

REPORT TO: Audit and Governance Committee

MEETING DATE: 26 September 2017

BY: Chief Executive

SUBJECT: Education Risk Register

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Education Risk Register (Appendix 1) for discussion, comment and noting.
- 1.2 The Education Risk Register has been developed in keeping with the Council's Risk Management Strategy and is a live document, which is reviewed and refreshed on a regular basis, led by the Education Local Risk Working Group (LRWG).

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee notes the Education Risk Register and in doing so, the Committee is asked to note that:
 - the relevant risks have been identified and that the significance of each risk is appropriate to the current nature of the risk.
 - the total profile of the Education risk can be borne by the Council at this time in relation to the Council's appetite for risk.
 - although the risks presented are those requiring close monitoring and scrutiny over the next year, many are in fact longer term risks for Education and are likely to be a feature of the risk register over a number of years.

3 BACKGROUND

- 3.1 The Risk Register has been compiled by the Education LRWG. All risks have been evaluated using the standard (5x5) risk matrix, which involves multiplying the likelihood of occurrence of a risk (scored 1-5), by its potential impact (scored 1-5). This produces an evaluation of risk as either 'low (1-4)', 'medium' (5-9), 'high' (10-19) or 'very high' (20-25).

- 3.2 The Council's response in relation to adverse risk or its risk appetite is such that:
- Very High risk is unacceptable and measures should be taken to reduce, transfer or treat the risk to a more tolerable position;
 - High risk may be tolerable providing the Council is assured that adequate and effective control measures are in place;
 - Medium risk is tolerable with control measures that are cost effective;
 - Low risk is broadly acceptable without any further action to prevent or mitigate risk.
- 3.3 The current Education Risk Register includes 9 High risks, 8 Medium risks and 2 Low Risks. As per the Council's Risk Strategy, only the Very High and High risks are being reported to the Committee.
- 3.4 A copy of the risk matrix used to calculate the level of risk is attached as Appendix 2 for information.

4 POLICY IMPLICATIONS

- 4.1 In noting this report the Council will be ensuring that risk management principles, as detailed in the Corporate Risk Management Strategy, are embedded across the Council.

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy

6 RESOURCE IMPLICATIONS

- 6.1 Financial - It is the consideration of the Education Local Risk Working Group that the recurring costs associated with the measures in place for each risk are proportionate to the level of risk. The financial requirements to support the Risk Register for the year ahead should be met within the proposed budget allocations. Any unplanned and unbudgeted costs that arise in relation to any of the corporate risks identified will be subject to review by the Corporate Management Team.
- 6.2 Personnel - There are no immediate implications.
- 6.3 Other - Effective implementation of this register will require the support and commitment of the Risk Owners identified within the register.

7 BACKGROUND PAPERS

- 7.1 Appendix 1 – Education Risk Register

7.2 Appendix 2 – Risk Matrix

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DATE	14 September 2017

Education Risk Register v11

Date reviewed: 14 September 2017

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion/ Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
ED 1	<p>Scottish Government's Education Governance: Next Steps and proposed Education Bill</p> <p>The Implications of the Scottish Government's Education Governance: Next Steps and proposed Education Bill 2018 will impact on the role, functions and funding of the education service at Local Authority level but this is a work in progress and the detail has still to be finalised and published.</p> <p>The uniform establishment of educational regions may result in an increase in unnecessary bureaucracy and a loss of local accountability, as well as a general weakening of democratic representation.</p> <p>The current levels of devolution of responsibility are adequate and any increased devolution may result in increasing the workload and burden on schools and teachers as well as creating excessive bureaucracy, bring too much risk to school level and distract from leading teaching and learning.</p>	<p>The Education Authority will continue to carry out its legislative and statutory duties and functions to ensure Council priorities are taken forward to improve outcomes for children and their families.</p> <p>The Chief Executive and Head of Education will continue to work with Scottish Ministers in taking forward the Education Governance: Next Steps programme.</p> <p>The Head of Education will continue to liaise with Heads of Education from within the South East Alliance regional collaboration group to develop an inter-authority regional collaboration plan.</p> <p>It will slow down our impact on the delivery of the Council Plan priorities</p>	4	4	16	<p>Continue to engage at national level through meetings and seminars to ensure the Education Service is up to date with latest information on the proposals</p>	3	4	12	<p>Head of Education</p> <p>Head of Council Resources</p>	August 2018 for all		New risk created August 2017 by Education Senior Management Team.
ED 2	<p>Expansion of Early Learning and Childcare (ELCC) to 1140 hours.</p> <p>Scottish Government are implementing plans to expand ELCC to 1140 hours by 2020. Potential risk that this cannot be delivered within the timescale due to challenges of expanding within existing resource, available funds and staffing. Risk that expansion cannot be delivered due to pressures on other council departments</p> <p>Risk that quality in existing early years provision deteriorates because the focus is on the expansion.</p> <p>Reputational risk to the Council from Scottish Government reporting on progress in relation to the delivery of 1140hrs ELCC</p> <p>Parents not able to access 1140hrs of ELCC</p> <p>Financial impact in relation to resources not yet determined by the Scottish Government will have a negative impact.</p>	<p>The Education Authority will continue to develop detailed plans to take forward the expansion. Project board and associated working groups are already in place.</p> <p>The Head of Education and Quality Improvement Manager will continue to liaise with the Scottish Government and other authorities to develop further plans.</p> <p>Work underway to establish baseline of quality across all provision and ELCC across all settings will be supported and monitored by the early years team</p> <p>Head of Resources liaison through involvement in Scottish Government groups.</p>	4	4	16	<p>Continue to ensure regular planned governance meetings with focussed actions and reporting back on key priorities. Continue to review the strategic leadership and planning for full implementation by 2020. Ongoing work with other council departments to ensure key priorities can be met.</p> <p>Ongoing liaison with SG to ensure that risks are flagged and that the service is aware of expectations and demands.</p> <p>Further develop relationships with neighbouring authorities in learning from other approaches and ensuring that progress is on track.</p> <p>Ensure ongoing focus on the quality of existing provision alongside the expansion and enhance the number of staff focussed on both areas.</p>	3	4	12	<p>Head of Education</p> <p>Head of Council Resources</p> <p>Head of Finance</p> <p>Quality Improvement Manager</p>	August 2018 for all		New risk created August 2017 by Education Senior Management Team.

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ED 3	<p>Scottish Attainment Challenge – Pupil Equity Funding (PEF)</p> <p>Failure to demonstrate that the Implementation of support and interventions to address the need to close the attainment gap and improve literacy, numeracy and health & wellbeing and break the link between poverty and poor educational attainment are achieved.</p> <p>Potential for schools to put in place additional resources that fail to address the need to close the gap resulting in no improvement in those pupils for whom the funding has been provided.</p> <p>Potential risk of short-term funding being used to employ additional members of staff who through continuous service will achieve permanency in their role and the cost pressures associated with retaining them when the PEF funding ceases in four years' time. Additional budgetary pressures may arise in relation to the retention of staff who could be surplus to requirements.</p> <p>Reputational damage to the Council should schools fail to deliver a positive outcome for those children and young people the funding has been awarded to. No improvement in attainment, no closing of the attainment gap ultimately failing to meet the requirements of the Attainment Challenge</p> <p>Risk of not receiving positive inspections as there is insufficient evidence of impact on closing the attainment gap evaluated under QI 3.1 – Ensuring wellbeing, equality and inclusion. This could lead to increased scrutiny be external scrutiny bodies such as Education Scotland.</p> <p>Education Scotland provide information on education service performance as part of a Shared Risk Assessment. Failure to demonstrate improved performance could result in negative reporting within the published Audit Scotland Scrutiny Plan.</p>	<p>Head Teachers have submitted proposals on how they intend to use the funding indicating the expected impacts/outcomes it will have in relation to closing the attainment gap. The proposals have been reviewed by central Department Officers and will be monitored throughout the course of the school session to measure impact.</p> <p>Database of staff appointments being held within the department to identify those funded through PEF. Close working with HR and Finance colleagues to manage the impact this additional workforce will have longer term.</p> <p>Additional resources allocated to central Education, HR, Finance and Procurement services to support and implement the effective use of PEF.</p>				<p>Ongoing monitoring of the impact additional resources are having in relation to the supports/interventions put in place.</p> <p>Regular monitoring of additional staffing appointed under PEF as well as additional resources being incurred.</p> <p>Close liaison with Head Teachers and colleagues in Finance, HR and Procurement to support, monitor and record the additional staffing and other resources put in place.</p> <p>Quality Improvement Team will be monitoring the impact at school level through discussions with Head Teachers looking at attainment data results.</p> <p>Central management information team will be undertaking data gathering, recording, analysis to inform and measure progress in raising attainment.</p> <p>Regular meetings with Education Scotland to discuss progress.</p>				<p>Head Teachers</p> <p>Head of Education</p> <p>Quality Improvement Manager</p> <p>Service Manager Education (Strategy & Ops)</p>	<p>August 2018 for all</p>	<p>Growing our People</p>	<p>New risk created August 2017 by Education Senior Management Team.</p>
			4	4	16		3	4	12				

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ED 4	<p>Statutory Requirements</p> <p>A failure to meet our statutory requirements and other targets due to budget constraints or conversely overspending our budget in order to meet said statutory requirements and targets.</p> <p>There are increasing requirements from the Government e.g. teacher numbers guarantee and 600/1140 hours of childcare and early education and there is a need to think creatively around budget deployment to meet needs.</p> <p>If appropriate solutions are not implemented, this could result in children and young people not receiving their entitlement to education and lead to a reduction in opportunities for young people with the consequence of parental dissatisfaction and damage the reputation of the Council. The opportunity is to create new propositions and service offerings.</p>	<p>The annual budget allocation is prioritised and monitored while the Scheme of Devolved School Management determines the allocation at School level.</p> <p>Detailed budget planning measures are in place together with monthly monitoring and validation.</p> <p>Education Steering Group meets termly to review, direct and agree changes to strategy.</p> <p>Benchmarking against other authority initiatives and devolved school management schemes to ensure efficiencies.</p> <p>Working with Finance colleagues at early stage to highlight and address possible budget pressures.</p> <p>Staffing is continually monitored to ensure we meet the required Pupil to Teacher ratio at September Census point. Scottish Government monitors this. Close working with schools regarding established staffing compliments and continual updating of SEEMIS records to ensure accurate and up to date information is held.</p>	4	4	16	<p>Early Years Strategy to include required capital and revenue investment to deliver the Scottish Government's 1140hrs programme.</p> <p>Improve Head Teacher awareness of Pupil: Teacher ratios and monitor staffing levels more rigorously to mitigate against not meeting the required ratio.</p>	3	3	9	<p>Chief Executive</p> <p>Head of Education</p> <p>Service Manager – Education (Strategy & Ops)</p> <p>Head of Council Resources</p> <p>Deputy Chief Executive – Resources and People Services</p> <p>Head of Finance</p> <p>Quality Improvement Manager</p>	<p>September 2017</p> <p>September 2017</p>	<p>2</p> <p>3</p> <p>4</p>	<p>Risk further reviewed and updated August 2017 with no change to assessment of scores.</p> <p>Risk Refreshed August 2016 with no change to score.</p> <p>Refreshed September 2015 – Current Risk Score increased from 8 to 16 and residual score from 4 to 9.</p> <p>Risk reviewed August 2017 with no change to the score.</p>
ED 5	<p>Educational Attainment</p> <p>Failure to raise the standards of educational attainment for all will lead to a reduction in opportunities for young people such as entrance to Further and Higher Education or employment, with the consequence of parental dissatisfaction and damage the reputation of individual schools and the education service as a whole.</p> <p>A failure to report positive findings in relation to the four national priorities set out within the national improvement framework and in the use of Pupil Equity Funding to close the attainment gap will lead to further scrutiny by external organisations such as Audit Scotland, Education Scotland and Scottish Government and the Local Area Network.</p>	<p>Each school has a School Improvement Plan, guided by the revised annual Education Service Plan (developed and delivered by Education Steering group in consultation with key stakeholders) with target setting for attainment.</p> <p>QIOs monitor and evaluate schools while HMIE have a school inspection programme.</p> <p>Regular liaison with Education Scotland Area Lead Officer (ALO).</p> <p>Curriculum for Excellence continues to evolve in schools while Education disseminates best practice, guidelines and policies. Secondary school staff member seconded June'17 to lead on the senior phase reform to August'19.</p> <p>The Future Technologies Centre (Construction Academy) in partnership with Edinburgh College and Infrastructure Department is now open and partnership meetings with Edinburgh College in place to secure broader curriculum offer to young people across the county.</p>	4	4	16	<p>Plan to develop curriculum across all areas to improve continuity and progression in learning with the broad general education.</p> <p>Plan to improve approaches to assessment in literacy and numeracy through professional learning opportunities, Quality improvement visits and trained QAMSOs.</p> <p>New improvement targets to be set for schools to increase attainment and improve performance.</p> <p>Continue to improve the transition of young people from mainstream education to work, training, further and higher education through working with secondary schools and East Lothian Works.</p> <p>Develop an authority wide model for the Senior Phase that incorporates all elements of the curriculum.</p> <p>Continue to develop partnership arrangements with QMU and Edinburgh College to broaden the</p>	3	3	9	<p>Head of Education Quality Improvement Manager</p> <p>Quality Improvement Officers</p> <p>Head Teachers</p>	<p>August 2018 for all with</p> <p>First report to Scottish Government in Aug/Sept 2018</p> <p>August 2019</p>	<p>2</p> <p>3</p> <p>4</p>	<p>Risk further reviewed and updated August 2017 with no change to assessment of scores.</p> <p>Refreshed August 2014 with current risk score increased from 6 to 16 and residual risk score increased from 4 to 9.</p>

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		<p>School strategies are in place for increasing expectations of pupils and families (including tackling the barriers to improving achievement and ensure pupil attendance i.e. reducing the attainment gap).</p> <p>Primary School Review visits conducted session 2016-17 to inform policy development and validation of improvements in performance.</p> <p>Targeted support for schools and early year's providers is provided where a need is identified.</p> <p>Policies are in place covering Health & Wellbeing, Numeracy & Mathematics, Quality & Assurance and Learning & Teaching which will be updated to reflect recent national guidance.</p> <p>Activities to improve attainment to be reported upon at every future Education Committee as appropriate.</p> <p>A suite of data has been developed to highlight KPIs, share with schools and agree performance improvement.</p> <p>Education Steering Group will review priorities detailed in the Service Plan and update as appropriate.</p>				<p>curriculum. Ongoing as part of the DYW recommendations to be realised by 2020.</p> <p>Early Learning and Childcare Strategy to develop a career path for potential future Early Years Practitioners. Early Years 1140 hours project Board and working groups in place to take forward plans to expand and build highly qualified practitioners for early years.</p> <p>A new database system is being developed to enable schools to drill down and identify the gap in attainment and intervene at an earlier stage to close the attainment gap.</p> <p>New arrangements for quality assuring school performance being developed taking into account new national guidance such as the Pupil Equity Fund and National Improvement Framework. Review of all Education policies planned to take account of recent changes to National guidance and legislation.</p>							
ED 6	<p>Supply Teachers</p> <p>There is a nationwide shortage of supply teachers which is impacting on East Lothian. In practice this means that classes are being covered by Management. Further changes are being made to the supply system to improve efficiency of processes however this is having little impact on the number of supply vacancies filled.</p> <p>This is impacting on the quality of learners experience also on the availability of management to undertake their leadership role.</p>	<p>LNCT Group set up in addition to national COSLA working group, identifying practical solutions to the challenge.</p> <p>Continue to advertise and recruit to supply list.</p> <p>Appointment of permanent Primary supply teachers.</p> <p>Continue to work with Contact Centre to improve communication with supply teachers in order to engage their services.</p> <p>Working collaboratively with neighbouring authorities and Edinburgh University to provide an appropriate course for returners to the profession. This will be enhanced through local advertising.</p>	4	4	16	<p>The Council continues to review procedures for the appointment and deployment of supply staff including inter-authority collaboration which it is hoped will lead to a reduction in unfilled posts and Head Teachers workload.</p> <p>Via COSLA and links with Scottish Government civil servants continue to inform the national debate around teacher numbers, both permanent and supply.</p>	3	3	9	Service Manager – Education (Strategy & Ops)	<p>December 2017</p> <p>December 2017</p>	<p>2</p> <p>3</p> <p>4</p>	<p>Risk further reviewed and updated August 2017 with no change to assessment of scores.</p> <p>Residual risk score increased from 6 to 9 July 2015.</p> <p>New risk created August 2014.</p>

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ED 7	<p>IT Infrastructure</p> <p>The IT infrastructure will not be in place to support the use of digital technologies moving forward.</p> <p>A failure to address this could result in a lack of infrastructure to address the use of digital technology and impact on the ability to enhance learners' digital literacy skills.</p>	<p>Collaborative working between IT ICT and Education continues in respect of addressing the needs of schools and the wider services.</p> <p>EDIT group established and includes representatives from central IT, central Education officers and school based management and meets bi-monthly and is developing an ICT strategy and plan to maintain and improve the current ICT infrastructure within schools.</p> <p>An Education Digital IT group is in place to review the current ICT strategy and infrastructure. The current strategy identifies the required level of support and intervention within the authority and schools.</p> <p>Meeting held June 2017 with Head of Education and Service Managers to secure funding to commence IT infrastructure improvements within schools. Funding identified from within the Education Curriculum for Excellence budget and programme of works now moving forward.</p>				<p>Finalise and implement the ICT strategy which is dependent upon appropriate finance.</p> <p>Work with schools to encourage them to promote the effective use of current and future ICT resources.</p> <p>Work has started with partners to develop an on-line learning environment for all students to reflect the way young people can now learn. Connected learning network</p>				<p>Head of Education</p> <p>Service Manager Education (Strategy & Ops)</p> <p>Service Manager - IT Infrastructure</p> <p>Quality Improvement Manager</p>	December 2017 for all		<p>Risk further reviewed and updated August 2017 with no change to assessment of current scores.</p> <p>New risk created August 2016.</p>
ED 8	<p>School Estate Management</p> <p>Failure to maintain up-to-date information on the Condition and Suitability of the schools' estate may result in having insufficient data to inform planned maintenance budgets and essential building works.</p> <p>Failure to provide adequate financial and staffing resources to maintain the school estate to the required standard could result in schools falling into an unsatisfactory condition and being unsuitable for current use.</p>	<p>Rolling programme of condition and suitability surveys for the Primary schools are reported on annually to provide SPI data.</p> <p>Property Inspectors and the Asset Team identify priorities on a 3 year rolling programme and implement within available budgets. Work is prioritised on a risk management basis, addressing statutory compliance matters first (fire safety, electrical, safety DDA etc).</p> <p>Reports to Corporate Asset Group will highlight risks which cannot be managed and may impact on the operation or safety of the school estate.</p>				<p>Condition and Suitability surveys for all Primary schools are almost complete, with only newer schools to be completed for 2017/18. These are reported on annually to Scottish Government through SPI data return.</p> <p>Once all surveys are complete work will be prioritised dependant on budget availability.</p>				<p>Depute Chief Executive – Resources and People Services</p> <p>Service Manager - Engineering Services and Building Standards</p>	<p>March 2018</p> <p>March 2018</p>		<p>Risk further reviewed and updated August 2017 with no change to assessment of current scores.</p> <p>Risk refreshed June 2016.</p> <p>Risk transferred from Corporate Risk Register May 2014 then refreshed July 2014.</p>

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ED 9	<p>Changing demographics of East Lothian Population – proposed LDP housing development, population growth and pressures on schools' estate.</p> <p>Failure to respond to the changing demographics of the East Lothian population such as unexpected or unpredicted fluctuations in the make-up of the population e.g. the number of pupils with Additional Support Needs. This may lead to not having suitable school provision available and a consequent impact on children's education.</p> <p>Risk to uncertainty with forward planning for the expansion of any schools where pupil roll numbers may increase faster than projected resulting in insufficient time to plan for capacity in schools.</p>	<p>Strategic Asset and Capital Plan Management is responsible for the managing and planning for the School Estate Management. Education feed into this activity through preparation of pupil roll projections and class organisation profiles.</p> <p>Provision of the pupil roll related information is provided to Strategic Asset and Capital Plan Management.</p> <p>Regular monitoring is in place in Strategic Asset and Capital Plan Management to review programme for school requirements. Changes which may impact on capital investment are escalated to Education and Finance for consideration.</p> <p>Strong communication links with parent and governing bodies.</p> <p>Regular Education Asset Management meetings are held to manage the impact of potential housing development on the schools' estate.</p> <p>Schools' Estate Planning Officer post filled – capacity monitoring in place.</p>				<p>The Schools Estate Management plan will be updated to reflect the programme identified as a result of the proposed LDP.</p> <p>Contingency plans being developed to mitigate against risk, including recruitment of additional temporary technical staff.</p>				<p>Depute Chief Executive – Resources and People Services</p> <p>Service Manager - Education (Strategy & Ops)</p> <p>Service Manager - Strategic Asset & Capital Plan Management</p> <p>Principal Officer – Strategic Planning</p>	<p>On approval of LDP – spring 2018</p> <p>Subject to approval of recruitment of additional technical staff – by early October 2017</p>	<p>2</p> <p>3</p> <p>4</p>	<p>Risk refreshed August 2017 by Service Manager – Strategic Asset & Capital Plan Management current score increased from 8 to 12 and predictive scores from 4 to 8.</p>	
Original date produced (Version 1)		1st March 2012												
File Name		Education Risk Register										Risk Score	Overall Rating	
Original Author(s)		S Kennedy										20-25	Very High	
Current Revision Author(s)		S Kennedy										10-19	High	
Version		Date	Author(s)	Notes on Revisions									5-9	Medium
Original		1 st March 2012	S Kennedy										1-4	Low
2		19/11/12	S Kennedy	Updated following update to Risk Strategy										
3		08/01/13	S Kennedy	Updated with Education Risk Group's updates.										
4		11/04/13	S Kennedy	Updated with Education Risk Group and Management Team's updates.										
5		May 2014	S Kennedy	Risks refreshed by Education and Corporate Risk on School Estate Management Added										
6		August 2014	S Kennedy	Risks refreshed (including former risk on post replacements being removed and new risks added) by Richard Parker and Liz McLean for Property involvement and checked/updated by Head of Education.										
7		July 2015	S Kennedy	Risks refreshed (including former risks on standard of competence, service performance and replacement of director removed and new risk on safes added) by Head of Education and Service Manager – Assets.										
8		September 2015	S Kennedy	Risk relating to Property updated by Manager and split into two risks. Further refresh by Head of Education.										
9		June 2016	S Kennedy	Updated following meeting with Head of Education and Senior Staff										
10		August 2017	S Kennedy	Fully refreshed by Head of Education and Senior Staff. New Risks created on I.T. Infrastructure, Scottish										

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11		August 2017		S Kennedy		Attainment Challenge, Education Governance and Recruitment of Primary School Head Teachers. Further refreshed by Education Management with 4 new risks added on Scottish Government's Education Governance: Next Steps and proposed Education Bill, Expansion of Early Learning and Childcare (ELCC) to 1140 hours, Scottish Attainment Challenge – Pupil Equity Funding (PEF) and Recruitment of Primary School Head Teachers.							

East Lothian Council

Risk Matrix

Likelihood Description

Likelihood of Occurrence	Score	Description
Almost Certain	5	Will undoubtedly happen, possibly frequently >90% chance
Likely	4	Will probably happen, but not a persistent issue >70%
Possible	3	May happen occasionally 30-70%
Unlikely	2	Not expected to happen but is possible <30%
Remote	1	Very unlikely this will ever happen <10%

Impact Description

Impact of Occurrence	Score	Description							
		Impact on Service Objectives	Financial Impact	Impact on People	Impact on Time	Impact on Reputation	Impact on Property	Business Continuity	Legal
Catastrophic	5	Unable to function, inability to fulfill obligations.	Severe impacts on budgets (emergency Corporate measures to be taken to stabilise Council Finances)	Single or Multiple fatality within council control, fatal accident enquiry.	Serious - in excess of 2 years to recover pre-event position.	Highly damaging, severe loss of public confidence, Scottish Government or Audit Scotland involved.	Significant disruption to building, facilities or equipment (Loss of building, rebuilding required, temporary accommodation required).	Complete inability to provide service/system, prolonged downtime with no back-up in place.	Catastrophic legal, regulatory, or contractual breach likely to result in substantial fines or other sanctions.
Major	4	Significant impact on service provision.	Major impact on budgets (need for Corporate solution to be identified to resolve funding difficulty)	Number of extensive injuries (major permanent harm) to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Major adverse publicity (regional/national), major loss of confidence.	Major disruption to building, facilities or equipment (Significant part of building unusable for prolonged period of time, alternative accommodation required).	Significant impact on service provision or loss of service.	Legal, regulatory, or contractual breach, severe impact to Council.
Moderate	3	Service objectives partially achievable.	Significant impact on budgets (can be contained within overall directorate budget)	Serious injury requiring medical treatment to employee, service user or public (semi-permanent harm up to 1yr), council liable.	Considerable - between 6 months and 1 year to recover pre-event position.	Some adverse local publicity, limited damage with legal implications, elected members become involved.	Moderate disruption to building, facilities or equipment (loss of use of building for medium period).	Security support and performance of service/system borderline.	Legal, regulatory, or contractual breach, moderate impact to Council.
Minor	2	Minor impact on service objectives.	Moderate impact on budgets (can be contained within service head's budget)	Lost time due to employee injury or small compensation claim from service user or public (First aid treatment required).	Some - between 2 and 6 months to recover.	Some public embarrassment, no damage to reputation or service users.	Minor disruption to building, facilities or equipment (alternative arrangements in place and covered by insurance).	Reasonable back-up arrangements, minor downtime of service/system.	Legal, regulatory, or contractual breach, minor impact to Council.
Minimal	1	Minimal impact, no service disruption.	Minimal impact on budgets (can be contained within unit's budget)	Minor injury to employee, service user or public.	Minimal - Up to 2 months to recover.	Minor impact to council reputation of no interest to the media (Internal).	Minimal disruption to building, facilities or equipment (alternative arrangements in place).	No operational difficulties, back-up support in place and security level acceptable.	Legal, regulatory, or contractual breach, negligible impact to Council.

Risk	Impact				
	Minimal (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Remote (1)	1	2	3	4	5

Key

Risk	Low	Medium	High	Very High
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