SCOTLAND EXCEL

Scotland Excel

To: **Executive Sub-Committee**

On: **27 November 2020**

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 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.

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 is the over-riding influence on all strategic risk at present coupled with continuing Brexit uncertainty. These factors are reflected in the upwards trend in relation to risk scores showing against a number of the existing strategic risks and in the introduction of a new risk in respect of, "National Emergency including Pandemic" (SXL-010-20/21) in April 2020.

The updated Strategic Risk Register identifies a number of 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.

The new "National Emergency including Pandemic" risk is currently positioned on residual risk score of 20 (Likelihood 5, Impact 4). While Scotland Excel is operating well within the home working environment, the continuing uncertainty of when and how the pandemic is going to end and the economic uncertainty being caused necessitates this risk remaining at this level. A number of linked actions have been identified in relation to this risk aimed at mitigating the financial and operational impact on the organisation and making sure that the organisation learns from the current pandemic going forward.

Other risks with risk scores impacted by the COVID-19 pandemic are detailed on table 2 in the Strategic Risk Register at Appendix 1.

Factors taken into consideration, in addition to COVID-19, when reviewing the risk register over the year included Brexit; recruitment challenges within the procurement sector; continuing financial uncertainty across local government, social housing and the third sector; 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.

Brexit, and the increasingly likely scenario of a no deal Brexit has had a significant impact on the Strategic Risk Register and in particular risk in relation to Supplier Failure. With a no deal scenario, suppliers on Scotland Excel frameworks may experience 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.

Following quarterly review of these and other factors, the Scotland Excel Risk Register as at 5th November 2020 is shown in appendix 1.

4.   **Recommendation**

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

Strategic Risk Register

Document Control 2020	
Review Dates:	24 January 2020
	27 April 2020
Exec Sub Comm.	**29 May 2020**
Review Dates:	27 August 2020
	05 November 2020
Exec Sub Comm.	**27 November 2020**
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 5th November 2020. 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 05/11/20

Risk Ref.	Risk Title	Residual Risk Score
SXL010-20/21	National Emergency including Pandemic	20
SXL005-20/21	Supplier Failure	20
SXL001-20/21	Organisational Sustainability	20
SXL003-20/21	Political Change	16
SXL002-20/21	Managing Growth and Diversity	16
SXL004-20/21	Reputational Risk	12
SXL008-20/21	Risk of Not Performing/Delivering	12
SXL006-20/21	Staff Recruitment and Retention	9
SXL007-20/21	Corporate Social Responsibility	6
SXL009-20/21	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. Where there has been movement in the risk score, a brief explanation has been provided.

Table 2: Residual Risk Movement During Past Year

Period / Risk Ref.	**Q2** Jan 20	**Q3** Apr 20	**Q4** Aug 20	**Q4** Nov 20	4 quarter Trend
SXL010-20/21	n/a	20	20	20	⟷
Pandemic continues, SXL continues to deliver services					
SXL005-20/21	16	20	20	20	⬆
Economic uncertainty due to COVID 19 pandemic					
SXL001-20/21	12	16	16	20	⬆
Emerging financial impact of COVID-19 and No Deal BREXIT					
SXL003-20/21	16	16	16	16	⟷
Uncertainty over No Deal BREXIT and Scot Govt Elections 2021					
SXL002-20/21	12	16	16	16	⬆
COVID-19 pandemic impact on funding Streams					
SXL004-20/21	12	12	12	12	⟷
Organisation continues to perfrom well during pandemic					
SXL008-20/21	16	12	12	12	⬇
Organisational performance during COVID 19 pandemic					
SXL006-20/21	12	12	12	9	⬇
Public sector regarded as better employment option following					
SXL007-20/21	6	6	6	6	⟷
Exploring new ways to support disadvantaged young people					
SXL009-20/21	6	6	6	6	⟷
Growing Scotland Excel influence on Environmental issues					

Diagram 1: Consolidated Risk Matrix

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

Likelihood: 1 2 3 4 5

PESTEL Analysis – April 2020		
POLITICAL		
Reference	**Risk**	**Risk Score**
SXL003-20/21	Political Change	16
ECONOMIC		
SXL005-20/21	Supplier Failure	20
SXL001-20/21	Organisational Sustainability	20
SXL002-20/21	Managing Growth and Diversity	16
SOCIAL		
SXL010-20/21	National Emergency including Pandemic	20
SXL004-20/21	Reputational Risk	12
SXL006-20/21	Staff Recruitment and Retention	9
SXL007-20/21	Corporate Social Responsibility	6
SXL008-20/21	Risk of Not Performing/Delivering	12
TECHNOLOGICAL		
ENVIRONMENTAL		
SXL009-20/21	Environmental Impact	6
LEGAL/LEGISLATIVE		

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.

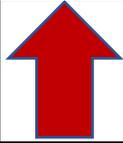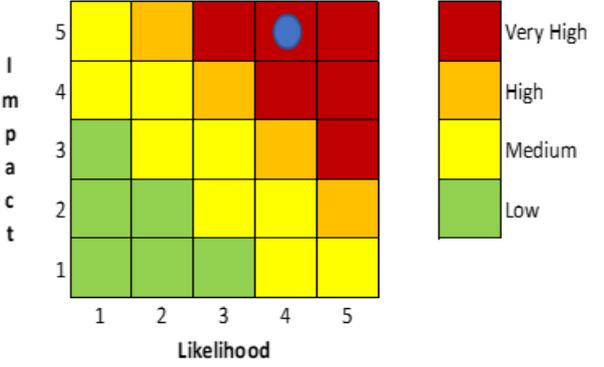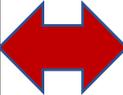| Strategic Risk Register – Risk Template	
Element	**Description**
Reference	Unique risk identifier and Risk Title
Context	Context of identified risk
Risk Statement	Description of risk
Risk Owner	Executive Team Risk Owner
Current Risk Controls	Specific risk controls currently in place
Risk Score	Risk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

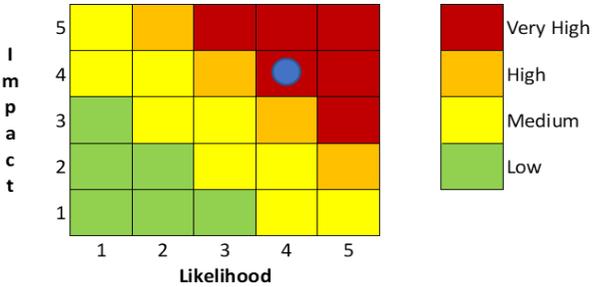## Appendix 2: - Scotland Excel Risk Register (April 2020)

Reference:	SXL010-20/21	National Emergency Including Pandemic							
Context	**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**					
				Likelihood	Impact	Residual	Trend	Original Evaluation	

Context	Risk Statement	Risk Owner	Current Risk Controls	Likelihood	Impact	Residual	Trend	Original 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	4	20	⟺	25

Risk Register Review Updates		
Date	24/01/20	n/a
	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

Linked Actions

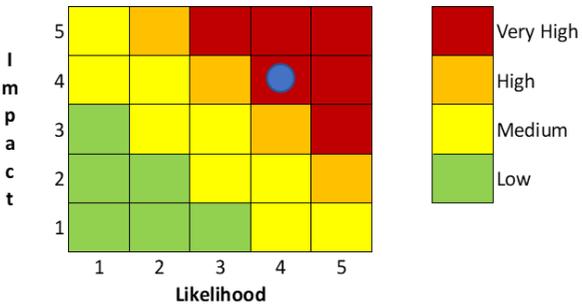| Description	Assigned To:	Due Date	Status	Notes
A return to office-based working plan for employees to be developed	SMT	31/03/21	On-going	Observing govt guidelines on social distancing – Awaiting

				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	*Complete*	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	31/12/20	On-going	Horizon Scanning group
A review of procedures in relation to initiating a working from home environment to be carried out.	SMT	30/09/20	*Complete*	
Undertake a Lessons Learned review of agile working infrastructure identifying possible improvements.	SMT	31/08/20	*Complete*	
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	*Complete*	
Carry out a review of Contract Terms and Conditions ensuring they are appropriate during National Emergency or Pandemic situations.	SMT	31/12/20	On-going	
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	*Complete*	
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	On-going	ICT Development Plan including maximization 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	On-going	ICT Development Plan including maximization of MS Teams to go to SMT
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/12/20	On-going	Horizon Scanning groups provide regular progress reports to SMT

Reference:	SXL005-20/21			Supplier Failure					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**				
					Likelihood	Impact	Residual	Trend	Original Evaluation
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		The failure of a service provider could have significant implications for service provision within member council areas.	HC	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.	5	4	20	⬆	12

Risk matrix: Impact (vertical, 1-5) vs Likelihood (horizontal, 1-5). Legend: Very High (red), High (orange), Medium (yellow), Low (green). Blue dot plotted at Likelihood 5, Impact 4.

Risk Register Review Updates			
Date	24/01/20	Severity score reduced due to mitigating work carried out and underway	
	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.	

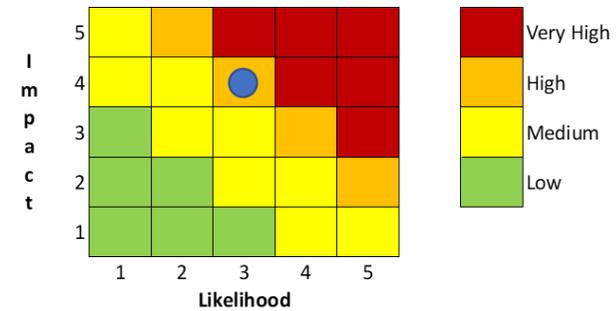| **Linked Actions**					
Description		**Assigned To:**	**Due Date**	**Status**	**Notes**

Develop robust Market Analysis Strategy across procurement categories	HC	31/03/21	On-going	
Expand supplier dialogue and comms; engage suppliers in pro-active contract management discussions; monitor emerging issues i.e. COVID; BREXIT	HC	31/03/21	On-going	
Development of contingency document in relation to potential impact of No Deal BREXIT.	SMT	31/12/20	On-going	

Reference:	SXL001-20/21			Organisational Sustainability						
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**					
					Likelihood	Impact	Residual	Trend	Original Evaluation	

Context	Risk Statement	Risk Owner	Current Risk Controls	Likelihood	Impact	Residual	Trend	Original Evaluation
Potential for local government organisations withdrawing support.\n\nRequirement to diversify and generate financial income from alternate sources\n\nCouncil budget cuts impacting upon use of services provided.	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.	JW	Continuing focus on added Core Value delivered for all member councils.\nOn-going development of projects offering new services and increasing benefits to stakeholders.\nIdentification of new opportunities to provide additional chargeable services based on customer demand.\nOngoing robust market testing of all new shared service propositions.\nOngoing robust business model is in place for all new services (cost to serve, funding/uptake forecasts).\nRegular engagement with Chief Execs, Finance Directors, Corporate Procurement Leads and Elected Members demonstrating the value added by Scotland Excel	4	5	20	⬆	16

Risk Register Review Updates

Date		
	24/01/20	Linked actions updated; Risk scores maintained at current levels
	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.

Linked Actions

Description	Assigned To:	Due Date	Status	Notes
Continuing Customer Engagement exercise with key partners	JW	31/01/21	On-going	Engagement plan in development
C.E presentation to CIPFA and SOLACE	JW	31/12/20	*Complete*	
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/12/20	On-going	7 Horizon Scanning Groups
Detailed review of project and contract opportunities	SB	31/03/21	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	On-going	Current year outturn review and impact on future funding model

Reference:	SXL003-20/21				Political Change					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**					
					Likelihood	Impact	Residual	Trend	Original 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 2020		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	24/01/20	Progress against linked actions noted; No change to Risk scores due to continuing uncertainty on Brexit	
	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	

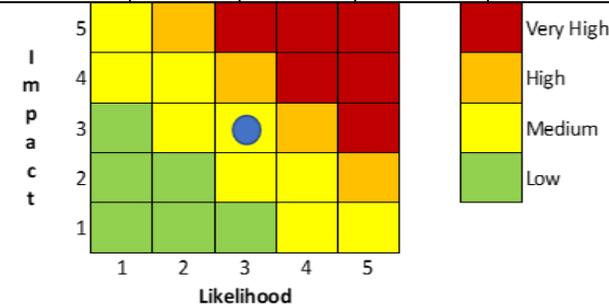| **Linked Actions**				
Description	**Assigned To:**	**Due Date**	**Status**	**Notes**
Prepare and present BREXIT paper to Exec Sub Committee	SMT	31/12/20	On-going	Impact of BREXIT being monitored
Prepare and present BREXIT paper to CEOMG	SMT	31/12/20	On-going	Impact of BREXIT being monitored
Update SXL White paper on BREXIT	SMT	31/12/20	On-going	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	On-going	Impact of COVID-19 and BREXIT continue to be monitored

Reference:	SXL002-20/21			Managing Growth and Diversity					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**				
					Likelihood	Impact	Residual	Trend	Original Evaluation
Failure to identify and manage emerging opportunities Inability to evolve service offering in a changing landscape COVID-19 has affected our ability to identify and deliver new project opportunities		There is a risk to the long-term future of the organisation if it fails to grow the portfolio of services offered to members	SB	Regular Horizon Scanning meetings help to identify market development opportunities and give the organisation time to plan for capability and capacity. 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. New project opportunities have been won across a number of councils and other public sector bodies. Employment of additional temporary marketing resource to ensure key projects/initiatives are adequately promoted.	4	4	16	⬆	12

Risk Register Review Updates			
Date	24/01/20	Progress against linked actions noted; No change to Risk scores.	
	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)	

Linked Actions				
Description		**Assigned To:**	**Due Date**	**Status**	**Notes**

Innovation management process being developed.	IMN	31/03/21	On-going	Innovation group has started meeting
Review of market competitors to be refreshed.	HC	31/12/20	On-going	Operating Plan Action, Whole organisation
Review of Business Development Strategy	SB	31/12/20	On-going	Temp Snr Business Dev. Officer appointed
Provision of General Procurement Services for Key Partners	SB	31/12/20	On-going	Managed services for councils (D&G)
Detailed review of project and contract opportunities.	SB	31/03/21	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	*Complete*	7 Horizon Scanning groups set up to look at specific elements of SXL work

Reference:	SXL004-20/21			**Reputational Risk**					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**				
					Likelihood	Impact	Residual	Trend	Original Evaluation
Negative publicity or media coverage affects the organisation and impacts stakeholders.

Negative media reports relating to a framework or service provider.

An increased need to generate positive marketing outlining Scotland Excel's role during the COVID-19 pandemic. | | Scotland Excel is faced with negative publicity or a media crisis through a service issue or failure that compromises the organisation's stakeholders | JW | 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.
Pro-active and robust engagement with press organisations to ensure positive relationships and coverage.
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
COVID-19 pandemic test of organisational resilience – minimal impact on reputation. Resilience and agility shown reflects well on reputation | **3** | **4** | **12** | (trend arrow) | **8** |

Risk Register Review Updates									
Date	24/01/20	Residual Risk and Risk Evaluation scores changed due to increasing size and range of portfolio (social care); Likelihood (3) x Severity (4)							
	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)							

Linked Actions					
Description		**Assigned To:**	**Due Date**	**Status**	**Notes**
Continuing Customer Engagement exercise with partners		JW	31/12/20	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	31/03/21	On-going	Includes growing the proportions of products sourced locally and through

				shorter supply chains to support economic recovery.

Reference:	SXL008-20/21			Risk of Not Performing/Delivering					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**				
					Likelihood	Impact	Residual	Trend	Original Evaluation
Failure to deliver in line with member council expectation. System failures impact on the ability of the organisation to deliver services. Increasing member expectations as financial challenges increase		Scotland Excel fails to perform in line with customer expectations.	SB	Approved 5 years strategy and one-year operating plan in place. A range of KPIs currently exist at contract and organisational level. These are regularly reviewed.	**3**	**4**	**12**	↓	**8**
				Regular operating plan updates to Executive Sub Committee to ensure robust governance. Regular financial period review and reporting across core and projects. Business continuity approach ensures that the organisation and its systems can operate effectively remotely Scotland Excel are providing new and improved services to member councils on an ongoing basis.					

Risk Register Review Updates		
Date	24/01/20	Linked actions updated; No change to risk score
	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)

Linked Actions				
Description	**Assigned To:**	**Due Date**	**Status**	**Notes**
Review of Member Infographic/Annual Values report	SB/HC	31/12/20	On-going	Project team in place
Continuing Customer Engagement exercise with key partners	JW	31/01/21	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:	SXL006-20/21		Staff Recruitment and Retention						

Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score					
				Likelihood	Impact	Residual	Trend	Original Evaluation	

Context	Risk Statement	Risk Owner	Current Risk Controls	Likelihood	Impact	Residual	Trend	Original Evaluation
Demand in the market for staff makes recruiting and retaining staff problematic. Recruitment massively impacted by COVID-19. Staff less likely to move during current circumstances. Pandemic making Public Sector careers more attractive	Scotland Excel encounters problems in recruiting and retaining staff of suitable skill, quality and experience to deliver the operating plan	SB	Recruitment processes reviewed and updated. PRD process reviewed and updated in consultation with Scotland Excel staff. Successful recruitment campaigns including events to be replicated. Retention measures improved including secondment opportunities and projects to enrich roles. Enhanced organisational reputation through events, partnerships and marketing. Retain Investors in People accreditation Staff turnover figures collated and presented to SMT annually	3	3	9	⬇	9

Risk Register Review Updates

Date	24/01/20	Linked actions update, Likelihood score increased due to recruitment challenges with Category Manager post.
	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.

Linked Actions

Description	Assigned To:	Due Date	Status	Notes
Exit interview process to be reviewed and issues reviewed	LC	31/12/20	On-going	Collection and reporting process development
Review of job specs and person profiles to be completed	LC	31/12/20	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 Engage. Group
Build Scotland Excel reputation beyond procurement professionals promoting other areas including the Academy	IMN	31/03/21	On-going	Being led by SXL Academy

Investigate a Procurement Conversion programme to attract professionals from other professions	SB	31/03/21	On-going	Broaden recruitment pool of candidates.
Review recruitment policy during COVID-19 pandemic	SMT	31/03/21	On-going	Recruitment being continuously reviewed – fixed term appointments only being considered

Reference:	SXL007-20/21			Corporate Social Responsibility					
Context		**Risk Statement**	**Risk Owner**	**Current Risk Controls**	**Risk Score**				
					Likelihood	Impact	Residual	Trend	Original Evaluation
Ensure that, where possible, community benefits are delivered as part of the contract portfolio. Ethical sourcing of products and supplies in the whole supply chain.		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.	HC	Management and Reporting of Community Benefits developed and embedded. Community benefit requirements issued to suppliers at tender stage. Active promotion of community benefits in delivered through our contracts. Living Wage Employer accreditation secured, used to raise awareness with stakeholders. Workforce matters and living wage considerations are built in at strategy stage. Ethical sourcing strategies provided by suppliers as part of the tender process. Co-ordination of Community Benefits Forum for partner local authorities Staff have become mentors for children in schools under MCR Pathways Partnership with Founders 4 Schools supporting CV writing, mock interviews etc. Incorporation of "Fair Work First" incorporated in to SXL frameworks	2	3	6	⬌	6

Risk Register Review Updates		
Date	24/01/20	Linked action added (Work Placements); No change to risk score
	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

Linked Actions				
Description	**Assigned To:**	**Due Date**	**Status**	**Notes**
Scotland Excel takes part in MCR (Motivation, Commitment & Resilience) pathways assisting disadvantaged young people	SMT	31/03/21	On-going	Several staff are actively involved in this initiative which continues during pandemic with social distancing

Description	Assigned To	Due Date	Status	Notes
Explore additional ways SXL can support disadvantaged young people	SMT	31/03/21	On-going	Horizon scanning group to be set up to explore options

Reference:	SXL009-20/21	Environmental Impact and Climate Change

Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Original Evaluation
Impact of organisational activity on the Environment.

Impact of Scotland Excel frameworks on the Environment

Influence of Scotland Excel on environmentally friendly public service delivery

Potential impact of Climate change on day to day operations of Scotland Excel | Reputational/legal Risk in relation to the organisation having an adverse impact on the Environment.

Reputational/legal Risk in relation to Scotland Excel frameworks having an adverse impact on the Environment

Failure to champion Environmentally friendly practices via SXL frameworks | JW | Adoption of environmentally aware office practices within Scotland Excel i.e. recycling, agile working, double sided printing etc.

Requirement for Environmental Policy, ISO certificate or equivalent for access to certain frameworks

Actions in relation to reducing carbon footprint scored in assessment for certain frameworks

Information in relation to environmental practices and plans requested across all frameworks

Sustainability testing carried out on all framework suppliers | 2 | 3 | 6 | ◄► | 6 |

Risk Register Review Updates		
Date	24/01/20	Add Climate Change to Risk title and context; Risk score reviewed – No Change
	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

Linked Actions				
Description	Assigned To:	Due Date	Status	Notes
Review of what further actions can be taken by Scotland Excel to impact organisational, supplier and partner carbon footprint reduction activity	HC	31/03/20	On-going	
New Environmental Impact horizon scanning group to be created	SB	31/12/20	Complete	Group set up and meeting regularly

Identify and participate in appropriate and relevant Environmental Groups where SXL can have influence	SMT	31/03/21	On-going	A number of SXL staff already attend environmental strategy groups