

South Ayrshire Council

**Report by Head of Legal, HR and Regulatory Services
to Leadership Panel
of 18 January 2022**

Subject: Strategic Risk Management

1. Purpose

1.1 The purpose of this report is to update Members on the reviewed Strategic Risk Register (Appendix 1) in line with the agreed reporting framework.

2. Recommendation

2.1 It is recommended that the Panel:

2.1.1 considers the reviewed Strategic Risk Register (Appendix 1) updated by Chief Officers which includes information on a new risk impacting Ash Trees; and

2.1.2 notes the 12 key risks and endorses the work currently being undertaken or proposed by risk owners to mitigate these risks.

3. Background

3.1 The Strategic Risk Register is reported in accordance with the framework within the Corporate Risk Management Strategy. South Ayrshire Council's performance in Risk Management continues to be assessed using Audit Scotland's Best Value Toolkit.

3.2 The Strategic Risk Register was reported to the Audit and Governance Panel of 1 December 2021 for scrutiny. Members endorsed the work being progressed by Risk Owners to mitigate the identified risks but requested that a further review be undertaken on the risk relating to Workforce Planning. It was agreed that this would be progressed with relevant Service Leads and Chief Officers and work is already underway in this regard.

3.3 Risk Management is also undertaken at Directorate level and within the Health and Social Care Partnership.

4. Proposals

4.1 A new risk has been identified at Directorate Level by the Service Lead in Neighbourhood Services. The issue relates to a widespread horticultural disease (Ash Tree Die Back) impacting ash trees throughout South Ayrshire which may result in a range of financial, safety and reputational risks to the organisation. It has been agreed that this issue should be added to the Strategic Risk Register due to

the wide reaching and significant implications it may have for the Council as a whole.

4.2 The Strategic Risk Register has been reviewed by Chief Officers / Risk Owners and updates provided on progress against implementation of proposed risk mitigations. 12 Strategic Risks are being managed and these are listed as follows:

	<i>Risk</i>	<i>Theme</i>
1.	Decision Making and Governance	Governance
2.	External Factors including Contingency Planning	Governance
3.	Strategic Planning – Recovery and Renew	Governance
4.	Integrity	Governance
5.	Child and Adult Protection	Protection
6.	Public/ Employee Protection	Protection
7.	Sustainable Development and Climate Change	Protection
8.	Ash Tree Die Back	Protection
9.	Financial Constraints	Resources
10.	Workforce Planning	Resources
11.	ICT – Digital Resilience, Protection and Capability	Resources
12.	Management of Assets	Resources

4.3 Full detail of strategic risk management arrangements is provided within the register (Appendix 1). Ownership is assigned to ensure there is clear accountability and responsibility in terms of risk management. The cause, potential effect, risk score and current mitigations are also recorded.

4.4 Proposed risk mitigations have a target completion date and their progress is outlined by use of a percentage completion bar in the report. A status icon is also included which indicates whether or not the specific initiative is on target.

4.5 Members are also requested to note that Chief Officers regularly consider new or emerging risks and there is a process whereby significant operational risks, managed at directorate level, can be elevated to strategic level as required.

4.6 It is anticipated that Members will consider the strategic risk management arrangements outlined within this report and be assured that there is a robust system in place for identifying and managing those threats which could have a significant impact on the successful delivery of the Council's objectives.

5. Legal and Procurement Implications

5.1 The recommendations in this report are consistent with legal requirements.

5.2 There are no procurement implications arising from this report.

6. Financial Implications

6.1 Not applicable.

7. Human Resources Implications

7.1 Not applicable.

8. Risk

8.1 *Risk Implications of Adopting the Recommendations*

8.1.1 Risks have been identified and assessed in line with the Council's Risk Management process. This report seeks to confirm that risk mitigation at Strategic level is ongoing and risks are being managed at a tolerable level.

8.2 *Risk Implications of Rejecting the Recommendations*

8.2.1 Rejecting the recommendations may give rise to external criticism, breach of statute or legal challenge.

9. Equalities

9.1 The proposals in this report allow scrutiny of performance. The report does not involve proposals for policies, strategies, procedures, processes, financial decisions and activities (including service delivery), both new and at review, that affect the Council's communities and employees, therefore an equality impact assessment is not required.

10. Sustainable Development Implications

10.1 ***Considering Strategic Environmental Assessment (SEA)*** - This report does not propose or seek approval for a plan, policy, programme or strategy or document otherwise described which could be considered to constitute a plan, programme, policy or strategy.

11. Options Appraisal

11.1 An options appraisal has not been carried out in relation to the subject matter of this report.

12. Link to Council Plan

12.1 The matters referred to in this report contribute to the delivery of all Council strategic objectives.

13. Results of Consultation

13.1 There has been no public consultation on the contents of this report.

13.2 Consultation has taken place with Councillor Peter Henderson, Portfolio Holder for Corporate, and the contents of this report reflect any feedback provided.

14. Next Steps for Decision Tracking

- 14.1 If the recommendations above are approved by Members, the Head of Legal, HR and Regulatory Services will ensure that all necessary steps are taken to ensure full implementation of the decision within the following timescales, with the completion status reported to the Leadership Panel in the 'Council and Leadership Panel Decision Log' at each of its meetings until such time as the decision is fully implemented:

<i>Implementation</i>	<i>Due date</i>	<i>Managed by</i>
Adopt recommended approach to Strategic Risk Management	31 January 2022	Service Lead – Risk and Safety




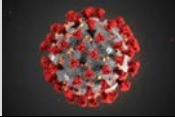








Background Papers **[Report to Audit and Governance Panel of 1 December 2021 - Strategic Risk Management](#)**

Person to Contact **Carol Boyd, Service Lead - Risk and Safety**
County Buildings, Wellington Square, Ayr, KA7 1DR
Phone 01292 613090
E-mail carol.boyd@south-ayrshire.gov.uk

Date: 10 January 2022

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1

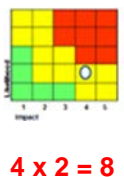
South Ayrshire Council has identified the following risks of strategic significance in line with the themes of Governance, Protection and Resources. The ongoing impact of COVID-19 in terms of response and recovery is fully considered and risk mitigations have been modified and agreed to form the basis of revisions to the Strategic Risk Register.


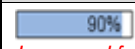




Risk Themes and Title		
Governance	Protection	Resources
1. Decision Making and Governance 	5. Adult and Child Protection 	9. Financial Constraints 
2. External Factors including Contingency Planning 	6. Public and Employee Protection 	10. Workforce Planning 
3. Strategic Planning – Recovery and Renew 	7. Sustainable Development and Climate Change 	11. ICT – Digital Resilience, Protection and Capability 
4. Integrity 	8. Grounds Maintenance - Ash Tree Die Back 	12. Management of Assets 
<p>The successful mitigation of these risks will support the delivery of the Council Plan, along with the response to, and recovery from COVID-19. Input is provided by Risk Owners identified at Strategic level to ensure clear responsibility in terms of their management. Detail is provided on risk mitigations – both current and proposed.</p> <p>Target dates are recorded in respect of the achievement of the proposed mitigations.</p>		

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 1 **Risk Title – Decision Making and Governance** **Risk Theme - Governance**

Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations
Accountable – ELT Responsible - CLT Risk Owner – Head of Legal, HR and Regulatory Services	1. There is a risk of internal control failure during the COVID-19 response and recovery phase. 2. There is a risk that key decisions are taken on behalf of the Council which may contradict agreed Council Plan objectives or increase risk exposure to the organisation.	Undertaking new areas of COVID-19 work outside normal Council governance arrangements Updates to Government legislation and advice Decrease in levels of scrutiny	Lack of compliance; Failure to meet statutory requirements; Poor best value audit. Reputational damage.		1. Arrangements have been implemented to allow remote Panels to be held during the Pandemic. 2. Members were supported with one to one training to ensure they could effectively take part in remote meetings. 3. Service Leads ensure there is full consultation with PFH's on decision-making.

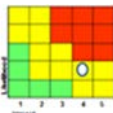
Proposed Mitigations (with dates)	Status	Progress Bar
1. Members are supported to deliver good decision making through briefings. The Service Lead – Democratic Governance reviewed arrangements for briefings for Member and Committee Services in discussion with the Leader in December 2020. The training provided to members was reviewed with specific recommendations for one to one meetings with new members to assess training needs and produce an individualised plan. Content of induction plan being discussed and meetings on induction package being set up. (February 2022)		 Increased from 85%
2. ICT are procuring and implementing a webcasting/live broadcasting solution that will allow public access. Fully remote was available from 21 September 2021. Council paper on 15 September 2021 that noted that public and press could access all remote meetings for all SAC Council meetings. Progress to be made by ICT to allow IJB and Licensing Board to be able to allow public access to remote meeting via new platform. Council agreed that once ICT testing and training complete and once protocols are agreed then Council happy to proceed with Hybrid meetings. Draft Protocol being developed and consultation to take place with Party Leaders. ICT progressing testing and training for in person and hybrid meetings. (mid November 2021)		 Increased from 65%
3. Installation of camera, recording and broadcasting equipment in County Hall to support hybrid meetings. Protocol and processes were agreed for remote meetings and are now in progress for the hybrid meetings. ICT is progressing Training and Testing for in person and hybrid meetings. (mid November 2021)		 Increased from 15%

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1

Risk 2		Risk Title – External Factors including Contingency Planning			Risk Theme - Governance	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Head of Legal, HR and Regulatory Services	There is a risk that a range of external factors out with the Council's control such as COVID-19, Brexit or other, may adversely impact on ability to fulfil Council objectives and deliver critical services.	Adverse incidents or Civil Emergencies, eg Kincaidston, Covid19 Factors imposed upon the Council such as legislative change, Government policy change, implications of Brexit, COP26, political change nationally or locally. Unanticipated updates to Government legislation and advice.	Requirement to re-allocate resources, failure to deliver services to an acceptable level or drive desired improvements. Restrictions on budget, reputational damage.	<p style="text-align: center;">5 x 2 = 10</p>	<ol style="list-style-type: none"> Continued Horizon scanning to anticipate and respond to risks – four main civil contingencies risks identified for Ayrshire this year. Watching brief and continual discussion on funding requirements for COVID but also Brexit and other emergencies. Dissemination of information to officers and members around COSLA and Chartered Institute of Public Finance and Accounting (CIPFA). Risk and Safety team supports Ayrshire Local Resilience Partnership (ALRP). The structure of the Practitioner and Strategic ALRP was refined to respond more efficiently to Ayrshire Risks. Chief Executive attends Strategic ALRP. The Level of Interaction between Health / Councils and partners has increased in response to COVID-19 and allows for increasingly efficient collaboration partnership working that can be used in all emergency planning. The HSCP Risk and Resilience Forum is well established and attended by the Service Lead – Risk and Safety and the ACCT Coordinator. 24/7 on call service in place via Civil Contingencies to respond to, and coordinate, Council emergency response to major incidents. 	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Practitioner ALRP and Strategic ALRP meet with required frequency to co-ordinate individual responses from all agencies to Covid 19, major incidents eg Kincaidston, disruptive weather, COP26 and other risks/ challenges as they present themselves. Arrangements revisited and updated to reflect risk (ongoing)						<p style="text-align: center;">90% <i>Increased from 85%</i></p>
2. Member / Officer working group was re-instituted to keep members advised on current Brexit implications. Officers attend COSLA meeting where all Councils report preparedness and raise issues. Ayrshire ALRP reported Brexit “readiness” through sub group mandated process and transition to leaving successfully completed. Members group meets regularly and is updated (ongoing.)						<p style="text-align: center;">85% <i>No change</i></p>
3. Risk and Safety Team continue to support SAC civil contingency and business continuity arrangements. Ayrshire ALRP identifies 4 concurrent civil contingencies risks that continue to be managed to support Ayrshire response. SAC civil contingencies response plan is under review in light of Covid learning. Service Leads undertake rolling review of business continuity plans on 6 monthly basis. Civil Contingencies exercises continue to be developed and rolled out (March 2022 and ongoing)						<p style="text-align: center;">90% <i>Increased from 85%</i></p>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 3		Risk Title – Strategic Planning – Recovery and Renew			Risk Theme - Governance	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Assistant Director – People	1. There is a risk that the Council fails to fulfil strategic objectives in light of COVID-19 and related pressures, and that current service, financial and resource planning is therefore not aligned. 2. A significantly negative economic impact is anticipated in light of Covid-19 which will impact on a range of Council services, particularly those who generate income including Housing, Council Tax, Tourism and Events, Sport and Leisure, Health and Wellbeing. 3. There is a risk relating to the future operating model for the Council establishment.	COVID-19. Corporate and Directorate Planning processes.	Failure to deliver on Corporate and Directorate Plans or achieve priority outcomes Failure to meet expectations of the public, partners, service users, local businesses Reputational damage Decrease in income to the Council which will detrimentally impact service areas and may impact on future delivery models	 4 x 2 =8	1.Recovery and Renew Framework approved. 2.Implementation of Operational Recovery and Renew supported by Assistant Directors and Heads of Service. 3.Plans developed from each Council Service Lead to take account of future operational delivery models 4.Existing Council Plan with clearly defined priorities is in place. 5.Delivering Good Governance framework and reporting in place. 6.Robust financial governance in place. 7.A broad range of Covid-19 mitigations are now well embedded. 8.Contingency plan developed for the re-establishment of services to support any future lockdown.	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Budget monitoring ongoing to measure full year financial impact (ongoing monthly)						 <i>Increased from 75%</i>
2. Business Continuity Plans continue to be updated by Service Leads on a 6 monthly basis. (ongoing)						 <i>Increased from 75%</i>
3. A Group has been established to consider the Council’s future operating model, with a purpose of establishing a longer term, sustainable model of working, which will include working from home, which will help us reduce the amount of buildings we occupy, present opportunities for savings and reduce our carbon footprint. Key to this will be establishing fair, flexible and supportive working arrangements to ensure staff have a good work life balance and remain healthy, engaged and productive. (March 2022)						 <i>Increased from 10%</i>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 4

Risk Title – Integrity

Risk Theme - Governance

Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Head of Legal, HR and Regulatory Services	1. There is a risk that the integrity of the Council is breached through a range of failures such as Information Security, Cyber Crime, non- compliance with the General Data Protection Regulations (GDPR), Procurement Fraud, Contractual Failures, Vetting or Financial Irregularities. (COVID-19 may exacerbate the impact of the integrity risk). 2. There is a risk of failure to maintain sources of assurance and levels of scrutiny during COVID-19 response and recovery. 3. There is a risk associated with Brexit of any data being dealt with out with UK.	Existing Council Policy or systems may be ineffective or inconsistently implemented. Lack of training or communication. Difficulty to respond timeously to FOI and GDPR requests during Pandemic as result of staff being deployed to COVID response / recovery. Additional levels of Cybercrime and Fraud because of COVID.	Reputational damage, financial loss, fines, prosecution, civil liability.	 4 x 2 = 8	1. Current policies / encryption / firewalls, specifically mandatory online Data Protection training, robust processes for reporting and dealing with data breaches. 2. Adherence to the Records Management Plan that has been agreed with the Keeper and is being implemented. 3. Standing Orders relating to Contracts and to Meetings, Scheme of Delegation, Financial Regulations, Council Procurement Policy. 4. SAC Code of Conduct, range of HR / H&S, Fleet policies, employee vetting processes. 5. Fraud Officers, Fidelity Guarantee Insurance Policy and National Fraud Initiative. 6. Internal Audit activity. 7. Establishment of Integrity Group / management of Integrity Group Risk Register. 8. Additional Communications with Staff and Public with advice re Cyber Crime and Fraud.	
Proposed Mitigations (with dates)					Status	Progress Bar
1. The actions referred to above are progressed by an Integrity Group, which monitors existing risks and identifies any new and emerging risks for SAC .The Group monitors and develops appropriate mitigations. The Chief Executive chairs the group and officers responsible for each key heading report on the risks. New Service Leads in attendance reporting on their operational area of risk (ongoing)						 85% No change
2. A risk register is being produced for the Integrity Group to monitor progress on all key risks, track progress, and minimise the Council's risk exposure. This is under development and will be reported to next Integrity Group. (March 2022)						 30% No change
3. The reporting process of the risks from Integrity Group to Members is being reviewed. Reporting mechanisms to Members by other authorities is being considered and then a paper will be taken to next integrity group - any good practice that is identified will be implemented (March 2022)						 30% No change

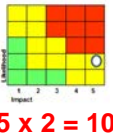
SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 5

Risk Title - Adult and Child Protection

Risk Theme – Protection

Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations
Accountable – ELT Responsible - CLT Risk Owner – Director of Health and Social Care	<p>1. There are increased levels of hidden harm in our community as a result of Covid and reduced community presence of services.</p> <p>2. There is a risk of failure to provide adequate protection and the necessary level of support to vulnerable adults and children.</p> <p>3. There is a risk that current policies linked to Adult and Child Protection are not fit for purpose. (Cross ref to HSCP Strategic Risk Register)</p>	<p>COVID-19</p> <p>More complex family and adult needs</p> <p>Quality Assurance Framework has been Absent</p>	<p>Potential harm to clients and vulnerable service users.</p> <p>Potential for litigation, financial loss or reputational damage.</p> <p>Potential for litigation, financial loss or reputational damage.</p>	 <p>5 x 2 = 10</p>	<p>1. There are monthly COG meetings to monitor the impact of Covid on public protection matters.</p> <p>2. There are monthly Public Protection sub groups (Child Protection; Adult Protection; Violence Against Women/Criminal Justice and Alcohol and Drugs Partnership) reporting into COG that are monitoring the operational context and responding in a coordinated way to issues.</p> <p>3. APC and CPC receive a Covid update at each meeting that charts the response to Covid and actions taken.</p> <p>4. HSCP Directorate Management Team meets regularly to provide leadership and oversight of response</p> <p>1. Established governance in place via Clinical and Care Governance</p> <p>2. APC and CPC meet regularly and review business plans</p> <p>3. MAPPA arrangements (including Management Oversight Group and Strategic Oversight Group) are in place and report monthly to COG</p> <p>4. The Community Services Oversight Group seeks to support the sector and provide assurance on a range of issues to key local and national stakeholders</p> <p>5. Regular updates to procedures and guidance have been shared as national Covid guidance has been published</p> <p>6. IRD activity is now audited monthly to provide scrutiny and assurance in relation to this key activity</p> <p>7. ASP Lead Officer engaging first line managers in developing our response to vulnerable adults</p> <p>8. CSWO engaging with operational staff in relation to complex cases in both adult and children's services where there are complex risk factors</p> <p>1. New CPC/APC sub group structure now established and the Policy and Performance Sub Group is leading this review work and will report progress at each meeting</p> <p>2. Governance on new policy and procedure will be via CPC/APC through to COG.</p> <p>3. Development of Practice Standards in Social Work to commence that will support the policy framework</p>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 5	Risk Title - Adult and Child Protection (Continued)	Risk Theme – Protection	
Proposed Mitigations (with dates)		Status	Progress Bar
1. Develop and implement the quality assurance framework within commissioning, building on COVID-19 additional measures and the work of the Care Home Oversight Group (31.03.22)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 60% </div> <p style="color: red; font-size: small; margin: 0;"><i>Increased from 10%</i></p>
2. Care First to be implemented across all children and adult social work teams (31.03.21)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 100% </div>
3. Full refresh of HSCP strategic and operational risk registers complete awaiting final approval from performance and audit committee. (31.06.21)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 100% </div> <p style="color: red; font-size: small; margin: 0;"><i>Increased from 80%</i></p>
4. Recruitment to strengthened commissioning and CSWO teams (target date tbc)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 95% </div> <p style="color: red; font-size: small; margin: 0;"><i>No change</i></p>
5. Learning reviews have been commissioned in relation to the ADP, Public Protection and Adult Social Work services that will identify areas for improvement (31.03.22)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 20% </div> <p style="color: red; font-size: small; margin: 0;"><i>Increased from 5%</i></p>
6. The ADP Is developing a framework in relation to risk around drug related deaths (target date tbc)			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 25% </div> <p style="color: red; font-size: small; margin: 0;"><i>No change</i></p>
7. The implementation of the transformational work within Children and Families which has been supported by the Council. Belmont family support has been commenced and the implementation of Signs of Safety is progressing in partnership with the National Signs of Safety organisation.			<div style="border: 1px solid black; width: 50px; height: 15px; background-color: #add8e6; margin-bottom: 2px;"></div> <div style="display: flex; justify-content: space-between; width: 50px;"> 66% </div> <p style="color: red; font-size: small; margin: 0;"><i>No change</i></p>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 6

Risk Title - Public and Employee Protection

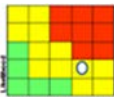
Risk Theme – Protection

Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owners – Service Lead – Risk and Safety and Service Lead – Trading Standards and Environmental Health	1. There is a risk of failure to provide the agreed standards of protection to the Public and Council Employees in line with Scottish Government and Health and Safety Executive guidance. 2. There is a risk that health & safety risk assessments in some areas may not currently identify adequate mitigations to safeguard employees / service users from hazards such as COVID-19, Violence and Aggression etc. 3. There is a risk that Public Health measures such as restrictions to local businesses or the ‘track and trace strategy’ cannot be fully achieved or may be ineffective. 4. There is a risk that proposals by Scottish Fire and Rescue Service to reduce response to fire alarms will impact people safety and property protection.	COVID-19 Budget constraints across Services. Ambiguity around roles and responsibilities or inconsistent application of policy. Lack of training.	Accident, incident, injury or ill health to employees /service users. Prosecution and Civil litigation. Damage to Council’s reputation. Financial impact of claims, increased insurance premiums or fines.	<p style="color: red; font-weight: bold;">5 x 2 = 10</p>	1. Existing H&S Policies and procedures. COVID-19 sample H&S Risk Assessments developed for Service use. H&S Guidance prepared and issued. Range of resources, information, links and training on H&S CORE page. 2. Central H&S team undertake H&S Audits and Fire Risk Assessments over a 3 year rolling programme. Risk Assessment self-evaluation process rolled out. 3. The PDR process identifies key H&S training requirements for all Council employees. 4. Healthy Working Lives (HWL) Gold Award re-accredited since 2012). 5. Risk Assessment Training & Support, plus Council Standard and a range of courses on Management of Actual or Potential Aggression, Dealing with Difficult Behaviour, De-escalation etc. 6. V&A measures across services including a Customer Security Officer, Campus Police Officers, ‘2 to attend’ protocols, panic buttons in offices, modifications to office design. 7. Protocols and systems in place within Environmental Health (EH) to manage COVID-19 related EH service delivery and provide required level of input to the commercial sector.	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Ongoing review, refresh and issue of health and safety guidance, sample risk assessments, work procedures and safe working recovery options for Council Services to utilise in light of COVID-19. (timescale - ongoing throughout response and recovery period).						<p style="color: red; font-weight: bold;">Increased from 70%</p>
2. Asset Management team will continue to review and action, based on risk priority, compliance and/or property related issues raised through Fire Risk Assessments, Health and Safety Audits and Vacant Property Inspections. (March 2022).						<p style="color: red; font-weight: bold;">Increased from 50%</p>
3. All duty holders / building managers monitoring and updating outstanding H&S actions via Pentana (March 2022)						<p style="color: red; font-weight: bold;">Increased form 75%</p>
4. Utilise self-evaluation method to ensure all Services have identified significant hazards and fully developed their H&S risk assessments – (Internal Audit Action). (March 2022).						<p style="color: red; font-weight: bold;">Increased from 25%</p>
5. Working with SFRS to agree alternative solutions to non-attendance of Fire Appliances following automated alarm signals (March 2022)						<p style="color: red; font-weight: bold;">New</p>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 7 **Risk Title - Sustainable Development and Climate Change** **Risk Theme - Protection**

Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations
Accountable – ELT Responsible - CLT Risk Owner – Service Lead Neighbourhood Services	There is a risk of failure to meet climate change duties, failure to reduce emissions and prepare for the impacts of climate change, failure to support the community to also adapt and mitigate risks in relation to climate change.	Services do not necessarily recognise the role they need to play, lack of input and accountability by services leaving key areas inadequately addressed. Decisions and infrastructure while meeting short term goals are currently not fit for the future. Actions in place are currently not fully coordinated across services.	Reduction in emissions not achieved to 1.5 degrees scenario therefore accelerating the pace of climate change. United Nations Sustainable Development Goals not adequately addressed. South Ayrshire may not adapt and be climate resilient. Effect may be further detriment to those already disadvantaged, increasing inequalities and exacerbating deprivation. Communities may be unprepared for a low carbon future.	 4 x 2 = 8	1. Council approved Climate Change Strategy 2. Baseline data on Sustainable Development and Climate Change now assembled to allow future progress to be measured. Achieved through the formation of the Carbon Management Subgroup. 3. Proposals endorsed by the MOWG now agreed at Leadership Panel and assigned for implementation.

Proposed Mitigations (with dates)	Status	Progress Bar
1. Fully implement Climate Change Strategy (target date 2024, at which point strategy will be reviewed)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 50% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">No change</p>
2. Introduce a carbon budgeting system to run alongside the council's financial budgeting system as per the Aberdeenshire model (April 2021)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 100% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">Increased from 90%</p>
3. Introduce a mechanism for cross cutting implementation of Strategy by embedding within Council policy making, as well as service planning. (revised to December 2021)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 30% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">Increased from 15%</p>
4. Adopt a net zero buildings policy to delivery on the Council's targets and duties in relation to the existing estate as well as proposed refurbishments and new builds. (December 2021)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 10% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">No change</p>
5. Adopt fleet decarbonisation strategy in line with council policy, targets and duties alongside ULEV infrastructure strategy for both fleet and public charging. (December 2021)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 20% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">No change</p>
6. Assess the Council against Scotland's Adaptation Capability Framework and set out priority actions. (March 2022)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 10% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">No change</p>
7. Adopt a green recovery communications plan and climate literacy training plan. (December 2021)		<div style="border: 1px solid #ccc; width: 100px; height: 15px; background-color: #add8e6; position: relative;"> 50% </div> <p style="font-size: 8px; color: red; margin-top: 2px;">Increased from 20%</p>

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



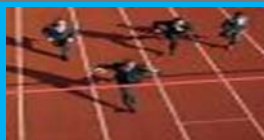
Risk 8						Risk Title - Ash Tree Dieback						Risk Theme - Protection					
Ownership		Potential Risk		Cause		Potential Effect				Risk Score		Current Mitigations					
Accountable – ELT Responsible-Asst Director Place Risk Owner – Service Lead Neighbourhood Services		There is a risk of injury / damage to SAC residents and infrastructure as a result of Ash Dieback – a disease proliferating through SAC woodland. Disease has been identified and is spreading.		Principle cause is the spread of Ash Dieback throughout South Ayrshire /Scotland. Neighbourhood Services is currently not resourced to manage the extent of Ash Die Back.		<p>Potential for fatality / injury to residents / employees.</p> <p>Potential for damage to property, listed structures, headstones, power / phone lines</p> <p>Potential of falling Ash trees/limbs on roads/pavements/ footpaths within public open space and schools and associated obstruction to roads</p> <p>Increased liability to Council in respect of above potential incidents</p> <p>Financial pressure in terms of significant increased expenditure to mitigate risk including costs for replanting, cost of recruiting skilled operatives. Availability of skilled operatives likely to be restricted by market demand - this is a national problem.</p> <p>Potential for increased flooding risks for changes in waterways e.g. banking failures due to tree failure</p> <p>Loss of Ecosystems- air quality, biodiversity loss, increases in noise levels adjacent to roads, loss of visual screens</p> <p>Increased liability and insurance premiums for residents due to property risks.</p> <p>Risk to European protected species (roosts/ food source). Loss of biodiversity of species dependant on Ash</p>				<p>5 x 2 = 10</p>		<p>1.Survey of trees within lands managed by Neighbourhood Services has commenced.</p> <p>2.Communication with ARA has taken place and regular meetings have been set up.</p> <p>3.An Ash Dieback Plan is currently being developed</p>					
Proposed Mitigations (with dates)										Status		Progress Bar					
1. Ash Dieback plan to be completed and taken to Leadership Panel for approval (31 January 2022)										▶		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #e0e0e0; position: relative;"> <div style="position: absolute; top: -2px; left: 2px; width: 100%; height: 100%; background-color: #007bff; opacity: 0.2;"></div> <div style="position: absolute; top: -2px; left: 2px; width: 100%; height: 100%; background-color: #007bff; opacity: 0.2; font-size: 8px; text-align: center; color: white;">20%</div> </div> <p style="text-align: center; color: red; font-weight: bold;">New</p>					
2. Communication plan to be developed (31 January 2022)										▶		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #e0e0e0; position: relative;"> <div style="position: absolute; top: -2px; left: 2px; width: 100%; height: 100%; background-color: #007bff; opacity: 0.2;"></div> <div style="position: absolute; top: -2px; left: 2px; width: 100%; height: 100%; background-color: #007bff; opacity: 0.2; font-size: 8px; text-align: center; color: white;">5%</div> </div> <p style="text-align: center; color: red; font-weight: bold;">New</p>					

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 9		Risk Title - Financial Constraints			Risk Theme - Resources	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Head of Finance and ICT	<p>1. There is a risk to financial resilience during COVID-19 response and recovery.</p> <p>2. There is a risk that current, planned or expected levels of service cannot be delivered.</p>	<p>COVID-19</p> <p>Strain on budget as a result of implementation of a range of measures to protect SAC residents and service users.</p> <p>UK and Scottish Government reductions in funding over a number of years.</p>	<p>Incurring additional unbudgeted COVID-19 spend – strain on reserves.</p> <p>Failure to deliver key services or meet change in service demands.</p>	<p style="color: red; font-weight: bold;">3 x 2 = 6</p>	<p>1. Annual 2021/22 budget prepared and approved in March 2021.</p> <p>2. Maintain pressure on Scottish Government to agree settlements which reflect Local Authority needs through participation in CoSLA groups.</p> <p>3. A ten Year Long Term Financial Outlook and three year Medium Term Financial Plan approved by Leadership Panel in October 2021.</p> <p>4. Annual Treasury Management Strategy prepared, reviewed by A&G panel and approved by Council March 2021. Details credit and counterparty risk.</p> <p>5. Treasury Management Practices (TMP's) updated annually to reflect Treasury risk such as credit and counterparty risk management, liquidity risk management, interest rate risk management and exchange rate risk management.</p> <p>5. Covid-19 - Appropriate financial control and authorisation mechanisms remain operational and robust budgetary control maintained to ensure appropriate monitoring of spend</p> <p>6. Covid-19 - cash reserves remain sufficient to meet immediate cost impact in tandem with SG funding announcements.</p> <p>7. Covid-19 - Initial COVID-19 cost impact assessment through Cost submission to CoSLA – resulted in additional SG funding allocations.</p> <p>8. Covid-19 – Considerable Scottish Government funding utilised to offset direct Council cost impact/loss of income</p> <p>9. Covid-19 - significant business support package previously put in place by Scottish Government to mitigate impact on business community and community in general.</p> <p>10. Covid-19 Programme of Recovery Activity 2021/22 to 2022/23 report approved by LP in June 2021 – providing resources (funded by Covid-19 reserves brought forward and 2021/22 SG funding) to meet ongoing impact of pandemic on Council Service provision.</p>	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Lobby Scottish Government through discussions via CoSLA, Directors of Finance and Solace to ensure required funding continues to be made available to Local Government (on-going).						<p style="color: red; font-weight: bold;">Increased from 60%</p>
2. Rolling annual update of three year Medium Term Financial Plan to be implemented (next update due October 2022)						
3. Bi annual update of ten year Long Term Financial Outlook to be implemented (next update due October 2023)						

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 10		Risk Title – Workforce Planning			Risk Theme - Resources	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
<p>Accountable – ELT</p> <p>Responsible - CLT</p> <p>Risk Owner – Service Lead – Human Resources</p>	<p>1. Workforce capacity and resilience may not meet additional demands through the recovery phase, particularly in critical roles. Increased employee absence as a result of COVID-19 or self-isolation could impact further. This might involve unbudgeted spend or reliance on external organisations or contractors.</p> <p>2. Implementation of UK and Scottish Government guidance/policy and procedures in relation to test and protect, isolation periods and incubation periods may vary or may be ambiguous which could impact on critical staff numbers.</p> <p>3. Employee mental wellbeing may be impacted by COVID-19 working arrangements.</p> <p>4. Effective recruitment and selection may be compromised due to the lack of face to face interviews and necessary background checking.</p>	<p>COVID-19</p> <p>Shortage of critical skills.</p>	<p>Incurring additional unbudgeted spend.</p> <p>Services may not be delivered effectively.</p> <p>Reliance on specialist or external organisations and contractors.</p>		<p>1. SAC has a range of established HR policies and procedures in place.</p> <p>2. Additional guidance has been prepared for managers and employee groups in respect of Covid19. This is regularly updated in line with expectations of Scottish Government and CoSLA.</p> <p>3. Regular consultation continues with Union Representatives on any proposed changes to guidance or policy.</p> <p>4. Occupational Health arrangements are in place, access to guidance and templates for mental wellbeing risk assessments and a variety of resources available through the 'Healthy Working Lives' initiative.</p>	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Monitoring employee absence closely with guidance given in relation to returning to work safely or working from home. (ongoing)						 No change
2. Participation in national groups to ensure a shared common understanding of national guidelines and regular communication with the Scottish Government and COSLA (ongoing)						 No change
3. Managers conducting risk assessments, maintaining contact with staff working at home and access to occupational health by telephone. (ongoing)						 No change
4. Recruitment and selection is being carried out online and in exceptional circumstances face to face. Disclosure Scotland checks now undertaken online. Managers encouraged to seek verbal references for candidates. (ongoing)						 No change

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 11					Risk Title – ICT Digital Resilience, Protection and Capability	Risk Theme - Resources
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Service Lead - ICT	There is a risk that major or widespread ICT failure will adversely affect delivery of Council services. ICT failure risks include non-compliance, failure of business systems, cyber-attack, and failure of ICT equipment.	Lack of corporate ICT planning in a robust and consistent manner. Cyber intrusion. Outdated / obsolete equipment and systems. The Business Continuity Plans of some Services lack effective arrangements for ICT loss.	Inability to provide key services and recover quickly. Reputational damage, financial loss, litigation.	<p style="text-align: center;">4 x 2 = 8</p>	1. Resilient infrastructure in place with dual data centres, duplicated network communication paths, internet links, and server hardware 2. External contracts established with service providers for technical support and expertise across critical technologies. 3. Existing Disaster Recovery Plan (DRP) in place for critical systems. Discussions remain ongoing with the NHS, EA and SA with regards to potential cross organisation data centre disaster recovery opportunities. 4. A bespoke ICT Risk Register in place, which is subject to review as part of standard operating practice. 5. The Integrity Group meets regularly to consider cyber security issues and develop further mitigations as required. 6. Compliance standards established as part of technology and process governance framework.	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Live services will be moved to McCall’s Avenue Data, which has enterprise facilities management services, with County Buildings being used for resilience purposes (Dec 2021)						<p style="color: red; font-size: small;">Increased from 10%</p>
2. Further engagement with partner authorities is required in relation to Data Centre DR plans. Further reviews of the ICT Business Continuity Plan (BCP) post COVID-19 are also required, to ensure responses for loss of all key ICT Business Systems and Infrastructure are considered and mitigated. (Dec 2022). Works delayed due to pandemic.						<p style="color: red; font-size: small;">No change</p>
3. ICT are working with a Cyber Security partner to assess the overall security of the Council’s ICT infrastructure. A range of outcomes have already been delivered including a Security Maturity Assessment that will inform an action plan as we move towards PSN compliance for our entire network. (March 2022)						<p style="color: red; font-size: small;">Increased from 50%</p>
4. All Service BC plans to include arrangements for resilience in respect of ICT failure –engagement with service areas will occur as it is likely that BC plans will require to change as result of the pandemic. (March 2022). Works delayed due to pandemic.						<p style="color: red; font-size: small;">No change</p>
5. ICT Asset Management function being established to ensure currency of technology assets is maintained. Rolling replacement plans are in place for a number of technology towers. Works to formally document an asset management plan now scheduled for completion by Dec 2022 and will be documented in the 2021/22 ICT Service Improvement Plan. Works delayed due to pandemic.						<p style="color: red; font-size: small;">Increased from 90%</p>




SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1



Risk 12	Risk Title – Management of Assets				Risk Theme - Resources	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Accountable – ELT Responsible - CLT Risk Owner – Service Leads – Asset Management and Professional Design Services	<ol style="list-style-type: none"> There is a risk that required physical modifications to Council Buildings will take time and additional resource to implement in light of Government Guidance on physical distancing and prevention of COVID-19 virus spread. All Council Buildings are affected by this if Council is to ensure recovery from pandemic and return to 'new normal'; including Office Spaces, Education establishments, Depots, Customer Contact Centres, Leisure facilities etc. There is a risk that all Council premises will not reopen fully following COVID-19 and a review of the Asset Management Plan will need to consider further Asset Rationalisation. There is a risk of delay to projects to projects within the General Services capital programme due to hyperinflation of construction costs which could impact on deliverability of the programme. There is a risk that Energy projects, for example LED lighting, that help to reduce the Council's carbon footprint are delayed leading to an inability to achieve some of the outcomes detailed in the Council's Sustainable Development and Climate Change Strategy. 	COVID-19	Impact on efficient recovery of Council services. Failure to deliver Asset Management Plan. Project delay or additional costs. Adverse incidents and compliance failure. Damage to Council's reputation.		<ol style="list-style-type: none"> SAC Recovery Plan developed which provides a prioritised list of returning Services / Premises and is subject to Chief Officer Recovery Group approvals. Property Project Team appointed to progress building assessments, agree occupancy levels and implement required physical reconfigurations within Council operational premises. Professional Design Services to continue to monitor construction costs and contractors ability to progress and deliver works. Design work on energy projects has continued to ensure that some projects were able to commence once Scottish Government restrictions were eased. 	
Proposed Mitigations (with dates)					Status	Progress Bar
1. Property Project Team will continue with building assessments across SAC operational portfolio. Services will be recovered and premises reopened in line with SAC Recovery Plan, Recovery Group approvals and Future Operating Model arrangements. (March 2022)						 Increased from 25%
2. Review Asset Management Plan, consult with stakeholders and Chief Officers prior to submitting to Council for approval. (March 2022)						 Increased from 25%
3. There is a commitment to fully review the General Services Capital programmes (March 2022)						 New
4. A number of Energy projects have commenced, whilst design work for future projects is also continuing (April 2022)						 Increased from 25%

SOUTH AYRSHIRE COUNCIL - STRATEGIC RISK REGISTER (November 2021) Appendix 1

Guidance – Recording Risks - How?

Risk No. x		Risk Title - xxxxx			Risk Theme – Resources / Protection / Governance	
Ownership	Potential Risk	Cause	Potential Effect	Risk Score	Current Mitigations	
Who is accountable and responsible for managing the risk	What could go wrong? S	What may have caused this risk? A	Possible outcomes or adverse effects? M	 P	What is already in place to manage the risk? L E	
Proposed Mitigations (with dates)					Status	Progress Bar
1. What is planned to mitigate the risk further? (and when it is due to be completed) <enter date>						 Increased from...?

A status icon (Figure 3) is displayed along with a calculation from Risk Owners on percentage completion of the mitigating actions. This information is closely scrutinised by Chief Officers via CLT and Elected Members through the Audit and Governance and Leadership Panels and this assists in determining decisions on reducing or increasing risk ratings utilising the matrix at Figure 1.

New risk identification is considered against a broad range of risk types and these are represented at Figure 2.

Risk types are cross-cutting and not considered in isolation.






Further explanation of SAC Council Risk Management Methodology is available within the [Corporate Risk Management Strategy](#)

Fig 1

Risk Themes			
Governance	Protection	Resources	
Risk Rating			
Impact		x	Likelihood
1	Minor		1 Unlikely
2	Moderate		2 Possible
3	Major		3 Likely
4	Critical		4 Very Likely
5	Catastrophic		5 Almost Certain

Fig 2



Fig 3	Status
	Completed
	On Target
	Not on target – some concerns
	Not on target – major concerns
	Not yet started