

| Risk ref No | Key Risk | Desc. of Risk | Class | I Risk | Action | R Risk | Risk Deci | Resp. |
|--|---|--|-----------|--------|---|--------|-----------|-------------|
| 1. RP/0000 Connect: Accountable, effective and efficient | Scope for budgetary savings diminishes over time | Ongoing financial monitoring and probable outturn exercises will identify spend against reduced budget levels. Corrective action may be required to ensure a balanced budget. | Financial | 8 | Exercises to review and evaluate future year potential savings and achievability. Scoring matrices identify savings affecting core priorities. Future decisions will take account of this activity. Review Groups were previously created to identify areas of savings across all areas of Education. Senior Managers were involved in this process. Ongoing financial monitoring will identify growth areas causing problems. Meetings with central Finance will be held to assist in review and monitoring. | 8 | Mitigate | Lynn Sherry |
| 2. RP/0000 Connect: Accountable, effective and efficient | Reductions in revenue grant and capital funding | A reduction in overall budget allocation could lead to inability to deliver a balanced Resource budget, further cuts in service delivery, an inability to deliver on core functions and other commitments. | Financial | 8 | Reduction in budget allocation should be managed through the agreed savings process and financial strategy of the Council. Exercises to review and evaluate future year potential savings and achievability. Scoring matrices identify savings affecting core priorities. Future decisions will take account of this activity. | 7 | Mitigate | Lynn Sherry |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|---|---|--|--|----------|---|----------|-----------------|------------------------|
| <p>3. RP/0963 Connect: Accountable, effective and efficient</p> | <p>National and local efficiency targets</p> | <p>Efficiency is not a high enough priority for all Services and the commitment to tackling waste and duplication is low. This can result in operational difficulty as Services are forced into change through budgetary pressure without adequate planning and forethought.</p> | <p>Financial</p> | <p>9</p> | <p>Education Resources works to implement all five aspects of the Building a Better Scotland agenda as well as the National Diagnostic programme. The Resource is represented on the corporate procurement group. Maximising Attendance procedures are followed and monitored in all Services. The Resource has developed a comprehensive Asset Management Plan. Senior Officers contribute to the shared services agenda and Lean Working. The Resource has set up high level efficiency review groups. All services have undergone the Best Value Review process.</p> | <p>7</p> | <p>Mitigate</p> | <p>EMT</p> |
| <p>4. RP/0975 Connect: Excellent employer</p> | <p>Reduced levels of staffing and employee development</p> | <p>A significant reduction in appropriately trained and competent employees as a result of budgetary cuts can result in poor performance, ineffective change management, reduced levels of provision, closures, unsafe working practices, low morale and stress.</p> | <p>Operational, Continuity & Performance</p> | <p>7</p> | <p>Workforce planning and succession planning procedures are well established. Reviews of priorities and tasks within services will be required if budget reductions are implemented in order to ensure impact is as low as possible. Openness of savings proposals to minimise rumour and further affect morale. Guidance on managing and risk assessing stress are available. There is effective partnership working with trade unions. The resource has maintained its liP status. Learn Online has been rolled out effectively to all employees.</p> | <p>7</p> | <p>Mitigate</p> | <p>Lynn Sherry</p> |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|---|---|-------------------|----------|--|----------|-----------------|--------------------------------------|
| <p>5. RP/0974 Connect: Continue with schools modernisation</p> | <p>A Strategic Review of the Schools Modernisation Programme</p> | <p>The long term affordability of the secondary PPP contract in relation to inflationary pressures and increased running costs. A review of the primary programme as a result of budgetary pressures at all stages of the programme could result in failure to meet service user needs and expectations.</p> | <p>Assets</p> | <p>7</p> | <p>Estimated inflationary levels of inflation for PPP contract is built into the Council's annual budget setting process. Robust contractual arrangements in place and scrutiny procedures agreed. A full risk identification exercise has been completed for the PPP project. The Resource will comply with the Schools (Consultation) (Scotland) Act 2010 to give stakeholders the opportunity to comment.</p> | <p>6</p> | <p>Accept</p> | <p>Sara Fellows</p> |
| <p>6. RP/0953 Connect: Fair and Open</p> | <p>Effectiveness and compliance with the council's information governance strategy to protect and manage more effectively the information we hold/generate</p> | <p>Failure to have an effective strategy and mechanisms in place to manage and protect the information/data we hold and generate will lead to loss of trust with stakeholders and damage to the reputation of the Resource and Council. Failure to comply with legislative requirements associated with information and data management will have adverse consequences for the Council.</p> | <p>Reputation</p> | <p>8</p> | <p>Contribute to the development of the Council's information strategy. Undertake a risk assessment of information governance including data security and data transfers. Implement a records management system. Information sharing protocols are monitored. Introduce annual checklist to assist establishments and services comply with information governance, principles, values and actions.</p> | <p>5</p> | <p>Mitigate</p> | <p>Jim Gilhooly/ Des Dickson</p> |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|---|--|--|---------------|----------|---|-----------------|-----------------|---------------------|
| <p>7. RP/0951 Connect: Raise educational attainment for all</p> | <p>Levels of achievement and attainment for all</p> | <p>The availability of resources, curricular changes, leadership and wider socio-economic issues can affect levels of attainment and achievement. This applies also to adult literacy and numeracy initiatives as well as other community learning activities.</p> | <p>People</p> | <p>8</p> | <p>Curricular change is monitored and reviewed in line with the implementation of the Education Resources, Curriculum for Excellence timeline with establishments having an implementation plan.</p> <p>Progress is monitored at primary and secondary levels and actions are taken by QLOs to address any emerging issue within individual establishments. Currently attainment is at a high level across both the primary and secondary sectors.</p> <p>With the implementation of Curriculum for Excellence, there is a strong focus on CPD for teachers. Generally this is coordinated locally and supported by central resources for activities in relation to new aspects such as assessment and reporting.</p> | <p>5</p> | <p>Mitigate</p> | <p>Jim Gilhooly</p> |
|---|--|--|---------------|----------|---|-----------------|-----------------|---------------------|

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|---|--|---|---------------|----------|---|----------|-----------------|------------------------|
| <p>8. RP/0952 Connect: Raise educational attainment for all</p> | <p>Managing challenging pupil behaviour</p> | <p>Challenging behaviour can disrupt effective teaching and learning. It can affect school and individual performance, lower teacher and other employee morale and divert resources from front line provision. At an extreme level it can create risks of physical or emotional damage, increasing stress and the likelihood of liability claims.</p> | <p>People</p> | <p>8</p> | <p>Local and council-wide strategies including Better Behaviour Better Learning are developed and implemented by Senior Managers of Pupil Support and their Extended Teams. This includes partnership working with, and support for, families, liaison with local Support Services Co-ordinators to review classroom support and procedures to move children to establishments offering more specialised support if required. Data on exclusions is gathered and monitored. A range of CPD and other training is available to assist those working with children displaying challenging behaviour. Multi agency meetings such as Joint Assessment Teams provide Youth Learning and other services with information on behavioural issues. Operating Procedure A8 is in place for all schools linked to the Council's Violence at Work policy.</p> | <p>5</p> | <p>Mitigate</p> | <p>Andrea Bachelor</p> |
|---|--|---|---------------|----------|---|----------|-----------------|------------------------|

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|---|--|---------------|----------|---|-----------------|-----------------|------------------------|
| <p>9. RP/0958 Connect: Improve the lives of vulnerable children, young people and adults</p> | <p>Implementing effective anti bullying / abuse / assault procedures</p> | <p>Failure to proactively manage assault, abuse and bullying in relation to young people and /or employees can lead to serious physical or psychological injury as well as creating barriers to learning, affecting Council reputation and increasing the risk of litigation.</p> | <p>People</p> | <p>8</p> | <p>Every school has a local anti bullying policy in operation with similar initiatives in Universal Connections. Training is provided to employees in relation to recognising, reporting and managing bullying. Guidance is given to all parents and children. Education Resources recognises bullying within the scope of the ASL Act 2004 and makes provision accordingly. Treat Me Well - a new anti-bullying strategy for staff and pupils in South Lanarkshire has been developed and implemented in all establishments.</p> | <p>5</p> | <p>Mitigate</p> | <p>Andrea Bachelor</p> |
| <p>10. RP/0956 Connect: Improve lives of vulnerable children, young people and adults</p> | <p>Child Protection and other care and welfare standards</p> | <p>Failure to meet child protection requirements could result in significant harm to children. Failure to manage truancy can result in increased risks for children, lower attainment and achievement, children becoming disengaged with key services, poor results for schools and damage to the Council reputation. Failure to provide appropriate levels of care and welfare for children within school can lead to harm, injury, isolation and create barriers to learning. Failure to progress a Healthy Lifestyle agenda can lead to poor eating habits, lack of exercise and poor health as well as challenging behaviours, disruption and poor engagement.</p> | <p>People</p> | <p>9</p> | <p>Our Child Protection procedures have been inspected successfully. Ecare alert messaging is operational in all schools. All schools have a policy on notification of unauthorised pupil absence. Automated call / text systems for parents are available in all schools. Girfec is an Improvement Priority within Resource and Establishment planning. Child Protection training is available to all employees. External validation on care and welfare practices is in place via HMI / Care commission inspections. Ongoing multi agency training is available to all staff on child protection and challenging behaviour.</p> | <p>4</p> | <p>Mitigate</p> | <p>Andrea Bachelor</p> |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|---|---|---|--|----------|--|----------|-----------------|---------------------|
| <p>11. RP/0977 Connect: Accountable, effective and efficient</p> | <p>Impact of severe service disruption caused by major or emergency events</p> | <p>Lack of tested business continuity plans can seriously and immediately impact on service delivery and have the potential to disrupt all aspects of learning and teaching. Whilst the need can arise from a number of emergency situations e.g. health epidemic, fire or weather, the outcome is most likely to be a breakdown of service delivery. Further consequences can arise in relation to the impact on individual, families and the wider community.</p> | <p>Operational, Continuity & Performance</p> | <p>8</p> | <p>Clear processes for Fire Inspection and property maintenance audit are in place in all establishments. New primary schools will have fire sprinkler systems. A review of business continuity plans for HQ and other establishments is ongoing at present with the Corporate Emergency Planning Team. The Schools Modernisation programme will maintain decant properties as required throughout the remaining life of the programme. Work on detailed business continuity planning is ongoing in partnership with service managers.</p> | <p>4</p> | <p>Mitigate</p> | <p>EMT</p> |
| <p>12. RP/0971 Connect: Improve the quality of the physical environment</p> | <p>Legislative requirements in relation to property</p> | <p>The Council has a specific legal obligation to test properties in relation to water quality, fixed electrical appliances and asbestos. Failure to do so places both employees and service users at risk of injury, illness or death.</p> | <p>Regulatory / Legislative</p> | <p>8</p> | <p>A major programme of asbestos, water quality and electrical testing is underway in all establishments. Property Responsible Persons (PRPs) and other related staff have been trained in asbestos awareness. A clear and comprehensive process has been implemented for the management of sites where asbestos materials have been found.</p> | <p>4</p> | <p>Mitigate</p> | <p>Sara Fellows</p> |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|--|---|---------------------------------|----------|--|-----------------|-----------------|---------------------|
| <p>13. RP/0953 Connect: Fair and Open</p> | <p>Effectiveness of engagement with parents/carers, communities, partners and other stakeholders including public relations</p> | <p>Failure to engage effectively with stakeholders and failure to manage public relations can lead to poor or inaccurate information in the public domain damaging reputation and reducing trust. It can also lead to lack of community involvement in the decision making process.</p> | <p>Reputation</p> | <p>8</p> | <p>The Resource Communications and Consultation Policy to ensure a co-ordinated approach to engagement using a range of methods is in place and monitored. 96% of schools have Parent Councils and pupil voice is evident through Pupil Councils and the youth parliament and the views of young people in developing the youth strategy. Pandemic/health and contingency plans are in place. A wide range of national and local education specific information is shared with and views sought from parents/carers/young people through a range of methods. The VSE action incorporates developing consistency across learning communities and sharing best practice on stakeholder engagement.</p> | <p>4</p> | <p>Mitigate</p> | <p>Des Dickson</p> |
| <p>14. RP/0968 Connect: People focused</p> | <p>Legislative requirements in relation to Health and Safety</p> | <p>Failure to comply with current Health and Safety legislation and guidance can result in injury or fatalities to both employees and service users. The Council would be liable for such occurrences and as such at risk of prosecution.</p> | <p>Regulatory / Legislative</p> | <p>8</p> | <p>All establishments use the Corporate Occupational Health and Safety Management System including risk assessments. Headteachers and managers have access to a bank of risk assessments and are supported in their implementation by local Support Co-ordinators. A full audit programme of Health and Safety inspections is in place. A Resource Health and Safety Group is in place.</p> | <p>4</p> | <p>Mitigate</p> | <p>Sara Fellows</p> |

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|--|---|---------------|----------|--|----------|-----------------|-------------------------|
| <p>15. RP/0969 Connect: Improve community safety</p> | <p>Security within educational establishments</p> | <p>Vandalism, break-ins and fire increase the risk of school closures, compromise pupil safety, disrupt teaching and learning and divert resources from front-line provision. Failure to control visitor access to educational establishments can compromise the safety of children, employees and other service users. Failure to manage and maintain existing security systems such as intruder alarms and CCTV can reduce the security levels of establishments and increase local levels of anti-social behaviour and associated criminality.</p> | <p>Assets</p> | <p>8</p> | <p>100% of our secondary estate has now transferred to our PPP partners who retain responsibility for security. 59 primary schools have been modernised incorporating Secure by design standards. All other establishments have been security risk assessed and a prioritised maintenance programme established. A School Watch initiative, developed in partnership with Police and Fire Services, is in place to encourage local communities to report anti-social behaviour. An intruder alarm reporting process is in place. A revised CCTV specification and Code of Practice has been developed for all schools. A Resource Security Action Plan is in place and demonstrating improvement in key areas such as the reduced costs of vandalism. STOPHARM janitorial checklists are issued to all establishments.</p> | <p>3</p> | <p>Mitigate</p> | <p>Sara Fellows</p> |
|--|--|---|---------------|----------|--|----------|-----------------|-------------------------|

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|---|---|-----------|----------|---|----------|-----------------|---------------------|
| <p>16. RP/0965 Connect: Raise educational attainment for all</p> | <p>Ensuring ICT provision in Education meets the needs of learners and employees</p> | <p>Security issues re sharing data, systems failure and virus attack, loss of confidential or sensitive information, outdated equipment, inappropriate access, misuse of email etc, on line protection pupil guidance</p> | <p>IT</p> | <p>7</p> | <p>F1 Operating Procedure implemented in all establishments providing guidance on the use of ICT and USB devices, mobile phones and other electronic communication devices. RM's virus protect software is updated and downloaded on a frequent basis as new virus definition files are released. Regular patch management on operating systems and other software applications also carried out. Workstations refreshed throughout the lifecycle of the 3 year contract extension period (2 refreshes per Secondary and 1 per Primary). Servers are being refreshed providing schools with a robust and up-to-date ICT infrastructure supporting the needs of learning and teaching and Curriculum for Excellence.</p> | <p>3</p> | <p>Mitigate</p> | <p>Sara Fellows</p> |
|--|---|---|-----------|----------|---|----------|-----------------|---------------------|

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|--|---|--|----------|---|----------|-----------------|------------------------|
| <p>17. RP/0967 Connect: People focused</p> | <p>Legislative requirements in relation to employees and service users including children, families and young people.</p> | <p>Lack of legislative compliance in areas such as Equalities, Additional Support for Learning, DDA and Employment Law can affect service delivery, compromise the reputation of the Council and increase the risk of litigation. Also the Council may face more specific challenges under Education focused legislation such as that surrounding school closures, transport, placing requests, curricular delivery, exclusion and reducing barriers to learning.</p> | <p>Regulatory / Legislative / Reputation</p> | <p>5</p> | <p>Impact Assessment is undertaken for all new policies and procedures. Extended Teams within Learning Communities work to implement all aspects of the ASL Act at a local level. All new schools are DDA compliant. All managers receive appropriate training in relation to Employment Law related policies such as Discipline prior to implementing these. Advice on legislative requirements is available to all headteachers. Managers are kept abreast of the latest legislative framework in relation to core business. Joint negotiations and partnership working agreements with trade unions.</p> | <p>3</p> | <p>Mitigate</p> | <p>Andrea Bachelor</p> |
|--|--|---|--|----------|---|----------|-----------------|------------------------|

Education Resources

Risk Register and Control Plan 2011 / 12

| | | | | | | | | |
|--|--|---|-------------------|----------|---|-----------------|-----------------|-------------------------|
| <p>18. RP/0964 Connect: Accountable, effective and efficient</p> | <p>Demonstrating continuous improvement</p> | <p>Continuous improvement remains an overarching aim of Education Resources. The lack of an integrated performance management framework aligned to local and national priorities could result in failure to demonstrate continuous improvement or adequately measure performance at all levels of the Resource. Ultimately this would reduce both amount and quality of provision, reflected in lower numbers of positive inspection reports and other external assessment.</p> | <p>Reputation</p> | <p>9</p> | <p>Education Resources is fully committed to ensuring continuous improvement. Quality Management arrangements are being reviewed to take account of the changing resources that are available. There has been more emphasis on self evaluation, with service managers being encouraged work with staff and other colleagues to identify the strengths of their service and identify improvements that require to be taken forward in Improvement Plans. The Resource has undertaken a successful and extensive Validated Self-evaluation (VSE) exercise in partnership with HMIE/Education Scotland and has established a series of working groups to take this further forward throughout the coming year.</p> | <p>3</p> | <p>Mitigate</p> | <p>Jim Gilhooly</p> |
|--|--|---|-------------------|----------|---|-----------------|-----------------|-------------------------|