

**REPORT TO:** Audit and Governance Committee

**MEETING DATE:** 19 February 2019

**BY:** Chief Executive

**SUBJECT:** Education Risk Register

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## **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 (Appendix 2) producing 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 10 High risks, 6 Medium risks and 3 Low Risks. Per the Council's Risk Strategy only Very High and High risks are reported to the Committee.

#### **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 LRWG 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 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 2019

7.2 Appendix 2 – Risk Matrix 2018

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<b>DESIGNATION</b>	Emergency Planning, Risk and Resilience Officer
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<b>DATE</b>	07 February 2019



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	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><b>Workforce Recruitment and Retention</b></p> <p>There is a nationwide shortage of teachers, including 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.</p> <p>East Lothian is currently expanding the School Estate which will require a significant increase in teacher numbers.</p> <p>The lack of teaching staff could impact on our statutory duty to provide a quality of education for all learners.</p>	<p>New approach to filling current vacancies including maternity leave and advertising and recruiting to supply list on an ongoing basis.</p> <p>Appointment of permanent Primary supply teachers.</p> <p>Work with Contact Centre to improve communication with supply teachers in order to engage their services.</p> <p>Teacher Workforce Group established to review and develop further arrangements for recruiting new staff.</p> <p>Work collaboratively with neighbouring authorities and Edinburgh University including provision of an appropriate course for returners to the profession which is currently being delivered and enhanced through local promotion.</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's hoped will lead to reduction in unfilled posts and Head Teachers workload.</p> <p>The Education Service is exploring alternative routes into teaching as a means to enhancing the number of qualified teachers available.</p> <p>The Service is also exploring the use of digital learning and teaching for the Secondary Sector in engagement with the E-Sgoil in the Western Isles.</p> <p>An Education Support Officer (Digital Learning) will be recruited to support taking forward new approaches to deliver the curriculum in the senior phase using digital technology.</p> <p>Civil servants (Via COSLA &amp; Scottish Government) continue to inform the national debate around permanent and supply teacher numbers.</p> <p>The Education Service is planning to review remits to free up relevant members of staff to take forward the New Routes into Teaching and undertake the Workforce Development plan.</p>	3	4	12	Head of Education	<p>August 2019</p> <p>February 2019</p> <p>May 2019</p> <p>May 2019</p> <p>Ongoing</p> <p>February 2019</p>	<p>Risk further reviewed and updated January 2019 by Head of Education with residual score increased from 9 to 12.</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>
ED 2	<p><b>Expansion of Early Learning and Childcare (ELCC) to 1140 hours.</b></p> <p>Scottish Government is 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.</p> <p>Risk that there is an impact on the quality in existing early years provision 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. Parents not able to access 1140hrs of ELCC.</p> <p>Risk that Partner Providers are not able to deliver the 1140 hours as they are no longer financially viable or meet the quality standard.</p>	<p>The Council continues to develop detailed plans and work with Scottish Government (SG) to take forward the expansion. Project board and associated working groups are in place.</p> <p>There is clear governance of the project through the 1140 hours project board to ensure careful planning, communication and monitoring of progress.</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>Scottish Government National Standard for Partnership and associated guidance in place and ongoing discussion/collaboration with partners.</p> <p>Relationships are well established with neighbouring authorities as is learning from other approaches and ensuring that progress is on track.</p>	4	4	16	<p>Continue to ensure regular planned governance meetings with focussed actions and reporting on key priorities take place.</p> <p>Continue to review the planning and preparation for full implementation by 2020.</p> <p>Ongoing work with council departments to ensure key priorities are met.</p> <p>Liaison with SG to ensure that risks are flagged and that the service is aware of expectations and demands.</p>	3	4	12	<p>Head of Education</p> <p>Head of Council Resources</p> <p>Head of Finance</p> <p>Chief Operating Officer</p>	<p>August 2019</p> <p>2020</p> <p>August 2019</p> <p>August 2019</p>	<p>Risk reviewed by Head of Education January 2019 with no change to assessment of current score.</p> <p>New risk created August 2017 by Education Senior Management Team.</p>

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		<p>Strong focus on the quality of existing provision alongside the expansion and enhancement of the number of staff focussed on both areas.</p> <p>Positive engagement with partner nursery providers of early learning and childcare to ensure planning meets the SG brief regarding parental choice, flexibility, quality and accessibility.</p> <p>Work stream groups established, including cross sector representation and network meetings to feed in to the project board to ensure collective detailed planning across service areas &amp; consider risks associated with delay.</p>										
ED 3	<p><b>Additional Support Needs</b></p> <p>Population growth across the County and increased awareness and assessment of Children and Young people's Additional Support Needs resulting in increased demand on the ASN Service Area and specialist provision.</p>	<p>The Council is monitoring and tracking the nature and level of need across all establishments in order to target resources effectively.</p> <p>Regular budget monitoring meetings with Education and Finance managers as well as school reviews to monitor and review compliance with policies and guidance.</p> <p>Key policies in place to reflect national guidance &amp; statutory duties in line with ASL Act 2009 and Equality Act 2010 and training in place to support the implementation of all new policies and guidance.</p> <p>The Educational Psychology Service resource allocation model operates across all educational establishments and is targeted at the children and young people with the greatest need.</p> <p>Accessibility Strategy (2017 -2020) and Autism Strategy are in place.</p> <p>ASN External Review completed and recommendations being taken forward.</p> <p>Increasing capacity within specialist provisions.</p> <p>Monthly monitoring of attendance, exclusion and physical restraint data at school level.</p>	4	4	16	<p>Joint work with Children's Services to develop new approaches through earlier intervention strategies reducing the number of out-with residential placements.</p> <p>Continue with monitoring and tracking ASN transport and review procedures to secure best value.</p> <p>Improved identification and reporting of the numbers of Children and Young People with ASN to inform future budgetary requirements and service needs.</p> <p>Ongoing review of Council's Additional Support Needs provision being carried out to determine current and future need.</p>	3	4	12	Head of Education	<p>December 2019</p> <p>June 2019</p> <p>June 2019</p> <p>March 2019</p>	<p>New risk identified by Acting Service Manager - Education (ASN &amp; EPS) and updated by Head of Education January 2019.</p>

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ED 4	<p><b>Changing demographics of East Lothian Population</b> – proposed LDP housing development, population growth and subsequent need to expand the 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 in the short term.</p> <p>Risk to uncertainty with forward planning for new establishments where house development completion rates are slower than expected delaying the start date for new school buildings.</p>	<p>Strategic Asset and Capital Plan Management (SACPM) is responsible for the managing and planning for the School Estate Management. Education feed into this activity by preparing pupil roll projections and class organisation profiles.</p> <p>Regular monitoring in place in SACPM Plan Management to review programme for school requirements. Changes which may impact on capital investment escalated to Education &amp; Finance for consideration.</p> <p>Strong communication links with parent councils and wider parent forums. 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>	4	4	16	<p>The Council is making provision for significant capital expenditure to provide sufficient capacity for the expansion of the schools estate. A capital programme of c.£150 Million is identified for the period to 2024, partially funded by S75 contributions from new housing development.</p> <p>A Learning Estate Investment Management plan will be created to reflect the programme being taken forward identified as a result of the LDP and set out a plan for the future sustainability and management of the whole School Estate.</p> <p>Contingency plans being developed to mitigate against risk, including recruitment of additional temporary technical staff by March 2019.</p> <p>Review of Council's Additional Support Needs Strategy.</p>	3	3	9	<p>Chief Operating Officer</p> <p>Service Manager - Strategic Asset &amp; Capital Plan Management</p>	<p>2024</p> <p>March 2019</p> <p>March 2019</p> <p>April 2019</p>	<p>Risk further reviewed and updated January 2019 with Residual Risk Score reduced from 12 to 9.</p> <p>Risk refreshed by Head of Education January 2018 with Current score increased from 12 to 16 and residual score from 8 to 12.</p> <p>Risk refreshed August 2017 by Service Manager – SA&amp;CPM current score increased from 8 to 12 and predictive scores from 4 to 8.</p>
ED 5	<p><b>School Estate Management</b></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 as well as potentially leading to increased insurance claims.</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>	3	4	12	<p>Condition and Suitability surveys for all Primary schools are almost complete, with only newer schools to be completed for 2018/19. These are reported on annually to Scottish Government through SPI data return.</p> <p>Suitability Surveys – new Government guidance has been produced, and a refresh of assessments will be conducted, these will be reported in May 2019.</p> <p>Capital bids made to get additional budget in order to upgrade and maintain to a satisfactory Condition. Ability to maintain and upgrade School buildings, dependent on approval of funding.</p>	3	3	9	<p>Depute Chief Executive – Resources and People Services</p> <p>Service Manager - Strategic Asset &amp; Capital Plan Management</p>	<p>March 2019</p> <p>May 2019</p> <p>May 2019</p>	<p>Risk further reviewed and updated January 2019 by Service Manager (Strategic Asset &amp; Capital Plan Management) with residual score increased from 8 to 9.</p> <p>Risk transferred from Corporate Risk Register May 2014 then refreshed July 2014.</p>
ED 6	<p><b>Statutory Requirements</b></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</p>	<p>Annual budget allocation is prioritised and monitored, while the Scheme of Devolved School Management determines allocation at School level.</p> <p>Detailed budget planning measures are in place together with monthly monitoring and validation.</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>Working with Head Teachers to support their understanding of financial climate impact on School Based Budgeting.</p>	3	4	12	<p>Continue to increase 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>Head of Education</p> <p>Head of Council Resources</p> <p>Deputy Chief Executive – Resources and People Services</p> <p>Head of Finance</p> <p>Chief Operating Officer</p>	<p>August 2019</p>	<p>Risk further reviewed and updated November 2018 with current risk score reduced from 16 to 12.</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 –</p>

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	dissatisfaction and damage the reputation of the Council. The opportunity is to create new propositions and service offerings.	Staffing is continually monitored to ensure we meet the required Pupil to Teacher ratio at September Census point. Close working with schools regarding established staffing compliments and continual updating of SEEMIS records to ensure accurate and up to date information is held.  Early Years Strategy includes the required capital and revenue investment to deliver the Scottish Government's 1140hrs programme.										Current Risk Score increased from 8 to 16 and residual score from 4 to 9.  Risk reviewed August 2017 with no change to the score.
ED 7	<b>Educational Attainment</b>  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 a consequence of parental dissatisfaction and damage to reputation of individual schools and the Education service.  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.	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.  More rigorous and robust approaches for quality assuring school performance have been implemented and take into account new national guidance e.g. Pupil Equity Fund and National Improvement Framework.  Curriculum frameworks have been developed across all areas to improve continuity and progression in learning with the broad general education.  School strategies 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).  A suite of data continues to be developed and refined to highlight KPIs, share with schools and agree performance improvement. Activities to improve attainment are reported at Education Committee as appropriate.  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 who are now part of the Education service.	3	4	12	New improvement targets to be set for schools to increase attainment and improve performance.  Continue to develop an authority wide model for the Senior Phase that incorporates all elements of the curriculum.  Continue to develop partnership arrangements with QMU and Edinburgh College to broaden the curriculum as part of the DYW recommendations by 2020.  Ongoing monitoring of the effectiveness of the Future Technologies Centre (Construction Academy).  East Lothian Works to work with Early Learning and Childcare Team to develop a career path for potential future Early Years Practitioners.	3	3	9	Head of Education	August 2019  August 2019  2020  June 2019  June 2019	Risk further reviewed and updated November 2018 with current risk score reduced from 16 to 12.  Risk further reviewed and updated August 2017 with no change to assessment of scores.  Refreshed August 2014 with current risk score increased from 6 to 16 and residual risk score increased from 4 to 9.
ED 8	<b>East Lothian Works (ELW) – Impact of Brexit on Grant Funding (European Social Fund - ESF)</b>  ELW relies heavily on ESF funding to support delivery of employability programmes for adults. The draft Withdrawal Agreement between UK and EU (March'18) states the UK would continue to participate in the ESF programme until 2023, meaning we would continue to receive the same level of funding as if the UK was a member of the	UK government has indicated that it is committed to ensuring there is no gap in funding in the event of a no deal. In July 2018, the UK government extended a guarantee to cover all projects, including European Social Fund Projects funded by EU under the 2014-2020 programme period. The extension means that Scottish government will continue to sign and fund new projects after EU Exit until programme closure providing additional certainty, guaranteeing investment in skills and	3	4	12	Undertaking an East Lothian Works Service Review to identify staffing levels required to maximise use of ESF funding.  Continue to monitor Brexit scenario and review implications on levels of funding if required.	2	4	8	Head of Education	March 2019  March 2019	New risk identified by Chief Operating Officer (Education) February 2019



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	EU until the end of the 2014-2020 programme period. In the event of a no deal scenario, the UK's departure from the EU would mean we would be unable to access EU funding for European Social Fund projects after exit day.	employment to the end of the current European Social Fund programme period.										
ED 9	<p><b>Management of Resources</b></p> <p>Failure to manage a delegated budget in a fair, equitable and transparent way and risk that school's budget is not deployed in accordance with best value principles. As a result financial expenditure is not well planned and resources are not used effectively to meet the needs of learners. Failure to adhere to Local Authority procurement arrangements.</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. 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 by external scrutiny bodies such as Education Scotland.</p>	<p>Clear DSM guidance is in place and support provided to HTs and Business Managers through the Education Service and Finance colleagues.</p> <p>Budget spend is monitored by the Education Service and any issues are discussed with HTs with support from the QIT as required. Budget validations carried out by Principal Officer.</p> <p>Guidance and support provided from Council Procurement team. Clear guidance available for HTs.</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. Central department officers have worked collaboratively with Head Teachers to support and challenge to ensure the proposals are robust and that they will be monitored throughout the course of the school session to measure impact.</p> <p>Database of staff appointments 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>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>	3	4	12	<p>Management of resources professional development opportunities being developed for middle leaders to build their capacity for future leadership responsibilities.</p> <p>Central management information team will be undertaking data gathering, recording, analysis to inform and measure progress in raising attainment.</p>	2	4	8	<p>Head of Education</p> <p>Chief Operating Officer</p> <p>Head Teachers</p>	<p>August 2019</p> <p>August 2019</p>	<p>Risk further reviewed February 2019 by Head of Education and Chief Operating Officer.</p> <p>Risk reviewed November 2018 with current risk score reduced from 16 to 12 and residual score reduced from 12 to 8 due to more established working practices being in place.</p> <p>New risk identified August 2017 by Education Senior Management Team.</p>

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		Quality Improvement Team monitor the impact at school level through discussions with Head Teachers and looking at attainment data results.  Regular meetings with Education Scotland Attainment Advisor to discuss and monitor progress.										
ED 10	<b>IT Infrastructure</b>  The IT infrastructure may not be sufficient to support the use of digital technologies moving forward.  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.	Collaborative working between IT ICT and Education continues in respect of addressing the needs of schools and the wider services.  Review undertaken and paper produced on Digital Learning and Teaching Strategy.  An on-line learning environment for all students to reflect the way young people can now learn is in place and proving successful.  The Council has a partnership agreement with Education Scotland Technology Team to assist with the delivery of enhancing staff and pupils' digital skills.	3	4	12	Finalise and implement the Digital Learning and Teaching Strategy which is dependent upon appropriate finance.  Work with schools to encourage them to promote the effective use of current and future ICT resources.  An Education Support Officer (Digital Learning) will be recruited to support taking forward new approaches to deliver the curriculum in the senior phase using digital technology.	2	4	8	Head of Education  Service Manager Education (Strategy & Ops)  Service Manager - IT Infrastructure  Quality Improvement Manager	August 2019  August 2019  May 2019	Risk refreshed November 2018 with no change to assessment of current scores.  Risk further reviewed and updated August 2017 with no change to assessment of current scores.  New risk created August 2016.

<b>Original date produced (Version 1)</b>	1st March 2012		
<b>File Name</b>	Education Risk Register		
<b>Original Author(s)</b>	S Kennedy		
<b>Current Revision Author(s)</b>	S Kennedy		
<b>Version</b>	<b>Date</b>	<b>Author(s)</b>	<b>Notes on Revisions</b>
12	February 2018	S Kennedy	Updates made by Head of Education and Service Manager following comments made when presented to Audit and Governance Committee.
13	November 2018	S Kennedy	Risks updated by Service Manager – Education (Strategy & Ops) and Chief Operating Officer (Education)
14	January 2019	S Kennedy	Risks updated by Principal Educational Psychologist and Service Manager (Strategic Asset & Capital Plan Management) and new risk ED1 created by Acting Service Manager - Education (ASN & EPS).
15	January 2019	S Kennedy	Risk Register updated by Head of Education and new risk added on East Lothian Works
16	February 2019	S Kennedy	Final updates made by Chief Executive and Head of Education

<b>Overall Rating</b>
<b>20-25 Very High</b>
<b>10-19 High</b>
<b>5-9 Medium</b>
<b>1-4 Low</b>

# 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				
Likelihood	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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