

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

Document Control 2021	
Review Dates:	05 November 2020
	27 April 2021
Exec Sub Comm.	21 May 2021
Review Dates:	19 August 2021
	28 October 2021
Exec Sub Comm.	19 November 2021
Joint Committee	10 December 2021
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		
POLITICAL		
Reference	Risk	Risk Score
SXL003-21/22	Political Change	16
ECONOMIC		
SXL005-21/22	Supplier Failure	20
SXL001-21/22	Organisational Sustainability	15
SXL002-21/22	Managing Growth and Diversity	12
SOCIAL		
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
TECHNOLOGICAL		
ENVIRONMENTAL		
SXL009-21/22	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.


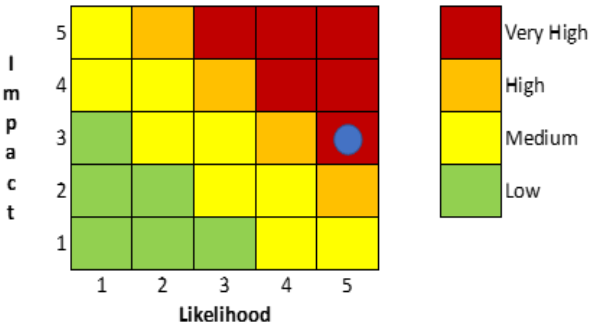
Strategic Risk Register – Risk Template	
Element	Description
Reference	Unique risk identifier and Risk Title
Context	Context of identified risk
Risk Statement	Description of risk
Risk Owner	Executive Team Risk Owner
Current Risk Controls	Specific risk controls currently in place
Risk Score	Risk assessment 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 2021)


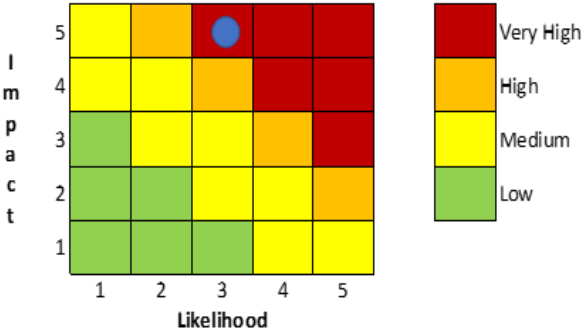
Reference: SXL005-21/22		Supplier Failure						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Financial (and other) factors impacting on resilience of suppliers. Negative reputational results across the portfolio from potential 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>5</p>	<p>4</p>	<p>20</p>		<p>12</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.							


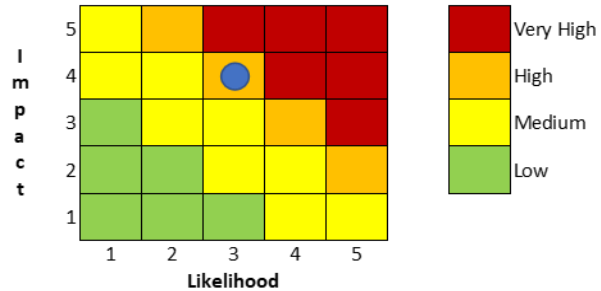
Linked Actions				
Description	Assigned To:	Due Date	Status	Notes
Develop robust Market Analysis Strategy across procurement categories	HC	30/06/21	On-going	On-going all the time – quarterly review
Expand supplier dialogue and comms; engage suppliers in pro-active contract management discussions; monitor 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	Complete	


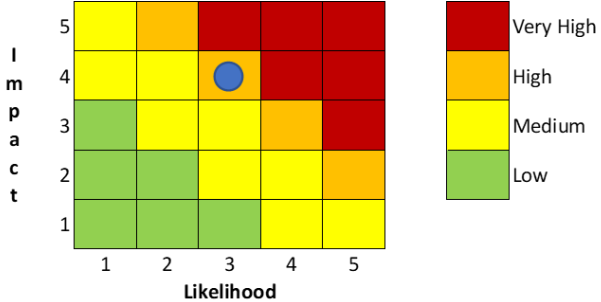
Reference:	SXL003-21/22		Political Change					
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
Legislative changes impact upon the organisation and how it must operate. Political uncertainty created by, for example, Brexit create 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 th 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
								
Risk Register Review Updates								
Date	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)						
Linked Actions								
Description			Assigned To:	Due Date	Status	Notes		
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.		


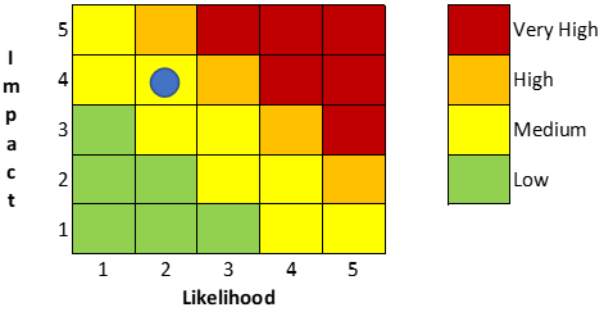
Carry out Horizon Scanning sessions to discuss and review the impact of a National Emergency or Pandemic on the identified risks of Scotland Excel and to identify any future risks to the organisation following/during the emergency	SMT	30/06/20	Complete	7 Horizon Scanning groups set up to look at specific 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	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	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.	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	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	Complete	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	Complete	ICT Development Plan including maximization of MS Teams to go to SMT
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/03/21	Complete	7 Horizon Scanning Groups


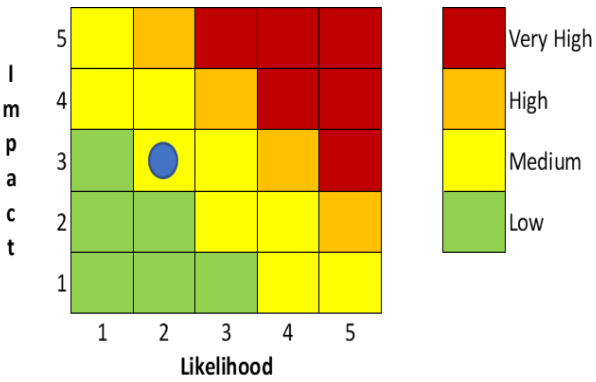
Reference: SXL001-21/22		Organisational Sustainability						
Context	Risk Statement	Risk Owner	Current Risk Controls	Risk Score				
				Likelihood	Impact	Residual	Trend	Evaluation
<p>Potential for local government organisations withdrawing support.</p> <p>Requirement to diversify and generate financial 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	Complete					
Assess feedback and outputs from Horizon Scanning Groups	SMT	31/12/20	Complete	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	Complete	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>	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	<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
								
Risk Register Review Updates								
Date	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)						
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
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	Complete	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	Complete	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
								
Risk Register Review Updates								
Date	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.						
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
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																															
				<p>5</p> <p>4</p> <p>3</p> <p>2</p> <p>1</p> <p>I m p a c t</p>	<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>Yellow</td><td>Blue</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> <tr><td></td><td></td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td></tr> </table> <p>Likelihood</p>	5	Yellow	Orange	Red	Red	Red	4	Yellow	Yellow	Orange	Red	Red	3	Green	Yellow	Blue	Orange	Red	2	Green	Green	Yellow	Yellow	Orange	1	Green	Green	Green	Yellow	Yellow			1	2
5	Yellow	Orange	Red	Red	Red																																		
4	Yellow	Yellow	Orange	Red	Red																																		
3	Green	Yellow	Blue	Orange	Red																																		
2	Green	Green	Yellow	Yellow	Orange																																		
1	Green	Green	Green	Yellow	Yellow																																		
		1	2	3	4	5																																	
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
								
Risk Register Review Updates								
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.						
Linked Actions								
Description	Assigned To:	Due Date	Status	Notes				
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					
Risk Register Review Updates								
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.						
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	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	Complete	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		