

**Appendix A**  
**People and Organisation Cluster**  
**Risk Register**

<b>Code</b>	P&O-001					
<b>Definition</b>	Risk to delivery of key services in the event of failures of systems, processes or capabilities					
<b>Potential Impact</b>	<b>Causes</b>	<b>Control Effectiveness</b>		<b>Current Risk Assessment</b>		
		<b>Control</b>	<b>Control Assessment</b>			
		<ul style="list-style-type: none"> <li>- Failure to deliver advice and guidance to managers</li> <li>- Breakdown in industrial relations</li> <li>- Mental health, wellbeing and engagement of employees</li> <li>- Legal risk if unable to provide correct guidance to managers</li> <li>- Increased demand on the cluster is not sustainable</li> </ul>	<ul style="list-style-type: none"> <li>- System failure</li> <li>- Lack of robust control measures, e.g. Business Continuity plans</li> <li>- Not maintaining skillset or capabilities</li> <li>- Industrial action</li> </ul>	Implementation of robust Business Continuity Plans	Partially Effective	 Impact Likelihood Very Serious Significant
				Regular meetings and collaborative working with TUs	Fully Effective	
				Cluster demand management	Partially Effective	
Cluster workforce plan	Partially Effective					
<b>Risk Owner</b>	Isla Newcombe		<b>Risk Manager</b>	Ka Kuen Mo	<b>Residual Risk Assessment</b>	
<b>Latest Note</b>	Reviewed at January P&O SMT meeting		9 January 2020	 Impact Likelihood Very serious Low		

## Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
P&O-001	People and Organisation	<ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Monitoring of casework data</li> <li>• Skills audits used to build training requirements and programmes of development</li> <li>• Managers' completing Performance Review and Development</li> <li>• Regular monitoring of peripheral staff</li> <li>• Absence reporting</li> <li>• Staff related procedures flowing from policies</li> <li>• Workforce Development Plan including training and development</li> <li>• Capability Framework implementing Guiding Principles</li> <li>• Leadership Forum</li> </ul>	<ul style="list-style-type: none"> <li>• Performance reports to Staff Governance Committee</li> <li>• Corporate Management Team (CMT) Stewardship undertakes monthly review of workforce for the future risk</li> <li>• Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register</li> <li>• Staff related policies and procedures</li> <li>• Strategic Workforce Plan</li> <li>• Data Protection processes</li> <li>• Consultation and legislative tracker to horizon scan for changes in the law</li> <li>• Audit, Risk and Scrutiny Committee oversight of risk management system</li> </ul>	<ul style="list-style-type: none"> <li>• COSLA – national negotiating body via SJC and SNCT.</li> <li>• Scottish Government – checking compliance with national initiatives e.g. Early Years Expansion, Pupil Equity Fund</li> <li>• Chartered Institute of Personnel Development (CIPD) / ACAS-- professional bodies available for benchmarking / best practice advice and guidance</li> <li>• Society of Personnel and Development Scotland (SPDS) – professional body available for benchmarking / best practice advice and guidance and links into COSLA</li> <li>• Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee covering workforce related matters such as VSER</li> <li>• Her Majesty's Inspectorate of Education (HMiE) reports – use a sampling strategy for inspections across school leadership and learning and teaching</li> <li>• GTC/SSSC- set out registration requirements for specific parts of the workforce</li> <li>• Employer Accreditations including Quality of Working lives, IYYP, Disability</li> </ul>

				<p>Confident, Armed Forces Covenant</p> <ul style="list-style-type: none"><li>• Benchmarking through Local Government Benchmarking forum (LGBF) measuring indicators such of cost of HR gender profile and workforce profile across all 32 Local Authorities</li></ul>
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