

## Notice of Meeting and Agenda Scotland Excel Executive Sub-committee

Date	Time	Venue
Friday, 21 May 2021	09:30	Remotely by MS teams,

KENNETH GRAHAM  
Clerk

### Membership

Provost Bill Howatson (Aberdeenshire Council); Councillor Angus Macmillan Douglas (Angus Council); Councillor Graham Hutchison (City of Edinburgh Council); Provost Norman A Macdonald (Comhairle Nan Eilean Siar); Councillor Stephen Thompson (Dumfries and Galloway Council); Councillor Altany Craik (Fife Council); Councillor Ruairi Kelly (Glasgow City Council); Councillor Jimmy Gray (Highland Council); Councillor Joe Cullinane (North Ayrshire Council); Councillor Paul Di Mascio (North Lanarkshire Council); Councillor John Shaw (Renfrewshire Council); Councillor Amanda Hawick (Shetland Islands Council) and Councillor Collette Stevenson (South Lanarkshire Council)

Councillor John Shaw (Convener): Councillor Paul Di Mascio (Vice Convener)

### Further Information

If you require further information in relation to this meeting please contact [elaine.currie@renfrewshire.gov.uk](mailto:elaine.currie@renfrewshire.gov.uk)

## 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.

- |             |   |                |
|-------------|---|----------------|
| <b>1</b>    | <b>Minute</b>   | <b>3 - 8</b>   |
|             | Minute of meeting of the Executive Sub-committee held on 23 April 2021.                                 |                |
| <b>2</b>    | <b>Revenue Budget Monitoring Report to 31 March 2021</b>  | <b>9 - 14</b>  |
|             | Joint report by Treasurer and Chief Executive of Scotland Excel.  |                |
| <b>3</b>    | <b>Contract for Approval: Waste Composition Analysis Services</b>                                       | <b>15 - 22</b> |
|             | Report by Chief Executive of Scotland Excel.  |                |
| <b>4(a)</b> | <b>Request for Associate Membership of Scotland Excel by Easthall Park Housing Co-operative Limited</b> | <b>23 - 24</b> |
|             | Report by Chief Executive of Scotland Excel.  |                |
| <b>4(b)</b> | <b>Request for Associate Membership of Scotland Excel by Royal Botanic Garden Edinburgh</b>             | <b>25 - 26</b> |
|             | Report by Chief Executive of Scotland Excel.  |                |
| <b>5</b>    | <b>Community Benefits and Fair Work Practices Update</b>  | <b>27 - 32</b> |
|             | Report by Chief Executive of Scotland Excel.  |                |
| <b>6</b>    | <b>Strategic Risk Register Update</b>   | <b>33 - 50</b> |
|             | Report by Chief Executive of Scotland Excel.  |                |
| <b>7</b>    | <b>Date of Next Meeting</b>   |                |
|             | Note that the next meeting of the Executive Sub-committee will be held at 9.30 am on 18 June 2021.      |                |

## Minute of Meeting Scotland Excel Executive Sub-committee

Date	Time	Venue
Friday, 23 April 2021	09:30	Remotely by MS teams,

### Present

Councillor Charles Buchan (substitute for Provost Bill Howatson) (Aberdeenshire Council); Provost Norman A Macdonald (Comhairle Nan Eilean Siar); Councillor Stephen Thompson (Dumfries and Galloway Council); Councillor Altany Craik (Fife Council); Councillor Ruairie Kelly (Glasgow City Council); Councillor Jimmy Gray (Highland Council); Councillor Joe Cullinane (North Ayrshire Council); Councillor Paul Di Mascio (North Lanarkshire Council); Councillor John Shaw (Renfrewshire Council); and Councillor Amanda Hawick (Shetland Islands Council).

### Chair

Councillor Shaw, Convener, presided.

### In Attendance

J Welsh, Chief Executive, H Carr, Head of Strategic Procurement, S Brannagan, Head of Customer and Business Services, L Campbell, Corporate Services Manager, S Christie, Commercial Manager, L Cairns, Senior Procurement Specialist, S Boyle, Assistant Procurement Specialist, L Robertson, Customer Account Manager, L McIntyre, Senior Communications Specialist and K Forrest, Office Manager (all Scotland Excel); C McCourt, Finance Business Partner and E Currie, Senior Committee Services Officer (both Renfrewshire Council); and A MacDonald, Senior Auditor (Audit Scotland).

### Apologies

Provost Bill Howatson (Aberdeenshire Council); Councillor Angus Macmillan Douglas (Angus Council); Councillor Graham Hutchison (Edinburgh Council); Councillor Ruairie Kelly (Glasgow City Council) (for lateness); and Councillor Collette Stevenson (South Lanarkshire Council).

## **Declarations of Interest**

There were no declarations of interest intimated prior to the commencement of the meeting.

### **1 Minute**

There was submitted the Minute of the meeting of the Executive Sub-committee held on 19 March 2021.

**DECIDED:** That the Minute be approved.

## **Sederunt**

Councillor Craik joined the meeting during consideration of the following item of business.

### **2 Chief Executive's Update**

There was submitted a report by the Chief Executive of Scotland Excel relative to the Chief Executive's Update report considered at the meeting of the Scotland Excel Chief Executive Officer's Management Group (CEOMG) held on 24 March 2021, a copy of which was appended to the report.

The report intimated that the CEOMG met quarterly and that as part of the regular governance process, the Chief Executive of Scotland Excel provided an update on the work of Scotland Excel. Following discussions with the Convener, it had been agreed that this report, and any future reports, be shared with members of the Scotland Excel Executive Sub-committee, following CEOMG meetings.

The report submitted to the CEOMG on 24 March 2021 covered the period between 18 November 2020 and 23 March 2021 and provided information in relation to contingency planning; work in collaboration with the Digital Office; care services; the independent review of adult social care; the Scotland Excel Academy; new build housing; contracts approved since November 2020; an update on the contract plan; projects with other local authorities and associate members; the Scotland Excel Hosted Procurement Team; the tender support being provided to Zero Waste Scotland and the Scottish Local Government Pension Scheme; participation in workstreams associated with the Procurement and Climate Change Forum; and new associate members.

**DECIDED:** That the report be noted.

### **3 Annual Audit Plan 2020/21**

There was submitted a report by the Treasurer relative to Audit Scotland's annual audit plan 2020/21 for Scotland Excel which outlined Audit Scotland's planned activities in their audit for the 2020/21 financial year, a copy of which was appended to the report.

The report intimated that, based on analysis of the risks facing Scotland Excel, Audit Scotland had submitted an audit plan which outlined its approach to the audit of the 2020/21 annual accounts to assess whether the accounts provided a true and fair view of the organisation's financial position and also whether the accounts had been prepared in accordance with proper accounting practice, the 2020 Code of Practice on Local Authority Accounting in the UK.

The annual audit plan outlined the responsibilities of the Joint Committee, Treasurer and Audit Scotland; provided an assessment of key challenges and risks; the approach and timetable for completion of the audit; and included a section on Audit Risks which had been included in the audit plans of many bodies which Audit Scotland worked with. The inclusion of this section was not a reflection of any specific risk within Scotland Excel.

The Senior Auditor, Audit Scotland, presented the annual audit plan to members with particular reference to the risks identified in Exhibit 1, the audit outputs detailed in Exhibit 2, the audit fee, the reliance on internal audit and the audit dimensions. In relation to the audit timetable, members were advised that the dates identified were provisional and may be subject to change and that Audit Scotland would liaise closely with the Chief Executive of Scotland Excel, the Treasurer and the Executive Subcommittee.

**DECIDED:** That Audit Scotland's annual audit plan 2020/21 be noted.

## **Sederunt**

Provost Macdonald left the meeting during consideration of the following item of business.

### **4 Contract for Approval: Supply and Delivery of Vehicle Parts**

There was submitted a report by the Chief Executive of Scotland Excel relative to the award of a fourth-generation renewal framework for the supply and delivery of vehicle parts which would operate from 1 April 2021 to 31 March 2024 with an option to extend for up to 12 months until 31 March 2025.

The framework would provide councils and other participating bodies with a mechanism to procure a wide range of vehicle parts, windscreen replacement, auto-electrics, specialist vehicle parts, hydraulics and workshop consumables to cover the varied fleet mix across councils.

The report summarised the outcome of the procurement process for this framework.

The framework had been divided into seven lots as detailed in table 1 of the report and the forecast annual spend for participating councils and associated members, with contingency, was £12 million per annum, equating to an estimated £48 million over the four-year term of the framework. Appendix 1 to the report detailed the participation, spend and savings summary of those 29 councils participating in the framework together with Tayside Contracts who had confirmed their intention to participate. It was noted that North Ayrshire, South Ayrshire, and Stirling Councils had their own arrangements in place which they intended to continue operating.

Tender responses had been received from 36 suppliers and Appendix 2 to the report provided a summary of the offers received and their SME status.

Based on the criteria and scoring methodology set out in the tender document, a full evaluation of the offers had been carried out and Appendix 3 to the report detailed the scoring achieved by each bidder.

Based on the evaluation undertaken, and in line with the criteria and weightings set out in the report, it was recommended that a multi-supplier framework arrangement be awarded to 31 suppliers across the seven lots as outlined in Appendix 3 to the report.

Appendix 4 to the report detailed the approach taken by suppliers in relation to fair work practices and their position on the payment of the Real Living Wage; and Appendix 5 to the report detailed the contract management classifications. In relation to fair work practices including the Real Living Wage, members were advised that 26 of the 31 recommended bidders paid the Real Living Wage, not 24 as detailed in the report.

**DECIDED:** That the award of the multi-supplier framework for the supply and delivery of vehicle parts, as detailed in Appendix 3 to the report, be approved.

## 5 **Update on the Contract Delivery Plan**

There was submitted a report by the Chief Executive of Scotland Excel relative to the progress of the 2020/21 contract delivery plan.

The report intimated that the contract delivery plan comprised new frameworks and renewals, framework extensions and frameworks with ongoing contract management only and Appendices 1 to 4 to the report provided further details.

The report highlighted that there were 72 current frameworks in the Scotland Excel portfolio, with a further six new frameworks to be added. It was noted that 37 of these frameworks would be renewed before 31 December 2022 and a further 15 of the frameworks on the current portfolio had extension options that were likely to be exercised in 2021/22.

It was noted that overall, efficiencies delivered to date in 2021/22 were 2.9% which was slightly above the forecast range. It was anticipated that the value of the Scotland Excel framework portfolio by 31 March 2022 would remain in the region of £2 billion.

A summary of the spend and forecast savings per council between January and December 2020 was detailed in Appendix 5 to the report.

Scotland Excel was exploring the benefits of further collaborative procurement across high spend, critical service areas in construction, corporate, ICT and social care teams.

**DECIDED:** That the progress made to date be noted.

## 6 **Operating Plan Update 2021/22**

There was submitted a report by the Chief Executive of Scotland Excel providing an update on the progress made in delivering the commitments contained in the Operating Plan 2021/22.

The report intimated that a new operating plan, covering the fifteen-month period from January 2021 to March 2022, had been approved at the meeting of the Scotland Excel Joint Committee held on 11 December 2020. To simplify reporting, the number of commitments in the plan had reduced from 68 detailed commitments to 30 broader commitments and these aligned to more than 120 specific actions cascaded to staff as part of Scotland Excel's Performance Review and Development Programme.

The report highlighted that 25 commitments were progressing in line with plans and were indicated as green; three commitments had been impacted by external factors and were indicated as amber; and one commitment had been completed and was indicated as black.

It was noted that progress reports were produced quarterly to track Scotland Excel's activity against operating plan commitments and at the end of each quarter reports were submitted to the Executive Sub-committee with half-yearly and annual reports submitted to the Joint Committee. Due to the continuing uncertainty in relation to COVID-19 and Brexit, reporting against key performance indicators was currently on hold pending a review of appropriate measures.

**DECIDED:** That Scotland Excel's progress in delivering the commitments contained within the Operating Plan 2021/22 be noted.

## **Sederunt**

Councillor Kelly joined the meeting during consideration of the following item of business.

### **7 Employee Absence Management Report**

There was submitted a report by the Chief Executive of Scotland Excel relative to employee absence statistics for Scotland Excel.

The report advised of the absence levels for the period ending 31 March 2021 and provided a breakdown of the current month, the last six months and 12 months absence figures, together with an illustration of 12 months in days and the last 12 months in percentages.

The rate of absence across the organisation had been maintained at or below the 4% target, with the exception of August 2020, where the absence rate rose to 5% and March 2021, where the absence rate rose to 5.1% due to long-term absences. The rolling six months and 12 months average absence rates had maintained at or below 3.2%.

The report highlighted that the COVID-19 pandemic had had an adverse impact on the mental wellbeing of staff and that its impact could be evidenced when comparing the absence pattern from the previous 12 months.

It was noted that, as an organisation, Scotland Excel focussed on supporting attendance policies and made use of Renfrewshire Council's occupational health providers. The organisation held regular all-staff training sessions educating staff around mental health; and SMT development sessions around remote leadership and the use of technology in managing working practices moving forward.

Scotland Excel had been developing guidance around blended working and it was proposed that a report relative to this guidance would be submitted to a future meeting of the Executive Sub-committee. This was agreed.

Members thanked the Scotland Excel management team for the support available to staff absent through ill health and the positive early intervention practices and support services in place to maintain employee attendance. Also, for the support available to members of staff who might be experiencing difficulties whilst remaining at work.

**DECIDED:**

(a) That the report be noted; and

(b) That the report relative to guidance around blended learning be submitted to a future meeting of the Executive Sub-committee.

**8 Date of Next Meeting**

**DECIDED:** That it be noted that the next meeting of the Executive Sub-committee would be held at 9.30 am on 21 May 2021.

## Scotland Excel

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Joint Report by the Treasurer and the Chief Executive**

### **Revenue Budget Monitoring Report to 31 March 2021**

#### **1. Summary**

- 1.1 Scotland Excel has ended the 2020/21 financial year with a net underspend of £15k in its Core activities and a £121k underspend by year-end within Projects, which results in an increase to reserves. Further detail is provided at Section 3.

#### **2. Recommendations**

- 2.1 It is recommended that members note the year-end positions in both Core Operations and Projects detailed within the report.

#### **3. Background**

##### **Core**

- 3.1 The 2020/21 budget was approved by the Joint Committee in December 2019. For Core, the approved budget is a break-even position.
- 3.2 At 31 March 2021, the outturn position is a surplus of income over expenditure of £15k. This will be added to the Revenue Reserve. The outturn position includes variances to budget as follows:

##### Expenditure

- **Employee Costs - £46k underspend**

Scotland Excel has had a freeze on recruitment of vacant posts across the organisation during 2020/21 as a result of COVID-19. The final cost includes provision in respect of costs in relation to the recent VR/VER exercise.

- **Transport Costs - £29k underspend**

An underspend in Transport Costs has naturally arisen following periods of COVID-19 lockdown restrictions and related Scottish Government guidance.

- **Supplies and Services - £84k underspend**

Supplies and Services expenditure, such as postage, printing and stationery are underspent in light of COVID-19 lockdown restrictions and staff working from home during 2020/21.

- **Support Costs - £43k overspend**

This overspend arises from increased costs in relation to organisational Insurances, which reflects the growing Scotland Excel framework portfolio.

### Income

- **Associate Membership - £34k under-recovery**

This has arisen due to the uncertain financial environment within the Social Housing sector. Recognising the financial difficulty that many organisations have experienced during 2020/21, the Scotland Excel Associates team continues to work with existing associate members to promote the benefits of membership.

- **Income from Projects - £95k under-recovery**

Reflects impact of the COVID-19 pandemic on the New Build framework and on uptake of courses within the Scotland Excel Academy. Reported income from projects has increased since January 2021 due to a number of additional projects being commissioned from, and delivered by, Scotland Excel prior to financial year-end.

- **Retrospective Rebates - £29k over-recovery**

Reflects the unplanned impact of COVID-19 pandemic on some Rebate frameworks; in particular the Janitorial Supplies framework, which has experienced increased sales.

- 3.3 Appendix 1 provides an analysis of the actual income and expenditure for 2020/21 and includes a summary of movement in the Revenue Reserve, as well as a glossary of terms.
- 3.4 There have been no budget adjustments since the last report at Period 11.
- 3.5 Final reserve balances will be reported in the Annual Accounts 2020/21, which will be presented to the Joint Committee for approval in June 2021.

### **Projects**

- 3.6 The 2020/21 budget was approved by the Joint Committee in December 2019. For Projects, the approved budget is a break-even position, after a planned contribution of income to Core of £315k.

- 3.7 At 31 March 2021, the outturn position is a surplus of income over expenditure of £121k, which will be added to Project reserves. This is after an actual contribution of income to Core of £165k. The outturn position also includes an over-recovery of income of £314k compared to budget. This is due primarily to over-recovery of accrued rebate income to the Small Value Procurement project and Scottish Government funding in relation to projects whose delivery spans two financial years.
- 3.8 Appendix 2 provides an analysis of the actual income and expenditure for 2020/21 and includes a summary of movement in the Project reserves, as well as a glossary of terms.
- 3.9 There have been no budget adjustments since the last report at Period 11.
- 3.10 Final reserve balances will be reported in the Annual Accounts 2020/21, which will be presented to the Joint Committee for approval in June 2021.

REVENUE BUDGET MONITORING STATEMENT 2020/21  
1 April 2020 to 31 March 2021

Core	Approved Budget at Period 11	New budget adjustments	Revised Budget	Full Year Actual	Full Year Variance (Adverse) / Favourable
£000s	£000s	£000s	£000s	£000s	£000s
Employee Costs	3,591	0	3,591	3,544	47
Property Costs	217	0	217	217	0
Transport Costs	30	0	30	1	29
Supplies and Services	296	0	296	212	84
Transfer Payments	14	0	14	16	(2)
Support Costs	224	0	224	267	(43)
<b>Gross Expenditure</b>	<b>4,372</b>	<b>0</b>	<b>4,372</b>	<b>4,257</b>	<b>115</b>
Council Requisitions	(3,661)	0	(3,661)	(3,661)	0
Temporary Reserve Use	(120)	0	(120)	(120)	0
Associate Income	(210)	0	(210)	(176)	(34)
Income from Projects	(315)	0	(315)	(220)	(95)
Rebates	(66)	0	(66)	(95)	29
<b>Gross Income</b>	<b>(4,372)</b>	<b>0</b>	<b>(4,372)</b>	<b>(4,272)</b>	<b>(100)</b>
<b>Drawdown from Reserves</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(15)</b>	<b>15</b>

Summary of in-year Movement in Reserves	£000s
Opening Revenue Reserve at 1 April 2019	235
Budgeted Draw on Reserves	0
Year-end variance	15
<b>Closing Revenue Reserve at 31 March 2020</b>	<b>250</b>
<b>% of Operating Income</b>	<b>5.9%</b>

**Glossary**

**Employee Costs:** Includes direct employee costs such as salary costs, overtime and indirect employee costs such as training, recruitment advertising

**Property Costs:** Includes expenses directly related to the running of premises and land, eg rates, rents and leases, utilities, contract cleaning

**Transport Costs:** Includes all costs associated with the provision, hire or use of transport, including travelling allowances, taxi and car hire costs and staff mileage

**Supplies and Services:** Includes all supplies and service expenses, such as ICT costs, and administrative costs such as stationery, postages, printing and advertising

**Transfer Payments:** Includes costs of payments for which no good or services are received in return e.g. Apprenticeship Levy

**Support Costs:** Includes central support charges e.g. Renfrewshire Council SLA and telephony recharges ('Administration Costs' in approved budget)

**REVENUE BUDGET MONITORING STATEMENT 2020/21**  
**1 April 2020 to 31 March 2021**

Projects	Approved Budget	New budget adjustments	Revised Budget	Full Year Actual	Full Year Variance (Adverse) / Favourable
£000s	£000s	£000s	£000s	£000s	£000s
Employee Costs	1,302	(0)	1,302	1,269	33
Transport Costs	23	0	23	0	23
Supplies and Services	57	0	57	65	(8)
Transfer Payments	5	0	5	62	(57)
Third Party Payments	294	0	294	0	294
<b>Gross Expenditure</b>	<b>1,681</b>	<b>(0)</b>	<b>1,681</b>	<b>1,396</b>	<b>285</b>
Income from Projects	(1,996)	(0)	(1,996)	(1,682)	(314)
<b>Gross Income</b>	<b>(1,996)</b>	<b>(0)</b>	<b>(1,996)</b>	<b>(1,682)</b>	<b>(314)</b>
<b>Net Expenditure Sub-Total</b>	<b>(315)</b>	<b>(0)</b>	<b>(315)</b>	<b>(286)</b>	<b>(29)</b>
<b>Transfer to Core</b>	<b>315</b>	<b>0</b>	<b>315</b>	<b>165</b>	<b>150</b>
<b>Net Expenditure</b>	<b>0</b>	<b>(0)</b>	<b>0</b>	<b>(121)</b>	<b>121</b>

Summary of in-year Movement in Project Reserves	£000s
Opening Revenue Reserve at 1 April 2020	763
Budgeted Draw on Reserves (for Core)	(120)
Projected year-end variance	121
Closing Revenue Reserve at 31 March 2021	764
% of Operating Income	45.4%

### Glossary

**Employee Costs:** Includes direct employee costs such as salary costs, overtime and indirect employee costs such as training, recruitment advertising

**Transport Costs:** Includes all costs associated with the provision, hire or use of transport, including travelling allowances, taxi and car hire costs and staff mileage

**Supplies and Services:** Includes all supplies and service expenses, such as ICT costs, and administrative costs such as stationery, postages, printing and advertising

**Transfer Payments:** Includes costs of payments for which no good or services are received in return e.g. Apprenticeship Levy

**Third Party Payments:** Includes payments to other agencies and organisations in return for services, e.g. CMI/SQA fees



## Scotland Excel

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Chief Executive of Scotland Excel**

**Tender: Waste Composition Analysis Services**

**Schedule: 15/20**

**Period: 09 June 2021 until 08 June 2025**

### **1. Introduction and Background**

This recommendation is for the award of the first-generation framework for Waste Composition Analysis Services.

This proposed framework was advertised for the period from 9 June 2021 until 8 June 2025. It is intended to commence on 9 June 2021.

This framework that will offer a mechanism for local authorities to procure the services of suitably qualified service providers to conduct waste composition analysis ("WCA"). This will include sorting and detailed reporting of analysis results following scrutiny of waste collected from households at the kerbside or via Household Waste & Recycling Centres.

Scotland Excel has delivered this framework with support from Zero Waste Scotland (ZWS). ZWS is a not-for-profit organisation funded by the Scottish Government with a remit to use evidence and insight to inform policy and motivate individuals and businesses to embrace the environmental, economic, and social benefits of a circular economy. A key component of ZWS's role in informing policy and motivating change involves gathering informative and accurate data. ZWS plans a programme over the coming years that will provide support to local authorities for the procurement of waste composition analysis services ensuring a consistent approach, high quality data and ease of market engagement. ZWS has supported Scotland Excel in securing the required resource to tender and maintain a procurement framework that can be accessed by all 32 local authorities.

## **2. Scope, Participation and Spend**

The framework comprises a single lot - "Lot 1 - Kerbside Residual Waste and Recycling Study".

The framework agreement is available for use by all 32 councils in Scotland plus Tayside Contracts.

The forecast annual spend for participating councils and associate members, with contingency, is £750,000 per annum, equating to an estimated £3 million over the full 4-year term of the framework.

## **3. Procurement Process**

Following engagement with ZWS as the key stakeholder, the procurement strategy was endorsed on 25 November 2020 and service requirements developed in line with this. In addition, a working group consisting of suitably qualified council officers and ZWS representatives was formed to participate in the evaluation.

A Prior Information Notice (PIN) was published on 29 September 2020, which resulted in expressions of interest from 21 organisations. Service Providers were given the opportunity to provide Scotland Excel with information in relation to, but not limited to; market intelligence, market trends, sustainability initiatives, community benefits to help inform the strategy.

The Contract Notice was published via the Find A Tender and Public Contracts Scotland (PCS) portal on 18 February 2021, with the tender documentation being immediately available via the Public Contracts Scotland Tender (PCS-T) system. The tender exercise was conducted and concluded in accordance with the regulations and procedures currently in place.

The procurement process followed the open tender process to ensure maximum competition and inclusion of all potential providers to service the framework. All bidders were examined against selection criteria, using the Single Procurement Document (SPD) and award criteria, concurrently. The award criteria included technical and commercial sections that were evaluated against the following criteria and weightings:

Technical: 50%  
Commercial: 50%

Within the technical section, bidders were required to evidence their knowledge and experience by responding to method statements which covered areas that included: Planning and Delivery of a Quality WCA Study, Risk Management, Project Management, Resourcing & Key People and Sustainability & Fair Work Practices. Bidders were also assessed in terms of their ability to provide community benefits.

**Table 2: Technical Section Weighting**

<b>Question</b>	<b>Description</b>	<b>Weighting</b>
1	Planning and Delivery of a Quality WCA Study	14
2	Risk Management	10
3	Project Management	10
4	Resourcing and Key People	9
5	Sustainability & Fair Work Practices	6
6	Community Benefits	1
Total Score		50

Within the commercial section, bidders were invited to offer rates/pricing as part of their tender submission. Fixed pricing for 12 months was required, and in addition to which bidders were asked to confirm if they were willing to offer a longer period of fixed pricing from the framework contract start date. Bidders were also invited to specify if they would offer any early settlement discount.

#### **4. Report on Offers Received**

The tender document was downloaded by 11 organisations, with 5 tender responses received by the specified closing date and time. A summary of all offers received is provided in Appendix 1.

Based on the criteria and scoring methodology set out in the tender document, a full evaluation of the compliant offers received was completed. Appendix 2 confirms the scoring achieved by each bidder.

#### **5. Recommendations**

Based on the evaluation undertaken, and in line with the criteria and weightings set out above, it is recommended that a multi-supplier framework arrangement is awarded to 5 service providers as outlined in Appendix 2.

These 5 recommended service providers offer best value and represent a mix of small, medium and large organisations. 4 service providers are classed as SME, 1 is classed as a large service provider. 2 of the service providers are Scottish based.

The range of service providers recommended provides competitive options for all participating local authorities as well as offering a degree of choice and capacity.

## 6. Benefits

### Savings

This is the first national collaborative framework for waste composition analysis services that will provide all thirty-two councils in Scotland with a route to market for the procurement of a waste composition analysis service.

The only historic data on previous spend is available from waste composition analysis funded by ZWS and commissioned by a small number of councils in recent years. Following analysis, ZWS confirmed that it would not be possible to draw a comparable cost from the previous studies for the following reasons:

- A relatively small number of studies in total previously supported by ZWS during 2013-15 (eighteen in total).
- The requirements of individual procurements were more flexible than has been specified for this framework.
- Individual self-funded council studies have a greater degree of variation in what they specified and what was actually delivered.
- The main cost drivers sought in this tender are based on a scenario and in practice mini competitions will be carried out by councils.

The success of this framework will be measured on delivering consistent high-quality levels of waste composition analysis services, participation, level of actual spend and the convenience of a legally compliant framework option from which councils can easily access.

### Price Stability

The framework applies twelve months fixed pricing. All recommended service providers have offered further fixed pricing periods of between 12 months and the lifetime of the framework. Thereafter, all requests for price increases will be evaluated against prevailing market conditions and require to be supported by documentary evidence.

### Sustainable Procurement Benefits

Within the technical section of the tender, a sustainability method statement assessed service providers in relation to their corporate approach to sustainability and how they promote recycle, reuse and reduce initiatives to minimize the impact of their supply chain on the environment. A range of sustainable measures were outlined by service providers including:

- Adoption of low-emission vehicles to reduce carbon footprint.
- Reduction of miles travelled per employee, whilst increasing the proportion of more sustainable transport modes.
- Development of an automated electronic data recording system for waste composition analysis to reduce paper use.
- Re-use of PPE whilst not comprising safety.
- Recycling of waste paper, spent toner/ink cartridges, obsolete computer hardware, printers and mobiles.

## **Community Benefits**

Scotland Excel is committed to maximising community benefit delivery for our members. Tenderers were asked to confirm whether they were willing to comply with our community benefits approach for the lifetime of the framework. This approach is designed to deliver local community benefits based on individual member requirements and all 5 recommended service providers have confirmed their acceptance.

The community benefits approach focused on supporting the Scottish Governments National Performance Framework, and the benefits delivered should support, but are not limited to, the following indicators:

- Improve the skill profile of the population
- Reduce underemployment
- Improve workplace learning
- Reduce waste generated
- Reduce Scotland's carbon footprint

Service providers have agreed to report ongoing delivery of community benefits to Scotland Excel on a six-monthly basis.

Delivery of commitments made will be monitored throughout the lifetime of the framework.

## **Fair Work Practices including the Real Living Wage**

Scotland Excel and its members are committed to the delivery of high-quality public services and recognise that this is dependent on a workforce that is well-rewarded, well-motivated, well-led, has access to appropriate opportunities for training and skills development, are diverse and is engaged in decision making. Within the technical section of the tender, bidders were assessed on their approach to fair work practices and payment of the Real Living Wage to their workforce (Appendix 3). Of the 5 recommended bidders:

- 1 is an accredited Real Living Wage Employer
- 3 are not an accredited Real Living Wage Employer but pay the Real Living Wage to all employees (except volunteers, apprentices and interns)
- 1 is not an accredited Real Living Wage Employer and does not currently pay the Real Living Wage to all employees.

Scotland Excel will continue to monitor Fair Work Practices including the Real Living Wage status during contract and supplier management.

## **7. Contract Mobilisation and Management**

As part of the mobilisation process, all service providers will be offered a contract mobilisation meeting to outline the operation of the framework, including roles and responsibilities, management information and community benefit commitments. Both service providers and participating members will be issued with a mobilisation pack containing all required details to utilise the framework.

In accordance with Scotland Excel's established contract and supplier management programme, in terms of risk and spend as detailed in Appendix 4, this framework is classified as class D. As such, it will require annual service provider and user group reviews as appropriate. During the current market conditions Scotland Excel will continue to engage with service providers on a regular basis to manage the response to the pandemic and ensure continuity of service delivery for our members.

Meetings and engagement undertaken with service providers will adhere to all applicable health and safety guidelines.

## **8. Summary**

This first-generation framework for the Waste Composition Analysis Services maximises collaboration, facilitates the procurement of a waste composition analysis services, promotes added value and delivers best value in terms of price, quality and service.

The Executive Sub Committee is requested to approve the recommendation to award this framework agreement as detailed in Appendix 2 (Scoring and Recommendations).

## Appendix 1 - Summary of Offers Received

Name of Tenderer	SME Status	Location	Lot Tendered	Lot Awarded
Alfred H Knight Energy Services Limited	Medium	Prescot	Lot 1	Lot 1
Resource Futures Limited	Medium	Bristol	Lot 1	Lot 1
Integrated Skills Limited	Small	Leeds	Lot 1	Lot 1
RPS Consulting Services Limited	Large	Abingdon	Lot 1	Lot 1
Albion Environmental Limited	Small	Ayr	Lot 1	Lot 1

## Appendix 2 - Scoring and Recommendations

Tenderer	SCORE	Awarded (Yes/No)
Alfred H Knight Energy Services Limited	72.25	Yes
Resource Futures Limited	59.10	Yes
Integrated Skills Limited	56.55	Yes
RPS Consulting Services Limited	45.26	Yes
Albion Environmental Limited	43.99	Yes

## Appendix 3 - List of Recommended Service Providers with Living Wage Status

Tenderer	Accredited	Currently progressing through Real Living Wage accreditation process	Pay Real Living Wage to all employees, and committed to gaining accreditation over the initial 2 years of framework	Pay Real Living Wage to all employees, but not accredited	Neither accredited nor paying Real Living Wage, but do commit to pay the Real Living Wage to all employees over the initial 2 years of the framework	Neither accredited nor paying Real Living Wage
Albion Environmental Limited				Yes		
Alfred H Knight Energy Services Limited						Yes
Integrated Skills Limited				Yes		
Resource Futures Limited	Yes					
RPS Consulting Services Limited				Yes		

## **Appendix 4 - Segmentation classifications**

15-20 Waste Composition Analysis Services is classified as class D.

There are five segmentation classifications and these classifications are rated from Class A to Class E. Each classification has contract and supplier management activities associated with it based on pre-determined weighted criteria.

### **Class A**

Due to the unique and bespoke nature of the frameworks that fall within this class, a contract management plan to be developed and agreed with CSG.

### **Class B**

Quarterly supplier contact, six monthly surveys, annual UIG, frequent support to councils, suppliers and external stakeholders requiring high level of procurement expertise, extensive contract monitoring.

### **Class C**

Six monthly supplier contact, six monthly to annual surveys, annual UIG, regular support to councils, suppliers and external stakeholders requiring procurement expertise, high contract monitoring.

### **Class D**

Annual supplier contact, annual surveys, optional annual UIG, ad-hoc support to councils, suppliers and external stakeholders potentially requiring procurement expertise, regular contract monitoring.

### **Class E**

Annual supplier contact (if required), optional annual surveys, no requirement for annual UIG, straightforward ad-hoc support to councils, suppliers and potentially requiring procurement assistance, basic contract monitoring.

## Scotland Excel

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Chief Executive of Scotland Excel**

### **Request for Associate Membership of Scotland Excel by Easthall Park Housing Co-operative Limited**

#### **1. Background**

- 1.1 Scotland Excel operates an Associate programme to allow access to its frameworks and services to a wide range of other public service orientated bodies. Applications can be made for Associate Membership by organisations such as council arm's length organisations, community groups, charities, housing associations and voluntary organisations which are a public body or a body that engages in activities of a public nature.

Organisations apply to Scotland Excel for Associate Membership to allow them to access the frameworks for goods and services which are in place for our members. Associates do not have the opportunity to influence the future contract delivery schedule which is reserved for the full local authority members.

Associate membership supports the wider aims of Scotland Excel by increasing overall spend against frameworks, providing additional income and supporting the goals of promoting excellent public procurement across Scottish organisations.

#### **2. Organisation Background**

- 2.1 Easthall Park Housing Co-operative Limited is a fully mutual organisation, owned and controlled by tenants, situated in Easterhouse, Glasgow. The Co-operative provide a wide range of housing and community services with a housing stock of 695 properties. The Co-operative has won many awards over the years, including small social landlord of the year and Scotland's best employer under the not-for-profit category. Easthall Park Housing Co-operative Limited is a Registered Society and a Registered Social Landlord.
- 2.2 Easthall Park Housing Co-operative Limited is a real living wage employer.

### **3. Associate Membership Process**

- 3.1 Before any application is submitted for approval, a number of validation checks on the organisation are carried out. These include a review of the Memorandum & Articles of Association, the financial position and the type of contracts that the organisation is likely to access. It is confirmed that satisfactory validation checks have been completed in relation to this application.
- 3.2 Scotland Excel monitors all requests from applicants to become associate members to ensure that any legal requirements are met. In this case, Easthall Park Housing Co-operative Limited qualifies for membership in accordance with the Local Authorities (Goods and Services) Act 1970 section 1 (1B)(c). Namely, that it has functions that are public in nature or engages in activities of that nature so long as the purpose or effect of access to Scotland Excel's services is to facilitate its discharge of those functions or activities.
- 3.3 Fees are determined in a number of ways:
- Arms Length External Organisations (ALEOs) related to local authority members pay no fee as this is covered within requisition fees.
- National Health Service (NHS) bodies, Colleges and Universities, and Non departmental bodies of the Scottish Government pay no fee under a reciprocal agreement that allows local authorities to utilise contracts created by the relevant procurement centres of expertise.
- All other associate fees are calculated on a standard methodology agreed by committee. e.g. Housing Associations pay based on the number of houses within their portfolio.

### **4. Recommendations**

- 4.1 It is recommended to committee that Easthall Park Housing Co-operative Limited application to join Scotland Excel as an associate member be approved, with an annual fee of £1042 subject to the agreement document.

## Scotland Excel

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Chief Executive of Scotland Excel**

### **Request for Associate Membership of Scotland Excel by Royal Botanic Garden Edinburgh**

#### **1. Background**

- 1.1 Scotland Excel operates an Associate programme to allow access to its frameworks and services to a wide range of other public service orientated bodies. Applications can be made for Associate Membership by organisations such as council arm's length organisations, community groups, charities, housing associations and voluntary organisations which are a public body or a body that engages in activities of a public nature.

Organisations apply to Scotland Excel for Associate Membership to allow them to access the frameworks for goods and services which are in place for our members. Associates do not have the opportunity to influence the future contract delivery schedule which is reserved for the full local authority members.

Associate membership supports the wider aims of Scotland Excel by increasing overall spend against frameworks, providing additional income and supporting the goals of promoting excellent public procurement across Scottish organisations.

#### **2. Organisation Background**

- 2.1 The Royal Botanic Garden Edinburgh is a world-renowned scientific centre for the study of plants, their diversity and conservation. The Royal Botanic Garden Edinburgh is a charity and a Scottish Government executive non-departmental public body (NDPB). The Board of Trustees of the Royal Botanic Garden, Edinburgh are the governing body, established as part of the National Heritage (Scotland) Act 1985 and the entity wishing to use Scotland Excel's services.
- 2.2 Royal Botanic Garden Edinburgh is a real living wage employer.

### **3. Associate Membership Process**

- 3.1 Before any application is submitted for approval, a number of validation checks on the organisation are carried out. These include a review of the Memorandum & Articles of Association, the financial position and the type of contracts that the organisation is likely to access. It is confirmed that satisfactory validation checks have been completed in relation to this application.
- 3.2 Scotland Excel monitors all requests from applicants to become associate members to ensure that any legal requirements are met. In this case, the Board of Trustees of the Royal Botanic Garden Edinburgh can be recommended for associate membership access in accordance with the Local Authorities (Goods and Services) Act 1970, section 1 (1B)(b) as a public authority or body. Namely, that it has functions that are public in nature or engages in activities of that nature so long as the purpose or effect of access to Scotland Excel's services is to facilitate its discharge of those functions or activities.
- 3.3 Fees are determined in a number of ways:
- Arms Length External Organisations (ALEOs) related to local authority members pay no fee as this is covered within requisition fees.
- National Health Service (NHS) bodies, Colleges and Universities, and Non departmental bodies of the Scottish Government pay no fee under a reciprocal agreement that allows local authorities to utilise contracts created by the relevant procurement centres of expertise.
- All other associate fees are calculated on a standard methodology agreed by committee. e.g. Housing Associations pay based on the number of houses within their portfolio.

### **4. Recommendations**

- 4.1 It is recommended to committee that The Board of Trustees of the Royal Botanic Garden Edinburgh application to join Scotland Excel as an associate member be approved, with no annual fee as part of the reciprocal agreement and subject to the agreement document.

## **Scotland Excel**

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Chief Executive of Scotland Excel**

### **Community Benefits and Fair Work Practices Update**

#### **1. Introduction**

In line with legislative requirements and Scotland Excel's sustainable procurement duty this report will highlight the Community Benefits delivered, in the period of 1 March 2020 to 30 September 2020, as a result of the Scotland Excel framework portfolio. Additionally, an update will be provided regarding Fair Work Practices which will give an analysis of suppliers and providers' Living Wage status.

Scotland Excel continually strives to be innovative in its approach to Community Benefits. We recognise that Community Benefits have a considerable social, environmental and economic impact within local communities and we continue to encourage and grow awareness in this regard. Our approach to Community Benefit commitments has been developed to further advance the undertakings made by suppliers and to facilitate a robust process for the collection of responses. The newly developed Community Benefit menu has been favoured by procurement specialists when embarking on new procurement exercises and offers a focused approach across the Scotland Excel procurement portfolio. Furthermore, it aims to encourage suppliers and providers to deliver Community Benefits within the awarding local authority area.

#### **2. Summary**

Owing to the Coronavirus pandemic, data collation was suspended and the periods, 1 October 2019 to 31 March 2020 and 1 April 2020 to September 2020 have been collated together. Providers were requested to complete a comprehensive Community Benefits template and this information is collated to illustrate the variety and extent of Community Benefits delivered as a result of Scotland Excel frameworks. This method of collection together with ongoing contract management aims to support the delivery of the commitments made by suppliers and providers at point of tender. For the two returns through to 30 September 2020, Community Benefits have been sought from suppliers and providers who have received in excess of £50,000 spend over the preceding two quarters via a Scotland Excel framework.

Table 1 shows a summary of the social value added across the Scotland Excel procurement portfolio since 2013. The figures are complete for the 6 month period through to the end of September 2020.

	2013/ 2014	2014/ 2015	2015/ 2016	2016/ 2017	2017/ 2018	2018/ 2019	2019/ 2020	Apr 20- Sep 20	Total
No of Apprentices	9	92	49	18	52	34	37	2	293
No of New Jobs	78	43	29	53	146	280	249	91	969
No of Work Placements	0	5	6	17	30	107	43	10	218
Hours of Volunteering & Mentoring	95	377	1279	1570	1637	803	853	423	7037
Hours of Work Experience	5305	28214	16734	7852	2541	667	10,360	12.5	71685.5
Value of Other Community Benefits	£2,474	£16,550	£46,140	£87,814	£311,549	£437,443	£901,410	£489,245	£2,292,625

*Table 1: Summary of social value added across the collaborative portfolio*

Community Benefits delivered via Scotland Excel frameworks continue to be positive although impacted by the coronavirus pandemic. Figures in terms of 'number of new jobs' for the current return period have seen further growth with Edinburgh being of particular note. These are a result of the business associated with various providers across multiple frameworks, which has resulted in 17 new full-time / part-time employees. In relation to 'hours of volunteering and mentoring', East Lothian and Inverclyde had supplier's staff conducting Covid related food and pharmacy shopping for vulnerable citizens.

As shown in Appendix 1, returns illustrate that North Lanarkshire received the most substantial amount of 'Other Community Benefits'. This is largely made up of provision of premises for use by local organisations, sponsorships, donation of equipment and provision of a sports leadership academy.

With regard to Fair Work Practices (including the Living Wage) Scotland Excel commenced formal consideration within tenders in early 2015. Since this time the respective position on bidders' work practices has been outlined within Executive

Sub Committee Contracts for Approval Reports. From a review of the data available since 2015 the overall position across Scotland Excel's portfolio is:

Of the 1034 suppliers appointed since formal consideration, 878 (85%) notified that they pay the Living Wage. This is broken down within the first four columns below:

Accredited	Progress towards accreditation	Committed to gaining accreditation over the first 2 years of the framework	Not accredited but paying the Living Wage	Not accredited or paying the Living Wage but committed to doing so within 2 years	Neither accredited nor paying Living Wage
196 (19%)	48 (4.6%)	94 (9.1%)	540 (52.2%)	33 (3.2%)	123 (11.9%)

Scotland Excel continues to ensure transparency within the tender process and focus on aspects of fair work practices deemed relevant for each framework. Scotland Excel continues to monitor and encourage the implementation of fair working practices and to work closely with suppliers to review their progress in this area.

### 3. Next Steps

The next Community Benefits data collection, analysis and review cycle will be completed in line with the Management Information process to cover the period through to the end of 31 March 2021. The results will be reviewed with the supply base and where appropriate will be incorporated into supplier performance objectives.

### 4. Conclusion

Committee members are requested to note the content of this report, and support the on-going practice to monitor delivery of Community Benefits for the 2021/22 financial year.

## Appendix 1 Community Benefits by Council Apr 20 to Sep 20

	Number of new apprentices	Number of new employees	Number of work placements	Hours of volunteering	Hours of work experience	Monetary value of Other Community Benefits
Aberdeen City	0	0	0	0	0	£879
Aberdeenshire	0	0.8	0	0	0	£2,250
Angus	0	0	0	0	0	£1,365
Argyll & Bute	0	0	0	0	0	£1,852
Clackmannanshire	0	0.5	0	0	0	£1,125
Dumfries & Galloway	0	0	0	0	0	£1,417
Dundee	0	0.7	2.5	7.2	0	£2,180
East Ayrshire	0	1.3	0	0	0	£3,171
East Dunbartonshire	0	0	0	0	12.5	£5,175
East Lothian	0	1	0	32	0	£3,048
East Renfrewshire	0	0	0	0	0	£6,430
Edinburgh	0	17	1	312	0	£17,376
Falkirk	2	4	0	0	0	£38,501
Fife	0	13	1.7	17	0	£6,530
Glasgow City	0.3	8.3	0	0	0	£29,976
Highland	0	0.5	0	0	0	£8,051
Inverclyde	0	0	0	47	0	£1,215
Midlothian	0	0	0	0	0	£1,045
Moray	0	0	0	0	0	£875
North Ayrshire	0	3	0	0	0	£2,131
North Lanarkshire	0	4.1	3	0	0	£87,071

Orkney	0	0	0	0	0	£1,322
Perth & Kinross	0	8.2	0	0	0	£24,520
Renfrewshire	0	9	0	0	0	£20,402
Scottish Borders	0	0	0	0	0	£875
Shetland Islands	0	0	0	0	0	£1729
South Ayrshire	0	3	0	0	0	£5,125
South Lanarkshire	0	10.2	0	8	0	£46,943
Stirling	0	0	0	0	0	£6,483
West Dunbartonshire	0	0	0	0	0	£875
West Lothian	0	6	1	0	0	£2,875
Western Isles	0	0	0	0	0	£875
Blank	0	0	1	0	0	£155,559
<b>Total</b>	2.3	90.6	10.2	423.2	12.5	£489,245



## Scotland Excel

**To: Executive Sub-Committee**

**On: 21 May 2021**

**Report by:  
Chief Executive of Scotland Excel**

### **Strategic Risk Register Update**

#### **1. Introduction**

This report provides an update on the Strategic Risk Register which is maintained to assess threats/risks that could impact on the delivery of Scotland Excel's organisational objectives and to identify controls and actions that are being taken to mitigate these risks.

#### **2. Background**

The format of the attached Strategic Risk Register was created in June 2018 when Scotland Excel carried out a full review of the organisation's Risk Register to reflect the new 5-year operating plan. It was agreed that the risk management plan would be reported to the Executive Sub Committee twice a year and the Joint Committee on an annual basis to give elected members visibility of the risks, and actions being taken by the organisation to manage and mitigate these risks.

In June 2019, the Strategic Risk Register template used by Scotland Excel was adjusted to better reflect that used by partner organisations. The revised template plus additional information which is now in use can be seen within the document at Appendix 1 of this report.

A full and comprehensive review of the Scotland Excel Strategic Risk Register is scheduled to take place in May 2021 facilitated by Renfrewshire Council's Risk Manager. This may result in a change to the types of risk identified within the register and in how the register is presented to committee.

#### **3. Risk Management update**

The Strategic Risk Register is maintained and continues to be a focus for the on-going operations of the organisation. A process of regular review meetings is in place involving the entire Senior Management Team (SMT). These meetings are held quarterly to review, revise and update the register. Actions being undertaken in mitigation of the risks are on-going throughout the year.

Currently there are 10 risks identified within the Strategic Risk Register ranging in assessed risk score from 6 to 20. A summary of key statistics in relation to each identified risk is shown in Appendix 1 to this report.

The impact of the COVID-19 pandemic has been the over-riding influence on all strategic risk throughout the year coupled with the continuing uncertainty around the medium and long-term impact of BREXIT. These factors were reflected in an upwards trend in relation to risk scores over the earlier periods of 2020/21.

At the risk register review carried out in April 2021, a number of residual risk scores were adjusted downwards in recognition of organisational performance during the pandemic in relation to agile working, service delivery, financial performance and the developing projects pipeline.

The updated Strategic Risk Register identifies several existing and new linked actions in relation to each strategic risk aimed at mitigating the impact of each risk in the present day and going forward. Linked actions that have been coloured red are complete and will either be removed from the register following this meeting or added to the risk controls for the relevant risk.

The on-going uncertainty around the medium/long-term impact on the economy and Scotland Excel framework suppliers of the pandemic and BREXIT continue to have an impact on the Risk Register. Following the April review, when a number of residual risk scores were reduced, risk in relation to Supplier Failure (SXL005-21/22) was maintained as our highest residual risk score. This reflects the continuing risk of suppliers on Scotland Excel frameworks experiencing difficulties in sourcing materials, reduced export trade and higher costs which may impact their operational sustainability. Scotland Excel has actions in place to maintain contact with our suppliers to ensure we are kept aware of any difficulties being experienced.

Factors taken into consideration in addition to COVID-19 and BREXIT when reviewing the risk register over the year included recruitment challenges within the procurement sector; continuing financial uncertainty across local government, social housing and the third sector; the pending Scottish Government election; the developing importance of corporate social responsibility across the public sector; growing environmental awareness across society and the increasing size of the Scotland Excel contract portfolio.

Following quarterly review of these and other factors, the Scotland Excel Strategic Risk Register as at 27th April 2021 is shown in appendix 1.

#### **4. Recommendation**

Members are invited to note the report and provide any feedback on the risk register and the actions identified to manage risks.



# Strategic Risk Register

Professional – Respectful – Courageous - Integrity

<b>Document Control 2021</b>	
Review Dates:	05 November 2020
	27 April 2021
<b>Exec Sub Comm.</b>	<b>21 May 2021</b>
Review Dates:	19 August 2021
	28 October 2021
<b>Exec Sub Comm.</b>	<b>19 November 2021</b>
<b>Joint Committee</b>	<b>10 December 2021</b>
This document is available in alternative formats on request.	

Table 1 summarises risks identified within the Scotland Excel Risk Register and orders them according to their Residual Risk Score as at 27th April 2021. The Residual Risk Score represents the assessed risk score taking into consideration all risk controls and mitigations in place in relation to that specific risk on that date.

**Table 1: Risk – Highest to Lowest Risk Score 27/04/21**

Risk Ref.	Risk Title	Residual Risk Score
SXL005-21/22	Supplier Failure	20
SXL003-21/22	Political Change	16
SXL010-21/22	National Emergency including Pandemic	15
SXL001-21/22	Organisational Sustainability	15
SXL002-21/22	Managing Growth and Diversity	12
SXL004-21/22	Reputational Risk	12
SXL006-21/22	Staff Recruitment and Retention	9
SXL008-21/22	Risk of Not Performing/Delivering	8
SXL007-21/22	Corporate Social Responsibility	6
SXL009-21/22	Environmental Impact and Climate Change	6

Table 2 charts risk score movement and trend over the past year in relation to each risk identified within the Scotland Excel Risk Register.

**Table 2: Residual Risk Movement During Past Year**

Period	April 20	Aug 20	Nov 20	April 21	4 quarter Trend
Risk Ref.					
SXL005-21/22	20	20	20	20	
SXL003-21/22	16	16	16	16	
SXL010-21/22	20	20	20	15	
SXL001-21/22	16	16	20	15	
SXL002-21/22	16	16	16	12	
SXL004-21/22	12	12	12	12	
SXL006-21/22	12	12	9	9	
SXL008-21/22	12	12	12	8	
SXL007-21/22	6	6	6	6	
SXL009-21/22	6	6	6	6	

**Diagram 1: Consolidated Risk Matrix**

Impact	5			SXL001		
	4		SXL008	SXL004 SXL002	SXL003	SXL005
	3		SXL007 SXL009	SXL006		SXL010
	2					
	1					
		1	2	3	4	5
		Likelihood				

PESTEL Analysis – April 2021		
<b>POLITICAL</b>		
<b>Reference</b>	<b>Risk</b>	<b>Risk Score</b>
SXL003-21/22	Political Change	16
<b>ECONOMIC</b>		
SXL005-21/22	Supplier Failure	20
SXL001-21/22	Organisational Sustainability	15
SXL002-21/22	Managing Growth and Diversity	12
<b>SOCIAL</b>		
SXL010-21/22	National Emergency including Pandemic	15
SXL004-21/22	Reputational Risk	12
SXL006-21/22	Staff Recruitment and Retention	9
SXL007-21/22	Corporate Social Responsibility	6
SXL008-21/22	Risk of Not Performing/Delivering	8
<b>TECHNOLOGICAL</b>		
<b>ENVIRONMENTAL</b>		
SXL009-21/22	Environmental Impact	6
<b>LEGAL/LEGISLATIVE</b>		

Appendix 2 presents details in relation to identified Strategic Risks in the Scotland Excel (SXL) risk template format. An explanation of each element of the risk template is shown in the table below.

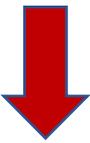
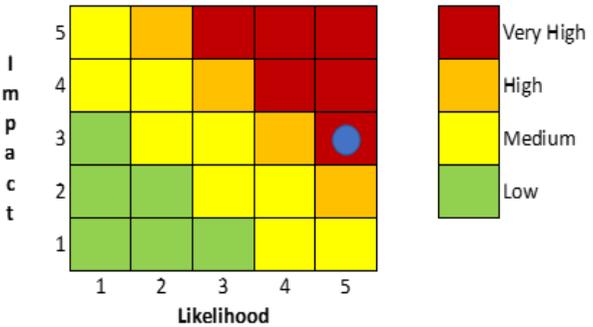
<b>Strategic Risk Register – Risk Template</b>	
<b>Element</b>	<b>Description</b>
<b>Reference</b>	Unique risk identifier and Risk Title
<b>Context</b>	Context of identified risk
<b>Risk Statement</b>	Description of risk
<b>Risk Owner</b>	Executive Team Risk Owner
<b>Current Risk Controls</b>	Specific risk controls currently in place
<b>Risk Score</b>	Risk assessment detail
<b>Likelihood</b>	How likely is it that the Risk actually occurs (1-5)
<b>Impact</b>	What impact on SXL if the Risk occurs (1-5)
<b>Evaluation</b>	Likelihood x Impact = Evaluation Score
<b>Trend</b>	Evaluation movement over past 4 periods
<b>Residual</b>	Current Residual Risk Evaluation after Controls
<b>Risk Register Review Updates</b>	Meeting dates of Risk Management Group
<b>Linked Actions</b>	Current/on-going actions to mitigate and control risk

**Appendix 2: - Scotland Excel Risk Register (April 2021)**

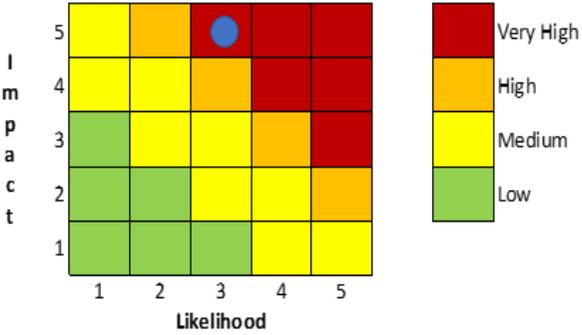
Reference: SXL005-21/22		Supplier Failure						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Financial (and other) factors impacting on resilience of suppliers. Negative reputational results across the portfolio from potential breach of contract and / or supplier failure. Focus required in areas which have a direct impact on delivery as a result of business failure. Expanding Social Care portfolio generates new risks for Scotland Excel Social care providers are being impacted by COVID-19 in terms of their financial sustainability</p>	<p>The failure of a service provider could have significant implications for service provision within member council areas.</p>	<p>HC</p>	<p>Effective risk management is in place during development and management of contracts. Robust processes for monitoring financial stability of suppliers carried out prior to award and throughout the life of a contract, utilising external advice as required. Specific measures are in place to meet the management of Social Care contracts and these key areas of risk. Scotland Excel has a range of measures for monitoring supplier resilience in addition to the external financial monitoring tools used. A new tailored approach to financial risk for high risk contracts has been implemented "Step-in Right" within relevant and appropriate contracts maintained. Scotland Excel are involved in various groups to support provider sustainability in particular around establishing reasonable additional costs during COVID-19.</p>	<p><b>5</b></p>	<p><b>4</b></p>	<p><b>20</b></p>		<p><b>12</b></p>
Risk Register Review Updates								
Date	27/04/20	Linked actions updated and risk discussed; Residual Risk Score increased from 12 to 20 (Likelihood 5; Severity 4) due to Business and Economic uncertainty during lockdown and extended pandemic period.						
27/08/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score (20) remains unchanged due to impact of COVID-19 pandemic							
05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score (20) remains unchanged due to COVID-19 pandemic and increasing possibility of No Deal Brexit.							
27/04/21	Linked actions reviewed – No change to Residual Risk score due to full impact of COVID-19 pandemic and BREXIT still to filter down to all suppliers and true impact may still be to emerge.							

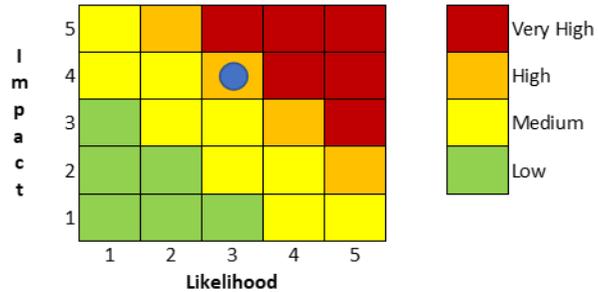
<b>Linked Actions</b>				
<b>Description</b>	<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>
Develop robust Market Analysis Strategy across procurement categories	HC	30/06/21	On-going	On-going all the time – quarterly review
Expand supplier dialogue and comms; engage suppliers in pro-active contract management discussions; monitor emerging issues i.e. COVID; BREXIT	HC	30/06/21	On-going	Pandemic planning done with suppliers
Development of contingency document in relation to potential impact of No Deal BREXIT.	SMT	31/12/20	<b>Complete</b>	

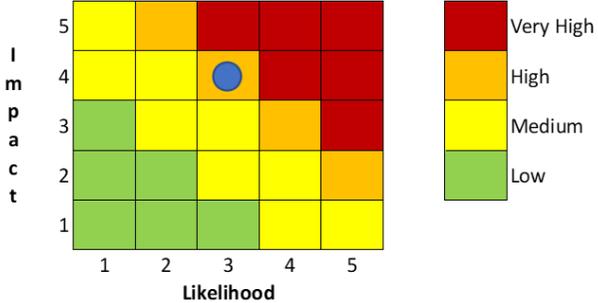
Reference:	Political Change							
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
Legislative changes impact upon the organisation and how it must operate. Political uncertainty created by, for example, Brexit create unknown challenges. Legislative changes have been introduced to procurement processes in light of the COVID-19 pandemic. Scottish Government Elections May 2021	Political change at local, national, UK and international levels which Scotland Excel must be aware of in order to respond to, and maintain services to stakeholders	JW	An effective and properly resourced public affairs strategy is in place. Through effective research, engagement, partnership working and briefings – for example Brexit white paper - this ensures that the organisation is aware of and able to respond to challenges and opportunities in the external environment. Active participation by the organisation in various groups and boards influencing policy and “direction of travel”. Waste proposal developed to support customers in using changes to procurement legislation to deliver waste services externally if required.	4	4	16		16
Risk Register Review Updates								
Date	27/04/20	Strategic Risk reviewed; No change to risk score						
27/08/20	Completed linked actions removed; New Linked actions added; Scottish Govt Elections added under context; No change to risk score							
05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score (16) remains unchanged due to possibility of No Deal Brexit and pending Scottish Government elections							
27/04/21	Linked actions reviewed – No change to Residual Risk score due to pending Scottish Government elections on 6 <sup>th</sup> May 2021.							
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
Prepare and present BREXIT paper to Exec Sub Committee	SMT	31/12/20	Complete	Impact of BREXIT being monitored				
Prepare and present BREXIT paper to CEOMG	SMT	31/12/20	Complete	Impact of BREXIT being monitored				
Update SXL White paper on BREXIT	SMT	31/12/20	Complete	Impact of BREXIT being monitored				
Prepare and distribute communication to all local authority Chief Executives on contingency planning for COVID/BREXIT	SMT	31/12/20	Complete	Impact of COVID-19 and BREXIT continue to be monitored				

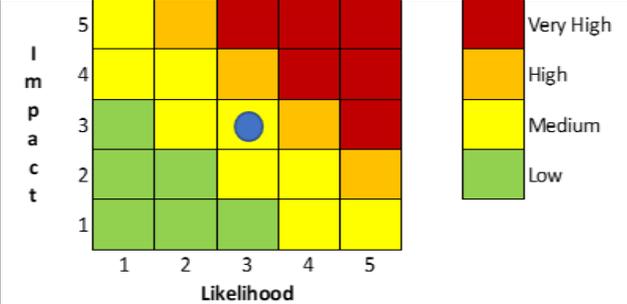
Reference: SXL010-21/22		National Emergency Including Pandemic						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
A National Emergency or Pandemic is declared by the Scottish Parliament and/or the UK Government which impacts the day to day operations of Scotland Excel.	Scotland Excel must ensure that, during a National Emergency or Pandemic, it can continue to deliver all its services to local authorities, associate members and to suppliers attached to its contract frameworks+	JW	Existing ICT arrangements within Scotland Excel perform well within a Home Working scenario. Employee support mechanisms (Occupational Health, Time to Talk etc.) remain in place during Home Working scenarios. Access to a range of video communication software allows business meeting to take place and ensures employees living alone or experiencing difficulties can be supported. Governance of the organisation can be maintained in line with governing documents. Framework nature of managed contracts ensure minimum dependence on single suppliers. The organisation can adapt to changing priorities and allocate resources accordingly, for example PPE and Food.	5	3	15		25
								
<b>Risk Register Review Updates</b>								
<b>Date</b>	27/04/20	New Risk added to the Strategic Risk Register; Linked Actions added; Risk Score Evaluation of 25 (Likelihood 5, Impact 5); Residual Risk assessed as 20 (Likelihood 5, Impact 4) as organisation still operating and delivering services during lockdown.						
	27/08/20	Linked actions added, existing actions updated – Residual Risk Score remains unchanged						
	05/11/20	Linked actions added, existing actions updated – Residual Risk Score remains unchanged						
	27/04/21	Linked actions reviewed – Residual Risk Score (Impact) reviewed following SXL positive response to COVID-19 pandemic and mitigating actions put in place. Residual Risk Score revised to 15 (5 Likelihood, 3 Impact)						
<b>Linked Actions</b>								
<b>Description</b>			<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>		
A return to office-based working plan for employees to be developed			SMT	30/06/21	On-going	Observing govt guidelines on social distancing – Awaiting Renfrewshire Council guidance on return.		

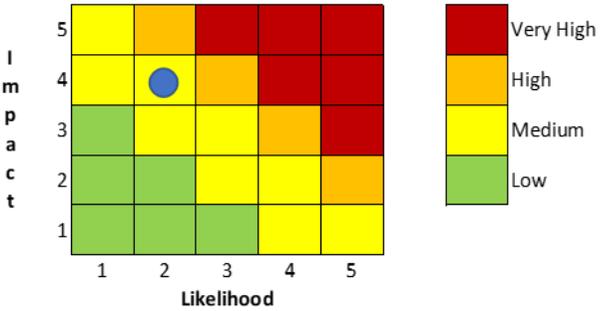
Carry out Horizon Scanning sessions to discuss and review the impact of a National Emergency or Pandemic on the identified risks of Scotland Excel and to identify any future risks to the organisation following/during the emergency	SMT	30/06/20	<b>Complete</b>	7 Horizon Scanning groups set up to look at specific elements of SXL work now and in future.
A comprehensive review of Scotland Excel operations during Lockdown, Unlock and Post Lockdown to be carried out	SMT	30/06/21	On-going	COVID Lessons learned session to be arranged.
A review of procedures in relation to initiating a working from home environment to be carried out.	SMT	30/09/20	<b>Complete</b>	
Undertake a Lessons Learned review of agile working infrastructure identifying possible improvements.	SMT	31/08/20	<b>Complete</b>	
Carry out a review of Scotland Excel Governance Model to ensure it is fit for purpose during National Emergency situations or Pandemic.	SMT	31/08/20	<b>Complete</b>	
Carry out a review of Contract Terms and Conditions ensuring they are appropriate during National Emergency or Pandemic situations.	BM	30/06/21	On-going	Overall review incorporating – insurance market- councils- standard terms-special terms etc.
Carry out a Supply Chain review for relevant Scotland Excel contract frameworks to identify contract resilience during emergency or pandemic periods.	SMT	31/12/20	<b>Complete</b>	
Carry out a review of software requirements for staff to ensure efficient and effective working from home as and when required.	SMT	31/12/20	<b>Complete</b>	ICT Development Plan including maximisation of MS Teams to go to SMT
Carry out a review of ICT infrastructure requirements for the organisation to ensure efficient and effective working from home as and when required.	SMT	31/12/20	<b>Complete</b>	ICT Development Plan including maximization of MS Teams to go to SMT
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/03/21	<b>Complete</b>	7 Horizon Scanning Groups

Reference: SXL001-21/22		Organisational Sustainability						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Potential for local government organisations withdrawing support.</p> <p>Requirement to diversify and generate financial income from alternate sources</p> <p>Council budget cuts impacting upon use of services provided.</p>	<p>Membership of Scotland Excel is optional for all stakeholders and Scotland Excel must be alert to this and the impact of Councils or Associate Members resigning their membership.</p>	JW	<p>Continuing focus on added Core Value delivered for all member councils.</p> <p>On-going development of projects offering new services and increasing benefits to stakeholders.</p> <p>Identification of new opportunities to provide additional chargeable services based on customer demand.</p> <p>Ongoing robust market testing of all new shared service propositions.</p> <p>Ongoing robust business model is in place for all new services (cost to serve, funding/uptake forecasts).</p> <p>Regular engagement with Chief Execs, Finance Directors, Corporate Procurement Leads and Elected Members demonstrating the value added by Scotland Excel</p>	3	5	15		16
								
Risk Register Review Updates								
Date	27/04/20	Linked actions updated; Risk score reviewed in light of anticipated COVID-19 pandemic cost pressures						
27/08/20	Completed linked actions removed; New Linked actions added; No change to risk score							
05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score increased to 20 (Likelihood 4 x Impact 5) due to emerging financial impact of COVID-19 pandemic.							
27/04/21	Linked actions reviewed – Residual Risk Score (Likelihood) reviewed following SXL positive financial performance during COVID-19 pandemic and mitigating actions put in place. Residual Risk Score revised to 15 (3 Likelihood, 5 Impact)							
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
Continuing Customer Engagement exercise with key partners	JW	31/03/22	On-going	Engagement plan in development				
C.E presentation to CIPFA and SOLACE	JW	31/12/20	<b>Complete</b>					
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/12/20	<b>Complete</b>	7 Horizon Scanning Groups				
Detailed review of project and contract opportunities	SB	30/06/21	On-going	Review of opportunities post COVID				
Assess financial impact of COVID-19 pandemic on Scotland Excel funding model for 2020/21 and 2021/22 onwards.	SMT	31/12/20	<b>Complete</b>	Current year outturn review and impact on future funding model				

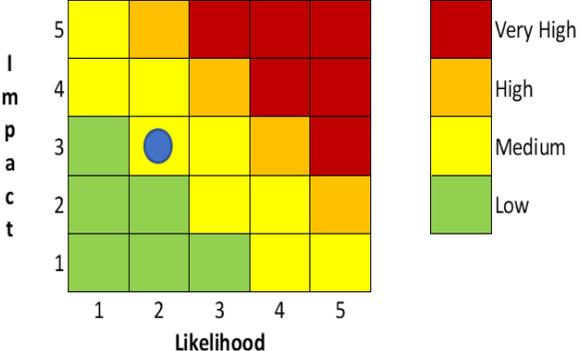
Reference: SXL002-21/22		Managing Growth and Diversity						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Failure to identify and manage emerging opportunities</p> <p>Inability to evolve service offering in a changing landscape</p> <p>COVID-19 has affected our ability to identify and deliver new project opportunities</p>	<p>There is a risk to the long-term future of the organisation if it fails to grow the portfolio of services offered to members</p>	SB	<p>Regular Horizon Scanning meetings help to identify market development opportunities and give the organisation time to plan for capability and capacity.</p> <p>OD strategy and workforce planning tools used to ensure that Scotland Excel has the right caliber of staff to deliver and grow a quality service offering.</p> <p>New project opportunities have been won across a number of councils and other public sector bodies.</p>	3	4	12		12
								
<b>Risk Register Review Updates</b>								
<b>Date</b>	27/04/20	Linked actions updated and added (project opportunities); Review based on COVID-19 – Residual risk increased to 16 (Likelihood up to 4) due to COVID-19 impact on projects pipeline.						
	27/08/20	Completed linked actions removed; New Linked actions added; No change to risk score.						
	05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score retained at current level (16)						
	27/04/21	Linked actions reviewed – Residual Risk Score (Likelihood) reviewed following positive Projects pipeline development and mitigating actions put in place. Residual Risk Score revised to 12 (3 Likelihood, 4 Impact)						
<b>Linked Actions</b>								
<b>Description</b>	<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>				
Innovation management process being developed.	IMN	30/06/21	On-going	Innovation group has started meeting				
Review of market competitors to be refreshed.	HC	30/06/21	On-going	Operating Plan Action, Whole organisation				
Review of Business Development Strategy	SB	30/06/21	On-going					
Provision of General Procurement Services for Key Partners	SB	31/12/20	<b>Complete</b>	Managed services for councils (D&G)				
Detailed review of project and contract opportunities.	SB	30/06/21	On-going	Review of opportunities post COVID-19				
Set up Horizon Scanning groups to discuss and review the impact of the Pandemic on the identified risks of Scotland Excel identifying any possible future risk.	SMT	30/06/20	<b>Complete</b>	7 Horizon Scanning groups set up to look at specific elements of SXL work				

Reference: SXL004-21/22		Reputational Risk						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Negative publicity or media coverage affects the organisation and impacts stakeholders.</p> <p>Negative media reports relating to a framework or service provider.</p> <p>An increased need to generate positive marketing outlining Scotland Excel's role during the COVID-19 pandemic.</p>	<p>Scotland Excel is faced with negative publicity or a media crisis through a service issue or failure that compromises the organisation's stakeholders</p>	JW	<p>Colleagues advise communications team of any potential issues to enable effective planning for "negative" media interest. Pro-active monitoring of press coverage carried out by marketing team and wider organisation.</p> <p>Pro-active and robust engagement with press organisations to ensure positive relationships and coverage.</p> <p>Proactive marketing programme ensuring local authorities are aware of the services being offered to councils during the COVID-19 pandemic. This includes the Scotland Excel Newsroom, importance of clear and robust comms at all times</p> <p>COVID-19 pandemic test of organisational resilience – minimal impact on reputation. Resilience and agility shown reflects well on reputation</p>	3	4	12		8
								
<b>Risk Register Review Updates</b>								
<b>Date</b>	27/04/20	Linked actions added (Newsroom & Marketing); No change to Residual Risk score due to COVID-19 pandemic						
	27/08/20	Completed linked actions removed; New Linked actions added; Residual Risk unchanged – COVID.						
	05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score retained at current level (12)						
	27/04/21	Linked actions reviewed – No change to Residual Risk score due potential impact of Supplier failure SXL005-21/22 on reputation.						
<b>Linked Actions</b>								
<b>Description</b>	<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>				
Continuing Customer Engagement exercise with partners	JW	31/03/22	On-going	Engagement plan in development				
C.E presentation to CIPFA and SOLACE	JW	31/12/20	Complete					
Explore compliant and strategic ways to incorporate recently published SPPN8/2020 on increasing resilience in supply chains.	SMT	31/12/20	Complete	Includes growing the proportions of products sourced locally and through shorter supply chains to support economic recovery. More focus				

Reference: SXL006-21/22		Staff Recruitment and Retention						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Demand in the market for staff makes recruiting and retaining staff problematic.</p> <p>Recruitment massively impacted by COVID-19. Staff less likely to move during current circumstances.</p> <p>Pandemic making Public Sector careers more attractive</p>	<p>Scotland Excel encounters problems in recruiting and retaining staff of suitable skill, quality and experience to deliver the operating plan</p>	SB	<p>Recruitment processes reviewed and updated.</p> <p>PRD process reviewed and updated in consultation with Scotland Excel staff.</p> <p>Successful recruitment campaigns including events to be replicated.</p> <p>Retention measures improved including secondment opportunities and projects to enrich roles.</p> <p>Enhanced organisational reputation through events, partnerships and marketing.</p> <p>Retain Investors in People accreditation</p> <p>Staff turnover figures collated and presented to SMT annually</p>	3	3	9		9
								
Risk Register Review Updates								
Date	27/04/20	Linked actions updated and added (Conversation & Policy); No change to risk score						
	27/08/20	Completed linked actions removed; New Linked actions added; Risk Evaluation unchanged						
	05/11/20	Linked actions updated, and risk discussed; Residual Risk Score reviewed down to 9 (Likelihood 3 x Impact 3) due to public sector being better regarded as employer of choice following pandemic.						
	27/04/21	Linked actions reviewed – No change to Residual Risk score due to potential impact of COVID-19 pandemic and BREXIT on recruitment.						
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
Exit interview process to be reviewed and issues reviewed	LC	30/06/21	On-going	Collection and reporting process development				
Review of job specs and person profiles to be completed	LC	30/06/21	On-going	Reviewed in conjunction with PRD review				
Move from Investors in People grade from Silver to Gold	JW	31/03/22	On-going	Work is continuing with Staff Engagement Group				
Build Scotland Excel reputation beyond procurement professionals promoting other areas including the Academy	IMN	30/06/21	On-going	Being led by SXL Academy				
Investigate a Procurement Conversion programme to attract professionals from other professions	SB	30/06/21	On-going	Broaden recruitment pool of candidates.				
Review recruitment policy during COVID-19 pandemic	SMT	30/06/21	On-going	Recruitment being continuously reviewed – fixed term appointments only being considered				

Reference: SXL008-21/22		Risk of Not Performing/Delivering						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Failure to deliver in line with member council expectation.</p> <p>System failures impact on the ability of the organisation to deliver services.</p> <p>Increasing member expectations as financial challenges increase</p>	Scotland Excel fails to perform in line with customer expectations.	SB	<p>Approved 5 years strategy and one-year operating plan in place.</p> <p>A range of KPIs currently exist at contract and organisational level. These are regularly reviewed.</p> <p>Regular operating plan updates to Executive Sub Committee to ensure robust governance.</p> <p>Regular financial period review and reporting across core and projects.</p> <p>Business continuity approach ensures that the organisation and its systems can operate effectively remotely</p> <p>Scotland Excel are providing new and improved services to member councils on an ongoing basis.</p>	2	4	8		8
								
Risk Register Review Updates								
Date	27/04/20	Review Based on Covid-19 – Likelihood increased from 2 to 4 due to anticipated future financial constraints						
	27/08/20	Completed linked actions removed; New Linked actions added; Residual Risk Evaluation changed to 12 (Likelihood 3; Severity 4) due to organisational performance during lockdown and subsequent pandemic period.						
	05/11/20	Linked action added; Linked actions updated, and risk discussed; Residual Risk Score retained at current level (12)						
	27/04/21	Linked actions reviewed – Residual Risk Score (Likelihood) reviewed following positive financial performance and projects pipeline development and mitigating actions put in place. Residual Risk Score revised to 8 (2 Likelihood, 4 Impact)						
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
Review of Member Infographic/Annual Values report	SB/HC	31/12/20	Complete	Project team in place				
Continuing Customer Engagement exercise with key partners	JW	31/03/22	On-going	Engagement plan in development				
C.E presentation to CIPFA and SOLACE	JW	31/12/20	Complete					
Annual Values Report issued to all Councils	SMT	30/11/20	Complete					

Reference: SXL007-21/22		Corporate Social Responsibility																																				
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score																																		
				Likelihood	Impact	Residual	Trend	Evaluation																														
<p>Ensure that, where possible, community benefits are delivered as part of the contract portfolio.</p> <p>Ethical sourcing of products and supplies in the whole supply chain.</p>	<p>Scotland Excel may not be seen as an industry leader in how it addresses key aspects of corporate social responsibility with an associated negative impact upon our reputation and stakeholder perceptions.</p>	HC	<p>Management and Reporting of Community Benefits developed and embedded.</p> <p>Community benefit requirements issued to suppliers at tender stage.</p> <p>Active promotion of community benefits in delivered through our contracts.</p> <p>Living Wage Employer accreditation secured, used to raise awareness with stakeholders.</p> <p>Workforce matters and living wage considerations are built in at strategy stage.</p> <p>Ethical sourcing strategies provided by suppliers as part of the tender process.</p> <p>Co-ordination of Community Benefits Forum for partner local authorities</p> <p>Staff have become mentors for children in schools under MCR Pathways</p> <p>Partnership with Founders 4 Schools supporting CV writing, mock interviews etc.</p> <p>Incorporation of "Fair Work First" incorporated into SXL frameworks</p>	2	3	6		6																														
				<table border="1"> <tr><td>5</td><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td><td>Red</td></tr> <tr><td>4</td><td>Yellow</td><td>Yellow</td><td>Orange</td><td>Red</td><td>Red</td></tr> <tr><td>3</td><td>Green</td><td>Blue Dot</td><td>Yellow</td><td>Orange</td><td>Red</td></tr> <tr><td>2</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Orange</td></tr> <tr><td>1</td><td>Green</td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> </table> <p>Likelihood</p>					5	Yellow	Orange	Red	Red	Red	4	Yellow	Yellow	Orange	Red	Red	3	Green	Blue Dot	Yellow	Orange	Red	2	Green	Green	Yellow	Yellow	Orange	1	Green	Green	Green	Yellow	Yellow
5	Yellow	Orange	Red	Red	Red																																	
4	Yellow	Yellow	Orange	Red	Red																																	
3	Green	Blue Dot	Yellow	Orange	Red																																	
2	Green	Green	Yellow	Yellow	Orange																																	
1	Green	Green	Green	Yellow	Yellow																																	
<b>Risk Register Review Updates</b>																																						
Date	27/04/20	Risk reviewed in light of COVID-19; No change to risk score.																																				
	27/08/20	Completed linked actions removed; New Linked actions added; Risk Evaluation unchanged																																				
	05/11/20	New linked action added, linked actions updated, and risk discussed; Residual Risk Score unchanged																																				
	27/04/21	Linked actions reviewed – No change to Residual Risk score due to potential impact of COVID-19 pandemic and BREXIT on Community Benefits performance by suppliers despite notable acts of kindness by certain suppliers.																																				
<b>Linked Actions</b>																																						
<b>Description</b>		<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>																																	
Scotland Excel takes part in MCR (Motivation, Commitment & Resilience) pathways assisting disadvantaged young people		SMT	30/06/21	Complete	Several staff are actively involved in this initiative which continues during pandemic with social distancing - relaunch																																	
Explore additional ways SXL can support disadvantaged young people		SMT	30/06/21	On-going	Horizon scanning group to be set up to explore options																																	

Reference: SXL009-21/22		Environmental Impact and Climate Change						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
Impact of organisational activity on the Environment.	Reputational/Legal Risk in relation to the organisation having an adverse impact on the Environment.	JW	Adoption of environmentally aware office practices within Scotland Excel i.e. recycling, agile working, double sided printing etc.	2	3	6		6
Impact of Scotland Excel frameworks on the Environment	Reputational/legal Risk in relation to Scotland Excel frameworks having an adverse impact on the Environment		Requirement for Environmental Policy, ISO certificate or equivalent for access to certain frameworks					
Influence of Scotland Excel on environmentally friendly public service delivery	Reputational/legal Risk in relation to Scotland Excel frameworks having an adverse impact on the Environment		Actions in relation to reducing carbon footprint scored in assessment for certain frameworks					
Potential impact of Climate change on day to day operations of Scotland Excel	Failure to champion Environmentally friendly practices via SXL frameworks		Information in relation to environmental practices and plans requested across all frameworks Sustainability testing carried out on all framework suppliers					
<b>Risk Register Review Updates</b>								
Date	27/04/20	Risk reviewed and action updated; No change to risk score						
	27/08/20	Completed linked actions removed; New Linked actions added; Risk Evaluation unchanged						
	05/11/20	New linked action added, linked actions updated, and risk discussed; Residual Risk Score unchanged						
	27/04/21	Linked actions reviewed – No change to Residual Risk score.						
<b>Linked Actions</b>								
<b>Description</b>			<b>Assigned To:</b>	<b>Due Date</b>	<b>Status</b>	<b>Notes</b>		
Review of what further actions can be taken by Scotland Excel to impact organisational, supplier and partner carbon footprint reduction activity			HC	30/06/21	On-going	Capture and report environmental outcomes on Procurement agenda. How report.		
New Environmental Impact horizon scanning group to be created			SB	31/12/20	<b>Complete</b>	Group set up and meeting regularly		
Identify and participate in appropriate and relevant Environmental Groups where SXL can have influence			SMT	30/06/21	On-going	A number of SXL staff already attend environmental strategy groups		