

Notice of Meeting and Agenda Audit, Risk and Scrutiny Board

Date	Time	Venue
Monday, 06 November 2017	10:00	Corporate Meeting Room 1, Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

KENNETH GRAHAM
Head of Corporate Governance

Membership

Councillor Tom Begg: Councillor Stephen Burns: Councillor Michelle Campbell: Councillor Alison Jean Dowling: Councillor Neill Graham: Councillor Jim Harte: Councillor Emma Rodden:

Councillor Bill Binks (Convener): Councillor Jim Sharkey (Depute Convener):

Members of the Press and Public

Members of the press and public wishing to attend the meeting should report to the customer service centre where they will be met and directed to the meeting.

Further Information

This is a meeting which is open to members of the public.

A copy of the agenda and reports for this meeting will be available for inspection prior to the meeting at the Customer Service Centre, Renfrewshire House, Cotton Street, Paisley and online at www.renfrewshire.cmis.uk.com/renfrewshire/CouncilandBoards.aspx

For further information, please either email democratic-services@renfrewshire.gov.uk or telephone 0141 618 7112.

Items of business

Apologies

Apologies from members.

Declarations of Interest

Members are asked to declare an interest in any item(s) on the agenda and to provide a brief explanation of the nature of the interest.

- | | | |
|----------|--|------------------|
| 1 | Training for Audit, Risk & Scrutiny Board Members | 5 - 8 |
| | Report by Chief Auditor. | |
| 2 | Summary of Internal Audit Reports for Period to 30 September 2017 | 9 - 28 |
| | Report by Chief Auditor. | |
| 3 | Internal Audit and Counter Fraud Progress and Performance to 30 September 2017. | 29 - 34 |
| | Report by Chief Auditor. | |
| 4 | Strategic and Corporate Risk Registers 2017, Mid-Year Report | 35 - 68 |
| | Report by Director of Finance & Resources. | |
| 5 | Chief Executive's Service Risk Management Plan Mid-Year Report | 69 - 84 |
| | Report by Chief Executive. | |
| 6 | Children's Services Risk Management Plan 2017/18: Mid-Year Progress Report | 85 - 100 |
| | Report by Director of Children's Services. | |
| 7 | Development & Housing Services Risk Management Plan 2017/18: Mid-Year Progress Report | 101 - 126 |
| | Report by Acting Director of Development & Housing Services. | |
| 8 | Environment & Communities Risk Management Plan Mid-Year Report | 127 - 146 |
| | Report by Director of Environment & Communities. | |

9	Finance & Resources Risk Management Plan 2017, Mid-Year Report	147 - 166
	Report by Director of Finance & Resources.	
10	Absence Statistics - 2017/18 Quarter 2	167 - 176
	Report by Director of Finance & Resources.	
11	Report by Audit Scotland - Equal Pay in Scottish Councils	177 - 182
	Report by Director of Finance & Resources.	
12	The Commissioner for Ethical Standards in Public Life in Scotland Annual Report 2016/17	183 - 186
	Report by Director of Finance & Resources.	
13	Annual Programme	
13(a)	Audit, Risk & Scrutiny Annual Programme 2017/18 - Request for Additional Review	187 - 190
	Report by Director of Finance & Resources.	
13(b)	Fly-Tipping in the Countryside and at known Fly-tipping Spots	191 - 196
	Report by Lead Officer.	
13(c)	Housing Repairs by Council and Outside Contractors	197 - 204
	Report by Lead Officer.	



To: Audit, Risk and Scrutiny Board

On: 6 November 2017

Report by: Chief Auditor

Heading: Training for Audit, Risk and Scrutiny Board Members

1. Summary

- 1.1 In line with national guidance produced by the Chartered Institute of Public Finance and Accountancy (CIPFA) on the implementation of Audit Committee Principles in Scottish Local Authorities, training on audit and risk related matters is being provided to members of the Audit, Risk and Scrutiny Board.
- 1.2 Members raised a number of questions at the Audit, Risk and Scrutiny Board on 28 August 2017 in relation to cyber security. It was agreed with the Convener that it would be appropriate to replace the training briefing on risk management with a briefing on cyber security risk and control, with the briefing on risk management being provided as part of the all member training programme.
- 1.3 The amendment to the agreed programme of training briefings is outlined at Appendix 1 future briefings will be delivered at alternate board meetings. The council's Cyber Security Architect will present the training briefing on "cyber security risk and control".
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2. Recommendations

- 2.1 Members are asked to note the content of the current training briefing.

- 2.2 Members are asked to approve the amendment made to the programme of training briefings.
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Implications of the Report

1. **Financial** - None
 2. **HR & Organisational Development** - None
 3. **Community Planning – Safer and Stronger** – an effective audit committee is an important element of good corporate governance.
 4. **Legal** - None
 5. **Property/Assets** - None
 6. **Information Technology** - None
 7. **Equality & Human Rights** - None
 8. **Health & Safety** – None
 9. **Procurement** - None
 10. **Risk** - training for elected members on audit and risk-related matters reflects audit committee principles
 11. **Privacy Impact** – None
 12. **COSLA Implications** - None
-

Author: Andrea McMahon – 01416187017

Appendix 1

Date	Topic
28 August 2017	The Role of the Audit Committee
6 November	Cyber Security Risk and Control
TBC	Understanding Financial Statements
TBC	The Role of Internal Audit
TBC	The Role of External Audit



To: Audit, Risk and Scrutiny Board

On: 06 November 2017

Report by: Chief Auditor

Heading: Summary of Internal Audit Reports for period to Sept 2017

1. Summary

1.1 In line with the Public Sector Internal Audit Standards, Internal Audit must communicate the results of each engagement to the Board. To comply with this requirement Internal Audit submits regular reports on the findings and conclusions of audit engagements to the Audit, Risk and Scrutiny Board.

1.2 Appendix 1 provides details those audit engagements completed during the period 01 July to 30 September 2017 with the overall assurance rating and the number of recommendations in each risk category. The committee summary for each report is also attached. For each audit assignment where recommendations have been made, the relevant managers have put action plans in place to address the issues raised.

1.3 In addition to the reports listed in the Appendix, Internal Audit has an ongoing commitment to:

- A range of corporate and service initiatives;
- Progressing of information security matters in partnership with ICT and Legal Services;
- The regular provision of advice to departmental officers;
- The provision of internal audit services to the associated bodies for which Renfrewshire Council is the lead authority and to Renfrewshire Leisure Ltd and Renfrewshire Health and Social Care Integrated Joint Board;
- Co-ordination of the Council's corporate risk management activity;

- Management of the counter fraud team;
 - Management of the risk management and insurance team.
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2. **Recommendations**

- 2.1 Members are invited to consider and note the Summary of Audit Findings reported during the period from 01 June to 30 September 2017.
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Implications of the Report

1. **Financial** - None
2. **HR & Organisational Development** - None
3. **Community Planning – Safer and Stronger** - effective internal audit is an important element of good corporate governance.
4. **Legal** - None
5. **Property/Assets** - None
6. **Information Technology** - None
7. **Equality & Human Rights** – None
8. **Health & Safety** – None
9. **Procurement** - None
10. **Risk** - The summary reported relates to the delivery of the risk-based internal audit plan.
11. **Privacy Impact** – None
12. **COSLA Implications** - None

Author: Karen Campbell – 01416187016

Appendix 1

Renfrewshire Council

Internal Audit Service

Update for Audit, Risk and Scrutiny Board

Final Audit Reports issued from 01 June – 30 September 2017

Category	Service	Engagement	Assurance Rating	Recommendation Risk Ratings			
				Critical	Important	Good Practice	Service Improvement
Investigation	Finance & Resources/Children's Services	Pre 5 Establishment - Loss of Monies	N/A (Note 1)	11	8	5	2
	Environment & Communities	Roads Contracts	N/A (Note 1)	1	3	0	0
Assurance	Finance & Resources	Pensions – Auto Enrolment	Reasonable	0	7	3	0
	Finance & Resources	Contract Monitoring Arrangements	Substantial	0	2	1	0
	Environment & Communities	Civil Contingencies Service	Substantial	0	1	3	0
	Development & Housing	External Funding Applications	Reasonable	0	3	2	0
Governance	Corporate	Governance of ALEO's	Reasonable	0	5	3	1
	Corporate	Corporate Complaints Procedures	Reasonable	0	3	3	0

Note 1 – No assurance rating can be given in respect of investigation assignments

Assurance Level	
Substantial Assurance	- There is a sound system of internal control designed to achieve the objectives of the area being reviewed. - The control processes tested are being consistently applied.
Reasonable Assurance	- The internal control processes are generally satisfactory with some areas of weakness being identified that could put some objectives of the area being reviewed at risk - There is evidence that the level of non-compliance with some of the control processes may put some of the objectives of the area being reviewed at risk.
Limited Assurance	- Weaknesses in the system of internal controls are such as to put the objectives of the area being reviewed at risk. - The level of non-compliance puts the objectives of the area being reviewed at risk.
No Assurance	- Control processes are generally weak with significant risk to the achievement of the objectives of the area being reviewed. - Significant non-compliance with control processes leaves the processes/systems open to error or abuse.

Recommendation Risk Rating	
Service Improvement	Implementation will improve the efficiency / housekeeping of the area under review.
Good Practice	Implementation will contribute to the general effectiveness of control.
Important	Implementation will raise the level of assurance provided by the control system to acceptable levels.
Critical	Addresses a significant risk, impacting on the objectives of the area under review.

Internal Audit Report

Finance & Resources/Childrens Services

Pre 5 Centre – Loss of Monies (C0143/2016/014)

C0143/2016/014

Date: February 2017

COMMITTEE SUMMARY

Audit Objectives

On 2 September 2016, the Customer Services Manager notified Internal Audit that a named member of staff at a Pre-5 Centre had allegedly removed a sum of council money which she then claimed had been accidentally left on a bus and had subsequently been stolen.

Audit Scope

The purpose of the review, which was conducted under the Council's Defalcation Procedures, was: -

- to establish if there was any substance to the allegation made
- to determine the security of other monies within the centre
- to identify and address any weaknesses in the internal system of control

Key Issues arising from the investigation

- 1.1 The allegation in relation to the employee removing the sum of £200.00 from the Centre has been substantiated.
- 1.2 In total, funds of £6,786 (council and non-council monies) have been misappropriated from the Centre.
- 1.3 The auditor considers that there is sufficient evidence to conclude that the named employee has misappropriated the sum of £5,280, with £550 having been paid back to the centre by the employee, prior to the conclusion of the audit.
- 1.4 Misappropriated funds totalling £1,151 cannot be directly attributed to the named employee. However, given the employee's involvement with these funds it is possible that these have also been misappropriated by the same employee. Further monies totalling £355.00 remain unaccounted for and cannot be directly attributed to any individual(s).
- 1.5 The internal control environment operated at the Centre and at Council HQ for specific areas such as cash handling, record keeping and income reconciliation is not adequate to either prevent or detect any possible defalcation.
- 1.6 Financial processes are not carried out in a manner which provides for sufficient scrutiny and adequate management oversight.

Overall Audit Opinion

It is the Auditor's opinion that a named employee is responsible for the misappropriation of at least £5,280 of council and non-council monies. The internal control environment at the Centre was found to be weak, particularly in relation to compliance with established procedures, segregation of duties, reconciliations and management oversight, which has contributed to the employee being able to misappropriate funds over a significant period of time.

Internal Audit Report

Finance & Resources/Childrens Services

Pre 5 Centre – Loss of Monies (C0143/2016/014)

C0143/2016/014

Date: February 2017

Management Commentary

Management within Finance and Resource Services, Children's Services and Environment & Communities, developed an action plan to address the recommendations made, including:

1. Consideration of disciplinary action in relation to a number of employees. One employee has since been dismissed and a report has been made to Police Scotland.
2. Addressing a number of identified weaknesses in relation to cash handling, record keeping, controls over income and expenditure and regular reconciliation.
3. Providing training to employees in relation to cash handling, record keeping, controls over income and expenditure and regular reconciliation.
4. Ensuring that there is adequate management oversight of the financial affairs.

Internal Audit Report

Environment & Communities

Roads Contract (C0033/2016/003)

C0033/2016/003

Date: July 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of this investigation were to ascertain the circumstances surrounding the allegations made and whether there was any substance to them and to identify and address any weaknesses in the internal control environment.

Audit Scope

In June 2016, Internal Audit was informed of a situation within Environment & Communities whereby a substantial level of off contract spend (in the region of £250,000) on the hire of plant and operatives for the resurfacing of roads was taking place. There was also the suggestion of collusion with a contractor and that the approved Council procurement system was being purposely bypassed in favour of a historical system that Procurement had less oversight of.

Following on from the matter being passed to Internal Audit, an initial investigation in relation to this allegation was undertaken, in line with the Council's Defalcation Procedures.

Key Audit Findings

1. Whilst non contract spend was taking place satisfactory reasons were provided for this in that the Scotland Excel framework did not meet with the requirements of the service. Furthermore Internal Audit was advised that this was a historical situation that had evolved during the time the service had sat under the Department of Planning and Transport.
2. It is also apparent that there were a number of weaknesses with the historical processes in place for the hire of plant and operatives but given that the Council's approved procurement system is now being used the auditors have no recommendations to make in this regard.
3. No evidence was presented to Internal Audit to substantiate the allegation of corruption or collusion with the contractor.
4. In addition, no evidence was provided to Internal Audit of the approved procurement system being used for a period of time before reverting back to using the inherited Fleetmaster system.

Overall Audit Opinion

The auditors could not substantiate any of the allegations made however weaknesses were identified in terms of a lack of procurement training to managers and oversight of all of the systems used within the Council for the procurement of goods and services.

Issues were also identified in terms of the robustness of the checking undertaken on the contractor invoices and a lack of a clear audit trail to support charges levied on the Council for the hire of plant and operatives. Recommendations have therefore been made to

Internal Audit Report

Environment & Communities

Roads Contract (C0033/2016/003)

C0033/2016/003

Date: July 2017

address these issues and to strengthen the control environment in place.

Management Commentary

Management within Chief Executive's Service and Environment & Communities developed an action plan to address the recommendations made, including:

1. Providing procurement awareness training to managers within Environment & Communities.
2. Reviewing all council wide procurement systems, as part of the implementation of Business World, to ensure adequate controls are in place.
3. Improvements to the methods used for placing and authorising orders, checking invoices and storage of supporting paperwork.

Internal Audit Report

Finance & Resources



Pension Auto Enrolment (A0084/2016/001)

A0084/2016/001

Date: October 2017

COMMITTEE SUMMARY

Audit Objectives

To ensure that:

- Arrangements are in place to enrol all new employees into the pension scheme;
- There is a timetable established for re-enrolment of employees opting out of the scheme;
- Communications with employees are effective and advise employees of their rights;
- Where employees opt-out of the pension scheme, this is actioned timeously.

Audit Scope

Interviewed the appropriate staff to ascertain the arrangements in place for enrolling all new employees into the pension scheme, for actioning employee requests to opt-out of the pension scheme, for timetabling the re-enrolment of employees that have opted out and for communicating employee rights.

Prepared and undertook a series of tests to assess the adequacy of the above arrangements.

Key Audit Assurances

Processes are in place to auto-enrol all new eligible employees in the pension scheme.

Arrangements regarding regular automatic re-enrolment in the pension scheme are sufficient.

Key Risks

There is risk that information held by pension providers may not be up to date if information regarding enrolment and employee opt-outs is not sent to the pension provider timeously.

Employees may not be given the correct information regarding postponed enrolment.

Overall Audit Opinion

The audit has identified that although there are arrangements in place to cover the requirements of the Pensions Act 2011, recommendations have been made within the report to improve the processes to record and pass this information to the pension provider timeously. Recommendations have also been made to improve the communication issued to employees regarding postponed enrolment.

Management Commentary

Management within Finance and Resources Service developed an action plan to address

Internal Audit Report

Finance & Resources



Pension Auto Enrolment (A0084/2016/001)

A0084/2016/001

Date: October 2017

the recommendations made, including:

1. Documenting processes for pension auto-enrolment to formalise the expected controls.
2. Changes arising from checking exception reports will be checked by a second officer for accuracy.
3. A verification exercise is being undertaken to ensure that all required documentation has been provided to the Strathclyde Pension Fund.
4. Investigate potential improvements that can be made to document storage.
5. Amending the communications that are provided to employees where auto-enrolment has been postponed.

Internal Audit Report

Finance and Resources

Contract Monitoring Arrangements – Property Services (A0014/2016/001)

A0014/2016/001

Date: August 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of the audit were to ensure that:

- Arrangements are in place to monitor the progress of physical completion of the contract;
- Arrangements are in place to monitor the cost of the contract against the predetermined contract value;
- Roles and responsibilities for contract management are clear and understood;
- Contract monitoring is undertaken by officers with appropriate skills;
- Reporting against the contract is regular and timely.

Audit Scope

1. Interviewed the appropriate staff, evaluated the contract monitoring arrangements and identified any possible improvements.
2. Prepared and undertook a series of tests to confirm the adequacy and effectiveness of the contract monitoring arrangements identified. The projects selected for testing were two primary school projects.

Key Audit Assurances

1. Physical completion of the contracts tested was monitored through weekly Clerk of Work reports.
2. Costs were monitored against predetermined contract values in Quantity Surveyor monthly financial reports.
3. Appropriate roles were undertaken by officers with relevant skills e.g. Clerks of Works, Architects, Contractors.
4. Regular and timely reports were provided to appropriate officers.

Key Risks

1. If risk registers are not completed, key risks may not be clearly stated, assessed and appropriately managed.

Internal Audit Report

Finance and Resources

Contract Monitoring Arrangements – Property Services (A0014/2016/001)

A0014/2016/001

Date: August 2017

Overall Audit Opinion

The audit has identified that satisfactory arrangements are in place for monitoring completion of the school projects and reporting progress to the appropriate officers. Some recommendations have been made, including the completion of risk registers when risks are identified in Property Services projects, which will further enhance the control environment.

Management Commentary

Management within Finance and Resources Service developed an action plan to address the recommendations made, including:

1. Developing risk registers for future large scale or complex projects.
2. Implementing arrangements for notifying the insurance section of expected handover dates.

Internal Audit Report

Community Resources

Civil Contingencies Service (A0017/2016/001)

A0017/2016/001

Date: July 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of the audit were to ensure that:

- Appropriate governance documents and structures are in place with each of the partner authorities;
- Roles and responsibilities and accountabilities have been appropriately recorded and communicated and training provided;
- Civil contingency plans are prepared and approved by the appropriate managing body;
- Plans are regularly reviewed, updated and tested;
- Regular feedback is provided to the Joint Board including performance management information.

Audit Scope

1. Interviewed the appropriate officers to ascertain the arrangements in place for the governance and effectiveness of the Joint Civil Contingencies Service and identified any areas for improvement.
2. Tested to ensure that governance procedures were followed and records were appropriately maintained.

Key Audit Assurances

1. There are adequate governance arrangements operating between the civil contingencies service and partnering authorities and the appropriate governance documents are in place.
2. Roles and responsibilities and accountabilities have been appropriately established and communicated to all partners. Civil Contingencies Service (CCS) regularly facilitate appropriate training to partnering authorities staff.
3. Regular feedback is provided to the Joint Board including performance management information.

Key Risks

Where Civil Contingencies Service do not retain formal evidence that services within partnering authorities have undertaken test exercises, they may not be able to satisfy themselves that the plans in place are adequate.

Overall Audit Opinion

The audit has provided a substantial level of assurance in relation to the governance arrangements and organisation of the Civil Contingencies Service (CCS). There are appropriate governance arrangements in place with all partnering authorities and there is regular feedback to the Joint Board. The auditor has made some recommendations, which if

Internal Audit Report

Community Resources

Civil Contingencies Service (A0017/2016/001)

A0017/2016/001

Date: July 2017

implemented, will further enhance the oversight arrangements which the Civil Contingencies Service has over the contingency planning arrangements the partnering authorities have in place.

Management Commentary

Management within Environment & Communities developed an action plan to address the recommendations made, including:

1. The Council Resilience Management Team will include service plans and testing arrangements as a standing item on the agenda.

Internal Audit Report

Development and Housing

External Funding Applications (A0040/2016/001)

A0040/2016/001

Date: June 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of this review were to ensure that:

- There are adequate arrangements for management oversight of all EU Grant funding;
- Arrangements are in place to monitor compliance with grant conditions;
- Arrangements are in place to confirm eligibility of project spend;
- Grant claims are accurate and submitted on a timely basis;
- Financial monitoring arrangements, including match funding, are adequate

Audit Scope

A review of the arrangements in place for financial monitoring and compliance with the conditions of European Funding Grants was undertaken. This involved discussion with key personnel from the Economic Development (ED) team and the Finance Team.

Key Audit Assurances

- Applications for EU funded projects are approved appropriately and grants are formally accepted by the appropriate Council Officers.
- Regular meetings are held with the appropriate officers to update on progress, and papers on the work of the ED team are taken to the Board.
- A Compliance team is in place within ED to check expenditure and evidence for proposed claims, and to identify and remove ineligible expenditure prior to claims being submitted to the Scottish Government. A Programme Management Unit (PMU) has been established to monitor whether projects are delivering results.
- Where services are procured from other organisations, or where the Council works with other Councils such as LEADER and ERDF grants, documented agreements are in place covering this in the form of contracts or Service Level Agreements.
- Controls are built into the system to minimise the likelihood of clients being registered more than once and receiving support from two or more services.
- The recording of staff costs against projects is satisfactory.
- Claims to the Scottish Government were found to have been prepared with transaction lists, calculations, and evidence collated, and had been submitted in accordance with deadlines.
- Projects income and expenditure are appropriately monitored

Key Risks

- There is no central register of grant funded projects across the Council, and there is no central officer group or elected member Board which has oversight of all grant funding. This increases the risk that applications could be submitted for

Internal Audit Report

Development and Housing

External Funding Applications (A0040/2016/001)

A0040/2016/001

Date: June 2017

grant funding which may not be appropriate or which may require match funding which has not been accounted for or is double counted.

- While the current EU funded programme commenced in 2015, there were no documented risk management arrangements either at a local level or at a corporate strategic level.
- The Economic Development Compliance team are aware of retention periods. However other than one reference to ERDF loans, the Council's corporate retention policy does not offer guidance on the additional retention requirements for documentation relating to European funded projects. Additionally, there is an inherent risk that external providers may not adhere to retention periods for project documentation.
- Claims for the ESF and ERDF projects will be submitted by the independent Compliance team on the Scottish Government systems and followed up with paper copies signed by the Director of Development and Housing Services. However an improvement could be made to this process to ensure the relevant manager for each project signs a declaration to confirm accountability that each claim is accurate.

Overall Audit Opinion

Based on the work carried out a reasonable level of assurance can be placed upon the control environment. The audit has identified scope for improvement in existing arrangements and six recommendations which management should address.

Management Commentary

Management within Development and Housing developed an action plan to address the recommendations made, including:

1. Ensuring that the Economic Development team are notified of all EU funding applications.
2. Risk registers will be developed for EU funded programmes and monitored by Senior Management and the Board as appropriate.
3. Update the records retention schedule to provide specific guidance on EU retention requirements.
4. Consider if improvements can be made to ensure external contractors retain documentation for the required period.
5. Develop a process for relevant managers to declare that claims are accurate before submission to the Director for final sign off.

Internal Audit Report

Chief Executives

Governance of ALEOs (B0014/2016/002)

B0014/2016/002

Date: July 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of the audit were to ensure that:

- There is an adequate documented governance and accountability framework for those services delivered through Renfrewshire Leisure (RL);
- There is adequate oversight of the financial commitments and risk exposures for the Council through the use of RL;
- Adequate arrangements are in place for monitoring financial and service performance of RL; and
- Roles and responsibilities of officers and members relating to RL are clear and understood.

Audit Scope

To review the governance arrangements in place for ensuring that there is adequate oversight and monitoring of RL's delivery against the objectives set out in the Services Agreement.

Key Audit Assurances

A documented Services Agreement is in place which outlines the roles and responsibilities of the Council and RL and a change control document was put in place to reflect subsequent amendments to service provision;

The responsibilities that have been retained by the Council including the provision of IT, procurement and insurance arrangements are documented in the Services Agreement;

The Head of Policy and Commissioning has been appointed to review the performance of RL in order to give the Council assurance that the deliverables in the Services Agreement are being monitored;

Performance indicators in relation to services provided by RL are included in an annual report which is presented to the Council's Audit Committee as part of the Local Government Benchmarking Framework arrangements; and

A conflicts of interest policy is in place for RL Board members which includes Council officers.

Key Risks

The Council's Financial Regulations have not been updated to reflect the revised monitoring structure of RL that was put in place in March 2016. This increases the risk that the role for monitoring and oversight at committee level is unclear.

The Council does not maintain a risk register outlining the risks posed by using RL to deliver key services. The lack of oversight increases the risk that appropriate mitigating actions are

Internal Audit Report

Chief Executives

Governance of ALEOs (B0014/2016/002)

B0014/2016/002

Date: July 2017

not put in place and that risks are not managed appropriately.

Performance against Key Performance Indicators (KPIs) is not being undertaken in line with the requirements of the Services Agreement and the Leadership Board is provided with limited performance information. This increases the risk that the Council does not have adequate oversight of the performance of RL to ensure that the key deliverables set out in the Services Agreement are being met.

The arrangements for reporting whistleblowing allegations in relation to RL are unclear and the responsibilities for investigating these allegations is not documented and understood. This increases the risk that concerns in relation to RL are not reported and investigated.

Overall Audit Opinion

Based on the audit work carried out, a reasonable level of assurance can be placed upon the control environment. The audit has identified some scope for improvement in the existing arrangements and nine recommendations which management should address.

Management Commentary

Management within Chief Executive's Service and Finance and Resources Service developed an action plan to address the recommendations made, including:

1. Updating the council's financial regulations to reflect the revised governance and monitoring arrangements for Renfrewshire Leisure.
2. Reflect appropriate risks in relation to Renfrewshire Leisure in the council's risk register and ensure that the risks are regularly monitored.
3. Agree an appropriate format for KPIs and the arrangements for reporting these to Board.
4. Seek assurance from Renfrewshire Leisure regarding whistleblowing arrangements.

Internal Audit Report

Corporate

Complaints Procedures (B0047/2018/004)

B0047/2018/004

Date: September 2017

COMMITTEE SUMMARY

Audit Objectives

The objectives of this review were to ensure that:

- relevant staff are aware of the Complaints procedures;
- there is sufficient evidence held by Services to demonstrate compliance with the Complaints procedures.

Audit Scope

1. Checked that there are sufficient procedures in place to ensure that relevant staff are aware of the Council's Complaints Procedures.

2. Checked that these procedures are being adhered to i.e. Complaints Registers are being properly maintained by services.

The services selected for testing were Development and Housing and Finance and Resources.

Key Audit Assurances

1. The Council's Complaints Handling Procedures and Employee Guide provide adequate instructions to staff dealing with complaints.

Key Risks

1. The Council may not be able to demonstrate that all complaints have been adequately recorded.

Overall Audit Opinion

The audit has provided reasonable assurance over the awareness and compliance with Complaints Handling Procedures. Some recommendations have been made to timeously complete actions identified from a review of complaints correspondence and to review existing training programmes to consider ways to ensure that staff are following the Complaints Handling Process effectively.

Management Commentary

Management within Chief Executive's Service developed an action plan to address the recommendations made, including:

1. Undertaking an internal review of the corporate complaints process, lead by the Policy and Commissioning Service within Chief Executive's Service. The purpose of the review is to consider potential opportunities to enhance existing processes and

Internal Audit Report

Corporate

Complaints Procedures (B0047/2018/004)

B0047/2018/004

Date: September 2017

cross service working. Recommendations through the internal audit review will be fully incorporated as part of the review.
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To: Audit, Risk and Scrutiny Board

On: 06 November 2017

Report by: Chief Auditor

Heading: Internal Audit and Counter Fraud Progress and Performance for Period to 30 September 2017

1. Summary

- 1.1 The Internal Audit Annual Plan was approved by the Audit, Scrutiny and Petitions Board on 20 March 2017. Internal Audit measures the progress and performance of the team on a regular basis using a range of performance indicators. This report monitors progress from 1 April 2017 to 30 September 2017, in terms of the delivery of the Audit Plan for the year and compares actual performance against targets set by the Director of Finance and Resources.
- 1.2 In terms of Counter Fraud, no formal performance targets for fraud investigation have been established for the following reasons. A major part of their work involves being the single point of contact for DWP's Single Fraud Investigation Service. A great deal of effort over the last year has been on increasing fraud awareness amongst employees to prevent fraud from occurring against the Council. The types of fraud referrals received to date are wide ranging and the team's objective is to concentrate on investigating those referrals considered to contain the greatest fraud risk.
- 1.3 The report details progress against local and national initiatives involving Internal Audit and the Counter Fraud Team from 1 April 2017 to 30 September 2017.

2. **Recommendations**

- 2.1 Members are invited to note the Internal Audit and Counter Fraud Team progress and performance to 30 September 2017.
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3. **Background**

- 3.1 The progress and performance of the Internal Audit Team is subject to regular monitoring using a number of performance measures. The Director of Finance and Resources has set annual targets for the team to demonstrate continuous improvement. In terms of the Counter Fraud team, due to the diverse nature of fraud referrals no formal performance targets have been established and the outcomes from investigations is regularly monitored by management.
- 3.2 Internal Audit and the Counter Fraud Team support a variety of local and national initiatives through participation in professional practitioner groups and co-ordination of national initiatives such as the National Fraud Initiative.
- 3.3 This report measures the progress and performance of both the Internal Audit and Counter Fraud Team for the period from 1 April 2017 to 30 September 2017.

4. **Internal Audit Team Performance**

(a) **Percentage of audit plan completed as at 30 September 2017**

This measures the degree to which the Audit plan has been completed

Actual 2016/17	Annual Target 2017/18	Audit Plan Completion Target to 30 Sept 2017	Audit Plan Completion Actual to 30 Sept 2017
91.8%	95.0%	42.8%	41.4%

Actual performance is slightly below target. This is due to a higher than average proportion of annual leave being taken by staff over the summer months and also a vacancy within the internal audit team. Management will monitor this indicator closely over the next quarter and take any action required.

(b) **Percentage of assignments completed by target date**

This measures the degree with which target dates for audit work have been met.

Target 2017/18	Actual to 30 Sept 2017
95.0%	100%

Actual performance is ahead of the target set for the year.

(c) **Percentage of audit assignments completed within time budget**

This measures how well the time budget for individual assignments has been adhered to.

Target 2017/18	Actual to 30 Sept 2017
95.0%	97.1%

Actual performance is ahead of the target set for the year, although this is likely to reduce over the remainder of the year.

(d) **Percentage of audit reports issued within 6 weeks of completion of audit field work**

This measures how quickly draft audit reports are issued after the audit fieldwork has been completed.

Target 2017/18	Actual to 30 Sept 2017
95.0%	97.1%

Actual performance is ahead of the target set for the year.

5 Counter Fraud Team Progress and Performance

5.1 In line with the Service Level Agreement, the Counter Fraud Team act as the Single Point of Contact (SPOC) to route potential housing benefit fraud referrals to the DWP, liaise with the Council's Housing Benefit Team and DWP Fraud Officers and retrieve the necessary evidence for the DWP Fraud Officers from the Housing Benefit System. The resource that has been required for this role continues to be at least one FTE Counter Fraud Investigator.

5.2 The remainder of the Corporate Counter Fraud resource is currently being utilised on fraud prevention work and also to investigate non-benefit fraud referrals received to date in areas such as tenancy, revenues and education. During the 6 months to September 2017, we have been successful in 18 Council Tax Reduction investigations, identifying over £9,242 to be recovered. Savings of £13,522 from the Scottish Welfare Fund have been delivered which can be used for those most in need. Three council house properties have been recovered back into housing stock, resulting in £273,000 of notional savings to the Council. We have also issued two warning letters regarding the misuse of Blue Badges and on three occasions have

been involved in the correction of data supplied to support a school placement request.

- 5.4 The Policy for the Prevention and Detection of Fraud and Corruption is currently being updated. This work has been slightly delayed due to other work pressures but it is still our intention to have it finalised and approved during 2017/18.

- 5.5 We also participate in the Scottish Local Authorities Investigators Group. We have developed a draft Information Sharing Protocol which can be used by all Scottish Local Authorities to facilitate the sharing of information between Authorities for the purpose of the prevention and detection of fraud. In addition, we are working with this group to develop a suitable format for collating the results obtained by all Local Authority Fraud Teams to enable benchmarking.

6. External Quality Assessment

- 6.1 Our External Quality Internal Audit Assessment was undertaken by West Lothian Council and reported upon during 2016/17. Two of the improvement actions are complete and we are currently progressing the other two improvement actions which were raised during this review.

7. Scottish Local Authorities Chief Internal Auditors' Group

- 7.1 We are continuing to participate in this group.

8. Audit Management System

- 8.1 Our new audit management system has now been developed satisfactorily to enable us to record the work undertaken for all planned engagements and prepare reports for management. We are still working with the supplier to enable the automatic preparation of our performance measurement data and our next task is to finalise how contingency and investigative work will be recorded within the system.

9. Local and National Initiatives

- 9.1 Internal Audit are involved in the work of the Council's Integrity Group. We assisted on the training provided to members in September 2017 on the roles and responsibilities of this group. Work is underway on the corruption and fraud risks identified by services to determine whether any further action is required to mitigate these risks.
- 9.3 We continue to be involved in the management and security of the Council's information and we have representation on the Information Security and Information Management Governance Groups.
- 9.4 The Counter Fraud Team are continuing to work on the matches which have arisen from participation in the National Fraud Initiative. The work has been split between the Council Services and the Counter

Fraud Team, with the Chief Auditor having overall responsibility for ensuring the appropriate investigations into the results are undertaken and that the outcomes are recorded.

- 9.5 Internal Audit continue to have an ongoing involvement in the new Enterprise Resource Planning Project with the Chief Auditor participating in the Project's Business Design Authority.

Implications of the Report

1. **Financial** - The Council has in place arrangements to recover the any overpayments identified from the work of the Counter Fraud Team and the National Fraud Initiative.
2. **HR & Organisational Development** - None
3. **Community Planning – Safer and Stronger** - effective internal audit is an important element of good corporate governance.
4. **Legal** - None
5. **Property/Assets** - None
6. **Information Technology** - None
7. **Equality & Human Rights** - None
8. **Health & Safety** – None
9. **Procurement** - None
10. **Risk** - The progress and performance reported relates to the delivery of the risk-based internal audit plan and the mitigation of the risk of fraud and error.
11. **Privacy Impact** – None
12. **COSLA Implications** - None

Author: Karen Campbell – 01416187016



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

On: **06 November 2017**

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

Heading: **Strategic and Corporate Risk Registers 2017, Midyear Report**

1. Summary

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

2. Recommendations

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

- 3.1 At the midyear review of the registers there has been good progress made in the control and management of the identified risks.
- 3.2 No new risks have emerged that were not anticipated as part of the process to revise the risk registers earlier in the year and the overall strategic and corporate risk profile remains unchanged from that reported to the board in June.

Evaluation:	Low	Moderate	High	Very High	Total
Strategic Risks:	0	00	07	01	08
Corporate Risks:	0	03	07	01	11

3.3 The council continues to apply good risk management activity that is proportionate to the levels of risk.

3.4 Top risks

The top risks for the council are as those presented to Board in June and as shown in the tables below. It is worth noting however that a piece of work will commence in the next few months to look at how new risks may be identified or risks be amended to reflect the new Council Plan approved by Council in September.

TOP STRATEGIC Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Poverty levels in Renfrewshire	04	05	20	Very High
2) Opportunity Management - Key Regen. Outcomes	03	05	15	High
3) Opportunity Management - Key Cultural & Heritage Outcomes	03	05	15	High
4) Disrupting the pattern that exists between poverty and attainment	03	05	15	High
5) Community Safety & Public Protection	03	05	15	High

TOP CORPORATE Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	05	05	25	Very High
2) Asset Management	03	05	15	High

3.5 The following paragraphs provide a brief update on activity over recent months relating to each of the top areas of risk. Each update has been submitted by the relevant Head of Service.

(1) Poverty levels in Renfrewshire

Key projects within the Tackling Poverty Programme have been extended until the end of the financial year 2017/18. Evaluations are now being reviewed and an overarching evaluation report is being produced. An event was held in March 2017 to disseminate learning from Renfrewshire's approach to other local authorities and public bodies. The current Tackling Poverty Strategy runs to September 2017. Projects within the programme continue to be delivered on time and within budget. Governance arrangements for the programme have been streamlined with a project board overseeing the delivery. The Tackling Poverty Programme was shortlisted as a finalist for 'Programme of the Year' in the Association of Project Management Awards 2017, and the results are announced on the 20th November 2017.

(2) Opportunity management/ key regeneration outcomes

This risk pulls together the various regeneration activities being progressed, including the City Deal Programme, the reimagining of Paisley's Museum, the new Learning & Cultural Hub at No22 High St, improvements to our Town Centres, our targeted approach to the regeneration of specific communities, the building of new homes and the encouragement of additional development and investment into

Renfrewshire. All high profile regeneration programmes/ projects 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. Recent progress includes the completion of the Russell Institute restoration (building now fully operational), submission of the final bid for UK City of Culture 2021 and approval by HLF of the Round 1 bid for the Paisley Museum project.

(3) Opportunity management/ key cultural and heritage outcomes

This risk deals with the implementation of the key aspects of the Paisley Town Centre Heritage Asset Strategy, Paisley's Town Centre Action Plan as well as the progress with the Paisley bid for UK City of Culture in 2021. All high profile cultural and heritage programmes/ projects 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.

(4) Disrupting the pattern that exists between poverty and attainment

Renfrewshire's Attainment Challenge strategy has increased in pace, with additional staff now in post and workstreams established. Specific work is underway in literacy and numeracy, in supporting the transition from P7 to S1, to improving the use of management information to inform policy and practice, and in developing the Senior Phase curriculum. Schools have agreed their plans for the Pupil Equity Fund and are being supported to manage the implementation of these. Attainment data on school leavers will not be available until the end of 2017 but initial cohort data for the 2016/17 exam diet shows improved attainment in key areas.

(5) Community safety and public protection

Environment & Communities continue to lead on the Public Protection agenda whilst working with other stakeholders including Police Scotland, Scottish Fire and Rescue and other Council services. Key groups including the Renfrewshire Community Protection Chief Officer Group, the Community Safety and Public Protection Steering Group, the Council Integrity Group and the CONTEST (Prevent) group are well established to monitor and strategically drive the Public Protection Agenda.

Exercise Testing (Agora Archway), the 24 hour operation of the CCTV Operations Room and close liaison with partners will ensure that people that live, work and visit Renfrewshire are safe.

The protection of vulnerable people remains a priority for the council and its partners. This work continues to be overseen on a joint basis by Renfrewshire Adult Protection Committee and Renfrewshire Child Protection Committee, whilst services also work on a partnership basis to ensure that people with convictions are managed safely and effectively to reduce the risk of harm in our communities.

(6) Financial Sustainability

The Council has well established procedures and processes in place to monitor the short term (current financial year) financial sustainability of both revenue and capital budgets. This monitoring is facilitated via the estimates preparation process, the budgetary control system, associated financial orientated reports to policy boards and the monitoring of subsequent management action required to achieve a balanced budget or deliver on capital projects.

The medium to longer term financial sustainability is also actively addressed by the Council. The Director of Finance and Resources prepares a Financial Outlook Report which is presented to Council each year.

The Financial Outlook report follows best practice and highlights to Council a number of factors such as national policy changes, the projected local and national economic conditions together with an assessment of changes in social policy. The report takes these medium to longer term exposures and recommends mitigation strategies to ensure the Council remains prepared and resilient to such factors.

(7) Asset Management

In 2016/17 this risk was titled facilities and environmental infrastructure but it was updated for 2017 to be more inclusive of the different types of assets that the council requires to manage. The risk therefore encompasses workforce development, estates management (Property Services), facilities management (inspection, maintenance and repair), roads, bridges and lighting, ICT infrastructure and fleet management.

Now having received Audit Scotland's Best Value Assurance Report for Renfrewshire Council the risk and associated actions will be reviewed again to ensure that it aligns with the findings of the report.

3.6 Progress against linked actions

In relation to the 17 corporate risks, there are currently 92 linked actions to be undertaken. Of these, 46 are due for completion by the end of the financial year, where others have a longer timescale for completion.

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

- ✔ 11 or 24% of the actions have been completed,
- ▶ 35 or 76% are progressing as planned, and
- 0 actions or 0% have not yet been completed within the timescale anticipated.

3.8 It should be noted that actions prefixed by "SRR or CRR" exist only for the benefit of reducing or containing the strategic or corporate risks or auditing arrangements for managing risks, whereas actions with any other prefix reflect improvement activities that lie within the services'

improvement plans that have been linked through to the risk registers for completeness where they have a knock on benefit to the related risk.

- 3.9 The Corporate Management Team is responsible for monitoring the Strategic Risks and the Corporate Risk Management Group monitors the corporate risk register on a quarterly basis on behalf of the Corporate Management Team.

Implications of the Report

1. **Financial**
The Corporate Risk Management Group (on behalf of the Corporate Management Team), considers that recurring costs associated with the measures in place for each risk are proportionate to the level of risk, as are the costs relating to actions underway.
2. **HR & Organisational Development**
Risks relating to HR and Organisational Development issues are reflected within Appendix 1.
3. **Community Planning**

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

Any risks relating to the Community Planning themes are reflected within Appendix 1.
4. **Legal**
Any risks that may have legal implications are reflected within Appendix 1.
5. **Property/Assets**
Any property-related risks are reflected within Appendix 1.
6. **Information Technology**
Any risks relating to ICT are reflected within Appendix 1.
7. **Equality & Human Rights**
Any risks relating to Equality and Human Rights are reflected within Appendix 1. There are no direct E&HR implications in relation to the provision of this progress report.
8. **Health & Safety**
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement**

Any risks relating to procurement are reflected within Appendix 1.

10. **Risk**
As per the subject content of this paper.
11. **Privacy Impact**
No implications in the provision of this report.
12. **COSLA Implications**
No implications in the provision of this report.

List of Background Papers

(a) Background Paper: Strategic & Corporate Risk Registers, April 2017

The foregoing background papers will be retained within Finance and Resources for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Risk Manager, Risk Manager, 0141 618 7019, Karen.Locke@renfrewshire.gov.uk

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Appendix 1a - Strategic Risk Register

Report Type: Mid Year Risk Report
Report Author: Risk Manager



Priority 1: A Better Future - PLACE Objective 01 Driving Physical & Economic Regeneration						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.01.01 Opportunity Management - Key Regeneration Outcomes Context: *City Deal and making sure local people & business benefit as much as possible from these. *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. *Using new approaches to attract new development and investment.	All high profile regeneration programmes/ projects 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.	Director of Development & Housing Services	City Deal *All projects will be managed using the Council's established Project Management Framework and the City Deal Assurance Framework. *The Glasgow City Region Finance Group meets four-weekly to review the financial monitoring and all financial matters in relation to the Programme. *Internal governance continues via the City Deal Programme Board (chaired by the Chief Executive), via the Joint CE Steering Group for the Airport Access Project (AAP) and the Leadership Board. *Dedicated City Deal Project Team with Project Director and relevant experience of delivering major infrastructure projects in place and making good progress. *Outline Business Cases for Renfrewshire Projects were approved at the Councils Leadership Board on 30 November 2016 prior to submission to and approval by the City Deal Cabinet on 12 December 2016. *Individual risk registers are in place for each project and are formally reviewed on a monthly basis. <u>Town Centre Regeneration</u> *All regeneration projects are managed using the Councils Project Management Framework. *Regeneration projects are reported through a Programme Board chaired by the CE and Council Boards. *Progress against key milestones, and funding and other risks are regularly monitored. *A Strategic Economic Framework and 10 year vision and action plan for Paisley Town Centre was approved by the Council's Leadership Board in November 2016. *Funding of key regeneration projects supported through applications to appropriate funding sources. *A revised bid for funding was submitted to the HLF in Nov 2016 for the redevelopment of Paisley Museum. *£4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre (TH/CARS2 project). *Preparation and consultation on Town Centre Strategies for Linwood, Johnstone, Erskine, Braehead and Renfrew completed. <u>Community Regeneration</u> The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include: *Paisley West End – Housing regeneration proposals approved for consultation with	03	05	15 High

			tenants and residents by Leadership Board in February 2017, detailed proposals and business case to be developed for Regional Sports Facility. *Ferguslie Park Regeneration Plan – Draft masterplan approved for consultation by Council in April 2017. *Orchard Street housing regeneration – In March 2017 the HaCS Policy Board authorised Housing Renewal Area Designation Order. *Johnstone Castle – HaCS Policy Board authorised promotion of CPOs in January 2017 to facilitate Council housing new build development. *Bishopton – around 2,500 homes being provided in a new community on brownfield site which will also contain education and community facilities. Approx. 25% of the new housing will be in the affordable category. <u>House building and encouragement of investment</u> *Setting ambitious targets for new build housing in Renfrewshire. *Promotion/Marketing of Renfrewshire as a place to invest eg. attending MIPIM conference with Invest in Glasgow team, March 2016, and preparation of an Investment Prospectus for Renfrewshire in 2017. * Draft Strategic Housing Investment Plan (SHIP) was approved for consultation in August 2016 and updated in September. This was presented to Board in November and submitted to the Scottish Govt. *Main Issues Report for LDP 2 was approved for consultation in January 2017 and concentrates on the main changes, emerging issues and key opportunities for future development in Renfrewshire. *Review of Council’s land and property assets to facilitate new development and commencing discussions with CPP partners on joint approaches to property solutions. * The Local Housing Strategy 2016-2021 was approved by the HaCS Board in January 2017 following consultation. <u>Projects</u> The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include:- *Paisley West End – Housing regeneration proposals approved for consultation with tenants and residents by Leadership Board in February 2017, detailed proposals and business case to be developed for Regional Sports Facility. *Ferguslie Park Regeneration Plan – Draft masterplan approved for consultation by Council in April 2017. *Orchard Street housing regeneration – In March 2017 the HaCS Policy Board authorised Housing Renewal Area Designation Order. *Johnstone Castle – HaCS Policy Board authorised promotion of CPOs in January 2017 to facilitate Council housing new build development. *Bishopton – around 2,500 homes being provided in a new community on brownfield site which will also contain education and community facilities. Approx. 25% of the new housing will be in the affordable category.			
Action Codes	Linked Actions	Latest Note	Assigned	Due Date	Status	
CRR16.01.01a	Internal Audit to review the co-ordination and oversight arrangements for external funding applications	Draft report has been issued to the Service.	Chief Auditor	31-Jul-2017		
SRR17.01.01a	Audit Plan - Review of contract management arrangements	Fieldwork ongoing	Chief Auditor	30-Jun-2018		

SRR17.01.01b	Audit Plan - Reviews of compliance with external funding grant conditions	SPT grant certification work complete. Fieldwork ongoing for Leader Grant.	Chief Auditor	30-Jun-2018	
SRR17.01.01c	Audit Plan - Working with the appointed internal auditors for City Deal	Regular meetings continue to be held with the appointed internal auditors for city deal.	Chief Auditor	30-Jun-2018	
DHRR17.01.01a	Deliver the Paisley Town Centre Action Plan 2016-2026.	Engagement continues with key stakeholders.	Head of Regeneration	31-Mar-2018	
DHRR17.01.03a	Continue, with partners, to develop the role of the Airport Investment Area Steering Group to maximise the economic role of the Investment Area.	Following its establishment in August 2016, the GAIA Steering Group (involving Scottish Enterprise, Glasgow Airport, Glasgow City Council and Glasgow and Renfrewshire Chambers) continues to meet on a monthly basis. Renfrewshire Council are represented on the Delivery Group for the National Manufacturing Institute for Scotland (NMIS) for which GAIA is considered to be a strong contender for the location of NMIS. Glasgow City Council colleagues exhibited GAIA collateral at the Expo Real (international trade fair for real estate and investment) in Munich from 4th to 6th October 2017. Information was also submitted to Department for International Trade for consideration of GAIA being included in a national prospectus to attract capital investment to Scotland.	Head of Regeneration ; Project Director - City Deal	31-Mar-2018	
DHRR17.01.03b	Submit Planning Applications for GAIA & CWRR	Following statutory consultation in May 2017, the planning applications for both CWRR & GAIA projects were submitted on 04 July 2017. The planning application for GAIA is currently being assessed by the planning authority, with a determination expected by early November. Following a request made by Renfrewshire Council, in agreement with Glasgow and West Dunbartonshire Councils, the Scottish Government has now confirmed that Ministers will determine the planning application for the Clyde Waterfront and Renfrew Riverside project. The Reporter appointed by the Scottish Government will outline the timetable for the process to determine the planning applications.	Project Director - City Deal	30 June 2017	
DHRR17.01.03c	Commence Procurement Process for GAIA & CWRR	A Contract Notice for the Design and construction works for the Glasgow Airport Investment Area (GAIA) Project to the Official Journal of the European Union (OJEU) for publication on 4 September 2017. The Council published the Invitation to Participate documents through the Public Contract Scotland tender system on 6 September 2017. The requests to participate received will be assessed with invitation to tenders expected to be issued in November, subject to a positive outcome to the planning application. Invitation to Participate documents are expected to be published for the CWRR project in December with Invitation to tenders expected to be published in February 2018, subject land acquisition and planning outcomes.	Project Director - City Deal	31 March 2018	
DHRR17.01.02a	Progress consultation on Paisley West End proposals with tenants and residents	The Paisley West End Regeneration Masterplan was the subject of an extensive public consultation exercise in summer 2017. The final version of the Masterplan was then approved by Leadership Board in September 2017. A further report on the financial implications of delivering the Masterplan will be reported to Board in December 2017 ahead of a development partner being procured to implement the Masterplan with the Council.	Head of Regeneration	31-Mar-2018	
DHRR17.01.02b	Develop detailed proposals and business case for the Regional Sports Facility	In June 2016 Renfrewshire Council took the decision to consider options for the development of new sports facilities at St James Park, Paisley. A report to the Leadership Board in September 2017 outlined a proposal for significantly redeveloped facilities at the Park, alongside facilities that will allow for the staging of a wider variety of large scale outdoor events. The Park has been identified in the City of Culture bid as a key outdoor venue for such events.	Head of Regeneration	31-Mar-2018	

DHRR17.01.02c	Consult on the Draft masterplan for Ferguslie Park Regeneration	Officers have been asked by Council to develop further options for residential development and investment in the Tannahill area of Ferguslie Park. These options will be developed and presented to Board early in 2018.	Head of Regeneration	31-Mar-2018	
DHRR17.01.02d	Promote the use of CPOs to facilitate Council housing new build development in Johnstone Castle	One of the two CPOs has been successfully promoted by the Council and confirmed by the Scottish Government.	Head of Regeneration	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.01.02 Corporate Events Management	Context: Delivering a range of diverse and exciting events to increase visitor numbers to our town centre, deliver positive economic and social impact and challenge negative perceptions: *Beer and Food Festival – 19-22 April 2017 *Sma Shot Day – 1 July 2017 *British Pipe Band Champs – 20 May 2017 *Doors open Day- 3-4 September 2017 *The Spree Festival- 13-21 October 2017 *Scottish Album of the Year Award – 28 June 2017 *Halloween Festival *Fireworks Display *Christmas Lights On Events	Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level	Head of Marketing and Communications	Top controls: *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. *Events Guidance Manual in operation *Considerable pre-event liaison with in house teams and the emergency services *The events team and in-house specialists have considerable experience and a good track record in organising and managing events *Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked. Other controls: Accredited and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events.	03	04	12 High
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status		
Risk tolerated – no new developmental actions							

Priority 1: A Better Future - PLACE
Objective 02 Building on our Culture & Heritage

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.02.03 Opportunity Management - Key Cultural & Heritage Outcomes <u>Context:</u> *Developing the bid for Paisley to be the 2021 UK City of Culture *Implementing the Renfrewshire Tourism Framework and action plan. *Delivering the Paisley Town Centre Heritage Asset Strategy *The Paisley Museum and Museum Store developments	All high profile cultural and heritage programmes/projects 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.	Director of Development & Housing Services	<u>City of Culture</u> *Partnership Board and Executive Group set up to co-ordinate the Bid process in 2015. *Engagement with local community and stakeholders to escalate during 2016. *Culture Events and Heritage Fund launched Feb 2016 for community groups to apply for financial support for building cultural capacity. *Multiple cross stakeholder groups established and progressing spring 2016. *Various engagement and stakeholder opportunities have been held. *Programme producers have been appointed to actively pursue funding in development phase. <u>PITCHAS</u> *Paisley Heritage Asset Strategy approved in January 2014 *Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. *The £5m refurbishment of the iconic Russell Institute will be completed in summer 2017. *£4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre. *Retail incubator established in Paisley Town Centre with the 2nd intake of start-ups due to move in late 2016. *Building purchased at No.22 High Street, Paisley and £1.5m RCGF funding secured for Paisley Library relocation project <u>Museum Project</u> *The project will be managed using the Council's established Project Management Framework. *A revised bid for funding was submitted to the HLF in Nov 2016 for the redevelopment of Paisley Museum. *A detailed risk register has been prepared for this project and this is updated regularly and reported to the Project Board. This includes the management of risks relating to community engagement, funding availability, the exhibiting of collections and the complexity of the buildings among many others. *Scottish Gov't RCGF grant of £1.5m approved in March 2017.	03	05	15 High

Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
SRR17.01.01a	Audit Plan - Review of contract management arrangements	Fieldwork ongoing	Chief Auditor	30-Jun-2018	
SRR17.01.01b	Audit Plan - Reviews of compliance with external funding grant conditions	SPTE grant certification work complete. Fieldwork ongoing for Leader Grant.	Chief Auditor	30-Jun-2018	
CE.SIP.17.01.02	Implement the Renfrewshire Tourism Strategy	Established an internal tourism working group bringing together regeneration, employability, culture, tourism, marketing and community and environment teams. A Tourism Officer has been appointed to the marketing and communications team and is leading the following initiatives: • Paisley's bid to SE Destination Development Fund to secure funding for the development of a textile heritage trail and a number of sector development projects (through to final round); • SE funding secured for Paisley Welcomes customer service and place training programme; • An innovation workshop to support third sector to develop tourism product (including volunteer-led attractions); • Draft tourism strategy sector consultation - the new tourism strategy is being produced using a collaborative approach. Consultation will be undertaken with key Council departments as well as national agencies and Renfrewshire tourism businesses.	Head of Marketing and Comms	31-Mar-2018	
CE.SIP.17.01.04	Launch a destination brand to promote Paisley and the wider region as a great place to live, work and visit	Brand strategy completed in March 2017. Brand creative developed and will launch in December 2017 to coincide with the UK City of Culture 2021 decision. New visitor website in development, which will also be launched in December 2017.	Head of Marketing and Comms	31-Mar-2018	
CE.SIP.17.01.05	Deliver the UK marketing and PR campaign Paisley for UK City of Culture and key influencer strategy	Campaign ongoing and continuing to reach local, national and international audiences.	Head of Marketing and Comms	30-Nov-2017	
FRSIP17.01.02	Deliver on 2021 Infrastructure programme	Work is ongoing to deliver the 2021 infrastructure programme	Head of Prop. Services	31-Mar-2020	
DHRR17.02.05a	Progress the Proposed new Paisley Lending Library in town centre.	No 22 High Street, Paisley purchased by Council June 2016. Initial site investigations and surveys completed. Feasibility study of development options are being prepared through Hub West. Detailed risk register prepared for the project.	Head of Regeneration	31-Dec-2020	
DHRR17.02.05b	Prepare for the Museum store project official opening in October 2017 when the project is completed.	The Museum store facility is now completed. The date of opening has been slightly delayed due to the issues involved in relocating the collections from their existing storage location. The store will now open to the public in early December 2017.	Head of Regeneration	31 Oct 2017	
DHRR17.02.05c	Identify temporary accommodation and appropriate funding for the decant/recant of the Lending Library.	Options appraisal being undertaken on potential locations for temporary library within Paisley Town Centre.	Head of Regeneration	31-Jun-2018	

Priority 1: A Better Future - PLACE Objective 03 Protecting the Public						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.03.04 Community Safety & Public Protection Context: Public protection and community safety is a wide ranging agenda relating to the protection of vulnerable people, communities, businesses and organisations. What makes people vulnerable changes over time and through individual circumstances - and can sometimes occur unexpectedly as a result of a civil contingencies emergency or event. However there are broad risks that can and should be foreseen and planned for. These include being very young, ill or very old, having limited or no positive support from family or friends, being financially vulnerable or being subject to anti-social behaviour, crime, violence or discrimination. With the best systems and procedures in place this risk is always possible given human nature and the unpredictability of some scenarios. Some of the activity around this risk includes: &sect; Supporting Paisley First to maintain Purple Flag status and improve on recommendations from external audit. &sect; Reducing crime and unintentional harm. &sect; Improving perceptions of safety and wellbeing. &sect; Expand the range of activities provided by our successful Street Stuff programme and get more young people involved. &sect; Ensuring the Council respond locally to the risks posed by serious organised crime. Delivering the benefits expected from the new Renfrewshire Community Safety Hub.	The council's community safety and public protection role, delivered within an integrated partnership model is critical to ensuring child and adult protection, and that offending behaviour and community safety services are effectively delivered, or risk of harm to and from individuals may arise.	Director of Children's Services; Director of Community Resources	Top 5 controls: *Multi-agency child and adult protection committees well established, with independent chair in place for both *Community safety and public protection steering group *Chief Officers Group (leaders from all relevant partner agencies meeting on a regular basis to discuss key issues) *Community Safety Hub, tasking and case management arrangements *Procedures developed and implemented across partnerships through the child and adult protection committees and through Community Justice Renfrewshire. Other controls: *Multi Agency Risk Assessment Conference (MARAC) *Development of national Missing Persons Strategy.	03	05	15 High
Action Codes	Linked Actions	Latest Note		Assigned	Due Date	Status
CRR16.03.04a	Internal Audit to review arrangements for adults with incapacity	Draft report has been issued to the service		Chief Auditor	31-Jul-2017	
CRR16.03.04b	Internal Audit to review the civil contingencies unit	Draft report has been issued to management.		Chief Auditor	30-Jun-2017	
CRSIP17.01.03.06	Lead on the public protection agenda incorporating requirements from national legislation.	The Public Protection Agenda is critical in ensuring that Renfrewshire is a safe place to live, work and visit. Through the Community Safety & Public Protection Steering Group and reporting to the Renfrewshire Community Safety Chief Officers Group, Environment & Communities drive the Public Protection Agenda in close partnership with Police Scotland, Scottish Fire & Rescue, Children's Services and the HSCP and other key partners. Over the past year significant progress has been made. Local strategies have been developed to target Serious and Organised Crime, Counter Terrorism and are based on the national agenda set by the UK and Scottish governments. The Renfrewshire Community Safety Partnership has developed its approach to CCTV with 24 hour monitoring and a focus on crime prevention, missing persons and homelessness. Work with the Gender based violence group and Police Scotland has led to the development of best practice MARAC (high risk victims of domestic abuse) processes. The development of an		Regulatory & Enforcement Manager	31-Mar-2020	

		integrated enforcement policy has ensured all regulatory and enforcement services are targeted on supporting the development of legitimate businesses and ensuring the safety and protection of local communities.			
CRSIP17.01.03.07	Develop and deliver phase 2 of the Renfrewshire Community Safety Partnership hub.	Work continues to develop the Community Safety Hub and realign services to maximise the service. Over the past year there has been progress in a number of key areas. The CCTV operations centre based in the Renfrewshire Community Safety Partnership Hub is now monitored 24 hours a day and has targeted the development of out of hours services focussed on missing persons and homelessness. The Council has now taken on data ownership and control of all images collected through the public space CCTV system. Extensive training has focussed on ensuring compliance with data protection and RIPA requirements and the service received a clean audit from the OSC (Office of Surveillance Commissioner). Additional services are now being provided through the Hub including out of hours calls (including the £10.7m Fingal Pump station in Renfrew) and winter maintenance call/service. The Renfrewshire Community Safety Partnership Hub has been successfully used as the JACC (Joint Agency Control Centre) for a number of town centre events and activities.	Regulatory & Enforcement Manager	31-Mar-2020	
CRSIP17.01.03.08	Developing community interventions that build community resilience, improve safety and security and reduce victims of harm through improved intelligence sharing, partnership working and diversionary activities.	The Daily Tasking process is well embedded with 14 key partners attending on a regular basis. Public Protection leads on reviewing incidents over the previous 24/48 hours and disposing actions to the relevant agencies and partners, dealing with approximately 500 incidents per month. The improved intelligence shared via an Information Sharing Protocol allows earlier intervention within the communities to safeguard and reduce victims of harm. The Building Safer Greener Communities programme is now targeting its third area (Erskine) having successfully delivered interventions in Ferguslie and Gallowhill.	Regulatory & Enforcement Manager	31-Mar-2020	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.03.05 Serious Organised Crime Context: *Serious and Organised Crime is a threat to national security *It costs the UK more than £24 billion a year *The council needs to protect its citizens and its business resources	The council implements a range of measures to prevent and detect serious organised crime and should measures not be implemented and monitored effectively there could be increased threat to resources and public security.	Director of Community Resources	Top 5 controls *Single Point of Contact appointed to promote awareness of serious organised crime across the Council and to work closely with Police Scotland and internal audit. *The Renfrewshire Community Safety and Public Protection Steering Group has strategic responsibility for developing and implementing a multi agency approach to tackling the threats posed by serious organised crime *The Renfrewshire Council Integrity Group has responsibility for the Councils approach to dealing with the risks posed by serious organised crime and corruption *The Integrity Group has worked with Police Scotland and Internal Audit to produce a vulnerability assessment and to develop an action plan with a focus on governance, insider threat, workforce support, procurement, ICT and cyber security. *Key Council fraud and corruption policies are kept up to date and fully implemented.	03	04	12 High
Action Codes	Linked Actions	Latest Note				
CRSIP17.01.03.10	Develop and deliver a strategy for how the Council will respond locally to the risks posed by serious organised crime.	Renfrewshire Council's Integrity Group sets the Council's strategy on reducing the threat posed internally from Serious Organised Crime and Corruption. The group membership encompasses representation from key Council Services, with Police Scotland acting in an advisory capacity. The Integrity Group have undertaken an internal assessment of the risks posed to the Council and its services by fraud, corruption and organised crime. This assessment identified potential areas for action. These actions were captured as part of a Renfrewshire Integrity Action Plan, which is being used as an internal document to focus the work of the Integrity Group on mitigating vulnerabilities in areas of greatest risk. The key themes currently focussed upon in the Integrity Action Plan are: • Governance • Insider Threat • Workforce Support • Procurement • ICT & Cyber Security The Action Plan is a live document and the Integrity Group regularly review the progress of existing actions, as well as horizon scanning to identify any further actions or improvements.	Assigned Regulatory & Enforcement Manager	Due Date 31-Mar-2018		

Priority 2: A Better Future - PEOPLE
Objective 05 Reducing the level and impact of Poverty

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.05.06	Poverty levels in Renfrewshire	The council is committed along with its partners to tackling poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.	Head of Policy & Commissioning	Top 5 controls: *Tackling Poverty strategy published in October 15 *Council funding allocated to progress range of targeted initiatives and interventions *Robust programme management processes in place *Governance structure agreed for reporting progress and budgetary monitoring *Annual report to be submitted to Leadership board in June 2016 Lead Officer working with services to progress long term sustainable options for tackling poverty post cessation of the funding in September 2017. *Exit strategy for the programme developed and presented and approved by the CMT in January 2017	04	05	20 V.High
<u>Context:</u> The council is committed along with its partners to tackle poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects. An extensive programme of work is being progressed locally through a range of projects and initiatives and the lead for delivering on the project is held by the Chief Executive's Service. The programme will run until the of March 2017 and a critical role of this service will be to ensure that projects are completed on time and on budget and crucially that the positive benefits of these programmes are realised.							
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CE.SIP.16.02.05	Deliver communications activity which informs and engages citizens around the Tackling Poverty Programme, and that shares learning with partners locally and nationally	Citizens and partners have been engaged with in line with the programme's communication strategy. Programme's key achievements and good practice examples have been widely showcased.			Strategic Partnerships and Inequalities Manager	30-Sep-2017	
CE.SIP.17.02.06	Provide strategic leadership for the delivery of the overarching Tackling Poverty Strategy	Key projects within the Tackling Poverty Programme have been extended until the end of the financial year 2017/18. Evaluations are now being reviewed and an overarching evaluation report is being produced. An event was held in March 2017 to disseminate learning from Renfrewshire's approach to other local authorities and public bodies. The current Tackling Poverty Strategy runs to September 2017.			Strategic Partnerships and Inequalities Manager	31-Mar-2018	
CE.SIP.17.02.07	Manage the delivery of projects within the Tackling Poverty Programme	Projects within the programme continue to be delivered on time and within budget. Governance arrangements for the programme have been streamlined with a project board overseeing the delivery. The Tackling Poverty Programme was shortlisted as a finalist for 'Programme of the Year' in the Association of Project Management Awards 2017, and the results are announced on the 20th November 2017.			Strategic Partnerships and Inequalities Manager	30-Apr-2018	

CE.SIP.17.02.08	Continue service improvements and delivery of long term outcomes as part of an ongoing approach to tackle poverty	Engagement with services on updating and developing the exit strategy for the Tackling Poverty programme, along with a programme wide evaluation document which summarises the key outcomes, achievements and learning from across the programme.	Strategic Partnerships and Inequalities Manager	31-Oct-2017	
CE.SIP.17.02.09	Deliver approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms	A programme of preparatory work is now underway to prepare for the roll-out of Universal Credit full service, due to go live in Renfrewshire in May 2018. Significant work has also been undertaken to assess the potential financial and service impacts of welfare reforms.	Strategic Partnerships and Inequalities Manager	31-Mar-2018	
CE.SIP.17.02.10	Deliver a range of interventions to support financial inclusion across Renfrewshire	A range of activities continue to be underway including supporting Renfrewshire's Advice Partnership, an Affordable Credit group and the Credit Union Forum. The recommissioning of external advice services in the area is underway and due to be completed by the end of this financial year. Angela Constance launched the Scottish Government's funeral payments scheme in Renfrewshire in recognition of Renfrewshire's leadership in tackling funeral poverty in partnership with our network of Credit Unions.	Strategic Partnerships and Inequalities Manager	31-Mar-2018	
FRSIP17.05.05	Deliver Advocacy Services to mitigate fuel poverty		Head of Property Services	31-Mar-2020	
FRSIP17.05.06	Provide effective support to people affected by the introduction of Universal credit Full Service from May 2018 onwards	Welfare Reform Group is overseeing the planning and preparations for the introduction of Universal Credit across Renfrewshire in May 2018. Detailed planning sessions have been scheduled during October and an information sharing event with partners is planned for November 17.	Head of Customer & Business Services	31-May-2018	
FRSIP17.05.07	Monitor the progress of welfare reform and put in place effective controls to ensure the council is prepared for the impacts	An initial Impact Assessment of the impact of universal credit on council has been carried out. Actions planned to minimise the impact on revenues and the workforce.	Head of Customer & Business Services	31-Mar-2020	
FRSIP17.05.08	Continue to deliver effective support through the Claimant Support Officer and Energy Advice Tackling Poverty projects Renfrewshire	Claimant Support Officers continue to provide advice on Council Services to Claimants from the three job centres in the area (Paisley, Renfrew and Johnstone). Since the start of the financial year, they have supported 600 claimants with issues ranging from Council Tax Reduction, Housing Benefit Advice and signposting to other council services eg housing. The team are now focussed on working with DWP to define the future operating model, taking into account the roll out of Universal Credit in May 2018.	Head of Property Services	31-Mar-2018	

Priority 2: A Better Future - PEOPLE
Objective 06 Raising Attainment and Closing the Attainment Gap

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.06.07 Disrupting the pattern that exists between poverty and attainment Context: *We need to raise attainment for all while at the same time disrupt the patterns that exist between poverty and attainment: - deliver on the National Improvement Framework (NIF) priorities - deliver on the agreed priorities of the Renfrewshire Attainment Challenge - effective use of pupil Equity Fund for targeted groups of pupils *We need improved analysis of data to tell us how individual schools are performing and identify where poverty-related gaps in attainment are closing. *Appropriate governance arrangements are in place to ensure continued funding for Attainment Challenge and Pupil Equity Funding *Accountability to Education Scotland and Scottish Government for continued funding	Attainment is a highly complex subject where outcomes are influenced by many factors. We need to better understand these complexities and target our resources and efforts to disrupt the pattern in the relationship between poverty and attainment. Otherwise, there is a risk that (1) we don't raise attainment or break the poverty cycle, OR (2) we raise attainment but widen the poverty-related attainment gap, meaning that those younger people find it more difficult to compete with their peers and move into positive and sustainable destinations/work. There is an additional and high reputational and financial risk associated with accountability and responsibility for targeted government funding.	Assistant Director (Education)	Control Measures *Establishment of improved quality assurance framework to ensure schools are working towards the delivery of the NIF priorities *Through the monitoring, tracking and analysis of relevant data we can identify targeted groups to report on poverty related attainment gaps *Quarterly reporting to the Scottish Government on progress relating to the Attainment Challenge maintains focus *Establishments and services engage in self-evaluation to improve learning and teaching *Governance arrangements for continued funding for Attainment Challenge and Pupil Equity Funding	03	05	15 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
SRR17.06.07a	Audit Plan - Review of the deployment, accountability and responsibility for targeted funds	Work to commence in the latter part of the year.		Chief Auditor	30-Jun-2018	
SRR17.06.07b	Appropriate progress throughout session 17/18 on agreed priorities highlighted on Renfrewshire's Scottish Attainment Challenge bid which has been submitted to Scottish Government.	The Attainment Challenge strategy has increased in pace significantly due to key personnel being recruited and in post. As an authority we have developed short, medium and long term outcomes for each project. We are able to present initial evidence demonstrating the positive impact that projects are having on pupils, families and communities in Renfrewshire.		Assistant Director (Education)	31-Mar-2018	
SRR17.06.07c	Schools to make appropriate progress on priorities highlighted in individual Pupil Equity Funds	All PEF plans were subject to review by education managers and through peer review sessions with head teachers to ensure that plans were adhering to the conditions set out in the national guidance. An education manager has now been allocated PEF coordination within their remit and has begun the process of looking at the plans in the context of recruitment and procurement and the articulation with the priorities of the attainment challenge. Links have also been made with our corporate services business support to ensure schools are well supported in terms of recruitment and the management of their PEF budget. It is likely that plans will be amended through the course of the year if interventions are found to have minimal impact or if issues with recruiting appropriate staff arise.		Assistant Director (Education)	31-Mar-2018	

CHS.SIP.17.02.01	Develop and implement a strategic vision for learning and teaching within and across Early, Primary and Secondary sectors.	A number of workstreams are progressing on staff professional development with a particular focus on pedagogy. The next stage will be to bring groups of staff together to work towards a consistent approach across all schools and establishments.	Assistant Director (Education)	31-Aug-2018	
CHS.SIP.17.02.02	Develop our approaches to the curriculum in the Broad General Education to meet the needs of all.	Work is underway to continue to improve attainment in literacy and numeracy. The attainment challenge development officers have action plans in place in terms of training programmes and approaches. This session a focus will be on improving transitions for children and young people at P7 and in the early years.	Assistant Director (Education)	30-Jun-2019	
CHS.SIP.17.03.02	Support all establishments in developing effective approaches in the analysis of data to affect improvement in learning and teaching and the quality of care.	Through the Scottish Attainment Challenge we have enhanced our support to establishments in the analysis of data to support planning an improvement. Through 17/18 some of the tasks we will be completing will include: • Supporting the handling and analysis of data at school level; • Better reporting to corporate management team and board on attainment; • Building school 'profiles' to better support the quality assurance process; and • Implementing the new national standardised assessments in P1, P4, P7 and S3.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.03.03	Further develop reporting of management information to inform policy and practice including meeting the needs of the National Improvement Framework.	A data workstream has been developed as part of our approach to the attainment challenge which brings with it enhanced capacity for gathering and reporting data to support equity and excellence in our schools. Also, two research assistants have been appointed to our educational psychology service to assist the service and schools evaluate the impact of interventions which will be made as part of the attainment challenge.	Assistant Director (Education)	31-Aug-2018	
CHS.SIP.17.04.01	Provide high quality education and support to narrow the outcomes gap for children from disadvantaged groups.	A full analysis now exists to allow us to identify where the gaps are, determine baseline figures and therefore enable measures of change as we progress. Significant work is taking place as detailed within the Attainment Challenge planning and reporting.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.04.02	Continue to develop the Senior Phase to ensure appropriate pathways for our young people are giving them the best opportunity to achieve qualifications and awards at the highest level.	Initial discussion and analysis of performance has taken place with all Secondary Heads and deputies to improve understanding of where we are and what steps need to be taken to support improvement. Schools have been asked to reflect this in their planning and this will be followed up through forthcoming attainment visits.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.04.03	Provide children and young people with opportunities to participate in activities which provide a vehicle for wider achievement.	The team continues to target youth work activities to young people in schools and communities and offers a comprehensive youth work programme in support of the action. A recent Youth Assembly enabled young people to identify and focus on key issues and resulted in the creation of a youth commission looking at Bullying and its impacts on Health & Wellbeing.	Assistant Director (Education)	30-Jun-2018	
FRSIP17.06.09	Support early learning and Childcare Workforce to increase funded placements by 2020/21	Children Services will be supported through a key action in their workforce plan.	Interim Head of HR and OD	31-Oct-2017	

Priority 2: A Better Future – PEOPLE/ Objective 08 Improving Care, Health and Wellbeing						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.08.08 Delivering Key Outcomes with Strategic Partners Context: Implementing changes to the governance arrangements of Renfrewshire Community Planning so that community planning partners are supported effectively to take forward any new pieces of partnership work identified by LOIP. All partners can play an effective role in community planning in Renfrewshire and that duplication and overlap with other partnership arrangements are minimised. Undertaking a review of Local Area Committees (LACs) which will result in increased effectiveness of community level governance and engagement from citizens and community organisations: *Expanding the Families First approach *Implementing the Children and Young People Act *Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan *Extending telecare and telehealth services *Support the third sector and community groups to develop and deliver support within their local communities, principally through partnership working with engage Renfrewshire and other key community groups. *Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being	The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.	Head of Policy & Commissioning	Top controls: *monitoring arrangements in place through appropriate boards and joint committees. *mature community planning partnership arrangements, recognised at national level. *Strategic Partnership Agreement in place with University of West of Scotland with others under development *service level agreements in place as appropriate *Community Planning Partnership arrangements ensure we are operating effectively for partners, delivering on the priority outcomes for Renfrewshire and compliance with the requirement of the Community Empowerment (Scotland) Act. *Development of the new Local Outcome Improvement Plan setting out local outcomes with the Community Planning Partnerships will prioritise for improvement by October 2017 *Review of CPP governance arrangements and Local Area Committees will be implemented by October 2017 in order to increase effectiveness at community level and to avoid any duplication of work	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned	Due	Status
SRR17.08.08a	Audit Plan - Audit function of the Integration Joint Board	Annual report presented to Board. Audit work on governance to commence in the latter part of the year.		Chief Auditor	30-Jun-2018	
SRR17.08.08b	Audit Plan - Post implementation review of the health and social care integration arrangements	Work to commence in the latter part of the year.		Chief Auditor	30-Jun-2018	
CE.SIP.17.04.21	Prepare Local Outcome Improvement Plan (LOIP) priorities and linked locality plans	The new Community Plan for Renfrewshire and its associated locality plans have now been prepared with partners and published as required by the Community Empowerment Act. Detailed action plans and performance framework will now be developed through the new Community Planning Governance arrangements.		Strategic Partnerships & Inequalities Manager	31-Oct-2017	
CE.SIP.17.04.35	Implement changes to the governance arrangements of Renfrewshire Community Planning Partnership	The new governance arrangements are now in place, with the Executive Group having met twice and the Oversight Group having met once. The new arrangements will now develop the detailed actions to support the delivery of the new Community Plan. An initial meeting to develop the new Improving Life Chances Board has been set for November, bringing partners together to explore the results of the All Children's Study.		Partnerships Planning & Development Manager	31-Oct-2017	

Appendix 1b - Corporate Risk Register

Priority 1: A Better Future - PLACE Objective 04 Creating a Sustainable Renfrewshire

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.04.01 Asset Management Context: *Organisational and Workforce Development *Estates (Property Services) *Facilities management (inspection, maintenance and repair) *Roads, bridges and lighting *ICT infrastructure *Fleet	If the council's significant assets are not of the right complement or fit for purpose there is a risk around the safety and effectiveness of council services and efficiency of resources.	Director of Community Resources; Director of Finance & Resources	Top 5 controls: <u>*Organisational Workforce and Development:</u> A Workforce Planning Manager and Organisational Development Manager have been appointed and are implementing the Organisational Development Strategy. Regular one to one meetings take place between the Head of HR and Directors to embed a more effective Council wide approach and understanding of workforce planning. <u>*Property services</u> The Corporate Asset Strategy was approved by the Planning and Property Board in August 2015 and this continues to be implemented to ensure that the property assets are managed effectively and efficiently through the provision of relevant management and performance information. The council's Energy Asset Unit provides energy efficiency support for new build projects and monitors the energy efficiency of existing assets. <u>*Facilities Management</u> There is Statutory Inspection guidance that defines roles and responsibilities for inspection and follow-up, and planned statutory compliance inspections of assets are undertaken by trained personnel. <u>*Roads, bridges and lighting</u> Inspection of roads, structures and lighting by trained employees. LED street lighting programme - as well as greatly improved reliability of street lamps across Renfrewshire, the LED conversion programme will save over 60% of energy consumption compared to the current situation and reduce maintenance. All LEDs should be in place during 2017 <u>*ICT infrastructure</u> The new ICT model will support the objective of adopting a commoditised approach to ICT. The establishment of the Partnering & Commissioning function creates an effective interface between the business and ICT provision keeping strategic decision making close to the organisation and always aligned with the Council's objectives whilst pushing out the day to day operational activities to 'world class' expert suppliers. <u>*Fleet</u> Council fleet - efficient vehicles with built in safety technologies	03	05	15 High
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CRR17.04.01a	Audit Plan - Review of housing statutory compliance arrangements	Fieldwork complete, report will be issued to the service shortly.	Chief Auditor	30-Jun-2018		

FRSIP17.01.01	Progress Community Asset transfer applications; this strategy supports the commitments contained in the Community Empowerment Action Plan (CEAP) published by the Scottish Government	To date the Clippens School transfer and Carbrook Street sites have been approved.	Head of Property Services	31-Mar-2020	
FRSIP17.06.10	Provide professional Finance and Property support to deliver the School Estate Management Plan (SEMP)	Support is available on an ongoing basis to the development of future phases of the schools estates strategy in conjunction with Children's Services colleagues; while the existing plan continues to be delivered and monitored	Head of Finance; Head of Property Services	31-Mar-2020	
FRSIP17.10.30	Implement recommendations from the Council's Best Value Assurance Report	The BVAR was approved by Council on 28 September 2017, with key actions being agreed which will be taken forward over the course of 2017 and 2018.	Director of Finance & Resources	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.04.02 Organisational Resilience Context: *Incident Response and Management (linked to Community Risk Register) (1) Industrial Accidents and Environmental Pollution (2) Transport Accidents, (3) Severe Weather Incidents (4) Structural Incidents, (5) Human Health (6) Animal Health, (7) Industrial Action (8) International Events, (9) Industrial Technical Failure *Business Continuity/ Resilience in relation to: (1) Non (or reduced) availability of premises (2) Non (or reduced) availability of employees (3) Non (or reduced) availability of systemsimpacting on critical services and functions	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, facilities or systems (impacting adversely on the community, council employees, services and reputation).	Director of Community Resources	Top 5 controls: *Council Incident Response Procedures, Council Business Continuity Arrangements and Council Crisis Communication Plan *Corporate and service department Resilience Management Teams *Generic Major Incident Plans *National and local contingency plans *Regular exercising of emergency plans Other controls: *Civil Contingency Service - Joint service with Inverclyde, West Dunbartonshire and East Renfrewshire Councils *Senior staff trained as Council Incident Officers. *Exercise programme in place to test council response to incidents at an individual, service and corporate level *Debriefing arrangements to enable lessons to be learned and fed back into the planning process *Winter maintenance strategy with appropriate employees trained and exercises undertaken. *Corporate Business Continuity Plan in place and regularly reviewed. *Service Business Continuity Plans reviewed regularly across services – standing item on Resilience Management Teams *ICT Disaster Recovery and Management Plan in place. This document reflects all the critical IT applications/ business systems in use for a range of functions across all service departments and provides instruction on the priorities for restoration. the plan is supported by a detailed applications portfolio	03	03	9 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CRSIP17.01.03.05	Fulfil the requirements of the Flood Risk Management Act by developing action plans to address flooding risk in Renfrewshire.	The Council is a member of the Clyde & Loch Lomond Flood Risk Management area. This is a partnership involving Scottish Water, SEPA and 13 local authorities, priorities across the area have been set with regard to detailed study to address future flood risk. The first Flood Risk Management Plan was published in June 2016 and has two cycles covering the period 2016 – 22 and 2022 – 28. Actions currently ongoing and on target include: • Surface Water Management Plan / Study of Hillington / Cardonlad / Penilee area jointly progressing with Glasgow City Council to identify the most sustainable suite of options to manage flood risk from all sources; • Integrated Catchment Study of Erskine Waste Water Treatment Works Catchment with Scottish Water to assess catchment flood management needs; • Flood risk through effective development planning and management; • Maintain a schedule of watercourse assessment and repair; • Map watercourses and Sustainable Urban Drainage systems • Record flood events.		Drew McNab	31-Mar-2019	
CRSIP17.01.03.09	Ensure all Council services have robust and up to date business continuity arrangements in place.	Currently all services have business continuity plans in place. This is an ongoing process and falls under the remit of the Council Resilience Management Team which has it as a standing item on its agenda and action log. A number of key commercial assets across the area already have "Incident Response Guides" in place and these are being rolled out to other businesses and Council premises as we identify those whose loss would most severely impact on the council.		David Mair	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.04.03 Climate change, sustainability and adaptability Context: *Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire *Stabilising Renfrewshire's population *Protecting and sustaining human health and enhancing human well being. *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 http://www.renfrewshire.gov.uk/wps/wcm/connect/c420ceac-627b-463c-a734-c595abf62aaa/State+of+Environment+Report+2014+Summary+LoRes.pdf?MOD=AJPERES	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	Top 5 controls: *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 *The Carbon Management Plan has specific objectives to reduce emissions and these are included in other key documents such as the Council Plan *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 *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 *Through the Procurement Unit, sustainability and community benefits are considered in the development of all contract strategies	02	04	8 Moderate
Action Codes	Linked Actions	Latest Note	Assigned To	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	Contract for the treatment and disposal facility is on schedule with the contract commencing on 1 December 2019. The service is developing options for interim waste disposal solutions to allow the Council to manage its residual waste in advance of the facility going 'live' in 2019. The transfer station at Linwood requires a level of refurbishment to allow residual waste to be handed to a contractor to service the bulking up and transfer of waste. Works commenced in September and is due for completion at year end.	Karen Anderson	31-Mar-2019		
CRSIP17.01.04.17	Finalise the delivery of the project to replace all street lighting in Renfrewshire with LEDs.	94% of Renfrewshire's street lights have now been converted to LED. The LED programme will be progressed to completion in October 2017. Renfrewshire now has a higher percentage of LED streetlights conversion than any other Council area in Scotland.	Drew McNab	30-Sep-2017		
CRSIP17.01.04.18	Deliver a refreshed Air Quality Action Plan to improve air quality for Renfrewshire	Three Air Quality Management Areas have been declared for Paisley Town Centre, Johnstone High Street and Renfrew Town Centre. A Renfrewshire Air Quality Action Plan is being developed which will cover these areas. Meetings have been held with internal partners to devise specific action measures to tackle air quality and technical advisers have recently been procured to assist with developing sections of the plan which require specialist support. The refreshed Air Quality Management Action Plan will be submitted to the Infrastructure Land and Environment Policy Board in January.	Drew McNab	30-Sep-2017		

FRSIP17.04.03	Meet the Scottish Government's targets and expectation on Carbon Reduction measures	Work is ongoing to meet the targets on Carbon Reduction measures.	Head of Property Services	31-Mar-2020	
FRSIP17.04.04	Increase focus on Carbon and Financial standings through monitoring and targeting.	Work is ongoing to increase focus on carbon and financial standing through monitoring and targeting.	Head of Property Services	31-Mar-2020	

Priority 3: A Better Council
Objective 10 Continuing to be a Well Run Council

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.04 Financial Sustainability Context: Net cost pressures *Inflation, *Demographics, *Unfunded burdens, *Implications of welfare reform, *Reductions in service related income, *Reduced levels of available resources, and *Implications of national economic recovery	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.	Director of Finance & Resources	Top 5 controls: *A revised and enhanced Medium to Longer Term Financial Planning Strategy has been put in place and communicated throughout the council. This revised strategy now incorporates the Strategic Economic and National Policy Context, The Council's Financial Outlook & Cost Pressures, Pressures on Income, Mitigation Strategies, Use of Reserves and the Council's Capital Investment Strategy. *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 clear decision making and incorporates an escalation process with regards budget management issues which may arise. The embedded budgetary control processes and procedures also allow a direct link between financial and operational performance which is reported to both officer groups and Policy Boards *In conjunction with the medium to longer term financial planning strategy there is a continuous development of saving workstreams via the "Better Council Change Programmes". This is to ensure the Council has an appropriate range of projects and workstreams under scrutiny (e.g. with outline and detailed business cases) to ensure best value improvements and efficiencies can be identified, costed, implemented and achieved. The purpose of this is to provide a wide scope and depth of saving options for elected members as part of their work in delivering a year on year balanced budget. There is also close monitoring of the agreed savings to be achieved and this is to ensure they are delivered within the agreed timescales. Monitoring is undertaken via a combination of financial and operational measures, actions & related reports. *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. *Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt	05	05	25 High

		payments over the long term. This has resulted in significant debt interest and payments savings being made by the council to allow resources to be concentrated to front line services.			
		Other controls: *Reports and publications from Audit Scotland in relation to local government's financial outlook, financial planning and related developments & improvements are supplemented with a Renfrewshire context report with both reports being submitted to the Council's Audit Scrutiny & Petitions Board. Audit Scotland representatives have an open invite to these policy board meetings. *Energy consumption, together with unit cost forecasts and the related implications are based on national contract prices to minimise risk of fluctuations. 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 it's related costs. *Improving asset management planning has clarified priority areas for investment in the council's estate and this has facilitated the investment decision making progress and has supported the formulation of the council's capital & revenue budget.			
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CRR16.10.11c	Internal Audit to review rental income	Final report has been issued.	Chief Auditor	30-Jun-2017	
CRR17.10.04a	Audit Plan - Review of programme management arrangements, focusing on the pace and effectiveness of the change programme	Work to commence in the later part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04b	Audit Plan - Review of workforce planning arrangements	Work to commence in the later part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04c	Audit Plan - Review of the arrangements for client charging and payments	Work to commence in the latter part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04d	Audit Plan - Participation in internal project work which supports the better council change programme, as required	Continued participation in ERP project. Other project work taken on as required.	Chief Auditor	30-Jun-2018	
CRSIP17.03.09.34	Develop customer engagement plans to involve our customers and actively seek their buy-in and support for service provision.	Environment & Communities has played a leading role in developing a corporate approach to Empowering Communities. The service is developing proposals to create a new relationship between the Council and its communities based on building community capacity in 'natural' communities; transferring control of service delivery and assets to communities; developing decentralised budgets and participatory budgeting proposals and sharing more power more equally between communities, individuals and professionals.	Amenity Services	31-Mar-2019	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.05 Enterprise Resource Planning Context: (1) Early stages of implementation of the new system - timescales with go-live now scheduled for early December 2017. (2) Benefits realisation - more efficient strategic planning, service commissioning, financial management, property technology, human resources and business support services for our internal customers	The introduction of the new ERP system will require the redesign of a number of key internal processes. If not carefully managed there is a risk of operational challenges during early implementation, service disruption and an inability to maximise the full range of anticipated benefits.	Director of Finance & Resources	Top 5 controls: *To Be business processes have been mapped and are under review with the wider Council *Additional business resource has been made available to support understanding of the current As Is processes *End user training will be tailored to train new business processes alongside the new system *User Testing will incorporate the testing of the new business processes alongside the new Business World system *Contingency plan is to continue working with existing systems and processes should the project not be ready to launch when planned.	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CRR17.10.05a	Set up of a Business Design Forum to validate business process decisions	The business design forum has been set up, and is meeting regularly to review/agree existing and proposed business processes.		Head of Finance	30-Apr-2017	
CRR17.10.05b	Establish benefits realisation plan and trackers	The benefits realisation plan continues to be developed and influenced by the design of the new system. As decisions with regards functionality and user interaction with the system are made this can have an effect on the benefits to be realised and this is being closely tracked.		Head of Finance	31-Dec-2017	
CRR17.10.05c	User acceptance testing to confirm suitability of new processes	UAT is complete in a number of areas with further work to be completed on areas where re-testing is required following changes being made. Payroll Parallel Run (PPR) is taking longer than anticipated owing to the complexity of the processes and our payroll landscape.		Head of Finance	31-Oct-2017	
CRR17.10.05d	Audit Plan - Consultancy support in relation to process redesign during the implementation stage	Continued participation in ERP project.		Chief Auditor	30-Jun-2018	
CRR17.10.05e	Audit Plan - Review key financial controls in order to provide an opinion on the financial internal control environment in place for those systems included within the roll out of ERP	Work due to commence in the latter part of the year.		Chief Auditor	30-Jun-2018	
FRSIP17.10.22	Implement Enterprise Resource Planning (ERP)	The programme continues apace, with major elements of the system testing underway. Business readiness and cutover planning are key areas of focus for the project in the run up to go-live. Implementation options including a split go-live are being investigated owing to the demands on payroll resource in the run up to and through the Christmas period.		Head of Finance	31-Dec-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.06 Better Council Programme	Context: Successfully deliver the Phase 3 of the Better Council Change programme and implement the agreed budget and savings options: *Implementation of a significant programme of transformational change *Increased efficiency *Third phase of the programme to facilitate identification of additional savings areas. *Addressing capacity challenges (financial and workforce) to deliver change and improvement	The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and the longer term effectiveness of the organisation	Head of Policy & Commissioning	Top 5 controls: *Programme management approach adopted. *Monthly programme boards held as part of CMT agenda. *Effective budget tracking and monitoring *Regular reporting on progress to the Leadership board *Effective joint working with between PMU staff and service leads *Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme. Other controls: *A workforce planning strategy will be developed by HR&OD, aligned to the Organisational Development strategy and BCCP. The strategy will support the implementation of highly effective workforce planning approach across services to develop workforce capacity, creating a culture of performance and continuous improvement. *Directors will be supported by HR&OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council's internal or external environments. *A range of learning and development solutions to support managers specifically on areas of change management and workforce planning will be developed.	03	04	12 High
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
CE.SIP.16.04.02		Successfully deliver Phase 2 of the Better Council Change Programme	Phase 2 projects are targeting annual recurring savings of £5.5m by the end of 2017/18. Online Customer Access Project and Business World are two main projects included in Phase 2 and significant components of the Better Council Change Programme. Work is progressing on both projects to implement modules to support key tasks in business areas and services.	Strategic Change Programme Manager	31-Mar-2018		
CE.SIP.17.04.25	Successfully deliver Phase 3 of the Better Council Change Programme	The Corporate Management Team have been developing further change initiatives to support the delivery of savings and efficiencies. A number of these initiatives are linked to existing programmes of change and will allow the organisation to realise further savings through transformational activity in Phase 3.	Strategic Change Programme Manager	31-Mar-2019			
FRSIP17.10.32	Lead on Better Council Programme projects phase 3	The projects in the Customer Experience/digital theme are progressing well from development of the business cases into delivery for example,two automated processes have been deployed in Customer & Business Services.	F&R SMT	31-Mar-2019			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation			
CRR17.10.07	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.	Director of Community Resources; Director of Finance & Resources	Top 5 controls *The Integrity Group, chaired by the Head of Public Protection, includes appropriate membership from across service area to review and where necessary strengthen organisational resilience. *A corporate counter fraud team is in place, under the management of internal audit, to raise awareness of threats and create an anti-fraud culture, assist with prevention, detect and investigate cases and refer cases to other agencies. *Appropriate ICT controls are in place to prevent and detect information assets. Supported by a dedicated Cyber Security officer and an Information Security Group to advise on risk control measures. *Employee vetting checks are in place for all new employees.	03	04	12 High			
	Context: *The council needs to protect its business resources (employees, financial and information resource)									
Action Codes	Linked Actions	Latest Note						Assigned To	Due Date	Status
CRR16.03.05d	Internal Audit to review counter fraud and corruption policies and procedures	Draft policy has been prepared for review by management.						Chief Auditor	31-Mar-2018	
CRR17.10.07a	Audit Plan - Participate in the council's integrity group	Continued participation in the group. Workshops for the organisational assessment have been completed.						Chief Auditor	30-Jun-2018	
CRR17.10.07b	Audit Plan - Co-ordination of the National Fraud Initiative	Progress against matches allocated to services continues to be monitored.						Chief Auditor	30-Jun-2018	
CRR17.10.07c	Audit Plan - Revision of counter fraud and corruption policies and procedures	Draft policy has been prepared for review by management.						Chief Auditor	30-Jun-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.08 Information and Records <u>Context:</u> The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally: (1) The Records Management Plan requires full implementation in 5 years. (2) Preparation required for the coming into force of EU General DP Regulation in May 2018	If information (in whatever format), is not effectively managed, and council records are not retained or destroyed in line with the Records Management Plan, there is a risk of unavailability of the right information in the right format and at the right time, with knock on impact to effective and efficient service delivery and organisational decision-making.	Director of Finance & Resources	Top 5 controls: *Roles and responsibilities for information governance and information management are defined and established (for individuals, teams and groups) *A full suite of policies and guidance is in place around how information is handled and shared securely and how data is protected, with many training and development requirements and opportunities for employees, such as DP, information security, and records management modules on iLearn *There are technical ICT controls in place to protect the information handled by the council *There is an established incident management procedure in place for identifying, reporting, investigating and monitoring lessons learned from any information security incidents or near misses *Records Management Plan (approved by Council), which covers all the organisation's records.	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned	Due Date	Status
CRR17.10.08a	Prepare for the coming into force of EU GDPR in May 2018 – Develop and oversee the implementation of Action Plan to ensure compliance with EU GDPR when this comes into force on 25 May 2018			Allison Black	30-Apr-2018	
FR.RR16.10.08c	Development and implementation of a new Information Management Strategy	The Council is migrating to Microsoft Office 365 in Q3 and Q4 2017 and also introducing an online ERP system. This will introduce new technologies (including Outlook, OneNote, Sharepoint, Skype) and ways of working relating to information sharing. The Information Management Strategy will now be developed to reflect the potential changes in the way the Council manages its information, given the opportunities within the newly deployed technologies.		Enterprise Architect	31-Jan-2018	
FR.RR16.10.08d	Develop a range of practical data and information management guidance to allow individuals, team and services management their information assets more effectively	The Council is migrating to Microsoft Office 365 in Q3 and Q4 2017 and also introducing an online ERP system. This will introduce new technologies (including Outlook, OneNote, Sharepoint, Skype) and ways of working relating to information sharing. The guidance will now be developed to reflect the potential change in the way the Council manages its information, given the opportunities within the newly deployed technologies.		Enterprise Architect	31-Jan-2018	
FR.RR16.10.08g	Development of disposal procedures for line of business applications			Records Manager	31-Jul-2019	
FRSIP17.10.26	Progress Records Management Plan (RMP) Action Plan, in particular the Business Classification Scheme	A recent Internal Audit of the Council's RMP has highlighted that more advantage should be taken of the five year period for implementation of the RMP. As such, some timescales have been revised, including work on the BCS. As reported to the Audit, Scrutiny and Petitions Board, this element of the RMP requires most work and will take the longest to complete with an anticipated completion in 2019. Work is underway to implement the BCS as a file plan on shared drives throughout the organisation. In support of this work, officers have been identified throughout service areas that will be tasked with producing reports on their service's shared		Records Manager	31-Dec-2017	

		folders using an analysis tool. Initial training has been delivered and guidance created. These reports will help to identify file duplication, files passed their retention, and areas where files can be managed better."			
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Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.09 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. Context: *Cyber intrusions have increased over the past decade and the public sector is not immune to this. Yesterday's traditional prevention strategies may no longer be adequate for stopping advanced, targeted attacks. Renfrewshire Council is focused on ensuring cyber risk is appropriately managed in a way that supports innovative working and the safety and security of council systems and information. *Migration to O365	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.	Head of Information and Communications Technology	Top 5 Controls: *Mandatory cyber security training and acceptable use policies *IT security technologies scanning inbound and outbound traffic *Backup copies of data *Business continuity plans *Independent IT Health Checks O365 Project Controls: *Encrypted devices *Encrypted internet based connection to O365 services *End User access through recognised Council Active Directory services and using strong passwords. *Constant review of risk *Evolving deployment of technologies to increase protection and decrease risk over time.	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned To		Due Date	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.10 Digital Inclusion	Should challenges around engagement in digital improvements not be suitably addressed there is a risk that anticipated benefits will not be fully realised	Director of Finance & Resources; Head of Policy & Commissioning	Top 5 Controls: *Recruitment of a Digital Volunteer Co-ordinator to recruit digital volunteers. To support organisations working with those who are digitally excluded and building digital capacity within organisations and local business to ensure they reach their digital potential across Renfrewshire. The coordinator will establish after school coding clubs to develop cutting edge digital skills of young people (targeting schools in areas of deprivation , looked after children). 2 of the clubs will be based in UWS and WCS. *Recruitment of a Digital Participation Co-ordinator to trial a new approach in supporting 2 digitally excluded groups within a trusted organisation where relationships already exist (Disability Resource Centre and ROAR Connections for Life). If successful we would look at expansion and sustainability. *A Digital Participation Group has been set up to bring together public, private and third sector organisations to share learning and increase partnership working. Led by Renfrewshire Council and chaired by Engage CEO. *A digital participation plan has been developed and shaped by over 40 public, private and third sector organisations through face to face sessions and online survey. The Digital Participation Plan is in draft and has been through a final review stage. A condensed version will be prepared including an easy ready version. The plan includes a map of digital exclusion in Renfrewshire to assist us in targeting efforts and resources. *The digital participation plan will inform and drive the forthcoming digital strategy.	03	03	9 Moderate
Action Codes	Linked Actions	Latest Note				
CE.SIP.17.01.03	Implement plans to expand free public wifi in Paisley and other town centres	Renfrewshire free public wifi system design completed and installation of hardware across outdoor areas (Paisley, Johnstone and Renfrew town centres) and priority indoor areas currently underway. Phased go live scheduled to start 18 November 2017. Soft launch of prototype wifi service went live in StreetStuff buses and Glencairn day care centre in October.	Head of Policy & Commissioning	Assigned To	Due Date	Status
CE.SIP.17.02.12	Implement our digital participation plan to support low income families and other disadvantaged groups to benefit from access to the internet	The Digital Participation project continues with the Digital Participation Officer and Digital Volunteer Coordinator working with local organisations (Reaching Older Adults in Renfrewshire and the Disability Resource Centre) to provide targeted digital support to the most digitally excluded groups, including: • Design and user testing is currently taking place on an accessible log on to make it as easy as possible for older, disabled and other digitally excluded groups (including low income groups) to utilise Renfrewshire's free WiFi service. • Four further Tablet Training / digital skills classes for elderly groups and members of the disabled community, including a specialist course for the deaf community. • Setting up one new digital skills group at the Disability Resource Centre. • Continuation of our Free Code Club for local families, which has now moved to the Disability Resource Centre. • Recruiting for a new Digital Participation Officer in Housing (2 year post). • Starting testing on Roar's "VR over the doorstep" which uses video streaming and VR to connect the house bound elderly and other isolated groups with local cultural events and locations.	Project Manager (Digital Assistance)	31-Mar-2018		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.11 Marketing & Communications	Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.	Head of Communications	Top 5 controls: * Head of Marketing and Communications and the Marketing Manager and Corporate Communications Manager liaise with Services/ Senior Management Teams on the co-ordination and timing of information communications, communication strategies, action plans and key milestones *Head of Marketing and Communications is full member of Corporate Management Team *Media protocol in place *Communications database (Gorkana) is used to track and manage media enquiries * Council information channels such as; website, social media, magazine are used effectively to promote council initiatives * All content on website and intranet have review dates set so that checks can be made on currency of information * Crisis Communications Strategy and on call rota in place * All employees are required to comply with council guidelines when using approved social media applications such as Facebook and Twitter * The Communications team monitors all social media accounts	03	04	12 High
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CE.SIP.16.04.23	Prepare and implement the Communications Strategy and Action Plan for Renfrewshire Community Planning Partnership	Communications Strategy and Action Plan has been developed and is being implemented ensuring key priorities and themes of the new Community Plan are communicated across and understood by our citizens and partners.	Comms & Public Affairs Manager	30-Sep-2017		
CE.SIP.16.04.24	Implement a Corporate Communications and Marketing strategy to cover all audiences – our staff, the public and all our partners, to support the Council in achieving its objectives. The strategy will support the new Council and Community Partnership plans.	Strategy has been developed and is being implemented to support the delivery of the new Council and Community Plans. Processes and actions have been identified to ensure all communication is consistent and meaningful.	Comms & Public Affairs Manager	30-Sep-2017		
CE.SIP.17.03.13	Improve how we communicate with our employees	We have recruited a dedicated Internal Communications Officer who is responsible for improving the way we communicate with our employees. We have also introduced a new quarterly staff magazine which is available both electronically and in hard copy.	Head of Marketing and Comms	30-Jun-2017		



To: Audit, Risk and Scrutiny Policy Board

On: 6 November 2017

Report by: Chief Executive

Heading: Chief Executive's Service - Risk Management Plan Mid-Year Report

1. Summary

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

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

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

3.4 The risk profile remains unchanged from that reported to the Board in June this year, and as shown in the tables below:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	1	4	1	6

Risk areas	Likelihood	Impact	Score	Evaluation
1. Poverty levels in Renfrewshire	04	05	20	Very High
2. Better Council Change Programme	03	04	12	High
3. Corporate Events Management	03	04	12	High
4. Delivering Key Outcomes with Strategic Partners	03	04	12	High
5. Marketing and Communications	03	04	12	High
6. Digital Inclusion	03	03	9	Moderate

3.5 Top risks

The following provides a brief narrative update on the Service's top five risks as reported to the Audit, Risk and Scrutiny Board in June this year:

Risk 1 – Poverty levels in Renfrewshire:

Key projects within the Tackling Poverty Programme have been extended until the end of the financial year 2017/18. Evaluations are now being reviewed and an overarching evaluation report is being produced. An event was held in March 2017 to disseminate learning from Renfrewshire's approach to other local authorities and public bodies. The current Tackling Poverty Strategy runs to September 2017. Projects within the programme continue to be delivered on time and within budget. Governance arrangements for the programme have been streamlined with a project board overseeing the delivery. The Tackling Poverty Programme was shortlisted as a finalist for 'Programme of the Year' in the Association of Project Management Awards 2017, and the results are announced on the 20th November 2017.

Risk 2 - Better Council Change Programme:

The Better Council Change Programme has been an important element of the Council's approach to transformation and supporting longer term financial sustainability. Since 2014/15, the Better Council Change Programme (BCCP) has been developed on a rolling two-year basis, with phase 1 targeting savings for the period 2015 to 2017 and phase 2 for 2016 to 2018. Phase 1 projects will have delivered annual recurring savings of £15.1m against an original target of £14.4m by the end of 2016/17. Phase 2 projects are targeting annual recurring savings of £5.5m by the end of 2017/18. Online Customer Access Project and Business World are two main projects included in Phase 2 and significant components of the Better Council Change Programme. Work is progressing on both projects to implement modules to support key tasks in business areas and

services. The Corporate Management Team have since March been developing further change initiatives to support the delivery of savings and efficiencies. A number of these initiatives are linked to existing programmes of change and will allow the organisation to realise further savings through transformational activity in Phase 3.

Due to recent changes approved by the Leadership Board, management of the Better Council Change Programme will be transferring to the Director of Finance and Resources, however progress is still being reported by Chief Executive's Service during this financial year for consistency.

Risk 3 - Corporate Events Management:

An upscaled events programme for 2017/18 is being implemented. This includes the delivery of up to 15 festivals and events. New events have been secured for the programme and include the SAY Awards, Trad Awards and British Pipe Band Championships.

A new events strategy has been developed to further our chances in the City of Culture bid, enhance the programme, link to national partners and maximise external funding opportunities.

Risk 4 - Delivering Key Outcomes with Strategic Partners:

The development of a new Community Plan is a shared responsibility between the statutory Community Planning Partners across Renfrewshire. It has been developed in partnership, and will be delivered through the Community Planning governance arrangements which were reviewed and refreshed in late 2016. The new Community Plan has been developed in tandem with the new Council Plan, reflecting the importance of read-across between the two major strategic planning documents for the Council. A significant body of work has been undertaken across the partnership to inform the development of both the Council and the Community Plan:

- Work has been undertaken with partners to gather and analyse data jointly.*
- Consultation and engagement with communities took place throughout the year and included: Place Standard toolkit, consultation sessions with Community Councils and Local Area Committees and a number of community events.*
- Following collation of the strategic needs assessment and consultation response, work has been underway to identify common themes and priorities. These have been tested with senior representatives from community planning partners and with senior Council officers.*

The Community Plan was published on the 1st October 2017, following approval from Community Planning Partners. Following this, the partnership will work on developing detailed actions and targets through the new Community Planning governance arrangements. Review of community level governance arrangements (Local Area Committees) has been underway and will be brought to the Council in December 2017.

Risk 5 - Marketing and Communications:

The communications strategy and action plan is currently being deployed. The new website has been successfully rolled out. Marketing and Communications Team continues to support staff through effective internal communications, ensuring they understand the key priorities being driven by the new Council and Community Plans. Important communication is delivered through various channels to local residents about initiatives such as Tackling Poverty programme, Digital Strategy, Paisley 2021 bid and town centre regeneration plans. The team is also leading on the development and management of the Renfrewshire Brand promoting Renfrewshire as a world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely which also includes providing marketing and communications support for the 2021 Bid.

4.

4.1 Progress against planned actions

In relation to the 6 Chief Executive's Services risks, there are 24 related actions to be undertaken. Of these 5 actions have been completed and 7 are due for completion by the end of the financial year, where others have a longer timescale for completion. The remaining 12 actions are progressing as planned.

4.2

The Corporate Risk Management Group continues to monitor the corporate risk register on a quarterly basis on behalf of the Corporate Management Team, as half of the risks within Chief Executive's Service Risk Register are Corporate Risks they are reviewed on this basis.

Implications of the Report

- 1 **Financial** – Any risks that may have financial implications are reflected within Appendix 1.
- 2 **HR & Organisational Development** - Any risks that may have HR implications are reflected within Appendix 1.
- 3 **Community Planning** – Appendix one provides an update on the actions which contribute to the achievement of the Community Plan priorities.
- 4 **Legal** - Any risks that may have legal implications are reflected within Appendix 1.
- 5 **Property/Assets** - Any property-related risks are reflected within Appendix 1.
- 6 **Information Technology** – Any risks relating to ICT are reflected within Appendix 1.
- 7 **Equality and Human Rights** – no negative impacts on equality groups or potential for infringement of individuals' human rights have been identified from the recommendations contained in this report. If required, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health and Safety** – Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement** – none.
10. **Risk** – As per the subject content of this paper.
11. **Privacy Impact** – none.

List of Background Papers

The foregoing background papers will be retained within Finance and Resources and Chief Executive's Service for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within is Risk Manager, Risk Manager, 0141 618 7019, Karen.Locke@renfrewshire.gov.uk

Author: Kasia Owczarek, Senior Strategic Planning and Policy Development Officer, 7405

Appendix 1

Chief Executive's Service Risk Register 2017 – Mid Year Monitoring Report

Priority 1: A Better Future - PLACE Objective 01 Driving Physical & Economic Regeneration							
Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.01.02 Corporate Events Management Context: Delivering a range of diverse and exciting events to increase visitor numbers to our town centre, deliver positive economic and social impact and challenge negative perceptions: *Beer and Food Festival – 19-22 April 2017 *Sma Shot Day – 1 July 2017 *British Pipe Band Champs – 20 May 2017 *Doors open Day- 3-4 September 2017 *The Spree Festival- 13-21 October 2017 *Scottish Album of the Year Award – 28 June 2017 *Halloween Festival *Fireworks Display *Christmas Lights On Events		Effective preparation and co-ordination across a number of services, for high profile events coming to Renfrewshire is essential and should this not be achieved there is a risk of adverse reputational impact for the council on a national and international level	Head of Marketing and Communications	Top controls: *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. *Events Guidance Manual in operation *Considerable pre-event liaison with in house teams and the emergency services *The events team and in-house specialists have considerable experience and a good track record in organising and managing events *Suppliers procured in accordance with Contract Standing Orders, with indemnity limits agreed and insurance covers checked. Other controls: Accredited and experienced stewards are employed and Paramedic and trained first aiders are on site at all large scale events. There is events cancellation insurance cover in place for higher cost events.	03	04	12
Action Codes	Linked Actions	Latest Note					
No actions identified – risk tolerated							
Assigned To	Due Date	Status					

Priority 1: A Better Future - PLACE
Objective 02 Building on our Culture & Heritage

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.02.03 Opportunity Management - Key Cultural & Heritage Outcomes Context: *Developing the bid for Paisley to be the 2021 UK City of Culture *Implementing the Renfrewshire Tourism Framework and action plan. *Delivering the Paisley Town Centre Heritage Asset Strategy *The Paisley Museum and Museum Store developments	All high profile cultural and heritage programmes/ projects 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.	Director of Development & Housing Services	City of Culture *Partnership Board and Executive Group set up to co-ordinate the Bid process in 2015. *Engagement with local community and stakeholders to escalate during 2016. *Culture Events and Heritage Fund launched Feb 2016 for community groups to apply for financial support for building cultural capacity. *Multiple cross stakeholder groups established and progressing spring 2016. *Various engagement and stakeholder opportunities have been held. *Programme producers have been appointed to actively pursue funding in development phase. <u>PTCHAS</u> *Paisley Heritage Asset Strategy approved in January 2014 *Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. *The £5m refurbishment of the iconic Russell Institute will be completed in summer 2017. *£4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre. *Retail incubator established in Paisley Town Centre with the 2nd intake of start-ups due to move in late 2016. *Building purchased at No.22 High Street, Paisley and £1.5m RCGF funding secured for Paisley Library relocation project <u>Museum Project</u> *The project will be managed using the Council's established Project Management Framework. *A revised bid for funding was submitted to the HLF in Nov 2016 for the redevelopment of Paisley Museum. *A detailed risk register has been prepared for this project and this is updated regularly and reported to the Project Board. This includes the management of risks relating to community engagement, funding availability, the exhibiting of collections and the complexity of the buildings among many others. *Scottish Govt RCGF grant of £1.5m approved in March 2017.	03	05	15
Action Codes	Linked Actions	Latest Note				
CE.SIP.17.01.02	Implement the Renfrewshire Tourism Strategy	Established an internal tourism working group bringing together regeneration, employability, culture, tourism, marketing and community and environment teams. A Tourism Officer has been appointed to the marketing and communications team	Assigned To	Due Date	Status	
			Head of Marketing and Communications	31-Mar-2018		

		and is leading the following initiatives:	ns		
		• Paisley's bid to SE Destination Development Fund to secure funding for the development of a textile heritage trail and a number of sector development projects (through to final round); • SE funding secured for Paisley Welcomes customer service and place training programme; • An innovation workshop to support third sector to develop tourism product (including volunteer-led attractions); • Draft tourism strategy sector consultation - the new tourism strategy is being produced using a collaborative approach. Consultation will be undertaken with key Council departments as well as national agencies and Renfrewshire tourism businesses.			
CE.SIP.17.01.04	Launch a destination brand to promote Paisley and the wider region as a great place to live, work and visit	Brand strategy completed in March 2017. Brand creative developed and will launch in December 2017 to coincide with the UK City of Culture 2021 decision. New visitor website in development, which will also be launched in December 2017.	Head of Marketing and Communications	31-Mar-2018	
CE.SIP.17.01.05	Deliver the UK marketing and PR campaign Paisley for UK City of Culture and key influencer strategy	Campaign ongoing and continuing to reach local, national and international audiences.	Head of Marketing and Communications	30-Nov-2017	

Priority 2: A Better Future - PEOPLE

Objective 05 Reducing the level and impact of Poverty

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.05.06 Poverty levels in Renfrewshire	The council is committed along with its partners to tackling poverty in Renfrewshire. With levels of poverty estimated to rise across Scotland, if partners do not provide an effective response to Renfrewshire then more citizens will experience poverty and its effects.	Head of Policy & Commissioning	Top 5 controls: *Tackling Poverty strategy published in October 15 *Council funding allocated to progress range of targeted initiatives and interventions *Robust programme management processes in place *Governance structure agreed for reporting progress and budgetary monitoring *Annual report to be submitted to Leadership board in June 2016 - Lead Officer working with services to progress long term sustainable options for tackling poverty post cessation of the funding in September 2017. *Exit strategy for the programme developed and presented and	04	05	20

An extensive programme of work is being progressed locally through a range of projects and initiatives and the lead for delivering on the project is held by the Chief Executive's Service. The programme will run until the of March 2017 and a critical role of this service will be to ensure that projects are completed on time and on budget and crucially that the positive benefits of these programmes are realised.	more citizens will experience poverty and its effects.	approved by the CMT in January 2017					
		Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
		CE.SIP.16.02.05	Deliver communications activity which informs and engages citizens around the Tackling Poverty Programme, and that shares learning with partners locally and nationally	Citizens and partners have been engaged with in line with the programme's communication strategy. Programme's key achievements and good practice examples have been widely showcased.	Strategic Partnerships and Inequalities Manager	30-Sep-2017	
		CE.SIP.17.02.06	Provide strategic leadership for the delivery of the overarching Tackling Poverty Strategy	Key projects within the Tackling Poverty Programme have been extended until the end of the financial year 2017/18. Evaluations are now being reviewed and an overarching evaluation report is being produced. An event was held in March 2017 to disseminate learning from Renfrewshire's approach to other local authorities and public bodies. The current Tackling Poverty Strategy runs to September 2017.	Strategic Partnerships and Inequalities Manager	31-Mar-2018	
		CE.SIP.17.02.07	Manage the delivery of projects within the Tackling Poverty Programme	Projects within the programme continue to be delivered on time and within budget. Governance arrangements for the programme have been streamlined with a project board overseeing the delivery. The Tackling Poverty Programme was shortlisted as a finalist for 'Programme of the Year' in the Association of Project Management Awards 2017, and the results are announced on the 20th November 2017.	Strategic Partnerships and Inequalities Manager	30-Apr-2018	
		CE.SIP.17.02.08	Continue service improvements and delivery of long term outcomes as part of an ongoing approach to tackle poverty	Engagement with services on updating and developing the exit strategy for the Tackling Poverty programme, along with a programme wide evaluation document which summarises the key outcomes, achievements and learning from across the programme.	Strategic Partnerships and Inequalities Manager	31-Oct-2017	
		CE.SIP.17.02.09	Deliver approaches to help mitigate the impacts on low income households of the next phase of Welfare Reforms	A programme of preparatory work is now underway to prepare for the roll-out of Universal Credit full service, due to go live in Renfrewshire in May 2018. Significant work has also been undertaken to assess the potential financial and service impacts of welfare reforms.	Strategic Partnerships and Inequalities Manager	31-Mar-2018	
		CE.SIP.17.02.10	Deliver a range of interventions to support financial inclusion across Renfrewshire	A range of activities continue to be underway including supporting Renfrewshire's Advice Partnership, an Affordable Credit group and the Credit Union Forum. The re-commissioning of external advice services in the area is underway and due to be	Strategic Partnerships and Inequalities Manager	31-Mar-2018	

		completed by the end of this financial year. Angela Constance launched the Scottish Government's funeral payments scheme in Renfrewshire in recognition of Renfrewshire's leadership in tackling funeral poverty in partnership with our network of Credit Unions.	Inequalities Manager		
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Priority 2: A Better Future - PEOPLE
Objective 08 Improving Care, Health and Wellbeing

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.08.08 Delivering Key Outcomes with Strategic Partners Context: Implementing changes to the governance arrangements of Renfrewshire Community Planning so that community planning partners are supported effectively to take forward any new pieces of partnership work identified by LOIP. All partners can play an effective role in community planning in Renfrewshire and that duplication and overlap with other partnership arrangements are minimised. Undertaking a review of Local Area Committees (LACs) which will result in increased effectiveness of community level governance and engagement from citizens and community organisations: *Expanding the Families First approach *Implementing the Children and Young People Act *Supporting the Renfrewshire Health and Social Care Partnership's Strategic Plan *Extending telecare and telehealth services *Support the third sector and community groups to develop and deliver support within their local	The Council is engaged with Strategic Partners in the delivery of key services and outcomes. The partnerships must work together effectively otherwise there will be a significant risk in relation to performance and reputation around the ability to effectively deliver strategic plans, community and financial outcomes and partnership aims and objectives.	Head of Policy & Commissioning	Top controls: * monitoring arrangements in place through appropriate boards and joint committees. * mature community planning partnership arrangements, recognised at national level. * Strategic Partnership Agreement in place with University of West of Scotland with others under development * service level agreements in place as appropriate * Community Planning Partnership arrangements ensure we are operating effectively for partners, delivering on the priority outcomes for Renfrewshire and compliance with the requirement of the Community Empowerment (Scotland) Act. * Development of the new Local Outcome Improvement Plan setting out local outcomes with the Community Planning Partnerships will prioritise for improvement by October 2017 * Review of CPP governance arrangements will be implemented by October 2017 in order to increase effectiveness at community level and to avoid any duplication of work * Review of community level governance arrangements (Local Area Committees) has been underway and will be brought to the Council in December 2017	03	04	12

communities, principally through partnership working with engage Renfrewshire and other key community groups. *Integrating Renfrewshire Leisure services to increase opportunities for people to improve their health and well being						
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CE.SIP.17.04.21	Prepare Local Outcome Improvement Plan (LOIP) priorities and linked locality plans	The new Community Plan for Renfrewshire and its associated locality plans have now been prepared with partners and published as required by the Community Empowerment Act. Detailed action plans and performance framework will now be developed through the new Community Planning Governance arrangements.	Strategic Partnerships and Inequalities Manager	31-Oct-2017		
CE.SIP.17.04.35	Implement changes to the governance arrangements of Renfrewshire Community Planning Partnership	The new governance arrangements are now in place, with the Executive Group having met twice and the Oversight Group having met once. The new arrangements will now develop the detailed actions to support the delivery of the new Community Plan. An initial meeting to develop the new Improving Life Chances Board has been set for November, bringing partners together to explore the results of the All Children's Study.	Strategic Partnerships and Inequalities Manager	31-Oct-2017		

Priority 3: A Better Council Objective 10 Continuing to be a Well Run Council

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.06 Better Council Programme Context: Successfully deliver the Phase 3 of the Better Council Change programme and implement the agreed budget and savings options: *Implementation of a significant programme of transformational change *Increased efficiency *Third phase of the programme to facilitate identification of additional savings areas. *Addressing capacity challenges (financial and workforce) to deliver change and improvement	The ongoing transformational change agenda makes for a highly complex and challenging business environment which, if not co-ordinated and managed effectively across all aspects of the council's business, could result in benefits not being delivered and impact significantly on future service delivery and	Head of Policy & Commissioning	Top 5 controls: *Programme management approach adopted. *Monthly programme boards held as part of CMT agenda. *Effective budget tracking and monitoring *Regular reporting on progress to the Leadership board *Effective joint working with between PMU staff and service leads *Special development sessions held with all managers to third tier to assist in prioritising areas for further development and possible inclusion in the second phase of the programme. Other controls: *A workforce planning strategy will be developed by HR&OD, aligned to the Organisational Development strategy and BCCP. The strategy will support the implementation of highly effective workforce planning approach across services to develop workforce capacity, creating a culture of performance and continuous	03	04	12

	the longer term effectiveness of the organisation		improvement. *Directors will be supported by HR&OD to implement highly effective workforce planning approaches to effectively scenario plan to deal with any major uncertain shifts in the Council's internal or external environments. *A range of learning and development solutions to support managers specifically on areas of change management and workforce planning will be developed.			
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CE.SIP.16.04.02	Successfully deliver Phase 2 of the Better Council Change Programme	Phase 2 projects are targeting annual recurring savings of £5.5m by the end of 2017/18. Online Customer Access Project and Business World are two main projects included in Phase 2 and significant components of the Better Council Change Programme. Work is progressing on both projects to implement modules to support key tasks in business areas and services.		Strategic Change Programme Manager	31-Mar-2018	
CE.SIP.17.04.25	Successfully deliver Phase 3 of the Better Council Change Programme	The Corporate Management Team have been developing further change initiatives to support the delivery of savings and efficiencies. A number of these initiatives are linked to existing programmes of change and will allow the organisation to realise further savings through transformational activity in Phase 3.		Strategic Change Programme Manager	31-Mar-2019	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.10 Digital Inclusion Implement our digital participation plan to support low income families and other disadvantaged groups benefit from access to the internet: *Implementing the digital participation plan to support access to the internet *Providing customers with easy to use digital services *Addressing the known barriers to accessing the internet, lack of: - digital skills; and - access; cost and motivation (fear, internet safety, desire, limited understanding the benefits). *Targeting our efforts initially on those individuals who are most likely to be digitally excluded.	Should challenges around engagement in digital improvements not be suitably addressed there is a risk that anticipated benefits will not be fully realised	Director of Finance & Resources; Head of Policy & Commissioning	Top 5 Controls: *Recruitment of a Digital Volunteer Co-ordinator to recruit digital volunteers. To support organisations working with those who are digitally excluded and building digital capacity within organisations and local business to ensure they reach their digital potential across Renfrewshire. The coordinator will establish after school coding clubs to develop cutting edge digital skills of young people (targeting schools in areas of deprivation , looked after children). 2 of the clubs will be based in UWS and WCS. *Recruitment of a Digital Participation Co-ordinator to trial a new approach in supporting 2 digitally excluded groups within a trusted organisation where relationships already exist (Disability Resource Centre and ROAR Connections for Life). If successful we would look at expansion and sustainability. *A Digital Participation Group has been set up to bring together public, private and third sector organisations to share learning and increase partnership working. Led by Renfrewshire Council and chaired by Engage CEO. *A digital participation plan has been developed and shaped by over 40 public, private and third sector organisations through face to face sessions and online survey. The Digital Participation Plan is in draft and has been through a final review stage. A condensed	03	03	9

			version will be prepared including an easy ready version. The plan includes a map of digital exclusion in Renfrewshire to assist us in targeting efforts and resources. *The digital participation plan will inform and drive the forthcoming digital strategy.		
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CE.SIP.17.01.03	Implement plans to expand free public wifi in Paisley and other town centres	Renfrewshire free public wifi system design completed and installation of hardware across outdoor areas (Paisley, Johnstone and Renfrew town centres) and priority indoor areas currently underway. Phased go live scheduled to start 18 November 2017. Soft launch of prototype wifi service went live in StreetStuff buses and Glencairn day care centre in October.	Head of Policy & Commissioning	30-Nov-2017	
CE.SIP.17.02.12	Implement our digital participation plan to support low income families and other disadvantaged groups to benefit from access to the internet	The Digital Participation project continues with the Digital Participation Officer and Digital Volunteer Coordinator working with local organisations (Reaching Older Adults in Renfrewshire and the Disability Resource Centre) to provide targeted digital support to the most digitally excluded groups, including: • Design and user testing is currently taking place on an accessible log on to make it as easy as possible for older, disabled and other digitally excluded groups (including low income groups) to utilise Renfrewshire's free WiFi service. • Four further Tablet Training / digital skills classes for elderly groups and members of the disabled community, including a specialist course for the deaf community. • Setting up one new digital skills group at the Disability Resource Centre. • Continuation of our Free Code Club for local families, which has now moved to the Disability Resource Centre. • Recruiting for a new Digital Participation Officer in Housing (2 year post). • Starting testing on Roar's "VR over the doorstep" which uses video streaming and VR to connect the house bound elderly and other isolated groups with local cultural events and locations.	Project Manager (Digital Assistance)	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.11 Marketing & Communications <u>Context:</u> Our aim is to proactively manage the Council's reputation as modern, ambitious and making a difference. We also want to promote Renfrewshire as an attractive place to live, work and visit. We will do this by: *Supporting staff	Poor information flow across services and with Renfrewshire citizens can result in inappropriate, ineffective or poorly timed communications both within and out with the council. This will in turn impact on	Head of Communications	Top 5 controls: * Head of Marketing and Communications and the Marketing Manager and Corporate Communications Manager liaise with Services/ Senior Management Teams on the co-ordination and timing of information communications, communication strategies, action plans and key milestones *Head of Marketing and Communications is full member of Corporate Management Team *Media protocol in place *Communications database (Gorkana) is used to track and manage media enquiries * Council information channels such as; website, social media, magazine are used effectively to promote council	03	04	12

through change through effective internal communications, ensuring they understand the key priorities being driven by the Council through the Council Plan and their role in achieving these. *Engaging Renfrewshire's communities in the objectives of the Community Plan *Communicating important information to local residents about initiatives such as our initiatives to tackle poverty, our digital strategy, our town centre regeneration plans and what it means for them *Ensuring there are clear policies and procedures in place to support the Council in times of crisis and reputational risk *Ensuring appropriate guidance and policies for increasing demand for employee access to social media sites and feeds for professional and personal purposes, managing security and reputational concerns *Leading on the development and management of the Renfrewshire Brand promoting Renfrewshire as a world-class tourist destination and supporting the regeneration of Paisley and Renfrewshire more widely. *Providing marketing and communications support for the 2021 Bid	staff commitment, crisis response, service delivery, consultation, policy development and the organisation's reputation.		initiatives * All content on website and intranet have review dates set so that checks can be made on currency of information * Crisis Communications Strategy and on call rota in place * All employees are required to comply with council guidelines when using approved social media applications such as Facebook and Twitter * The Communications team monitors all social media accounts		
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
CE.SIP.16.04.23	Prepare and implement the Communications Strategy and Action Plan for Renfrewshire Community Planning Partnership	Communications Strategy and Action Plan has been developed and is being implemented ensuring key priorities and themes of the new Community Plan are communicated across and understood by our citizens and partners.	Communications & Public Affairs Manager; Kasia Owczarek	30-Sep-2017	
CE.SIP.16.04.24	Implement a Corporate Communications and Marketing strategy to cover all audiences – our staff, the public and all our partners, to support the Council in achieving its	Strategy has been developed and is being implemented to support the delivery of the new Council and Community Plans. Processes and actions have been identified to ensure all communication is consistent and meaningful.	Communications & Public Affairs Manager; Kasia	30-Sep-2017	

	objectives. The strategy will support the new Council and Community Partnership plans.		Owczarek		
CE.SIP.17.03.13	Improve how we communicate with our employees	We have recruited a dedicated Internal Communications Officer who is responsible for improving the way we communicate with our employees. We have also introduced a new quarterly staff magazine which is available both electronically and in hard copy.	Head of Marketing and Communications	30-Jun-2017	



To: Audit, Risk and Scrutiny Board

On: 6 November 2017

Report by: Director of Children's Services

Heading: Risk Management Plan 2017/18 – Mid Year Update

1. Summary

- 1.1 In keeping with 'Risk Matters', the Council's combined risk management policy and strategy, the service risk management plan is refreshed on an annual basis.
- 1.2 This paper presents a mid-year update on the service risk management plan presented to this Board in June 2017.

2. Recommendations

- 2.1 It is recommended that the Audit, Risk & Scrutiny Board:
- Notes the contents of this report.
 - Notes the progress made by Children's Services in relation to actions mitigating service risks.

3. Background

- 3.1 At the midyear review of the register there has been good progress made in the control and management of the identified risks.
- 3.2 There have been no changes in terms of the risk scoring for any risks on the Children's Services Risk Register. The service risk profile is therefore unchanged:

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	1	9	3	0	13

3.3 Top Children's Services risks

The following provides a brief narrative update on the top Children's Services risks.

(1) Public Protection

Social work services, both in Children's Services and the Health and Social Care Partnership, have a public protection role relating to child protection, adult protection and protecting the public from offending behaviour. Effective partnership working with the police and other key agencies is critical to ensuring risk is appropriately managed.

(2) Disrupting the pattern that exists between poverty and attainment

Attainment is a highly complex subject where outcomes are influenced by many factors. We need to better understand these complexities and target our resources and efforts to disrupt the pattern in the relationship between poverty and attainment. This risk is also included on the Council's Strategic Risk Register.

(3) Workforce Planning and Organisational Development

Workforce Planning & Organisational Development: A flexible, skilled workforce is essential to the delivery of high quality social care services. If planning and development activity is not prioritised, it could lead to short- and long-term workforce difficulties. Recruitment of both permanent and supply teachers is a particular challenge.

Progress against planned actions

In relation to the 13 Children's Services Risks, there are 27 related actions to be undertaken. Updates on these are included in Appendix 1 to this report.

One action has been cancelled. This relates to the plans to introduce a minimum requirement of a degree-level qualification for residential staff. Nationally, the infrastructure is not in place to support this and the requirement has been postponed. All other actions are making good progress in relation to the agreed timescales.

Children's Services and the Corporate Risk Management Group continue to monitor the Children's Services Risk Register on a quarterly basis on behalf of the Corporate Management Team.

Implications of the Report

1. **Financial**

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

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

2. HR and Organisational Development

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

3. Community Planning

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

4. Legal

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

5. Property/Assets

Any property-related risks are reflected within Appendix 1.

6. Information Technology

Any risks relating to ICT are reflected within Appendix 1.

7. Equality and Human Rights

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

8. Health and Safety

Any risks relating to health, safety and wellbeing are reflected within Appendix 1.

9. Procurement

Any risks relating to procurement are reflected within Appendix 1.

10. Risk

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

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

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

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

11. Privacy Impact

Any risks relating to privacy matters are reflected within Appendix 1.

List of Background Papers

None

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Tel: 0141 618 6812; email Lisa.Fingland@renfrewshire.gcsx.gov.uk

Risk Register

Generated on: 27 September 2017

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.01 Public protection Encompassing: 1) Adult and child protection 2) Effective risk management 3) Management of high-risk offenders 4) Multi-agency training and procedures	Social work services have a statutory public protection role relating to child and adult protection and offending behaviour. Effective partnership working with key agencies and the police is critical to ensuring risk to and from individuals is effectively managed.	Director of Children's Services	* Multi-agency child and adult protection committees well established, with independent chair in place for both. * Procedures developed and implemented across partnerships through the child and adult protection committees and through North Strathclyde Community Justice Authority. * Transition Plan in place to support the development of a Community Planning Partnership model for delivery of community justice services. * Chief Officers Group, comprising of leaders from all relevant partners agencies, meet on a regular basis to discuss key issues. Joint Communications sub-group now established. * Multi-agency child and adult protection training programme in place, facilitated by dedicated trainer. * Practice and service quality subject to regular external scrutiny by Care Inspectorate and other bodies as required. * Female offenders service operational. * Management and supervision policies in place and levels of management review established. * Lead officers for child protection, public protection and community justice.	03	05	15
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSRR17.01	Ensure all relevant employees have the training, awareness and skills to keep those people at risk of harm as safe as possible.	A range of training modules are available in a number of different formats, and the Council also offers training on adult and child protection to partners free of charge. The child protection training programme has been updated to include internet safety and child sexual exploitation. This work is ongoing throughout the year.		Director of Children's Services	31-Mar-2018	
CHSRR17.02	Work with community planning partners to embed the Community Justice Renfrewshire Plan.	Community Justice Scotland have provided positive feedback on the first local plan. The community justice approach is embedded and managed through the Renfrewshire Community Justice Strategic Group. Work is underway to develop a		Head of Childcare and Criminal	31-Mar-2018	

		commissioning strategy approach for our plan.	Justice		
CHSRR17.03	Implement local action plan in response to recommendations made from the independent review of the circumstances surrounding the death of Bailey Gwynne.	A local action plan has been agreed following engagement with head teachers and the Renfrewshire Children's Services Partnership. The agreed plan was issued to HTs in August 2017 for immediate implementation. In addition, the Tackling Bullying policy will be revised after publication of new national. Implementation of both plans will be monitored by the chief officers group on an ongoing basis.	Head of Schools	31-Mar-2018	
CHSSIP17.06.06	Implement recommendations flowing from the national reviews of child protection and the care system.	Updates on the work of the national Child Protection Improvement Programme are reported to Renfrewshire Child Protection Committee and the Chief Officers Group. We will continue to monitor for local learning. The annual child protection updates have been delivered to child care and criminal justice staff over the summer period.	Head of Childcare and Criminal Justice	31-Mar-2019	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR16.02 Workforce planning and organisational development	Encompassing (1) Workforce planning: structural change and having a flexible, motivated and skilled workforce (2) Organisational development: management development, individual personal / employee development and performance management (3) Leadership and culture	A flexible and skilled workforce is essential to the future development of high quality services, and may lead to short and longer term workforce difficulties should this not be prioritised.	Assistant Director of Children's Services	* Representation on the Council's Workforce Development & Equality Group (WDEG) which is tasked on an ongoing basis with reviewing competency requirements for all job roles. * iLearn system in place providing online access to learning and development. * Dedicated training staff in place within the service. * Literacy Development Programme being rolled out.	03	04	12
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
CHS.SIP.17.02.03	Support and strengthen the professional capacity of staff through leadership and professional development.	A number of staff involved in the aspiring leaders programme have been appointed to substantive head teacher posts within Renfrewshire during the first quarter of 2017/18, and have taken up these posts. Professional learning programme for academic session 2017/18 has been established with enrolments demonstrating high levels of aspiration amongst staff, indicating a real desire for leadership input and opportunity. A social work supervision policy has been developed to support the new fitness to practice competencies required by the registering body SSSC. This is being rolled out on a phased basis.	Director of Children's Services	31-Mar-2020			
CHS.SIP.17.07.02	Ensure there is an appropriate level of staffing to deliver on the requirements of emerging policy developments relating to for example the Attainment Challenge, Pupil Equity Fund, and	Staffing levels in social work services are regularly monitored at regular management meetings. Staffing in schools remains challenging in relation to the availability of suitably qualified staff. An extensive recruitment exercise has been undertaken in order to	Assistant Director (Education)	31-Mar-2020			

	increasing early years provisions.	secure teachers to permanent contracts wherever possible. Vacancies are monitored on an ongoing basis.			
CHSRR17.02a	Implement a new supervision policy to support staff to register with the Scottish Social Services Council to consistently deliver high standards of practice	A social work supervision policy has been developed to support the new competencies required by the registering body, SSSC. This is being rolled out on a phased basis.	Head of Childcare and Criminal Justice	31-Mar-2018	
CHSRR17.02b	Prepare for the proposed introduction of degree level qualification minimum standards for residential childcare workers.	There has been a change in national policy on this and the action is therefore cancelled.	Head of Childcare and Criminal Justice	31-Mar-2018	
CHSRR17.02c	Undertake proactive programmes of work to attract and retain teaching professionals to roles in Renfrewshire.	A variety of measures have been put in place, many led by the workforce planning group, to maximise the attraction and retention of high quality teaching staff within Renfrewshire establishments. These have included: - Steps taken to increase awareness of our support programmes prior to students indicating their authority preferences by for example - Ensuring positive and supportive experiences for student placements - Participation by Renfrewshire head teachers in events within partner universities for prospective teachers; - Collaboration with higher education establishments delivering initial teacher education; - Feedback from former NQTs used to ensure enhanced support programmes for NQTs; - Participation in new routes to teaching eg involving STEM subjects; - Ambitious recruitment process for primary sector and targeted subjects in secondary to retain high quality newly qualified teachers within the authority; Enhanced advertising and promotional materials for teaching staff vacancies within Renfrewshire including promoted posts eg TESS contract; Communications team support to enhance the online profile of teaching vacancies in Renfrewshire;	Assistant Director (Education)	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.03 Unaccompanied Asylum Seeking Children	Providing care and support to unaccompanied asylum seeking children arriving from Europe and elsewhere	Director of	* Decision making founded on legal advice. * Regular strategic and operational meetings in place to manage the process. * Civil Contingencies Team actively involved in planning * Regular meetings of senior staff in place to deal with issues and take decisions.	03	03	9

Action Codes		Linked Actions	Latest Note	Children's Services	* Strong partnership working arrangements. * Constructive ongoing dialogue with Care Inspectorate. * Staffing model agreed and contingencies in place. * Corporate Management Team fully engaged.	Assigned To	Due Date	Status
		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.		Children's Services				
					No linked actions; risk tolerated.			

Context CHSRR17.04 Integrated service arrangements Encompassing: (1) Establishing strong links between services which remain the responsibility of Renfrewshire Council and those transferred to the Integration Joint Board. (2) Ensuring a smooth transition for those services delegated to the Integration Joint Board from 1 April 2016.	Risk Statement If the Council does not establish strong links between those services transferred to the Health and Social Care Partnership and those which remain with Renfrewshire Council, there is a potential risk to service users, employees, the community and the reputation of the services involved.	Owned by Director of Children's Services	Current Risk Control Measures * Programme Board overseeing arrangements for integrating services. * Children's Services management structure in place and Extended Senior Management Team meeting regularly * Chief Social Work Officer continues as professional lead for social work practitioners in both Children's Services and the Health and Social Care Partnership and will chair six monthly meetings of social work senior managers working in both services. * Heads of Service Liaison Group meeting 6-weekly to discuss operational and strategic issues.	Likelihood 03		Impact 03	Evaluation 9
Action Codes Linked Actions	Further extend and develop our approaches to integration across children's services to best support the	Latest Note Opportunities for redesigning services in family support areas are being explored, and options developed.		Assigned To Director of Children's Services		Due Date 30-Apr-2018	Status 
CHS.SIP.17.01.05							

	well-being of our children, staff, parents and carers.					
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.05 Development of early intervention and preventative services for children, whilst seeking to maximise opportunities for all. Encompassing: 1) Implementation of evidence-based programmes, with partners 2) Ongoing development of services for accommodated children and care leavers 3) Redesign of frontline social work services for children and families	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.	Director of Children's Services	* Ongoing development of in-house fostering service. * Introduction of evidence-based programmes with partners e.g. Triple P, Functional Family Therapy, Incredible Years. * New approach to permanency planning supported by CELCIS. * Redesign of social work fieldwork teams.	03	03	9
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSRR17.05a	Implement the Children's Services actions from the Tackling Poverty Strategy.	The literacy programme is proving to be highly effective and has been extended as a result of new funding as part of the Scottish Attainment Challenge.		Director of Children's Services	31-Mar-2018	
CHSRR17.05b	Continue to extend provision of the Promoting Positive Thinking Strategies (PATHS) programme	An additional 14 schools are now participating in this programme.		Head of Early Years and Inclusion	01-May-2018	
CHSRR17.05c	Developing the 'Family Firm' model to provide employment and training opportunities for looked after children.	The Family Firm approach has been identified by our looked after young people as an approach they would wish to see developed, in order to assist them in securing positive destinations. A short-term post has been established to develop the pathways and information for partners to ensure the sustainability of the approach.		Head of Childcare and Criminal Justice	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.06 Failure of major providers	Encompassing (1) Monitoring of external commissioning / procurement activity	Failure or loss of a major service provider may impact on our capacity to protect vulnerable children and adults.	Director of Children's Services	* Appraisal of providers conducted as part of procurement process. * Purchasing patterns monitored by finance managers and senior operational managers within the service. * Programme of reviews of all service providers. * Main providers registered and inspected by the Care Inspectorate, with reports accessible for review. Participation in local and national contingency arrangements relating to providers facing financial uncertainty to ensure minimal impact on local service users.	03	03	9
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
No new actions; risk tolerated.							

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CHSRR17.07 Financial and demographic pressures	Encompassing (1) Medium and longer term financial planning (2) Corporate and service review activities (3) Strategic commissioning approach (4) Development of cost care models	If the service's financial and demographic pressures were not effectively planned for and managed over the medium to longer term, this would impact on the ability of the service to deliver services to the most vulnerable people in Renfrewshire.	Director of Children's Services	* Long term financial planning processes, including roll out of strategic commissioning approach. * Budget monitoring processes in place and subject to ongoing review. * Client group budget management meetings held. * Programme of financial management training in place for budget holders. * Eligibility criteria established as appropriate. * Programme of service reviews in place. * Investment in service redesign opportunities to improve efficiency and effectiveness.		03	03	9
Action Codes		Linked Actions	Latest Note			Assigned To	Due Date	Status
CHS.SIP.17.02.04		Further develop our early years curriculum to support new legislation and in particular the additional hours being allocated for early learning and childcare.	Work is underway in terms of planning the expansion of early learning and childcare from 600 hours to 1140 by 2020. A phased approach is currently being developed. A plan which outlines Renfrewshire's expansion proposal has been submitted to the Scottish Government. Governance arrangements have been established to support the expansion, this includes a steering board, workforce, infrastructure and policy groups. Renfrewshire is also an active member of the West inter-authority partnership group on the expansion of 1140 hours of early learning and childcare. The focus for this group relates to quality, workforce and delivery models.			Head of Early Years and Inclusion	31-Mar-2020	

CHSRR17.07.a	Implement change activities and associated savings targeted through the Better Council Change Programme.	The service continues to progress this programme.			Director of Children's Services	31-Mar-2018	
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Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.08 Data Protection Encompassing (1) Subject Access Requests (2) Data sharing agreements	Failure to develop and implement robust procedures around data protection could lead to inappropriate sharing of sensitive information and potential sanctions from the Information Commissioner.	Director of Children's Services	* Process developed for responding to requests for personal data. * Process developed for managing electronic and manual record containing personal data. * Data protection training and awareness sessions offered to relevant staff within the service.	03	03	9
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
		No new actions; risk tolerated.				

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.09 Continuous Improvement Encompassing 1) Programme of self-evaluation in educational establishments based on How Good Is Our School? 2) Supported self-evaluation with the Care Inspectorate 3) Case file auditing	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.	Director of Children's Services	* Registered services subject to regular inspections by Care Inspectorate * Schools subject to regular inspection by Her Majesty's Inspectorate of Education. * Regular programme of external scrutiny by Care Inspectorate and HMIIE for the whole service. * Inspection activity reported to Policy Board and Council as appropriate.	03	03	9
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CHS.SIP.17.03.01	Broaden our approach to self-evaluation to ensure a consistency of rigour which will support the ongoing cycle of review and improvement planning.	Our approach to self-evaluation, standards and quality and establishment improvement planning was revised for session 2017/18. Revisions include better focus on the core QIs used by Education Scotland and also the requirements of the national improvement framework. Changes to our review and external quality assurance processes have been made, in collaboration with head teachers, in the new school session which will facilitate greater support and challenge for our	Assistant Director (Education)	30-Jun-2018		

		establishments.				
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.10 Property	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.	Head of Schools	School Estate Management Plan (SEMP) being implemented. Consultative processes are in place to ensure stakeholders contribute to the design and upgrade of new and refurbished properties. Liaison with the corporate asset management section in relation to the corporate asset management strategy. Health and safety monitoring and liaison groups established where appropriate. School disruption management plans are in place where appropriate.	02	04	8
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHS.SIP.17.07.01	Manage and deliver the modernisation of the school and early years estate to improve the environment that supports learning and teaching for children and young people.	The delivery of the School Estate Management Plan is ongoing: The new St Fergus' Primary School opened to pupils in April 2017 with the official opening ceremony in September 2017; The refurbishment of Mossvale and St James' Primary Schools is now complete with both schools fully operational in the refurbished shared site; Riverbrae School opened in August 2017; The construction phase for the new Bargarran and St John Bosco Primary Schools commenced in early 2017 with the project on programme for completion in June 2018; The construction phase for the new St Paul's Primary School and Foxlea Pre 5 Centre commenced in May 2017 with the project on programme for completion in June 2018; The planning phase for St Anthony's Primary School and Spateston Pre 5 Centre continues to be developed; and		Head of Schools	31-Mar-2020	

			The expansion of early years provision necessitates a review of existing accommodation and consideration of new buildings to provide the additional spaces required. A feasibility study is being undertaken to establish the infrastructure adaptations required to deliver 1140 hours of early learning and childcare.			
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.11 Lifelong Learning The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens. In addition The Council provides a range of programmes to develop the skills young people need for adult life. It is essential to manage risk as failure to do so might impact on our capacity to support young people into positive destinations.	The Council provides services to assist schools in the delivery of the curriculum. It is essential to manage risk as failure to do so might impact on our capacity to promote effective learning and teaching and provide access to learning opportunities which support our children and young people to become successful learners, confident individuals, effective contributors and responsible citizens. In addition The Council provides a range of programmes to develop the skills young people need for adult life. It is essential to manage risk as failure to do so might impact on our capacity to support young people into positive destinations.	Director of Children's Services	*Community learning and development services working in partnership with schools. *Opportunities for continuing professional development in approaches and method. *High quality professional development opportunities through leadership development programme for teachers at all levels. * Recognition of learners' achievement. * Establishments and services engage in self evaluation to improve learning and teaching. * Establishment review teams monitor performance. * Increased focus within schools on employability skills * Monitoring of pupil participation in vocational programmes and award schemes.	02	03	6
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CHSRR17.11a	Improve outcomes for families through community based adult learning opportunities focused on literacies, ESOL, and Work.	The team continues to support families and adult learners and has a particular focus on family learning initiatives centred on literacy and numeracy. New programmes centred on Family Learning are being delivered and progressed through the Scottish Attainment Challenge Fund. Support for refugees or new		Head of Early Years and Inclusion	31-Mar-2018	

		Scots is ongoing.			
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Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CHSRR17.12 Potential Fraud	The council implements a range of measures to prevent and detect serious organised crime and corporate fraud. Should measures not implemented and monitored effectively there would be increased threat to resources and security of information.	The service is mindful of activities that could be open to potential fraud. If these activities are not sufficiently scrutinised there could be financial and reputational impacts to the council.	Director of Children's Services	* The service is represented on the council's Integrity Group *Fraud specific controls are not in the public domain and are recorded elsewhere.	01	03	3
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
No new actions; risk tolerated.							

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
SRR17.06.07 Disrupting the pattern that exists between poverty and attainment	Attainment is a highly complex subject where outcomes are influenced by many factors. We need to better understand these complexities and target our resources and efforts to disrupt the pattern in the relationship between poverty and attainment. Otherwise, there will be a risk that: • We don't raise attainment or break the poverty cycle • We raise attainment	Assistant Director (Education)	Control Measures Attainment Challenge Plan for Renfrewshire, including • Additional staffing resource to support schools • Monitoring and tracking of data on attainment • Use of standardised assessments • Establishments and services engaging in self-evaluation to improve learning and teaching • Establishment Review Teams monitoring performance and linking to inspection activity • Investing in the Education Workforce plan • Compliance with the provisions of the Children and Young People (Scotland) Act 2014	03	05	15

but widen the poverty-related attainment gap, meaning that younger people find it more difficult to compete with their peers and move into positive and sustainable destinations. There is an additional and high reputational risk associated with the accountability and the responsibility for targeted government funding.						
	Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
	CHS.SIP.17.02.01	Develop and implement a strategic vision for learning and teaching within and across Early, Primary and Secondary sectors.	Four development officers are now in post and are progressing developments in the four key areas of literacy, numeracy, assessment and transition. Analysis and the depth of the work being progressed is included in the reporting arrangements for the Attainment Challenge Plan.	Assistant Director (Education)	31-Aug-2018	
	CHS.SIP.17.02.02	Develop our approaches to the curriculum in the Broad General Education to meet the needs of all.	Work is underway to continue to improve attainment in literacy and numeracy. The attainment challenge development officers have action plans in place in terms of training programmes and approaches. This session a focus will be on improving transitions for children and young people at P7 and in the early years.	Assistant Director (Education)	30-Jun-2019	
	CHS.SIP.17.03.02	Support all establishments in developing effective approaches in the analysis of data to affect improvement in learning and teaching and the quality of care.	Through the Scottish Attainment Challenge we have enhanced our support to establishments in the analysis of data to support planning an improvement. Through 17/18 some of the tasks we will be completing will include: • Supporting the handling and analysis of data at school level; • Better reporting to corporate management team and board on attainment; • Building school 'profiles' to better support the quality assurance process; and • Implementing the new national standardised assessments in P1, P4, P7 and S3.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.03.03	Further develop reporting of management information to inform policy and practice including meeting the needs of the National Improvement Framework.	A data workstream has been developed as part of our approach to the attainment challenge which brings with it enhanced capacity for gathering and reporting data to support equity and excellence in our schools. Also, two research assistants have been appointed to our educational psychology service to assist the service and schools evaluate the impact of interventions which	Assistant Director (Education)	31-Aug-2018		

		will be made as part of the attainment challenge.			
CHS.SIP.17.04.01	Provide high quality education and support to narrow the outcomes gap for children from disadvantaged groups.	A full analysis now exists to allow us to identify where the gaps are, determine baseline figures and therefore enable measures of change as we progress. Significant work is taking place as detailed within the Attainment Challenge planning and reporting.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.04.02	Continue to develop the Senior Phase to ensure appropriate pathways for our young people are giving them the best opportunity to achieve qualifications and awards at the highest level.	Initial discussion and analysis of performance has taken place with all Secondary Heads and deputies to improve understanding of where we are and what steps need to be taken to support improvement. Schools have been asked to reflect this in their planning and this will be followed up through forthcoming attainment visits.	Assistant Director (Education)	31-Mar-2020	
CHS.SIP.17.04.03	Provide children and young people with opportunities to participate in activities which provide a vehicle for wider achievement.	The team continues to target youth work activities to young people in schools and communities and offers a comprehensive youth work programme in support of the action. A recent Youth Assembly enabled young people to identify and focus on key issues and resulted in the creation of a youth commission looking at Bullying and its impacts on Health & Wellbeing.	Assistant Director (Education)	30-Jun-2018	
SRR17.06.07b	Appropriate progress throughout session 17/18 on agreed priorities highlighted on Renfrewshire's Scottish Attainment Challenge bid which has been submitted to Scottish Government.	The Attainment Challenge strategy has increased in pace significantly due to key personnel being recruited and in post. As an authority we have developed short, medium and long term outcomes for each project. We are able to present initial evidence demonstrating the positive impact that projects are having on pupils, families and communities in Renfrewshire.	Assistant Director (Education)	31-Mar-2018	
SRR17.06.07c	Schools to make appropriate progress on priorities highlighted in individual Pupil Equity Funds	All PEF plans were subject to review by education managers and through peer review sessions with head teachers to ensure that plans were adhering to the conditions set out in the national guidance. An education manager has now been allocated PEF coordination within their remit and has begun the process of looking at the plans in the context of recruitment and procurement and the articulation with the priorities of the attainment challenge. Links have also been made with our corporate services business support to ensure schools are well supported in terms of recruitment and the management of their PEF budget. It is likely that plans will be amended through the course of the year if interventions are found to have minimal impact or if issues with recruiting appropriate staff arise.	Assistant Director (Education)	31-Mar-2018	



To: Audit, Risk and Scrutiny Board

On: 6 November 2017

Report by: Acting Director of Development and Housing Services

**Heading: Development and Housing Services Risk Management Plan
2017/18: Mid Year Progress Report**

1. Summary

- 1.1 In keeping with 'Risk Matters', the council's risk management strategy, the Board is provided with a midyear progress report on the management of the risks recorded in the services' Risk Management Plan.
 - 1.2 This paper provides the midyear progress report on the management of the service's risks.
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2. Recommendations

- 2.1 It is recommended that the Policy Board notes and is assured by the progress being made by the service in the management of the risks identified.
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3. Background

- 3.1. On 6 June 2017 the Housing and Community Safety Policy Board approved the Development and Housing Services Risk Management Plan 2017/18.
- 3.2. This paper provides a midyear progress report on the management of the identified risks. The complete risk register, showing risks, planned actions and progress is provided in Appendix 1.
- 3.3. The table below compares the risk profile at the beginning of 2017/18 with the current mid year profile :

Evaluation:	Low (1-3)	Moderate (4-9)	High (10-16)	Very High (17-25) *	Total
Opening No. of Risks:	0	10	4	1	15
Mid Year No. Of Risks	0	10	4	1	15

*The very high risk, (ordinarily outwith the council's tolerance for adverse risk), relates to financial sustainability.

- 3.4. This table highlights that there has been no change in the risk profile for the service in the first half of this financial year.
- 3.5. The level of risk associated with the service's top 5 areas of risk have therefore remained as noted below :-

TOP 5 Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	05	05	25	Very High
2) City Deal	03	05	15	High
3) City of Culture Bid 2021	03	05	15	High
4) House building and community regeneration	03	05	15	High
5) Museum Project	03	05	15	High

- 3.6. At the midyear review of the register there has been good progress made in the control and management of the identified risks although there has been no change to the scoring of these risks at this point.
- 3.7. In relation to the 15 service risks, there were 19 actions to be undertaken in relation to the risk register or linked actions from the Service Improvement Plan. At this stage all actions are progressing as expected and none are overdue. It should be added that a new action was added during the year in relation to the submission of the stage 2 City of Culture 2021 bid after Paisley was successfully shortlisted in June.
- 3.8. The service's management team continues to monitor the risks on a quarterly basis. The service continues to apply proportional levels of risk management activity in order to either keep the risks controlled to an acceptable level during this year of significant challenge or further reduce their significance by the end of the year.

Implications of the Report

1. **Financial** - The Senior Management Team considers that recurring costs associated with the measures in place for each risk are proportionate to the level of risk, as are the costs relating to actions underway.
2. **HR & Organisational Development** - Risks relating to personnel/ workforce issues are reflected within Appendix 1.
3. **Community Planning** - None.
4. **Legal** - Risks relating to legal issues are reflected within Appendix 1.
5. **Property/Assets** - Risks relating to property issues are reflected within Appendix 1.
6. **Information Technology** - Risks relating to IT issues are reflected within Appendix 1.
7. **Equality & Human Rights** - Risks relating to equality issues are reflected within Appendix 1.
The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report because it is for noting only. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** - Risks relating to legal issues are reflected within Appendix 1.
9. **Procurement** - Risks relating to procurement issues are reflected within Appendix 1.
10. **Risk** - Risks relating to legal issues are reflected within Appendix 1.
11. **Privacy Impact** - None.
12. **COSLA Policy Position** – Not applicable.

List of Background Papers

- (a) Background Paper - None

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Development and Housing Services Risk Register

Appendix A



Report Type: Risks Report
Report Author: Finance Manager

Priority 1: A Better Future - PLACE
Objective 01 Driving Physical & Economic Regeneration

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.01.01 Regeneration of Renfrewshire's Town Centres Context: *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.	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.	Head of Regeneration	Town Centre Regeneration - All regeneration projects are managed using the Councils Project Management Framework. - Regeneration projects are reported through a Programme Board chaired by the CE and Council Boards. - Progress against key milestones, and funding and other risks are regularly monitored. - 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. - Funding of key regeneration projects supported through applications to appropriate funding sources. - Final UK City of Culture Bid was submitted on 29 Sept 2017 (outcome to be announced in Dec). - In Sept 2017 a revised Round 1 HLF bid for funding was approved by for the redevelopment of Paisley Museum and a Stage 1 funding bid was submitted to Sc Gov RCGF fund (outcome known in Dec). £4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre (TH/CARS2 project). - Preparation and consultation on Town Centre Strategies for Linwood, Johnstone, Erskine, Braehead and Renfrew completed. - Town Centre strategies agreed to Board for Renfrew and Erskine Paisley Town Centre Heritage Asset Strategy (PTCHAS) - Paisley Heritage Asset Strategy approved in January 2014. - Paisley BID (Business Improvement District) Steering Group established, the Council is represented on the BID. - The £5m refurbishment of the iconic Russell Institute was	03	04	12 Moderate

Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status
DHRR17.01.01a	Deliver the Paisley Town Centre Action Plan 2016-2026.	completed in Summer 2017 and the building is now fully operational. £4.5m funding for Phase 2 approved by HLF / HES for further townscape heritage priority projects in Paisley Town Centre. - Retail incubator established in Paisley Town Centre with the 2nd intake of start-ups due to move in late 2016. - Building purchased at No.22 High Street, Paisley for the Learning & Cultural Hub incorporating the relocation of Paisley Central Library and £1.5m Sc Gov RCGF funding was secured. Engagement continues with key stakeholders.	Head of Regeneration	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.01.02 House building and community regeneration Context: *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. TOP 5 RISK	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.	Director of Development & Housing Services	<u>House building and encouragement of investment</u> - Promotion/Marketing of Renfrewshire as a place to invest eg. attending MIPIM conference with Invest in Glasgow team, March 2016, and preparation of an Investment Prospectus for Renfrewshire in 2017. - Consultation on the new draft Strategic Housing Investment Plan 2017/18 - 2022/23 was carried out in September 2017. This will be presented to Board on the 7 November 2017 and submitted to the Scottish Government. The SHIP sets out key investment priorities for affordable housing which will assist in achieving the outcomes set out in the Renfrewshire Local Housing Strategy delivering at least 200 affordable homes each year. - Main Issues Report for LDP 2 was approved for consultation in January 2017. It concentrated on the main changes, emerging issues and key opportunities for future development in Renfrewshire. The outcome of the consultation was reported to Board on the 29 August 2017 with 240 representations received. The next stage in the preparation of the Plan, the Proposed Renfrewshire Local Development Plan, will be reported to Board early in 2018. - 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. - The Renfrewshire Local Housing Strategy 2016-2021 Annual Update was reported to Board on the 29 August 2017. The Local Housing Strategy 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> The Council has identified a number of priority regeneration projects in local residential communities through the SHIP process. These include:- - Paisley West End – On the 20 April 2017, the Council agreed a draft Paisley West End Regeneration Masterplan as the basis for consultation. Consultation and engagement events were carried out in June 2017 with ongoing engagement occurring with those that were not able to come along to the June events. A Report was presented to the Leadership Board on the 19 September	03	05	15 High

				2017 on the consultation and engagement with tenants and owners in the area. Work will continue in relation to the proposals and the cost of the plans and this will be reported to a future meeting of the Leadership Board early in 2018. • Ferguslie Park Regeneration Plan – Following consultation and engagement on draft proposals for the development of sports facilities and housing investment, a progress report was presented to the Leadership Board on the 19 September 2017. A final assessment of the costs and funding opportunities for the development of St James Park will be completed along with works to review options for housing investment. This work will be reported to future Boards. • Orchard Street housing regeneration – In March 2017 the HaCS Policy Board authorised Housing Renewal Area Designation Order. • Johnstone Castle – HaCS Policy Board authorised promotion of CPOs in January 2017 to facilitate Council housing new build development. One of the two CPOs has been successfully promoted by the Council and confirmed by the Scottish Government. Work continues on the promotion of the second CPO. • Bishopton – around 2,500 homes being provided in a new community on brownfield site which will also contain education and community facilities. Approx. 25% of the new housing will be in the affordable category. The first phase of new Council housing will commence early in 2018 with 80 new social rented homes constructed. Over 300 private sector affordable homes have already been delivered on site. A further 120 homes for social rent will be delivered in the next few years along with other tenure types of affordable homes to provide a mixed new community. <u>Community Regeneration</u> • 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. • The Local Housing Strategy 2016-2021 and the next Local development Plan (Proposed LDP to be prepared early in 2018) will provide the policy context for ongoing investment and interventions. • Regular consultation and liaison with Scottish Government officials will ensure that funding opportunities are maximised and that the proposals in Renfrewshire align with emerging national priorities. • The Planning & Housing Section with the Service has been		
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Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status
DHRR17.01.02a		Progress consultation on Paisley West End proposals with tenants and residents	augmented and work programme aligned to ensure that resources are available to address the consultation, monitoring and delivery of regeneration activity. An update on housing investment in Ferguslie Park was reported Leadership Board on the 19 September 2017 outlining the outcomes of community consultation on proposals.	Head of Regeneration	31-Mar-2018	
DHRR17.01.02b		Develop detailed proposals and business case for the Regional Sports Facility	The Paisley West End Regeneration Masterplan was the subject of an extensive public consultation exercise in summer 2017. The final version of the Masterplan was then approved by Leadership Board in September 2017. A further report on the financial implications of delivering the Masterplan will be reported to Board in December 2017 ahead of a development partner being procured to implement the Masterplan with the Council. In June 2016 Renfrewshire Council took the decision to consider options for the development of new sports facilities at St James Park, Paisley. A report to the Leadership Board in September 2017 outlined a proposal for significantly redeveloped facilities at the Park, alongside facilities that will allow for the staging of a wider variety of large scale outdoor events. The Park has been identified in the City of Culture bid as a key outdoor venue for such events.	Head of Regeneration	31-Mar-2018	
DHRR17.01.02c		Consult on the Draft masterplan for Ferguslie Park Regeneration	Officers have been asked by Council to develop further options for residential development and investment in the Tannahill area of Ferguslie Park. These options will be developed and presented to Board early in 2018.	Head of Regeneration	31-Mar-2018	
DHRR17.01.02d		Promote the use of CPOs to facilitate Council housing new build development in Johnstone Castle	One of the two CPOs has been successfully promoted by the Council and confirmed by the Scottish Government.	Head of Regeneration	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.01.03 City Deal	The development, design, construction, operation and maintenance of the major projects being funded through City Deal must be effectively managed to ensure they are delivered on time and on budget and in compliance with the requirements of the City Deal Assurance Framework. All funding conditions and business case assumptions must be accurate to allow the grant funding to be received. Failure to manage the delivery of the projects, their outputs & outcomes and meet the requirements of the Assurance Framework could result in project delays, additional costs, loss of grant funding and reputational damage.	Project Director - City Deal	City Deal - All projects will be managed using the Council's established Project Management Framework and the City Deal Assurance Framework. - The Glasgow City Region Finance Group meets four-weekly to review the financial monitoring and all financial matters in relation to the Programme. - Internal governance continues via the City Deal Programme Board (chaired by the Chief Executive), via the Joint CE Steering Group for the AAP, and the Leadership Board. - Dedicated City Deal Project Team with Project Director and relevant experience of delivering major infrastructure projects in place and making good progress. - Outline Business Cases for the 3 Renfrewshire projects were approved at the Councils Leadership Board on 30 November 2016 prior to submission to and approval by the Glasgow City Region City Deal Cabinet on 12 December 2016. - Individual risk registers in place for each project which are formally reviewed on a monthly basis.	03	05	15 High
Context: The Glasgow City Region Deal will deliver an investment in infrastructure of £1.13bn across the Glasgow City Region, including £274m on three infrastructure projects in Renfrewshire, together with additional investment into employment support through the Labour Market Projects. The specific Renfrewshire Infrastructure projects are: 1) Airport Access (AAP) (jointly delivered with Glasgow City Council) 2) Clyde Waterfront and Renfrew Riverside (CWRR) 3) Glasgow Airport Investment Area (GAIA) 4) Labour Market Projects						
TOP 5 RISK						
Action Codes	Linked Actions		Latest Note	Assigned To	Due Date	Status
DHRR17.01.03a	Continue, with partners, to develop the role of the Airport Investment Area Steering Group to maximise the economic role of the Investment Area.		Following its establishment in August 2016, the GAIA Steering Group (involving Scottish Enterprise, Glasgow Airport, Glasgow City Council and Glasgow and Renfrewshire Chambers) continues to meet on a monthly basis.	Head of Regeneration; Project Director - City Deal	31-Mar-2018	
			Renfrewshire Council are represented on the Delivery Group for the National Manufacturing Institute for Scotland (NMIS) for which GAIA is considered to be a strong contender for the location of NMIS.			
			Glasgow City Council colleagues exhibited GAIA collateral at the Expo Real (international trade fair for real estate and investment) in Munich from 4th to 6th October 2017. Information was also submitted to Department for International Trade for consideration			

		of GAIA being included in a national prospectus to attract capital investment to Scotland.			
DHRR17.01.03b	Submit Planning Applications for GAIA & CWRR	Following statutory consultation in May 2017, the planning applications for both CWRR & GAIA projects were submitted on 04 July 2017. The planning application for GAIA is currently being assessed by the planning authority, with a determination expected by early November. Following a request made by Renfrewshire Council, in agreement with Glasgow and West Dunbartonshire Councils, the Scottish Government has now confirmed that Ministers will determine the planning application for the Clyde Waterfront and Renfrew Riverside project. The Reporter appointed by the Scottish Government will outline the timetable for the process to determine the planning applications.	Project Director - City Deal	30 June 2017	
DHRR17.01.03c	Commence Procurement Process for GAIA & CWRR	A Contract Notice for the Design and construction works for the Glasgow Airport Investment Area (GAIA) Project to the Official Journal of the European Union (OJEU) for publication on 4 September 2017. The Council published the Invitation to Participate documents through the Public Contract Scotland tender system on 6 September 2017. The requests to participate received will be assessed with invitation to tenders expected to be issued in November, subject to a positive outcome to the planning application. Invitation to Participate documents are expected to be published for the CWRR project in December with Invitation to tenders expected to be published in February 2018, subject land acquisition and planning outcomes.	Project Director - City Deal	31 March 2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.01.04 Unemployment Context: (1) Immediate considerations such as tackling worklessness and youth unemployment (2) Supporting local Businesses and start-ups. (3) Employability initiatives. (4) Maximising external funding. (5) Other public focused issues that may emerge from the Council Plan / SOA indicators.	The Economic climate has recovered significantly however the impact of BREXIT could still have a major impact on businesses and employment opportunities both locally and nationally. If the council and its key partners do not effectively manage these challenges there is a risk of increased poverty, homelessness, worklessness, youth unemployment and businesses failing.	Head of Regeneration	<u>Invest in Renfrewshire</u> - The business and employability teams are experienced in delivering similar programmes. - Administrative processes and awards of grants have been audited and checked by legal services. - Partnership agreements are signed with all companies involved with the programme. - A sound procurement process is in place for the programme. <u>Employability Initiatives</u> - Invest in Renfrewshire (IIR) provide a greater focus on particular groups who are furthest from the labour market and the services offered will be more intensive and with greater barrier removal support. - This is delivered through a mix of in-house delivery, partnership funding and contracted activity and in order to recognise the changing demographics of the unemployed population, the range of youth services is now available to people up to the age of 29 while an enhanced programme of Adult Employability Services has been developed partly in relation to the emerging programmes which are being delivered through the City Deal.	03	04	12 Moderate
Action Codes	Linked Actions		Latest Note	Assigned To	Due Date	Status
DHRR177.01.044a	Continue to deliver the Renfrewshire Local Employability Partnership as the Council's response to the shared services agenda.	Renfrewshire Local Employability	Renfrewshire Council is the lead of a City Region Youth Employability approach with a joint programme running from 2015-2018 and RC lead to develop a new model for City Region delivery in 2019.	Economic Development Manager	31-Mar-2018	
DHRR177.01.044b	Develop the Invest in Renfrewshire programme to offer an enhanced role in tackling the economic and social challenges impacting on individuals and businesses.	Renfrewshire programme to offer an enhanced role in tackling the economic and social challenges impacting on individuals and businesses.	The IIR programme now offers a much wider range of services and support to both individuals and businesses.	Economic Development Manager	31-Mar-2018	
DHRR177.01.044c	Deliver Business Gateway (BG) and wider Business Development services in Renfrewshire.	Renfrewshire wider Business Development services in Renfrewshire.	The BG service has been brought in-house and the service is progressing well allowing better use of available resources to deliver a more integrated service to local businesses.	Economic Development Manager	31-Mar-2018	

Priority 1: A Better Future - PLACE
Objective 02 Building on our Culture & Heritage

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.02.05 Museum Project <u>Context:</u> The £49m museum redevelopment project is the flagship of the Paisley Heritage Asset Strategy approved in January 2014 and includes the relocation of the Museum Store and the Library. TOP 5 RISK	All high profile cultural and heritage programmes/ projects 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.	Director of Development & Housing Services	Museum Project - The projects will be managed using the Council's established Project Management Framework - Round 1 HLF funding bid for £4.9m approved in Sept 2017 for the redevelopment of Paisley Museum. Round 2 bid being developed for submission in 2019. A Stage 1 application was submitted to Sc Gov RCGF for a grant of £4m (outcome known in Dec). - A detailed risk register has been prepared for this project and this is updated regularly and reported to the Project Board. This includes the management of risks relating to community engagement, funding availability, the exhibiting of collections and the complexity of the buildings among many others.	03	05	15 High
Action Codes	Linked Actions		Latest Note	Assigned To	Due Date	Status
DHRR17.02.05a	Progress the Proposed new Paisley Lending Library in town centre.		No 22 High Street, Paisley purchased by Council June 2016. Initial site investigations and surveys completed. Feasibility study of development options are being prepared through Hub West. Detailed risk register prepared for the project.	Head of Regeneration	31-Dec-2020	
DHRR17.02.05b	Prepare for the Museum store project official opening in October 2017 when the project is completed.		The Museum store facility is now completed. The date of opening has been slightly delayed due to the issues involved in relocating the collections from their existing storage location. The store will now open to the public in early December 2017.	Head of Regeneration	31 Oct 2017	
DHRR17.02.05c	Identify temporary accommodation and appropriate funding for the decant/recant of the Lending Library.		Options appraisal being undertaken on potential locations for temporary library within Paisley Town Centre.	Head of Regeneration	31-Jun-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.02.06 City of Culture Bid 2021 Context: *Developing the bid for Paisley to be the 2021 UK City of Culture *Implementing the Renfrewshire Tourism Framework and action plan. TOP 5 RISK	All high profile cultural and heritage programmes/ projects 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.	Director of Development & Housing Services	UK City of Culture Bid 2021 * Partnership Board and Executive Group set up to co-ordinate the Bid process in 2015. * Engagement with local community and stakeholders to escalate during 2016. * Culture Events and Heritage Fund launched Feb 2016 for community groups to apply for financial support for building cultural capacity. * Multiple cross stakeholder groups established and progressing spring 2016. * Various engagement and stakeholder opportunities have been held. * Programme producers have been appointed to actively pursue funding in development phase. * The stage 1 bid was submitted prior to the Government deadline of 28 April 2017. * DCMS confirmed that Paisley had made the shortlist in July 2017 and provided new guidance for the final stage bid submission. * Final submission deadline is 29 September with a decision anticipated in December 2017.	03	05	15 High
Action Codes	Linked Actions		Latest Note	Assigned To	Due Date	Status
DHRR17.02.06a	Submit a stage 2 bid by the deadline of 29 September 2017. (New action added after the announcement in June 2017 that the stage 1 bid was successfully shortlisted).	Director of Development & Housing Services	The final bid was submitted on 29 September 2017 with an announcement expected in December. The assessment process will encompass a visit by the competition judges to Paisley on 24 October and a final pitch of Paisley's bid to the judges on 5/6 December in Hull. In anticipation of success and recognising the necessity of quickly transitioning from bidding to delivery, preparatory work to establish the 2021 delivery company and the capital investment works to key venues and public realm has begun.	Bid Director	30 Sept 2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.02.07 Planning and Development Activity <u>Context:</u> (1) Maximising the benefits for the area through targeted planning and development activity. (2) Promoting investment in existing and new housing (3) Growing population levels. (4) Sustainable development to ensure the natural environment and biodiversity of Renfrewshire is protected and where possible enhanced.	Effective, targeted planning and development activity is required to :- a) Maximise benefits for the area and its residents. b) Promote investment in existing and new housing which contributes towards growing population levels. c) Ensure the natural environment and bio diversity of Renfrewshire is protected and where possible enhanced through sustainable development.	Head of Planning and Housing Services	* The Local Housing Strategy (2016 - 2021) sets out the strategic approach to how the Council and its partners intend to deliver high quality housing and housing related services across all tenures to meet housing need and demand across Renfrewshire. * The Strategic Housing Investment Plan (SHIP) sets out how the grant funding from the Scottish Government's affordable housing programme will be targeted in Renfrewshire to help achieve the Local Housing Strategy strategic outcomes, delivering the right type of housing in the right places, achieving local housing supply targets and assisting in meeting the Scottish Government's national target of 50,000 affordable homes over the next few years. * Local Development Plan sets out the Council Spatial Strategy to facilitate investment and guide the future use of land in Renfrewshire. *The transformational development at the former Royal Ordnance Factory in Bishopton, the new Dargavel Village, is delivering a masterplanned approach with the delivery and implementation of new homes, roads, a new centre, service and other facilities as well as enhancing access and green networks. * The Johnstone South West Community Growth Area is aiming to deliver around 500 new homes in the area. * Ongoing modernisation of the Planning System designed to support sustainable investment. * The updated Renfrewshire Local Development Plan sets out an economic framework for investment. The Glasgow City Region City Deal present the delivery mechanism for strengthening and growing Renfrewshire's economy.	03	04	12 Moderate
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
DHRR17.02.07a	Implement the Objectives of the Local Development Plan	The Renfrewshire Local Development Plan sets out an ambitious framework to assist in the successful implementation and delivery of the objectives, strategy and proposals set	Head of Planning & Housing	31-Mar-2018		

		out within the Plan. 51 Actions were set out in the Action Programme. A recent review of the implementation of the Actions revealed 45 out of the 51 Actions have been progressed or completed to date. A few of the significant actions that have been implemented are as follows: Delivering the Economic Strategy - The framework and spatial strategy set out in the Renfrewshire Local Development Plan has provided the spatial context for the successful delivery of the Glasgow City Region City Deal projects in Renfrewshire; Delivering the Centres Strategy - The approval of the planning application for Braehead which contained the ambitious Masterplan for the area, that will support and strengthen the role, function and diversification of this Strategic Centre in Renfrewshire, was based on a strong framework for investment, regeneration and placemaking which is the focus of the Renfrewshire Local Development Plan. The Council continues to work with the owners of Braehead to implement and successfully deliver the elements of the masterplan. Centre Strategies and Action Plans have been approved by Board for Renfrewshire's other town centres including Paisley, Johnstone, Erskine, Linwood and Renfrew. Each of these strategies set out actions to be carried out in the short to medium term, two - five years, with the strategies being reviewed every two years to ensure they are up to date, continuing to deliver opportunities for Renfrewshire's Centres. Delivering the Places Strategy - There has been significant progress at both the Community Growth Areas of Johnstone South West and Bishopston - Dargavel Village. Both have seen a significant number new houses and infrastructure being successfully implemented, creating sustainable mixed communities. Focusing on creating good places within existing built up areas has meant a reduction in Renfrewshire Council's vacant and derelict land, however more importantly it has meant a range and choice of new residential homes within existing communities. To date around 770 new homes have been constructed at Dargavel Village and around 200 new homes at Johnstone South West. A review of the Adopted Renfrewshire Local Development Plan is currently being undertaken and is subject to extensive consultation and engagement with many stakeholders to ensure the Local Development Plan remains relevant, up to date and provides an ambitious vision and framework to guide development and increase investment. The updated Renfrewshire local Development Plan will continue to focus and facilitate investment by directing development to existing built-up areas, creating sustainable mixed communities, high quality places along with delivering sustainable economic growth across Renfrewshire. In delivering the strategic outcomes of the Renfrewshire Local Housing Strategy (2016 - 2021), the updated Renfrewshire Local Development Plan will require to set out sufficient land to deliver the new homes in line with the new Housing Supply Targets outlined in the Local Housing Strategy. It will also require to provide a range and choice of sites to accommodate housing for key specific		
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DHRR17.02.07b	Support Development at key business and employment locations identified in the Strategic Development Plan	housing groups such as housing for older people and Gypsy/Travellers and Travelling Showpeople. The ambitious programme set out in the Strategic Housing Investment Programme to deliver new affordable homes in Renfrewshire will assist in meeting the housing supply targets as set out in the Renfrewshire Local Housing Strategy and the housing land requirements as set out in the updated Renfrewshire Local Development Plan. There are 3 Strategic Economic Investment Locations within Renfrewshire, they include: • Glasgow Airport Investment Area; • Bishopston; • Hillington. There has been continued investment at each of these locations which has significantly contributed to the economic competitiveness of the Glasgow City Region. The Glasgow City Region City Deal will deliver a series of infrastructure projects which will enhance the connectivity to the Strategic Economic Investment Locations as well as present opportunities for growth, job creation and training. The implementation of a Simplified Planning Zone at Hillington has been an enormous success with a £3.5million headquarters development delivering 2500 square meters of industrial and business floor space within the Park; a further investment of £5million to deliver 8,000 square metres accommodated within four units centred around a courtyard development. A £8.5million development of the prominent frontage and gateway to Hillington Park is also proposed and in the process of being delivered. The Hillington Park Simplified Planning Zone has supported development proposals which will deliver over £17million investment in the Park, creating 15,667 sqm of new floorspace and developing over 3.5 hectare of land.	Head of Planning & Housing	31-Mar-2018	
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Priority 1: A Better Future - PLACE
Objective 04 Creating a Sustainable Renfrewshire

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.04.08 Energy Efficiency Standard for Social Housing (EESH) Context: EESH was effective from April 2015 with the first milestone set for 31 December 2020. There will be a mid term progress review in 2017. Estimated delivery cost for the Council over and above normal lifecycle replacements will be circa £21m to December 2020 before deduction of any external grant support and owner contributions.	Delivery of all of the EESH measures will require access to external funding sources such as Energy Company Obligation (ECO). If the council does not secure sufficient funding to deliver all EESH measures, some tenants may potentially remain or fall into fuel poverty with the potential for adverse publicity and reputational damage.	Director of Housing and Development Services	<u>Energy Efficiency Standard for Social Housing (EESH)</u> * Opportunities are being investigated to secure external grant funding for energy improvements to meet new energy standards. * The Scottish Government has confirmed that a review will take place in 2017 to establish if landlords have been successful in securing funding for the investment. Temporary exemptions may be possible where it can be demonstrated that external funding has been sought but cannot be secured. As a result, where EESH measures cannot be applied in the short to medium term, some tenants may potentially remain or fall into fuel poverty.	04	03	12 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status

Priority 2: A Better Future - PEOPLE
Objective 05 Reducing the level and impact of Poverty

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.05.09 Pressures on Short Stay Income through Welfare Reform changes (homelessness) Context: (1) Loss of income as a result of household LHA rates being used for housing costs entitlement as opposed to using property size rates. (2) Potential for loss or reduction of the weekly admin element of the short stay rent. (3) Continuing uncertainty over what criteria will be used to determine who will be paid benefit direct. (4) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old. (5) The continuing rollout of Universal Credit from 22 June 2015 to single applicants who qualify for JSA impacts on:- a) The weekly admin element that can be recovered will reduce from £60 to £45 and uncertainty exists over how the £45 can be claimed. b) Universal Credit cases are charged using current LHA rates while others still use the Jan 2011 rates per DWP rules. c) The possibility of paying rent directly to tenants introduces debt recovery issues as some homeless clients have more chaotic lifestyles or additional support needs. d) Uncertainty over the impact that monthly assessment periods will have on a very mobile client group. This potential 'loss' of income as a result of Universal Credit needs to be planned for. The roll out of the full service in May 2018 will accelerate the impacts noted above.	Many of the proposed Welfare Reform changes will have a direct impact on the income recovered while using short stay accommodation to fulfil the Council's statutory homelessness obligations. Any failure to mitigate the impact and review service provision methods could result in significant additional costs to the Council.	Director of Housing and Development Services	*Financial modelling has been completed to quantify the impact of each element of the Welfare Reform proposals. *The Council is lobbying through various channels to get the vulnerable nature of homeless clients recognised with an exclusion from the Direct Payment proposals. *Reviewed the current stock of temporary accommodation with a view to reconfiguring the supply to mitigate the impact of under occupation.	03	04	12 Moderate
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	
DHRR17.05.10 Welfare Reform impact on the HRA Context: 1) Under Occupancy is now predominately managed through DHPs. 2) Universal Credit started to roll out in Renfrewshire on 22 June 2015 where housing benefit previously paid directly to the Council is now be paid to tenants who qualify for Universal Credit, initially single applicants who qualify for JSA. 3) Changes to the housing system and operational processes will be required to identify and support those in receipt of Universal Credit. 4) Uncertainly over Alternative Payment Arrangements (APAs) and the sharing of information regarding tenants now being paid through Universal Credit. 5) Impact of proposal to cease payment of Housing Benefit to applicants under 21 years old. 6) Resource impact of administering Universal Credit payments, managed payments and third party deductions from the DWP. 7) Impact of full service roll out in Renfrewshire in May 2018.	There are significant welfare-related legislative changes planned in the short and medium term which will create additional demand pressures on services, particularly in relation to rent arrears, homelessness and lettings. Although the impact of Under Occupancy is now mainly managed through DHPs, there is still uncertainty over how this will be applied/funded at a National level in future years. The payment of Benefits directly to tenants through Universal Credit started rolling out in Renfrewshire on 22 June 2015. Although initially restricted to single applicants in receipt of JSA, the full service rollout in Renfrewshire starts in May 2018. This will increase the rent that must be collected from tenants from £15m to £28m per annum once fully implemented. Failure to collect this rent will jeopardise the financial viability of the Housing Revenue Account (HRA).	Head of Planning & Housing Services	*The potential impact of the roll out of Universal Credit has been modelled and is updated regularly to reflect any new information from DWP or other parties. *Additional staffing resource has been recruited to ensure that DWP UC payments can be processed. *The Council continues to be represented in discussions at a national level on a range of Welfare reform issues. *The Council has invested significantly in advice services and front line provision to support citizens affected by welfare reform changes. *Community Planning Partnership ensures cohesive working among partners. *Well developed income management arrangements in place to monitor rental income levels and arrears levels. *DaHS have integrated additional resources into neighbourhood services to ensure that any impact is minimised and income can be maximised. *Detailed 30 year Business Plan can be updated to model the impact of pressures or changes on the longer term viability of the HRA. *Ongoing training for staff on changes to Housing Benefit regulations. *Funds have been allocated to support the delivery of financial assistance and employment opportunities for affected tenants. *The administration arrangements and spend in relation to Scottish Welfare Fund and Discretionary Housing Payments are monitored and reviewed on an ongoing basis.	04	03	12 Moderate	
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status

Priority 3: A Better Council

Objective 10 Continuing to be a Well Run Council

Context	Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact	Evaluation
DHRR17.10.11 Financial Sustainability <u>Context:</u> Net cost pressures *Inflation, *Demographics, *Unfunded burdens, *Implications of welfare reform, *Reductions in service related income, *Reduced levels of available resources, and *Implications of national economic recovery TOP 5 RISK	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.	Director of Finance & Resources	Top 5 controls: *A revised and enhanced Medium to Longer Term Financial Planning Strategy has been put in place and communicated throughout the council. This revised strategy now incorporates the Strategic Economic and National Policy Context, The Council's Financial Outlook & Cost Pressures, Pressures on Income, Mitigation Strategies, Use of Reserves and the Council's Capital Investment Strategy. *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 clear decision making and incorporates an escalation process with regards budget management issues which may arise. The embedded budgetary control processes and procedures also allow a direct link between financial and operational performance which is reported to both officer groups and Policy Boards *In conjunction with the medium to longer term financial planning strategy there is a continuous development of saving workstreams via the "Better Council Change Programmes". This is to ensure the Council has an appropriate range of projects and workstreams under scrutiny (e.g. with outline and detailed business cases) to ensure best value improvements and efficiencies can be identified, costed, implemented and achieved. The purpose of this is to provide a wide scope and depth of saving options for elected members as part of their work in delivering a year on year balanced budget. There is also close monitoring of the agreed savings to be achieved and this is to ensure they are delivered within the agreed timescales. Monitoring is undertaken via a combination of financial and operational measures, actions & related reports. *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. *Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt payments over the long term. This has resulted in significant debt interest and payments savings being made by the council to allow resources to be concentrated to front line services. Other controls: *Reports and publications from Audit Scotland in relation to local government's financial outlook, financial planning and related developments & improvements are supplemented with a Renfrewshire context report with both reports being submitted to the Council's Audit Scrutiny & Petitions Board. Audit Scotland representatives have an open invite to these policy board meetings. *Energy consumption, together with unit cost forecasts and the related implications	05	05	25 V.High

				are based on national contract prices to minimise risk of fluctuations. 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 it's related costs. *Improving asset management planning has clarified priority areas for investment in the council's estate and this has facilitated the investment decision making progress and has supported the formulation of the council's capital & revenue budget.			
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
This risk is predominately managed through the Corporate Risk Register with the actions also being reported to the Audit, Risk and Scrutiny Board.							

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.10.12 Incident Response and Management Context: (1) In response to, for example, severe weather, flooding, public health outbreak, etc.	Any ineffective preparation and planning for potential disruptive events such as those reflected within the Community Risk Register (CRR), that directly relate to this service's obligations (*) may result in the service's inability to effectively respond and manage the event in a way that minimises harm to the community, our employees and the reputation of the service. (*) Not all statutory, nevertheless include: -Co-ordination and evaluation of available houses and other assets for temporary accommodation; -Use of Emergency Repairs Helpline; -Provision of skilled staff for emergency repairs, cordoning off property, etc.	Director of Housing and Development Services	*Ongoing review of civil contingency arrangements. *Quarterly departmental Crisis and Resilience Management Group meetings. *Development and Housing Services representation on the Corporate Crisis and Resilience Management Group. *Participation in corporate training events such as pandemic flu exercise. *Building Standards annual review of dangerous buildings and emergency callout procedures. *Civil Contingency Plans.	02	04	8 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.10.13 Business Continuity	(1) Ensuring service continuity during periods where there is non availability of premises, employees or systems impacting on service functions.	Non availability of (1) premises, either through fire or flood etc; (2) key staff or significant numbers of front-line staff; and/ or (3) systems (telephony, power failure etc) may result in adverse impact on service provision	Finance and Resources Manager	*Business Continuity Plans in place. *Restoration documents reviewed by restoration leads. *Quarterly reporting of crisis and resilience activity to the SMT *Business Continuity Exercise and Training Manual implemented and Civil Contingencies Service ensures that exercise schedules are adhered to. *ICT Disaster Recovery Plan in place. Technical controls are in place to prevent and limit the effects of IT systems unavailability.	02	04	8 Moderate
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
DHRR17.10.13a	Ensure Business Continuity arrangements are robust and embedded within the service.		This activity is continuing to reflect the changes in responsibilities associated with changes to the Council's structures.		Finance Business Partner	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
DHRR17.10.14 Supporting and managing our people (health, safety and wellbeing) Context: (1) Supporting employee attendance, safety, and well being (2) Ensuring compliance with the Council's equality framework (3) Ensuring arrangements in place to deal with the scope, breadth, complexity and pace of change. (4) Ensuring effective communication / consultation with stakeholders. (5) Maintaining excellent employee and trade union relations. (6) Implementing new corporate working models. (7) Modernising terms and conditions and changing job roles and service delivery models. (8) Supporting management and employee development through the consistent application of the Council's learning and development framework Maintaining service standards with reduced employee resources.		Any gaps in communicating effectively with our employees, building on good employee and trades union relationships, ensuring equalities and supporting attendance, may impact adversely on some of our employees in terms of their quality of working life.	Director of Housing and Development Services	*Regular communications from Chief Executive and via Renfo re changes that may impact on employees. *DaHS specific issues are covered in the 'In The Loop' newsletter produced throughout the year. *Corporate communication strategy in place for Better Council Programme. *Health and safety issues are a standing item at both SMTs and at Team Talks. *A proactive health and safety management system is in place supported by internal and external Health & Safety Audit/ Inspection programmes (i.e. BSI: BS OHSAS 18000:2007). *Managing Absence Policy in place and absence stats monitored. *Specialised supporting attendance team in place to take forward improvements in attendance levels and implement the supporting attendance action plan. *Occupational health available for all staff. *New structures to best enable flexible working and align skills and resources to meet service demand have been adopted. *Regular trade union liaison meetings. *Methodologies and processes have been developed and adopted to manage change.		03	04	12 Moderate
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status	
DHRR17.10.14a	Continue to implement and monitor the impact of policies and activities aimed at reducing staff absence levels.		The Service continues to follow all relevant corporate policies to support staff and minimise absence levels.		Finance Business Partner	31-Mar-2018		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
DHRR17.10.15 Information management and ICT systems <u>Context:</u> (1) Applying corporate protocols to ensure integrity and accuracy of data. (2) Working effectively with ICT colleagues to develop ICT capacity / available technology to support service development and the change agenda.	If the service's information governance, management arrangements and ICT systems are not sufficiently robust there is a risk that the availability, confidentiality and integrity of the information may be compromised, the council's reputation is seriously affected, financial penalties are enforced upon the Council and that the service's ICT needs/ objectives are not met.	Director of Housing and Development Services	*The department supports and complies with all the controls and policies applied across the Council and those operated by IT Services which protect the availability, confidentiality and integrity of data. *Weekly reconciliations are carried out on the financial systems and the Housing Management System. *Any projects involving changes or upgrades to current systems are planned with assistance from IT Services as required and detailed testing is carried out before any go live is actioned. *Regular system backups are co-ordinated by IT Services to minimise the impact of data loss through any system failure. *IT Development Plan and associated projects to modernise the way we work. *Specialist support and project management expertise is provided for all major projects by Finance and Corporate Services. *IT liaison meetings take place with major suppliers to mitigate our reliance on certain IT suppliers. *Online training package in place for Information Security. *Awareness campaigns have been delivered highlighted the importance of data security. The authorised signatory database has been reviewed and updated.	02	05	10 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status



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

On: **06 November 2017**

Report by: **Director of Environment & Communities**

Heading: **Environment & Communities Risk Management Plan 2017/18
Mid Year Progress Report**

1. Summary

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

2. Recommendations

- 2.1 It is recommended that the Audit, Risk and Scrutiny Board notes the report and is assured by the progress being made by Environment & Communities in managing the risks identified.
-

3. Background

- 3.1 At the midyear review of the risk management plan there has been good progress made in the control and management of the identified risks.
- 3.2 No new service risks have emerged that were not anticipated as part of the process to revise the service risk management plan earlier in the year.
- 3.3 Environment & Communities continues to apply good risk management activity that is proportionate to the levels of risk.

- 3.4 The overall service risk profile remains unchanged from that reported to the board in June this year, (in terms of the numbers of low, moderate, high and very high risks as shown in the table below).l

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	10	10	0	20

Top service risks

The top risks for the council continue to be those presented to Board in June:

3.5

TOP 9 Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
CR.RR17.03.04 Roads and footway maintenance	04	04	16	High
CR.RR17.03.02 Public protection	03	05	15	High
CR.RR17.03.03 Addressing serious organised crime and terrorism	03	04	12	High
CR.RR17.03.05 Maintenance and strengthening of infrastructure	03	04	12	High
CR.RR17.03.06 Flood Risk Management Act	03	04	12	High
CR.RR17.04.12 Maintaining assets/ financial pressures	03	04	12	High
CR.RR17.04.13 Sustainable street lighting	03	04	12	High
CR.RR17.04.15 Linwood Moss Landfill Site	03	04	12	High
CR.RR17.10.20 Environment & Communities Better Council Change Programme	03	04	12	High

(1) Roads and Footway Maintenance

Environment & Communities continue to maintain the roads and footways across Renfrewshire. A detailed programme of roads has been identified to complete the £6.7m capital investment for 2017/18 which will assist in managing this risk.

(2) Public Protection

Through the Renfrewshire Community Safety Partnership, Environment & Communities continues to lead on the Public Protection agenda alongside Police Scotland and Scottish Fire and Rescue. Through the Community Safety and Public Protection Steering Group and Renfrewshire Community Protection Chief Officers Group, Seniors officers set the strategic agenda to ensure the safety of people that live, work and visit Renfrewshire.

(3) Addressing Serious Organised Crime and Counter Terrorism

Environment & Communities continues to work with Police Scotland and other partners to detect and disrupt serious and organised crime within Renfrewshire. Development of the Renfrewshire Integrity Group also looks at the insider threat within the Council.

The Civil Contingencies Service Work closely with key agencies to monitor the potential of Counter Terrorism within Renfrewshire and across the West of Scotland. Training continues to be given to operational staff and Elected Members.

(4) Maintenance and Strengthening of infrastructure

Routine inspections continue to be undertaken to ensure the Council structures (including bridges) are maintained.

(5) Flood Risk Management Act

Environment & Communities liaise with appropriate bodies to comply with the above legislation and to reduce flooding within Renfrewshire.

(6) Maintaining Assets/Financial pressures

Work continues to maintain the Council assets and ensure that all compliance inspections are programmed and monitored.

(7) Sustainable Street Lighting

Environment & Communities are in the process of completing the LED installation programme. Contractors will programme work to complete any lighting that has been missed.

(8) Linwood Moss Landfill

Work continues with the statutory body (SEPA) to ensure that pollution control measures remain adequate to ensure no environmental detriment to the surrounding watercourse.

(9) Environment & Communities Better Council Change Programme

Work continues on projects for the Better Council Change Programme (BCCP) 2 and projects have been identified as part of the BCCP 3. Environment & Communities will continue to work with the CMT to achieve efficiencies within the Service.

Implications of the Report

1. **Financial**
The Senior Management Team considers that recurring costs associated with the measures in place for each risk are proportionate to the level of risk, as are the costs relating to actions underway.
2. **HR & Organisational Development** - none
3. **Community Planning**
Any risks relating to the Community Planning themes are reflected within Appendix 1.
4. **Legal**
Any risks that may have legal implications are reflected within Appendix 1.
5. **Property/Assets**
Any property-related risks are reflected within Appendix 1.
6. **Information Technology** - none
7. **Equality & Human Rights** - The recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been

identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. **Health & Safety**
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement** - none
10. **Risk**
As per the subject content of this paper.
11. **Privacy Impact**
Any risks relating to privacy matters are reflected within Appendix 1.
12. **Cosla policy position** – not applicable

List of Background Papers

(a) Background Paper 1: Environment & Communities risk management plan 2017/18 (submitted to Board in June 2017)

The foregoing background papers will be retained within Environment & Communities for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Chris Dalrymple, Regulatory and Enforcement Manager, 0141 618 4609, chris.dalrymple@renfrewshire.gov.uk

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Environment & Communities risk management plan Appendix

Report Type: Mid Year Risk Report
Report Author: Regulatory and Enforcement Manager



Priority 1: A Better Future - PLACE Objective 01 Driving Physical & Economic Regeneration

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.01.01	Environmental sustainability for regeneration and the local economy	Failure to provide a positive and sustainable environment for the regeneration or our town centres may adversely affect sustainable investment in the local economy	Environment & Communities SLT	* Regeneration and revitalisation of town centres * Supportive and effective regulatory regimes * Strategic Town Centre Group formed to oversee Environment & Communities input to Paisley Town Centre	03	03	9
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CRSIP17.01.02.04	Lead on the works to improve the public realm and support of Paisley's 2021 City of Culture bid	A Public Realm Masterplan has been developed outlining a series of proposals for implementation. The masterplan will now be developed through to detailed design with an implementation timeline for delivery in advance of 2021. To assist with the City of Culture Bid, signage in and around the town centre has been reviewed, renewed with obsolete signage being removed.			Environment & Communities Senior Leadership Team (SLT)	31-Mar-2019	

Priority 1: A Better Future - PLACE
Objective 03 Protecting the Public

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.02 Public protection	Failure to effectively lead on the Public Protection agenda may place the Council at risk of failing to protect vulnerable groups	Head of Public Protection	* Daily tasking meetings facilitated in the Community Safety Partnership Hub * Community Safety and Public Protection Steering Group * Revised Wardens Service flexibly deployed to hotspot locations at times when service required * StreetStuff diversionary programme * CCTV currently operating 24 hours per day to provide resilience * Integrated noise enforcement, youth teams and ASB teams * Links and participation on Adult Protection and Child Protection committees	03	05	15
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CR.RR17.03.02a	Work with Paisley First to maintain Purple Flag status in 2017/18.	Renfrewshire Council, Environment & Communities has worked with Paisley First and all key stakeholders to complete the re-assessment for Purple Flag status. The re-assessment form was passed to ATCM on 13 October 2017 and highlighted some of the key work including erecting a Purple Flag in County Square, publicity on advertising hoardings and bus shelters and attending the UWS Freshers week to highlight Purple Flag and the benefits for the Evening and Night Time Economy (ENTE).		Regulatory and Enforcement Manager	31-Mar-2018	
CR.RR17.03.02b	Ensuring the Community Safety Hub is expanded wherever possible to undertake further work. Establish what tasks can be undertaken from the Community Safety Hub and what staff are required to cover these tasks.	Work continues to review and develop Business Cases for increasing the work from the Community Safety Hub. The CCTV operations room continue to work 24 hours a day and as well as Out of Hours calls for the Winter Maintenance e.g. flooding, the CCTV Operations room is now the key holder and phone responder for the £10m flooding scheme at Fingal Rd Pump Station.		Regulatory and Enforcement Manager	31-Mar-2018	
CRRR1617.13c	Identify emerging trends through improved intelligence sharing and StreetStuff youth diversionary programmes	Street Stuff continues to pass information to the Renfrewshire Community Safety Partnership via the Daily Tasking process. Emerging trends and issues relating to youths are raised and passed to the appropriate agency for action. Intelligence sharing allows the deployment of the Street Stuff programme to the appropriate area and this remains under review on a constant basis.		Regulatory and Enforcement Manager	31-Mar-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CR.RR17.03.03	Addressing serious organised crime and terrorism	Enhance the council's approach to addressing serious organised crime and terrorism	Head of Public Protection	* Effective links with Police through 3 Council multi-agency co-ordination linked to CCS Joint Management Board * Single point of contact for SOC and terrorism * Effective links to senior officers through integrated groups * Council Integrity Group established to look at: serious and organised crime; fraud; and insider threat.		03	04	12
Action Codes	Linked Actions	Latest Note		Assigned To		Due Date		Status
CRRR1617.14a	Lead the work of the Integrity Group and implement actions due to the risks posed by serious organised crime, insider threat and corporate fraud	Environment & Communities continue to lead on the Public Protection agenda and this includes working with Police Scotland to disrupt Serious and Organised Crime. The Integrity Group continues to meet to tackle insider threat and corporate fraud and where there are links to the external businesses, meetings are convened with Police Scotland for joint working including Trading Standards.		Head of Public Protection		31-Mar-2018		

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CR.RR17.03.04	Roads and footway maintenance	Failure to provide safe and well maintained roads and footways which meet public expectations may lead to adverse publicity and will not support physical and economic regeneration	Head of Amenity Services	* Safety inspections carried out to the Highway Code of good Practice timescales and intervention levels * Partnering in the Scottish National Road Condition Survey * Consultation in place with councillors and constituents on annual works programme * Prioritisation of repairs to roads and footways based on road classifications and inspections * Programme of increased works for 2017/18		04	04	16
Action Codes	Linked Actions	Latest Note		Assigned To		Due Date		Status
CR.RR17.03.04a	Deliver the capital investment plans for the maintenance of roads and footways.	There is a programme in place for the capital roads investment and this is currently on target.		Amenity Services (Roads) Manager		31-Mar-2018		
CRRR1617.03b	Further develop the asset management strategy to prioritise roads and footways investment to achieve whole life efficiencies	There is on-going work with regards to this action, however it remains the same as the previous update. This will continue over the coming months. The frequency of cyclical road safety inspections has been reviewed in 2016, with a number of changes to increase frequencies of inspection on certain roads that will now be implemented. This increase will deliver a greater number of inspections and ensure that roads with increased frequencies are maintained in a safe condition.		Amenity Services (Roads) Manager		31-Mar-2018		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.05 Maintenance and strengthening of infrastructure	Any gaps in the Service's maintenance and strengthening programmes may lead to structural failure of bridges & other roads structures and affect the safety and efficiency of the road and rail network.	Head of Amenity Services	* General and Principal inspections carried out to Design Manual for Roads and Bridges standards. * Programme of required maintenance works produced. * Systematic checks of capacity of structures to meet current vehicle loading standards * Register of road bridges, underpasses, footbridges, culverts and other road structures completed * Programme of Scour protection works completed	03	04	12
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CR.RR17.03.05a	Inspect the structural safety of all Council owned bridges to ensure compliance and safety	This is currently on-going and remains on track. No structures have been highlighted as currently being at risk. Issues were noted with the Bascule Bridge and rectified immediately over a 4 week period. Further improvement works will be undertaken in the next financial year.		Amenity Services (Transport) Manager	31-Mar-2018	
CRRR1617.07b	Continue to review the structural safety of private bridges	The Transport Team continue to liaise with owners of private bridges, carry out assessments and advise owners of their responsibilities with regards to bridges. This is on-going and no issues raised with regards to private bridges.		Amenity Services (Transport) Manager	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.06 Flood Risk Management Act	The service has a responsibility to fulfil the requirements of the Flood Risk Management Act and therefore any gaps in related activity might limit environmental improvements and lead to an impact with regards to the Council's reputation.	Head of Amenity Services	* Local Flood Risk Management Plan * Working Group which maintains close relationship with SEPA and Scottish Water * Schedule of water courses and inspect them on a cyclical basis	03	04	12
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CR.RR17.03.06a	Continue to work with partners to deliver the Flood Risk Management Plan and future studies.	The Council is a member of the Clyde & Loch Lomond Flood Risk Management area. This is a partnership involving Scottish Water, SEPA and 13 local authorities, priorities across the area have been set with regard to detailed study to address future flood risk. The first Flood Risk Management Plan was published in June 2016		Amenity Services (Transport) Manager	31-Mar-2018	

		and has two cycles covering the period 2016 – 22 and 2022 – 28. Actions currently ongoing and on target include:		
		. Surface Water Management Plan / Study of Hillington / Cardonald / Penilee area jointly progressing with Glasgow City Council to identify the most sustainable suite of options to manage flood risk from all sources; . Integrated Catchment Study of Erskine Waste Water Treatment Works Catchment with Scottish Water to assess catchment flood management needs; . Flood risk through effective development planning and management; . Maintain a schedule of watercourse assessment and repair; . Map watercourses and Sustainable Urban Drainage systems Record flood events.		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.07 Reservoirs	Structural failure of a reservoir could lead to flooding	Head of Amenity Services	* Design for the flood return period defined in the Reservoir Scotland Act 1975 * Inspection regime to requirements of the Act * Appointment of Supervisory and Independent Panel Engineer for Reservoirs for which the Council is the Regulatory authority or Undertaker	03	03	9
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CR.RR17.03.07a	Environment & Communities will maintain the reservoirs that are the responsibility of Renfrewshire Council to the appropriate standard.	Council owned reservoirs are monitored and maintained and discussions on-going with Scottish Water regarding the reservoirs in their ownership.	Amenity Services (Transport) Manager	31-Mar-2018		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.08 Road safety	Failure to improve road safety could lead to increased harm for pedestrians and road users	Head of Amenity Services	* annual review of accident statistics asses combined with evaluation of cases. * actions targeted at high risk locations	03	03	9
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
CRRR1617.09a	Deliver a Road Safety Strategy with an annual performance report on road related casualties	The action in relation to Road Safety remains the same. 2016 Road Safety accident statistics will become available towards the end of the 2017 calendar year. An update/report on the results will be prepared and reported as appropriate.	Amenity Services (Transport) Manager	31-Mar-2018		
CRRR1617.09b	Implement a programme of schemes to assist pedestrians and cyclists on road safety and to encourage more walking and cycling	Environment & Communities receive a grant through the Safer Streets programme and Smarter Choices Smarter Places project. The level of grant dictates the work that can be carried out and work in on-going including the real time information for bus passengers.	Amenity Services (Transport) Manager	31-Mar-2018		

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.09	Salt storage facility	New salt storage facility required to be in place at Underwood Road depot for Sept 2017 prior to the winter season as part of the BCCP depot rationalisation project. Should this not be in place there is a risk of a shortage of salt during the winter months to treat road surfaces.	Head of Amenity Services	* A depots project group and board have been established to ensure delivery with back up of salt being stored externally at Middleton Road in Linwood. This will cover winter months in October/November. * Liaison with Glasgow City Council for resilience purposes should a further external source be required	03	03	9
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
CR.RR17.03.09a	Design and implement new salt storage facility as part of the Underwood Road Depots rationalisation project	Salt storage is part of Underwood Rd development and is due to be completed by February 2018.	Amenity Services (Roads) Manager	31-Mar-2018			
CR.RR17.03.09b	Work with partners to ensure adequate back up salt storage for the winter months in 2017/18.	A contingency plan is in place for salt to be distributed from Linwood transfer station for the duration of winter or until facility is complete at Underwood Rd.	Amenity Services (Roads) Manager	31-Mar-2018			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.10	Integration of Roads and StreetScene employees	Should the integration of Roads and Streetscene employees not take place, this could result, at peak times, in fewer trained operatives than required for roads and winter maintenance activities.	Head of Amenity Services	* Skills gap analysis. * Significant amount of training for all staff required to undertake roads and winter maintenance duties.	03	03	9
Action Codes	Linked Actions	Latest Note	Assigned To			Due Date	Status
CR.RR17.03.10a	Work with the Trade Unions to integrate the workers onto a 4 on 4 off pattern for Roads and StreetScene	Discussions are ongoing with Trade Unions and employee groups in relation to the implementation of 4on 4off 7day working within the Roads workforce. One to one meetings have now been scheduled with the affected employees.	Amenity Services (Roads) Manager			31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.03.11	Civil Contingency Arrangements	Failure to develop integrated and resilient civil contingencies arrangements could affect the Council, local businesses and communities	Head of Public Protection	* Links to key staff availability, increased departmental alliance * Liaison with CCS maintained * Dedicated staff reviewing Business Continuity Plans and policies for Renfrewshire Council	03	03	9
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CRRR1617.15b	Ensure the Environment & Communities business continuity plan is prepared and implemented	Environment & Communities Business Continuity Plan has been updated recently to reflect a few minor Service changes including officer and structural changes along with the new refreshed department name. This plan is next due for a full update in March 2018 and has been programmed accordingly.			Civil Contingencies Service Manager	31-Mar-2017	
CRSIP17.01.03.11	Working with key partners to develop a local counter terrorism CONTEST strategy.	Civil Contingencies training continues to be delivered to key response officers in Environment & Communities in line with all services across the Council. Recently a large scale Exercise/training event, Agora Archway was delivered to the CMT/CRMT along with multi-agency partners and members of a community cohesion group. This gave all service areas a safe forum to test their response in a "move to critical threat level" type incident. An additional Environment & Communities Council Incident Officers has now been trained and a number of groups of frontline officers			Civil Contingencies Service Manager	31-Mar-2019	

		from Environment & communities have now went through a CONTEST training package			
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Priority 1: A Better Future - PLACE
Objective 04 Creating a Sustainable Renfrewshire

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.04.12 Maintaining assets/ financial pressures	Failure to maintain assets may place a financial burden on the Council	Environment & Communities SLT	* Asset management plans in place * Financial regulations are in place and adhered to * Facilities Management Services in place to co-ordinate all statutory inspections * Inventory and audit procedures implemented * CCTV is in place throughout Renfrewshire House * All portable electrical equipment under the control of the service is maintained by periodic testing * Inspection programme in place for all premises * Security arrangements are in place across Environment & Communities premises * Information Security Policy	03	04	12
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CRSIP17.03.09.31	Manage the four trading operations and achieve their financial and operation targets	Trading Operations are kept under constant review and will be presented to the appropriate Boards when appropriate.		Finance Business Partner	31-Mar-2018	
CRSIP17.03.09.34	Develop customer engagement plans to involve our customers and actively seek their buy-in and support for service provision.	Environment & Communities has played a leading role in developing a corporate approach to Empowering Communities. The service is developing proposals to create a new relationship between the Council and its communities based on building community capacity in 'natural' communities; transferring control of service delivery and assets to communities; developing decentralised budgets and participatory budgeting proposals and sharing more power more equally between communities, individuals and professionals.		Head of Amenity Services	31-Mar-2019	
CRSIP17.03.09.39	Carry out repairs and maintenance on Renfrewshire Council buildings and monitor actions through the Risk Register.	The Environment & Communities Risk Register allows the risk associated with buildings to be captured and monitored. Following the issue of new corporate Health and Safety Guidelines for compliance. Substantial work has been carried out on the CAMIS system. There is now a full Pre Planned Maintenance (PPM) scheduling tool being used for compliance and new certificates are being uploaded on a daily basis. The information and certification for each premises can be viewed and downloaded by the building user. CAMIS training is being rolled out across all service areas. A new dashboard has been created on CAMIS which is improving the reporting process across the whole estate. The full implementation will be in place for April 2018.		Head of Facilities Management	31-Mar-2019	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CR.RR17.04.13	Sustainable street lighting	Failure to provide street lighting in a sustainable and economically effective manner will have a financial and environmental impact	Head of Amenity Services and Head of Facilities Management	* Energy reduction and cost effective lighting achieved through the introduction of new LED alternatives * Annual inspections of lighting units * Use of non destructive testing consultants * On site testing by inspectors where defects are reported * Ongoing programme of column replacement * Phase 3 of LED street lighting programme complete in the Summer 2017		03	04	12
Action Codes		Linked Actions	Latest Note			Assigned To	Due Date	Status
CRRR1617.06b		Remove individual street lighting units identified as likely to create a problem	Environment & Communities continue to work with the contractor. Contracts are substantially complete and with the remainder of defective units being repaired as soon as practicable.			Senior Facilities Manager (Hard Services)	31-Oct-2017	
CRSIP17.01.04.17		Finalise the delivery of the project to replace all street lighting in Renfrewshire with LEDs.	94% of Renfrewshire's street lights have now been converted to LED. The LED programme will be progressed to completion in October 2017. Renfrewshire now has a higher percentage of LED streetlights conversion than any other Council area in Scotland.			Amenity Services (Transport) Manager	30-Sep-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.04.14	Statutory limit values for NO2	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.	Head of Public Protection	* The approved 2014 Paisley Town Centre Air Quality Action Plan is being updated and supplemented to produce a Renfrewshire wide 2017 Action Plan; reflecting the additional Air Quality Management Areas declared by the Council in 2016 * Effective action plan measures will be devised to address air quality issues within all the Air Quality Management Areas * Funding applications to the Scottish Government are submitted annually to assist with implementation of additional monitoring and action plan measures, where necessary	04	03	12
		Local authorities have a statutory duty to assess local air quality and, where necessary, declare Air Quality Management Areas (AQMA) and develop and Air Quality Action Plan					
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CR.RR17.04.14a	Develop an Air Quality Action Plan for the 3 Air Quality Management Areas within Renfrewshire to improve air quality.	Three Air Quality Management Areas have been declared for Paisley Town Centre, Johnstone High Street and Renfrew Town Centre. A Renfrewshire Air Quality Action Plan is being developed which will cover these areas. Meetings have been held with internal partners to devise specific action measures to tackle air quality and technical advisers have recently been procured to assist with developing sections of the plan which require specialist support. The refreshed Air Quality Management Action Plan will be submitted to the Infrastructure Land and Environment Policy Board in January.			Regulatory and Enforcement Manager	31-Mar-2018	
CR.RR17.04.14b	Work with partners in Renfrewshire to implement the ECO Stars Fleet recognition scheme.	Whilst still early in the process, Environment & Communities have been working with stakeholders to get them assessed for the Renfrewshire Eco Stars scheme. There are currently 25 businesses that have achieved the Eco Stars Award.			Regulatory and Enforcement Manager	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.04.15	Linwood Moss Landfill Site	Failure to adequately manage the Linwood Moss Landfill Site could result in environmental impacts, reputational damage and failure to comply with licensing conditions.	Head of Amenity Services	*Regular monitoring of leachate and gas from the site *Manual inspection of all infrastructure and telemetric system to monitor leachate levels in place.	03	04	12
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CR.RR17.04.15a	Work with consultants and SEPA to assess if leachate can be discharged to watercourse	Tripartite meetings continue with SEPA, consultants and Waste Manager. Data on waterflow within the site is still being collected and analysed.			Amenity Services (Waste) Manager	31-Mar-2018	
CRRR1617.02a	Continue to monitor Linwood Moss landfill site and rectify any faults found	Routine maintenance of the site being undertaken following an investment in new mobile treatment plant resulting in compliance. Amenity Services (Waste) continue to look at a long term solution for the site.			Amenity Services (Waste) Manager	31-Mar-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CR.RR17.04.16	Waste (Scotland) Regulations 2012	Failure to Comply with the Waste (Scotland) Regulations 2012 and provide an effective and efficient refuse collection service may adversely affect the Council's refuse disposal costs and lead to reputational damage	Head of Amenity Services	* Continued monitoring of Managed Weekly Collections * 4 weekly monitoring of recycling performance in place to ensure target is achieved * Current disposal contract includes a level of diversion from landfill * Strategy is approved for residual waste disposal facility		03	03	9
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status		
CRRR1617.01a	Implement a strategic approach to improving recycling to encourage behavioural change and promote the waste hierarchy of reduce/reuse/recycle	This action currently remains the same. Amenity Services (Waste) currently working with Zero Waste Scotland with a view to forming a transition plan. 1. Reducing capacity for residual waste. 2. Introducing improved recycling and collection infrastructure to take cognisance/advantage of volatile markets. Infrastructure for recycling/food waste now in place. Renfrewshire Council has also signed up to the Scottish Government Household waste recycling charter which is leading to the aforementioned transition plan.		Amenity Services (Waste) Manager	31-Mar-2018			
CRRR1617.01b	Monitor Household Waste Recycling Centres and continue to liaise with the Scottish Environment Protection Agency as regulators of these sites	Plans are currently in place to increase enforcement on site following the recruitment of two enforcement officers.		Amenity Services (Waste) Manager	31-Mar-2018			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.04.17	Contaminated land	Contaminated land issues may arise at any time in respect of both Council owned land which has been sold and privately owned land council's own land. If there are any failures in the council's strategy for dealing with this inherent challenge, there may be reputational harm (in respect of corporate social responsibility) and potentially significant unbudgeted costs. (1) Duty to inspect council area to identify contaminated land (2) Council must also establish responsibilities for remediation of land	Head of Public Protection	* The contaminated land strategy is a working document which is implemented on an ongoing basis through a team of specialist contaminated land officers * Appropriate site investigations continue to be undertaken as part of the development management process * Availability of any funding sources for contaminated land projects is investigated on a site specific basis * Ongoing monitoring of the major site development at ROF Bishopston and ensuring that relevant planning conditions are satisfied. * Ongoing identification of required funding for contaminated land site remediation outwith the planning remediation process, where possible	03	03	9
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
CR.RR17.04.17a	Review and update the contaminated land strategy	The contaminated land strategy is currently under review and will be refreshed in 2018. The key points in the strategy remain pertinent, the key areas of focus will be reviewed.			Regulatory and Enforcement Manager	31-Mar-2018	
CRRR1617.17a	Continue to support remediation works at ROF Bishopston	Meetings continue with BAE at the former ROF site to ensure the different phases of development are remediated and released as appropriate. Due to close working relationship with BAE, the risk will be monitored as part of the contaminated land regime and removed from the Environment & Communities risk register for next year.			Regulatory and Enforcement Manager	31-Mar-2017	

Priority 2: A Better Future - PEOPLE
Objective 08 Improving Care, Health and Wellbeing

Context		Risk Statement	Owned by	Current Risk Control Measures		Likelihood	Impact	Evaluation
CR.RR17.08.18	Sustainable food strategy	Failure to deliver a free school meal service may have an adverse impact on the health and wellbeing of our communities.	Head of Facilities Management	* Established programme of providing school meals in schools * On-going delivery of food to Street Stuff programme * Tackling poverty implementation group		03	03	9
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status		
CRSIP17.02.05.19	Contribute to the Tackling Poverty Action Plan through the Families First project by delivering free school meals during designated holiday periods	During the School holiday periods, Families First clubs have operated within Renfrewshire. These clubs provide activities and healthy meals to pupils who are entitled to a free school meal, children who attend additional support needs schools and also to children under five who attend a Council pre five centre during school holidays.		Senior Facilities Manager (Soft Services)	31-Mar-2018			
CRSIP17.02.05.20	Contribute to the Tackling Poverty program by delivering morning clubs in targeted areas	As part of the Council's Tackling Poverty initiative, morning clubs were established in 2016 within 9 Primary schools and 1 Secondary School and continue in the new school year. The morning clubs in St Catherine's Primary School, Gallowhill Primary School, St David's Primary School, Cochrane Castle Primary School, St Mary's Primary School, St Margaret's Primary School, West Primary School, Brediland Primary School and Our Lady of the Peace School are open to all pupils and include a healthy breakfast and a programme of activities. Pupils eligible for a free school meal at Castlehead High School can receive a healthy breakfast in the cafe area before school starts.		Senior Facilities Manager (Soft Services)	31-Mar-2018			
CRSIP17.02.05.21	Contribute to the Tackling Poverty Action Plan through enhanced StreetStuff programme including activities and meals	An expanded Street Stuff programme will continue to be delivered in the afternoons, evenings, weekends and holiday periods during 2017-18. The Street Stuff attendances continue to remain at a high level with year to date attendance of over 16,500. This was boosted by implementation of the 2017 spring & summer break camps and attendance at events such as, British Pipe Band Championship, gala days, etc.		Community Safety Manager	31-Mar-2019			
CRSIP17.02.07.26	Review, update and formally launch Renfrewshire's Sustainable Food Strategy	Environment & Communities has led on the implementation of Renfrewshire's Sustainable Food Strategy and delivering food education programmes with partners. It is hoped to hold a seminar during the Autumn to review, update and finalise launch of the strategy.		Senior Facilities Manager (Soft Services)	31-Mar-2018			

Priority 3: A Better Council
Objective 09 Supporting our Employees

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.09.19	Workforce planning arrangements	Failure to maintain workforce planning arrangements may lead to recruitment, retention and skills issues and sickness absence levels which may impact on the service	Environment & Communities SLT	* Ensure absence is being addressed through the revised supporting attendance procedures * Joint management/trade union task group established * Key tasks are identified and redistributed where appropriate. * Ensure employee issues and grievance time scales are implemented. * Established meeting protocols including Joint Consultative Board (JCB), Joint Trade Union Liaison and Services sub-group. * Regular consultations with staff and Trade Unions over proposed service changes. * Trade Unions involved in Health & Safety Committee	03	03	9
Action Codes	Linked Actions	Latest Note		Assigned To		Due Date	Status
CR.RR17.09.19a	Work with Organisational Development to produce a robust workforce plan, including training of staff and managers	A draft workforce plan has been developed for Environment & Communities which includes a comprehensive action plan. The plan is due to be finalised by the end of 2017.		Strategic Change Manager		31-Mar-2018	
CRSIP17.03.08.27	Provide our employees with the appropriate support to manage attendance	Regular Trade Union liaison meetings take place to ensure consistency in guidance issued to employees. HR personnel are in attendance at all Supporting Attendance meetings.		Senior Facilities Manager (Soft Services)		31-Mar-2018	
CRSIP17.03.08.28	Ensure effective management arrangements are in place for overtime levels	Overtime reports are discussed with managers on a four weekly basis, to identify areas of concern and agree action to be taken. Overtime costs to the end of quarter 1 in 2017/18 were 6.5% of total employee costs, this is an improvement on the 2016/17 annual performance of 7.3%.		Finance Business Partner		31-Mar-2018	

Priority 3: A Better Council
Objective 10 Continuing to be a Well Run Council

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CR.RR17.10.20	Environment & Communities Better Council Change Programme	Failure to deliver the Environment & Communities Better Council Change Programme could have a financial and reputational impact	Environment & Communities SLT	* BCCP Review Boards and Strategic Review Boards * Review of projects as part of 3 weekly Senior Leadership Team meetings	03	04	12
Action Codes	Linked Actions		Latest Note		Assigned To	Due Date	Status
CR.RR17.10.20a	Work with CMT and lead on projects that relate directly to Environment & Communities to maximise efficiencies.		Phase 3 of the Better Council Change Programme is being developed in order to implement the projects in Financial Years 2018/19 and 19/20.		Strategic Change Manager	31-Mar-2018	
CRRR1617.16a	Complete phase 2 of the integration of Hard and Soft Facilities Management		The Hard & Soft FM Project has been split in to 4 distinct workstreams. Project teams have been established and Project Mandates developed which require approval by the Environment & Communities Strategic Change Board.		Strategic Change Manager	31-Mar-2018	
CRRR1617.16b	Complete phase 2 of the depot rationalisation to integrate frontline services within the Underwood Road depot		The Depots Refurbishment work is progressing well with anticipated completion by January/February 2018. The Council continues to work with the contractors and hold regular Trade Union liaison meetings to ensure employees are kept up to date with the refurbishment programme.		Strategic Change Manager	31-Mar-2018	
CRRR1617.16c	Complete the integration of frontline roads operations within the wider service areas of Amenity Services		Discussions are ongoing with Trade Unions and employee groups in relation to the implementation of 4on 4off 7day working within the Roads workforce. One to one meetings have now been scheduled with the affected employees.		Strategic Change Manager	31-Mar-2018	
CRRR1617.16e	Complete the redesign of the refuse collection and recycling arrangements across Renfrewshire		The review of recycling and refuse collection arrangements has been completed with the required action plan being implemented.		Strategic Change Manager	31-Mar-2017	



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

On: **06 November 2017**

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

Heading: **Finance & Resources Risk Management Plan 2017, Midyear Report**

1. Summary

1.1 In keeping with 'Risk Matters,' the council's risk management policy and strategy, the Board is provided with a midyear progress report on the management of the risks recorded in the service risk management plan.

1.2 This paper provides the midyear progress report on the risks. The complete risk register, showing all risks, linked actions and progress is provided in Appendix 1.

2. Recommendations

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

3. Background

3.1 At the midyear review of the registers there has been good progress made in the control and management of the identified risks.

3.2 No new risks have emerged that were not anticipated as part of the process to refresh the risk register earlier in the year and the overall risk profile remains unchanged from that reported to the board in June. It should be noted that this profile includes corporate risks for which the service has responsibility for managing.

Evaluation:	Low	Moderate	High	Very High	Total
No. of Risks:	0	07	09	01	16

3.3 The council continues to apply good risk management activity that is proportionate to the levels of risk.

3.4 Top risks

The top risks for the service are as those presented to Board in June and as shown in the table below.

TOP 5 Risk/Opportunity Risk Areas	Likelihood	Impact	Score	Evaluation
1) Financial Sustainability	05	05	25	Very High
2) Asset Management	03	05	15	High
3) Enterprise Resource Planning	03	04	12	High
4) Delivery of OD Strategy	03	04	12	High
5) Sustaining and improving Customer & Business Services	03	04	12	High

The following paragraphs provide a brief update on activity over recent months relating to each of the top areas of risk. Each update has been submitted by the relevant Head of Service.

3.5 (1) Financial Sustainability

The Council has well established procedures and processes in place to monitor the short term (current financial year) financial sustainability of both revenue and capital budgets. This monitoring is facilitated via the estimates preparation process, the budgetary control system, associated financial orientated reports to policy boards and the monitoring of subsequent management action required to achieve a balanced budget or deliver on capital projects.

The medium to longer term financial sustainability is also actively addressed by the Council. The Director of Finance and Resources prepares a Financial Outlook Report which is presented to Council each year.

The Financial Outlook report follows best practice and highlights to Council a number of factors such as national policy changes, the projected local and national economic conditions together with an assessment of changes in social policy. The report takes these medium to longer term exposures and recommends mitigation strategies to ensure the Council remains prepared and resilient to such factors.

(2) Asset Management

In 2016/17 this risk was titled facilities and environmental infrastructure but it was updated for 2017 to be more inclusive of the different types of assets that the council requires to manage. The risk therefore encompasses workforce development, estates management (Property Services), facilities management (inspection, maintenance and repair), roads, bridges and lighting, ICT infrastructure and fleet management.

Now having received Audit Scotland's Best Value Assurance Report for Renfrewshire Council the risk and associated actions will be reviewed again to ensure that it aligns with the findings of the report.

(3) Enterprise Resource Planning

The programme continues apace, with major elements of the system testing underway. Business readiness and cutover planning are key areas of focus for the project in the run up to go-live. Implementation options including a split go-live are being investigated owing to the demands on payroll resource in the run up to and through the Christmas period.

(4) Delivery of OD strategy

The implementation and delivery of the OD strategy continues to gain momentum with a focused outcome on the three priority themes as follows:

1. People Development

The two new people development programmes, Leaders of the Future and ASPIRE, was launched in June 2017. Each programme currently has a cohort of three groups consisting of 127 delegates. A further three cohorts are scheduled to commence in November and December 2017. These bespoke programmes have been designed for our senior, middle and first line managers to build leadership and management capability, capacity, resilience and enhancing skills and competencies to deliver change effectively.

2. Workforce Planning

The Corporate Council Workforce Plan and Action Plan was approved by Board on 30 August 2017. Service workforce plans are being finalised and align with the Corporate Workforce Plan objectives.

The Corporate and Services workforce plans are both medium to long term strategic enablers to ensure the Council has:

- a modernised and flexible workforce;
- a developing workforce;
- a resilient workforce;
- a skilled workforce;
- a partnering workforce

3. Performance Appraisal

The refreshed Performance, Development and Review Policy (PDR) which will introduce core competencies for employees is in the final stages of development. This policy will replace the current MTIPD and MDP schemes. A consultation exercise has recently concluded with the recognised trade unions and the policy document which has also been discussed with Services will be presented at CMT in November 2017. .

In addition to the above, a Strategic OD and Workforce Planning Board has been established. The Board, supported by a project management approach, will drive forward, monitor and report on the progress made against the agreed the Council OD and Workforce Planning objectives and actions. Representation on the Board will include Heads of Service from each directorate and will be chaired by the Interim Head of HR & OD. The Board will meet every 6 weeks and will report progress to the CMT on a quarterly and annual basis.

(5) Sustaining and improving Customer and Business Services

A cross section of CBS staff have established a reference group to

- 3.6 support the implementation of the service communication strategy. Skills analysis has been undertaken in key areas of the service and is now being rolled out in stages, linked to staff individual development Plans. Retention analysis has been conducted to support effective decision making; and service design principles, involving customers in shaping how services are delivered, are being deployed in support of sustained service delivery.
- 3.7 Progress against linked actions
- In relation to the service specific risks, there are 41 current linked actions to be undertaken. Of these, 16 are due for completion by the end of the financial year, where others have a longer timescale for completion.
- 3.8 Progress made to date by council officers in relation to the actions due for completion by the year end can be summarised as follows:
- ✔ 04 or 25% of the actions have been completed,
 - ▶ 12 or 75% are progressing as planned, and
 - 0 actions or 0% have not yet been completed within the timescale anticipated.
- 3.9 It should be noted that actions prefixed by “RR” exist only for the benefit of reducing or containing the risks or auditing arrangements for managing risks, whereas actions with any other prefixes such as “SIP” reflect improvement activities that lie within the service improvement plan that have been linked through to the risk register for completeness where they have a knock on benefit to the related risk.
- The Senior Management Team is responsible for monitoring the service's risks.
-

Implications of the Report

1. **Financial**
The Senior Management Team considers that recurring costs associated with the measures in place for each risk are proportionate to the level of risk, as are the costs relating to actions underway.
2. **HR & Organisational Development**
Risks relating to HR and Organisational Development issues are reflected within Appendix 1.
3. **Community Planning**

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

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

4. **Legal.**
Any risks that may have legal implications are reflected within Appendix 1.
5. **Property/Assets**
Any property-related risks are reflected within Appendix 1.
6. **Information Technology**
Any risks relating to ICT are reflected within Appendix 1.
7. **Equality & Human Rights**
Any risks relating to Equality and Human Rights are reflected within Appendix 1. There are no direct E&HR implications in relation to the provision of this progress report.
8. **Health & Safety**
Any risks relating to health, safety and wellbeing are reflected within Appendix 1.
9. **Procurement**
Any risks relating to procurement are reflected within Appendix 1.
10. **Risk**
As per the subject content of this paper.
11. **Privacy Impact**
No implications in the provision of this report.
12. **COSLA Implications**
No implications in the provision of this report.

List of Background Papers

(a) Background Paper: Finance & Resources Risk Management Plan, April 2017

The foregoing background papers will be retained within Finance and Resources for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Risk Manager, Risk Manager, 0141 618 7019.

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Appendix 1 Finance & Resources Risk Register

Report Type: Mid Year Risk Report
Report Author: Risk Manager



Priority 1: A Better Future - PLACE Objective 04 Creating a Sustainable Renfrewshire						
Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.04.01 Asset Management Context: *Organisational and Workforce Development *Estates (Property Services) *Facilities management (inspection, maintenance and repair) *Roads, bridges and lighting *ICT infrastructure *Fleet	If the council's significant assets are not of the right complement or fit for purpose there is a risk around the safety and effectiveness of council services and efficiency of resources.	Director of Community Resources; Director of Finance & Resources	Top 5 controls: *<u>Organisational Workforce and Development:</u> A Workforce Planning Manager and Organisational Development Manager have been appointed and are implementing the Organisational Development Strategy. Regular one to one meetings take place between the Head of HR and Directors to embed a more effective Council wide approach and understanding of workforce planning. *<u>Property services</u> The Corporate Asset Strategy was approved by the Planning and Property Board in August 2015 and this continues to be implemented to ensure that the property assets are managed effectively and efficiently through the provision of relevant management and performance information. The council's Energy Asset Unit provides energy efficiency support for new build projects and monitors the energy efficiency of existing assets. *<u>Facilities Management</u> There is Statutory Inspection guidance that defines roles and responsibilities for inspection and follow-up, and planned statutory compliance inspections of assets are undertaken by trained personnel. *<u>Roads, bridges and lighting</u> Inspection of roads, structures and lighting by trained employees. LED street lighting programme - as well as greatly improved reliability of street lamps across Renfrewshire, the LED conversion programme will save over 60% of energy consumption compared to the current situation and reduce maintenance. All LEDs should be in place during 2017 *<u>ICT infrastructure</u> The new ICT model will support the objective of adopting a commoditised approach to ICT. The establishment of the Partnering & Commissioning function creates an effective interface between the business and ICT provision keeping strategic decision making close to the organisation and always aligned with the Council's objectives whilst pushing out the day to day operational activities to 'world class' expert suppliers. *<u>Fleet</u> Council fleet - efficient vehicles with built in safety technologies	03	05	15 High
Action Codes	Linked Actions	Latest Note				
CRR17.04.01a	Audit Plan - Review of housing statutory compliance arrangements		Fieldwork complete, report will be issued to the service shortly.	Assigned Chief Auditor	Due Date 30-Jun-2018	Status

FRSIP17.01.01	Progress Community Asset transfer applications; this strategy supports the commitments contained in the Community Empowerment Action Plan (CEAP) published by the Scottish Government	To date the Clippens School transfer and Carbrook Street sites have been approved.	Head of Property Services	31-Mar-2020	
FRSIP17.06.10	Provide professional Finance and Property support to deliver the School Estate Management Plan (SEMP)	Support is available on an ongoing basis to the development of future phases of the schools estates strategy in conjunction with Children's Services colleagues; while the existing plan continues to be delivered and monitored	Head of Finance; Head of Property Services	31-Mar-2020	
FRSIP17.10.30	Implement recommendations from the Council's Best Value Assurance Report	The BVAR was approved by Council on 28 September 2017, with key actions being agreed which will be taken forward over the course of 2017 and 2018.	Director of Finance & Resources	31-Mar-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.04.03 Climate change, sustainability and adaptability Context: *Protecting and enhancing the Green Belt and strengthening landscape character in Renfrewshire *Stabilising Renfrewshire's population *Protecting and sustaining human health and enhancing human well being. *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 http://www.renfrewshire.gov.uk/wps/wcm/connect/c420ceac-627b-463c-a734-c595abf62aaa/State+of+Environment+Report+2014+Summary+LoRes.pdf?MOD=AJPERES	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	Top 5 controls: *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 *The Carbon Management Plan has specific objectives to reduce emissions and these are included in other key documents such as the Council Plan *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 *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 *Through the Procurement Unit, sustainability and community benefits are considered in the development of all contract strategies	02	04	8 Moderate
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
FRSIP17.04.03	Meet the Scottish Government's targets and expectation on Carbon Reduction measures	Work is ongoing to meet the targets on Carbon Reduction measures.		Head of Property Services	31-Mar-2020	
FRSIP17.04.04	Increase focus on Carbon and Financial standings through monitoring and targeting.	Work is ongoing to increase focus on carbon and financial standing through monitoring and targeting.		Head of Property Services	31-Mar-2020	

Priority 3: A Better Council
Objective 09 Supporting our Employees

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.09.01 Delivery of Organisational Development Strategy	The delivery of the OD strategy is essential to ensuring that the workforce remains engaged, motivated, skilled, and supported during a period of significant change, otherwise there is a risk that the council and the service will not have the right skills mix with impact on service provision.	Director of Finance & Resources	Top 5 controls: *A Workforce Planning Manager and Organisational Development Manager have been appointed on a permanent basis to support the Interim Head of HR and OD in implementing the Organisational Development Strategy. *Regular progress reports for the Organisational Development Strategy are now being submitted to the CMT and relevant Boards. * The HR and OD Service will be reviewed on a regular basis to ensure it continues to provide a modern and fit purpose Service.*Regular one to one meetings take place between the Interim Head of HR and Directors to embed a more effective Council wide approach and understanding of workforce planning. *A project implementation plan to deliver the key priorities of the Organisational Development strategy has been developed and is in place. *The implementation of ERP in 2017 will provide services with real time reliable data to support the priorities of the Organisational Development Strategy.	03	04	12 High	
Context: (1) The achievement of our main priorities is dependent on the enthusiasm, skill and commitment of our workforce (2) Where temporary contracts continue to be used employees may perceive there is no longevity in their role impacting on ability to recruit and retain key knowledge and skills							
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status	
FRFSIP17.09.11	Introduce a corporate Workforce Plan and all service workforce plans for 2017/18 are implemented	The Corporate Council Workforce Plan and Action Plan was approved by Board on 30 August 2017. Service workforce plans are being finalised and will align with the Corporate Workforce Plan objectives.		Interim Head of HR, OD & Workforce Planning	31-Mar-2018		
FRFSIP17.09.12	Develop a Talent Management strategy	The Council's new PDR Policy is in anticipated to go to board for approval on 8 November 2017. A Talent Planning approach will be embedded as part of this process across the workforce to support succession planning across the Council.		Interim Head of HR, OD & Workforce Planning	30-Jan-2018		
FRFSIP17.09.13	Introduce a new appraisal system to capture employee performance and continuous improvement	The Council's new PDR Policy will go to board for approval on 8 November. Business world will be utilised to capture, evaluate and monitor performance and development objectives and demonstrate continuous improvement.	Interim Head of HR, OD & Workforce Planning	31-Mar-2019			
FRFSIP17.09.14	Improve Learning and Development opportunities	A review of all Corporate People Development has commenced and is anticipated will be completed by March 2018. This review will look at all Corporate People Development interventions to ensure they are targeted, aligned to strategic objectives and improve accessibility opportunities.	Interim Head of HR, OD & Workforce Planning	31-Mar-2019			
FRFSIP17.09.16	Workforce Redesign	Workforce re-design is a key focus and action in the Council's recently approved workforce plan. The HR and OD Team will work with Services to ensure workforce and service redesigns are in line with the BCCP.	Interim Head of HR, OD & Workforce Planning	31-Mar-2020			
FRFSIP17.09.20	Undertake a skills profile exercise within Finance and Resources to	A skills gap analysis is being carried out as a key action within the service workforce plan.	Interim Head of HR, OD & Workforce Planning	31-Mar-2018			

	identify skills gaps and opportunities for improved flexibility and agile working within the service, and work towards improving the skills mix within these areas	Workforce Planning	
FRSIP17.09.21	Develop career pathways and a learning and development plan for Finance and Resources	Interim Head of HR, OD & Workforce Planning	31-Mar-2019 

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.09.02 Induction procedures Context: (1) Corporate and Local Induction is mandatory	If people who are new to the service, or who are moving into new positions internally, are not aware/ reminded of key messages, information and expectations, then there is a risk of harm to individuals and breach of council policies and procedures	Director of Finance & Resources	Top 5 controls: *A Corporate Induction Programme is available for all new and existing Council employees on I'learn. A review of the programme content and accessibility took place in 2016. *Local induction processes are in place across services; however these will be reviewed in line with the Corporate Induction Programme review and Recruitment procedures. *Implementation of ERP in 2017 will allow services to record both corporate and local inductions have been carried out. *Communications will be more frequent to the workforce reminding them of the importance of undertaking inductions. *Audits on the process and participation will be planned in following the reviews.	03	04	12 High
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
Risk Tolerated – no further planned action						

Priority 3: A Better Council Objective 10 Continuing to be a Well Run Council					
Context	Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact
CRR17.10.04 Financial Sustainability Context: Net cost pressures *Inflation, *Demographics, *Unfunded burdens, *Implications of welfare reform, *Reductions in service related income, *Reduced levels of available resources, and *Implications of national economic recovery	If significant cost pressures are not successfully managed for and 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.	Director of Finance & Resources	Top 5 controls: *A revised and enhanced Medium to Longer Term Financial Planning Strategy has been put in place and communicated throughout the council. This revised strategy now incorporates the Strategic Economic and National Policy Context, The Council's Financial Outlook & Cost Pressures, Pressures on Income, Mitigation Strategies, Use of Reserves and the Council's Capital Investment Strategy. *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 clear decision making and incorporates an escalation process with regards budget management issues which may arise. The embedded budgetary control processes and procedures also allow a direct link between financial and operational performance which is reported to both officer groups and Policy Boards *In conjunction with the medium to longer term financial planning strategy there is a continuous development of saving workstreams via the "Better Council Change Programmes". This is to ensure the Council has an appropriate range of projects and workstreams under scrutiny (e.g. with outline and detailed business cases) to ensure best value improvements and efficiencies can be identified, costed, implemented and achieved. The purpose of this is to provide a wide scope and depth of saving options for elected members as part of their work in delivering a year on year balanced budget. There is also close monitoring of the agreed savings to be achieved and this is to ensure they are delivered within the agreed timescales. Monitoring is undertaken via a combination of financial and operational measures, actions & related reports. *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. *Well developed debt strategy which ensures over the medium term the Council's current and future debt levels are prudent and sustainable in the context of reducing resources and also that maximum opportunity for recurring savings are taken advantage of as part of examining the profile of debt payments over the long term. This has resulted in significant debt interest and payments savings being made by the council to allow resources to be concentrated to front line services. Other controls: *Reports and publications from Audit Scotland in relation to local government's financial outlook, financial planning and related developments & improvements are supplemented with a Renfrewshire context report with both reports being submitted to the Council's Audit Scrutiny & Petitions Board. Audit Scotland representatives have an open invite to these policy board meetings. *Energy consumption, together with unit cost forecasts and the related implications are based on national contract prices to minimise risk of fluctuations. 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 it's related costs. *Improving asset management planning has clarified priority areas for investment in the council's estate and this has facilitated the investment decision making progress and has supported the formulation of the council's capital & revenue budget.	05	05
					25 V.High

Action Codes	Linked Actions	Latest Note	Assigned	Due	Status
CRR16.10.11c	Internal Audit to review rental income	Final report has been issued.	Chief Auditor	30-Jun-2017	
CRR17.10.04a	Audit Plan - Review of programme management arrangements, focusing on the pace and effectiveness of the change programme	Work to commence in the latter part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04b	Audit Plan - Review of workforce planning arrangements	Work to commence in the latter part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04c	Audit Plan - Review of the arrangements for client charging and payments	Work to commence in the latter part of the year.	Chief Auditor	30-Jun-2018	
CRR17.10.04d	Audit Plan - Participation in internal project work which supports the better council change programme, as required	Continued participation in ERP project. Other project work taken on as required.	Chief Auditor	30-Jun-2018	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.05 Enterprise Resource Planning	The introduction of the new ERP system will require the redesign of a number of key internal processes. If not carefully managed there is a risk of operational challenges during early implementation, service disruption and an inability to maximise the full range of anticipated benefits.	Director of Finance & Resources	Top 5 controls: *To Be business processes have been mapped and are under review with the wider Council *Additional business resource has been made available to support understanding of the current As Is processes *End user training will be tailored to train new business processes alongside the new system *User Testing will incorporate the testing of the new business processes alongside the new Business World system *Contingency plan is to continue working with existing systems and processes should the project not be ready to launch when planned.	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CRR17.10.05a	Set up of a Business Design Forum to validate business process decisions	The business design forum has been set up, and is meeting regularly to review/agree existing and proposed business processes.		Head of Finance	30-Apr-2017	
CRR17.10.05b	Establish benefits realisation plan and trackers	The benefits realisation plan continues to be developed and influenced by the design of the new system. As decisions with regards functionality and user interaction with the system are made this can have an effect on the benefits to be realised and this is being closely tracked.		Head of Finance	31-Dec-2017	
CRR17.10.05c	User acceptance testing to confirm suitability of new processes	UAT is complete in a number of areas with further work to be completed on areas where re-testing is required following changes being made. Payroll Parallel Run (PPR) is taking longer than anticipated owing to the complexity of the processes and our payroll landscape.		Head of Finance	31-Oct-2017	
CRR17.10.05d	Audit Plan - Consultancy support in relation to process redesign during the implementation stage	Continued participation in ERP project.		Chief Auditor	30-Jun-2018	
CRR17.10.05e	Audit Plan - Review key financial controls in order to provide an opinion on the financial internal control environment in place for those systems included within the roll out of ERP	Work due to commence in the latter part of the year.		Chief Auditor	30-Jun-2018	
FRSIP17.10.22	Implement Enterprise Resource Planning (ERP)	The programme continues apace, with major elements of the system testing underway. Business readiness and cutover planning are key areas of focus for the project in the run up to go-live. Implementation options including a split go-live are being investigated owing to the demands on payroll resource in the run up to and through the Christmas period.		Head of Customer & Business Services; Head of Finance; Head of ICT	31-Dec-2017	

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.07 Insider Threat and Corporate Fraud Context: *The council needs to protect its business resources (employees, financial and information resource)	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.	Director of Community Resources; Director of Finance & Resources	Top 5 controls *The Integrity Group, chaired by the Head of Public Protection, includes appropriate membership from across service area to review and where necessary strengthen organisational resilience. *A corporate counter fraud team is in place, under the management of internal audit, to raise awareness of threats and create an anti-fraud culture, assist with prevention, detect and investigate cases and refer cases to other agencies. *Appropriate ICT controls are in place to prevent and detect information assets. Supported by a dedicated Cyber Security officer and an Information Security Group to advise on risk control measures. *Employee vetting checks are in place for all new employees.	03	04	12 High
Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
CRR16.03.05d	Internal Audit to review counter fraud and corruption policies and procedures	Draft policy has been prepared for review by management.		Chief Auditor	31-Mar-2018	
CRR17.10.07a	Audit Plan - Participate in the council's integrity group	Continued participation in the group. Workshops for the organisational assessment have been completed.		Chief Auditor	30-Jun-2018	
CRR17.10.07b	Audit Plan - Co-ordination of the National Fraud Initiative	Progress against matches allocated to services continues to be monitored.		Chief Auditor	30-Jun-2018	
CRR17.10.07c	Audit Plan - Revision of counter fraud and corruption policies and procedures	Draft policy has been prepared for review by management.		Chief Auditor	30-Jun-2018	
FRSIP17.10.35	Promote organisational awareness of fraud risks and investigate and reduce the fraudulent activity on council services and comply with Audit Scotland's national fraud initiative (NIF)	Work on the NFI outcomes is ongoing throughout various services within the Council. Fraud awareness sessions continue to be held for Council Staff and a learn fraud awareness course is currently being developed. Any fraud referrals received are reviewed and those meriting further investigation are allocated to the Council Fraud Officers.		Chief Auditor	31-Mar-2020	

Context		Risk Statement	Owned by	Current Risk Control Measures	L'hood	Impact	Evaluation
CRR17.10.08	Information and Records	If information (in whatever format), is not effectively managed, and council records are not retained or destroyed in line with the Records Management Plan, there is a risk of unavailability of the right information in the right format and at the right time, with knock on impact to effective and efficient service delivery and organisational decision-making.	Director of Finance & Resources	Top 5 controls: *Roles and responsibilities for information governance and information management are defined and established (for individuals, teams and groups) *A full suite of policies and guidance is in place around how information is handled and shared securely and how data is protected, with many training and development requirements and opportunities for employees, such as DP, information security, and records management modules on iLearn *There are technical ICT controls in place to protect the information handled by the council *There is an established incident management procedure in place for identifying, reporting, investigating and monitoring lessons learned from any information security incidents or near misses *Records Management Plan (approved by Council), which covers all the organisation's records.	03	04	12 High
Context: The council has well established and embedded information governance arrangements. There is scope however to further improve on aspects of how the council manages information. Additionally: (1) The Records Management Plan requires full implementation in 5 years. (2) Preparation required for the coming into force of EU General DP Regulation in May 2018							
Action Codes	Linked Actions	Latest Note					
CRR17.10.08a	Prepare for the coming into force of EU GDPR in May 2018 – Develop and oversee the implementation of Action Plan to ensure compliance with EU GDPR when this comes into force on 25 May 2018		Allison Black		Assigned	Due	Status
FR.RR16.10.08c	Development and implementation of a new Information Management Strategy	The Council is migrating to Microsoft Office 365 in Q3 and Q4 2017 and also introducing an online ERP system. This will introduce new technologies (including Outlook, OneNote, Sharepoint, Skype) and ways of working relating to information sharing. The Information Management Strategy will now be developed to reflect the potential changes in the way the Council manages its information, given the opportunities within the newly deployed technologies.	Enterprise Architect			31-Jan-2018	
FR.RR16.10.08d	Develop a range of practical data and information management guidance to allow individuals, team and services management their information assets more effectively	The Council is migrating to Microsoft Office 365 in Q3 and Q4 2017 and also introducing an online ERP system. This will introduce new technologies (including Outlook, OneNote, Sharepoint, Skype) and ways of working relating to information sharing. The guidance will now be developed to reflect the potential change in the way the Council manages its information, given the opportunities within the newly deployed technologies.	Enterprise Architect			31-Jan-2018	
FR.RR16.10.08g	Development of disposal procedures for line of business applications		Records Manager			31-Jul-2019	
FRSIP17.10.26	Progress Records Management Plan (RMP) Action Plan, in particular the Business Classification Scheme	A recent Internal Audit of the Council's RMP has highlighted that more advantage should be take of the five year period for implementation of the RMP. As such, some timescales have been revised, including work on the BCS. As reported to the Audit, Scrutiny and Petitions Board, this element of the RMP requires most work and will take the longest to complete with an anticipated completion in 2019. Work is underway to implement the BCS as a file plan on shared drives throughout the organisation.In support of this work, officers have been identified throughout service areas that will be tasked with producing reports on their service's shared folders using an analysis tool. Initial training has been delivered and guidance created. These reports will help to identify file duplication, files passed their retention, and areas where files can be managed better.	Head of Corporate Governance			31-Dec-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
CRR17.10.09 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.	Head of Information and Communications Technology	Top 5 Controls: *Mandatory cyber security training and acceptable use policies *IT security technologies scanning inbound and outbound traffic *Backup copies of data *Business continuity plans *Independent IT Health Checks	03	04	12 High	
	*Cyber intrusions have increased over the past decade and the public sector is not immune to this. Yesterday's traditional prevention strategies may no longer be adequate for stopping advanced, targeted attacks. Renfrewshire Council is focused on ensuring cyber risk is appropriately managed in a way that supports innovative working and the safety and security of council systems and information. *Migration to O365		Q365 Project Controls: *Encrypted devices *Encrypted internet based connection to O365 services *End User access through recognised Council Active Directory services and using strong passwords. *Constant review of risk *Evolving deployment of technologies to increase protection and decrease risk over time.				
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status		

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.03 Sustaining and improving Customer & Business Services	Context: (1) All areas of the council are reliant on CBS (2) Capacity to meet demand linked to recruitment and retention of staff and structured review of work practices across all services (3) Culture change is key to the sustainability of provision (4) CBS restoration plans in place	With challenges around capacity and demand for Customer & Business Services (CBS) there is a risk that Customer & Business Services may not be able to deliver improved services and agreed service standards	Director of Finance & Resources	Top 5 controls: *Deployment of the CBS Workforce Plan *Roles and responsibilities of CBS and Service staff are defined and established for revised business processes through the work of the ERP and Customer Access Projects *Performance and improvement plan deployed *Development and deployment of customer insight methodology to support the design of services that are fit for purpose *Structured learning and development discussions and opportunities are defined within CBS to support improved workforce skills, morale, retention and flexibility	03	04	12 High
Action Codes		Linked Actions	Latest Note	Assigned To	Due Date	Status	
FRSIP17.10.25	Develop new Customer Strategy for the Council, including accessibility for all customers	The Customer Strategy 2017 - 2022 is being developed in conjunction with our Customers and Staff. Consultation has been carried out over the summer period, and a draft Customer Strategy is being finalised.	Head of Customer & Business Services	31-Oct-2017			

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.04 Management of elections Context: (1) Local Government Elections in May and General Election in June 2017 (2) Being cognisant of changing legislation, processes and use of e-counting systems. De-escalated from corporate risk register, April 2016)		If the council does not effectively manage elections this may be damaging to the council's reputation and that of those responsible for conducting elections, with significant adverse media attention and consequences for those directly involved.	Head of Corporate Governance	*Experienced team in place to oversee the management of the specific challenges of multiple and simultaneous elections; *Good governance in place; *Guidance from the Electoral Commission is always followed and implemented; *Detailed contingency plans and risk registers are always put in place for these events with responsibility for contingency/mitigating actions clearly defined	02	05	10 High
	Action Codes	Linked Actions	Latest Note		Assigned To	Due Date	Status
	FR-SIP-16-10-23	SIP 16-19 - Implement the outcome of the review of electoral arrangements by the Boundary Commission for Scotland. Preparing for and implementing the recommendations and ensuring that revised governance arrangements are in place.	The Boundary Commission for Scotland is undertaking a fresh consultation exercise on its latest proposals for constituency boundaries in Scotland. The review will not be completed until after the consultation closes on 11 December 2017. Therefore, this action remains ongoing.		Head of Corporate Governance	31-Mar-2019	
FRSIP17.10.28	Deliver an induction programme for the new administration, actively preparing for potential changes emerging from the outcome of these election and implement any changes to governance structures	Both aspects of this action have been completed ie the induction programme and the implementation of changes to the governance structure approved at the statutory meeting on 18 May 2017.			Head of Corporate Governance	31-Jul-2017	
FRSIP17.10.29	Conduct and administer the General Elections for Renfrewshire	Completed and no elections due until 2021			Head of Corporate Governance	30-Jun-2017	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.05 Service fraud prevention		The service is mindful of activities that could be open to potential fraud. If these activities are not sufficiently scrutinised there could be financial and reputational impacts to the council	Director of Finance & Resources	Top 5 controls: * Finance and Resources has key representatives on the Integrity Group to take forward the Integrity Group work plan * Process in place to report any potential misuse of council resources to the Corporate Counter Fraud Team * Other fraud specific controls are not detailed within the public domain	03	03	9 Moderate
Context: (1) Council Integrity Group established to look at Serious and Organised Crime, Fraud and Insider Threat (2) All service departments have been tasked with scrutinising arrangements for fraud prevention within their areas of responsibility							
Action Codes	Linked Actions	Latest Note					
FR.RR16.10.10a	Complete the service specific actions (due 2016/17) as detailed within the Integrity Group Work Plan	Work is ongoing in relation to updating policies and procedures and completion of the corporate vulnerability assessment.					
		Assigned To				Due Date	Status
		Chief Auditor				30-Jun-2018	

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.06 Procurement – compliance, timescales and supplier management		Any Non compliance with EU procurement rules and council Contract Standing Orders could lead to supplier challenge, which could impact on the service's reputation, the ability to award contracts on time to meet service provision and where supplier relationships are not carefully managed, a risk of reduced service or reduced quality of service.	Director of Finance & Resources	Top 5 controls: * Centralised Procurement function supports: a) Standardised approach to procurement reduces the risk of error in the process. b) Transparency of contract strategies and authorisation of contracts. c) Better trained and qualified procurement professionals. d) Training for all staff involved in the procurement process to clarify roles and responsibilities. e) Annual training programme is now in place. Other controls: * Urgent works can be awarded under Council Standing Orders using delegated authority where there are health and safety concerns * Term contracts have been setup with Building Services that the Maintenance Section can access using Schedule of Rates (SoRs). * Supplier management meetings * Key performance indicators * Key suppliers included in Business Impact Analysis * Business continuity arrangements in place	03	03	9 Moderate
Context: (1) Compliance with EU procurement rules and timescales, and Council Standing Orders (2) Risk of supplier challenge and subsequent delays impacting service provision (3) Managing supplier relationships when contracts may not be renewed							
Action Codes	Linked Actions	Latest Note					
		Risk tolerated – no further planned actions					
		Assigned To				Due Date	Status

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.07 Insurance Cover	The council requires to continually review its insurance data in respect of property values and the tracing of historic liability insurers otherwise there is a risk that appropriate cover is either not in place or may be untraceable.	Director of Finance & Resources	Top 5 controls: *Insurance policy register in place and Insurance Archaeologist is continuing to support the council to identify any relevant historic insurance policies *Employers' Liability Tracing Office (ELTO) - accessible database *Improved process agreed for data gathering with regards to property valuations *Contract in place with reputable broker for guidance and advice *Ongoing monitoring of the status of the Scottish Government Limitation (Childhood Abuse) (Scotland) Bill	03	03	9 Moderate
Risk tolerated – no further planned actions						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.08 Delivery of new ICT operating model	With challenges around capacity, there is a risk that ICT services may not be able to meet demand and customer expectations linked to the new ICT operating model	Director of Finance & Resources	Top 5 controls: * The establishment of the Partnering & Commissioning function creates an effective interface between the business and ICT provision keeping strategic decision making close to the organisation and always aligned with the Council's objectives whilst pushing out the day to day operational activities to 'world class' expert suppliers. * The new ICT model will support the objective of adopting a commoditised approach to ICT.	02	04	8 Moderate
Risk tolerated – no further planned actions						
Action Codes	Linked Actions	Latest Note	Assigned To	Due Date	Status	
FRSIP17.10.31	Implement ICT Strategy	A programme of work has been developed around the 8 work streams that underpin the ICT Strategy 2017 – 2020. A number of projects are now underway including Telephony As A Service, Implementing Microsoft Enterprise Agreement, Centralisation of Application Management, etc	Head of ICT	31-Mar-2020		

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.09 Return on ICT investment	If there is not sufficient engagement with the new ICT operating model then there is a financial risk in terms of costly ICT investment decisions	Director of Finance & Resources	Top 5 controls: * The Business Relationship Managers (BRMs) will work with managers in directorates to ensure that their current and future ICT needs are aligned with their business requirements and are adequately met by the ICT service.	02	04	8 Moderate
Risk tolerated – no further planned actions						

Context		Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
FR.RR17.10.10 Corporate projects - capacity	Context: (1) ERP (2) Better Council Programme, etc...	Key officers are involved in a number 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	Director of Finance & Resources	Top 5 controls: * Performance monitoring * Supervision and CPD	04	02	8 Moderate
Action Codes	Linked Actions	Latest Note			Assigned To	Due Date	Status
FRSIP17.09.17	Support staff who are involved in a BCC project to ensure resilience and capacity is at a suitable level	Supporting the delivery of significant change projects is demanding for staff who retain operational responsibilities, and this continues to be monitored by line managers, SMT and the Better Council Change Programme Board to ensure appropriate supports are in place			Interim Head of HR, OD & Workforce Planning	31-Mar-2019	



To: Audit, Risk and Scrutiny Board

On: 06 November 2017

Report by: Director of Finance and Resources

Heading: Absence Statistics – 2017/18 Quarter 2

1. Summary

- 1.1 The purpose of this report is to advise the Audit, Risk and Scrutiny Board of the absence statistics for the period 1July 2017 to 30 September 2017. The report details the absence statistics by service and by category of staff.
- 1.2 The report provides information in relation to absence targets and how services have performed against them. An analysis of the reasons for absence has also been compiled and details are included within the report. Information is also provided on supporting attendance activity and the costs of sick pay.
-

2. Recommendations

- 2.1 It is recommended that the Board notes the content of this report and that this report reflects the absence statistics for the period 1July 2017 to 30 September 2017.
-

3. Background

- 3.1 The Scrutiny Board agreed that absence levels will be reported on a quarterly basis. It was agreed that the report will include the following information relating to supporting attendance:-
- Absence statistics broken down by service and category of staff.
 - Reasons for absence broken down by service and category of staff.

- Progress made by services in relation to their supporting attendance action plans.

4. Absence Statistics - Quarter Ending 30th September 2017

4.1 Service and Council overall absence performance for the quarters are detailed in the table below. In line with the reporting requirements for Scottish Councils, absence is expressed as a number of work days lost per full time equivalent (FTE) employee.

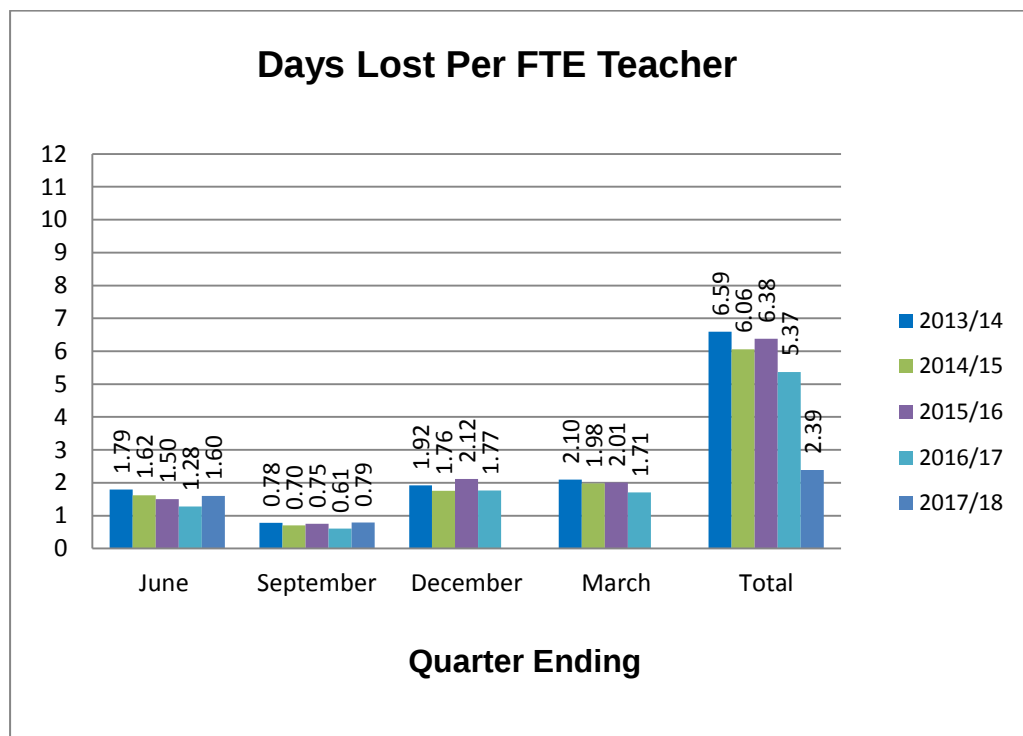
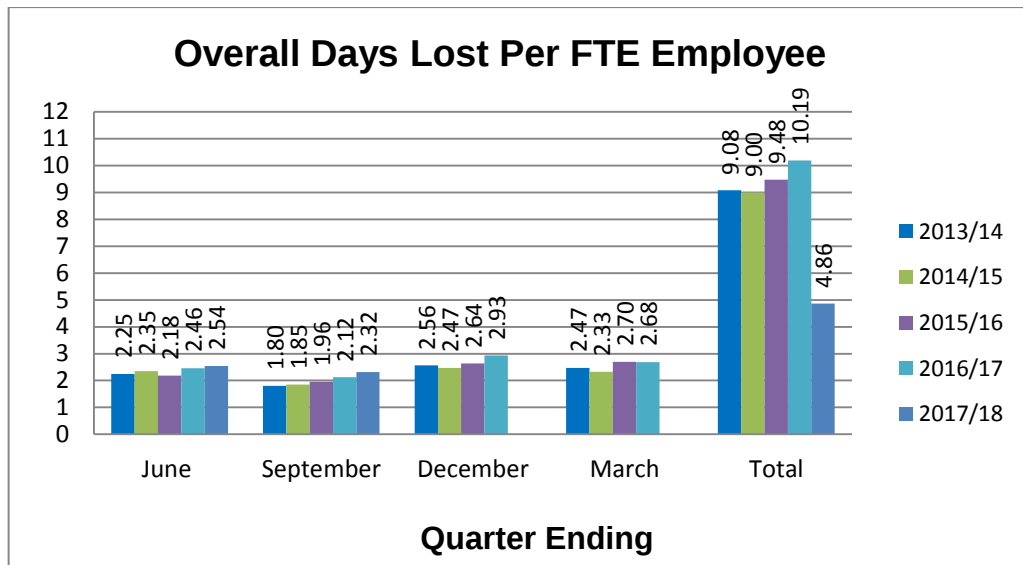
Service/Area	Quarter Ending September 2015	Quarter Ending December 2015	Quarter Ending 23 March 2016	Quarter Ending June 2016	Quarter Ending September 2016	Quarter Ending December 2016	Quarter Ending March 2017	Quarter Ending June 2017	Quarter Ending September 2017
Chief Executive's Services	1.70	0.67	0.77	1.17	1.82	1.72	3.41	1.78	2.90
Children's Services	0	2.20	2.50	1.85	1.16	2.29	2.17	2.07	1.35
Community Resources	2.26	2.88	2.79	2.96	2.49	3.75	3.34	3.67	3.28
Finance and Resources	2.25	2.69	2.73	2.02	2.29	2.59	2.37	2.29	2.16
Development and Housing Services	1.26	1.73	1.93	1.79	2.78	1.75	2.18	1.73	2.40
Health and Social Care Partnership	0	4.15	3.68	4.29	3.95	5.03	3.65	2.36	3.88
Council Overall	1.96	2.64	2.70	2.46	2.12	2.93	2.68	2.54	2.32
Council Overall targets	1.79	2.69	2.69	1.79	1.79	2.69	2.69	1.79	1.79

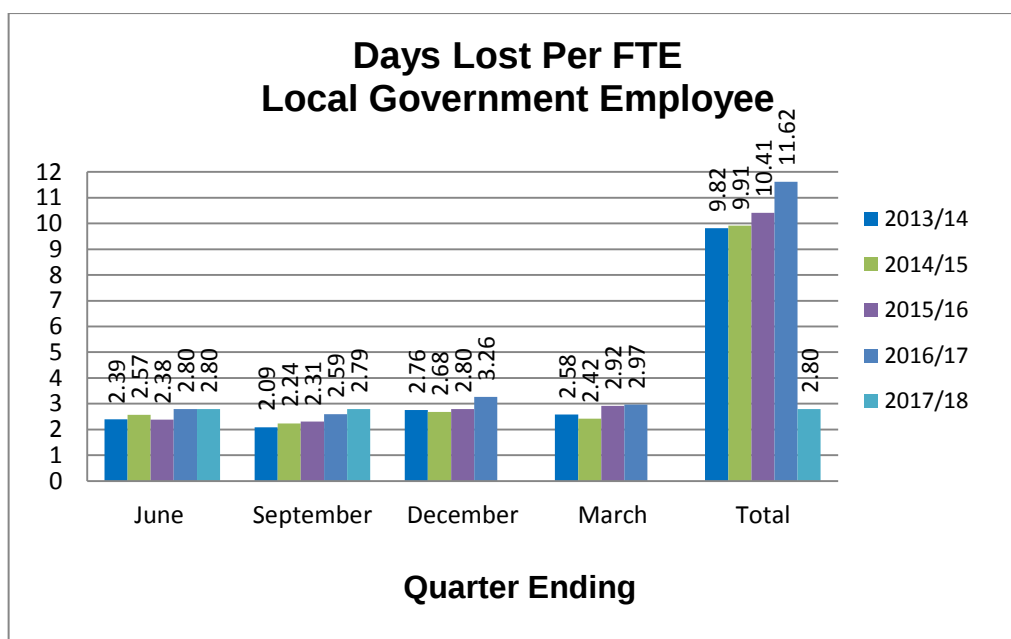
5. Analysis and Trends - Quarters Ending 31st December 2015 to 30th September 2017

5.1 The number of days lost per FTE employee due to absence is as follows:-

Quarter ended	Days lost per FTE	Quarter ended	Days lost per FTE	Variance
December 2015	2.64	December 2016	2.93	+0.29
March 2016	2.70	March 2017	2.68	- 0.02
June 2016	2.46	June 2017	2.54	+0.08
September 2016	2.12	September 2017	2.32	+0.20

- 5.2 The following tables detail the percentage absence levels by employee category for the quarter ending 30th September 2017 namely: overall, teachers and local government employees.





6. Absence Targets Analysis: Quarter 2, ending 30 September 2017.

6.1 **Appendix A** details the absence performance of services, the Council overall and employee groups against the set absence targets for quarter ending 30th September 2017.

6.2 The Council has recorded an overall absence rate of 2.32 days lost per FTE employee, which is 0.53 days **above** the target figure of 1.79 days.

In addition the Teacher absence level of 0.79 days lost per FTE employee is 0.75 days below the target of 1.54 days.

The absence performance of Local Government employees at 2.79 days lost per FTE employee is 0.87 days **above** the target of 1.92 days.

7. Reasons for Absence overview

7.1 The illness categories with the highest level of absence, compared to the same quarter in the previous year are as follows:

Quarter Ending	Illness categories
September 2016	Musculoskeletal and Joint Disorders – 25.9%. Psychological (non work related) – 24%,
September 2017	Psychological (non work related) – 30.8%, Musculoskeletal and Joint Disorders – 23.1%.

- 7.2 To address Psychological (non work related) absences the Council continue to provide a range of support services that employees can be referred to at an early stage for assistance. There are also Council policies, guidance and training to assist managers and employees that are specific to stress related issues.

HR and OD have investigated the possible options for further training and interventions available, which could be offered to employees as a proactive measure or for those who are currently experiencing non work related stress.

Areas which we have been explored include, but not limited to;

- Using our current counselling provider to deliver mindfulness and personal resilience courses;
- Using our current occupational health provider to deliver personal resilience courses;
- Working with RAMH to deliver the Scottish Mental Health First Aider courses; and
- Working with the NHS Choose Life team to offer safeTalk and ASIST on suicide awareness and prevention.

Further to this, HR and OD are working with our NHS colleagues to promote the “doing well” service which helps people with depression and low moods, This service is delivered by a team from various professional backgrounds such as psychiatry, occupational therapy, psychiatric nursing and psychology. Appointments are through the persons own GP Practice.

- 7.3 In relation to addressing musculoskeletal and joint disorders the Council offers a physiotherapy service through the Council’s Occupational Health Provider, and this service can be accessed by all employees.

As part of the Council’s Health and Safety Management system, occupations which include manual handling activities as part of the role, the task risk assessments are reviewed on an ongoing basis to ensure that safe working practices are maintained.

8. Supporting Attendance Activity

- 8.1 Recent and planned actions to improve absence performance include the following:-

- HR operational teams continue to work closely with service’s management teams to identify areas that require greater support. This will result in strategies to support the employees in those areas to return to work.
- A review of the current supporting attendance policies covering all staff, including teachers continues. Meetings have taken place with the respective

trades unions to ensure this is a fully collaborative process.

- HR operational teams continue to proactively contact and support managers who have absence cases of 2 to 4 weeks in duration, to monitor action taken to date and proposed next steps.
- Continued delivery of supporting attendance training at a corporate level for managers, with the provision of tailored training for managers and employees at a service level on request;
- Ongoing health promotion activities aimed at raising employee awareness of health issues continue. Flu jabs are being organised across the council.
- Ongoing work to improve the absence information available to managers and to streamline supporting attendance related processes to facilitate prompt absence reporting, recording and updating of relevant systems;
- Monthly meetings continue with Directors and their management teams to discuss their service's supporting attendance performance.

9. Costs of Sick Pay

- 9.1 The costs associated with sick pay are provided to the Audit, Scrutiny and Petitions Board. The table below outlines the costs of sick pay by employee groups and overall:

Quarter/Year	Teachers (includes Supply Teachers)	All Other Employees	Overall
Quarter 1 of 2017/2018	£519,866	£1,323,694	£1,843,560
Quarter 2 of 2017/2018	£204,165	£1,128,009	£1,332,175
Year to date	£724,031	£2,451,703	£3,175,735

* Total number of employees that contributed to the overall cost in this quarter was 1581

Implications of this Report

- 1 **Financial Implications** - Improvement in attendance impacts on the financial costs of absence.
- 2 **HR and Organisational Development Implications** - HR and Organisational Development Practitioners will continue to work with service managers and consult with the Trade Unions, on the implementation of the Supporting Attendance at Work Policy and Guidance and initiatives detailed in this report.
- 3 **Community Planning**

Children and Young People - none.

Jobs and the Economy - none.

Community care, health and wellbeing - provides for continuous improvement in health and attendance.

Safer and Stronger - provides for improved service performance across the Council.

Greener - none.

Empowering our Communities - none.

4 **Legal Implications** - none.

5 **Property/Asset Implications** - none.

6 **Information Technology Implications** - none.

7 **Equality and Human Rights Implications** - none.

8 **Health and Safety Implications** - it is integral to the Council's aim of securing the health and well being of employees.

9 **Procurement Implications** - none.

10 **Risk Implications** - Without continued effective supporting attendance focus, there is a risk that sickness absence levels will adversely impact on the Council both financially and in terms of service delivery. Consequently supporting attendance activities are monitored via the Corporate Risk Register.

11 **Privacy Impact Implications** - none.

12. **Cosla Policy Position** - none

List of Background Papers - none.

The contact officer within the service is Steven Fanning, Principal HR and OD Adviser, telephone 0141 618 7284, e-mail steven.fanning@renfrewshire.gov.uk

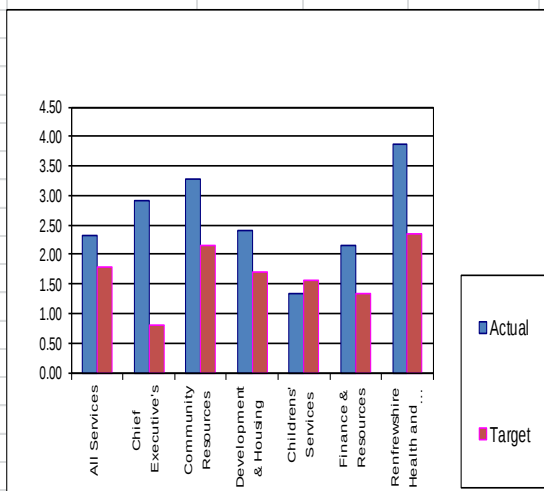
Author: Steven Fanning, Principal HR and OD Adviser,
Finance and Resources,
telephone 0141 618 7284,
e-mail steven.fanning@renfrewshire.gov.uk

Index of Appendices

Appendix A	Graphs detailing trends in service, Council overall and employee group absence levels against targets for 2017/18
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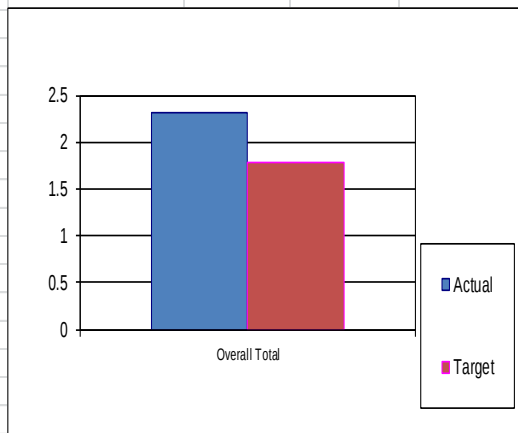
PERFORMANCE V TARGETS 2017/2018

Quarter 2 June 2017 - September 2017



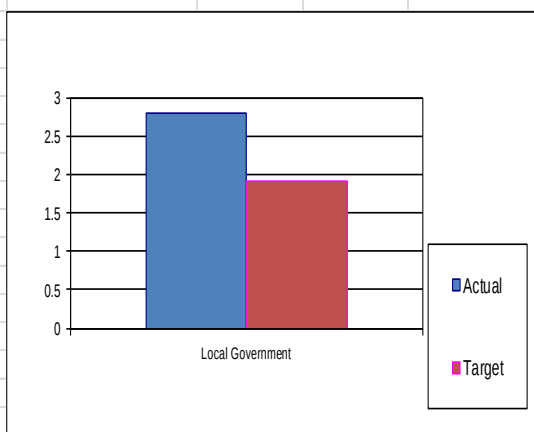
	Actual	Target	Difference
All Services	2.32	1.79	0.53
Chief Executive's	2.90	0.80	2.10
Community Resources	3.28	2.15	1.13
Development & Housing	2.40	1.69	0.71
Children's Services	1.35	1.56	-0.21
Finance & Resources	2.16	1.34	0.82
Renfrewshire Health and Social Care Partnership	3.88	2.36	1.52

Quarter 2 June 2017 - September 2017



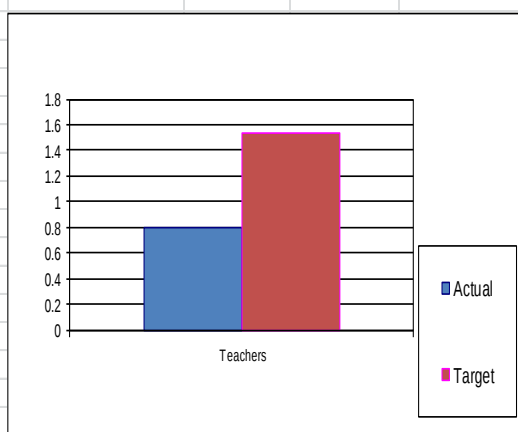
	Actual	Target	Difference
Overall Total	2.32	1.79	0.53

Quarter 2 June 2017 - September 2017



	Actual	Target	Difference
Local Government	2.79	1.92	0.87

Quarter 2 June 2017 - September 2017



	Actual	Target	Difference
Teachers	0.79	1.54	-0.75



To: Audit, Risk and Scrutiny Board

On: 6 November 2017

Report by: Director of Finance and Resources

Heading: Audit Scotland Report - Equal Pay in Scottish Councils

1 Summary

1.2 On 7 September 2017, Audit Scotland published a report on 'Equal Pay' in Scottish Councils.

1.3 The report details audit information collected by Audit Scotland from across all 32 Councils in Scotland focussing on:

- How Councils implemented the Single Status Agreement;
- How much Councils have spent on settling equal pay claims;
- How Councils demonstrate that they are dealing effectively with equal pay claims and minimising risks;
- How effective the governance and oversight arrangements of the Single Status Agreement; and
- What lessons can be learned for the future.

2 Recommendations

2.1 It is recommended that the Board notes the contents of the report.

3 Background

3.1 The campaign for Equal Pay has a long history. The Equal Pay Act 1970 was the first piece of legislation giving the right to pay equality between men and women. This Act made it unlawful for an employer to discriminate between men and women in all contractual terms of employment including pay. The Equality Act 2010 replaced the Equal Pay Act and sets out ways an employee's work can be determined to be equal to that of another employee such as:

- **Like work** – work which is the same or broadly similar
- **Work related as equivalent** – when a job evaluation had rated 2 jobs as being the same or similar
- **Work of equal value** – work found to be of equal value, for example in terms of effort, skill or decision-making.

3.2 Historically, pay and conditions of Council employees were governed by different national agreements. For example, pay and conditions for manual workers differed from those of administrative, professional, technical and clerical employees (APT&C).

3.3 In 1997, a UK wide agreement was reached to unify the pay structures of different groups of Council employees. This became known as the Single Status Agreement or Red Book as it's widely known. Scottish Councils and Trade Unions negotiated the Scottish version of the Single Status Agreement in 1999. By harmonising employment terms and conditions, and grading all jobs on the same scale, this agreement sought to eliminate pay inequality for all.

4.0 Summary of the Key Messages

4.1 A summary of the key messages highlighted by Audit Scotland in their report is detailed below. A statement on the Council's position, where relevant, is noted below.

4.2 Key Message 1

Under Equality legislation, all employers have a legal responsibility to ensure that women and men receive equal pay for equal work. In 1999, Scottish Councils and Trade Unions reached the Single Status Agreement. The aim of the agreement was to harmonise local government pay and employment terms and conditions, and eliminate pay inequality.

4.3 Key Message 2

Implementing the Single Status Agreement was a complex process that required all Councils to undertake a large-scale job evaluation exercise. Councils underestimated the challenges involved and all but one missed the agreed implementation date of 2004. It was not until 2010 that all Councils in Scotland had Single Status in place. This was 11 years after the agreement was signed, with implementation taking twice as long as initially planned.

The Council implemented Single Status in Renfrewshire in 2006.

4.4 Key Message 3

There has been a lack of collective national leadership to overcome the challenges and address equal pay issues in a timely way.

The Council and its legal advisers managed the majority of claims during the period of 2007-2012, with the vast majority of claims being settled by 2012. The Council has no equal pay claims relating to the implementation of the Single Status Agreement.

Councils as part of the Society for Personnel and Development Scotland work collaboratively with Cosla to share their current position and future plans to address pay inequality.

4.5 Key Message 4

Councils initially worked on the basis that they could offset the costs of implementing single status with savings from changes to staff conditions and by improving staff productivity. Councils received no additional funding to implement their new pay and grading structures. In reality, single status brought significant costs and some Councils and Trade Unions found themselves balancing the risk of industrial unrest with affordability. This meant that some of the approaches taken by Councils when implementing Single Status did not always prioritise pay equality and were later found to be discriminatory.

To support the implementation of Single Status Agreement, the Council evaluated, and continues to evaluate jobs under a single system called the Scottish Joint Councils (SJC) Job Evaluation Scheme. The scheme does not determine actual pay, but places jobs in a rank order according to the demands placed upon the job holder. The scheme defines these demands across a range of factors such as knowledge and skills, responsibility, working environment and dealing with relationships. The Council scores jobs and ranks them through our locally agreed pay and grading model. Prior to implementing Single Status in 2006, the Council made the appropriate financial provision to pay for this.

4.6 Key message 5

Councils sought to compensate workers who had historically been unfairly paid by offering payments if they signed settlement agreements. Councils paid around £232 million to approximately 50,000 workers in this way. The payments made were often of a relatively low value compared with the difference in pay over time, so some people refused them. Even while Councils were implementing single status, they continued to receive thousands of equal pay claims for historical pay discrimination. ***The Council pro-actively managed the risks associated with equal pay claims, securing mutually acceptable settlement agreements on 2651 claims costing £12.25m. The majority of these claims were settled by 2012.***

4.7 Key message 6

All Councils received equal pay claims after implementation. There were many reasons for these claims, for example claims against pay and bonus protection given to predominately male workers and discrimination in job evaluation schemes. Since 2004, around 70,000 equal pay claims have been lodged against Councils. The cost of compensation agreements and settling claims, along with legal fees amounts to around £750 million. The number of claims made against Councils varies widely. Some of this variation can be explained by how actively 'no win, no fee' lawyers have encouraged claims in different Council areas. There are almost 27,000 live equal pay claims and workers could potentially still make new claims against Councils.

The Council has no live equal pay claims with all claims having been settled.

4.8 Key message 7

Councils need to be confident they have fair and transparent pay arrangements and take necessary action, such as regular equal pay audits, to deliver pay equality in line with their public sector equality duty. Elected members need to continue to oversee, scrutinise and challenge Councils approaches to delivering equal pay and reducing the gender pay gap.

To comply with the Councils Public Sector Equality Duty, the Chief Executive, on 20 April 2017, submitted a report to Council entitled 'Equality Outcomes and Mainstreaming Progress Report'. The report detailed steps taken by the Council to achieve its equality outcomes and highlighted areas of good practice as well as areas of focus for the future.

Accompanied with the report was the Council overall gender pay gap, reported as 4.86% in favour of males. A revised Equal Pay Policy was also approved demonstrating the Council's commitment to equal pay and benefits for work of equal value for all employees, and commits the Council to a series of actions to reduce the gender pay gap.

5.0 **Actions for Council**

5.1 The report highlights that Councils must ensure they are fulfilling their Public Sector Equality Duties in relation to equal pay. This includes:

- Publishing an equal pay statement and equal pay policy;
- Assessment the impact of any changes that may affect equal pay;
- Publishing gender pay gap information.

5.2 In complying with good practice, Councils should:

- Use EHRC guidance for example when undertaking equal pay audits and developing equal pay policies;
- Use Close the Gap's guidance on meeting with the Public Sector Equality Duty;
- Ensure their risk registers are up to date;

- Implement 3rd edition of the Scottish Joint Council (SJC) Job Evaluation Scheme.

5.3 ***As part of the 'Equality Outcomes and Mainstreaming Progress Report' submitted to Council on 20 April 2017, the Council followed the EHRC's guidance when it carried out its equal pay audit and revisions to its Equal Pay Policy as part of the duty to comply with the Public Sector Equality Duty. In addition, the Council implemented the 3rd edition of the Scottish Joint Council (SJC) Job Evaluation Scheme in April 2016.***

****END****

Implications of the Report

1. **Financial** – The financial risks to the Council are minimal because of the MOU's currently in place with the employee's representatives. This may change should the Council redesign its current pay and grading model.
 2. **HR & Organisational Development** – HR & OD will continue to support the Council to meet its Public Sector Equality Duty minimising the future risk of equal pay claims.
 3. **Community Planning** – None.
 4. **Legal** – HR & OD will continue to work closely with legal colleagues to ensure that future legislative case updates are considered and risks to the Council minimised.
 5. **Property/Assets** – None
 6. **Information Technology** – None.
 7. **Equality & Human Rights** -
 - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report because for example it is for noting only. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
 8. **Health & Safety** - None.
 9. **Procurement** – None.
 10. **Risk** – As stated in number 2 above. .
 11. **Privacy Impact** – None.
-

List of Background Papers

- (a) Equal Pay in Scottish Councils – Report by Audit Scotland
- (b) Equality Outcomes and Mainstreaming Progress Report

Author: **Director of Finance and Resources**



To: Audit, Risk & Scrutiny Board

On: 6 November 2017

Report by: Director of Finance & Resources

Heading: COMMISSIONER FOR ETHICAL STANDARDS IN PUBLIC LIFE IN SCOTLAND – ANNUAL REPORT 2016/17

1 Summary

- 1.1 The Commissioner for Ethical Standards in Public Life in Scotland has issued his 2016/17 annual report. The report is available on the Commissioner's website at <http://www.ethicalstandards.org.uk/publications/publication/832/cespls-annual-report-and-accounts-201617>
- 1.2 The report provides details of investigation of complaints about the conduct of councillors, members of devolved public bodies and MSPs and scrutiny of Scotland's Ministerial public appointments process.
- 1.3 The statutory functions of the Commissioner in relation to conduct and public appointments are set out in the report, together with details of the projects currently being developed in relation to public appointments.
- 1.4 The report relates to the first year of the 2016-20 strategic plan, looks forward to the 2017/18 period of the plan and provides an overview of the 2016/17 budget.

2 Recommendations

- 2.1 That the 2016/17 Annual Report by the Commissioner for Ethical Standards in Public Life in Scotland be noted.
- 2.2 That the actions taken in Renfrewshire in relation to the Code of Conduct and members' training and development as detailed in the report be noted.

3 Background

Complaints About Conduct

- 3.1 The report advises that the volume and complexity of conduct complaints had decreased by 20%. The largest category of complaints related to disrespect and appeared to be increasing as a percentage of the total volume of complaints received.
- 3.2 The report indicates that one third of the complaints reported to the Standards Commission (six in number) concerned failure to register or declare an interest. Four concerned alleged failure to show respect, and three involved alleged breaches of the requirements for maintaining the confidentiality of information. Another three related to complaints of misconduct in decision making on planning or licensing applications.
- 3.3 The report notes that nationally, during 2016/17 the Commissioner received 174 complaints, compared with 245 in 2015/16. The figures for 2015/16 are in brackets. The categories of complaint are set out below:

Complaints against:

Councillors	165 (202)
Members of devolved public bodies	5 (39)
Other (outwith jurisdiction)	4 (4)

Complaints made by:

Members of the public	110 (202)
Councillor	54 (36)
Officer of a local authority	7 (5)
MSP	1 (1)
Member of a devolved public body	2 (0)
Anonymous	0 (1)

- 3.4 Complaints received related to: failure to register an interest 6(4); failure to declare an interest 22(19); disrespect of councillors/officials/employees 63(75); breach of confidentiality 16 (9); misconduct relating to lobbying 11(19); misconduct on individual applications 15(46); misuse of council facilities 4(0); breach of the key principles 20 (47); outwith jurisdiction 4 (4); other complaints 13(11).
- 3.5 No specific figures relative to Renfrewshire Council are included in the report. However, information has been received separately from the Commissioner that, during the period covered by the report, 4 complaints were received against Renfrewshire councillors compared with 6 in 2015/16 and 10 in 2014/15. The report refers to the hearing into a complaint received concerning Councillor Paul Mack. The outcome of that hearing was reported to the meeting of the Council held on 15 December 2016.

4 **Code of Conduct**

- 4.1 The Council, as part of its Induction programme of events and development opportunities for Councillors, provided a briefing on 10 May 2017 on Standards & Ethics in Public Life and Roles & Responsibilities of Councillors that included specific guidance on the Code of Conduct for Councillors and on registering and declaring interests.
- 4.2 The Induction programme also included: (a) an opportunity to discuss the content of the Code of Conduct at the "Getting it Right - as a Councillor" event held on 23 May 2017 delivered by an external practitioner; and (b) a briefing on 22 June 2017 on the role(s) and responsibilities of Councillors appointed to Trusts, Outside Bodies and Arms-length External Organisations (ALEO's). Preparations are being made to deliver a briefing on the Code of Conduct (application of Section 10 of the European Commission on Human Rights concerning Freedom of Expression) before the end of 2017 and for a general Code of Conduct refresher briefing before the end of March 2018. Members have also been invited to attend the Standards Commission road show on 15 December 2017.

5 **Public Appointments**

- 5.1 In respect of public appointments, the report advises that the Commissioner for Ethical Standards in Public Life Scotland is currently exploring opportunities to work in partnership to improve the appointments process to serve on the boards of public bodies and to identify and remove barriers for under-represented groups.
- 5.2 The Commission has also launched a research project to assess the impact of diversity on governance on public boards. The project has been developed in partnership with officials from the Scottish Government and with support and advice from a number of public body chairs. The volume of appointment rounds completed over the year was consistent with previous years.

Implications of the Report

1. **Financial** – none
 2. **HR & Organisational Development** – none
 3. **Community Planning** – none
 4. **Legal** – none
 5. **Property/Assets** – none
 6. **Information Technology** – none
 7. **Equality & Human Rights**
- (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If

required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. **Health & Safety** – none
9. **Procurement** – none
10. **Risk** – none
11. **Privacy Impact** – none
12. **Cosla Policy Position** – not applicable

Author: Carol MacDonald, Senior Committee Services Officer
Finance & Resources, Telephone: 618 5967



To: Audit, Risk & Scrutiny Board

On: 6 November 2017

Report by: Director of Finance & Resources

Heading: **AUDIT, RISK & SCRUTINY ANNUAL PROGRAMME 2017/18 –
REQUEST FOR ADDITIONAL REVIEW**

1 Summary

- 1.1 At the meeting of the Board held on 26 August 2017, the Convener intimated that Councillor Sharkey had put forward an additional item to be considered by the Audit, Risk & Scrutiny Board as part of its 2017/18 Annual Programme 2017/18 as detailed in the appendix to this report.
- 1.2 It was agreed that the proposed additional item be continued to this meeting of the Board in order that Councillor Sharkey could advise Members of the reason this further review should be undertaken.
-

2 Recommendations

- 2.1 That the Board give consideration to including an additional review as item (vii) to the Annual Programme 2017/18 regarding the conversion of grass areas to parking.
-

3 Background

- 3.1 The Board at its meeting held on 28 August 2017 agreed that the annual 2017/18 programme of reviews would comprise investigations of (i) fly tipping in the countryside and known fly tipping spots; (ii) Housing repairs by Council and outside contractors; (iii) bus deregulation and its effect on transport services in Renfrewshire; (iv) the newly-introduced speed limit in Brookfield (A761); (v) maintenance of multi-occupancy accommodation; and (vi) the effectiveness of Fair Trade, and that this would be the order of priority in which they would be undertaken. Therefore this request, if agreed, would be number (vii) on the list.
- 3.2 The Board also agreed to receive reports in relation to Japanese knotweed and Council tax exemptions.

Implications of the Report

1. **Financial** - none
2. **HR & Organisational Development** - none
3. **Community Planning** - none
4. **Legal** - none
5. **Property/Assets** - none
6. **Information Technology** – none
7. **Equality & Human Rights**
 - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** - none
9. **Procurement** - none
10. **Risk** - none
11. **Privacy Impact** - none
12. **Cosla Policy Position** – not applicable.

List of Background Papers - none

Author: Carol MacDonald, Senior Committee Services Officer
Finance & Resources
tel: 0141 618 5967, e-mail: carol.macdonald@renfrewshire.gov.uk

AUDIT, RISK & SCRUTINY BOARD
ANNUAL PROGRAMME



I would like to have the undernoted issue considered by the Audit, Risk & Scrutiny Board as part of its 2017/18 annual programme:

Issue:

Many small areas of grass and other plants exist within residential areas, as these should be maintained, but often this does not meet the expectations of residents at the same time many of these areas have parking problems.

Why the review should be undertaken:

To establish if the legal powers exist to allow the conversion of small green areas to parking exists and how best to progress the resolving of parking pressures in established residential areas.

Expected outcome of the review:

A report which details the extent of the problem, a list of locations and cost benefit analysis of savings to the HRA and costs of establishing parking.

Councillor : *J Sharkey*

Date: 20 September 2017



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

On: **06 November 2017**

Report by: **Lead Officer**

Heading: **Fly tipping in the countryside and at known fly tipping spots**

1. Summary

- 1.1 At its meeting on 28 August 2017, members of the Audit, Risk and Scrutiny Board agreed an annual programme of activity for the Board for 2017/2018. This included a review which would look into fly tipping in the countryside and at known fly tipping spots.
-

2. Recommendations

- 2.1 The Board is asked to:
- approve the purpose and scope of the review;
 - approve the provisional timescale as outlined in Appendix 1 to this report;
 - authorise the Lead Officer to contact any organisations recommended by the Board who may have information useful to the Board and who may be potential witnesses;
 - delegate powers to the Lead Officer, in consultation with the Convenor, and grant the Convenor of the Board permission to alter the timetable having regard to the availability of evidence and witnesses throughout the course of the review; and,
 - authorise the Lead Officer to make the necessary arrangements to progress the review within the agreed timescales.
-

3. Background

- 3.1 The Environmental Protection Act 1990 is the key piece of legislation for tackling litter and fly tipping, Part II outlines the duties for fly tipping.

3.2 Fly tipping is a national problem across the UK and is defined as the illegal deposit of any waste onto land that does not have a licence to accept it. Waste includes for example general household waste, larger domestic items including fridges and mattresses, garden refuse, and commercial waste such as builder's rubble, clinical waste and tyres.

3.3 It is thought that there are a number of reasons which cause people or

businesses to fly tip, one of which for example is financial, where a person or business may seek to avoid the cost of disposal.

3.4 Regulation and enforcement with regards to fly tipping is a dual function falling to both SEPA and Local Authorities through the provisions within the Environmental Protection Act 1990. In terms of enforcement locally, Renfrewshire Council has power to issue fixed penalty notices for fly tipping (£200 a time) and to report offenders to the Procurator Fiscal (sanctions include fines up to £40k or imprisonment). Renfrewshire Council also has power to require landowners to remove waste from their land.

3.5 When waste is deposited on any land which the council maintains, there is a duty on the council to remove the waste from the land and the council bears this cost. This duty extends to roads, roadside verges and areas of land under council ownership.

3.6 In terms of fly tipping in Renfrewshire, known spots have included for example Hillington, Glennifer Braes and Auchenlodment Road (private ownership).

4. **Purpose of the Review**

4.1 The key purpose of this review will be to:

- (1) understand what drives people (individuals and organisations), to fly tip in the countryside and known fly-tipping spots;
- (2) set out the council's current arrangements for addressing fly tipping; and
- (3) identify any other mitigation that could be recommended and that the council could pursue within available resources.

5 **Scope of the Review**

5.1 In relation to 4.1(1) above, the focus of the review will be on reviewing

Section 33 Environmental Protection Act 1990

An offence is committed if:

- ✚ a person has deposited/ knowingly caused/ knowingly permitted the deposit of controlled waste in or on land and either:
 - that land does not have a waste management licence in force in relation to it; OR
 - the deposit is not in accordance with a waste management licence.
- ✚ a person has treated, kept or disposed of controlled waste or knowingly caused or knowingly permitted the treatment, keeping or disposal of controlled waste in or on land and either:
 - that land does not have a waste management licence in force in relation to it; OR
 - the treatment, keeping or disposal is not in accordance with the licence.
- ✚ a person has treated, kept or disposed of controlled waste in a manner likely to cause pollution of the environment or harm to human health

research available on this subject and reporting this back to the Board at subsequent meetings. Consideration will additionally be given to the potential use of social media to seek feedback from residents on this topic.

- 5.2 In relation to 4.1(2) above, the Lead Officer will focus on the services currently provided by Environment & Communities, predominantly those services that fall within the remits of the Head of Amenity Services and the Head of Public Protection.
- 5.3 In relation to 4.1.(3) above, a significant focus of the review will be on fly tipping prevention and detection activities that are being taken forward elsewhere, particularly by other Scottish local authorities and partner organisations. From this it will then be possible to identify good/ best practice and benchmark the council's position in relation to this.
- 5.4 For clarity, litter/ littering does not fall within the scope of this review.

6 Timetable and witnesses

- 6.1 It is proposed that the review commences following the meeting of the Audit, Risk and Scrutiny Board and is progressed through subsequent Board meetings, with a final draft report being submitted for approval in August 2018 and a final report thereafter to Council in September 2018. (Timetable appended).
- 6.2 From an initial review of stakeholders involved in fly-tipping research, prevention and detection activities, it is suggested that witnesses/ representatives from the council's Environment & Communities service department, other local authorities, and partners including Police Scotland, SEPA and Zero Waste Scotland be invited to future meetings to provide information to the Board. Witnesses will be asked to provide written evidence prior to any meetings with the Board to allow members sufficient time for preparation ahead of the meeting.

Implications of the Report

- | | | |
|----|--|---------------|
| 1. | Financial | - none |
| 2. | HR & Organisational Development | - none |
| 3. | Community Planning | - none |
| 4. | Legal | - none |
| 5. | Property/Assets | - none |
| 6. | Information Technology | - none |
| 7. | Equality & Human Rights | - none |
- The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights

have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

- | | | |
|-----|----------------------------|---------------|
| 8. | Health & Safety | - none |
| 9. | Procurement | - none |
| 10. | Risk | - none |
| 11. | Privacy Impact | - none |
| 12. | COSLA implications | - none |

List of Background Papers

(a) Audit, Risk and Scrutiny Board Annual Programme approved 28/08/2017

The foregoing background papers will be retained within Finance and Resources for inspection by the public for the prescribed period of four years from the date of the meeting. The contact officer within the service is Risk Manager, Risk Manager, 0141 618 7019,
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Appendix 1 Timetable for Fly-Tipping Review

Date of Board Meeting	Stage of Review
06 November 2017	Commencement of review
22 January 2018	Continuation of review
19 March 2018	Continuation of review
29 May 2018	Continuation of review
27 August 2018	Draft report to Board
27 September 2018	Final report to Council



To: AUDIT, RISK AND SCRUTINY BOARD

On: 6 NOVEMBER 2017

Report by: LEAD OFFICER

Heading: HOUSING REPAIRS BY COUNCIL AND OUTSIDE CONTRACTORS

1. Summary

- 1.1 At its meeting on 28 August 2017 the Audit, Risk and Scrutiny Board agreed its annual programme of activity for the Board for 2017/18. The programme included a review of Housing repairs by Council and outside contractors to ensure that high standards of repairs are undertaken with appropriate monitoring and evaluation of repairs to support this.
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2. Recommendations

The Audit, Risk and Scrutiny Board is asked to:

- 2.1 Approve the purpose and scope of the review
- 2.2 Approve the provisional timescale as outlined in Appendix A to this report
- 2.3 Delegate powers to the Lead Officer, in consultation with the Convener to alter the timetable having regard to the availability of evidence and witnesses throughout the course of the review
- 2.4 Authorise the Lead Officer to contact any organisations recommended by the Board who may have information useful to the Board and who may be potential witnesses.
- 2.5 Authorise the Lead Officer to make the necessary arrangements to progress the review within the agreed timescales.

3. Background

- 3.1 Renfrewshire Council currently owns 12,200 properties and completed in excess of 54,000 repairs in 2016/17.
- 3.2 The Council has a published repairs policy which is available to all tenants and sets out the role and responsibility for the Council to maintain and repair its housing stock; details the different types of maintenance and repair works; tenants' right to repair and customer satisfaction/complaints process.
- 3.3 Performance monitoring of repairs, including customer satisfaction rates and achieving target timescales are monitored at both operational and strategic levels within the Council. Annual performance returns are submitted to the Scottish Housing Regulator (an independent body which is responsible for the regulation of all social landlords in terms of the Housing (Scotland) Act 2010) against Scottish Social Housing Charter indicators. Benchmarking with other social landlords through three independent (Best Value Housing Network; Housemark and APSE) organisations is also undertaken.
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4. Council House Repairs

- 4.1 The Council currently has a housing stock of 12,200 properties and in 2016/17 completed in excess of 54,000 repairs within these, the majority being undertaken by Building Services with the remaining repairs undertaken by specialist contractors.
- 4.2 A £138M capital investment programme to ensure the Council housing stock met the Scottish Housing Quality Standard (SHQS) concluded in 2015. This programme was delivered over a 5 year period, with various external contractors and Renfrewshire Council Building Services involved in carrying out the work. Post 2015, the capital investment programme is continuing, albeit on a smaller scale, but still includes multi million pound programmes of internal and external improvements works delivered by external contractors and Renfrewshire Council Building Services.
- 4.3 There are six categories of repairs, being:
- Emergency Repairs
 - Qualifying Repairs
 - Urgent and Appointable Repairs
 - Cyclical Maintenance
 - Programmed Repairs, and
 - Planned Replacement Works
- 4.4 Each category of repair has different targets for response and completion of the required works but there are common requirements: where possible, repairs will be completed in one visit; be carried out to a high standard, deliver a 'right first time' service. Where repairs are unable to be completed in one visit, appointments to return and complete the works are agreed with the tenant.

- 4.5 There is a commitment that where Council staff and external contractors are carrying out works they will:
- Be tidily dressed and wearing a uniform
 - Introduce themselves and show identification before entering a property
 - Explain the nature of the work and keep the tenant informed about progress with the repair
 - Take care to minimise disruption and protect the home and belongings from damage, dust and paint
 - Follow Health and Safety requirements, making sure materials and tools do not cause a danger
 - Are polite and courteous at all times
 - Do not smoke, play radios or use facilities within the property without the tenant's permission
 - Remove all work related refuse, tidy up and make sure essential services are connected at the end of each day
- 4.6 Following completion of repairs, telephone surveys are carried out to ensure that the tenant is satisfied with the quality of the work and the service received. Where tenants are not satisfied on completion of the repair and remain dissatisfied with attempts to resolve this, the formal complaint process can be used to have the matter investigated and a response provided on the investigation will be issued to the tenant.
- 4.7 When repair works have been completed, monitoring is generally undertaken through the use of customer satisfaction surveys. Higher value works e.g. replacement of garden fencing are visited and assessed by inspectors to ensure their satisfactory quality. With regard to the use of external contractors the Council has stringent monitoring and control measures in place to ensure the quality of works.

5. Purpose of Review

- 5.1 The key purpose of the review is to consider whether robust procedures are in place to ensure that repairs to Council housing stock are carried out to a high standard; are completed timeously and within set targets; properties are not left in a dangerous condition; that satisfactory monitoring and evaluation of repairs is undertaken and that there are measures in place to address unsatisfactory works by both external contractors and Building Services staff.
- 5.2 The review will focus on existing practices and strengths and will consider examples of best practice, both within Renfrewshire and at least one neighbouring authority, taking evidence from Council officials and Residents and Tenants Associations.

6. Scope of Review

- 6.1 In undertaking this review, it is recommended that the Audit, Risk and Scrutiny Board approves that the Lead Officer:

1. Consults with Development and Housing Services and Building Services to identify the current processes in place to monitor and ensure high standards of work are applied to repairs
2. Invites responses from at least one neighbouring authority on their approach to securing a high standard of repair by external contractors and Council staff.
3. Invites responses from Residents and Tenants Associations on issues where they have concerns regarding the quality of repair works undertaken.

7. Timetable and Witnesses

- 7.1 It is proposed that the review commences at this meeting of the Audit, Risk and Scrutiny Board and be progressed through subsequent Board meetings with a final report being submitted for approval prior to its submission at a future meeting of the Council.
- 7.2 It is recommended that at least one neighbouring authority and representatives from a tenants and residents association are invited to provide written evidence prior to any meetings with the Board to permit members sufficient time for preparation ahead of the meeting. It is proposed that the Lead Officer takes forward the indicative timetable as set out in Appendix 1 to this report.

Implications of the Report

1. **Financial** - none
2. **HR & Organisational Development** - none
3. **Community Planning** - none
4. **Legal** - none
5. **Property/Assets** - none
6. **Information Technology** - none
7. **Equality & Human Rights** - The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8. **Health & Safety** – none
 9. **Procurement** - none
 10. **Risk** - none
 11. **Privacy Impact** - none
 12. **Cosla Policy Position** - none
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List of Background Papers – None

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Appendix 1- Indicative Timescale for Review Process

22 January 2018- Invite representative from Residents and Tenants Associations to present evidence on issues/concerns they have regarding the quality of repair works.

19 March 2018- invite Official from neighbouring local authority to attend Board to present evidence of on their approach to securing a high standard of repair by external contractors and Council staff.

29 May 2018- Appropriate Council Officials representing Development and Housing Services and Building Services attend Board as witnesses to speak to the current position regarding repairs and monitoring/satisfaction.

27 August 2018- Draft report for Council for discussion by the Board

27 September 2018- Final report presented to Council

