Office (ICO) is able to order organisations to pay up to £500,000 as a penalty for serious breaches of the Data Protection Act; The ICO may receive extended powers to conduct unscheduled audits.	Insufficient implementation of governance arrangements could lead to an information governance failure with reputational harm and financial penalties imposed	Director of Finance and Resources	A range of policies and procedures are in place including: ▪ Data Protection Policy ▪ Data Sharing Code ▪ Information Governance Strategy Framework ▪ Information Management policy ▪ Information Security Policy ▪ Privacy Impact Assessment process ▪ Information Security Incident Reporting Guidelines ▪ Confidential Waste Management Guidelines ▪ Freedom of Information Manual and procedures ▪ Data Protection guidelines and procedures ▪ Records Management Policy and Records Management Guidance ▪ ICT Acceptable Use Policy, (AUP) ▪ Code of Practice and guidance on responsible use of personal & confidential information ▪ A reporting procedure on information security incidents is in place <u>Roles and responsibilities are clearly defined in the Information Governance Strategy Framework:</u> ▪ The role of the SIRO has been appointed to the Director of Finance and Corporate Services ▪ An Information Governance team sits within Legal Services (as defined in the Information Governance Strategy Framework) ▪ An Information Management role sits within Reform and Change Management ▪ An Information Governance Group (IMGG) is in place, which meets regularly and reports to the SIRO on key performance indicators ▪ The IMGG is empowered to delegate matters/ initiatives to relevant subgroups <u>A training and development strategy is in place covering a range of training opportunities:</u> ▪ Data Protection Awareness e-learning module on Ilearn ▪ An online training package is in place for Information Security and Data Protection ▪ Employee and Elected Member training has been provided ▪ Awareness campaigns have been delivered and continue via actions from the IMGG (including an annual Information Governance Awareness Week). <u>Incident recording and monitoring:</u> ▪ Information Security Incident Reporting Guidelines ▪ Information loss/ compromise reporting mechanism in place ▪ Corporate Information Security Incident log in place ▪ Serious breaches escalated to Head of Legal Services and SIRO subject to internal sanctions such as disciplinary procedures, as appropriate. <u>Other:</u> ▪ Internal Audit test and review compliance with policies, procedures and controls	02	04	8 Moderate
Action Codes	Linked Actions					
CRR15.03.20a	Internal Audit to review arrangements in respect of Freedom of Information requests				Assigned Chief Auditor	Due Date 30-Jun-2016 Status 

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 recommendations which focus on minor quality improvement issues.	Minor recommendations made which can be addressed by low level of management action.	Challenging recommendations 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