

REPORT TO: CITY GOVERNANCE COMMITTEE – 21 AUGUST 2023

REPORT ON: RISK MANAGEMENT – REVIEW OF POLICY AND STRATEGY

REPORT BY: EXECUTIVE DIRECTOR, CORPORATE SERVICES

REPORT NO: 227-2023

1.0 PURPOSE OF REPORT

To present to the City Governance Committee the Scheduled review of the Council's Risk Management Policy and Strategy and the interim review of the Council's Corporate Risk Register (CRR)

2.0 RECOMMENDATIONS

It is recommended that the Committee:

- note the report; and
- remit the report to Scrutiny Committee for further consideration.

3.0 FINANCIAL IMPLICATIONS

None.

4.0 BACKGROUND

4.1 Article III of the Minute of Meeting of the Policy and Resources Committee of 10 December 2018, Report No 378-2018 refers. This report provided Committee with a summary review of the Council's CRR and presented the Council's reviewed and updated Risk Management Policy and Strategy (RMPS) to also include risk appetite.

4.2 Article V of the Minute of Meeting of the Policy and Resources Committee of 6 March 2023 refers, which presented an annual review of the Council's CRR. Report No 32-2023.

5.0 RISK MANAGEMENT POLICY AND STRATEGY

5.1 The Council's Risk Management Policy and Strategy was last reviewed during 2018 and presented to Policy and Resources Committee in December 2018. Prior to this it was reviewed in 2013.

5.2 At the 2018 review, it was agreed that subsequent reviews are to be undertaken at least once during each administrative term, subject to a maximum interval of five years. With the last review having been undertaken during 2018 and local authority elections held during 2022, a full review has now taken place by the Corporate Risk Management Coordinator under guidance from the Risk and Assurance Board.

5.3 The revised RMPS is attached as Appendix A, and comment on key revisions are set out in the following paragraphs 6.1 to 6.8.

5.4 Since the previous review in 2018, The Risk Management Improvement Plan has been completed, and the need for a Risk Management Working Group (RMWG) has therefore ceased. The RMWG was replaced by a new Risk and Assurance Board (RaAB) during 2022.

5.5 The RaAB, including details of its remit, and confirming that it has assumed the Terms of Reference (as appropriate) of the RMWG, is now incorporated into the revised RMPS.

5.6 The other major change to the RMPS is an update to the Council's Risk Appetite.

6.0 RISK APPETITE

6.1 The Council's Risk Appetite was initially set in 2018 on a risk-by-risk basis across all risks contained in the CRR. As almost five years have passed since this original assessment and in

- consideration of changes to the risk environment since then, a reassessment of appetite has been made and this is reflected in Figures 1 and 2, page seven of Appendix A.
- 6.2 The CRR risks have seen various changes since they were identified over five years ago, with some added, others removed and some amended. This is covered more fully at 7.1 to 7.11.
- 6.3 '*City Vision*' - this risk has been removed from the CRR and replaced with a group of risks under the heading '*City Plan*'. The risks in this group mirror the City Plan priority objectives. The risk appetite in relation to these has been individually assessed as set out in Figure 1, page seven of Appendix A.
- 6.4 '*Workforce*' - the appetite for this risk has been adjusted marginally, with the changeover point from green to yellow zones being moved slightly, giving a wider spread to the target zone.
- 6.5 '*Major Project Delivery*' - the appetite for this risk is reduced. It was considered that, bearing in mind this covers a diverse range of current and future projects, that this should be re-evaluated based on local, national and international economic influences. It should be noted, however, that whilst the appetite has reduced, the target zone covers a wider range reflecting the diverse nature of Council projects where additional risk may be more palatable for some projects than for others.
- 6.6 '*Fraud and Corruption*' - this risk has been added since the original risk appetite assessments. The Council has a low appetite for fraud and corruption.
- 6.7 '*Property and Infrastructure*' - this has been added since the original risk appetite assessments. The risks in this group pull together key areas of potential disruptive impact in the event of the loss (for whatever reason) of one or more of the Council's critical assets, or if there is insufficient investment in assets and infrastructure.
- 6.8 '*Public Sector Reform*' - this has been established to accommodate a group of risks, although at present only contains one - '*National Care Service*' (NCS). Whilst the appetite for this risk has been pitched at a moderate range, as long as there remains no definitive proposal for the long-term format of the NCS, there is currently little by way of mitigating action open to the Council.
- 6.9 Appetite in relation to CRR risks not covered above has been retained at the previous levels.
- 6.10 The remaining amendments to the RMPS are of a minor nature.

7.0 CORPORATE RISK REGISTER UPDATE

- 7.1 The CRR is reviewed regularly throughout the year - by the Council's Leadership Team (CLT), the Council's Risk and Assurance Board (RaAB) which meets every two months, and separately on a more in-depth basis by the Executive Director Corporate Services (EDCS) in conjunction with the Council's Corporate Risk Management Coordinator (CRMC).
- 7.2 A standard Pentana report detailing the current position of the risks in the CRR is attached at Appendix B and details of the control measures are set out in Appendix C.
- 7.3 The following comments reflect the most recent review by the EDCS and CRMC, and give a comparison where appropriate with the information submitted to Committee in Report No 32-2023 in March 2023.
- 7.4 Overall, the position remains similar to the last report. Of 19 (previously 17) risks recorded in the CRR, three (previously three) are considered 'Very High' risk and 16 considered 'High' (previously 13). When last reported, there was also one risk in the 'Moderate' category.
- 7.5 Whilst most assessments have remained unchanged since the previous report, there has been movement across a number of risks, with some deletions, additions and scoring adjustments. These are commented on in paragraphs 7.6 to 6.11 as follows.
- 7.6 DCC001 *Financial Sustainability* – this risk is unchanged and remains in the 'Very High' category and is given particularly close consideration on each occasion a review is undertaken. The Council has strong financial controls in place, but there are limitations on what can be done to control a large element of the Council's income which is derived from Scottish Government grant funding. This leaves the key controls being mainly in relation to expenditure and ongoing monitoring. Whilst these controls are considered strong, there is increasing pressure on expenditure and no realistic basis at present to believe that this pressure will reduce in the foreseeable future.

- 7.7 DCC004 *City Plan* – this risk group was introduced since the last report, and replaces the previous risk *City Vision*. It was introduced to better reflect the three key objectives of the City Plan, and the risks attaching to these. It comprises three separate sub-risks, all of which were added to the CRR subsequent to the last report to Committee:
- i. DCC004a *Failure to Adequately Address Poverty / Inequalities* – enduring inequalities are particularly concentrated in certain communities, with the risk that these become further entrenched in the absence of adequate action. Significant effort continues to be made to address the underlying issues with focussed strategies, individual plans and initiatives. However, this is a long-term objective, and this leads to a likelihood assessment of ‘Possible’ in terms of potential failure to achieve the objective, with the impact of failure being considered ‘Extreme’ in relation to the ongoing effects on impacted communities. The overall risk assessment is therefore rated ‘High’.
 - ii. DCC004b *Failure to Address Climate Change / Net Zero* – Climate Change represents a serious risk to the Council and the City, with extreme weather events including wind, heat, flood and drought all bringing increased levels of risk. The impact from these can range from financial to health, including loss of life, asset damage etc. Whilst there are mitigating measures either in place or in course of implementation, and Dundee is taking steps locally to achieve net zero, the wider picture of climate change does mean that the assessments of likelihood and impact remain ‘High’.
 - iii. DCC004c *Inadequate Steps Taken to Generate Inclusive Economic Growth / Community Wealth Building* – This risk is very closely linked to DCC004a above, with a less economically active population and higher unemployment levels than the Scottish average. As is the case with DCC004a above, the improvement process is a long-term objective. This is largely reflected in the strategies and projects aimed at longer term growth, e.g., the Tay Cities Deal and Regional Economic Strategy, MSIP, the Eden Project, the Cultural Strategy. The longer-term nature of these introduces increased levels of risk, and the likelihood of failure is considered to be ‘Possible’. This, together with a major impact in the event of failure to generate inclusive economic growth and build community wealth, leads to an overall risk assessment of ‘High’.
- 7.8 DCC008 *Workforce* – this risk remains unchanged from the previous report and is assessed as ‘High’ risk overall. There are many factors which can influence this risk, e.g., ability to recruit or retain staff, availability of experienced / qualified staff. There is also a correlation with the Council’s risk DCC001 *Financial Sustainability*, whereby limited financial resources can make the Council less competitive in terms of recruitment and retention.
- 7.9 DCC012 *Integration Joint Board / Dundee Health and Social Care Partnership* – In undertaking the most recent review of this risk, particular consideration was given to the likelihood of the risk crystallising. This had previously been set as ‘Likely’. However, on balance it is considered that this would be more realistically considered ‘Possible’, resulting in a reduction in the overall assessment from ‘Very High’, to ‘High’ risk.
- 7.10 DCC015 *Property & Infrastructure Assets* – there are three separate sub-risks, all of which had been newly introduced at the time of the last report, although none had been fully assessed at that point. This has since taken place and the inherent and residual risk assessments are detailed in Appendix B, with brief supporting comment as follows:
- i. DCC015a *Delivery of General Fund Service(s) Affected by Loss of Critical Asset(s)* - the impact to service delivery from loss of a critical asset, e.g., a school or Dundee House, is potentially ‘Extreme’. However, the likelihood of such an event occurring is assessed as only ‘Possible’, resulting in an overall assessment of ‘High’ risk.
 - ii. DCC015b *Delivery of HRA Service(s) Affected by Loss of Critical Asset(s)* - Whilst there is generally a wide spread of risk here, there do remain concentrations of risk such as larger multi-storey blocks, and homeless accommodation at Lily Walker House. The loss of such an asset would represent a major issue. The likelihood of such a complete loss is, however, considered no higher than ‘Possible’ and an overall risk assessment of ‘High’ is merited on this basis.
 - iii. DCC015c *Delivery of the Council’s Long-Term Objectives is Impacted by Insufficient Investment in Assets and Infrastructure* – this risk is to a large extent finance related, and with ongoing cash constraints the potential for this risk crystallising has been assessed as likely, albeit considerable planning is undertaken to ensure this is not the case. In terms of impact, a failure to adequately invest in the Council’s assets and infrastructure could have a serious impact and lead to failing assets, higher costs and wider risks to asset users, leading to an impact assessment of ‘Extreme’. The combination of these assessments leads to an overall risk assessment of ‘Very High’.

- 7.11 DCC017a *National Care Service* – Whilst there has recently been an indication that staff will remain with their current employers and that local involvement will continue, further clarity is still required over how the National Care Service will eventually be structured, what its responsibilities will be and how this will impact on the Council. For this reason, and as there are few mitigating measures open to the Council, the overall risk is considered 'Very High'. It is hoped this will reduce going forward as more information becomes available.
- 7.12 The remaining CRR risks as set out in Appendix B have been regularly reviewed and all remain unchanged since the last report.
- 7.13 Regular reviews will continue at RaAB and CLT, and separately by the EDCS in conjunction with other officers as appropriate. The annual review of risk management will be submitted early in 2024.

8.0 POLICY IMPLICATIONS

This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

9.0 CONSULTATIONS

The Council Leadership Team was consulted in the preparation of this report.

10.0 BACKGROUND PAPERS

None.

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21 AUGUST 2023

RISK MANAGEMENT POLICY AND STRATEGY

Version Control						
Version No.	Review Date	Effective Date	Reason for Update	Lead Reviewer	Approved CLT	Approved by Committee
2.0	11/2018	12/2018	Full review	Colin Carmichael		12/2018
3.0	07/2023		Scheduled Review	Colin Carmichael		

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1.0 INTRODUCTION

- 1.1 This document sets out Dundee City Council's Risk Management Policy, Strategy and Risk Appetite. It replaces the previous strategy document, first published in 2005 and subsequently reviewed in 2013 and 2018.
- 1.2 The purpose of the Policy and Strategy is to effectively manage and mitigate risks which may otherwise impact on achievement of the Council's objectives, by implementing comprehensive risk management arrangements. These arrangements include, among others: development and maintenance of comprehensive risk registers; setting out of responsibilities for the management, mitigation and escalation of risks; and responsibility for regular review and updating of Policy and Strategy.
- 1.3 The Policy and Strategy have been framed in recognition of the requirements for effective corporate governance and the benefits of risk management as an organisational management tool. It will assist managers in ensuring effective management of risks which could impact on the achievement of objectives.
- 1.4 Through implementation of the Policy and Strategy, effective risk management arrangements will continue to be progressively embedded within the culture of the Council.

2.0 BACKGROUND

- 2.1 Risk can be defined as the possibility of an adverse event occurring;
- 2.2 The degree of risk comprises a combination of the likelihood of an event occurring and the level of impact on the Council's ability to achieve its objectives if it does occur.
- 2.3 Under the Local Government (Scotland) Act 1994, Dundee City Council must meet certain governance requirements. These include maintaining a strong control environment and a robust risk management strategy.
- 2.4 The Scottish Public Finance Manual also stresses the need for comprehensive and effective risk management, risk ownership, and regular review and monitoring in relation to the Council's key risks.
- 2.5 An effective Risk Management Policy and Strategy is considered to be an integral part of the Council's Best Value regime.

3.0 REGULAR REVIEW ARRANGEMENTS

- 3.1 The **Council's Risk Management Policy and Strategy** will be subject to at least one formal review during each administrative term, at intervals not exceeding five years.
- 3.2 Minor amendments to the Risk Management Policy and Strategy may be approved by the Council Leadership Team (CLT) following review by the Council's Risk and Assurance Board, chaired by the Executive Director of Corporate Services. All other amendments will require to be presented to the Committee for approval.
- 3.3 The Corporate Risk Management Coordinator is responsible for ensuring the Council's Risk Management Policy and Strategy are reviewed in accordance with the above, and more regularly where required in order to reflect changes in Council policy, legislation, regulation and best practice.

4.0 OWNERSHIP – ROLES AND RESPONSIBILITIES

4.1 Elected Members

The Council's Elected Members are responsible for governing service delivery. They are responsible for directing Council policy and understanding the strategic risks faced by the Council and how these are managed. Elected Members are required to:

- a) Monitor the reporting of risk management activity at the Committee, Scrutiny Committee and other Council Committees as appropriate;
- b) Approve the Council's Risk Management Policy and Strategy;
- c) Approve an annual report on Risk Management performance across the Council.

4.2 Chief Executive

As the most senior appointed officer within the Council, the Chief Executive is ultimately responsible for ensuring risks to which the Council is exposed, are effectively managed through a scheme of delegation.

4.3 Executive Director of Corporate Services

At a corporate level the Executive Director of Corporate Services is the Council's Senior Risk Officer and Risk Management Champion, and is responsible for:

- a) Promoting the operation of effective risk management arrangements across the Council at all levels;
- b) Adequate resourcing to ensure the identification, evaluation and control of risks faced by the Council;
- c) Ensuring sufficient financial support is available to undertake risk management projects designed to mitigate and control risk; and
- d) Chairing the Council's Risk and Assurance Board.

4.4 Executive Directors

Each Executive Director is responsible for strategic and operational risk management in their own Service area, and will direct Heads of Service to oversee and promote risk management within their Service / functional area. Executive Directors are also responsible for ensuring effective management and oversight of the Corporate Risk Register.

4.5 Heads of Service

Each Head of Service will be the nominated Risk Management Champion for their Service area. Heads of Service will be standing members of the Council's Risk and Assurance Board, will promote and influence risk management and ensure implementation of effective risk management arrangements throughout their Service area.

They will attend scheduled meetings of the Council's Risk and Assurance Board, act as the key point of contact for risk management related matters within their Service, and be responsible for:

- a) Promoting and influencing risk identification, assessment and management throughout their Service;
- b) Ensuring their Service area risk registers are maintained, including coordinating regular reviews of the content within them;

- c) Liaising with colleagues across their Service area to ensure action plans are implemented and risks mitigated;
- d) Escalating:
 - deteriorating risks
 - horizon / evolving risks
 - overdue actions
 - weak or ineffective controls
 - other risk related matters as appropriate
- e) Ensuring relevant officers undertake risk related training;
- f) Recommending risks for inclusion in the internal audit programme.

4.6 **Corporate Risk Management Coordinator**

The Corporate Risk Management Coordinator is responsible for establishing formal corporate and service level risk management arrangements that are aligned to good practice. This will include:

- a) Maintaining the Council's Risk Management Policy and Strategy;
- b) Raising awareness of risk management throughout the Council;
- c) Providing support with the integration of risk management into operations;
- d) Monitoring strategic risk events and coordinating responses to these;
- e) Coordinating the ongoing development and maintenance of the Council's corporate, Service and project level risk registers;
- f) Promoting adoption and ongoing use of Pentana, the Council's performance and risk management system;
- g) Undertaking horizon scanning in conjunction with the Council's Risk and Assurance Board;
- h) Supporting the escalation of risks as appropriate;
- i) Developing and leading training and awareness programmes for delivery at all levels across the Council;
- j) Providing briefings to, and support for, Elected Members and Senior Management on risk management related matters.

4.7 **Risk and Assurance Board**

The Remit for the Risk and Assurance Board are attached at Appendix A, including membership details.

5.0 RISK MANAGEMENT POLICY

GENERAL

- 5.1 The Council does not generally have an appetite for exposure to high levels of risk which could lead to significant adverse impact being sustained; financial, reputational or otherwise.
- 5.2 However, it is also recognised that risk is inherent in every area of service provision, and the Council is committed to promoting a culture where risk is effectively managed, not necessarily avoided. It is the Council's policy to be risk aware, not risk averse.
- 5.3 The management of risk in the Council is undertaken within a control framework comprising:
- Governance processes, largely set out in the Council's Standing Orders
 - Risk Management Policy and Strategy, incorporating a defined risk appetite at a corporate level
 - Identification, evaluation and management of key risks
 - Assurance and audit process
 - Underlying systems of internal control / control environment
- 5.4 Assessment of risk and the ability to manage it is an integral part of strategic and operational decision making.
- 5.5 The Council's Committee reporting process includes a requirement for completion of an 'Integrated Impact Assessment' (IIA) for relevant Committee reports. Where completion of an IIA is required, this includes a risk assessment in order to provide outline information to Committee on the risks associated with the proposal being presented, and the specific control measures proposed to mitigate those risks.
- 5.6 Adopting this Policy enables the Council to encourage innovation and service improvement, and at the same time:
- Safeguard its stakeholders
 - Protect its property
 - Ensure compliance with statutory obligations
 - Preserve and enhance service delivery
 - Maintain effective stewardship of public funds
 - Protect its reputation and promote a favourable corporate image
- 5.7 By managing risk effectively, the Council will be enabled to implement the objectives of the Council Plan and the City Plan, manage project risk, and deliver key strategic priorities.

STRATEGIC RISK MANAGEMENT

- 5.8 The Risk and Assurance Board will coordinate the management of strategic risks that could impact on the Council's objectives, with the Board Chair reporting directly to the CLT as appropriate. Individual Heads of Service will retain ownership of those risks that fall within their Service area.

OPERATIONAL RISK MANAGEMENT

- 5.9 It is an integral part of the role of managers across the Council to actively manage risks encountered in the daily course of performing their duties.
- 5.10 All members of staff across the Council are expected to assist with risk management, and are actively encouraged to participate in the identification, assessment, review and mitigation of risks that could affect the achievement of objectives.

6.0 RISK APPETITE

- 6.1 The need to minimise risks to life and limb, and to effectively control excessive exposure to reputational, financial and compliance risks will take priority across the Council.
- 6.2 However, the Council is prepared to accept risk where this enables opportunities to be taken, it can be adequately managed by the deployment of effective control measures and is in line with the Council's risk appetite.
- 6.3 The Council's risk appetite in relation to its key areas of strategic risk is set out in Figure 1 below, with details on how this should be interpreted set out in Figure 2.

Figure 1.

Strategic Risk Area	Risk Appetite (equivalent Pentana scores)	Low (Score 1 - 3)	Moderate (Score 4 - 9)	High (Score 10 - 16)	Very High (Score 20 - 25)
Effectiveness of Partnerships		[Green to Red Gradient]			
Resilience		[Green to Red Gradient]			
City Plan		[Green to Red Gradient]			
Failure to Adequately Address Poverty / Inequalities		[Green to Red Gradient]			
Climate Change / Net Zero		[Green to Red Gradient]			
Economic Growth / Wealth Building		[Green to Red Gradient]			
Governance		[Green to Red Gradient]			
Corporate Health & Safety		[Green to Red Gradient]			
Information Governance		[Green to Red Gradient]			
Workforce		[Green to Red Gradient]			
Statutory & Legislative Compliance		[Green to Red Gradient]			
Major Project Delivery		[Green to Red Gradient]			
Transformation		[Green to Red Gradient]			
IJB		[Green to Red Gradient]			
Fraud & Corruption		[Green to Red Gradient]			
Property & Infrastructure Assets		[Green to Red Gradient]			
Delivery of General Fund Services Affected by Loss of Critical Assets		[Green to Red Gradient]			
Delivery of HRA Services Affected by Loss of Critical Assets		[Green to Red Gradient]			
Delivery of the Council's Long Term Objectives is Impacted by Insufficient Investment in Assets and Infrastructure		[Green to Red Gradient]			
Public Sector Reform		[Green to Red Gradient]			

Figure 2.

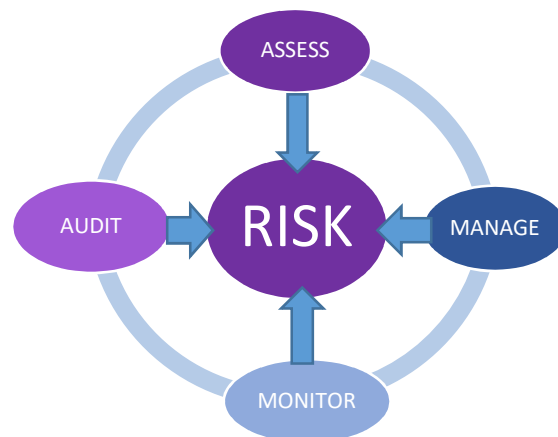
Colour Coding Key	
[Green]	OPPORTUNITY ZONE - Appetite exists to consider taking additional risk where appropriate, to benefit from opportunities arising.
[Green to Red Gradient]	TARGET ZONE - The target range in which our risk is expected to sit. Opportunities may be available where our current risk sits at the bottom (green) end of the range. Conversely, it would be appropriate to consider introducing additional / more effective controls where our risk currently sits at the top (red) end of the range.
[Red]	WARNING ZONE - The level of risk is higher than we would normally want to take. Consideration should be given to enhancing our control measures. It may also be appropriate to consider whether we can transfer our risk or potentially terminate it altogether.

- 6.4 The Council would not normally have an appetite for risks falling into the red zone. Where risks at this level are unavoidable, steps must be taken to ensure that effective control and monitoring arrangements are established. Opportunities should be taken wherever possible to mitigate the risk through the implementation of control measures designed to reduce impact and / or likelihood.

7.0 RISK MANAGEMENT STRATEGY

- 7.1 The Council's Risk Management Strategy has been developed to enable effective delivery of objectives in accordance with the Council's Risk Management Policy.
- 7.2 The Council will operate 'three lines of defence' in order to manage risk:
- The Council's 'front line' – deployment and management of operational procedures, processes and controls.
 - Active Risk Management – identification, control and ongoing monitoring of risk across the Council.
 - Internal Audit – acts independently undertaking focussed activity to provide assurance; auditing risk and escalating critical issues to appropriate levels including Scrutiny Committee.
- 7.3 The Council's Risk Management Strategy will involve a continual process of assessment and monitoring in order to effectively manage / mitigate risk as detailed in Figure 1. Identified risks will be:
- Assessed for potential impact and likelihood, and graded accordingly (ref: Appendices B and C);
 - Managed / mitigated through the implementation of controls;
 - Monitored on an ongoing basis.
- 7.4 Risk based internal audits will be undertaken, to determine whether controls are being effectively deployed and ensure the control environment is effective. Where an internal audit results in action(s) being recommended, implementation of the audit recommendations will be monitored in line with the standard follow-up process.

Figure 1.



- 7.5 The above process will apply equally, whether at a corporate / strategic level or at an operational / Service or project level
- 7.6 A key element of the Council's strategy for managing the above process is for the development and maintenance of comprehensive risk registers. These will be actively maintained using Pentana.
- 7.7 Risk registers to be maintained include:
- The Council's high-level **Corporate Risk Register**. This will incorporate the strategic risks which may impact on overall delivery of the Council's strategic objectives;

- **Service / Operational Risk Registers.** These will reflect risks at individual Service / operational level, where the impacts are predominantly operational e.g. interruptions to service delivery, finance, staffing, personal safety etc.;
 - **Project Risk Registers.** A risk register is required for all major projects, setting out risks specific to the project and taking account of consequential impacts on other Council services. An excel based tool is available and is to be used to assess whether a project risk register is i) required, ii) recommended or iii) not required;
 - **Partner Risk Registers** (examples of these include: the Dundee Integration Joint Board / HSCP, Leisure & Culture Dundee. Consideration will be given to the potential impact on the Council of partner risks, both strategically and operationally. Where feasible / appropriate, partner risk registers will be maintained in conjunction with the Council, using Pentana. Otherwise, ongoing access to partner risk registers will be sought in order to enable effective monitoring / escalation.
- 7.8 In order to ensure consistency of assessment, each risk will be considered for both impact and likelihood using an assessment matrix.
- 7.9 A standard framework will be used for effective monitoring of ongoing risk mitigation. This will be based on assessing risk at the following key stages (ref: Appendix D):
- Inherent Risk
 - Residual Risk
- 7.10 Controls will be established, to manage risk with the aim of arriving at a level within appetite. These controls will be recorded in Pentana against each risk.
- 7.11 In order to maintain effective control of the Council's risks and to monitor risk mitigation and control measures, the risk registers at all levels will be subject to regular review and reporting.
- 7.12 Maintenance of the Corporate Risk Register will be facilitated by the Corporate Risk Management Coordinator and reported:
- Bi-monthly to the Risk and Assurance Board
 - Regularly throughout the year to CLT and annually to Policy and Resources Committee, or earlier in the event of meaningful adverse movement
 - Annually to Scrutiny Committee, and more frequently where directed by CLT or Policy and Resources Committee
- 7.13 Service / Operational Risk Registers will be maintained within each Service / Operational area by delegated members of staff under reference to their Head of Service, and the Corporate Risk Management Coordinator as required.
- 7.14 Heads of Service will report on their Service / Operational Risk Registers to the Risk and Assurance Board.

Risk and Assurance Board

Membership

The Board will be chaired by the Executive Director of Corporate Services and the depute chair will be the Head of Corporate Finance.

Membership will comprise:

- All council Heads of Service;
- A representative from Dundee Health and Social Care Partnership;
- A representative from Leisure and Culture Dundee; and
- the Service Manager for Internal Audit, Risk and Insurance;

The Board will be advised by:

- the Corporate Risk Management Co-ordinator; and
- the Corporate Assurance Officer

Remit

To provide assurance and recommendations to the Council Leadership Team in relation to:

- (a) Risk Management including:
 - corporate risk strategy and policies;
 - corporate risk register;
 - service risk registers; and
 - business continuity.
- (b) Audit including:
 - Internal Annual audit plans;
 - progress with the delivery of the internal audit plan;
 - the implementation of audit recommendations (internal and external);
- (c) Legislation and Regulation including:
 - upcoming changes;
 - service control measures; and
 - professional updates.

To discharge the remit of the Risk Management Working Group (predecessor of the Risk and Assurance Board) according to its terms of reference:

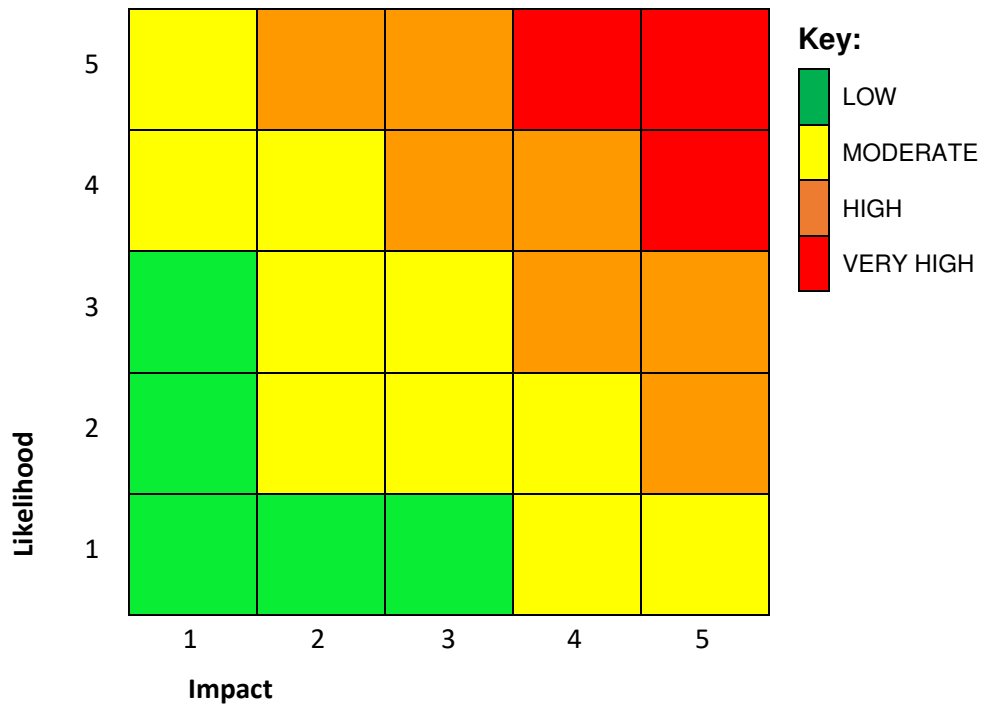
- Provide oversight on Corporate Risk Management
- Coordinate management of strategic risks
- Consider and recommend revisions to the Council's risk appetite as appropriate
- Monitor and report on the completeness of the Council's risk registers including the
- integrity of data in Pentana

- Report on key risk management activities being undertaken across the Council
- Identify common areas of risk across Services, to include
 - horizon / evolving / deteriorating risks
 - overdue actions
 - weak or ineffective controls
 - other risk related matters as appropriate
- Share good practice in risk management
- Scope risk related learning and development needs and direct communication activity

Meetings

Meetings will be held every other month and an update report will be provided to the subsequent Council Leadership Team.

RISK ASSESSMENT MATRIX



This is the Council’s standard risk assessment matrix, providing a graphic representation of where risk sits. The underlying suite of risk assessments require to be completed in Pentana for all risks across the Council. The assessment process is straightforward and intuitive. The assessments and ‘scoring’ are detailed in Appendix C.

APPENDIX C

Risk Impact Assessment Matrix

Impact	1	2	3	4	5
Domain	None / Insignificant	Minor	Moderate	Major	Extreme
Political / Reputational	No media coverage / no impact on staff morale	Local media short term / minor impact on staff morale and / or reputation	Local media longer term / clear impact on staff morale and / or reputation	National media (<3 days) / public confidence undermined / service usage affected	National media (3+ days) MP / MSP concern – questions asked in parliament
Economic / Financial / Security & Equipment	Loss / theft / damage / claim <£10k	Loss / theft / damage / claim £10k - £100k	Loss / theft / damage / claim >£100k - £500k	Loss / theft / damage / claim >£500k - £2m	Loss / theft / damage / claim >£2m
Social Impact / Safety of Staff & Clients	No / insignificant community impact Minor injury not requiring first aid	Highly localised community impact / small scale Minor injury or illness, first aid required. No staff absence necessary.	Community impact in a number of the City's localities / restricted repercussions for Council Significant injury requiring medical treatment and / or counselling. Potential for staff absence	Community impact contained within City / serious repercussions for Council Major injury / long term incapacity / loss of limb. Medical treatment and / or counselling required	Widespread community impact, beyond City boundary / serious repercussions for Council Death / major injury leading to permanent incapacity
Technological / Business or Service Interruption	No or negligible interruption	Some impact but only minor interruption	Noticeable interruption and client inconvenience	Sustained service interruption and serious client impact – major contingency plans invoked	Permanent loss of core service / facility, significant 'knock-on' effect / inability to achieve key objectives
Environmental	No or negligible environmental impact No / low Council involvement No / low cost to Council	Minor environmental impact May be some Council involvement Minimal cost to Council	Noticeable environmental impact Council implicated, largely responsible for clean-up Potential moderate cost to Council	Significant environmental impact Council implicated and responsible for clean up Likely major cost to Council	Catastrophic environmental impact Council solely / heavily implicated and responsible for clean-up Considerable cost to Council
Legal / Statutory Obligations	No / negligible or marginal deviation / breach / non-compliance – contained within Council No penalty likely	Minor deviation / breach / non-compliance – contained within Council. Potential for minor penalty	Deviation / breach / non-compliance reported to regulatory authority. Reprimand likely, potential for moderate penalty	Deviation / breach / non-compliance reported to regulatory authority. Public reprimand and significant penalty	Deviation / breach / non-compliance reported to regulatory authority. Public statement and apology by the Council. Significant penalty & operational impact
Organisational / Staffing & Competence	No impact on objectives / service unaffected No or barely noticeable reduction in project scope / quality / schedule Short term low staffing / no disruption	Minor impact on objectives / minimal service disruption Minor reduction in project scope / quality / schedule - impact restricted Ongoing low staffing / minor service impact / potential for minor training related errors	Noticeable impact on objectives / noticeable service disruption Noticeable reduction in project scope / quality / objectives or schedule Ongoing staffing level problems / late delivery of key objective(s) / moderate training related errors	Significant impact on objectives / considerable service disruption Significant reduction in ability to meet project objectives / schedule Lack of staff / uncertain delivery of key objective / major training related errors	Unable to meet objectives / extended loss of service Inability to meet project objectives, serious reputational damage Critical training related errors

Risk Likelihood Assessment

	1	2	3	4	5
	Remote	Unlikely	Possible	Likely	Almost Certain
Probability	Will only occur in exceptional circumstances	Unlikely to occur, but definite potential exists	Reasonable chance of occurring – has happened before within DCC or elsewhere	Likely to occur – strong possibility	The event will occur in most circumstances

DEFINITIONS**Risk Management**

Control Measures	Measures put in place to influence the likelihood of a risk event happening and / or to mitigate the level of impact of a risk event if it does occur
Inherent Risk	The level of risk in the absence of all but the most basic of control measures
Residual Risk	The level of risk at the current stage of implementation of control measures (also referred to as controlled risk)
Target Risk	The level of risk which it is expected to be achieved with full and effective implementation of available control measures
Risk Universe	Refers to all of the Council's risks
Risk Register	Comprehensive database containing the Council's risks at both Corporate / strategic and Service / operational levels
Pentana Risk	The software solution used to maintain the Council's Risk Registers. Also used for some partner and project Risk Registers and for performance management.

Risk Type

Strategic Risks	Risks which have the potential to impact the high level / strategic objectives of the Council
Operational Risks	Risks that may impact on the day to day delivery of Council services
Project Risks	Risks which impact directly on the delivery of individual projects

Risk Assessment

Risk Matrix	The Council uses a standard '5x5' Impact / Likelihood matrix to assess and 'score' each risk (ref: Appendices B and C)
Impact	The level of impact which will be sustained if a risk event occurs, assessed on a scale of 1-5 (ref: Appendix C)
Likelihood	The likelihood of a risk event occurring assessed on a scale of 1-5 (ref: Appendix C)

The risk matrix and scoring system is incorporated into Pentana

CRMC - 1 DCC Corporate RR

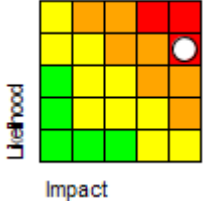
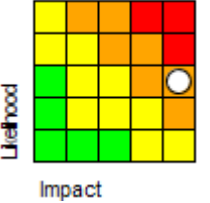
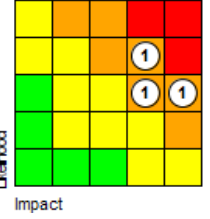
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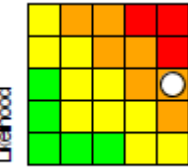

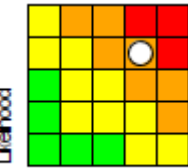
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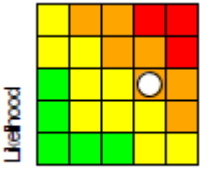

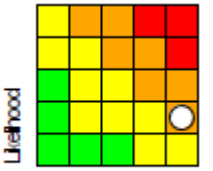




Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
1. COUNCIL CORPORATE RISKS - DCC Corporate Level Risk Register	The Council's high level Corporate Risk Register. Risks held directly within this register are the key high level risks to delivery of the Council's strategic goals.					
DCC001 Financial Sustainability	Risk that the Council is unable to deliver priorities and meet financial obligations due to financial constraints arising from funding pressures and demand pressures Impact / Consequences Fail to deliver objectives Maintaining sufficient revenue and capital resources to meet ambitions Reputational damage of going concern issues Lack of funding for capital and change programmes Need to resort to short-term reactive measures Failure to achieve Best Value			CDDP004 Financial	25	16
				CDDP012 Economic Downturn	20	9
				CDPE002 Finance	20	9
				CDPE009 Economic Downturn	20	20
				CDRT006 Finance	25	9
				CDRT017 Economic Downturn	20	9
				CFCJ002 Funding	25	12
				CFED010 Financial Management & Sustainability	20	12
				CSCF009 Finance - Planning	25	20
				CSCF010 Finance - Management	25	20
				CSCS001 Budget / Finance	20	15
				CSHB004 Finance	20	9
				NSCo003 Finance / Sustainability	20	9
				NSCS004 Budgets	12	6
NSEN004 Resourcing / Finance	20	12				
NSHC001 Finance	20	9				


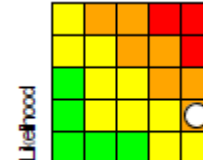
Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC002 Effectiveness of Partnerships	<p>Risk that partnerships are not effectively commissioned, contracted and monitored and fail to deliver expected results. Key partnerships include:</p> <ul style="list-style-type: none"> • L&CD • Tayside Contracts • Tayside Procurement Consortium - Tayside Scientific Services • Tayside Plan for Children, Young People and Families • Employability Partnership • Alcohol and Drugs Partnership <p>NB: IJB /DH&SCP is considered separately as risk DCC012 IJB/DHSCP</p> <p>Impact / Consequence:</p> <ul style="list-style-type: none"> • Reputational damage • Risk of dispute arising between partners • Partnership breakdown causes or is caused by failure to deliver outcomes / priorities • Needs are not met in accordance with approved strategies and policies • Potential overspends / additional costs incurred • Partnerships do not deliver value for money 	<p style="text-align: center;">Impact</p>	<p style="text-align: center;">Impact</p>	CDPE005 Partnerships	20	6
				CDRT007 Suppliers / Partners	12	6
				CFCJ007 Partnerships / External Providers	25	12
				CFED004 Supplier / Partner Failure	9	12
				CSCS006 Suppliers / Service Providers	16	8
				CSIT010 Failure of External ICT Suppliers To Deliver Required Agreed Service	16	9
				NSCS007 Suppliers / Partnerships / Contracts	12	8
				NSEN017 Partners / Suppliers	16	12
				NSHC007 Partners & Suppliers	16	16

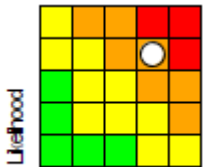
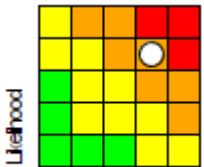
Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC003 Resilience	<p>Risk that the Council is unable to deliver critical services due to inadequate business resilience or cyber security arrangements.</p> <p>Risk that the Council cannot respond to or support emergencies in its area, or meet requirements of the Civil Contingencies Act 2004</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Allow physical, financial or emotional harm to come to citizens or stakeholders - Unable to deliver frontline services following disaster, failure or cyber security incident - Loss of information / records - Reputational impact - Unlawful disclosure of sensitive information - Financial cost and penalties 			CDDP010 Climate Change / Environment	25	20
				CDPE014 Climate Change / Environment	20	12
				CDRT010 Severe Weather	20	9
				CFCJ012 Failure of Critical Services	20	9
				CFED003 Failure of Critical Services	9	12
				CFED007 Critical Incidents	20	15
				CSIT002 Failure to provide regular maintenance and/or timely incident resolution for software & hardware	16	6
				CSIT004 Failure to Protect The Council From a Cyber Attack	25	16
				CSIT006 Failure To Restore Critical Business Services on a Timely Basis Following An Outage	20	6
				CSIT015 Failure To Resolve Incidents	16	6
				NSCS010 Emergency Response	25	10
				NSEN010 Emergency Response	25	12
NSHC010 Emergency Response	25	12				
DCC004 City Plan	LINK TO CITY PLAN 2022-2032					

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC004a CITY PLAN - Failure to Adequately Address Poverty / Inequalities	<p>Dundee has enduring inequalities concentrated in certain communities, in particular Linlathen and Stobswell West. Within the City as a whole, 22.5% of children are living in poverty after housing costs, while 31% of all households in Dundee are estimated to be fuel poor. Health inequalities persist, with below average life expectancy, higher than average incidences of overweight and obese P1 pupils and issues with drug dependency.</p> <p>Failure to address these underlying issues risks further entrenchment of the current inequalities, a potential widening of the attainment gap and lost opportunities to improve wellbeing and raise citizens out of poverty, particularly in relation to children and young people.</p>					
DCC004b CITY PLAN - Failure to address climate change / net zero	<p>As a consequence of climate change, there is a risk that the Council may be unable to deliver the Council and Corporate plans. In response, the Council has declared a 'climate emergency'.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> - operational and reputational impacts - irregular weather patterns - increased flood risk due to more extreme rainfall alongside heightened drought conditions - property and infrastructure damage sustained from more extreme wind - danger to individuals from storm damage to infrastructure / property / vegetation - financial costs of storm damage - financial requirements to adapt buildings to cope with climate change 					

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC004c CITY PLAN - Inadequate steps taken to generate inclusive economic growth / community wealth building	<p>In Dundee, the state of the economy is mixed. While there have been many efforts to increase economic growth and wealth generation, with improvements on levels of employment pre COVID, Dundee still falls below the average for Scotland in various key metrics. Dundee has a less economically active population than average and of those, less individuals were in employment than the average by 1.8%. The unemployment rate is higher by 1%(4.9% compared to 3.9%) Although there has been major improvements since COVID, a lot of the working population will still be feeling the effects of COVID in the workplace. Failure to address these issues can result in higher unemployment rates and therefore a less economically active population. This can impair the city's ability to generate wealth and cultivate a strong economy that's sustainable going into the future</p>	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>			
DCC005 Governance	<p>Risk that the Council's governance arrangements do not operate effectively in order to meet stakeholder and legislative requirements.</p> <p>Impact / Consequence</p> <ul style="list-style-type: none"> - Fail to deliver objectives - Unable to demonstrate Best Value - Inappropriate use of resources (from fraud or error) - Inadequate transparency - Poor decision making - Increased scrutiny 	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>			

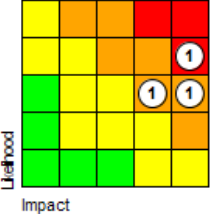
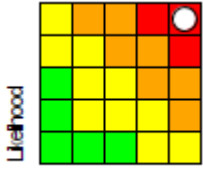
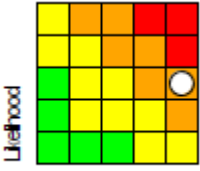
Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC006 Corporate Health & Safety	<p>Risk that the Council has inadequate arrangements to protect those for whom it has a duty of care.</p> <p>Impact / Consequence</p> <ul style="list-style-type: none"> - Allow harm to come to citizens, tenants, staff or stakeholders - Reputational impact of failure - Legal intervention - Financial cost and liabilities - Impact on staff wellbeing 	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>	CDDP014 Health & Safety	25	10
				CDPE016 Health & Safety	25	10
				CDRT011 Health & Safety	25	8
				CFCJ004 Harm (to / caused by service user)	25	15
				CFED005 Health & Safety	25	15
				CSCS005 Health & Safety (Staff / Clients Under Threat, incl at venues)	20	12
				CSHB006 Health & Safety / Protection (Internal & External)	25	12
				NSCo008 Health & Safety	25	12
				NSCS008 Health & Safety	20	6
				NSEN009 Health & Safety Procedures / Training	20	12
				NSEN021 Ash Dieback	25	15
				NSHC006 Health & Safety	20	12


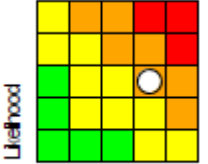
Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC007 Information Governance	<p>Risk that the Council information is not governed in line with legislative requirements, including GDPR and FOI legislation.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Allow confidential or sensitive information to be shared unlawfully - Reputational impact of failure - Legal intervention - Prosecution - Financial cost and liabilities - No suitable information available to support decision making 			CDDP013 Data Protection	20	12
				CDPE011 Data Protection	20	12
		CDRT015 Information Governance	9	6		
		CEHL021 CEHL - Information Governance	20	8		
		CFCJ008 Data Protection / Information Governance	25	12		
		CFED006 Information Governance	15	12		
		CSCF028 Data Protection / Information Governance	25	15		
		CSCS002 Information / GDPR / Confidentiality	25	15		
		CSCS010 Failure to Remove Systems Access Following an Officer Status Change	20	15		
		CSDL003 Data Protection	25	6		
		CSHB002 Data Protection / Access / Management	25	6		
		CSIT004 Failure to Protect The Council From a Cyber Attack	25	16		
		CSIT005 Failure to Protect Sensitive Data	16	9		
		CSIT009 Failure to Control IT User Access	20	6		
		CSIT014 Control Failures	16	9		
		NSCS005 Information Governance	20	6		
NSEN018 Information Governance	25	12				
NSHC008 Information Governance	25	12				

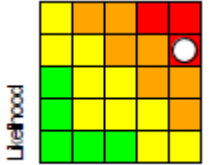
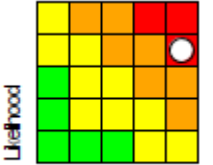
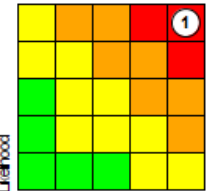
Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC008 Workforce	<p>Risk that there is inappropriate or insufficient staff resources to meet service demands and deliver the Council vision</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Fail to deliver objectives - Increased sickness absence - High vacancy level / inability to recruit - Reliance on contractors / agency staff - Loss of corporate knowledge from departures - Inadequate skills / experience - Lack of resources to deliver priorities - Impact on personal wellbeing - Loss of specialist skills to competitors 	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	CDDP003 Staff	20	12
				CDPE003 STAFF (recruitment / retention / succession planning / skills gaps)	20	9
				CDPE004 STAFF (engagement / management / communications)	16	6
				CDRT004 Staffing	20	8
				CFCJ001 Staff	25	9
				CFED008 Workforce	15	12
				CSCF005 Staff - Recruitment / Retention	20	20
				CSCF006 Staff - Management / Engagement / Policy	20	12
				CSCS004 Staff - Levels / Training	20	9
				CSDL002 Staff	25	4
				CSHB001 People	20	8
				CSIT008 Over-reliance On Key Individuals With Key Knowledge Or experience	12	9
				DCC012 Integration Joint Board / Dundee Health and Social Care Partnership	25	15
				NSCo002 Workforce	16	12
				NSCS002 Staff - Resourcing	20	8
				NSCS003 Staff - Competency (loss of key staff)	20	16
				NSEN014 Staff - Resourcing	25	16
				NSEN015 Staff - Competency (loss of key staff)	20	12
				NSHC002 Staff - Competency	20	6
				NSHC003 Staff - Resources	25	6



Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC009 Statutory & Legislative Compliance	<p>Risk that the Council fails to operate in accordance with law, regulation and statutory guidelines</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Non compliance and legal challenge - Financial cost and liabilities - Obligations to vulnerable groups not met - Reputational impact - Ministerial or Regulatory action/censure - Failure to achieve Best Value 	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	CDDP007 Compliance with Legislation / Regulation / Guidance	20	12
				CDPE008 Legislation / Regulation	20	8
				CDRT008 Legislative / Regulatory Compliance	16	2
				CFCJ006 Demand-Led Services / Legislation	25	16
				CFED011 Statutory / Regulatory Compliance	25	15
				CSCS007 Compliance	25	10
				CSDL006 Regulatory / Legislative Compliance	20	8
				CSHB005 Legal / Legislative	10	8
				CSIT007 Failure To Comply With Legislation / Regulations	12	6
				NSCo007 Legal / Regulatory Compliance	15	15
				NSCS009 Compliance	25	15
				NSEN008 Legal / Regulatory Compliance	25	15
				NSHC004 Compliance	25	9
DCC010 Major Project Delivery	<p>Risk that major projects are not delivered on time, to budget and do not provide the designed benefits.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Fail to deliver objectives - Essential services not delivered - Financial cost and liabilities - Reputational impact 	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	CDDP006 Waterfront	25	9
				CFCJ014 Transformation / Major Project Delivery	25	16
				CFED013 Transformation / Major Project Delivery	20	8
				Mosaic001 Mosaic Adult Finance Go Live		
DCC011 Transformation	<p>Risk that transformation and change impacts on business as usual activities, fails to deliver objectives and benefits or is insufficient in response to the changing external environment.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Fail to deliver objectives/implement agreed changes - Financial cost and liabilities - Demand and expectations not met - Fail to achieve required savings - Reputational impact - Impact on staff wellbeing and culture 	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	CEHL022 Transformation	15	9
				CFCJ014 Transformation / Major Project Delivery	25	16
				CFED013 Transformation / Major Project Delivery	20	8
				CSCF031 Transformation / Change	25	12
				CSCS009 Transformation / Change Management	12	9
				CSHB010 Transformation & Change Management	16	6
				CSIT011 Failure To Modernise	16	6
				CSIT012 Failure to Manage Change	20	9
NSCo005 Future Delivery Model	25	12				

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC012 Integration Joint Board / Dundee Health and Social Care Partnership	Risk that the Dundee HSCP is unable to deliver statutory / essential services due to financial, workforce or governance issues Impact / Consequences <ul style="list-style-type: none"> • Unable to meet aims within anticipated timescales • Unable to maintain spend within allocated resources • staffing issues impact on organisational priorities and operational delivery • adverse impact on staff engagement / buy-in • impact on staff morale and potential exposure to claims 			3.a HSC IJB / HSCP		
				DCC008 Workforce	16	16
DCC013 Fraud & Corruption	Risk that the council is exposed to all elements of fraud & corruption including those in the following categories: ~ financial transactions including money laundering ~ human resources ~ procurement & contracting ~ property leases & land ~ IT / data ~ decision making Impact / consequences: ~ financial loss to the council ~ failure to achieve best value ~ inappropriate awards of contracts ~ potential sub-standard service ~ potential legal challenge ~ adverse audit ~ reputational damage to the council ~ impact on staff morale ~ failure to comply with legislation / regulation ~ inappropriate influence / decision making ~ data loss / misappropriation ~ enabling serious organised crime			CDDP015 Fraud & Corruption	20	12
				CDPE017 Fraud & Corruption	20	8
				CDRT013 Fraud	20	9
				CEHL013 Fraud Risk	4	3
				CFCJ015 Fraud & Corruption	25	8
				CFED014 Fraud & Corruption	25	12
				CSCF011 Fraud & Corruption	25	12
				CSCS008 Fraud & Corruption	25	10
				CSDL007 Fraud & Corruption	15	2
				CSHB009 Fraud & Corruption	25	12
				NSCo012 Fraud & Corruption	25	12
				NSCS011 Fraud & Corruption	25	10
				NSEN020 Fraud & Corruption	25	8
				NSHC012 Fraud & Corruption	25	12

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC015 Property & Infrastructure Assets	<p>The Council holds significant levels of property and infrastructure assets valued at over £1bn. There are various risks associated with these assets, including (but not limited to) the need to support an adequate level of ongoing investment to maintain, improve and replace them; the potential for loss of critical assets; societal changes resulting in potential redundancy of certain assets / increased demand for others. There are key areas of potential impact within the Council associated to property and infrastructure risks, and for control and monitoring purposes this risk has been split into sub risks. These are assessed and reviewed individually.</p>					
DCC015a Delivery of General Fund Service(s) Affected by Loss of Critical Asset(s)	<p>Risk to service delivery due to the loss of a critical asset. The Council is reliant on the availability of assets as enablers for the delivery of key services. The Council's tenure varies between owner, tenant and landlord, and the assets are an eclectic mix from office accommodation, light industrial, schools and housing, to depots, parks and roads. The effect and timescale for recovery following complete or partial loss of a critical asset will vary dependent on the individual asset and the specific risk event.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> ~ loss of income / cost of alternative service provision ~ service interruption / loss ~ political risk ~ Inability to meet client expectations / interruption of statutory services delivery 					

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC015b Delivery of HRA Service(s) affected by Loss of Critical Asset(s)	<p>The Council has a large-scale exposure to property risk, as owner and landlord of around 12,500 Council owned residential properties. Whilst the risk to residential property is mostly spread over terraced, semi-detached and small blocks of flats and therefore limited in terms of extent, there remain larger flatted multi blocks which would pose a major risk event should the loss of one of these occur for whatever reason. In addition, the Service is responsible for direct access temporary accommodation, specifically Lily Walker which is used for homeless accommodation.</p> <p>Climate change adds to the risk levels with potential for more frequent and intense storms resulting in increased incidence of damage and loss, and ongoing expectations of improving standards in respect of insulation, heating, cooling, quality.</p> <p>Impact / consequences:</p> <ul style="list-style-type: none"> - Increased costs of compliance / protection / maintenance / repair - Political / reputational damage - Insufficient / inadequate housing stock to meet demand - Increased H&S risks 					

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC015c Delivery of the Council's Long Term Objectives is Impacted by Insufficient Investment in Assets & Infrastructure	<p>The Council continues to experience a period of financial constraints which, combined with high inflationary pressures, has led to reduced availability of revenue and capital funds and an increasing need to focus tight cash resources on key priorities. There is an ongoing, and potentially increasing, level of risk that this will lead to inadequate investment in assets and infrastructure (both existing and new) resulting in an impact on the Council's ability to meet its strategic objectives. This may be a direct or indirect impact, or potentially both.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> - Ongoing erosion to the standard of existing assets / infrastructure leading to higher costs in the longer term to repair / replace these - Key assets / infrastructure become unfit for purpose, leading to their complete loss - Service provision impacted adversely / inability to provide some services - Environmental obligations not, or only partially met 					
DCC017 Public Sector Reform	<p>Ongoing public sector reform is anticipated, with this taking various forms and having the potential to impact any part of the Council. For this reason, various sub-risks will be used to reflect the different areas of risk as these are identified.</p>					

Risk Code & Title	Risk Description	Inherent Risk	Residual Risk	Related Risks Code & Title	Inherent Risk Score	Residual Risk Score
DCC017a National Care Service	<p>The creation of a new National Care Service represents a risk to the Council, it's staff and to service users. Specifically the uncertainty surrounding how the NCS will eventually be structured, including the interface with Local Authorities such as resource provision, funding and provision / funding of support services.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> ~ impact on the ability to improve outcomes for service users ~ service disruption ~ staff concerns - employment position unclear / potential recruitment and retention difficulties ~ uncertainty likely to exacerbate already 'fragile' position in terms of recruitment and retention ~ lack of clarity over future of the essential Chief Social Worker role ~ inability to reasonably plan for ongoing service provision ~ lack of clarity over future of Integrated Children's Services - at time of writing (10/2022) a national working group has been established to consider this, but this is at a very early stage. ~ as yet unknown impact on support services currently provided by the Council ~ financial impact ~ reduction to / loss of local input ~ uncertainty over longer term occupation of Council owned / leased HSCP premises? 	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>			

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DCC CRR - Committee Overview

Report Type: Risks Report

Report Author: Reece Kelly

Generated on: 03 August 2023



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RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
1. COUNCIL CORPORATE RISKS – DCC Corporate Level Risk Register	The Council's high level Corporate Risk Register. Risks held directly within this register are the key high level risks to delivery of the Council's strategic goals.			

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC001 Financial Sustainability	<p>Risk that the Council is unable to deliver priorities and meet financial obligations due to financial constraints arising from funding pressures and demand pressures</p> <p>Impact / Consequences</p> <p>Fail to deliver objectives</p> <p>Maintaining sufficient revenue and capital resources to meet ambitions</p> <p>Reputational damage of going concern issues</p> <p>Lack of funding for capital and change programmes</p> <p>Need to resort to short-term reactive measures</p> <p>Failure to achieve Best Value</p>			<p>Budget setting and approval process.</p> <p>Capital Plan setting and approval process.</p> <p>Capital Investment Strategy approval.</p> <p>Capital and revenue monitoring.</p> <p>Approval of 3 year revenue budget.</p> <p>Option Appraisals/business cases requirements and approval process.</p> <p>Finance and Support Manager embedded in services.</p> <p>Capital Strategy Group scrutiny.</p> <p>Formal Timetable for revenue and capital monitoring</p> <p>Corporate Leadership Team approval and actions regarding revenue monitoring.</p> <p>Reserves Policy</p> <p>Medium Term Strategy</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC002 Effectiveness of Partnerships	Risk that partnerships are not effectively commissioned, contracted and monitored and fail			<p>Statutory Consultation Process</p> <p>Joined vision & defined objectives</p>

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to deliver expected results. Key partnerships include:

- L&CD
- Tayside Contracts
- Tayside Procurement Consortium – Tayside Scientific Services
- Tayside Plan for Children, Young People and Families
- Employability Partnership
- Alcohol and Drugs Partnership

NB: IJB /DH&SCP is considered separately as risk DCC012 IJB/DHSCP

Impact / Consequence:

- Reputational damage
- Risk of dispute arising between partners
- Partnership breakdown causes or is caused by failure to deliver outcomes / priorities
- Needs are not met in accordance with approved strategies and policies
- Potential overspends / additional costs incurred
- Partnerships do not deliver value for money

Performance Management Framework
Partnership Risk Strategy / Plan
Governance Structure
Partnership contract / Service Level Agreement
Benchmarking / Market Testing
Financial Monitoring
Governance Structure
Due Diligence & Financial Governance
Monitoring Meetings
Review Meeting & Reporting
Quarterly Lead Officer Review Meeting
'Follow The Public Pound' Reporting

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC003 Resilience	Risk that the Council is unable to deliver critical services due to inadequate business resilience or cyber security arrangements. Risk that the Council cannot respond to or support emergencies in its area, or meet requirements of	<p>Liability Impact</p>	<p>Liability Impact</p>	Senior Officer Resilience Group. Emergency response procedures Local Resilience Partnership Corporate Generic Emergency and Business Continuity Plans.

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the Civil Contingencies Act 2004
 Impact / Consequences

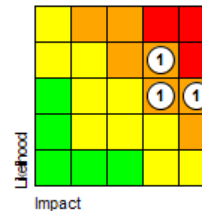
- Allow physical, financial or emotional harm to come to citizens or stakeholders
- Unable to deliver frontline services following disaster, failure or cyber security incident
- Loss of information / records
- Reputational impact
- Unlawful disclosure of sensitive information
- Financial cost and penalties

Care Provision Impact Analysis
 Debriefs to Learn Lessons
 Appointment of Resilience Officer
 ICT Disaster Plan
 Data Centre Back-Up
 Safety & Alarm Response Centre
 Weather Response Plans
 Communication Strategy
 Membership of Govt Cyber Security Team
 Scottish Government Cyber Essentials framework
 Cyber security Protection
 Cyber Penetration Testing
 Phishing testing / awareness procedures
 Payment Card Industry Standards Adherence
 Public Sector Network Accreditation
 Network Data Security

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
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DCC004 City Plan

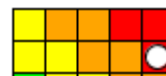
[LINK TO CITY PLAN 2022-2032](#)



RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
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DCC004a CITY PLAN – Failure to Adequately

Dundee has enduring inequalities concentrated in certain communities, in particular Linlathen and



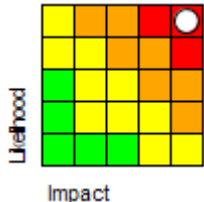
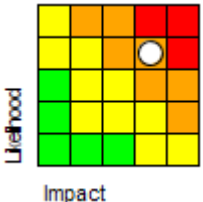
Child Poverty Pathfinder Project (Project Board Established)

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Address Poverty /
Inequalities

Stobswell West. Within the City as a whole, 22.5% of children are living in poverty after housing costs, while 31% of all households in Dundee are estimated to be fuel poor. Health inequalities persist, with below average life expectancy, higher than average incidences of overweight and obese P1 pupils and issues with drug dependency. Failure to address these underlying issues risks further entrenchment of the current inequalities, a potential widening of the attainment gap and lost opportunities to improve wellbeing and raise citizens out of poverty, particularly in relation to children and young people.

Local Fairness Initiatives – focus on Linlathen and Stobswell West
Local Community Plans
Tayside Plan for Children & Young People
Child Healthy Weight Strategy
Dundee Drug and Alcohol Services Strategic Commissioning Plan
Dundee Health and Social Care Strategic and Commissioning Plan
Local Child Poverty and Fairness Plan
Strategic Housing Investment Plan
Tayside Plan for Children, Young People and Families
Fairness Leadership Panel

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004b CITY PLAN – Failure to address climate change / net zero	As a consequence of climate change, there is a risk that the Council may be unable to deliver the Council and Corporate plans. In response, the Council has declared a 'climate emergency'. Impact / Consequences: – operational and reputational impacts – irregular weather patterns – increased flood risk due to more extreme rainfall alongside heightened drought conditions – property and infrastructure damage sustained from more extreme wind – danger to individuals from storm damage to infrastructure / property / vegetation – financial costs of storm damage			Dundee Biodiversity Action Plan 2020–30 Dundee Climate Action Plan Dundee Climate Change Partnership Intention to meet Net-Zero Greenhouse Gas Emissions by 2045 or earlier Local Food Growing Strategy Regional Transport Strategy Waste and Recycling Strategy Action Plan 2020–25 Engage with communities about the climate challenge and foster participation and collaboration to enable local action Take action to ensure our communities, green networks

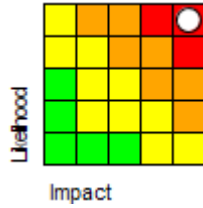
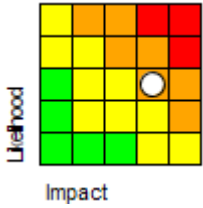


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– financial requirements to adapt buildings to cope with climate change

and infrastructure are adaptable to a changing climate and reduce the risks and vulnerability to unavoidable impacts

MSIP – 'supporting a fair and just transition to a net zero economy

Annual carbon emissions reduction reporting

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004c CITY PLAN – Inadequate steps taken to generate inclusive economic growth / community wealth building	In Dundee, the state of the economy is mixed. While there have been many efforts to increase economic growth and wealth generation, with improvements on levels of employment pre COVID, Dundee still falls below the average for Scotland in various key metrics. Dundee has a less economically active population than average and of those, less individuals were in employment than the average by 1.8%. The unemployment rate is higher by 1%(4.9% compared to 3.9%) Although there has been major improvements since COVID, a lot of the working population will still be feeling the effects of COVID in the workplace. Failure to address these issues can result in higher unemployment rates and therefore a less economically active population. This can impair the city's ability to generate wealth and cultivate a strong economy that's sustainable going into the future			<p>City Centre Investment Plan</p> <p>Discover Work Strategy & Action Plan</p> <p>Dundee's Cultural Strategy 2015 – 2025</p> <p>Tay Cities Deal and Regional Economic Strategy 2017 – 2037</p> <p>Tourism Strategy</p> <p>Deliver an extensive community wealth building strategy</p> <p>Continue to take forward proposals for the Eden Project</p> <p>Increase the number of Start-ups and SMEs and support their expansion</p> <p>Deliver Michelin Scotland Innovation Parc's Vision and Business Plan</p> <p>Attract more Skilled Green Jobs</p> <p>Maximise apprenticeship opportunities</p> <p>Increase the number of better paid private sector jobs</p> <p>Grow the number of local organisations registered as Living Wage employers</p>
DCC005 Governance	Risk that the Council's governance arrangements			Publication of Governance Documents

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- do not operate effectively in order to meet stakeholder and legislative requirements.
- Impact / Consequence
- Fail to deliver objectives
 - Unable to demonstrate Best Value
 - Inappropriate use of resources (from fraud or error)
 - Inadequate transparency
 - Poor decision making
 - Increased scrutiny

- Integrated Impact Assessments
- Public Meetings Where Possible
- Report Checking Procedures
- Whistleblowing Policy
- Leader of Opposition Chairs Scrutiny Committee
- Annual Governance and Assurance Statement
- Chief Financial Officer checklist completion and review
- Integrity Group
- Risk and Assurance Board

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC006 Corporate Health & Safety	<p>Risk that the Council has inadequate arrangements to protect those for whom it has a duty of care.</p> <p>Impact / Consequence</p> <ul style="list-style-type: none"> - Allow harm to come to citizens, tenants, staff or stakeholders - Reputational impact of failure - Legal intervention - Financial cost and liabilities - Impact on staff wellbeing 			<ul style="list-style-type: none"> H&S Policy & Training Risk Assessments Benchmarking Four Year H&S Plan & Actions Annual H&S Reporting Induction Training H&S Team Outposting Trade Unions Liaison Individual Service H&S Procedures
DCC007 Information Governance	<p>Risk that the Council information is not governed in line with legislative requirements, including GDPR and FOI legislation.</p> <p>Impact / Consequences</p>			<ul style="list-style-type: none"> Appropriate Policies In Place Annual accreditation to Public Service Network framework Cyber Essentials framework

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- Allow confidential or sensitive information to be shared unlawfully
- Reputational impact of failure
- Legal intervention
- Prosecution
- Financial cost and liabilities
- No suitable information available to support decision making

- Cyber security Protection
- External Penetration Testing
- Payment Card Industry Standards Adherence
- Data Centre Back-Up
- Network Data Security
- Information Governance Manager Appointed
- Training

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC008 Workforce	<p>Risk that there is inappropriate or insufficient staff resources to meet service demands and deliver the Council vision</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> - Fail to deliver objectives - Increased sickness absence - High vacancy level / inability to recruit - Reliance on contractors / agency staff - Loss of corporate knowledge from departures - Inadequate skills / experience - Lack of resources to deliver priorities - Impact on personal wellbeing - Loss of specialist skills to competitors 			<ul style="list-style-type: none"> Management Training Employee Support Recruitment Procedures Consistent Terms & Conditions Sickness Absence Monitoring Employee Reviews Talent Management Developing Young Workforce Strategic Frameworks Strategy Linkages Leadership Development Strategic Trade Union Forum

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC009 Statutory & Legislative Compliance	<p>Risk that the Council fails to operate in accordance with law, regulation and statutory guidelines</p> <p>Impact / Consequences</p>			<ul style="list-style-type: none"> Appointment of Legally Qualified Officers Monitoring Officer Appointed Monitoring of Legislative developments

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- Non compliance and legal challenge
- Financial cost and liabilities
- Obligations to vulnerable groups not met
- Reputational impact
- Ministerial or Regulatory action/censure
- Failure to achieve Best Value

Professional Expertise
 Oversight Teams / Committees
 Risk and Assurance Board

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC010 Major Project Delivery	Risk that major projects are not delivered on time, to budget and do not provide the designed benefits. Impact / Consequences - Fail to deliver objectives - Essential services not delivered - Financial cost and liabilities - Reputational impact			Continued use of Project Boards Regular Project Reviews Project Management Resourcing Option Appraisals / Approval Process Procurement Route Selection Process Management Systems in Place Statutory consultation Capital Strategy Group Scrutiny Capital Plan setting and approval process Capital Investment Strategy approval Capital and revenue monitoring

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC011 Transformation	Risk that transformation and change impacts on business as usual activities, fails to deliver objectives and benefits or is insufficient in response to the changing external environment. Impact / Consequences - Fail to deliver objectives/implement agreed changes			Programme Review Programme Management Office Established Corporate Leadership Team Sponsorship & Scrutiny Review Procedures & Methodologies Alignment With Council & City Plan Priorities Budget Monitoring & Benefit Realisation In Place

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- Financial cost and liabilities
- Demand and expectations not met
- Fail to achieve required savings
- Reputational impact
- Impact on staff wellbeing and culture

Capital Plan Management
Workforce Plan Reporting & Scrutiny

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC012 Integration Joint Board / Dundee Health and Social Care Partnership	<p>Risk that the Dundee HSCP is unable to deliver statutory / essential services due to financial, workforce or governance issues</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> • Unable to meet aims within anticipated timescales • Unable to maintain spend within allocated resources • staffing issues impact on organisational priorities and operational delivery • adverse impact on staff engagement / buy-in • impact on staff morale and potential exposure to claims 			<p>Financial Monitoring</p> <p>Management of Workforce employed by DCC</p> <p>Budget setting process</p> <p>Elected Member representation on Integration Joint Board</p> <p>Integration Joint Board Agendas and Minutes published on DCC website</p> <p>IJB Internal Audit Plans and Reports are reported to the Council's Scrutiny Committee</p> <p>Benefit also received from control measures deployed for risk DCC008</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC013 Fraud & Corruption	<p>Risk that the council is exposed to all elements of fraud & corruption including those in the following categories:</p> <ul style="list-style-type: none"> ~ financial transactions including money laundering ~ human resources ~ procurement & contracting ~ property leases & land 			<p>whistleblowing / fraud reporting policy & procedures</p> <p>registers of interests (members & officers)</p> <p>integrity group</p> <p>gifts gratuities & hospitality policy</p> <p>close working relationships policy</p> <p>Serious Organised Crime Group 'SOCG' – DETER action plan</p>

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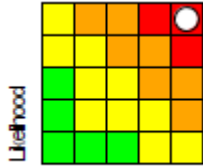

- ~ IT / data
- ~ decision making
- Impact / consequences:
- ~ financial loss to the council
- ~ failure to achieve best value
- ~ inappropriate awards of contracts
- ~ potential sub-standard service
- ~ potential legal challenge
- ~ adverse audit
- ~ reputational damage to the council
- ~ impact on staff morale
- ~ failure to comply with legislation / regulation
- ~ inappropriate influence / decision making
- ~ data loss / misappropriation
- ~ enabling serious organised crime

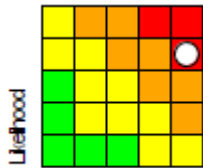
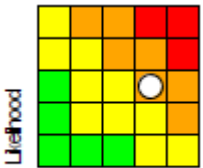
- fraud guidelines
- annual governance statement self-assessment process, with central review of responses for efficacy / compliance
- Anti Money Laundering procedures / reporting officer
- data matching processes & procedures including National Fraud Initiative
- revenue & capital monitoring
- systems access controls
- procurement / supplier controls
- active information sharing
- anti-bribery policy in place
- Compliance Groups
- formal reconciliation framework
- Ethical values framework (incorporates national code of conduct, whistleblowing, fraud etc)
- Control self-assessment and best practice guides

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015 Property & Infrastructure Assets	The Council holds significant levels of property and infrastructure assets valued at over £1 bn. There are various risks associated with these assets, including (but not limited to) the need to support an adequate level of ongoing investment to maintain, improve and replace them; the potential for loss of critical assets; societal changes resulting in potential redundancy of certain assets / increased demand for others. There are key areas of potential impact within the			

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Council associated to property and infrastructure risks, and for control and monitoring purposes this risk has been split into sub risks. These are assessed and reviewed individually.

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015a Delivery of General Fund Service(s) Affected by Loss of Critical Asset(s)	<p>Risk to service delivery due to the loss of a critical asset.</p> <p>The Council is reliant on the availability of assets as enablers for the delivery of key services. The Council's tenure varies between owner, tenant and landlord, and the assets are an eclectic mix from office accommodation, light industrial, schools and housing, to depots, parks and roads. The effect and timescale for recovery following complete or partial loss of a critical asset will vary dependent on the individual asset and the specific risk event.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> ~ loss of income / cost of alternative service provision ~ service interruption / loss ~ political risk ~ Inability to meet client expectations / interruption of statutory services delivery 			Home working arrangements

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015b Delivery of HRA Service(s) affected by Loss of Critical Asset(s)	<p>The Council has a large-scale exposure to property risk, as owner and landlord of around 12,500 Council owned residential properties. Whilst the risk to residential property is mostly spread over terraced, semi-detached and small blocks of flats</p>			<p>Housing emergency accommodation plan</p> <p>Out of hours service – duty to respond in case of emergency</p> <p>Maintaining staff awareness through briefing sessions on housing emergency plan</p>

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and therefore limited in terms of extent, there remain larger flatted multi blocks which would pose a major risk event should the loss of one of these occur for whatever reason. In addition, the Service is responsible for direct access temporary accommodation, specifically Lily Walker which is used for homeless accommodation.

Climate change adds to the risk levels with potential for more frequent and intense storms resulting in increased incidence of damage and loss, and ongoing expectations of improving standards in respect of insulation, heating, cooling, quality.

Impact / consequences:

- Increased costs of compliance / protection / maintenance / repair
- Political / reputational damage
- Insufficient / inadequate housing stock to meet demand
- Increased H&S risks

Tenants' responsibilities

Investment / planned maintenance plans

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015c Delivery of the Council's Long Term Objectives is Impacted by Insufficient Investment in Assets & Infrastructure	The Council continues to experience a period of financial constraints which, combined with high inflationary pressures, has led to reduced availability of revenue and capital funds and an increasing need to focus tight cash resources on key priorities. There is an ongoing, and potentially increasing, level of risk that this will lead to inadequate investment in assets and infrastructure (both existing and new) resulting in an impact on the Council's ability to meet it's strategic			Corporate Asset Management Plan Individual Asset Management Plans – Class Specific Detailed Asset Reviews Strategic Housing Investment Plan (SHIP)

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objectives. This may be a direct or indirect impact, or potentially both.

Impact / Consequences:

- ~ Ongoing erosion to the standard of existing assets / infrastructure leading to higher costs in the longer term to repair / replace these
- ~ Key assets / infrastructure become unfit for purpose, leading to their complete loss
- ~ Service provision impacted adversely / inability to provide some services
- ~ Environmental obligations not, or only partially met

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC017 Public Sector Reform	Ongoing public sector reform is anticipated, with this taking various forms and having the potential to impact any part of the Council. For this reason, various sub-risks will be used to reflect the different areas of risk as these are identified.			
DCC017a National Care Service	The creation of a new National Care Service represents a risk to the Council, it's staff and to service users. Specifically the uncertainty surrounding how the NCS will eventually be structured, including the interface with Local Authorities such as resource provision, funding and provision / funding of support services. Impact / Consequences: ~ impact on the ability to improve outcomes for service users			<p>Influencing through membership / association with external bodies</p> <p>Scenario Planning</p> <p>Ongoing Consideration of the impact on support services and action which may be required to rationalise / protect these</p>

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- ~ service disruption
- ~ staff concerns – employment position unclear / potential recruitment and retention difficulties
- ~ uncertainty likely to exacerbate already 'fragile' position in terms of recruitment and retention
- ~ lack of clarity over future of the essential Chief Social Worker role
- ~ inability to reasonably plan for ongoing service provision
- ~ lack of clarity over future of Integrated Children's Services – at time of writing (10/2022) a national working group has been established to consider this, but this is at a very early stage.
- ~ as yet unknown impact on support services currently provided by the Council
- ~ financial impact
- ~ reduction to / loss of local input
- ~ uncertainty over longer term occupation of Council owned / leased HSCP premises?

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