

DRAFT BREXIT PREPAREDNESS SELF-ASSESSMENT (Based on Audit Scotland Guidance)

PEOPLE & SKILLS	Under prepared	Partly prepared	Well prepared	PKC CURRENT POSITION	NEXT STEPS/ACTIONS
How is the audited body communicating with staff about the potential impact of EU withdrawal and preparing to support any employees who may be affected?	The audited body has not communicated with staff on the potential implications of EU withdrawal for the organisation, the services it delivers or people’s roles. The audited body has no plans in place to support non-UK EU national staff. The audited body does not know how many non-UK EU nationals it directly employs.	The audited body is communicating with staff occasionally on the potential implications of EU withdrawal for the organisation, the services it delivers and / or people’s roles. The audited body is in the process of identifying how many non-UK EU national staff it directly employs. The audited body has prepared a plan to support non-UK EU national staff and is starting to implement this.	The audited body is communicating with staff regularly on the potential implications of EU withdrawal for the organisation, the services it delivers and people’s roles. The audited body knows how many non-UK EU national staff it directly employs (if any). The audited body is taking action to support staff who may be affected by EU withdrawal. This could include: communicating up-to-date information about the rights of EU nationals to live and work in the UK after March 2019, and the next steps employees may need to take if they wish to continue working in the UK; provision of tailored advice through drop-in sessions; signposting to other forms of support.	<b>WELL PREPARED</b> Evidence: ERIC intranet page created, Inside News, emails to affected staff, survey of staff potentially affected, staff offered sessions with Ethnic Minorities Law Centre (22 staff took up over 5 days). Current position is that we have identified 108 non-UK EEA citizens, with a further 257 "unknown/to be confirmed" - checks are on-going with a target for completion of end Feb. We have a profile of the 108 staff by service/division/job/age, etc. Our aim is to ensure staff are informed and have access to all necessary advice and support to enable them to obtain settled status. This is intended to encourage non-UK EU staff to seek settled status so they will remain available to work within PKC. Regular discussion at the Employees Joint Consultative Committee involving elected members and trade unions, and the role the latter can play in raising awareness and supporting their members.	Clarify status of unknown staff.  Maintain and review eric pages.  Ensure communications with staff include posters etc. for staff with out access to digital tools.  Identify key HR and Communication personnel to ensure these actions are up to date.
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Which parts of the workforce (sectors/skills/services/regions) are most at risk from the impact of EU withdrawal?	The audited body has not undertaken any work to identify which areas of the workforce are most at risk from EU withdrawal.	The audited body is in the process of identifying what departments / service areas / regions non-UK EU national staff work in. The audited body is starting to assess risks to the workforce and identify actions to mitigate them.	The audited body knows what departments / service areas / regions non-UK EU national staff work in. The audited body has assessed the potential impact of any reductions in its workforce in these areas on service delivery. Any risks to the workforce arising from EU withdrawal are reflected in risk registers and actions to mitigate these risks are in operation. The audited body has considered any potential workforce risks in the context of any wider retention and recruitment pressures.	<b>PARTLY PREPARED</b> Evidence: We have a profile of the 108 staff by service/division/job role. The Corporate Workforce Plan has identified some risks to the workforce, particularly in respect of "hard to fill" roles; and has identified some actions to mitigate these risks.	Share detailed profile of staff with Service SMT's.  SMT's to take mitigating action focused on single person dependancies.  The current data sets should be checked for accuracy.
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How is the audited body reflecting the implications of EU withdrawal in its long-term workforce planning?	Key workforce planning documents do not consider the long-term implications of EU withdrawal on the workforce. The audited body has not undertaken any analysis of the potential risks to its workforce.	Key workforce planning documents reflect potential risks to the workforce from EU withdrawal. The audited body is developing plans to respond to these risks.	Analysis of risks to the workforce as a result of EU withdrawal is being used to inform long-term workforce planning. This may include: Key workforce planning documents reflect risks to the workforce and include plans to respond. Actions to mitigate workforce risks are being discussed by the relevant people (e.g. consideration at the Board, committees, management teams). Modelling of potential changes and analysis of the impact of different scenarios on the workforce has been done.	<b>PARTLY PREPARED</b> Evidence: The Corporate Workforce Plan has identified some risks to the workforce, particularly in respoect of "hard to fill roles". The workforce risks associated with Brexit are also identified within the Corporate Risk Register. Regular discussion at the Employees Joint Consultative Committee involving elected members and trade unions.	Update Corporate Workforce Plan.

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<b>What are the workforce implications for the third sector and private organisations that provide services in partnership with the audited body or on its behalf?</b>	The audited body has not approached its partners in the third and private sectors for information on their workforce.	The audited body has identified the third and private sector organisations that provide services in partnership or on its behalf and is seeking information from them on their workforce and any potential risks associated with EU withdrawal.	The audited body has asked partners in the third and private sectors to identify how many non-UK EU national staff they employ and / or are directly involved in providing services on the audited body's behalf. Potential risks to service delivery by third and private sector partners are reflected in risk registers. The audited body has sought assurance from third and private sector partners about how they are mitigating these risks.	<b>PARTLY PREPARED</b> Evidence: We have asked the question of the various ALEO's Culture Perth & Kinross; Live Active Leisure, and Horsecross - response received from Culture PK. Culture PK have identified a very small no. of EU nationals in workforce (<3%) & are working with their HR provider to identify what support should/could be provided. They have identified Brexit within their Risk Profile & adjusted financial planning accordingly. ECS have also checked with external providers of key services (e.g MITIE) and are re-assured that they are reviewing nos. of EU nationals within their workforces (evidence suggest these are relatively low?). The Health & Social Care Partnerhsip has also sought data from commissioned services including Care at Home & Care Homes & info. has been received. There are some concerns around higher nos. of EU nationals in Care Homes & in some specialist provision.	<b>Need to seek assurances from the Third Sector/Private providers about the risk mitigation measures taken/planned.</b>  <b>Gather further evidence to ensure completeness.</b>  <b>Potential to have a workshop with providers. Potential for PKC to support communication for third sector staff. (Share PKC resources).</b>
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<b>How is the audited body reflecting the implications of EU withdrawal on the workforce in its local area in its economic strategies?</b>	The audited body has not assessed the potential economic implications of EU withdrawal on its local workforce.	The audited body is in the process of assessing the potential economic implications of EU withdrawal on its local workforce. The audited body is developing plans to respond to these risks.	Economic impact assessments have been carried out to identify overall exposure to the local workforce from EU withdrawal.	<b>PARTLY PREPARED</b> Evidence - Research for the presentation to Elected Members/report to EOT outlined info. on key economic sectors which are more reliant on EU workforce. The risk is already referenced in the new Draft Regional Skills Plan & is to be factored into updated/refreshed Tay Cities Deal Strategy (which will act as our over-arching economic strategy as it has been agreed we will not have a purely Perth & Kinross Economic Strategy going forward).	<b>More engagement with key local businesses/Chamber of Commerce around specific/local concerns.</b> <b>Particular concerns around ability of Soft Fruit/veg/ farmers &amp; ability to get enough workers for this coming season.</b>

FINANCE	Under prepared	Partly prepared	Well prepared	PKC CURRENT POSITION	NEXT STEPS/ACTIONS
What level of funding does the audited body, and its partners, receive from the EU and through which funding streams (if any)?	The audited body does not know what EU funding it, and its partners, receive.	The audited body is in the process of identifying what EU funding it, and its partners, receive.	The audited body understands what EU funding it receives (if any), including: <ul style="list-style-type: none"> <li>o how much</li> <li>o when and over what time period</li> <li>o what it funds</li> <li>o how it is delivered</li> </ul>	<b>PARTLY PREPARED?</b> Evidence: We have identified how much we currently receive & from which funding streams (£8.4M from the current 2013-2020 programme, including ERDF, ESF, LEADER etc). This was referred to in the EU briefing given to Elected Members in Nov.18.	We need to assess the potential impact of EU withdrawal on our funding & finances.  Financial risks identified along with mitigating actions.  We need to continue to lobby for replacement funding from the UK government through the proposed UK Shared Prosperity Fund. We need to assess impact on the wider area/partners.
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What financial risks are associated with any changes after the UK has left the EU, during any transition period and beyond?	The audited body has not assessed the potential impact of EU withdrawal on its funding and finances.	<ul style="list-style-type: none"> <li>• The audited body is in the process of assessing the potential impact of EU withdrawal on its funding and finances.</li> <li>• The audited body is developing plans to respond to these risks.</li> </ul>	The audited body has assessed the potential impact of EU withdrawal on its funding and finances and identified any risks to the audited body, the services it provides and service users <ul style="list-style-type: none"> <li>• Any financial risks arising from EU withdrawal are reflected in risk registers and actions to mitigate these risks are in operation.</li> </ul>	<b>PARTLY PREPARED?</b> Not only will we lose any potential grant income; there is a wider potential impact due to the general economic uncertainty caused by Brexit may have on the Council & the Council area; through a lack of investment by businesses & a general slowdown in the economy. Examples include rising construction costs, food costs, price increases in other key supplies & possibly reductions in income from planning & building warrants. These risks have been reflected in a number of reports to Council (2017/18 Audited Annual Accounts, Mid Term Financial Plan Oct.18, Budget report Feb. 18, Investment Strategy Report & in the Quarterly Treasury Report).	Add reference in SP&R 3 report & budget reports.  Review of budgetary impact from rising costs - particularly in relation to construction (capital and revenue impact) and food.  Examine potential for increased labour costs in key services (e.g. care, construction).  Reflect all of above in corporate risk management.
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How is the audited body reflecting the implications of EU withdrawal in its long-term financial planning?	<ul style="list-style-type: none"> <li>• Key financial planning documents do not consider the long-term implications of EU withdrawal.</li> <li>• The audited body has not undertaken any analysis of the potential long-term financial risks arising from EU withdrawal.</li> </ul>	<ul style="list-style-type: none"> <li>• Key long-term financial planning documents reflect potential risks from EU withdrawal.</li> <li>• The audited body is developing plans to respond to these risks.</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of financial risks arising from EU withdrawal are being used to inform long-term financial planning. This may include: <ul style="list-style-type: none"> <li>o Key financial planning documents reflect any risks and include plans to respond.</li> <li>o Ongoing actions to mitigate financial risks are being discussed by the relevant people (e.g. consideration at the Board, committees, management teams).</li> <li>o Modelling of potential changes and analysis of the impact of different scenarios on the audited body's finances has been done.</li> </ul> </li> </ul>	The potential financial risks have been reflected in our Mid Term Financial Plan report in October 2018.	Continue to reflect impact of UK EU withdrawal in medium term financial planning.

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How is the audited body capitalising on opportunities to access alternative funds or redesign replacement funding streams?	The audited body has not considered any ways in which it could access alternative funds or influence the redesign of replacement funding streams.	The audited body is seeking information on alternative funding streams and / or monitoring developments relating to replacement funding streams.	The audited body is engaging in discussions on alternative or replacement funding streams that it has an interest in. This may include: speaking to other public bodies / organisations with an interest in the same funding streams; participating in forums/ working groups to share views and make recommendations; providing evidence to the Scottish/UK Parliament on proposed EU funding replacements (e.g. UK Shared Prosperity Fund)	<b>WELL PREPARED</b> We are constantly seeking new sources of funding e.g. Tay Cities Deal. Some ERDF/ESF will still be available up to 2023. We are also actively monitoring what may happen with the proposed new UK fund to replace EU funding. We have fed in responses to consultation documents & are liaising with key networks/partners through Scottish Cities Alliance, COSLA & ESEC.	We need to continue to lobby for replacement funding from the UK government through the UK Shared Prosperity Fund and any other potential sources of funding.

RULES & REGULATIONS	Under prepared	Partly prepared	Well prepared	PKC CURRENT POSITION	NEXT STEPS/ACTIONS?
What are the potential implications of changes to trade and customs rules on the audited body's supply chains and the cost and availability of products and services?	The audited body does not know which products and services that are vital for the operation of the organisation and service delivery are sourced from the EU.	The audited body has identified the products and services sourced from the EU that are vital for the operation of the organisation and service delivery (e.g. food, medicine, medical equipment). The audited body is in the process of assessing the potential impact of any changes to the cost and /or accessibility of products and services; The audited body is developing contingency plans to respond to potential outcomes.	The audited body has identified the products and services sourced from the EU that are vital for the operation of the organisation and service delivery (e.g. food, medicine, medical equipment, building supplies). The audited body has undertaken modelling / scenario planning of the potential impact of any changes to the cost and /or accessibility of products and services. The audited body has contingency plans for potential outcomes (e.g. an increase in costs or the need to find alternative supplies of specific products and services).	<b>PARTLY PREPARED</b> Evidence: Procurement Team have advised that In key ranges we have been looking at substitution of products to ensure supply. We have done some cost analysis and are aware in some cases of cost increases (e.g. paper, food). We are liaising proactively with Scotland Excel through whom we purchase a large % of key goods/supplies. We have also sought re-assurances from partner organisations such as Tayside Contracts that they have contingency arrangements in place - again majority of their supplies come via Scotland Excel; except for fruit, veg & bakery which are sourced locally. Scotland Excel gave a presentation to a COSLA workshop on 23 Jan. which provided some re-assurance that they have been taking some mitigating actions. The general view appears to be there may be some shortages of fresh products & reduced choice in some product areas. However, some concerns re potential for panic buying by the public (SG aware of need to consistent communications around this.)	Continuing engagement with Local Resilience Partnership planning meetings.  Continue to make links to national networks e.g. Scotland Excel to ensure information is current.  Modelling & Scenario planning as part of a risk workshop.  Review potential impact on vulnerable groups as a result of food shortages and increased pricing. E.g. reduce availability and demand at Food Banks etc.
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What EU regulations/legislation are directly relevant to the audited body's role, such as monitoring compliance (if any)?	The audited body does not know which EU regulations / legislation directly apply to the operation of the organisation or the services it provides.	The audited body is in the process of identifying which EU regulations / legislation directly apply to the operation of the organisation or the services it provides.	The audited body knows which EU regulations / legislation directly apply to the operation of the organisation or the services it provides (if any) (e.g. procurement rules, recognition of professional qualifications, environmental regulations, food safety standards).	<b>PARTLY PREPARED</b> Evidence: The regulatory framework will remain initially as per current situation as we understand that all EU legislation will be transcribed into UK legislation; to then allow a process of review over the coming years.  Some concerns re increased requirements around Food Safety/increased checking & for Trading Standards potentially; particularly if we exit in a NO DEAL scenario. Food Standards Scotland (FSS) are actively consulting with food authorities regarding a suite of legislative packages to accommodate a 'no deal' so that legislation will be in place no matter the outcome with minor modifications needed only.  The biggest impact is likely to be Export Certificates issued by the food authority which will be delivered as a briefing session by the FSS at the end of January.	Review impact of additional export and import certification. Particular areas for concern include food, consumer goods.
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What impact would potential changes to regulations/legislation have on how the audited body delivers services and on its service users?	The audited body has not considered the impact of potential changes to EU regulations / legislation on service delivery or service users.	The audited body is in the process of assessing the potential impact of changes to EU regulations / legislation on service delivery and service users under different scenarios. The audited body is developing plans to respond to any risks.	The audited body has assessed the potential impact of changes to EU regulations / legislation on service delivery and service users under different scenarios. Any risks to service delivery or service users arising from changes to EU regulations / legislation are reflected in risk registers and actions to mitigate these risks are in operation. Operational and service delivery plans reflect any risks and include plans to respond, and this is being discussed by the relevant people (e.g.	In terms of procurement it is likely that the general principals of transparency and non-discrimination will remain, as Scottish legislation already in place is reflective of current EU legislation. Key known change is the move from EU advertising platform to a purely UK one.	Workshop to cover potential impact of changes to regulations/legislation.  Service Risk Register & Delivery Plans to reflect any risks & plans to respond.  Review impacts on data storage risks.

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<b>How is the audited body capitalising on opportunities to streamline or improve the regulatory environment?</b>	The audited body has not considered any ways in which it could engage with others or influence discussions on improving the regulatory environment.	The audited body is discussing ways in which the regulatory environment could be improved internally (e.g. in teams, committees) and identifying ways to feed in its views more widely.	The audited body is engaging in discussions on the regulatory environment in areas it has an interest in. This may include: participating in forums/ working groups to share views and make recommendations; providing evidence to the Scottish/UK Parliament on ways to streamline or improve the regulatory environment.	<b>In the short term, there is unlikely to be any significant change as EU law will continue to have effect until the UK actually leaves the EU. The European Union Withdrawal Act came into force on 26 June 2018 and is designed to convert all EU law into UK law, as well as creating temporary powers for Parliament to fill any gaps or amend legislation to better fit the UK framework.</b>	Keep under review and action where appropriate.
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<b>How is the audited body planning for the possibility that the UK Government and the EU fail to reach an agreement on arrangements for the UK's exit from the EU?</b>	The audited body has not considered the potential implications of a 'no deal' scenario on the organisation or the services it delivers.	The audited body has identified and prioritised the risks to the organisation and the services it delivers if the UK and the EU fail to reach an agreement on arrangements for the UK's exit from the EU (i.e. a 'no deal' scenario). The audited body is developing contingency plans to respond to the possibility of a 'no deal' scenario.	The audited body has identified and prioritised the risks to the organisation and the services it delivers if the UK and the EU fail to reach an agreement on arrangements for the UK's exit from the EU (i.e. a 'no deal' scenario). The audited body has contingency plans in place that identify the immediate action that will need to be taken in the event of a 'no deal' scenario. This may include identifying how resources will be diverted to manage any immediate risks. Ongoing contingency planning is being actively discussed by the relevant people (e.g. consideration at the Board, committees, management teams).	<b>PKC are considering &amp; discussing the implications of Brexit including a no deal Brexit. Our Draft Brexit Preparedness Assessment is to be reviewed &amp; discussed at the Executive Officer Team on 29 January; specific task to identify any additional actions required &amp; to ensure the governance framework &amp; consider resource implications. PKC represented at COSLA workshop 23 Jan. and actively involved in the Local Resilience Partnership Brexit Planning.</b>	<b>No Deal to be discussed at EOT 29 Jan including Resource allocation/lead officers.</b>  <b>Requirement to fulfill the agreed position following the motion to Full Council.</b>  <b>Further reports/presentations for Elected Members.</b>  <b>Ongoing participation with Local Resilience Partnership &amp; nationally organised events.</b>  <b>CPP agenda item.</b>



OTHER ACTIVITY (ADDED BY PKC)	Under prepared	Partly prepared	Well prepared	PKC CURRENT POSITION	NEXT STEPS/ACTIONS?
What other activity/actions are being taken to help prepare for Brexit (including partnership activity)?				<p><b>PARTLY PREPARED</b>    <b>Reporting:</b> Report submitted to Executive Officer Team (2 Oct 18); Presentation delivered to Elected Members (20 Nov 18) This report considered by SMT's during Jan. 19 then to EOT 29 Jan.19. Full Council on 18 Dec.2018 debated and passed a motion which supported a Peoples Vote.</p> <p><b>Working with Communities</b> - EU Settlement Scheme sub group established as part of Equalities partnership - on-going discussion with MEAD, CAB, etc. re proposed Community event to highlight the Scheme 14 Feb. Culture PK working with EU settlement scheme for libraries to become a centre for support &amp; checking of Settled Status applications.</p> <p><b>Resilience Partnership Activity</b> - The Tayside Local Resilience Partnership held a brexit workshop on 18 January.</p> <p><b>CPP Partners/Regional Activity.</b> some discussions have taken place with neighbouring authorities Dundee City &amp; Angus &amp; NHS Tayside to share information &amp; analysis.</p> <p><b>Working with Business Community/partners around Business resilience/planning.</b> We have shared &amp; encouraged local business to use the Prepare for Brexit website &amp; resources developed by the Scottish Government &amp; SE. Ltd. direct engagement with businesses.</p> <p><b>Council's Business Continuity.</b> Currently reviewing all business continuity plans across the organisation.</p>	<p>Need for further presentation/discussion with Elected Members.</p> <p>Risk Workshops with services to ensure all risks captured &amp; mitigating actions considered.</p> <p>Develop comms strategy</p> <p>Consider appropriate governance structure</p> <p>Staff Resources - reporting.</p> <p>Complete review of Business Continuity Plans.</p> <p>Update the register of critical systems (ICT platforms).</p> <p>Review impact on vulnerable people e.g. food, fuel and medical/healthcare. Include impact associated with rurality.</p> <p>Consider impact on care, health,</p>

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Date: 25/01/2019