

DATA LABEL: PUBLIC



GOVERNANCE AND RISK COMMITTEE

HIGH RISKS

REPORT BY HEAD OF FINANCE AND PROPERTY SERVICES

A. PURPOSE OF REPORT

To inform the Governance and Risk Committee of the council's high risks.

B. RECOMMENDATION

It is recommended that the Governance and Risk Committee:

1. notes the council's high risks, and the action being taken to mitigate them;
2. provides feedback to officers on the risks, controls and mitigating actions.

C. SUMMARY OF IMPLICATIONS

I Council Values	Being honest, open and accountable, making best use of our resources.
II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Risk Management Policy requires the council to effectively manage risks.
III Implications for Scheme of Delegations to Officers	None.
IV Impact on performance and performance Indicators	Failure to effectively mitigate risks may have an adverse impact on performance.
V Relevance to Single Outcome Agreement	Our public services are high quality, continually improving, efficient and responsive to local people's needs.
VI Resources - (Financial, Staffing and Property)	None.
VII Consideration at PDSP	None.
VIII Other consultations	Executive Management Team, Governance and Risk Board, Heads of Service.

D. TERMS OF REPORT

The council maintains its corporate risk register on the Pentana system. Risks are scored for original risk, which is the assessed risk without controls in place, and which provides an appreciation of the potential impact if controls are absent or fail, and current risk, which assumes that current controls are in place and are effective.

Risks are assessed on the basis of a five by five grid of likelihood and impact, and therefore the lowest possible score is one and the highest is 25. The council's high risks are defined as those risks which have a current risk score of 12 or more.

The council's high risks are set out in detail in appendix one. There are now 13 high risks, one more than reported to the Committee in March 2021. Three risks have been added and two risks removed as follows:

- risk REV002 "Business rates – failure to achieve collection rates" has been added as a high risk;
- risk CSg002 "Capital programme additional costs" has been added as a high risk;
- risk CPU001 "Failure to manage the procurement plan" is now considered a high risk;
- risk WLC045 "Pandemic - failure to maintain critical services" is no longer considered to be a high risk;
- risk WLC031 "West Lothian Leisure - failure to deliver financial plan 2020/21 to 2022/23 with a resultant financial impact on the council and / or changes to the scope of services delivered by WLL" is no longer considered a high risk.

In relation to appendix one:

- the traffic light icon in the top left corner of each risk represents the risk ranking. As this is a report of high risks only, this icon is either high or medium high. The traffic light icons are explained in the table at the start of appendix one;
- there is a code, title and description for each risk;
- the original risk score represents the risk without controls in place, and provides an appreciation of the potential impact if controls are absent or fail;
- the current risk score represents the current risk, i.e. assuming that current controls are in place and effective;
- the internal controls are those processes which are currently in place and which reduce the risk from the original risk score to the current risk score;
- the risk actions are those measures which are intended to further reduce the current risk.

The risk actions have a title and code, an original due date, a revised due date, a progress bar which is an assessment of their percentage completion, and a description. The report only contains risk actions which are in progress, i.e. which are not complete. Once marked as complete, risk actions should be included as internal controls and taken account of when assessing the current risk score.

Appendix two to this report sets out the council's standard risk assessment methodology.

The council's high risks are reported on a regular basis to the Governance and Risk Board, which is an officer group which exercises oversight over the council's governance and risk management arrangements, and the Executive Management Team.

E. CONCLUSION

Regular review by the Governance and Risk Committee will assist in ensuring that the council's risks are effectively managed.

F. BACKGROUND REFERENCES

None.

Appendices/Attachments: (1) High Risks (2) Risk Assessment Methodology

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Donald Forrest
Head of Finance and Property Services

Date of meeting: 14 June 2021



Appendix 1 High Risks

Report Author: Kenneth Ribbons




Generated on: 04 June 2021 09:29


Report Layout: .. 10 (previously R09b) Original Score, Current Score, Internal Controls with linked Actions (outstanding only)

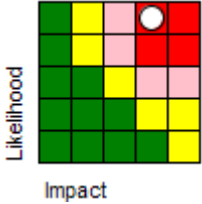




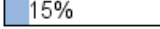
Key to Risk Scores


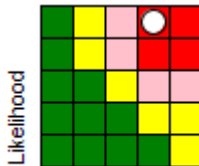
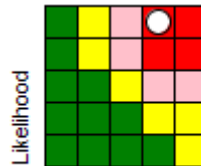

Icon	Score	Meaning
	16-25	High
	12-15	Medium High


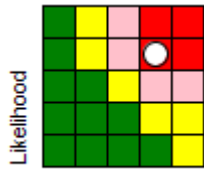
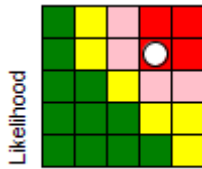
Key to Action Status


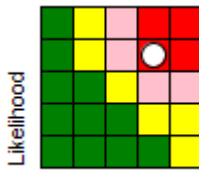
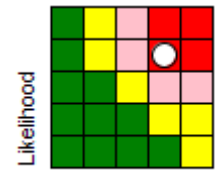
Icon	Status
	Overdue
	Approaching Due Date
	In progress


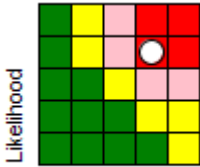
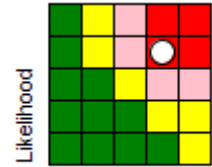
	HCBS004 Overspend of allocated Housing Need budgets	<p>Increased demand for homeless services. This may also result in an overspend of allocated budgets.</p>
<p>Current Controls:</p>	<p>Through the implementation of the 5 Year West Lothian Rapid Rehousing Plan a number of controls are in place aimed at reducing demand through prevention and increasing temporary accommodation to meet demand during the pandemic. Although there was a slight reduction in demand for homeless services for 2019/20, during 2020/21 the demand for homeless services has increased due to the pandemic . In particular there has been an increase in demand in Qu4 of 2020/21 for temporary and emergency accommodation. Due to the reduction of permanent housing options available this has resulted in longer stays in temporary accommodation. The West Lothian RRTP has been updated with the outturn position for 2020/21 and the action plan has been reviewed to ensure priorities are targeting the current position. A number of additional controls are in place as follows:</p> <p>Agreement between the council and the four main providers of social rented housing in West Lothian to allocate an average of 69% of social rented lets to homeless applicants requiring permanent accommodation for 2019/20 increased to 75% for 2020/21 in response to the pandemic. The council and RSLs are in the process of finalising target lets to homeless for 2021/22.</p> <p>Reduce use of B&B accommodation through increasing the number and capacity of Temporary Tenancies through Private Sector Leasing and sharing accommodation model.</p> <p>Reduce expenditure on homeless transport by ensuring where possible homeless families are allocated temporary tenancies within school catchment.</p> <p>Monitor length of stay in temporary accommodation, ensuring people move on to permanent accommodation as quickly as possible.</p> <p>Monitor numbers of people in hotel accommodation and reduce length of stay.</p> <p>Move to a prevention approach to homelessness to reduce demand. This will be achieved through the transition to a wider housing options approach to prevent homelessness and introduction of Personal Housing Plans as part of the implementation of the Allocations Policy review.</p>	



Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions	Original Due Date	Due Date	Progress	Description
20		20		 <p>HQSR RTP4 Overspend of Allocated Housing Need Budget - R RTP Homeless Prevention and Supply</p>	30-Mar-2024	31-Mar-2024		<p>Through actions within the Rapid Rehousing Transition Plan (R RTP) reduce the number of people presenting as homeless through shifting to a wider prevention approach and through implementation of a new approach to housing options, review of the current housing allocations policy, improved partnership working with Education, Access to Work and the Advice Shop and expansion of mediation and conflict resolution. Reduce the backlog of open homeless cases through increasing percentage of lets to homeless for 2020/21 across the social rented sector. Delivery of the balance of the 3,000 affordable houses by end March 2022 and seek Scottish Government Grant for 2022/23 and 2023/24 to ensure a minimum of 300 affordable homes be completed each year.</p>
				 <p>HQSR RTP5 Overspend of Allocated Homeless Budget Support</p>	31-Mar-2024	31-Mar-2024		<p>Through actions within the Rapid Rehousing Transition Plan (R RTP) support people to sustain their homes to prevent homelessness and support homeless people to sustain their of allocation of permanent housing. This will be delivered through a range of actions including piloting of a Housing First Service for people with addictions and a Housing First Service for young people, creation of a rapid resettlement team to assist people to successful move to permanent accommodation, and delivery of the new build unit and temporary accommodation for younger people.</p>


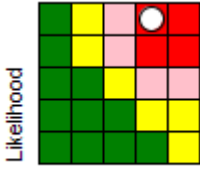
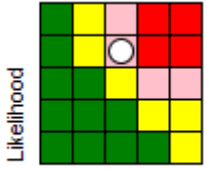
	HCBS012 Breach of statutory homeless duty	Lack of adequate accommodation due to increased demand results in Housing, Customer and Building Services (HCBS) breaching our statutory duties to accommodate unintentionally homeless people in suitable accommodation.							
		Current Controls:		Agreement by the council and 4 main housing associations to allocate an average of 69% social rented lets in 2019/20 and 75% of social rented lets in 2020/21 to homeless has helped to move families from temporary tenancies into permanent accommodation more quickly. Confirmation of agreed percentage of social rented lets to homeless for 2021/22 will be provided by end of June 2021. Through new build and open market acquisitions the council has aimed to increase its stock of larger accommodation for families to reduce bottle neck in temporary accommodation. The council monitors number of larger dispersed temporary tenancies to accommodate families to avoid use of B&B accommodation. Monitor numbers of families and pregnant females in bed and breakfast accommodation to avoid use and limit stay to below 7 days where B&B has to be used in an emergency. Prevention of homelessness through implementation of a wider housing Options approach in West Lothian. Use of flexible fund to enable families to access the private rented sector as a housing option. Increase number of PSL temporary tenancies by additional 65.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
20		20			HQSR RTP6 Breach of Statutory Homeless Duty - RTP	01-Apr-2024	01-Apr-2024	<div><div>33%</div></div>	There are a number of actions being taking forward to ensure compliance through the West Lothian Rapid Rehousing Transition Plan (R RTP) to prevent homelessness. R RTP actions also include increasing temporary accommodation in line with the R RTP targets using council and registered social landlords properties as well as the private letting leasing scheme. Increase capacity by providing temporary tenancies which can be shared by two people. New build temporary accommodation for Young People at Deans, Livingston creating 24 units. Working with the Scottish government regarding guidance on the extension of the Unsuitable Accommodation Order to all homeless people as of 1 October 2021 and mapping out current provision and future needs to comply.


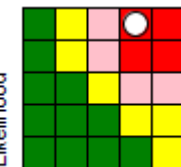
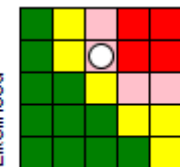

	APS007 Failure to achieve the child poverty outcome of the Anti-Poverty Strategy	Failure to effectively co-ordinate activities with national government or community planning partners may lead to failure to deliver the strategy and achieve the agreed outcomes. Scottish Government has set a target to eradicate child poverty by 2030. An interim target has been set for 2023 to reduce relative child poverty to 18%.							
Current Controls:		Anti-Poverty Strategy links to other strategic plans including the Local Outcome Improvement Plan, Children and Families Strategic Plan and the Rapid Rehousing Transition Plan The strategy has a strategic scorecard which links to the council's corporate plan and the Community Planning Partnership Plan The strategy is overseen by the Anti-Poverty Taskforce which meets 4 times per year and is chaired by a Councillor An annual action plan is agreed and there are regular updates and scrutiny at the Task Force There is an annual progress report to the CPP Board The practitioners forum meets bi-monthly with membership from the third sector, council services and community planning partners There is a statutory requirement to publish a Local Child Poverty Annual Report in partnership with NHS Lothian New Covid-19 scorecard introduced which is monitored by multi service group and reported regularly to CPP Board							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
16		16							


	CSg002 Capital programme additional costs			The combined impact of EU Exit and Covid-19 leading to supply chain constraints and increases in the price of building materials. Resulting in increases in construction costs and therefore additional costs in relation to the capital programme.					
Current Controls:				Scotland Excel are carefully managing price variation requests and holding ongoing dialogue with awarded suppliers. Ongoing supplier engagement and review and monitoring of contracts. Appraisal of projects and potential cost inflations and delivery timescales are regularly reviewed as part of the ongoing management of the capital programme.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
16		16							


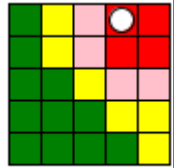
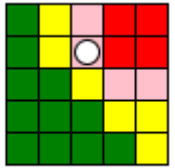
	WLC004 Political uncertainty - impacting on service delivery	Political uncertainty relates to activity or changes in respect of: local government, Scottish government, UK government, or international political circumstances which may impact on the council. An inability to plan effectively for major changes may result in an adverse impact on service delivery and financial performance.						
Current Controls:		Timely response to government consultation. Lobby via COSLA and other appropriate forums. Plans / strategies in place for major anticipated changes. Performance management system. Quarterly horizon scanning reports to Policy Development and Scrutiny Panel. Quarterly risk reporting to the Governance and Risk Committee.						
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions	Original Due Date	Due Date	Progress	Description
16		16						


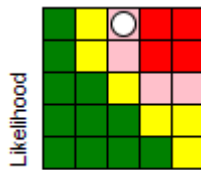
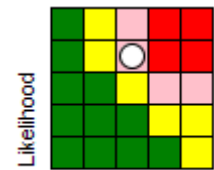
	NLCS013 Failure to control the spread of ash die back in trees across West Lothian causing an increase in dangerous trees			There is a likelihood that up to 80% of ash trees across West Lothian will become infected with ash die back disease. If left unmanaged there is a high level of risk that tree limbs and trees will fall endangering members of the public and road users. This could also cause significant financial implications as well as habitat loss.				
Current Controls:				Carried out detailed survey and report submitted to Scottish Government in January 2021 to add detail of the national picture. Woodland Management and Safety Plans are in place for the three Country Parks. The tree inspection process has been reviewed and a hierarchy approved. Woodland Management and Tree Safety Policy approved and implemented. Cyclical tree inspection process implemented. Use of appropriate contractors to do work. Roadside survey completed to identify the immediate risk. Remedial works Programme being developed for 2021/22 to undertake tree safety work in high risk areas. Action plan being developed to manage medium/long terms impacts of the disease.				
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions	Original Due Date	Due Date	Progress	Description
20	<div><div>Likelihood</div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div></div><div>Impact</div></div>	15	<div><div>Likelihood</div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div></div><div>Impact</div></div>	<div><div></div><div>NLCS20101_Ar Development of a management plan for ash die back</div></div>	31-Mar-2021	31-Mar-2021	<div><div></div><div>80%</div></div>	Once developed, the individual actions highlighted in the plan will be added to the risk


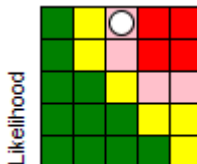
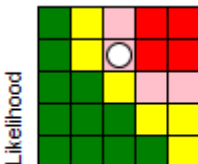

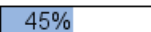

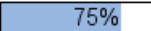
	ED014 Failure to achieve target progress and attainment levels for young people	Failure of processes in place, amplified by the impact of Covid and the resultant control measures including school closures, leading to failure to achieve target progress and attainment levels for young people, and resulting in reputational damage to the council.						
Current Controls:		Raising attainment strategies in place. Monitoring through the central Quality Improvement Team and Performance Team with updates to the Head of Service and Depute Chief Executives. Regular tracking and monitoring of attainment for children and young people across all schools from early level to senior phase. Education Scotland reports and authority school reviews (using Validate Self Assessment (VSE) approach) which are reported to committee. CLPL needs analysis identification for school staff. Devices distributed to pupils to access on line learning during remote learning periods. Quality Improvement Officers, working in partnership with school based staff, developed robust recovery curriculum maps for Health and wellbeing, literacy and numeracy to support all schools from August 2020 onwards. Quality Improvement Officers, working in partnership with school based staff, developed high quality learning, teaching and assessment approaches leading to continued progression in learning during periods of school closures. Monitoring of learner engagement across all schools during remote learning periods.						
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions	Original Due Date	Due Date	Progress	Description
20		12						


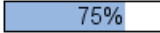
	REV001 Council Tax - failure to achieve budgeted income	Adverse external factors linked to the Coronavirus pandemic affecting recovery processes and impacting on income collection and the council's ability to deliver the financial plan for 2020/21 to 2022/23.							
Current Controls:		Income collection and level of debt for both current and previous years is monitored and reported on a monthly basis detailing monthly trends across all years for analysis and action planning. Council Tax Reduction is monitored and reported on a monthly basis detailing monthly trends cross years for analysis and action planning. Direct debit take up is monitored and reported on a monthly basis for analysis and action planning. Income from the Sheriff Officer and DWP is monitored and reported on a monthly basis detailing monthly trends across all years for analysis and action planning. Council Tax recovery action is programmed for the year in advance and sets out, month to month, the date on which specific action is to be progressed (i.e. issue of reminder notices, final notices, summary warrant notices, water direct requests to DWP). A schedule of post summary warrant action is programmed in advance and sets out, week to week, the date on which specific action is to be progressed (e.g. transfer of debt cases to and back from the Sheriff Officer, issue of applications to the DWP for attachment of debtors benefit, monitoring of summary warrant payment arrangements and default follow up action). Monthly data extracts of all debt accounts are taken from the Open Revenues and the Corporate Arrears Recovery Systems which facilitates debtor profiling. This information is reviewed and analysed monthly by the Revenues Income Improvement Group for targeted arrears action. Customer accounts where recovery action has been held due to an ongoing enquiry/dispute are reviewed monthly to ensure timely resolution and progression of action as required. A top 200 debtor report is produced monthly for review by Revenues Managers for targeted action.							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
20		12			REV21002_Ar Inhibition Actions	31-Mar-2022	31-Mar-2022	<input type="text" value="0%"/>	Identify appropriate debtor accounts for Inhibition Action to secure debt due to the Council to mitigate the impact of legal restrictions imposed as a result of the Covid-19 pandemic.


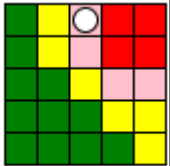
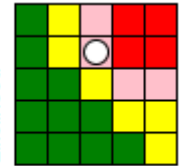

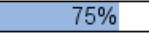

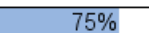
			REV21001_Ar Aged Debt Project Team	31-Jul-2021	31-Aug-2021	0%	A proposal has been put forward for additional funding to resource a project aimed at targeting aged council tax debt. The resourcing of the project is still to be approved.
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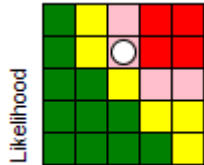
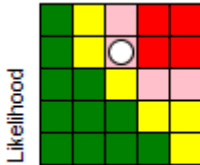

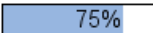
	REV002 Business rates – failure to achieve collection rates	Adverse external factors linked to the Coronavirus pandemic affecting recovery processes and impacting on income collection.							
Current Controls:		<p>Income collection and level of debt for both current and previous years is monitored and reported on a monthly basis detailing monthly trends across all years for analysis and action planning.</p> <p>Levels of rates reliefs being applied across the business rates caseload and for specific categories of businesses is monitored and reported on a monthly basis for analysis and action planning.</p> <p>Income from the Sheriff Officer is monitored and reported on a monthly basis detailing monthly trends across all years for analysis and action planning.</p> <p>Business Rates recovery action is programmed for the year in advance and sets out, month to month, the date on which specific action is to be progressed (i.e. issue of reminder notices, final notices, summary warrant notices). A schedule of post summary warrant action is programmed in advance and sets out, week to week, the date on which specific action is to be progressed (e.g. transfer of debt cases to and back from the Sheriff Officer, monitoring of summary warrant payment arrangements and default follow up action).</p> <p>Monthly data extracts of all debt accounts are taken from the Open Revenues. This information is reviewed and analysed monthly for targeted arrears action.</p> <p>Customer accounts where recovery action has been held due to an ongoing enquiry/dispute are reviewed monthly to ensure timely resolution and progression of action as required.</p>							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
20		12		▶	REV21003 Implement Monthly Reminders	01-Oct-2021	01-Oct-2021	<input type="text" value="0%"/>	Implement monthly statutory reminder notices for Business Ratepayers who fail to pay their monthly instalments

	CPU001 Failure to manage the procurement plan	Corporate Procurement Unit and service area staff resources are insufficient to deal with the volume of sourcing activity, which may result in the failure to deliver the procurement plan and/or may require contracts to be extended rather than tendered which may impact on ability to achieve best value. These resource issues may be exacerbated by internal factors such as staff absence and vacancies as well as external factors, such as Brexit and the COVID-19 Pandemic, as suppliers / contractors may fail to deliver goods / provide contracted services, either as a result of failure of the supply chain or going out of business, leading to additional work for the CPU in letting replacement contracts, and resulting in operational delays, external challenge or litigation, or failure to deliver best value. Where resource is not available in CPU there would be an impact on delivery of the workplan with resource unavailable to deliver activity.						
Current Controls:		Review of workplan and monitoring of progress. Regular progress meetings with services, either monthly or quarterly. Agreement with services on priorities and plan re-baselined where required. Put a hold on elements of work plan for critical resource issues. Procurement staff in attendance at Brexit Working Group. Comprehensive Brexit related risk register including procurement related risks. Use of flexibility available for COVID19 offered by SPPN04/20 and SPPN05/20. Recruitment to fill vacancies as they arise and/or internal secondments/backfill Report on risk to the board						
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions	Original Due Date	Due Date	Progress	Description
15		12						

	ED004 Mainstream Schools: attacks on or violence towards staff			Physical and/or verbal violence from pupils, and parents of pupils, to members of staff working in schools, leading to injury or stress.					
Current Controls:				Promoting Positive Behaviour Policy in place and applied/staff aware of policy. Restricted access to schools for parents e.g. reception area only during the school day. Risk assessment to consider security factors when meeting with parents/carers e.g. more than 1 member of staff present or alternative meeting locations considered. 4 weekly monitoring of incidents recorded in Sphera in schools by the Education Senior Management Team. Raise awareness of staff on how to deal/report violent incidents in Sphera, annual reminder at August in service day. Trainers trained in de-escalation techniques, to commence rollout of training for all staff/schools from January 2020. Rollout targeted at schools with high levels of reported incidents. Education Services Health and safety committee in place and meets on a quarterly basis (membership management /professional associations / trade unions).					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
15	 Likelihood Impact	12	 Likelihood Impact		ED20003_Ari MAPA Training Programme for Schools (Risk Actions to Monitor Progress)	30-Jun-2020	30-Jun-2022	 45%	MAPA training programme for schools has been prepared and is required to be rolled out. The decision has been taken to use an external training provider to deliver Managing Actual and Potential Aggression (MAPA) training to a team of West Lothian trainers. This will enable Education Services to become self-sufficient in the delivery of this training over time.
					ED20006_Ari Personal Safety Guidance for Education Services - Positive Behaviour Policy	30-Apr-2021	30-Jun-2021	 75%	Personal safety guidance for education staff to be covered as part of the updated Positive Behaviour Policy.

			ED20007_Ari Monitoring of SPHERA Risk Assessments for Violence to Staff	30-Apr- 2021	30-Jun- 2021	 75%	Monitoring reports to be made available from SPHERA to enable the review of the completion of risk assessments in relation to violence to staff.
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	ED005 Additional Support Needs (ASN) schools and units: attacks on or violence towards staff	Physical and/or verbal violence from pupils to members of staff working in schools, leading to injury or stress. Due to the nature of the pupils placed in ASN schools and units attached to a mainstream school it is therefore more difficult to stop an such incidents occurring. There is also potential for physical or verbal abuse from parents/carers which may lead to injury or stress.							
Current Controls:		Education Service have a 'Promoting Positive Behaviour Policy' in place for school which all staff are aware of. annual reminder at August in service day. 4 weekly monitoring of incidents in schools by the Education Senior Management Team. Raise awareness of staff on how to deal/report violent incidents in Sphera, annual reminder at August in service day. All ASN school staff have received MAPA training on how to deal with violent /aggressive incidents by young people. Restricted access to schools for parents e.g. reception area only during the school day. Risk assessment to consider security factors when meeting with parents/carers e.g. more than 1 member of staff present or alternative meeting locations to be considered. Education Services Health and safety committee in place and meets on a quarterly basis (membership management / professional associations / trade unions).							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
15		12			ED20006_Ari Personal Safety Guidance for Education Services - Positive Behaviour Policy	30-Apr-2021	30-Jun-2021	 75%	Personal safety guidance for education staff to be covered as part of the updated Positive Behaviour Policy.
					ED20007_Ari Monitoring of SPHERA Risk Assessments for Violence to Staff	30-Apr-2021	30-Jun-2021	 75%	Monitoring reports to be made available from SPHERA to enable the review of the completion of risk assessments in relation to violence to staff.

	HQS002 Failure of contractor to deliver on time resulting in time delays/additional costs re new build housing			Ineffective performance of external contractors managed by Housing Strategy and Development in delivery of the new build housing, leading to time delays, additional pressure due to failure to allocate secondary lets, increasing waiting list time and numbers, and reputational damage due to additional costs and allocation delays.					
Current Controls:				SBCC conditions of contract utilised providing mechanism to apply penalties/determination of contract. Employers Agent appointed for all new build projects. Financial evaluation of all bidders / tenders in advance of contract award. Project officer assigned to manage each project and maintain records in ERMS. Regular contractor meetings held to monitor performance. Performance Bond in place on all contracts over £1million. Mobilisation/planning period incorporated into overall project programme. Regular site inspections carried out by Clerk of Works/Project Officer and recorded.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
12		12			HCBS20008_A Increased housing supply and new build social homes for rent.	31-Mar-2021	31-Mar-2022	 75%	Work with partners to deliver new build and increased supply of social housing, implementing the Local Housing Strategy and Strategic Housing Investment Plan.



RISK ASSESSMENT METHODOLOGY

RISK MATRIX

LIKELIHOOD	Almost Certain 5	5 Low	10 Medium	15 High	20 High	25 High
	Very Likely 4	4 Low	8 Medium	12 High	16 High	20 High
	Likely 3	3 Low	6 Low	9 Medium	12 High	15 High
	Possible 2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Unlikely 1	1 Low	2 Low	3 Low	4 Low	5 Medium
		Insignificant 1	Minor 2	Significant 3	Major 4	Catastrophic 5
		IMPACT				

LIKELIHOOD TABLE

Score	Description	Estimated Percentage Chance
1	Unlikely	0-10
2	Possible	10-50
3	Likely	50-70
4	Very Likely	70-90
5	Almost Certain	90-100

Each risk is scored 1-5 for likelihood.

In assessing likelihood consider a three year time horizon and use your knowledge and experience of previous issues, both within the council and elsewhere.

IMPACT TABLE

Each risk is scored 1-5 for impact. In assessing impact each column is independent. Use the highest score.

<u>Hazard / Impact of Risk</u>	Personal safety	Property loss or damage	Regulatory / statutory / contractual	Financial loss or increased cost of working	Impact on service delivery	Personal privacy infringement	Community / environmental	Impact on Reputation
Insignificant 1	Minor injury or discomfort to an individual	Negligible property damage	None	<£10k	No noticeable impact	None	Inconvenience to an individual or small group	Contained within service unit
Minor 2	Minor injury or discomfort to several people	Minor damage to one property	Litigation, claim or fine up to £50k	£10k to £100k	Minor disruption to services	Non sensitive personal information for one individual revealed / lost	Impact on an individual or small group	Contained within service
Significant 3	Major injury to an individual	Significant damage to small building or minor damage to several properties from one source	Litigation, claim or fine £50k to £250k.	>£100k to £500k	Noticeable impact on service performance.	Non sensitive personal information for several individuals revealed / lost	Impact on a local community	Local public or press interested
Major 4	Major injury to several people	Major damage to critical building or serious damage to several properties from one source	Litigation, claim or fines £250k to £1m	>£500k to £2m	Serious disruption to service performance	Sensitive personal information for one individual revealed / lost	Impact on several communities	National public or press interest
Catastrophic 5	Death of an individual or several people	Total loss of critical building	Litigation, claim or fines above £1m or custodial sentence imposed	>£2m	Non achievement of key corporate objectives	Sensitive personal information for several individuals revealed / lost	Impact on the whole of West Lothian or permanent damage to site of special scientific interest	Officer(s) and/or members dismissed or forced to resign