Scotland Excel

To: Executive Sub Committee

On: 17 November 2017

**Report
by
Director Scotland Excel**

Risk Register Update

1. Introduction

This report provides an update on the risk register that is maintained to assess threats/risks that could impact on the delivery of Scotland Excel's organisational objectives and to identify actions that have been taken to mitigate such risks.

2. Background

In 2015 Scotland Excel carried out a full review of the organisation's risk register to reflect the new 3 year operating plan. As a result of the review, a new risk management approach and plan was created and presented to the Joint Committee in November 2015.

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 both visibility and the opportunity to discuss with officers the actions taken by the organisation to manage the identified risks.

3. Risk Management update

To ensure that the risk register is maintained and continues to be a focus for the organisation, a process for regular review was put in place; the Senior Management Team reviews 3 risks every second team meeting which ensures a full review of the whole risk register each quarter.

Members of the Senior Management Team also ensure that their staff have visibility of the register to highlight any new risks or actions to mitigate risks which emerge.

The risk management process implemented has successfully allowed the organisation to ensure the risk management is a key focus for the wider organisation and the risk management plan is a "living document".

Risk control measures implemented as a result of the review process have resulted in 13 risks with a reduced residual risk level. Further work is underway through the risk management process to understand the potential for reducing the remaining organisational risks.

The current risk register is attached as an appendix to this report for review by members.

4.   Recommendation

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

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Risk Management Plan

November 2017

CONTENT

1.   Risk management arrangements within Scotland Excel

1.1   The organisation has implemented a range of standard procedures aligned with the organisation's risk management strategy. These include adoption of a risk management process, using a standardised risk matrix for analysis and evaluation.

1.2   The review of the Risk Register will be carried out by the Senior Management Team on a monthly basis, with the top 5 risks reported to the appropriate governance committee of Scotland Excel on a quarterly basis

1.3   Out with the planned review sessions, emerging risks, or any significant change in an existing risk, will be circulated to the Senior Management Team with immediate effect.

2.   Report on corporate risk management objectives

2.1.   To ensure that risks are identified and effectively managed, a range of control measures and processes have been implemented. These include:

(1) The Senior Management team owns and regularly reviews the risk register, reporting on it to the governance committee of elected members.

(2) Regular review of the register, and the review process, ensures that the risk management approach remains fit for purpose.

(3) Ensuring that staff are encouraged and supported to identify and manage risk in their area.

(4) The organisation ensures that effective arrangements are in place to manage risks in partnerships.

(5) Ensuring that the management of risk contributes to achieving positive outcomes for the organisation, including encouraging innovation and identifying new opportunities.

3.   Current internal and external business context for the organisation

3.1.   The Scotland Excel Senior Management Team (SMT) participated in dedicated sessions, facilitated by Renfrewshire Council's Risk Manager, to explore the current risk landscape and agree priorities for the organisational strategic risk register.

3.2.   As a basis for establishing the strategic risk register, the SMT considered the organisation's key business priorities and anticipated challenges in delivering them:

- Supporting the delivery of better and more effective public services

- Being sustainable in everything we do.

- Placing customers at the heart of our business.

- Becoming the partner of choice for delivering shared services.

3.3.   Focus was then given to the organisation's current external business environment, both those of immediate importance, as well as those that may be on the horizon. In particular, the SMT considered the following:

- POLITICAL CONTEXT
  o Health and social care integration – joint bodies as new legal entities who may source services out with Scotland Excel contracts
  o The potential impact of future local and national elections may have.

- ECONOMIC CONTEXT
  o The increasing focus on public sector procurement as a driver of economic benefits, and the relationship between procurement and the local economic agenda
  o Financial pressures and budget cuts in member councils

- o Financial (and other) factors impacting on resilience of suppliers, including the potential for supplier failure/ business continuity risk

- SOCIAL CONTEXT
  - o The increasing focus on public sector procurement as a driver of social benefit

- TECHNICAL CONTEXT
  - o Complexities of certain new markets and matching in-house capacity/ capability
  - o Scotland's Digital Future/ delivery of Public Services strategy and the Local Government Information and Communication Technology (ICT) strategy

- LEGISLATIVE CONTEXT:
  - o Changes to EU and UK procurement legislation
  - o Personalisation and self-directed support legislation (individual choice) – risk in terms of the contract status and potential additional governance, and member council support, required

- ENVIRONMENTAL CONTEXT
  - o The increasing focus on public sector procurement as a driver of environmental benefits
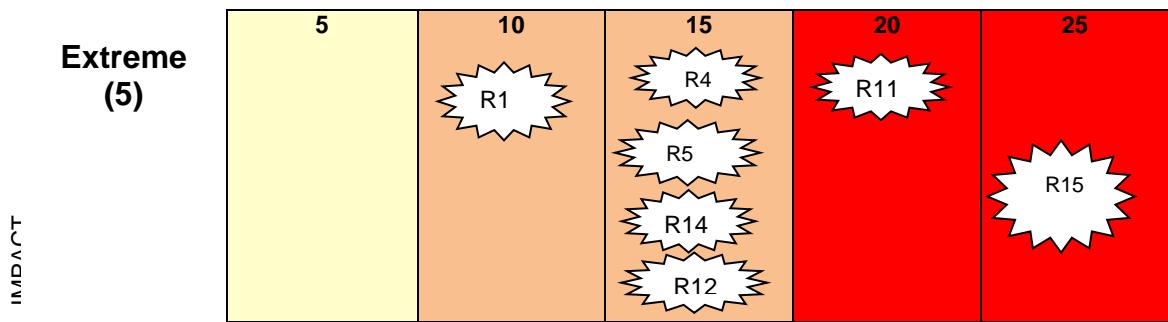
3.4. Further to consideration of the current external business environment, the SMT also considered the current internal business environment. Matters of importance identified in relation to internal priorities or challenges, or feedback/ performance, included
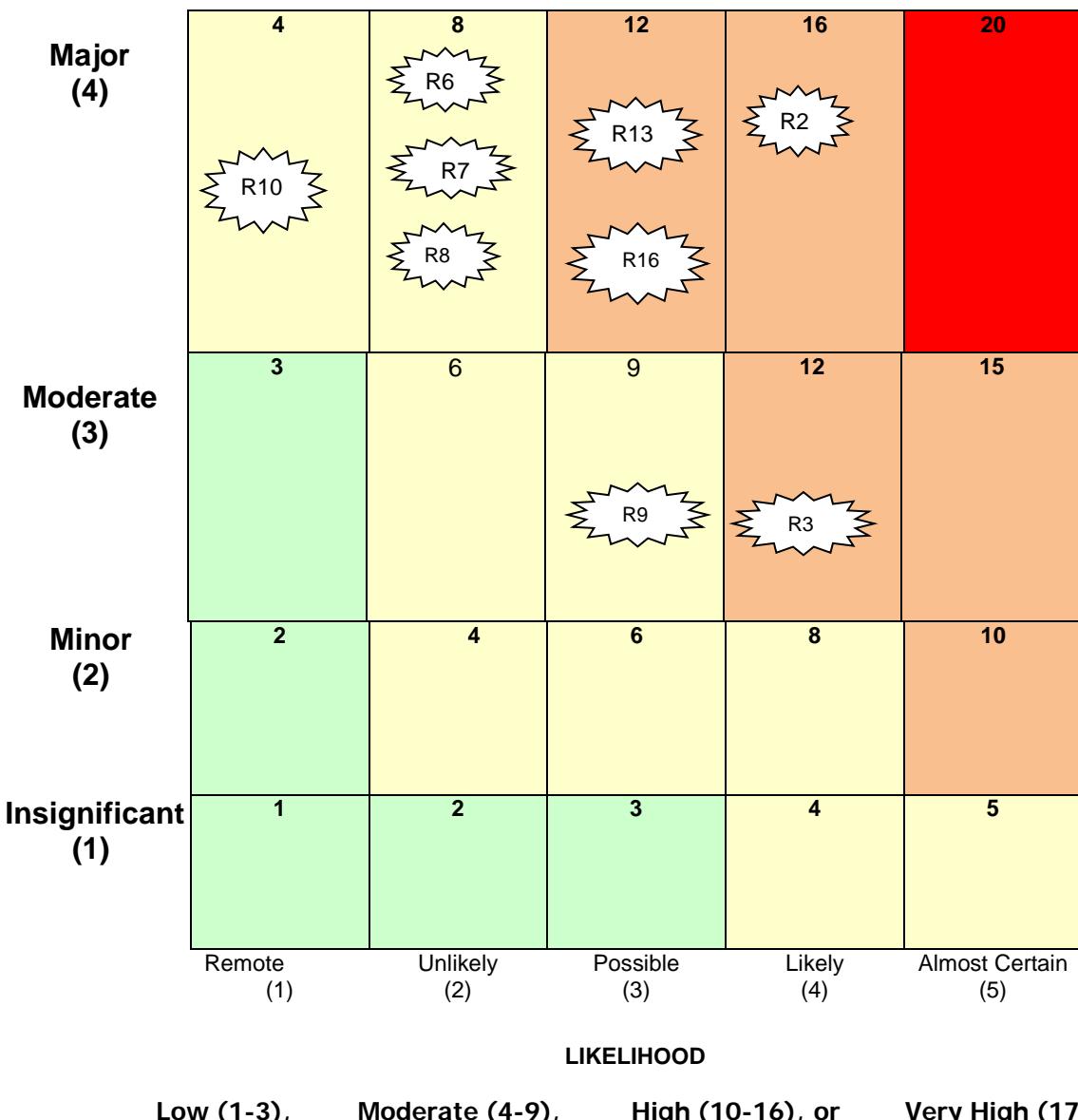
- Data integrity – systems and management information requirements to support future activities, future decisions and transformation programmes
- Financial integrity and stability – funding/ rebates
- Exploring new markets/ developing new contracts with related reputational impact associated with how these are handled by the organisation
- Feedback from the Scotland Excel customer surveys
- Outputs from the Audit Scotland review of procurement in Local Government
- Opportunities for growing the current shared services model to include the delivery of additional services
- Workforce planning needs – turnover and the availability of skilled and experienced resources
- Trends in relation to complaints, incidents/ near misses, claims and insurance information
- Internal business continuity arrangements in respect of loss of staff, power/ systems, facilities

4. The risk register

4.1. The risk register is shown in detail in Appendix 1. The risks are categorised under the themes noted below reflecting the strategic aims of the organisation and one additional category to enable capture of significant risks that are inherent in business as usual for the organisation:

- Supporting the delivery of better and more effective public services

- Being sustainable in everything we do.

- Placing customers at the heart of our business.

- Becoming the partner of choice for delivering shared services.

Original Risk Position

	5	10	15	20	25
Extreme (5)		R1	R4 R5 R14 R12	R11	R15

IMPACT

IMPACT	Remote (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost Certain (5)
Major (4)	4 — R10	8 — R6, R7, R8	12 — R13, R16	16 — R2	20
Moderate (3)	3	6	9 — R9	12 — R3	15
Minor (2)	2	4	6	8	10
Insignificant (1)	1	2	3	4	5

LIKELIHOOD

Low (1-3),   Moderate (4-9),   High (10-16), or   Very High (17-25)

Residual Risk after Mitigation

IMPACT	Remote (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost Certain (5)
Extreme (5)	5	10 — R1	15 — R4, R5, R12, R11, R14	20	25

	Remote (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost Certain (5)
Major (4)	4	8 — R8	12 — R13, R2	16	20 — R15
Moderate (3)	3	6 — R6, R7, R10	9 — R9, R16	12 — R3	15
Minor (2)	2	4	6	8	10
Insignificant (1)	1	2	3	4	5

LIKELIHOOD

Low (1-3),   Moderate (4-9),   High (10-16),   or   Very High (17-25)
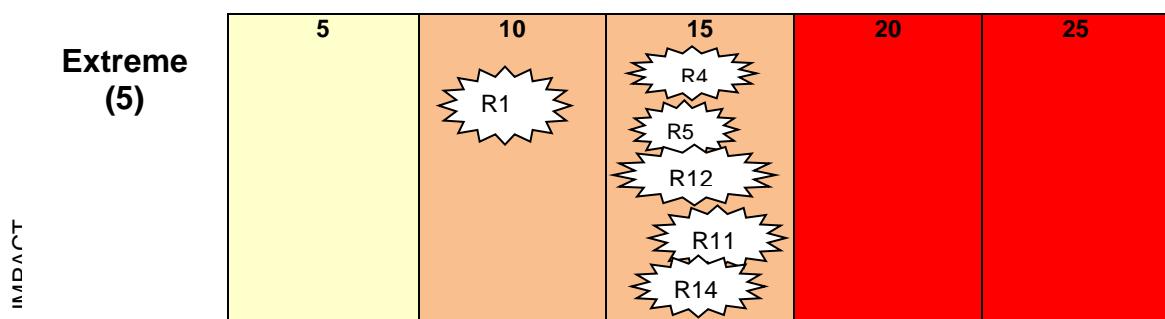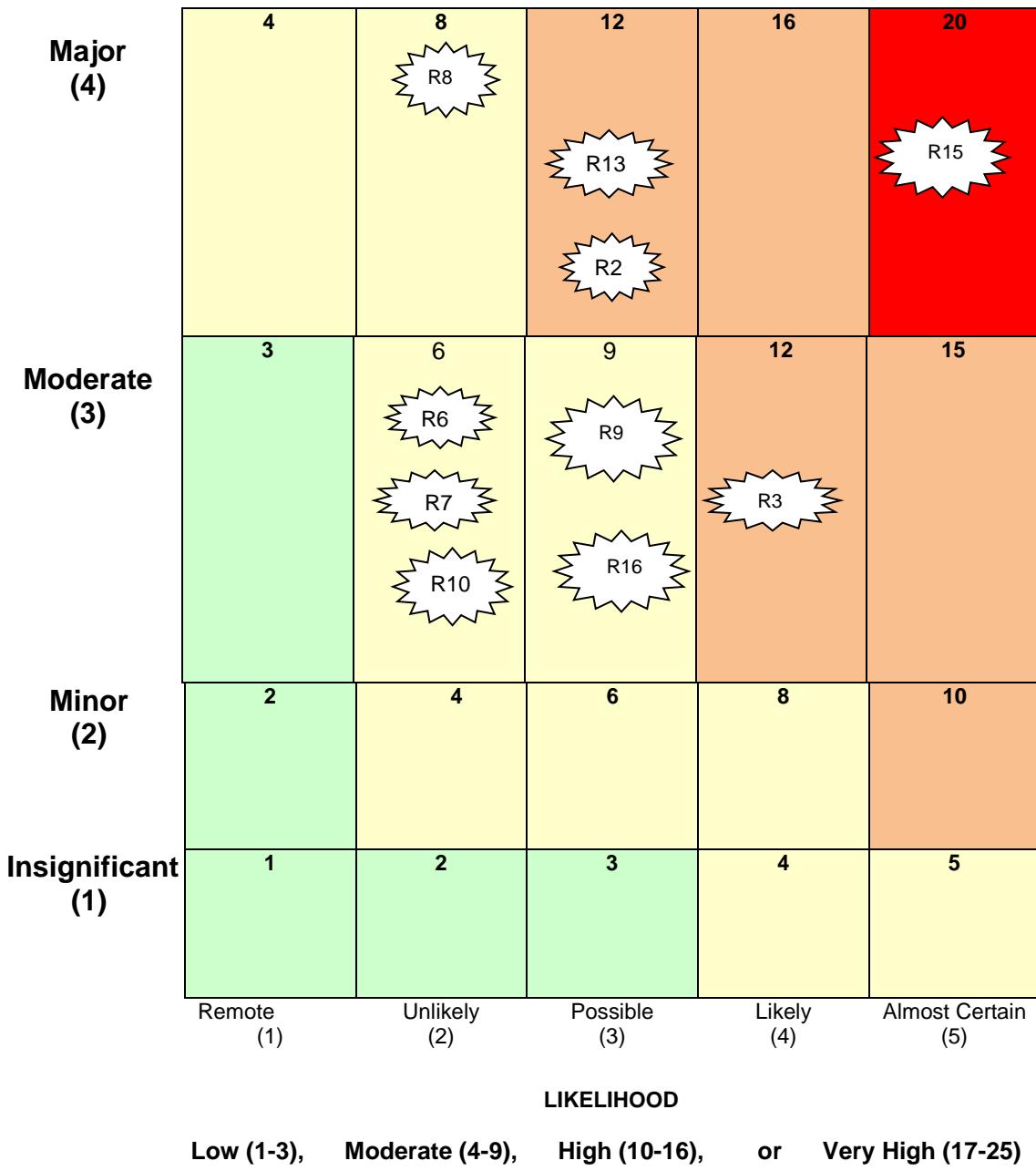
4.2.   The organisation's top five risks (in terms of potential significance) are:

(1) Political change impacting on the governance of the organisation
(2) Failure to exploit new markets/opportunities leads to a failure to provide savings.
(3) Business Continuity if a failure occurs, and impact upon stakeholders.
(4) The financial stability of the organisation going forward based on annual requisitions
(5) Recruiting and retaining suitably qualified staff.

4.3.   The planned risk control measures are included within the register in Appendix 1.

4.4.   Strategic risks will be reported on a 6-monthly basis to the Executive Sub Committee.

4.5.   As a minimum, the Senior Management Team will review the entire strategic risk register on a quarterly basis.

4.6.   Individual SMT members will bring to the SMT for collective consideration any local (contract specific or operational) risks that may require elevation to the strategic risk register.

Risk Register

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 1 Title Context: (1) There is less opportunity to show significant savings from second, third and later generation contracts (2) Councils can serve notice and leave the organisation (3) Some councils not initially participating in the National Care Home project.	Membership of Scotland Excel is optional for Councils. The risk is that Councils decide not to renew membership of Scotland Excel. Scotland Excel must be alert to this and the impact of any council leaving membership.	JW	▪ The Director will continue a programme of meetings with Directors of Finance from Councils to ensure awareness of Scotland Excel, and the financial benefits to councils from working with Scotland Excel. ▪ Engagement with CIPFA to ensure that there is awareness and understanding of Scotland Excel, and the benefits of fully engaging are clearly communicated to executives in member councils. ▪ Competitor analysis is providing a clear understanding of our unique selling proposals which are promoted and shared with stakeholders ▪ Scotland Excel has developed a model to plan and support effective engagement between the Executive Team and senior stakeholders. ▪ In conjunction with SOLACE, new CEOs recruited to the Officer Group with regular meetings to raise awareness on current and future work being delivered, and identifying partnership opportunities for Scotland Excel and member councils. ▪ Use of a range of reporting tools at regular meetings with key stakeholders to demonstrate the value and benefits of Scotland Excel membership.	3	5	15	10	→

Action Ref	Linked Actions		Latest Notes	Assigned to	Due Date	Status		
			The control measures of the organisation have reduced the likelihood of this risk. (3 to 2)					

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 2 Title: Context: (1) Failure to horizon scan to identify new markets/ commodity shifts/ opportunities (2) Failure to deliver on priorities identified by member councils at commercial UIGs (3) Failure to explore viability of new markets (4) Need to match in-house capability and capacity to respond to new markets	Scotland Excel fails to exploit potential new markets and opportunities to expand the contract portfolio securing savings and benefits for stakeholders.	HC	• Regular horizon scanning undertaken to help to identify market development opportunities earlier, and give the organisation longer to plan for capability/capacity ▪ Commercial UIG/Steering Group provides a platform for prioritising new market development opportunities, (e.g. discussion and agreement on balance between council requirements and our capacity/capability) ▪ Workforce planning – anticipate requirements over the long term and investigate how we can fund recruitment of new staff or up-skill existing staff ▪ Secondments from expert partners, as per Zero Waste Scotland for the development of contracts. ▪ Contract governance arrangements mitigate some risk on capability (i.e. opportunity to identify issues before a tender goes to market) ▪ Partnering with Crown Commercial Services has also added capacity and has been successful for both organisations and our member councils ▪ Greater development of category strategies, with 2-3 year plans to enable the opportunity to consolidate contracts and create additional capacity. ▪ Introduction of Small Value Team, SEEMiS project, and supporting the Digital Agenda work to meet stakeholder requirements for new areas of work. ▪ Funding from Scottish Government for the Affordable Housing Team demonstrates the successful identification and development of new services to support the delivery of a wide range of stakeholder benefits.	4	5	20	12	→

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the likelihood of this risk (4 to3) and the impact of this risk (5 to 4)						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 3 Title: Context: (1) Failure to horizon scan to identify new markets, requirements or opportunities (2) The need to explore viability of new markets (3) Matching in-house capability and capacity to respond to new markets	Scotland Excel fails to develop to meet demands and diversification as the requirement for new shared services develops.	SB	▪ Identification of, and ongoing work to support, robust market testing of all new shared service propositions with all stakeholders. ▪ A robust business model is in place for all new services (cost to serve, funding / uptake forecasts) ▪ There is proper planning to ensure that sufficient and capable resources exist within the organisation, now and for future developments. ▪ Scotland Excel continues to engage effectively and appropriately to ensure that there is a full understanding of the policy drivers and impacts / opportunities for our stakeholders. ▪ Account managers work closely with stakeholders to identify how additional benefits can be delivered from current or future work of Scotland Excel. ▪ The organisation's project plan demonstrates the link between resource input and benefits delivered, including non-financial benefits from contracts ▪ New projects / teams established as a result of stakeholder requests for delivery of new services. These include SEEMiS, Care funding, Affordable Housing and partnership with Crown Commercial Services. ▪ Chief Executive Officer Management Group now considers shared service opportunities and proposals for Scotland Excel to deliver for partner organisations to ensure that these meet stakeholder demands.	4	4	16	12	→

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the impact of this risk. (4 to 3)						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 4 Title: Context: (1) Failure to horizon scan to identify new opportunities or threats. (2) Failure to identify and prepare for political or legal change (3) Matching in-house capability and capacity to respond to new markets	Stakeholders expect that as a CoE, Scotland Excel must be aware of and ready for political or other external changes and the impact of these. Failure to do so will compromise the relationship with our stakeholders.	JW	▪ Participation in a wide range of conferences, meetings and collaborative working opportunities have raised awareness of the organisation amongst a wide range of decision makers, leading to greater awareness and influence in policy decisions ▪ An effective public affairs strategy is in place and is ensuring effective engagement with all levels of elected representatives. ▪ Scotland Excel ensures that the organisation is aware of, and plans to respond to, all changes in its external environment that may affect the organisation and / or the sector through effective horizon scanning. ▪ Procurement teams identify market shifts and advise and act accordingly. ▪ SMT have a quarterly review of general issues impacting upon the environment the organisation operates in and deal with specific issues such as future political or legislative changes. ▪ The CEOMG provides the opportunity to develop and gain support for new areas of work ensuring that these are appropriate for our stakeholder needs.	3	5	15	15	

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		There has been no movement in this risk						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 5 Title:	The failure of a service provider could have significant implications for service provision within member council areas.	HC						
Context: (1) Financial (and other) factors impacting on resilience of suppliers (2) Negative reputational results across the portfolio from potential breach of contract and / or supplier failure			▪ Effective risk management is in place at development and management stages of all contracts. ▪ Process for monitoring the financial stability of suppliers is carried out prior to award, and throughout the life of a contract. ▪ Strategic Procurement teams, as part of contract management, identify areas where the nature of the commodity or service requires specific management to ensure continuity of service is maintained. ▪ Specific measures to meet the management of Social Care contracts and associated areas of risk are in place. ▪ Scotland Excel has a range of measures to monitor supplier resilience in addition to the external financial monitoring tools used. ▪ To ensure robust financial evaluation and support, options to engage appropriate external services to review and monitor suppliers is regularly reviewed and evaluated.	3	5	15	15	⬍

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		There has been no movement in this risk.						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 6 Title: Context: (1) Lack of awareness of or input to development of frameworks by stakeholders.	Scotland Excel fails to engage effectively with stakeholders on collaborative activities and / or does not make information available to support the use of contracts or services.	HC	▪ Specific information materials including guides for buyers and suppliers produced to help ensure informed purchasing decisions across the entire portfolio of goods and services. ▪ Feedback is given at quarterly stakeholder meetings on spend data, including identification where possible of "off contract spend". ▪ Use of agreed standard form of framework for goods/services/social-care, and shared to ensure consistency in the methodology and to assist our stakeholders in fully utilising these throughout. ▪ Appropriate stakeholders with technical knowledge identified and used through the procurement journey, with actions from this used to project manage the process for best results. ▪ Collaboration with stakeholders to ensure that changes such as GDPR are effectively managed and supported for suppliers and end users. ▪ Partnership working such as work with the Digital Office to ensure information, opportunities and innovation supports future development and participation across the portfolio, and that it is shared with stakeholders.	2	4	8	6	→

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the impact of this risk. (4 to 3)						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 7 Title:	Scotland Excel fails to be an industry leader in how it addresses key aspects of corporate social responsibility with an associated negative impact upon our stakeholders.	HC	▪ The management and reporting of Community Benefits is in place and being further developed with stakeholders input. ▪ Elected members and stakeholders receive regular updates as part of the governance process on the range of community benefits across the portfolio. ▪ Scotland Excel has secured accreditation as a Living Wage Employer and this will be used to raise awareness with suppliers and stakeholders. ▪ Engagement with appropriate bodies, such as the British Association of Supported Employment, to encourage wider participation by organisations in frameworks. ▪ Ethical sourcing strategies are provided by suppliers as part of the tender process as a control measure. ▪ Every opportunity to actively promote community benefits in our contracts is fully utilised. ▪ Anti Slavery legislation has been included and is reviewed as part of the procurement strategy and process. ▪ The Sustainable procurement strategy is a key area in the procurement strategy and is communicated to our stakeholders. ▪ Community benefit requirements are issued to suppliers at tender stage, and a register of the community benefits subsequently delivered is used to assist future tender scoring.	2	4	8	6	→
Context: (1) Ensure that where possible community benefits can be delivered as part of the contract portfolio. (2) Ethical sourcing of products and supplies in the whole supply chain.								

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the impact of this risk. (4 to 3)						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 8 Title: Context: (1) Website is a first point of contact for many so must be accurate and up to date (2) More proactive use of media to promote good news stories (3) Elected member engagement, providing them with information on success / good news stories to promote the value of the organisation.	Failure to make Scotland Excel the procurement provider of choice for stakeholders through proper awareness has a financial impact for the organisation and for members in terms of best value	SB	▪ Scotland Excel works with PR professionals to raise greater awareness of the organisation, and the benefits from the contracts that are in place. ▪ Information materials, including guides for buyers, suppliers and stakeholders, produced and distributed. ▪ Regular updates to all stakeholders via the quarterly newsletter / magazine, governance meetings and meetings with key stakeholders. ▪ The website, as a key first point of contact, has a range of content to ensure stakeholders are informed and can fully engage with the organisation ▪ The use of social media to engage effectively with stakeholders is now a key area of the communication strategy. ▪ A full stakeholder engagement exercise was carried out with ranking of these stakeholders to ensure appropriate and effective ongoing engagement. ▪ Regular PR updates and opportunities are discussed and reviewed by the SMT as a regular agenda item. ▪ With input from SOLACE, a number of new CEOs have joined the Chief Executive Officer Management Group helping to support broader engagement with stakeholders. ▪ Wider elected member engagement is taking place, through COSLA, events and other political meetings.	3	4	12	8	→
Action Ref	**Linked Actions**		**Latest Notes**	**Assigned to**	**Due Date**	**Status**		
			The control measures of the organisation have reduced the likelihood of this risk. (3 to 2)					

Context	Risk Statement	Owned	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement

Risk 9

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 9 Title:	Scotland Excel is faced with negative publicity or a media crisis which compromises the organisation's stakeholders	SB	▪ Procurement teams advise communications colleagues of any issues which have the potential for negative media interest, and plans are put in place to deal with these proactively ▪ Scotland Excel makes use of external specialists as required to supplement in-house resources in engaging across wider areas of the media as appropriate to deal with any potential issue impacting on stakeholders. ▪ Executive team have undertaken professional media training to ensure effective handling of any issues that may arise. ▪ New PR support has been secured and this will be used to promote and manage media contacts in a proactive manner.	3	4	12	9	→
Context:								
(1) Website news and information kept completely up to date reflecting any issues								
(2) Arrangements for dealing with adverse publicity / crisis management								
(3) More proactive use of media to manage news stories								
(4) Elected members must be kept informed if issues arise.								

Action Ref	Linked Actions	Latest Notes	Assigned to	Due Date	Status
		The control measures of the organisation have reduced the impact of this risk. (4 to 3)			

Risk 10

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 10 Title:	Scotland Excel has to meet the obligation to deliver on policy objectives of Joint Committee members. There is a risk to credibility and reputation if this is not met.	HC	▪ Contract governance process ensures that appropriate steps are taken to drive ethical sourcing within framework agreements. ▪ Sound supplier management is in place and regular meetings to ensure contractual commitments such as delivering community benefits are met. ▪ Information is made available to end users to support purchasing decisions; for example "fair-trade" products that are available in contracts. ▪ Every opportunity to promote community benefits or support broader CSR goals delivered from contracts are proactively pursued to raise awareness with stakeholders and the wider community through all media sources.	2	5	8	4	→
Context:								
(1) Implementation of stakeholder policy in contracts								
(2) Ethical sourcing of products and supplies in the whole supply chain.								
(3) Securing community benefits across the portfolio.								

Action Ref	Linked Actions	Latest Notes	Assigned to	Due Date	Status
		The control measures of the organisation have reduced the likelihood (2 to 1) and impact of this risk (5 to 4)			

Risk 11

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 11 Title: Context: (1) Financial sustainability ▪ Need to attract resources ▪ Council budget cuts ▪ Potential for national organisations / local government withdrawing support	There are a range of factors in the organisation's business context that if not addressed effectively could impact on the longer term sustainability of Scotland Excel	JW	● There is ongoing work with all stakeholders to identify and deliver new opportunities to provide additional chargeable services, based on customer demand. ● New initiatives such as the Small Value Project team, funded from supplier rebates, which return greater benefits to stakeholders introduced. ● Securing Government funding to support the Affordable Housing Team demonstrates wider stakeholder recognition of the benefits Scotland Excel can bring to service delivery. ● A robust business model is in place for all new services (cost to serve, funding/uptake forecasts) to enable effective engagement with potential partners for service delivery. ● Scotland Excel continues to develop new partnership projects with councils and the Scottish Government to secure funding to develop and deliver services within social care.	4	5	20	15	→

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the likelihood of this risk. (4 to 3)						

Risk 12

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 12 Title: Context: (1) Demand in the market for Procurement staff makes recruiting and retaining staff problematic. (2) Lack of flexibility in pay structures due to tie in with Renfrewshire Council makes retaining staff problematic.	Scotland Excel encounters problems in recruiting and retaining staff of suitable skill, quality and experience to meet the agreed contract delivery schedule.	JW	▪ Through the performance review/development process, and resource planner, staff have a clear view of their future with the organisation and of opportunities to grow and develop. This is key to the retention and development of staff across the organisation. ▪ Social media based recruitment advertising has been used to engage with a wider audience of potential staff, particularly younger staff who use this medium most. ▪ There is an ongoing review of the organisation's recruitment strategy to ensure that any changes in the market are addressed proactively. ▪ Scotland Excel has introduced a number of new initiatives, such as organisation information packs for candidates, awareness events, partnerships with recruitment agencies which have successfully addressed the challenges of recruiting staff. ▪ The organisation continues to explore further benefits available to support staff retention.	4	5	20	15	→

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the likelihood of this risk. (4 to 3)						

Risk 13

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 13 Title: Context: (1) Changes to EU and UK procurement legislation (2) Community Empowerment (Scotland) Bill (3) Personalisation and self directed support legislation (individual choice) (4) Future political or legislative changes	Legislative changes can impact on the organisation and its stakeholders creating challenges for the organisation to respond to and address.	HC	▪ Regular attendance by key staff at appropriate, meetings, groups and policy seminars has raised awareness and influence with decision makers. ▪ Building on the successful delivery of work to date, Scotland Excel has gained the opportunity to be consulted on, and to help influence of, policy making decisions. ▪ Due to awareness of and development of strategies to address changes in legislation Scotland Excel is recognised as a partner who can assist stakeholders to meet their responsibilities as they arise. ▪ Scotland Excel works in partnership with key industry / service / professional groups to manage service development and delivery in line with legislative changes to the benefit of all stakeholders.	3	4	12	12	

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		There has been no movement in this risk.						

Risk 14

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 14 Title: Context: (1) Loss of staff (many staff or key individuals) (2) Loss of facilities (3) Loss of systems (4) Loss of data	Scotland Excel does not adequately prepare for a range of scenarios to ensure business continuity then there is a risk of service disruption with associated impact to stakeholders	SB	▪ Staff are fully equipped to work remotely should the need arise. ▪ Business critical IT systems are now "cloud based" giving greater assurance with regard to business continuity. ▪ The Senior Management Team has scenario planning meetings as part of business continuity planning. ▪ IT services come with a 99.9% availability assurance from the provider.	4	5	20	15	

Action Ref	Linked Actions	Latest Notes		Assigned to	Due Date	Status		
		The control measures of the organisation have reduced the likelihood of this risk. (4 to 3)						

Context	Risk Statement	Owned	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement

Risk 15

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 15 Title: Context: 1. Changes arising from national or local government elections impact upon the organisation. 2. Brexit is an unknown quantity and implications for procurement may create uncertainty	Political change impacts upon the governance of Scotland Excel and may change the emphasis of its future delivery.		• Review of available briefing papers prepared by the Scottish Government and other organisations shared across the Senior Management team on the potential implications of Brexit to enable development of strategies as these become necessary. • Briefings given on the possible impact of Brexit on the work of Scotland Excel given to elected members. • The regular horizon scanning the organisation carries out highlights potential changes in the political agenda that may impact upon future frameworks allowing time to address these. • Scotland Excel shares information with stakeholders on key changes that will impact areas of the organisations work. This includes sharing information and providing training sessions as appropriate on issues such as the General Data Protection Regulation in advance.	5	5	25	20	➡

Action Ref	Linked Actions	Latest Notes	Assigned to	Due Date	Status
		The control measures of the organisation have reduced the impact of this risk. (5 to 4)			

Risk 16

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation	Residual Risk	Movement
REF: Risk 16 Title: Context: (1) Competition from other bodies entering the market where Excel has to remain the provider of choice	Scotland Excel faces a risk to its stated position as the provider of choice for Local Government	JW	• Competitor analysis is undertaken and is used to develop and communicate unique selling points (USPs) to our current, and future, partners and stakeholders • Opportunity to reprioritise services based on competitive landscape (e.g. avoid duplication and free up resources) • A regular review takes place to allocate appropriate resources to stakeholder engagement as required. • Scotland Excel ensures that the member benefits including award winning work, achievements, savings, innovation and community benefits are communicated effectively to stakeholders. • Partnership work with SEEMiS, Zero Waste Scotland and the Digital Office demonstrates that Scotland Excel is the "partner of choice".	3	4	12	9	➡

Action Ref	Linked Actions	Latest Notes	Assigned to	Due Date	Status
		The control measures of the organisation have reduced the impact of this risk. (4 to 3)			