

**To: Audit, Risk and Scrutiny Board**

**On: 28 May 2019**

---

**Report by: Director of Finance and Resources**

---

**Heading: Strategic, Corporate and Service Risks, April 2019**

---

## **1. Summary**

- 1.1 In keeping with 'Risk Matters,' the council's combined risk management policy and strategy, the strategic and corporate risk registers are refreshed on an annual basis; led by the Corporate Risk Management Group on behalf of and in consultation with the Corporate Management Team. In addition, each service department maintains its own risk management plan in respect of the operational risks within their areas of responsibility.
  - 1.2 This paper presents to the Board the strategic, corporate and key service risks identified for management and scrutiny with effect from 1 April 2019.
- 

## **2. Recommendations**

- 2.1 It is recommended that the Board approves the strategic, corporate and key service risks and is assured regarding the robust methodologies used to ensure the appropriate risks are being identified and managed.
- 

## **3. Background**

- 3.1 Good risk management enables the delivery of safe and high-quality services for service users, high standards of performance, makes the most of opportunities and provides a safer environment for our employees and our contractors and partners that we deliver services with.
- 3.2 The council's approach to risk management encourages services to be risk aware rather than risk averse and in this way seek to reduce instances of harm or loss but also enable innovation and the pursuit of better outcomes.
- 3.3 The methods used to identify key risks are extensive and in the paper attached the risks are set out in such a way as to show those that are imminent, represent

longer-term challenges, or are 'business as usual.' Risks are also shown with regards to their relationship to the Council Plan: Thriving People, Connected Communities.

3.4 The resulting strategic, corporate and service risk registers are then used to assist with recording, monitoring and review of the risks.

- Strategic risks reflect external issues that impact on the people and communities of Renfrewshire, where the council along with its partners have a significant role to play in managing these risks.
- Corporate risks reflect internal issues that affect multiple service departments and are linked to the efficiency and effectiveness of the organisation.
- Service specific risks reflect issues that individual service departments need to manage within their own teams, in addition to any they may be responsible for in the strategic or corporate risk registers.

3.5 Risks have been evaluated using the council's standard risk matrix; this involves multiplying the likelihood of a risk occurring by its potential impact. Risks are then evaluated as either 'low', 'moderate', 'high' or 'very high.' The profile of risk going forward from April 2019 is shown in the table below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Strategic Risks:	00	00	06	01	07
No. of Corporate Risks:	00	04	13	01	18
No. of Service Specific Risks:	00	10	10	00	20
					45

3.6 Of the **45 risks**, **1** is imminent, **14** are longer-term and **30** are 'business as usual' (BAU). The risks in the tables below are the top longer-term risks. More detailed information for these specific risks is provided at 3.6 in the attached paper.

TOP 3 STRATEGIC Long-term Risk Areas	Likelihood	Impact	Score	Evaluation
1) Reducing inequalities in Renfrewshire	04	05	20	V.High
2) Delivery of Community Empowerment expectations	04	04	16	High
3) Preparing for the longer-term impacts of Brexit	04	04	16	High
TOP 3 CORPORATE Long-term Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial sustainability	05	05	25	V.High
2) Welfare reform impacts	04	04	16	High
3) Better Council Programme – benefits realisation	03	04	12	High
TOP SERVICE Long-term Risk Areas	Likelihood	Impact	Score	Evaluation
Chief Executive Services				
1) Renfrewshire Events Strategy	03	04	12	High
2) Regeneration of Renfrewshire's Town centres	03	04	12	High
Children's Services				
1) (CS are all strategic, corporate, BAU or project risks)				
Communities, Housing & Planning				
1) House building and community regeneration	03	04	12	High
Environment & Infrastructure				
1) Analogue to digital switchover - impact on infrastructure				Moderate
Finance & Resources				
1) Insurance cover for predecessor organisations	03	04	12	High

- 3.8 It is believed that appropriate control measures are in place to prevent and/ or mitigate adverse effects of the risks identified and that further planned action is appropriate to the level of risk. Where no new actions are defined for a risk, this indicates confidence in the current control measures, acknowledgement that developing new controls would not be cost effective and acceptance that the risk will be tolerated for the time being.
- 3.9 Monitoring arrangements are in place to track the progress of planned actions. It should be noted that actions prefixed by “RR” exist only for the benefit of reducing or containing the related risks, whereas actions with any other prefix reflect improvement activities that lie within the services’ improvement plans that have been linked through to the risk registers for completeness where they have a knock-on benefit to the related risk.

---

## Implications of the Report

### 1. Financial

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

The financial requirements to support the risks should be met within the budget of each relevant risk owner, nevertheless, any unplanned and unbudgeted cost pressures that arise in relation to any of the risks identified will be subject to review in consultation with the Director of Finance and Resources.

- 2. **HR & Organisational Development** – not relevant to report recommendations
- 3. **Community/Council Planning** – effective risk management supports the delivery of all community/ council plan outcomes
- 4. **Legal** – not relevant to report recommendations
- 5. **Property/Assets** – not relevant to report recommendations
- 6. **Information Technology** – not relevant to report recommendations
- 7. **Equality & Human Rights** – not relevant to report recommendations
- 8. **Health & Safety** – not relevant to report recommendations
- 9. **Procurement** – not relevant to report recommendations
- 10. **Risk** – as per the subject matter of this report
- 11. **Privacy Impact** – not relevant to report recommendations
- 12. **Cosla Policy Position** – not relevant to report recommendations

---

**Author:** Karen Locke, Risk Manager  
Tel: 0141 618 7019, Email: [Karen.Locke@renfrewshire.gov.uk](mailto:Karen.Locke@renfrewshire.gov.uk)





## **Strategic, Corporate and key Service Risks**

---

**April 2019**

Document Title:	Strategic, Corporate and key Service Risks, April 2019		
Service:	All	Lead Author	Risk Manager on behalf of the Director of F&R
Date Effective:	April 2019	Review Dates:	Quarterly by CMT & CRMG to 31/03/2020

## **CONTENT**

1.	Update on previous year's risks .....	1
2.	The current business environment and key impact areas for the Council .....	2
3.	The risk profile from April 2019.....	5

Document Title:	Strategic, Corporate and key Service Risks, April 2019		
Service:	All	Lead Author	Risk Manager on behalf of the Director of F&R
Date Effective:	April 2019	Review Dates:	Quarterly by CMT & CRMG to 31/03/2020

## 1. Update on previous year's risks

- 1.1 When the 2018/19 strategic, corporate and service risk registers were approved by the Board, the profile of risk was:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Strategic Risks:	0	0	7	1	8
No. of Corporate Risks:	0	4	10	1	15
Total No. of Service Risks:	0	15	12	0	27

- 1.2 The very high strategic risk was for poverty levels in Renfrewshire and the very high corporate risk was financial sustainability.
- 1.3 On 5 November the Board received a progress report on the risks. While the number and levels of risks remained the same, some risks and associated actions had been transferred from one service to another reflecting management restructures that had occurred during the year. In November it was also reported that most actions being taken forward in relation to the risks, were progressing as planned; only 5 actions were behind schedule and the Board was provided with reasons for the delays.
- 1.4 At the year-end, the risk profile was re-evaluated as:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Strategic Risks:	0	0	7	1	8
No. of Corporate Risks:	0	4	<del>10</del> 11*	1	<del>15</del> 16
Total No. of Service Risks:	0	15	12	0	27

- 1.5 As shown\* in the table above a new corporate risk was added. This arose as the deadline for Brexit became more imminent. A Brexit Readiness Steering Group was established, and members of the steering group took ownership of recording the new risk and all the activity that the council was undertaking with local and national partnerships and agencies to prepare for potential impacts, in the context of notable uncertainty.
- 1.6 Actions were once again reviewed at the year-end and any that were due to be completed in-year that have not yet been concluded have been rolled forward and will continue to be tracked to completion.
- 1.7 Many of the risks from 2018/19 remain core issues for the council, whether imminent, longer term or business as usual and are addressed further in the following section.
- 1.8 It should be noted that the cost of controlling the risks and undertaking further action has been met within existing budgets and the council has continued to achieve cost effective risk management over the course of the year despite ongoing cost pressures.

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



2.1 In her recent statement following the approval of the council's [budget for 2019-20](#), Sandra Black, Chief Executive, highlighted that a positive budget had been agreed, which “which provides major investment in our schools and roads infrastructure and supports those most in need.” The budget provides £412m for capital investment and services. This includes an additional £27m for school building investment which will unlock additional funding from the Scottish Government's £1b schools infrastructure fund from 2021. Other key highlights include:

- £40m over the next five years for our roads, cycleways and paths
  - £5.5million investment to support regeneration to the south of the Glasgow Airport Investment Area
  - £1.4million for adult social care services
  - £2.3million for community halls and investment in our environment
- 2.2 The Chief Executive described the significant financial challenges all councils face with increasing demand and pressures on services. Council Tax would increase by 4.79% and housing rents by 2%, noting that the additional 1.79% council tax increase (compared to the previous year's increase) would ring fence an additional £1.3m for schools and roads investment. The council has a balanced budget however savings would continue to be required in the years ahead.
- 2.3 [Local Government in Scotland: Challenges and Performance 2019](#) – the Audit Scotland report highlights key risks for local government but the main message is that while councils have continued to improve how they use their resources, in many councils the change and improvement work has focused on efficiencies and “to address the growing gap between demand and resources, more fundamental, transformational changes are needed in service provision, and the pace of change needs to improve...” It was encouraging to see that Renfrewshire Council was noted in the report for good practice in relation to the council's employability programme and for being rated by Education Scotland as ‘excellent’ in relation to significant year-on-year improvements in closing the gap between attainment of most and least deprived pupils.
- 2.4 Looking back the proactive approach taken by the council, the rigor applied to financial planning, the benefits and savings delivered through the Better Council Change Programme and the dedication of staff to meet the demands of the pace of change has served the council well in managing highly significant risk and opportunities. The council continues to be well placed going forward to provide excellent services for local people, invest in the community and protect vulnerable residents.
- 2.5 Looking forward, in addition to the highlights of 2.1 above, the council continues to progress in key investment activities such as the Glasgow City Region [City Deal](#) projects, the new Advanced Manufacturing Innovation District Scotland (AMIDS) based in Renfrewshire, and the ongoing investment in cultural and heritage regeneration including the Paisley Museum transformation. The destination brand [Paisley.is](#) has now celebrated its first birthday and continues to showcase everything that makes Paisley and Renfrewshire a great place to live in, invest in and visit.
- 2.6 Considering all the above and in keeping with good risk management practice, the council's risks are regularly reviewed and revised as necessary.
- 2.7 In previous years, an extensive method has been used to stimulate a thorough approach to identifying risks and this involved consultation, benchmarking, reviewing reports specific to the council, reports that are external but nevertheless relevant to the council, and considering any new or emerging legislation. This method is still in use however this year the corporate risk management group additionally completed an exercise to further focus on the risks and consider them from the perspective of their imminence, their longer-term nature or their position as ‘business as usual risks.’ This has allowed the risks to be prioritised in terms of the detail being reported to Board to ensure information is fresh and relevant. This informs how the risks have been set out in section 3, however the remainder of this section seeks to highlight the key changes between last year's and this year's risks.



### 2.7.1 New risks coming on

Area of risk and context	Strategic	Corporate	Service
(1) Preparing for the longer-term impacts of Brexit: Regardless of whether the UK leaves the European Union with a deal or with no deal, there will be longer term challenges for Renfrewshire that require to be effectively managed with partners, otherwise there could be sustained impact in several areas including unemployment, the local economy, manufacturing, grant funding, research and development, food instability, and increases in the cost of living and vulnerability.	☑ CMT	---	---
(2) Expansion of Early Years Provision: The expansion of early years provision. Both in terms of the increase in hours from 600 to 1140 per year and the increase in flexibility creates a number of challenges for the council (around staffing, infrastructure, independent provision and fleet, soft and hard facilities provision), which could result in delays in the delivery of the 1140 hours.	---	☑ CS	---
(3) Administration of electoral events: this risk was formerly a corporate one that was removed given the experience of the team in administering elections. With the uncertain political environment that could see the occurrence of snap events such as a general election or referendum coupled with recent changes in the team profile, it is prudent to bring this risk back into focus, at least for the current year, with a view to removing it once the political environment settles and the new team arrangements are embedded. The risk is evaluated as moderate.	---	☑ Lead: F&R	---
(4) Commercial vehicle operator's licence: The council's vehicle fleet, managed by Environment & Infrastructure Services, comprises around 500 vehicles including heavy and large goods vehicles, light vans and cars. The council implements a range of measures to ensure ongoing vehicle operator licence compliance. However, it is prudent to bring this risk back into focus given increased DVSA activity and tougher fines.	---	☑ EI	---
(5) Analogue to digital switchover with impact on roads and community infrastructure: BT is set to switch off its traditional analogue telephone network and migrate all of its customers to a digital, IP telephony service in 2025. There will be challenges for Renfrewshire that require to be effectively managed with partners, otherwise there could be impact to Council Infrastructure.	---	---	☑ EI

2.7.2 Potential risks not yet recorded: some matters were brought forward by Environment and Infrastructure services however the view was that these might be quickly resolved and so were not added, but the service committed to include them at the mid-year review if they remained an issue (one example was routing of waste vehicles and introducing in-cab technologies). Similarly, Communities, Housing and Planning services explored some of areas of risk but considered them more opportunities for service improvement rather than risks.

### 2.7.3 Risks being removed (or now integrated with other risks)

Area of risk and reason for removal
(1) Education reform - the reforms as originally proposed by the Scottish Government will not be implemented. Renfrewshire works with the seven other local authorities which make up the Glasgow City Region as a Regional Improvement Collaborative, the establishment of which was part of the original proposed reform.
(2) Local partnership structures – the actions around local partnership structures (which were highlighted in the Best Value report), have been completed, and the role of local partnership structures is now captured within the community empowerment risk.
(3) Economic growth – this risk is now being captured within the longer-term Brexit impact risk
(4) Return on ICT investment – investment is ongoing but no longer considered a high risk to the council.
(5) Digital strategy – all original actions have been completed and the risk is considered well managed and appropriately resourced.
(6) Internal comms and staff engagement - all original actions have been completed and the risk is considered well managed and appropriately resourced.
(7) Public affairs and marketing – all original actions have been completed and the risk is considered well managed and appropriately resourced.
(8) AMIDS – all original actions completed, with any newer actions now captured under the City Deal risk.

Area of risk and reason for removal
(9) Sustainable food strategy – the risk owned by Environment and Infrastructure was focused around free school meals provision. This is no longer a risk given that the free school meals provision is appropriately resourced and operating well.
(10) Lifelong Learning – Lifelong Learning is led on by Community and Learning Development and has recently transferred to Communities, Housing and Planning Services. This is no longer a risk as the service is ensuring that it meets the requirements of both Lifelong Learning and the Community Empowerment Act.
(11) Business World – the risk had been reflected in terms of implementation. Now that the focus moves towards benefits realisation, Business World has now been reflected within the wider risk associated with realising benefits across the whole Better Council Change Programme.

#### 2.7.4 Risks refocused

Area of risk and reason for refocus	Strategic	Corporate	Service
Poverty levels in Renfrewshire; this risk has been updated with a new title “Reducing inequalities in Renfrewshire” and this expands the scope of the risk while still reflecting the impact that poverty has on outcomes.	☑	---	---
Organisation and ICT resilience: these risks had previously been rolled together and scored at 16, but with focus for ICT resilience more about capacity and capability in the diverse work of technology, they will now be separated into two distinct risks with clearly aligned individual risk owners and revised scores.			
(1) Organisation Resilience (now scoring 12-high)	---	☑ CHAP	---
(2) ICT Resilience (now scoring 12-high)	---	☑ F&R	---

#### 2.7.5 Risks being transferred from one register to another

Area of risk and reason for transfer	Strategic	Corporate	Service
(1) Lifelong Learning (is transferred from Children’s Services to Communities, Housing and Planning, and removed as per 2.7.3 above)			☑

- 2.8 Many risks continue to be inter-related and inter-dependent. Given the interdependencies between the council’s opportunities, risks and benefits, the oversight that the corporate risk management group applies on an ongoing basis in terms of close monitoring and review of the risks and progress of associated action, is essential for understanding the complexity of the current risk environment of the council, particularly during a continued period of challenge and considerable organisational change.
- 2.9 Based on the review of the business context for the council and the methodology applied to identify the relevant risks, the corporate risk management group in consultation with the corporate management team has agreed the key risks to be recorded within the strategic and corporate risk registers going forward from April 2019. Directors have agreed their service risks with their senior management teams.

### 3. The risk profile from April 2019

3.1 The full list of risk titles noted for 2019 is provided below under the headings of Imminent, Longer-Term Challenges or Business as Usual.

- For table 3.1.1 the detail of the **one imminent risk** has been reviewed weekly by the Brexit Readiness Steering Group, addressing the main points highlighted to the [Leadership Board](#) at its 20 February 2019 meeting. All preparatory work has been completed and with the Brexit extension period now in place to 31 October 2019, the Readiness Steering Group has temporarily stood down but remains ready to reconvene at short notice if necessary.
- For table 3.1.2 showing the council's **14 longer-term risks**, appendices 1-3 of this paper sets out the detailed risk assessment for each of these including risk controls and further planned actions to address the risks.
- For table 3.1.3 showing the business as usual (BAU) risks, these are naturally inherent to the activities of the council, or, with regards to major projects, are where the governance has been established, and projects are underway with progress monitored via usual project management arrangements. The **30 BAU risks** are shown in more detail in appendix 4 with a note of the main independent sources of assurance for these risks (sometimes referred to as the 3<sup>rd</sup> line of defence'). For example, internal audit activity is essential to the assurance process, in testing the effectiveness of control measures in place. Internal audit reports for relevant risks in the audit plan are regularly submitted to Board by the Chief Auditor.

3.1.1 Imminent issues (contingency focused)	Strategic	Corporate	Service	Eval:
(1) Brexit Readiness	---	☑	---	High

3.1.2 Longer-term challenges (planning/ action focused)	Strategic	Corporate	Service	Eval
(1) Reducing inequalities in Renfrewshire	☑		---	V.High
(2) Community empowerment	☑			High
(3) Preparing for the longer-term impacts of Brexit	☑			High
(4) Delivery of Paisley 2021 legacy	☑			High
(1) Financial sustainability		☑		V.High
(2) Welfare reform impacts		☑		High
(3) Better Council Programme – benefits realisation		☑		High
(4) Workforce planning		☑		Moderate
(5) Climate, sustainability and adaptability		☑		Moderate
(1) Regeneration of Renfrewshire's Town centres			☑ CE	High
(2) Renfrewshire Events Strategy			☑ CE	High
(3) House building and community regeneration			☑ CHAP	High
(4) Analogue to digital switchover and impact on infrastructure			☑ EI	Moderate
(5) Insurance cover for predecessor organisations			☑ FR	High

3.1.3 Business as usual (assurance focused)	Strategic	Corporate	Service	Eval
(1) Community safety and public protection	☑			High
(2) Serious and organised crime	☑			High
(3) City Deal	☑			High
(1) Asset management		☑		High
(2) Cultural infrastructure and regeneration		☑		High
(3) Information and records		☑		High
(4) Cyber security		☑		High
(5) ICT resilience		☑		High
(6) Organisation resilience		☑		High
(7) Expansion of Early Years Provision		☑		High
(8) Insider threat and corporate fraud		☑		High
(9) Governance – internal control and oversight		☑		High
(10) Commercial Vehicle Operator's Licence		☑		High
(11) Governance and leadership		☑		Moderate
(12) Administration of electoral events		☑		Moderate
(1) Sustainable procurement			☑ CE	Moderate
(2) Housing investment and safety			☑ CHAP	High
(3) Air Quality			☑ CHAP	High
(4) Unaccompanied Asylum-Seeking Children			☑ CS	Moderate
(5) Integrated service arrangements			☑ CS	Moderate
(6) Early intervention and prevention in children's services			☑ CS	Moderate
(7) Failure of major providers			☑ CS	Moderate
(8) Continuous improvement			☑ CS	Moderate
(9) Property – school estate			☑ CS	Moderate
(10) Roads inspection and maintenance (compliance)			☑ EI	High
(11) Health and safety management for cemeteries			☑ EI	High
(12) Landfill site management			☑ EI	High
(13) Road safety			☑ EI	Moderate
(14) Oversight of induction procedures			☑ FR	High
(15) Corporate projects - capacity			☑ FR	Moderate

3.2 The Council's total risk profile at April 2019 is as follows.

Evaluation:	Low	Moderate	High	Very High	Total
No. of Strategic Risks:	00	00	06	01	07
No. of Corporate Risks:	00	04	13	01	18
Total no. of Service Specific Risks:	00	10	10	00	20
					45

3.3 Each service risk profile is shown as follows:

Table 3.3.1 Chief Executive's

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Key Risks:</b>	<b>00</b>	<b>01</b>	<b>02</b>	<b>00</b>	<b>03</b>

Table 3.3.2 Children's Services

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Key Risks:</b>	<b>00</b>	<b>06</b>	<b>00</b>	<b>00</b>	<b>06</b>

Table 3.3.3 Communities, Housing & Planning

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Key Risks:</b>	<b>00</b>	<b>00</b>	<b>03</b>	<b>00</b>	<b>03</b>

Table 3.3.4 Environment & Infrastructure

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Key Risks:</b>	<b>00</b>	<b>02</b>	<b>03</b>	<b>00</b>	<b>05</b>

Table 3.3.5 Finance & Resources

<b>Evaluation:</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>	<b>Very High</b>	<b>Total</b>
<b>No. of Key Risks:</b>	<b>00</b>	<b>01</b>	<b>02</b>	<b>00</b>	<b>03</b>

3.4 As in previous years, risks are aligned to the relevant council plan themes shown here:

- ✓ Reshaping our place, our economy and our future
- ✓ Building strong, safe and resilient communities
- ✓ Tackling inequality, ensuring opportunities for all
- ✓ Creating a sustainable Renfrewshire for all to enjoy
- ✓ Working together to improve outcomes

3.5 Risk summaries are shown overleaf in tables 3.5.1 and 3.5.2 which additionally show the links to council plan themes.

<b>Table 3.5.1</b> <b>Strategic and Corporate Areas of risk, evaluation and lead risk owners</b> ✓	Council plan outcomes				
	Reshaping place, economy and future	Building strong, safe and resilient communities	Tackling inequality, ensuring opportunities for all	Creating a sustainable Renfrewshire for all to enjoy	Working together to improve outcomes
<b>Strategic</b>					
Reducing inequalities in Renfrewshire (V.High) Owner CE			✓		
Community Empowerment expectations (High) Owner CMT		✓			
Brexit - longer term impacts (High) Owner CMT	✓				
Community Safety & Public Protection (High) Owners CS, CHaP		✓			
City Deal (High) Owner CE	✓				
Delivery of Paisley 2021 Cultural Legacy (High) Owner CE	✓				
Serious and Organised Crime (High) Owner CHaP		✓			
<b>Corporate</b>					
Financial Sustainability (V.High) Owner F&R					✓
Brexit Readiness (High) Owner BR Steering Group		✓			
Welfare reform impacts (High) Owners F&R, CHaP			✓		
Organisation Resilience (High) Owner CHaP		✓			
ICT Resilience (High) Owner F&R					✓
Insider Threat & Corporate Fraud (High) Owners CHaP, F&R		✓			
Asset Management (High) Owners EI, F&R					✓
Commercial vehicle operator's licence (High) Owner EI					
Governance - Internal control and management oversight (High) Owner CMT					✓
Better Council Programme (High) Owner CMT					✓
Information and Records (with GDPR) (High) Owner F&R					✓
Cyber Security (High) Owner F&R		✓			
Expansion of early years provision (High) Owner CS			✓		
Cultural Infrastructure & Regeneration (High) Owner CE	✓				
Administration of electoral events (Moderate) Owner F&R					✓
Governance (BV) and Leadership (Moderate) Owner CMT					✓
Workforce Planning - Best Value (Moderate) Owner CMT					✓
Climate, sustainability & adaptability (Moderate) Owner F&R				✓	

<b>Table 3.5.2</b>  <b>Service Areas of risk and evaluations</b>	<b>Council plan outcomes</b> 1. Reshaping our place, our economy and future 2. Building strong, safe and resilient communities 3. Tackling inequality, ensuring opportunities for all 4. Creating a sustainable Renfrewshire for all to enjoy 5. Working together to improve outcomes				
	1	2	3	4	5
<b>Chief Executives</b>					
Renfrewshire events strategy - High	☑				
Regeneration of Renfrewshire's Town centres - High				☑	
Sustainable procurement - Moderate				☑	
<b>Children's Services</b>					
Unaccompanied Asylum-Seeking Children - Moderate		☑			
Integrated service arrangements - Moderate					☑
Early intervention and prevention in children's services - Moderate			☑		
Failure of major providers - Moderate					☑
Continuous improvement - Moderate					☑
Property – school estate - Moderate					☑
<b>Communities, Housing &amp; Planning</b>					
Housing investment and safety - High		☑			
House building and community regeneration - High		☑			
Air Quality - High				☑	
<b>Environment &amp; Infrastructure</b>					
Roads inspection and maintenance (compliance) - High				☑	
Health and safety management for cemeteries - High		☑			
Landfill site management - High				☑	
Road safety - Moderate		☑			
Analogue to digital switchover with impact on infrastructure- Moderate				☑	
<b>Finance &amp; Resources</b>					
Oversight of induction procedures - High					☑
Insurance cover for predecessor organisations - High					☑
Corporate projects - capacity - Moderate					☑

### 3.6 TOP longer-term risks – More detail is provided here with regards to the risks that have been identified as the top strategic, corporate and service risks.

Strategic, Corp, or Service risks	Risk Details		
	Risk Statement	Score	Brief commentary on the risk and approach to managing it
<b>Top 3 Strategic</b>			
Reducing inequalities in Renfrewshire	If we don't have a co-ordinated approach to tackling inequalities across Renfrewshire (including for example, the causes and consequences of poverty), this could jeopardise the effort in reducing both the short-term impacts on households but also have wider long-term consequences on attainment and health for people living on low incomes	20 V. High	<p>The council plays a key role in tackling inequalities and providing the best possible services to our communities, particularly those who are experiencing the poorest outcomes. As well as our focus on health and wellbeing, we are also committed to support vulnerable individuals, groups or communities through early intervention and prevention, responding to poverty, supporting routes to employment as well as dealing with welfare reforms. Our aim is to enable sustainable, quality services in a context of demographic and financial changes.</p> <p>The Progressing Equality Outcomes and Mainstreaming Equality Report has now been published on the internet.  <a href="http://www.renfrewshire.gov.uk/article/2285/Renfrewshire-Council-equality-information">http://www.renfrewshire.gov.uk/article/2285/Renfrewshire-Council-equality-information</a></p>
Delivery of Community Empowerment expectations	The council needs to build on its experience in consulting with its residents and communities to ensure effective processes are in places for all aspects covered by the Act otherwise there could be reputational risks around delivery of expectations associated with the Act, financial and operational risks associated with service delivery, and financial and liability risks associated with community asset transfer.	16 High	<p>Working with key partners in local areas to empower people to develop and deliver services, assets and facilities in their local communities.</p> <p>Implementing findings from review of corporate grants process and monitoring arrangements.</p> <p>Implementing new Local Partnership Model and delivering a framework for mainstreaming Participatory Budgeting.</p>
Preparing for the longer-term impacts of Brexit	Regardless of whether the UK leaves the European Union with a deal or with no deal, there will be longer term challenges for Renfrewshire that require to be effectively managed with partners, otherwise there could be sustained impact in several areas including unemployment, the local economy, manufacturing, grant funding, research and development, food instability, and increases in the cost of living and vulnerability	16 High	<p>Completing the implementation of a rural development programme across Renfrewshire, East Renfrewshire and Inverclyde through the effective delivery and management of the EU LEADER programme. Expanding enterprise programmes and business support to increase number of new local business start-ups.</p> <p>Increasing business sustainability, productivity, competitiveness and growth through a revised package of incentives, business support, training and advice. Promoting international trade and connectivity through supporting those businesses looking to export to new markets. Engaging with local businesses to understand the needs of the labour market and ensure our skills and employability provision reflect those needs.</p> <p>Reducing skills gaps in the area and responding to growth sectors. Ensuring a strong and active local employability partnerships to support all people to be job ready and to access employment.</p> <p>Preparing for Brexit-related procurement and supply chain implications</p>



Strategic, Corp, or Service risks	Risk Details		
	Risk Statement	Score	Brief commentary on the risk and approach to managing it
<b>Top 3 Corporate</b>			
Financial Sustainability	If significant cost pressures are not successfully planned for and managed effectively over the medium to longer term, this could jeopardise the financial stability of the council and result in a significant impact on availability and quality of front-line services and capital investment resources.	25 V. High	The council has agreed its 2019/20 budget, and there should be increased certainty with regards to pay pressures in the coming two years given the recent settlements which have been agreed; however there remains considerable uncertainty with regards to the level of grant income which local authorities may receive. The council is continually updating its medium term financial planning forecasts and assumptions and is developing a wider transformation programme which will seek to ensure the council continues to remain financially sustainable.
Welfare Reform impacts	Welfare related legislative changes, including the move to Universal Credit Full Service will increase demand for digital support and advice services across the community as the council looks to support people transition to the new arrangements. UC could jeopardise the viability of the Housing Revenue Account and will increase demand for Scottish Welfare Fund and Discretionary Housing Payments and lead to a reduction in CTR income. It will create additional resource and workforce planning pressures for services.	16 High	<p>Universal Credit full service is now live across Renfrewshire. UC, HB and CTR caseload continue to be monitored against the models developed prior to go live. Well-developed management arrangements are in place to monitor rent and council tax income and arrears levels and confirm and revise assumptions in support of effective planning and resource allocation. Monitoring and future modelling is updated to reflect any new information from DWP or other parties.</p> <p>The administration arrangements and spend for Discretionary Housing Payments and Scottish Welfare Fund are monitored and reviewed on an ongoing basis.</p> <p>Utilising £0.81M of resources set aside by the council, the development of responsive interventions have been developed and deployed over the short term to assist in managing the impact of UC.</p> <p>Workforce planning activities include actions to coordinate and manage the impact of UC and other welfare reform changes on staff resources.</p> <p>The council continues to be represented by senior officers in discussions at a national level on a range of welfare reform issues, including Universal Credit rollout and the local arrangements for the delivery of Scottish Social Security benefits.</p> <p>The Community Planning Partnership ensures cohesive working among partners, and the Advice Partnership Renfrewshire provides a forum for communicating and involving key stakeholders.</p>
Better Council Programme – benefits realisation	The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer-term effectiveness of the organisation	12 High	The current programme of change activity (Better Council Change Programme) continues to be monitored by dedicated Programme Management Unit resource which includes, but is not limited to, cross-organisational programme/ project management and the management of project benefit delivery and associated risks. PMU and Services track delivery of project deliverables against agreed milestones and ensure the enablement of financial savings. When risks to the realisation of these benefits occur, they are escalated to CMT and options are presented to identify alternative means of delivering the financial saving. Better Council progress is reported monthly with dedicated spotlight sessions at council CMT. Between these sessions, any major risks to benefit delivery are escalated directly to project sponsors, Directors or Dir. Finance / Chief Exec as required.




Strategic, Corp, or Service risks	Risk Details		
	Risk Statement	Score	Brief commentary on the risk and approach to managing it
<b>Chief Executive's Services</b>			
Renfrewshire Events Strategy	Renfrewshire Council Events Strategy and Future Paisley Action Plan seeks to deliver a range of local and visitor events across Renfrewshire. Effective public safety and crowd management are critical to the safe delivery of events. Any safety incidents at events have the potential to cause reputation harm, negative visitor experience and in turn reduced numbers at future events.	12 High	Delivery of the Renfrewshire Events Strategy is a key strategic priority for the council, with events estimated to contribute over £5m to the economy by 2022. Events are growing in profile and in turn audience numbers. It is imperative that public safety and crowd management is at the heart of all planning and delivery of the events. In order to manage and mitigate the risk around public safety and crowd control the events team have undergone 4-day training programme delivered by the Emergency Planning College on Crowd Management and Public Safety at Mass Gatherings. An external review of all Event Safety documentation has been commissioned and will be complete by June 2019. A table top session in advance of the major events programme in the winter will be complete and formal debriefs after every event ensure continual development of all event safety plans.
Regeneration of Renfrewshire's Town centres	The Council has plans for the regeneration of town centres throughout Renfrewshire which if not delivered effectively could result in reputational harm as well as the missed opportunities of improving the quality of life in Renfrewshire, particularly in the Town Centres. This includes investing in Renfrewshire's Heritage assets and the promotion of Renfrewshire and of Paisley as a destination town.	12 High	The regeneration of Renfrewshire's Town Centres is a key priority for the service and detailed Town Centre Strategies have been agreed for Linwood, Johnstone, Erskine, Braehead and Renfrew. Following the positive impacts of the City of Culture Bid last year, the Council has ambitious plans to develop Renfrewshire's 'cultural assets' to support the regeneration activity across the LA area. This £91m investment will have a significant impact on Paisley Town Centre and the wider Renfrewshire area the detail of which is noted under the Cultural Infrastructure and Regeneration risk.
<b>Children's Services</b>			
(CS are all strategic, corporate, BAU or project risks)			
<b>Communities, Housing &amp; Plann'g</b>			
House building and community regeneration	The Council has plans for regeneration throughout Renfrewshire which if not delivered effectively could result in reputational harm as well as the missed opportunities of improving the quality of life in Renfrewshire. The provision of high quality affordable housing is a key component of this and is an integral part of the regeneration strategy that must be delivered.	12 High	The provision of high quality affordable housing is a key component of improving the quality of life in Renfrewshire and is an integral part of the regeneration strategy that must be delivered. The council is working with Housing Association partners to build more affordable homes in Renfrewshire, the Scottish Government have announced a target of 50,000 new affordable homes in Scotland, the council is progressing Community Growth Areas across Renfrewshire and using new approaches to attract new development and investment.

Strategic, Corp, or Service risks	Risk Details		
	Risk Statement	Score	Brief commentary on the risk and approach to managing it
<b>Environment &amp; Infrastructure</b>			
Analogue to digital switchover - impact on infrastructure	BT is set to switch off its traditional analogue telephone network and migrating all of its customers to a digital, IP telephony service in 2025.	9 Moderate	As with any major technological upgrade or regulatory rollout, the key is to prepare as early and as comprehensively as possible. This means carrying out a thorough audit of all of our existing systems to establish which ones are already digitally compatible, and which are running on analogue networks to prepare a digital migration plan by 2025.
<b>Finance &amp; Resources</b>			
Insurance cover for predecessor organisations	With insurance gaps identified for some predecessor organisations, and recent legislative changes relating to limitation periods, there is an increased financial risk arising from possible uninsured claims	12 High	The council maintains a register of policies for Renfrewshire's predecessor organisations which assists in identifying relevant insurers wherever possible. The services of an insurance archaeologist have been engaged where relevant to undertake further work to identify insurers for known gaps. Where the council believes an insurer is 'on risk' they are put on notice timeously.


- 3.7 The risk treatment activity planned for the longer-term risks in 2019 and beyond is detailed within appendices 1-3. This activity (proportionate to the level of each risk) will further contribute to either the prevention of the risk occurring, where possible, or mitigating their potential effects. Where there are no actions linked to a risk this indicates that the risk is being managed on the basis of the control measures currently in place.
- 3.8 The risk registers continue to underpin the key priorities of the council's Annual Strategic Audit Plan. Actions relating to planned audits for 2019/20 are aligned to the relevant risks and any improvement actions arising from 2018/19 internal audit work will continue to be integrated into the risk register as audit reports are finalised.
- 3.9 A midyear progress report on the risks will be reported in due course to the Audit, Risk and Scrutiny Board. Information on specific significant risks will be reported by the Corporate Risk Management Group to the Corporate Management Team as required on an exceptional basis.

# Appendix 1: Longer-term Strategic Risks

## ✓ Reshaping our place, our economy and our future





Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR.19.01.01 Preparing for the longer-term impacts of Brexit	Regardless of whether the UK leaves the European Union with a deal or with no deal, there will be longer term challenges for Renfrewshire that require to be effectively managed with partners, otherwise there could be sustained impact in several areas including unemployment, the local economy, manufacturing, grant funding, research and development, food instability, and increases in the cost of living and vulnerability.	Strategic Brexit Focus Group	<b>Top controls</b> <ul style="list-style-type: none"> <li>Community Planning Partnership Brexit workshop undertaken and initial CPP risk assessment and action plan established with follow-up sessions arranged</li> <li>Maintaining a high level of understanding of the current position in relation to EU funding and maximising current benefits</li> <li>Maximum drawdown of existing funds identified</li> <li>Ongoing engagement in development process for new funds (successor to EU funding)</li> <li>Scotland Excel and Corporate Procurement monitoring Suppliers and markets which may impact the provision of services on ongoing basis</li> <li>Council's financial position</li> <li>Analysis and ongoing review of the council's financial position based on independent advice of investments and reserves</li> <li>Procurement/ budget monitoring for increase in supplier costs</li> </ul>	04	04	16 High
<b>Context:</b> *Economic growth and employment *EU funding *Suppliers and markets which may impact the provision of services *The financial position of the Council (including pricing and currency fluctuations) *Poverty (including food poverty) *Potential increased numbers of citizens returning to the UK where previously resident in an EU country *The EU Settlement scheme *City Deal, Cultural infrastructure programme, AMIDS *Impact on workforce planning						
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
SRR.19.01.01a	Strategic Brexit Focus Group to be established now to scope out and take ownership of the risk and identify required actions	Once established, the focus group will: . review the "No Deal Economic Implications for Scotland" paper written by Gary Gillespie . engage with Chamber of Commerce and University address longer term HSCP/ Children's services impact re 'returnees'		Head of Policy & Commissioning	30-Apr-2019	
SRR.19.01.01b	To ensure that the council engages with Police Scotland to understand the arrangements for intelligence sharing with EU nations that are being agreed by Police Scotland/ UK Police	Police understand the risk and are in the process of putting measures in place		Senior Civil Contingencies Officer	30-Jun-2019	
SRR.19.01.01c	Take forward any related actions post 25 March Community Planning Partnership meeting on the impact on the research sector for manufacturing and business development	[New]		Head of Policy & Commissioning	30-Jun-2019	

SRR.19.01.01d	Take forward any related actions post 25 March Community Planning Partnership meeting on impact on third sector (post EU funding)	[New]	Head of Policy & Commissioning	30-Jun-2019	
SRR.19.01.01e	Undertake a health check/ financial stability of construction suppliers	[New]	Strategic Procurement Manager	30-Jun-2019	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>SRR.19.01.03 Delivery of City of Culture 2021 Legacy</p> <p><u>Context:</u> The bidding process for the UK City of Culture title itself has generated a new-found confidence and pride across our communities, businesses and partners and we will continue to build on this. As a result of bidding for the title, we have secured a £100million package of investment to reinvigorate some of our key venues in Paisley and also make a number of improvements to our town centre. An additional £7.5m has been invested in securing the cultural legacy with an enhanced events and marketing programme, and new resources to develop the capacity of the cultural sector. A partnership board legacy action plan has been developed to continue the ambition to achieve the bid's original long-term aims to significantly grow Paisley's creative economy, transform its reputation, see the town recognised for its cultural excellence, lift communities out of poverty, and turn Paisley town centre into a vibrant destination.</p>	Failure to realise the strategic cultural, social and economic regeneration targets established as part of the 2021 Bid would represent a missed opportunity and could result in reputational damage to the Council and our partners.	Director of Communities, Housing & Planning	<p><b>Top controls</b></p> <p>(1) The Partnership Board and Executive Team established to develop the 2021 bid have committed to continued collaboration and the development and implantation of a bid legacy action plan</p> <p>(2) Council has agreed capital and operational budgets to support infrastructure, events/cultural programme development and cultural regeneration programmes</p> <p>(3) Additional funding discussions are being taken forward with Scottish Government and individual funders identified during the bid</p> <p>(4) A bid legacy action plan has been agreed that identifies activities that will deliver step changes by 2027 across economic, reputational, social, cultural and town centre outcome areas</p> <p>(5) A delivery team is being established to focus on the delivery of the action plan and continued support of the partners</p> <p>(6) A programme management framework and risk register is being established to ensure visibility of progress within the partnership governance model</p>	03	05	15 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CS.SIP.19.01c	Increase the role of arts and creativity in the school curriculum from early years through to the senior phase.	[New]		Head of Early Years and Broad General Education	31-Mar-2020	



## Building strong, safe and resilient communities






Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR.19.02.04 Delivery of Community Empowerment expectations		The council needs to build on its experience in consulting with its residents and communities to ensure effective processes are in places for all aspects covered by the Act otherwise there could be reputational risks around delivery of expectations associated with the Act, financial and operational risks associated with service delivery, and financial and liability risks associated with community asset transfer.	CMT	<b>Top controls</b> (1) Community level governance arrangements are currently being reviewed to assess how they can facilitate engagement from local communities. In particular, the review has explored how Local Area Committees can meet the requirements of the Community Empowerment (Scotland) Act, and provide an enhanced role for communities to engage with the wider Community Planning Partnership. (2) Following a review, a new process is currently being developed and piloted which reviews how the Council works with community groups. This pilot will see officers working alongside community organisations to develop a more detailed framework of activity. This would include developing detailed principles for the Council's engagement and support, and creating a process which is more efficient for the Council, and transparent for community organisations (3) Community Asset Transfer - Implementing (and reporting on) the Community Empowerment (Scotland) Act 2015 including Community Asset Transfer requests	04	04	16 High
<u>Context:</u> The Community Empowerment (Scotland) Act 2015 and places a wide range of requirements on local authorities. The Act is intended to empower community bodies through the ownership or control of land or buildings and by strengthening the voice of communities in the planning and delivery of public services. Some parts of the act have come into force while others have still to be enacted.							
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
CE.SIP.18.02.03	Work with communities to develop local action plans to tackle the issues people care about most		Following on form extensive consultation in 2018, the previous Local Area Committees (LACs) have been replaced by Local Partnerships. These partnerships adopt a more informal and inclusive approach as part of a drive to ensure community voices are heard on local issues. Community Representatives now sit alongside elected members and Community Councils for the seven Local Partnerships.		Strategic Partnerships and Inequalities Manager	31-Mar-2021	
CE.SIP.19.02.29	Implement findings from review of corporate grants process and monitoring arrangements		[New]		Tackling poverty & welfare reform manager	31-Dec-2019	
CE.SIP.19.02.30	Implement new Local Partnership Model		[New]		Tackling poverty & welfare reform manager	31-Dec-2019	
CE.SIP.19.02.31	Deliver framework for mainstreaming Participatory Budgeting		[New]		Tackling poverty & welfare reform manager	31-Mar-2021	
SRR.19.02.04a	Audit Plan - review of the governance arrangements for aspects of the legislative requirements for community empowerment		[New]				
SRR.19.02.04b	Audit Plan - review of the arrangements for grant administration.		[New]				



## Tackling inequality, ensuring opportunities for all

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
SRR.19.03.07 Reducing inequalities in Renfrewshire		If we don't have a co-ordinated approach to tackling inequalities across Renfrewshire (including for example, the causes and consequences of poverty), this could jeopardise the effort in reducing both the short-term impacts on households but also have wider long-term consequences on attainment and health for people living on low incomes	Head of Customer & Business Services; Head of Policy & Commissioning	<b>Top controls</b> (1) £5 million Council funding allocated to progress range of targeted initiatives and interventions (2) Robust programme management processes in place (3) Governance structure agreed for reporting progress and budgetary monitoring (4) Preparation for the roll out of Universal Credit full service and wider changes across the Scottish and UK Social Security Systems (5) Attainment Challenge Plan for Renfrewshire, including <ul style="list-style-type: none"><li>. Additional staffing resource to support schools</li><li>. Monitoring and tracking of data on attainment</li><li>. Use of standardised assessments</li><li>. Establishments and services engaging in self-evaluation to improve learning and teaching</li><li>. Establishment Review Teams monitoring performance and linking to inspection activity</li><li>. Investing in the Education Workforce plan</li></ul>		04	05	20 V.High
<u>Context:</u> The council plays a key role in tackling inequalities and providing the best possible services to our communities, particularly those who are experiencing the poorest outcomes. As well as our focus on health and wellbeing, we are also committed to support vulnerable individuals, groups or communities through early intervention and prevention, responding to poverty, supporting routes to employment as well as dealing with welfare reforms. Our aim is to enable sustainable, quality services in a context of demographic and financial changes.								
Action Codes	Linked Actions		Latest Note		Assigned	Due	Status	
CE.SIP.18.03.01	Programme of work to tackle inequalities and poverty learning from evaluation of Tackling Poverty programme		The next phase of the Tackling Poverty programme was approved by the Leadership Board in June 2018. Progress of funded projects is reported on a six monthly basis.		Partnership Manager; Sr Planning & Pol Dev't Officer	31-Mar-2021		
CE.SIP.18.03.05	Work with local equalities led community groups and employees to deliver progress against the six equalities outcomes		Progressing Equality Outcomes and Mainstreaming Equality Report has been published on the internet. <a href="http://www.renfrewshire.gov.uk/article/2285/Renfrewshire-Council-equality-information">http://www.renfrewshire.gov.uk/article/2285/Renfrewshire-Council-equality-information</a>		Sr Planning & Pol Dev't Officer	31-Mar-2021		
FRSIP18.03.07	Provide effective support to people affected by the introduction of Universal Credit Full Service by September 2018 onwards		Universal Credit (UC) Full Service went live across Renfrewshire area on 18/09/2018. The numbers of people claiming UC are gradually rising month on month. The council directs people to the CAB help to claim service and provides support in relation to council tax reduction and housing costs.		Head of Customer & Business Services	31-Mar-2020		
CE.SIP.19.03.33	Implement Year 2 of the Tackling Poverty Programme funding				[New]	Tackling poverty & welfare reform manager	31-Mar-2020	
CE.SIP.19.03.36	Implementation of the Macmillan Renfrewshire Improving the Cancer Journey Project				[New]	SP&PD Manager (Adults); Strategic P&PD Manager	31-Dec-2019	



CE.SIP.19.03.37	Establish and support the Renfrewshire Alcohol and Drugs Commission	[New]	SP&PD Manager (Adults); Strategic P&PD Manager	31-Dec-2019	
CS.SIP.19.01b	Improve employability skills and support all of our young people to enter positive destinations and sustained post-school destinations.	[New]	Head of Schools; Education Manager (Senior Phase)	30-Jun-2020	
CS.SIP.19.01d	Continue to develop partnership links and collaborative arrangements with the Further Education sector, employers and commerce in line with the Commission for Developing Scotland's Young Workforce Report.	[New]	Education Manager (Senior Phase)	31-Mar-2020	
CS.SIP.19.03c	Deliver on the Attainment Challenge workstreams.	[New]	Director of Children's Services	31-Mar-2020	
CS.SIP.19.03e	Reduce inequalities and deliver improved health and wellbeing outcomes for children and young people	[New]	Education Manager (Quality Improvement)	31-Mar-2021	

## Appendix 2: Longer-term Corporate Risks



### Tackling inequality, ensuring opportunities for all

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>CRR.19.03.06 Welfare Reform</p> <p><b>Context:</b> Universal Credit is now in place across Renfrewshire for anyone who would have previously claimed one of the legacy benefits. Significantly, as it progresses an estimated 20,000 citizens will be expected to make on-line applications and receive monthly benefit payments once UC is fully rolled out. As a result, the demand for support to successfully move on to and maintain claims to UC in areas such as digital access, money advice, personal budgeting and housing support will increase significantly. A range of organisational impacts are anticipated including increasing rent arrears; in Renfrewshire direct payment of UC to recipients will increase the rent that needs to be collected directly from council tenants from £15M to £28M per year once full rollout is complete in 2022. Other impacts include fewer applications for Council Tax Reduction, impacting on Council Tax revenue, as well as increased demand for both Discretionary Housing Payments and Scottish Welfare Fund crisis grants. This sits alongside reductions in Housing Benefit administration funding that is not expected to be aligned with reductions in workload.</p>	Welfare related legislative changes, including the move to Universal Credit will increase demand for digital access and advice services across the community as people required to claim UC look to the council for support. UC could jeopardise the viability of the Housing Revenue Account and will increase demand for Scottish Welfare Fund and Discretionary Housing Payments and lead to a reduction in CTR income. It will create additional resource and workforce planning pressures for services.	Director of Communities, Housing & Planning; Director of Finance & Resources	<p><b>Top controls</b> (1) Universal Credit full service is now live across Renfrewshire. UC, HB and CTR caseload continue to be monitored against the models developed prior to go live. Well-developed management arrangements are in place to monitor rent and council tax income and arrears levels and confirm and revise assumptions in support of effective planning and resource allocation. Monitoring and future modelling is updated to reflect any new information from DWP or other parties. (2) The administration arrangements and spend for Discretionary Housing Payments and Scottish Welfare Fund are monitored and reviewed on an ongoing basis. (3) Utilising £0.81M of resources set aside by the council, the development of responsive interventions have been developed and deployed over the short term to assist in managing the impact of UC. (4) Workforce planning activities include actions to coordinate and manage the impact of UC and other welfare reform changes on staff resources. (5) The council continues to be represented by senior officers in discussions at a national level on a range of welfare reform issues, including Universal Credit rollout and the local arrangements for the delivery of Scottish Social Security benefits. (6) The Community Planning Partnership ensures cohesive working among partners, and the Advice Partnership Renfrewshire provides a forum for communicating and involving key stakeholders.</p>	04	04	16 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
FRSIP18.03.08	Monitor the progress of welfare reform and put in place effective controls to ensure the council is prepared for the impacts	The council has developed effective modelling tools to identify and monitor the impact of welfare reform changes, including Universal Credit, on Council services and resources. Now that UC Full Service is live across Renfrewshire the actual impacts are being tracked to ensure that Council services continue to support citizens and manage the resource demands		Head of Customer & Business Services	31-Mar-2020	



## Creating a sustainable Renfrewshire for all to enjoy


Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	
CRR.19.04.08 Climate Change, Sustainability & Adaptability		If the council does not make the most of opportunities associated with climate change, sustainability and adaptability, there is a risk of missed opportunities for maximising savings and the potential for financial penalties.	Director of Finance & Resources	<b>Top controls</b> (1) The Council has used the Climate Change Assessment Tool – helps public sector organisations in Scotland self-evaluate their performance under the public sector duties of the Climate Change (Scotland) Act 2009 (2) The Carbon Management Plan has specific objectives to reduce emissions and these are included in other key documents such as the Council Plan (3) Implementation of the Corporate Asset Management Strategy ensures that property assets are managed effectively and efficiently through the provision of relevant management and performance information (4) The Energy Management Team: . ensure energy management initiatives are aligned to the capital investment programme and corporate asset strategy to optimise use of property estate and reduce overall running costs and energy consumption levels . promote reductions in energy usage and advise employees and residents about energy efficiency (5) Through the Procurement Unit, sustainability and community benefits are considered in the development of all contract strategies	02	04	8 Moderate	
<u>Context:</u> . Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire . Stabilising Renfrewshire’s population . Protecting and sustaining human health and enhancing human wellbeing. . Ensuring better integration between transport and land use planning and increasing the proportion of trips undertaken by walking, cycling and public transport . Protecting and enhancing the water environment and promoting sustainable flood risk management . Improving air quality and reducing the level of airborne pollutants . Reducing green-house gas emissions . Reducing Renfrewshire’s carbon foot print Increasing energy efficiency								
Action Codes	Linked Actions	Latest Note			Assigned	Due Date	Status	
CRSIP17.01.04.14	Ensure a residual waste treatment and disposal facility is fully operational by 2019 as part of the Clyde Valley Waste Management solution	The Waste treatment facility remains on target/plan and the previous update holds.			Amenity Services Manager - Waste	31-Dec-2019		
FRSIP18.04.12	Meet the Scottish Government's targets and expectation on Carbon Reduction Measures	The Council’s Carbon Management Plan 2015-2020 was approved by the Planning & Property Policy Board on 11th November 2014. The Plan sets a target reduction of 36% carbon emissions from the 2012/13 baseline by March 2020. The Update Report provided to Infrastructure, Land & Environment Policy Board on 23 January 2019 evidenced progress exceeding target.			Head of Property Services	31-Mar-2020		
FRSIP18.04.13	Increase the focus on Carbon and Financial standings through monitoring and targeting	A Targeting & Monitoring officer has been appointed to work with Head Teachers and building managers who are supplied with their energy consumption versus target along with 3 years of history to identify any trends or changes in use for both gas and electricity and to determine areas of improvement. This post builds on the work that has been done in recent years with technological interventions and helps contribute to not only achieving, but exceeding the targets that were set out in the Carbon Management Plan			Head of Property Services	31-Mar-2020		



## Working together to improve outcomes

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>CRR.19.05.09 Financial Sustainability</p> <p><b>Context:</b> <b>Best value report</b> . Recommendation in Best Value report to prioritise how services need to be provided in future to be funded from within available resources.</p> <p><b>Cost &amp; Income pressures</b> . Future grant settlements and the level of funding available. . Implications of national economic policy to protect certain services from real terms reductions in funding such as the Police and NHS . Future Local Government pay settlements and non-payroll related inflation . Demographics &amp; demand pressures, such as an ageing population with increased associated service demands . Implications of welfare reform &amp; poverty levels. . Reductions in council income from fee generating services such as local planning and parking, Implications of the national economic recovery and associated risks/uncertainty in economic factors e.g. interest rates.</p>	<p>If significant cost pressures are not successfully planned for and managed effectively over the medium to longer term, this could jeopardise the financial stability of the council and result in a significant impact on availability and quality of front-line services and capital investment resources.</p>	<p>Director of Finance &amp; Resources</p>	<p><b>Top controls</b> (1) An updated Medium to Longer Term Financial Planning Strategy assessed the various risks to the council's short, medium and longer term financial sustainability. The results are communicated throughout the council in various related reports such as the "Financial Outlook 2018-2020 Report" presented to the Leadership Board on the 12/12/2017. Committee reports of this nature cover a wide range of current and future financial and economic factors e.g. Strategic Economic and National Policy Context, Cost Pressures, Pressures on Income and Mitigation Strategies to deal with such uncertainties. (2) A well developed and embedded budget planning, budget setting and budgetary control system is in place throughout the organisation and this informs members and officers regarding financial performance and stability. This facilitates robust and transparent decision making and incorporates an escalation process with regards budget management issues which may arise. (3) In conjunction with the medium to longer term financial outlook and the councils continued "Better Council Change Programme" Renfrewshire Council has been proactive in planning for the future by identifying and agreeing a planned release of resources. This is required to meet emerging budget pressures and is utilised in conjunction with the Council's long term debt smoothing strategy to support the release of planned savings over a number of years (4) There is close financial monitoring of the agreed savings to be achieved and this is to ensure they are delivered within the agreed timescales and achieve the associated objectives. Monitoring is undertaken via a combination of financial and operational measures, actions &amp; related update reports. (5) Regular updates and bespoke reports are provided to CMT and the 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. (6) Levels of and use of reserves and the Council's Capital Investment and Treasury Management Strategy.</p> <p><b>Other controls</b> (1) Reports and publications from Audit Scotland in relation to local government's financial outlook, financial planning and related developments &amp; improvements are supplemented with a Renfrewshire context report with both reports being submitted to the Council's Audit Scrutiny &amp; Petitions Board. Audit Scotland representatives have an open invite to these policy board meetings. (2) The role as a partner in the development of a waste management shared service allows the council to influence key decisions and be clear on its related costs. (3) Improving asset management planning, asset utilisation and energy consumption has clarified priority areas for investment in the council's estate and this has supported and informed the council's investment decisions and the formulation of the council's capital &amp; revenue budgets.</p>	05	05	25 V.High


Action Codes	Linked Actions	Latest Note	Assigned	Due Date	Status
CRR.18.05.08a	Audit Plan – home care contract management	Draft report has been issued to the service.	Chief Auditor	30-Jun-2019	
CRR.19.05.09a	Audit Plan – review of key financial systems which have moved over to the Business World environment, specifically the general ledger and payroll	[New]	Chief Auditor	30-Jun-2020	
CRR.19.05.09b	Audit Plan – review of the recently introduced online payments systems	[New]	Chief Auditor	30-Jun-2020	
CRR.19.05.09c	Audit Plan – review of the quick quote procurement processes	[New]	Chief Auditor	30-Jun-2020	








Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR.19.05.13 Better Council Change Programme		The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation	Director of Finance & Resources	<b>Top controls</b> (1) Programme management approach adopted. (2) Monthly programme boards held as part of CMT agenda. (3) Effective budget tracking and monitoring (4) Regular reporting on progress to the Leadership board (5) Effective joint working with between PMU staff and service leads (6) Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme. (7) A workforce planning strategy has been developed by HR & OD, aligned to the Organisational Development strategy and BCCP and the individual actions identified within this are being progressed. (8) Directors are being supported by HR&OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council’s internal or external environments. (9) A range of learning and development solutions to support managers specifically on areas of change management and workforce planning has been delivered through the Leaders of the future programme.	03	04	12 High
<u>Context:</u> (1) Successfully deliver Phase 3 of the Better Council Change programme and implement the agreed budget and savings options (2) Implementation of a significant programme of transformational change (3) Increased efficiency (4) Third phase of the programme to facilitate identification of additional savings areas. (5) Addressing capacity challenges (financial and workforce) to deliver change and improvement							
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
FRSIP18.05.42	Successfully deliver the Better Council Change programme		In 18/19 the Better Council Change Programme has successfully delivered 18 projects, enabling and delivering change, modernisation and realising financial savings of £3.5m. There are 15 projects remaining in the overall programme. Within Finance & Resources there are 5 projects which sit within the Customer Experience & Digital Theme. These projects will deliver a shift to digital first services to improve timeliness and customer experience, improved transformational changes to the way services operate and function and the transition will continue to embed technology and the ICT structure that services require. All projects are in delivery and progressing well.		Head of Transformation & OD	31-Mar-2019	<div></div> <div>[Complete for 2018/19)</div>

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR.19.05.18 Workforce Planning (BV)		Recommended improvements in workforce planning arrangements should be implemented otherwise there will be an increased risk to how future services are delivered	Director of Finance & Resources	<b>Top controls</b> (1) The Council Workforce Plan 2017-2020 (approved in August 2017) (2) Each service department has its own workforce plan with associated priorities aligned to the 5 key themes of the Council Workforce Plan (3) All services have embedded workforce planning into their Service Improvement Plans (4) A Strategic OD & Workforce Planning Board is now well established (5) A dedicated resource for workforce planning is in place to support monitoring and progress of service and Council workforce planning actions (6) Engagement with and reporting to a wide range of stakeholders including CMT, Policy Boards, Services, Trades Unions and Staff Panels (7) Managers are being developed in workforce planning. 233 managers are currently on development programmes with an anticipated 600 planned up until 2019. (8) The Renfrewshire Health and Social Care Partnership (HSCP) also has its own Workforce Plan and Oversight Group with representation of senior managers from HSCP and Council.	02	04	08 Moderate
<u>Context:</u> The best value report published in August 2017 highlighted areas for improvement with regards to workforce planning, most of which have been progressed already and are now reflected within the current control measures. The current risk evaluation is therefore moderate							
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
2018/19 completed							





# Appendix 3: Longer-Term Service Risks

## Chief Executive Services

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	
CERR.19.01.01 Renfrewshire Events Strategy		Renfrewshire Council Events Strategy and Future Paisley Action Plan seeks to deliver a range of local and visitor events across Renfrewshire. Effective public safety and crowd management are critical to the safe delivery of events. Any safety incidents at events have the potential to cause reputation harm, negative visitor experience and in turn reduced numbers at future events.	Head of Marketing, Communications and Events	<b>Top controls</b> (1) The events team have undergone 4-day training programme delivered by the Emergency Planning College on Crowd Management and Public Safety at Mass Gatherings. (2) A Multi Agency Events Group meets on a monthly basis. Our multi agency partners include Police Scotland, Scottish Fire and Rescue, Ambulance Scotland. A number of internal departments represented; Events, Health and Safety, Civil Contingencies, Community Resources - street scene, roads and occasional representation from Members Services when required. The remit of the group is to plan and deliver safe and successful events. The group primarily review council run events but also consider community events jointly plan that could have implications for any of the service represented. A contingency manual is prepared for each council run event, circulated to all members of the group for comment and feedback. The document contains timelines, key contacts, site maps, permissions and is designed to provide event control room with a single document containing all strategic information required to inform decisions on the day. Each event is supported by a consumer marketing and media campaign that enables up-to-the minute event information to be provided to event goers and visitors. The group also review all events on completion and log any issues in a lessons learned to inform planning and development for future events. (2) Events Guidance Manual in operation (3) Considerable pre-event liaison with in house teams and the emergency services (4) The events team and in-house specialists have considerable experience and a good track record in organising and managing events (5) Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked. <b>Other controls</b> Accredited, and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events	03	04	12 High	
Delivery of the Renfrewshire Events Strategy is a key strategic priority for the council, with events estimated to contribute over £5m to the economy by 2022. Events are growing in profile and in turn audience numbers. It is imperative that public safety and crowd management is at the heart of all planning and delivery of the events.								
Action Codes	Linked Actions	Latest Note			Assigned To		Due Date	Status
CE.SIP.18.01.06	Implement the Renfrewshire Visitor Plan	Completed and delivery of year 1 plan reported to Leadership Board in Dec 2018. <ul style="list-style-type: none"><li>• Growth in visitor numbers to events expected to exceed 8% in 2018.</li><li>• Day visits to Renfrewshire have increased from 2.73m (per annum average over the period 2013-15) to 5.33m (2015-17), exceeding the target for 2020.</li><li>• An increase of £26m in visitor spend has been achieved in 2015-2017 due to the increase in day visits to the area.</li></ul>			Comms & Public Affairs Mgr; TCME Manager; Head of Marketing; Town Centre Project Manager		31-Mar-2021	

		Visit information to attractions is not available until first quarter of 2019 (Moffat Centre).			
CE.SIP.18.01.08	Establish a commercialisation model that reconnects the Paisley Pattern to Paisley	One international brand partnership, launching world-wide Spring/Summer 2019. Tender for pattern archive available March 2019.	Comms & Public Affairs Mgr; TCME Manager; Head of Marketing; Town Centre Project Manager	31-Dec-2020	
CE.SIP.19.01.22	Implement Year 2 of the destination marketing plan	[New]	Comms & Public Affairs Mgr; TCME Manager; Town Centre Project Manager	31-Mar-2021	
CE.SIP.19.01.23	Implement Year 2 action plan as part of the Renfrewshire Visitor Plan	[New]	Comms & Public Affairs Mgr; TCME Manager; Town Centre Project Manager	31-Mar-2021	
CE.SIP.19.01.24	Deliver the 2019 programme as part of the events strategy to 2022	[New]	Comms & Public Affairs Mgr; TCME Manager; Town Centre Project Manager	31-Mar-2020	
CERR.19.01.01a	An external review of all Event Safety documentation has been commissioned and will be complete by June 2019.	[New]	TCME Manager	30-Jun-2019	
CERR.19.01.01b	A table top session in advance of the major events programme in the winter will be complete and formal debriefs after every event ensure continual development of all event safety plans.	[New]	TCME Manager	31-Mar-2020	
CERR.19.01.01c	Audit Plan - a review of the governance arrangements for events management	[New]	Chief Auditor	30-Jun-2020	




Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>CERR.19.01.02 Regeneration of Renfrewshire's Town centres</p> <p><u>Context:</u> *Working with Housing Association partners to build more affordable homes in Renfrewshire. *Progressing Community Growth Areas across Renfrewshire *Delivering actions that will improve our Town and Village centres. *Delivering the Paisley Town Centre Heritage Asset Strategy. *Using new approaches to attract new development and investment.</p>	<p>The Council has plans for the regeneration of town centres throughout Renfrewshire which if not delivered effectively could result in reputational harm as well as the missed opportunities of improving the quality of life in Renfrewshire, particularly in the Town Centres. This includes investing in Renfrewshire's Heritage assets and the promotion of Renfrewshire and of Paisley as a destination town.</p>	Head of Regeneration	<p><b><u>Town Centre Regeneration</u></b></p> <ul style="list-style-type: none"> <li>. All regeneration projects are managed using the Councils Project Management Framework.</li> <li>. Regeneration projects are reported through a Programme Board chaired by the CE and Council Boards.</li> <li>. Progress against key milestones, and funding and other risks are regularly monitored.</li> <li>. A Strategic Economic Framework and 10 year vision and action plan for Paisley Town Centre were approved by the Council's Leadership Board in November 2016.</li> <li>. Funding of key regeneration projects supported through applications to appropriate funding sources.</li> <li>. In Sept 2017 stage 1 HLF funding of £4.9m was approved for the redevelopment of Paisley Museum with a Round 2 bid being developed for submission in 2019. An application was submitted to the Scottish Govt Regeneration Capital Grants Fund (RCGF) with £4m being approved in March 2018.</li> <li>. £4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre (TH/CARS2 project).</li> <li>. Preparation and consultation on Town Centre Strategies for Linwood, Johnstone, Erskine, Braehead and Renfrew completed and agreed by Board.</li> </ul> <p><b><u>Paisley Town Centre Heritage Asset Strategy (PTCHAS)</u></b></p> <ul style="list-style-type: none"> <li>. Paisley Heritage Asset Strategy approved in January 2014.</li> <li>. Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID.</li> <li>. The £5m refurbishment of the iconic Russell Institute was completed in Summer 2017.</li> <li>. £4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre.</li> <li>. Building purchased at No.22 High Street, Paisley for the Learning &amp; Cultural Hub incorporating the relocation of Paisley Central Library and £1.5m Scot Govt RCGF funding was secured.</li> </ul>	03	04	12 High
Action Codes	Linked Actions		Latest Note	Assigned To	Due Date	Status
CE.SIP.19.01.16	Advance Paisley's position as the UK's Great Town to town's and regeneration audiences in the UK		[New]	Regeneration Manager	30-Sep-2020	
CE.SIP.19.01.18	Review and development of the Heritage Asset Strategy for Renfrewshire		[New]	Regeneration Manager	31-Dec-2019	
CE.SIP.19.01.19	Develop project proposals for new Scottish Government Town Centre Fund		[New]	Regeneration Manager	31-Mar-2020	
CE.SIP.19.01.20	Develop specific regeneration projects for Johnstone and Renfrew		[New]	Regeneration Manager	31-Mar-2020	

# Children's Services

(All BAU risks – see Appendix 4)

## Communities, Housing & Planning

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHPRR.19.01.01 House building and community regeneration	The Council has plans for regeneration throughout Renfrewshire which if not delivered effectively could result in reputational harm as well as the missed opportunities of improving the quality of life in Renfrewshire. The provision of high quality affordable housing is a key component of this and is an integral part of the regeneration strategy that must be delivered.	Head of Planning & Housing Services	<b>Top controls</b> <u>House building and encouragement of investment</u> (1) Promotion/Marketing of Renfrewshire as a place to invest. (2) Consultation on the new draft Strategic Housing Investment Plan 2017/18 - 2022/23 was carried out in September 2017. (3) Review of Council's land and property assets continues with marketing of sites as well as working with a range of partners to facilitate new development on more challenging sites with ongoing discussions with CPP partners on joint approaches to property solutions. (4) The Renfrewshire Local Housing Strategy 2016-2021 sets out the strategic vision for housing and housing related services and seeks to provide a clear direction for strategic housing investment. <u>Projects</u> (1) The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include:- . Paisley West End . Ferguslie Park Regeneration Plan . Orchard Street housing regeneration. . Johnstone Castle. . Bishopton. <b>Community Regeneration</b> (1) A programme management framework has been established to monitor progress of the Strategic Housing Investment Programme as well as the delivery of housing regeneration initiatives across Renfrewshire's communities. (2) The Local Housing Strategy 2016-2021 provides the policy context for ongoing investment and interventions. (3) Regular consultation and liaison with Scottish Government. (4) The Planning & Housing Section with the Service has been augmented and work programme aligned to ensure that resources are available to address the consultation, monitoring and delivery of regeneration activity.	03	04	12 High
<b>Context:</b> . Working with Housing Association partners to build more affordable homes in Renfrewshire. . The Scottish Government have announced a target of 50,000 new affordable homes in Scotland. . Progressing Community Growth Areas across Renfrewshire . Using new approaches to attract new development and investment.						
Action Codes	Linked Actions	Latest Note		Assigned	Due	Status
CHPRR.18.01.01c	Promote the use of CPO to facilitate the regeneration of Paisley West End Masterplan	Officers from Planning and Housing Services continue to work with our RSL partner, Sanctuary Scotland and the Scottish Government to deliver the Regeneration Masterplan for the West End of Paisley. A report will be presented to the Communities, Housing and Planning Policy Board later in 2019 seeking authority to apply to Scottish Ministers to promote a CPO to facilitate the regeneration of Paisley West End Masterplan area.		Planning & Housing Manager	31-Mar-2020	

## Environment & Infrastructure

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
EIRR.19.01.05 Analogue to digital switchover and impact on infrastructure		The changeover from analogue to digital, if not coordinated and managed effectively across all aspects of the council’s business and infrastructure, could impact significantly on future service delivery.	Head of Amenity Services	<b>Top controls</b> (1) Audit of all of existing systems to establish which ones are already digitally compatible, and which are running on analogue networks to prepare a digital migration plan (2) Programme management approach adopted.	03	03	09 Moderate
<u>Context:</u> BT Openreach, which provides voice and broadband infrastructure to more than 32 million homes and businesses will migrate all customers from its traditional analogue phone network (the PSTN) to new digital, internet based (all IP) services by 2025.							
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
Risk tolerated for now							

## Finance & Resources

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FRRR.18.01.02 Insurance cover for predecessor organisations		With insurance gaps identified for some predecessor organisations, and recent legislative changes relating to limitation periods, there is an increased financial risk arising from possible uninsured claims	Risk Manager	<b>Top controls</b> (1) Register of policies for Renfrewshire’s predecessor organisations allow relevant insurers to be identified and notified wherever possible (2) An insurance archaeologist also undertook further work to identify insurers for known gaps (3) Where the council believes an insurer is ‘on risk’ they are put on notice timeously	03	04	12 High
<u>Context:</u> *Long tail industrial related disease claims *Limitation (Childhood Abuse) (Scotland) Act 2017							
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
Risk tolerated for now							

## Appendix 4: Business as Usual Risks and Sources of Assurance

Risk Title	Statement	Score	Sources of Independent Assurance
<b>Ongoing areas of risk</b>			
Community safety and public protection	The council's community safety and public protection role, delivered within an integrated partnership model is critical to ensuring child and adult protection, and that offending behaviour and community safety services are effectively delivered, or risk of harm to and from individuals may arise.	<b>15 High</b>	Care Inspectorate Child and Adult Protection Committees Food Standards Scotland ICO audits in relation to CCTV usage Internal audit - a review of the arrangements in place for undertaking employee disclosure checks
Asset management	There are many opportunities, statutory and insurance obligations in relation to the council's physical assets which require efficient management otherwise there could be financial, physical and reputational risk for the council and/ or service users.	<b>15 High</b>	SFRS Surveys Care Inspectorate External audit reports (i.e. Roads Investment) Internal audit reports
Information and records	If information (in whatever format), is not managed and handled effectively and in line with legislative requirements, there is an increased financial and reputational risk for the council as well as risk to service deliver and organisational decision-making.	<b>15 High</b>	ICO Audits Registered Keeper of Record – Return Internal audit - compliance with payment card industry standards Internal audit - information security within adult social care establishments
Health and safety management for cemeteries	If large memorials in cemeteries are not checked at an appropriate frequency, there is an increased risk of potential accidents/ injuries. If repairs are not carried out to large memorials within an appropriate timescale when defects are noted, there is an increased risk of potential accidents/ injuries to members of the public visiting Renfrewshire cemeteries.	<b>15 High</b>	Independent Checks
Roads inspection and maintenance (compliance)	Arrangements to support risk-based categorisation and inspection of highways (roads and footways), require to be implemented timeously or there may be an increased financial risk for the council.	<b>15 High</b>	Scottish Government (Code of Practice) Internal audit reports
Governance – internal control and oversight (See final page supplementary note)	Recent trends suggest that assurance is becoming more challenging and combined with opportunities for improvement around management oversight there is an emerging risk to systems of internal control	<b>15 High</b>	Annual Audit Report – Audit Scotland Local Scrutiny Plan – Audit Scotland Internal audit reports Audit, Risk & Scrutiny Board
ICT resilience	If the ICT service is not resilient in terms of capacity and capability it could lead to slower delivery of benefits within the council change programme	<b>12 High</b>	PCI audits Scottish Government - cyber resilience standard for Scotland PSN accreditation Independent Health Checks Penetration Testing

Organisation resilience	If the council is not a resilient organisation, this could result in a poor response to external disruptive events such as those recorded in the Community Risk Register and/ or internal events such as loss of key employees or facilities (impacting adversely on the community, employees, services and reputation).	<b>12 High</b>	Scottish Resilience – Standards
Cyber security	Should cyber security attacks target the council internet, IT network or data communications there is a risk of website defacement; loss of control, integrity or availability of IT resources; loss of confidential data and information assets; and a failure in compliance obligations.	<b>12 High</b>	Scottish Government Standards Internal audit - review of the cyber security arrangements
Housing investment and safety	Delivery of the EESSH standard will require access to external funding sources to supplement the Council's capital funding. If the council does not secure sufficient funding to deliver all these measures, some properties may not meet the required standard. The current uncertainty around what recommendations may be made by Scottish Govt in relation to multi storey fire safety improvements mean it is difficult to plan for these from a funding and procurement perspective.	<b>12 High</b>	EESSH performance reporting annually to the Scottish Housing Regulator.
Air Quality	If council is not seen to be effectively working towards meeting statutory limit values for NO2, there is a risk of reputational damage and the potential for financial penalties, depending on UK and Scottish Government decisions on how to apportion EU fines should they be imposed on the UK for failing to comply with the EU Air Quality Directives.	<b>12 High</b>	Annual Progress Reports to Scottish Government/SEPA Data ratified by Ricardo AEA on behalf of Scottish Government
Landfill site management	Failure to adequately manage the Linwood Moss Landfill Site could result in environmental impacts, reputational damage and failure to comply with licensing conditions.	<b>12 High</b>	Scottish Environment Protection Agency (SEPA)
Serious and organised crime	The council implements a range of measures to prevent and detect serious organised crime and should measures not be implemented and monitored effectively there could be increased threat to resources and public security.	<b>12 High</b>	Controlled but no external control, however internal audit cover
Insider threat and corporate fraud	The council implements a range of measures to prevent and detect insider threat and corporate fraud. Should measures not be implemented and monitored effectively there would be increased threat to resources and security of information.	<b>12 High</b>	External Audit (review of council's arrangements for NFI) Internal audit reports (quarterly), on progress and performance to Audit, Risk & Scrutiny Board
Oversight of induction procedures	If people who are new to the council, or who are moving into new positions internally, are not aware/ reminded of key messages, information and expectations, then there is a risk of breach of council policies and procedures	<b>12 High</b>	No independent external control (induction process currently under review)
Commercial Vehicle Operator's Licence - changes	The council's vehicle fleet, managed by Environment & Infrastructure Services, comprises around 500 vehicles including heavy and large goods vehicles, light vans and cars. The council implements a range of measures to ensure ongoing vehicle operator licence compliance. However, it is prudent to bring this risk back into focus given increased DVSA activity and tougher fines.	<b>09 Moderate</b>	Driver and Vehicle Standards Agency (DVSA) Police Scotland Freight Transport Association

Unaccompanied Asylum-Seeking Children	Providing care and support to unaccompanied asylum-seeking children arriving from Europe and elsewhere has associated risks which differ in some respects from the risks associated with business as usual. Specialist support and strong partnership working is critical to ensuring the safety and wellbeing of these children and young people. Providing this support may incur an additional financial risk for the council.	<b>09 Moderate</b>	Care Inspectorate Immigration advice provided externally as per legal requirement
Integrated service arrangements	Strong links between social work services delivered by the council and those delivered by the Health and Social Care Partnership on behalf of the council are vital to ensuring positive outcomes for people who use our services. Continuing to maximise the opportunities arising from integrating education with other social work services is also crucial. There is a risk that, if integrated arrangements are not robust, then the potential benefits will not be maximised and there is a potential risk to service users, employees, the community, and the reputation of the services involved.	<b>09 Moderate</b>	Chief Social Work Officer's Annual Report to the Chief Social Work Advisor Inspection activity (Care Inspectorate, Healthcare Improvement Scotland, Education Scotland) Internal audit reports
Early intervention and prevention in children's services	If the service did not develop early intervention and prevention services whilst continuing to develop and modernise existing care services for children, there is a risk that plans to improve longer-term outcomes for children will not be achieved and that future demand for social work services will increase.	<b>09 Moderate</b>	External scrutiny by Care Inspectorate (registered services) and Education Scotland (nurseries, pre-5 centres and schools). Partnerships which include element of independent scrutiny (e.g. with Dartington, CELCIS)
Failure of major providers	Failure or loss of a major service provider may impact on our capacity to protect vulnerable children and adults.	<b>09 Moderate</b>	Procurement undertaken in line with national and supra-national regulations Appraisal of providers as part of procurement process Most providers subject to registration and scrutiny by Care Inspectorate or Education Scotland Internal controls – monitoring of purchasing patterns and programme of review of service providers
Continuous improvement	Self-evaluation of performance and practice is key to the continuous improvement of the service. There is a risk that insufficient development of this agenda will impact on service development activity and increase the burden of external scrutiny.	<b>09 Moderate</b>	External scrutiny by Care Inspectorate (registered services) and Education Scotland (nurseries, pre-5 centres and schools). Regular programme of external scrutiny by CI and ES for the whole service.
Property – school estate	Children's Services continues to review and improve the condition of schools. It is essential that we manage risks and take steps to address the deterioration of the estate through a school estate management plan which considers financial risk and aims to mitigate against health and safety concerns and disruption to school life.	<b>08 Moderate</b>	Health and safety monitoring Programme of inspections as appropriate Major works subject to same planning and building works as any other project
Governance and leadership	Effective governance and leadership is essential otherwise there is an increased risk to the business and reputation of the council and to important decisions that will need to be made in future.	<b>08 Moderate</b>	External audit reports
Sustainable procurement	By making our procurement opportunities accessible to everyone and by being efficient with required governance whilst promoting best practice, we are removing the risk of slowing down the economic growth. If we don't create the right conditions for local businesses, investment and innovation to support we won't deliver the targets.	<b>08 Moderate</b>	Procurement Reform (Scotland) Act 2014 Public Contracts (Scotland) Regulation 2015 Procurement and Commercial Improvement Programme

Administration of electoral events	With a change in the election team profile, coupled with the uncertain political environment that could see the occurrence of snap events such as a general election or referendum, there is a risk of impact on ability to successfully administer these events.	<b>08 Moderate</b>	Electoral Commission UK and Scottish Governments
Corporate projects - capacity	Key Finance and Resources officers are involved in a number of corporate projects and as they focus on the project activities there is an increasing threat to maintaining service delivery standards for 'business as usual' activities.	<b>08 Moderate</b>	No independent external control (monitored internally by Finance and Resources management)
<b>Established Projects</b>			<b>Assurance and/ or Governance arrangements</b>
City Deal	All funding conditions and business case assumptions must be accurate to allow the grant funding to be received. Failure to manage the delivery of the projects, their outputs and outcomes and meet the requirements of the Assurance Framework could result in project delays, additional costs, loss of grant funding and reputational damage.	<b>15 High</b>	City Deal Regional Cabinet Gateway Review
Cultural infrastructure and regeneration	The planned £91m of infrastructure investment will require significant community engagement, robust monitoring and implementation otherwise there is an inherent risk around funding availability, grant conditions, financial and economic assumptions and not delivering the benefits expected from the associated levels of investment.	<b>15 High</b>	Internal audit - selected reviews of contract management and monitoring arrangements Grant provider audits (i.e. European Funding etc)
Expansion of Early Years Provision	The expansion of early years provision. Both in terms of the increase in hours from 600 to 1140 per year and the increase in flexibility creates a number of challenges for the council (around staffing, infrastructure, independent provision and fleet, soft and hard facilities provision), which could result in delays in the delivery of the 1140 hours.	<b>12 High</b>	External scrutiny of quality (Care Inspectorate and Education Scotland) Regular submissions to Scottish Government