



To: Finance and Resources Policy Board

On: 11 November 2015

Report by: Director of Finance and Resources

Heading: Corporate Risk Register 2015 – Mid Year Progress Report

1. Summary

- 1.1 In keeping with 'Risk Matters,' the council's risk management policy and strategy, the Board is provided with a midyear progress report on the management of the risks recorded in the corporate risk register.
- 1.2 This paper provides the midyear progress report on the management of the corporate risks. The complete risk register, showing risks, planned actions and progress is provided in Appendix 1.
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2. Recommendations

- 2.1 It is recommended that the Board notes and is assured by the progress being made by the council in managing the risks identified.
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3. Background

- 3.1 At the midyear review of the register there has been good progress made in the control and management of the identified risks.
- 3.2 No new corporate risks have emerged that were not anticipated as part of the process to revise the corporate risk register earlier in the year.
- 3.3 There have been no significant changes in terms of the risk scoring for any of the individual risks that form the corporate risk register.
- 3.4 The council continues to apply good risk management activity that is proportionate to the levels of risk.

- 3.5 The corporate risk profile remains unchanged from that reported to the board in May this year, and as shown in the table below:

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

3.6 Top corporate risks

The top risk for the council continues to be the ongoing pressures faced by the council in relation to financial sustainability. The following provides a brief narrative update on this risk and the other top corporate risks reported to the Board in May this year.

(1) Financial sustainability

The Council's immediate financial position remains stable with the 2014/15 accounts having recently been provided with a clean audit certificate and the 2015/16 budget monitoring position remaining in line with the financial assumptions made in the setting of the budget.

The Council continues to review the key elements of its medium term financial strategy and the estimated savings requirement for 2014/15 through to 2017/18 remains within the previously established £20 million - £30 million range.

Within this period the Council has set two budgets covering 2014/15 and 2015/16 which have secured agreement on over £16 million of savings including the Better Council Change Programme which was created to deliver financial benefits that contribute to the achievement of the medium term financial strategy. A number of change projects have been approved by Council and will support the delivery of £9.2 million of savings over 2015/16 and 2016/17.

In addition, the Council's medium term debt smoothing strategy remains a key element of the medium term financial strategy with £5.9 million of savings identified as part of the 2014/15 and 2015/16 budgets.

(2) Tackling poverty and inequality

Following the report of Renfrewshire's Tackling Poverty Commission's findings and recommendations in March 2015, a Tackling Poverty Strategy and Action Plan has been produced which provides a blueprint for the Council's approach to tackling poverty over the next two years.

Renfrewshire Council has made an early investment of £6 million to kick-start the implementation of the Commission's recommendations, and the Action Plan was approved by Council in June 2015.

The Action Plan comprises over 50 projects which span all services within the Council, building on pre-existing successful programmes such as Invest in Renfrewshire, Families First and Street Stuff as well as testing new approaches to tackling poverty, such as developing new approaches to teaching reading and addressing the educational attainment gap.

The Tackling Poverty Programme will also oversee Renfrewshire

Council's response to the next phase of Welfare Reforms announced in 2015, including the corporate response to devolution of welfare powers to local government through the Scotland Bill.

(3) Unemployment and economy

Over the last three years Renfrewshire's economic recovery has been quicker than other parts of Scotland. The extra investment from Renfrewshire Council to deliver the Invest in Renfrewshire programme - growing jobs and supporting business growth - has paid dividends, particularly in terms of youth employment.

Youth unemployment has now hit an all time low and has fallen from 10.9% at the start of Invest in Renfrewshire to 2.2% currently - an 80% drop. The additional financial support provided has also meant that extra EU funds could be applied for in terms of match funding, making the financial allocation go further and provide more than planned.

The next three years sees the continuation of Invest in Renfrewshire and a range of new employability and business programmes. With the reduction in unemployment these programmes now support the most disadvantaged in our communities and a new focus is both those who are currently on health related benefits and also those who are aged 50+.

A range of EU support has been secured for the 2015-2018 period and the staff team is in place to deliver the services required.

A change of premises from Assurance House to the Russell Institute will take place at the end of 2016 but every effort will be made to ensure that service disruption will be minimised during this transition.

(4) Health and social care integration (high risk, score unchanged)

Preparations for the formal integration of health and social care services in Renfrewshire are progressing well.

The Renfrewshire Integration Joint Board was legally established on 27 June 2015 when the Scottish Government approved Renfrewshire's Integration Scheme (the formal partnership agreement between the Council and NHS GGC).

The Integration Joint Board held its first meeting on 18 September 2015 where it agreed its Standing Orders and ratified the appointment of its Chief Officer and its Chief Finance Officer and established its Strategic Planning Group.

The Council and Health Board must also ensure that all legislative requirements and commitment set out the Public Bodies (Joint Working) (Scotland) Act 2014 and the Renfrewshire Integration Scheme are in place by 1 April 2015. The legislation requires the Joint Board to develop and approve its Strategic Plan in order to allow the prescribed health and adult social care functions to be delegated from parent organisations to the Partnership by April 2015.

Key milestones to be completed are as follows:

- Integration Joint Board to approve Strategic Plan following consultation with key stakeholders and taking advice from its Strategic Planning Group, in line with process outlined in the Public

Bodies (Joint Working) (Scotland) Act 2014

- Council to ensure all local arrangements are in place for delegation of adult services to the new Joint Board during 2015
- Council to agree delegated budget and baseline joint budget following due diligence process
- Council must ensure that all legislative requirements and commitments set out legislation and the Integration Scheme are in place by 1 April 2015
- Joint Board to be fully operational by April 2016

(5) City Deal: failure to deliver

The risk of non delivery of the City Deal Programme is that the eight partner authorities fail the 2019 Gateway Review and the next tranche of funding is not realised.

A Programme Management Office (PMO) has been set up in Glasgow City Council and is overseen by the eight Partner Authority Chief Executives and the Glasgow and Clyde Valley City Deal Cabinet, attended by the Leader. The Renfrewshire Project Delivery Team is working closely with the PMO to ensure all monitoring requirements are met to ensure that any project or programme issues would be identified and resolved early.

Cost overruns in the Renfrewshire Projects would not be funded by City Deal and so Renfrewshire Council has set up a suitably resourced and experienced dedicated multi disciplinary Project Team to deliver the three Renfrewshire Projects.

The Projects are overseen by a Programme Board, chaired by the Chief Executive and attended by relevant Directors and Heads of Service. Additionally a Joint Chief Executives Steering Board jointly chaired by the Chief Executives from Renfrewshire and Glasgow has been set up to oversee the Airport Access Project, which is to be jointly delivered by Renfrewshire and Glasgow, with Renfrewshire as Lead Authority.

An internal Coordination Group has also been established, attended by appropriate Heads of Service, to ensure the Renfrewshire City Deal programme aligns with the other Key Council Projects and Programmes, to ensure the best possible benefits and outcomes for Renfrewshire are achieved from the City Deal Investment.

The individual projects are currently reporting 'green status' on the monthly monitoring reports. With the internal project management systems in place any issue arising would be identified and resolved early.

(6) Community safety and public protection

Reports are regularly taken to the Renfrewshire Chief Officers Group and the Child Protection Committee identifying the learning from nationally published Significant Case Reviews. Where necessary, additional work is undertaken. Two key examples are noted below.

The most recent published SCR regarding foster care was also the subject of a learning and development session for middle managers across the child care social work service who have a role in commissioning and/ or supporting and monitoring foster care

placements.

Professor Alexis Jay, the author of the Rotherham report into child sexual exploitation, supported a development session with the Child Protection Committee members and provided an input to elected members in respect of the learning from Rotherham. Professor Jay later presented these findings to a wider group of Renfrewshire staff at the annual Child Protection Committee conference which took place in September 2015.

The criminal justice social work service has also been involved in the national Thematic Review of the Multi Agency Public Protection Arrangements (MAPPA). A national report is due to be published in November 2015 which will reflect the findings across Scotland and again any learning that is relevant locally.

Renfrewshire Child Protection Committee (RCPC) has also recently considered the newly published Significant Case Review (SCR) guidance and this has been remitted to the Case Review sub group for consideration and reflection in terms of our own approach. A member of staff has attended a learning event delivered by With Scotland on approaches to undertaking SCRs and this has also been the subject of a presentation to RCPC.

Following our Integrated Children's Services Inspection, the partnership was asked to present to members of the Care Inspectorate team on arrangements for detecting and combating any child sexual exploitation in Renfrewshire. The Children's Services Child Protection Officer represents Renfrewshire on the national working group tackling child sexual exploitation in Scotland. The Director of Children's Services is a member of the National Missing Group that has developed guidance for practitioners in Scotland on children who go missing.

The Renfrewshire Children's Services Child Protection Officer represents SW Scotland on the Scottish Human Rights Commission InterAction review group in relation to historic child abuse. The work of this group has included involvement in the planning of the National Historic Abuse Inquiry which commenced on 1st October 2015."

Progress against planned actions

3.7

In relation to the 20 corporate risks, there are 77 related actions to be undertaken. Of these, 43 are due for completion by the end of the financial year, where others have a longer timescale for completion.

Progress made to date by council officers in relation to the actions due for completion by the year end can be summarised as follows:

- ✔ 14 or 33% of the actions have been completed,
- ▶ 28 or 65% are progressing as planned, and
- 01 action has not yet been completed within the original timescale anticipated. The action relates to the creation of a central repository for statutory inspections. It should be noted that the CAMIS system is in place to capture all statutory inspection information, however further work is required to gather the information into one system.

3.8 It should be noted that actions prefixed by “CRR” exist only for the benefit of reducing or containing the corporate risks or auditing arrangements for managing 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.

3.9 The Corporate Risk Management Group continues to monitor the corporate risk register on a quarterly basis on behalf of the Corporate Management Team.

Implications of the Report

1. Financial

The Corporate Risk Management Group (on behalf of the Corporate Management Team), considers that recurring costs associated with the measures in place for each risk are proportionate to the level of risk, as are the costs relating to actions underway.

2. HR & Organisational Development

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

Any risks relating to Equality and Human Rights are reflected within Appendix 1. There are no direct E&HR implications in relation to the provision of this progress report.

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**
As per the subject content of this paper.
 11. **Privacy Impact**
Any risks relating to privacy matters are reflected within Appendix 1
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List of Background Papers

(a) Background Paper 1: Corporate Risk Register 2015/16

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

Appendix

Report Type: Mid Year Risk 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 City Deal: 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 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 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			Latest Note		Assigned To	Due Date	Status	
CRR15.01.01a	Achieve planned milestones for current year for Airport Access project			Strategic Business Case being progressed for submission and approval from RC Leadership Board and City Deal Cabinet in December		City Deal Project Director	31-Mar-2016		
CRR15.01.01b	Achieve planned milestones for current year for Clyde Waterfront and Renfrew Riverside project			Strategic Business Case approved by RC Leadership board and City Deal Cabinet in June 2015. Lead Consultants appointed in October		City Deal Project Director	31-Mar-2016		
CRR15.01.01c	Achieve planned milestones for current year for Glasgow Airport Investment Area project			Strategic Business Case approved by RC Leadership board and City Deal Cabinet in June 2015. Lead Consultants appointed in October		City Deal Project Director	31-Mar-2016		
CRR15.01.01d	Achieve planned milestones for current year for Labour Markets projects			Working Matters Project went live in August 2015. Youth Guarantee Project now progressing		City Deal Project Director	31-Mar-2016		
DHRR14.01.05b	Establish a dedicated Project Team with relevant experience of delivering major infrastructure projects.			Action Complete – the Project Team is now established		Director of Dev' & Housing Services	30-Jun-2015		
DHRR14.01.05f	Negotiate and develop legal agreements with all relevant Partners and Stakeholders. Initial meetings to be arranged.			Action Complete – Initial meetings have taken place with relevant Partners and Stakeholders		City Deal Project Director	30-Jun-2015		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.01.02 Unemployment and economy Context: (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 (5) Town Centre Regeneration (6) 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) concluded in June 2015 and is being replaced by the new Invest in Renfrewshire programmes which will see a focus on particular groups who are furthest from the labour market. 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, LEADER, Townscape Heritage Fund, Conservation Area Regeneration Scheme. ■ Compliance team in place to continuously monitor compliance with conditions of EU 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 Community Investment 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.	Policy Lead	31-Mar-2017	
DHSIP14.01.04.20	Deliver Business Gateway services in Renfrewshire in partnership with Inverclyde and East Renfrewshire Councils	The current contract will run until Oct 2016 and the current year's programme is largely running to plan. An options appraisal for the future delivery of the Business gateway services is currently being prepared. Any change to the delivery structure would be most likely from October 2016 and would be reported to board in the new year	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	* Monthly Strategic Events Group in place to co-ordinate preparation for various events as per event schedule, with representation from all relevant council services and community partners * Events Guidance Manual in operation * Considerable pre-event liaison with in house teams and the emergency services * The events team 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	03	04	12 High
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
DHRR15.01.03a	Deliver Events Strategy	Delivered an expanded and improved events programme across 2015. Delivery of new events including National Youth Cycle Race, Beer and Food Festival, development of Sma' Shot day, Bring it all Home and Halloween Festivals. Planned public launch of City of Culture as part of the Paisley Christmas Lights Switch on		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	Delivered an expanded and improved events programme across 2015. Delivery of new events including National Youth Cycle Race, Beer and Food Festival, development of Sma' Shot day, Bring it all Home and Halloween Festivals. Planned public launch of City of Culture as part of the Paisley Christmas Lights Switch on		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 community 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
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 was being expanded in March 2015 to accommodate increased demand for hosting documents, reports and other information under each of the six plan themes.	Assigned	Senior Comms 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	An officer from the Chief Executive's Service has been seconded to Engage Renfrewshire since July 2013 to ensure that voluntary sector and community organisations are fully engaged in contributing to community planning outcomes. During the first six months of 2015/16, 16 third sector organisations have been involved in Renfrewshire Community Planning Partnership Board meetings. Third sector organisations have produced 15 reports or presentations to the Boards during that period. The Forum has also raised a number of issues with the other Boards, including the Living Wage and accessibility of streets. In addition to these organisations attending full Board meetings, a wider group of community and voluntary organisations are engaged in community planning through networks aligned with the Boards as follows: Childcare Voluntary Sector Forum (Children & Young People), Green Network and Greener Communities Sub Group (Greener Renfrewshire), Voluntary Sector Managers Forum (Jobs and Economy), Education, Diversion and Engagement Group (Safer and Stronger), forums and communities aligned with the Community Care Health and Wellbeing Board and the Advice Services Oversight Group (Forum For Empowering Communities). During the first six months of 2015/16, organisations from Engage Renfrewshire's membership of 350 have been engaged through events to discuss their role in delivering outcomes relating to tackling poverty, health and social care integration, community health and wellbeing, asset transfer and management, Getting It Right For Every Child (GIRFEC) and the Paisley City of Culture bid 2021. Engage Renfrewshire and other third sector organisations are also engaged in delivering Renfrewshire's Digital Participation Plan, including chairing groups and informing website development.		Policy Officer	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 now 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,	The original proposal for a Knowledge Bank has been dropped due to the Scottish Government Open Data strategy taking precedence and the requirement to comply. The Open Data strategy entails all public service organisations having their own Open Data publication plan approved and published by the end of		Lead Data Research & Analysis	31-Mar-2017	

	industry, transport infrastructure and economic profile of the communities of Renfrewshire in the Knowledge Bank	2015 and to begin publishing their open data in accordance with Scottish Government guidelines by January 2017. The Council's Open Data strategy is being developed in line with the Connect Renfrewshire, ICT, Information Governance and Scottish Gov OD strategies and will be published with the publication plan in December 2015. It's envisaged that data on business, industry and transport infrastructure will be included in any data made open to the public. CMT has approved the creation of an Open Data portal. A round of discussions with potential dataset owners has commenced. The portal platform is expected to be acquired in the first part of 2016 and data flow processes and roles will be defined during that year in time to begin publishing the beginning of 2017 or sooner if possible.			
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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.	Head of Policy & Commissioning	*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 a range of partnerships, programmes and projects tackle inequalities, such as: - 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 Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
FR-SIP-15-1-1-01		Tackling Poverty Action Plan - address the recommendations from the Commission	The Tackling Poverty strategy was approved by the Council and partners in September 2015. An initial action plan was approved by the Council in June 2015 which outlined £6 million of targeted spend to deliver an early response to address the Tackling Poverty Commission's findings and recommendations. The action plan is being implemented in partnership with our community planning partners.		Policy Lead	31-Mar-2018	
FR-SIP-15-1-1-02		Implement the Fuel Poverty Strategy Action Plan	At the last meeting of the Fuel Poverty Forum, an update of all the indicators was requested. This has now been complete and circulated to attendees.		Head of Property Services	31-May-2016	
FR-SIP-15-1-1-03		Continue to develop the Council's response to the welfare reform changes	The Council has worked with partners to ensure effective support was put in place for the introduction of Universal Credit in Renfrewshire, on 22 June 2015. Monitoring at an operational and strategic level has been put in place to identify issues arising at an early stage. Work is beginning to plan for the welfare reform changes announced as part of the July 2015 budget as part of the tackling poverty programme		Head of Customer and Business Services	31-Mar-2016	
FR-SIP-15-1-1-04		Reviewing and redesigning processes for Benefits	Universal Credit now live, and all related processes in Housing, Customer and Business Services have been amended and implemented. Regular project updates with DWP will continue through to March 2016 to ensure the Council is ready for an increased number of Universal Credit claimants.		Head of Customer and Business Services	31-Mar-2016	
FR-SIP-15-1-1-05		Providing and commissioning advisory services and advocacy services	Advisory services are in place, the responsibility for the service transferred to Customer and Business Services in August 2015. Work has started to identify changes in systems / processes to improve the overall service.		Customer Services Mgr	31-Mar-2018	

FR-SIP-15-1-1-06	Digital Inclusion Strategy - Deliver additional support to residents with limited access	Digital Participation Plan being developed for the Council which will inform support arrangements for individuals who experience difficulties in accessing or using on-line systems	Customer Services Mgr	31-Mar-2016	
FR-SIP-15-1-1-07	Embed and refine the local arrangements for the Scottish Welfare Fund	Scottish Welfare Fund processes are now well embedded. The deployment of the fund is regularly monitored and reviewed to ensure that it supports those most in need in Renfrewshire; however, current uptake levels indicate that it is unlikely that the budget allocation from Scottish Government will be sufficient to meet demand. The announcement of a number of welfare and personal taxation changes by the UK Government in July 2015 will have a significant impact on our citizens and may place greater pressures on the fund. A welfare reform work stream will be established within the Tackling Poverty programme to manage and mitigate the impact of the changes as far as possible.	Customer and Business Services	31-Mar-2016	
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 partners in the Community Care, Health and Wellbeing Thematic Board 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 Children's Services; Director of Community Resources	* 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
CHSSIP151605a	Implement new arrangements flowing from the national review of criminal justice services.	Strategic planning arrangements are in process to take forward the new model. A National Strategy and National Performance Framework for community justice are anticipated to be available by March 2016. A Lead Officer Community Justice post has been created with recruitment in progress.	Criminal Justice Manager	31-Mar-2016	
CRR14.01.05a	Internal Audit to review business support arrangements for adult protection	Audit has been completed	Chief Auditor	30-Jun-2015	
CRR15.01.06a	Undertake a review of key professional (external) reports to benchmark council arrangements and identify any improvements required	Reports are regularly taken to the Renfrewshire Chief Officers Group and the Child Protection Committee identifying the learning from nationally published Significant Case Reviews. Where necessary, additional work is undertaken. The Criminal Justice Social Work service has also been involved in the national Thematic Review of the Multi Agency Public Protection Arrangements (MAPPA). A national report is due to be published in November 2015 which will reflect the findings across Scotland and again any learning that is relevant for us locally. Renfrewshire Child Protection Committee (RCPC) has also recently considered the newly published Significant Case Review (SCR) guidance and this has been remitted to the Case Review sub group for consideration and reflection in terms of our own approach. A member of staff has attended a learning event delivered by With Scotland on approaches to undertaking SCRs and this has also been the subject of a presentation to RCPC. Following our Integrated Children's Services Inspection, the partnership was asked to present to members of the Care Inspectorate team on our arrangements for detecting and combating any Child Sexual Exploitation here in Renfrewshire. The Children's Services Child Protection Officer represents Renfrewshire on the national working group tackling child sexual exploitation in Scotland. The Director of Children's Services is a member of the National Missing Group that has developed guidance for practitioner in Scotland on children who go missing. The Renfrewshire Children's Services Child Protection Officer represents SW Scotland on the SHRC InterAction review group in relation to historic child abuse. This work of this group has included involvement in the planning of the National Historic Abuse Inquiry which commenced on 1st October 2015.	Head of Child Care & Criminal Justice	30-Sep-2015	
CRR15.01.06b	Deliver the integrated CCTV Hub	The construction of the Community Safety Hub and Integrated Control Room is now complete with the building being operational for week commencing 12 October. The facility will be occupied on a phased basis with the last employee group transferring in December 2015.	Head of Public Protection	31-Mar-2016	
CRR15.01.06c	Deliver the Prevent Group work plan	The group have completed their high level assessment identifying a clear understanding of what radicalisation means from a local authority perspective and what level of awareness there is of it across the council. This council information will now be merged with additional data from Police Scotland to create a single composite document as to what action can be taken to prevent vulnerable people in Renfrewshire from being radicalised	Head of Public Protection	30-Jun-2016	
CRR15.01.06d	Internal Audit to review arrangements for Community Payback Orders	Fieldwork in this area of audit is ongoing	Chief Auditor	30-Jun-2016	
SWSIP1401d	Develop self-evaluation framework for the Adult Protection Committee	A multi-agency case file audit was completed in 2014 and another will take place before the end of this financial year. The committee has now adopted the Hogg self-evaluation framework. A self-evaluation exercise is scheduled for early 2016, to be completed within 6 months. Proposals for a new schedule of self evaluation activity will be put to the RAPC before the end of 2015.	Adult Services Manager	31-Mar-2015	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CRR15.01.07 Serious Organised Crime, Insider Threat and Corporate Fraud		The council implements a range of measures to prevent and detect serious organised crime 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
				Latest Note		Assigned To	Due Date	Status
	CRR15.01.07a	Undertake counter fraud pilot		Formal pilot has been completed. Outcome of the pilot is currently being evaluated and a business case is being prepared for management consideration		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		Internal Audit are represented on the integrity group. A self assessment has been undertaken and internal audit have a number of actions arising which will be progressed		Chief Auditor	30-Jun-2016	
CRR15.01.07c		Deliver the Integrity Group work plan		The launch of the Serious Organised Crime Strategy for Scotland provided a number of recommendations that will be used by the Council's Integrity Group to update and improve upon the current Integrity group action plan and ensure that the Council is as resilient as possible in responding to the threats posed by organised crime and to put in place the necessary actions to support the wider Renfrewshire community, in particular the most vulnerable residents.		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
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 Statement	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 & 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 the 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	Owned by			Assigned	Due Date	Status
CRR15.02.09a	Internal Audit to review the council's arrangements for Capital Accounting	Audit work due to commence in the second half of 2015/16				Chief Auditor	30-Jun-2016	
CRR15.02.09b	Internal Audit to review the council's arrangements for Debt Management	Audit work due to commence in the second half of 2015/16				Chief Auditor	30-Jun-2016	
CRR15.02.09c	Internal Audit to review the council's arrangements for Council Tax	Review has recently commenced, fieldwork is ongoing				Chief Auditor	30-Jun-2016	
FR-SIP-15-3-1-36	Financial Planning	Information has been received from services and is being collated and discussed with the Director and Chief Executive as part of the 16/17 budget setting.				Head of Finance	31-Mar-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 Community Resources; Director of Development & Housing Services; Director of Finance & Resources	Energy Management (greener energy, biotechnology, affordability) * 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). <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 (EESH)</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	02	04	8 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
DHRR15.02.07a	Complete Phase 2 of the PV Installation programme	Work planned for October holiday to complete PV programme in schools		Asset/ Energy Mgr	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	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 Resources, 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 (JPPIGs) 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	
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							
Action Codes	Linked Actions			Latest Note	Assigned	Due	Status
CRR15.02.11a	Internal Audit to review the arrangements for Health and Social Care – IJB/ Due Diligence Review			Audit work due to commence in the second half of 2015/16	Chief Auditor	30-Jun-2016	
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			The integration scheme was approved by the Scottish Ministers in June 2015 and the Integration Joint Board has been formally constituted. At the first full meeting on 18 September 2015, the appointments of the Chief Officer and the Chief Finance Officer were ratified. Workstreams are progressing well and the strategic plan will be published by 1 April 2016, allowing formal delegation of budgets and services to the Integration Joint Board.	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		Initial work has been undertaken on strategic commissioning plans for Learning Disability Services, Mental Health Services and Physical Disability & Sensory Impairment Services. In order to meet legislative requirements in relation to the integration of health and social care, officers have prioritised to the development of an overarching strategic plan for the new partnership. This will be published by 1 April 2016. Care group plans will be produced 2016/17.	Principle Officer	31-Mar-2016		

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.12 Better Council Programme	Context: <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 projects	The current strategic and transformational change agenda 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 programme governance in line with the Council's Project Management Framework * Reform and Change Management facilitate the coordination of change across the Council and with partners * Resources have been invested in a core team of change specialists (PMU) * Partnership with Ernst and Young established for additional support * Methodologies and processes have been developed and adopted to manage change. * Investment is being made to enable better and quicker decision making through the deployment of technology * The development of new processes in business support is seeking to address data quality issues * Investment in research and investigation supports innovation in organisation design and service delivery	03	04	12 High
Action Codes		Linked Actions	Latest Note		Assigned To	Due Date	Status
CE.SIP.15.04.01	Through the Better Council strategic change programme, provide professional change support for initiatives to reduce organisational complexity, enhance customer intelligence, manage demand, develop new service delivery models and create new support models	The Better Council Change programme continues to identify, manage and deliver changes across the Council that will improve our efficiency, modernise our ways of working and support long term financial sustainability as well as delivering savings specifically to contribute to addressing the Council's forecast medium term budget pressures through to 2017/18. Already ~£12M of savings have been delivered in Phase 1 where the focus was on delivering financial sustainability. The Programme Management Unit (PMU) continues to develop and strengthen the councils change management capability in order to continue to deliver a wide range of change initiatives. Phase 2 of the programme has commenced with a focus on improving our customers experiences; optimising use of our assets; managing demand; developing new service delivery models; and delivering organisational change.		Strategic Programme Manager	31-Mar-2018		
CE.SIP.15.04.02	Identify and roll out stage 2 of the Better Council strategic change programme	Work continues to identify projects that will deliver both efficiency and financial savings in phase 2. Phase 2 of the programme has been designed and is structured around the following themes: Demand; Customers; Commissioning; Optimisation of use of our assets; ICT transformation; organisational change; and Better Working. In addition to identifying projects that support the delivery of our commitments in the council plan; progress has been made in identifying changes and efficiencies to deliver the £7M savings target associated with Phase 2 of the programme.		Strategic Programme Manager	31-Mar-2018		
CRR14.02.13c	Implementation of monitoring of benefits	A benefits mapping template has been created that will facilitate the capture and monitoring of programme benefits. This will be used across the Better Council Programme. The council's tools for project management (the Project Management Framework - PMF) is being reviewed and tools and guidance on benefits management will be included in the next version.		Strategic Programme Manager	31-Mar-2017		

CRR15.02.12a	Internal Audit to review arrangements for Workforce Planning	Audit work due to commence in the second half of 2015/16	Chief Auditor	30-Jun-2016	
CRR15.02.12b	Internal Audit to review arrangements for Programme Management – Options Appraisal	Audit work due to commence in the second half of 2015/16	Chief Auditor	30-Jun-2016	
CRR15.02.12c	Internal Audit to review Supporting Attendance arrangements	Review has recently commenced, fieldwork is ongoing	Chief Auditor	30-Jun-2016	
FR-SIP-15-2-1-14	Better Council Change Programme	The programme stays on target, efficiency savings are achieved in line with the Council's financial strategy.	Strategic Programme Manager	31-Mar-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	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
Context: Non availability of premises, employees or systems impacting on services/ functions						
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 and distributed 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	Audit work due to commence in the second half of 2015/16		Chief Auditor	30-Jun-2016	
CRR15.02.13b	Internal Audit to review ICT Acquisition and Implementation/ Business Continuity – Cloud Services	Audit work due to commence in the second half of 2015/16		Chief Auditor	30-Jun-2016	

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 Community Resources; Director of Finance & 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
Context: (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 and Regeneration Strategies (9) Asset and management review for hard and soft facilities management						
Action Codes		Linked Actions	Latest Note	Assigned	Due	Status
CRR14.02.17a		Internal Audit to conduct review of major investment programmes	Review was restricted to high level oversight of the governance arrangements for the City Deal investment programme. The work is complete.	Chief Auditor	30-Jun-2015	
CRR15.02.14a		Internal Audit to review the Heritage Asset Strategy	Audit work due to commence in the second half of 2015/16	Chief Auditor	30-Jun-2016	
CRR15.02.14b		Internal Audit to review arrangements for Roads Maintenance	Audit work due to commence in the second half of 2015/16	Chief Auditor	30-Jun-2016	
DHRR15.02.15a		Complete updated condition surveys for Council properties that are transferring to RL.	The surveys for the properties transferred in June were completed as per the requirements. Further surveys are being arranged for the properties transferring in December 2015.	Head of Facilities Mgt	30-Jun-2015	
DHRR15.02.15b		Create a central repository for all statutory inspection information.	The exact location for a central repository for all statutory inspections is under review and will be part of the full FM review.	Head of Facilities Mgt	30-Jun-2015	
DHRR15.02.15c		Deliver the savings/income targets as detained in the Better Council Board papers	All savings for the BCCP for energy have been delivered and are on course to deliver next financial year. Issue still exists for the non delivery of the £190,000 for the income generation for the asset management work stream.	Asset/ Energy Mgr	31-Mar-2016	
DHRR15.02.15d	Roll out the implementation of the PPM (Pre-planned Maintenance) module on CAMIS to improve the Statutory inspection regime.	The use of CAMIS is under review and will be part of the larger review of FM services currently underway.	Head of Facilities Mgt	31-Mar-2016		
DHRR15.02.15e	Updated Corporate Asset Strategy to be presented to May cycle.	Was presented and approved at 25th August board	Asset/ Energy Mgr	30-Jun-2015		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.02.15 Information Management Context: 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 & Resources	(1) Information sharing *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) Information compliance *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) Information efficiency *An ICT business-requirements-based methodology is widely adopted throughout ICT system and database development. (4) Information quality *A corporate Information Asset Register is implemented and consistent information recorded for each information asset. (5) Information security and resilience *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
FR-SIP-15-2-1-15	Deliver the Connect Renfrewshire ICT strategy	ICT Delivery and Innovation - The ICT Transformation programme is well underway and workstreams are established that cover the full scope of the ICT delivery model. A Transition Partner to support the delivery of the transformation has been appointed. Approval has been given by CMT to procure a data centre hosting partner – this process is now underway. Other Themes - ICT support numerous Better Council programme workstreams through the delivery of technical advice and support.	Head of ICT Services	31-Mar-2018	
FR-SIP-15-2-1-17	Information Management Strategy - developing a robust approach to knowledge management to support policy and strategic decision-making	The Information as an Asset workstream under the ICT Transformation programme will define, develop and publish an Information Management Strategy. A vision for the workstream is currently under development and will be available by the end of November 2015.	Head of ICT Services	31-Mar-2017	
FR-SIP-15-2-1-18	Implementing business intelligence principles and tools to enhance analysis and reporting of information.	Final issues are being resolved around the contractual arrangements for Business Objects upgrade which will be completed before the end of the year.	Head of ICT Services	31-Mar-2016	
FR-SIP-15-2-2-22	Customer Access Strategy. 1 - Increasing the availability of online services	Preferred supplier has been identified through the Government Gateway procurement process. A Project team has been set up to map current processes and define the customer journeys on the digital platform. The team remain focussed on delivering the council tax service online by Annual Billing 2016.	Customer Services Mgr	31-Mar-2016	
FR-SIP-15-2-2-22	Customer Access Strategy. 2 - Redesigning processes to encourage online customer transactions for high volume demand services	Council Tax will be the first on-line service and plans in place to ensure this is implemented early 2016 in time for the Annual Bills being issued.	Customer Services Mgr	31-Mar-2016	
FR-SIP-15-2-2-22	Customer Access Strategy. 3 - Creating the capability for customers to create a secure account	Formally engaged with the Improvement Service who will work with the Customer Portal supplier to provide secure access to Council Tax data using the Myaccount authentication portal	Customer Services Mgr	31-Mar-2017	
FR-SIP-15-2-2-23	Digital Services/ Channel Shift - Increase self service options for customers	Council Tax accounts will be available online early 2016, and customer communication activity will take place to drive online usage and reduce telephone and face to face contact.	Customer Services Mgr; Head of Customer and Business Services	31-Mar-2016	
FR-SIP-15-2-2-24	Customer Service Delivery - Implementing a new customer and business services delivery model	Customer and Business Services was created from the start of June 2015. Work is ongoing to consolidate the new service and develop process improvement proposals.	Head of Customer and Business Services	31-Mar-2018	

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: (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 is required to submit its records management plans (RMP) to the Keeper by October 2014 *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	Latest Note	Assigned To	Due Date	Status	
CRR15.02.16a	Records Manager to meet with Keeper's office to discuss new submission date	Records Manager met with Keeper's Office on 20 March 2015 to discuss a revised submission date. Keeper's Office agreed to a revised submission date of March 2016 for the Records Management Plan.	Records Manager	30-Apr-2015		
CRR15.02.16b	Records Manager to identify new key milestones and timescales to ensure timeous submission to the Keeper	There are the following key milestones for submission of the Records Management Plan: Oct 2015 - Service area approvals of Records Retention Schedules Nov 2015 - Finance & Resources Board for approval of revised Records Management Policy & update report to CMT Jan 2016 - Submit plan for approval by CMT Feb 2016 - Submit plan for approval by full Council Mar 2016 - Submit plan to Keeper's Office	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	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 Strategy & Performance Network *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
Action Codes	Linked Actions		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.		Policy Lead	31-Mar-2016	
CE.SIP.14.08.51	Monitor and coordinate progress of integrated approach to equality and human rights impact assessment		Meetings have been undertaken with the SMT and Officer Working Group to support the EQHRIA approach. New guidance and templates were issued and are now in place.		Policy Lead	31-Mar-2016	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CRR15.02.18 Communications		Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.	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 an integrated 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 an integrated communications strategy is being 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-2016			
CRR15.02.18a	Internal Audit to review Corporate Communications	Fieldwork is ongoing		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		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
	Context: (1) European and UK Government elections (2) Being cognisant of changing legislation, processes and use of e-counting systems.						
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	
FR-SIP-15-3-1-37	Elections - Conduct elections (UK Government, Local Government and Scottish Parliament) during plan period taking cognisance of changing legislation, processes and use of e-counting systems	The UK General Election was conducted successfully in our two Parliamentary Constituencies and saw a significantly higher turnout than in 2010. Preliminary preparations have commenced for the Scottish Parliament Election in 2016. The progress of the national e-voting tender for the Local Government Elections in 2017 is being monitored.		Head of Corporate Governance	31-May-2017		

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR15.03.20	Information Governance	Insufficient implementation and monitoring of governance arrangements could lead to an information governance failure with reputational harm and financial penalties imposed	Director of Finance & 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	02	04	8 Moderate
<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.		<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 Resources 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					
Action Codes	Linked Actions	Latest Note			Assigned	Due	Status
CRR15.03.20a	Internal Audit to review arrangements in respect of Freedom of Information requests	Fieldwork is nearing completion			Chief Auditor	30-Jun-2016	