REPORT TO: POLICY AND RESOURCES COMMITTEE - 24 AUGUST 2020

REPORT ON: COVID 19 RECOVERY RISK REGISTER

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 193-2020

1.0 PURPOSE OF REPORT

To present to Policy and Resources Committee the Council's Covid-19 Recovery Risk Register (C19 RRR).

2.0 RECOMMENDATIONS

It is recommended that Committee:
i.   note the content of this report; and
ii.   remit this report to the Scrutiny Committee for further consideration.

3.0 FINANCIAL IMPLICATIONS

None.

4.0 BACKGROUND

4.1   This is the first risk report to Policy and Resources Committee specific to Covid-19, and as a result there are no background references.

4.2   This report should be read in conjunction with the Council's Recovery Plan, also presented to this Policy and Resources Committee with report 185-2020.

5.0 COVID-19 RECOVERY RISK REGISTER – DEVELOPMENT AND PURPOSE

5.1   Covid-19 has had a profound effect on a global scale impacting communities, organisations and individuals at a national and local level. Dundee City's local response has been positive, providing wide ranging support and assistance as necessary. As the Council and its partners move into the recovery phase, a number of risks are emerging, which need to be actively considered, managed and mitigated. To help support this critical process, the Council has developed a corporate C19 RRR.

5.2   The purpose of the C19 RRR is to serve as a focal point for managing the risks to recovery and encourage ongoing consideration of these. Alongside this, and of equal importance, the risk register details:

- controls and mitigants in place to reduce the likelihood and / or impact of identified risks;
- control gaps and necessary actions to address them; and
- opportunities which may arise.

5.3   The C19 RRR, which is attached at Appendix A, was developed by key senior officers, including individual corporate risk owners (see 6.1 below) named in the C19 RRR and their colleagues, following review and refinement of a draft Recovery Risk Register, the content of which was informed by the Corporate Risk Management Co-ordinator following comprehensive research and consultation.

5.4   The content of the C19 RRR should not be regarded as a definitive list of risks and responses to them. It is almost certain that other risks will emerge during the recovery period, along with further control measures and opportunities. The attached C19 RRR should, therefore, not only be viewed as a reference point to manage and mitigate risks that have already been identified, but also as a framework on which to build.

6.0 COVID-19 RECOVERY RISK REGISTER - CONTENT

6.1 A total of 20 key risks have been identified by the Council and corporate 'ownership' of these was assigned to senior officers. The individual corporate risk owners were asked to liaise, as appropriate, with colleagues and carry out the following tasks:

- consider and refine explanation of risks;
- consider what controls should be deployed to mitigate against the risks and respond to them should they come to fruition;
- identify any remaining control gaps;
- identify any opportunities there may be; and
- score the inherent and residual risks.

6.2 The inherent (uncontrolled) and residual (taking account of effective control measures) risks were 'scored' in accordance with the Council's standard risk assessment matrix at Appendix B. The number of inherent and residual risks falling into each Risk Level have been summarised in 'Table A' below. This shows a meaningful shift downwards in the level of risk from a Very High bias to primarily High, with two having moved to Moderate. See Appendix C.

6.3 Also detailed in Table A, is the average score before and after consideration of the control measures which confirms the above, with the average overall score falling from 21.6 (Very High) to 15.5 (High).

Table A

Risk Level	(No.) Inherent Risks	(No.) Residual Risks
Very High	16	5
High	4	13
Moderate	0	2
Total	20	20
Average Score	21.6 (Very High)	15.5 (High)

6.4 The reduction to the overall risk, and to each risk individually, is of course dependent on the effective deployment of the identified control measures and the importance of this cannot be over-stated.

6.5 The extent to which Risk 20. 'Further Waves' (of Covid 19) can be controlled at a local level does have some limitations, and whilst there is a suite of control measures identified, it should be noted that there are also three important actions to further address the possibility of this eventuality.

6.6 In summary, having identified key risks during the recovery period, it is now important across the Council to ensure that control measures are administered effectively with control gaps suitably and timeously addressed. A number of opportunities were also identified during this exercise and these need to be appropriately considered.

7.0 POLICY IMPLICATIONS

This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

8.0 CONSULTATIONS

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

9.0 BACKGROUND PAPERS

None.

GREGORY COLGAN, EXECUTIVE DIRECTOR OF CORPORATE SERVICES   **DATE: 04/08/2020**

Covid 19 RECOVERY RISK REGISTER

Risk Domain	Specific Risk Area	Explanation of Risk	Impact / Consequence	Inherent			Control Measures / Mitigants	Residual			Control Gaps / Actions	Owner(s)	Opportunities?
				Likelihood	Impact	Total		Likelihood	Impact	Total			
	1. Financial Stability - Expenditure	* Risk that financial measures established to address Covid 19 related issues place an unsustainable drain on resources beyond the immediate crisis ending, with insufficient alternative income received to address the funding gap * Risk that 2020/21 (and beyond) budgeted savings are not achieved, leading to over-budget expenditure * DH&SCP costs escalate in the long term due to Covid 19, leading to a further draw on DCC (& NHS) funding	* Significant funding gap * Inability to meet budgeted commitments * Extreme 2021/22 funding pressures * Inability to provide some services at all * Capital programme requires to be reviewed * Going concern status in doubt * Increased level of write offs * Inability to continue established contracts	5	5	25	1 Close central and Service level cash flow / budget monitoring, with regular budget re-assessments and reporting by services to Corporate Finance 2 Regular re-assessment by Corporate Finance of combined Council budget, with regular re-forecasting and outcome reporting 3 Ongoing recording of Covid 19 related expenditure / savings - COSLA reporting 4 Communication with Scottish Government through all available channels 5 Planned / controlled reduction in levels of service / expenditure 6 Prioritisation of capital spend to mitigate against associated revenue budget and cash flow impacts 7 Recovery plans as prepared by each strategic service and their teams available to be used in assessing the financial implications associated with recovery actions 8 Specific consideration being given to Services and the IJB, which have had significantly increased costs 9 Corporate financial recovery plan 10 Savings tracker in place to monitor implementation and achievement of approved savings	4	5	20	1 Continue dialogue with Scottish Government and COSLA 2 Implement actions from financial recovery plan	Head of Corporate Finance	1 Ongoing savings gained through 'new ways of working' - e.g. increased home working and other more flexible arrangements 2 Review of service delivery particularly around more electronic ways of working and less use of cash
	2. Financial Stability - Income	* Income originally budgeted at pre-crisis levels is seen to reduce significantly, e.g. LGFS, Council Tax, NDR, commercial rents, domestic rents, commercial income (car parks, planning etc.) etc.		4	5	20	1 Close central and Service level cash flow / budget monitoring, with regular budget re-assessments and reporting by services to Corporate Finance 2 Regular re-assessment by Corporate Finance of combined Council budget, with regular re-forecasting and outcome reporting 3 Increased / new (and re-introduced) charges for services 4 Reduced / removal of services - reduction to largely core / statutory 5 Specific consideration needs to be given to LaCD - complete loss of till income for a protracted period and will not see an immediate / sudden re-start 6 Other fee generating areas (e.g. CD, NS) will also need careful consideration 7 Preparation of recovery plans by each strategic service and their teams should give an indication of the financial implications associated with recovery actions 8 Deferral arrangement agreed where appropriate	4	5	20	1 No budget for bad debt provision / write off in most areas	Head of Corporate Finance	1 Review charging policies 2 Review parking policy
	3. Third Sector Service Providers	* Financial instability / potential collapse of key providers leading to difficulty in ensuring short / medium term service provision	* Inability to source essential services * Financial expectations of third sector cannot be met * Increased cost of service provision * Additional burden on internal services * Quality of service reduces	5	5	25	1 Maintain regular communication with third sector essential service providers 2 Advance (confidential) prioritisation of service providers for exceptional support where essential 3 Redeploy Council staff in short term, where essential and appropriate, to assist providers of essential services in maintaining adequate service levels 4 Ensure open communication channels with other authorities re third party providers 5 Ensure service quality assessments are maintained 6 Close monitoring of third sector financial position, as considered necessary 7 Advance identification of alternative providers where potential terminal weakness of existing providers is identified 8 Preparation to bring essential service provision 'in-house' where appropriate / necessary 9 Review of existing SLAs	4	4	16	1 Moving from a day by day management of the Covid 19 response to business as usual. Work is going on to develop categorisation of ratings for Service providers including sustainability	Head of Finance & Strategic Planning - DH&SCP	1 Potential for some consolidation in the third sector - removal of weaker / poorer quality operators? 2 Opportunities to work with operators who may be able to re-focus / specialise 3 Consolidation of the collaborative, flexible and creative approaches with 3rd Sector developed during the challenging Covid 19 response
	4. Property	* Office accommodation unable to house pre-Covid 19 staffing levels due to social distancing requirements * Backlog of repairs and maintenance - budgetary issues, rising costs based on current market forces & legislation changes * Timescales and resource for preparation of property for post Covid 19 occupation * Increased market uncertainty and downturn in developer interest in property & land deals * Slow restart to construction sites and rising material costs * Difficulty marketing and selling surplus properties * Defaulting of tenant leases due to post Covid 19 economic conditions * Difficulty letting vacant commercial properties * Continuity of external service contractors for H&S statutory contracts	* A proportion of staff will be unable to return to their regular workplace * Compressed funding requirement to catch up on overdue works * Reduction in sales value of surplus properties * Security of unoccupied properties * Reconfigurations required to existing premises * Loss of rental income due to business failures *Downward pressure on capital and rental values due to market conditions *Increased holding costs, eg rates, utilities, security, due to greater level of voids	5	5	25	1 Continuation and development of remote, touchdown and home working 2 Reconfigure existing accommodation to maximise usage of available space whilst maintaining social distancing with adequate margins of safety 3 Close budgetary control and regular review / monitoring of property expenditure 4 Post Covid 19 operational protocols developed for each property and implemented (incl. corporte H&S sign off) 5 Monitor and implement Scottish Government guidance 6 Develop strategies for liaising with prospective developers focusing on potential deals that can be delivered in the short term. Ensure marketing reaches as wide an audience as possible 7 Financial checks to continue to be carried out on all prospective tenants, monitoring of existing leases and reacting where possible to constraints with ability to meet rental obligations 8.Greater flexibility on terms of leases may need to be considered to protect tenancies and reduce voids 9 Close communication with all terms contractors, plan and programme to give continuity of work, prompt payment, vigilant for signs of business erosion 10 Consider additional marketing tools and resources 11 Continue regular security inspections programme of unoccupied buildings	4	4	16	1 Repurposing IT for remote and home working 2 Ensure services are committed to exploring and implementing measures to reduce the property portfolio footprint	Head of Design & Property Services	1 Building merger programme - opportunity to reduce the Council property portfolio, opportunity for services to collaborate, reduce financial property obligation 2 Remote / home working - roll out of Microsoft teams & video conferencing facilities for all staff will assist with implementation 3 Work with developers with focus on current market and constraints now in place based on Covid 19 conditions.

Council	Risk	Risk Description	Consequences	L	I	Score		Controls	L	I	Score		Further Actions	Owner	Opportunities
Council	5. Demand Levels	* Risk that demands placed on customer facing and internal services remain considerably above established pre-C19 levels, placing added strain on already hard pressed services, staff and finances * Backlogs in external bodies place additional demands on Council resources as they attempt to catch up (e.g. sheriff court, DWP)	* Insufficient trained staff to meet demand * Poor quality of service * Complaint levels escalate, exacerbating the situation * Staff morale suffers * Increased absence levels	4	5	20		1 Demand monitoring 2 Continuing (medium term) deployment flexibility across roles / services 3 Complaint monitoring, management and focused communications (internal & external) 4 Ensure service quality assessments are maintained 5 Withdraw selected non-essential / non-statutory processes in short term until demand gets back to balanced historic levels / acceptable 'new normal' levels 6 Maintain regular contact & communications with team members 7 Promote the use of online self services 8 Provide proportionate support in accordance with types/levels of need 9 Work in partnership with external bodies such as the Sheriff Court and Children's Hearings to manage the flow of demand in accordance with available capacity and prioritise higher risk existing case reviews	3	5	15		1 Consider increased staffing levels (redeployment options) 2 Consider long term home working set up / options	Senior Manager - Customer Services & Benefit Delivery	1 Ongoing flexible working in longer term 2 Increased digital working 3 Introduce new service delivery models 2 Focus on personal capacity and asset building
Council	6. Procurement	* Risk that historical commercial suppliers of goods and services are no longer available due to business failure / other commitments or some other reason	* Inability to source essential goods & services * Supply / demand pushes up the cost of goods & services * Increased incidence of fraud / price manipulation * Increased risk of non-compliant contracts / spend	4	5	20		1 Elevate levels of contact with key suppliers - seek assurances over supply of goods / services as necessary 2 As appropriate, use Scotland Excel to ensure suppliers remain sound and capable of continuing 3 Maintain communication with other Councils / Scottish Government 4 Maintain active control measures to identify and reduce fraud 5 Contract monitoring arrangements 6 Accelerated payment terms with all suppliers 7 Additional specific support for Early Years and Transport providers	3	5	15		1 Tayside Collaborative project to progress 2 Addtional procurement guidance and training to be rolled out	Executive Director of Corporate Services & Head of Corporate Finance	1 Review contract management arrangements 2 Review most appropriate procurement routes
Council	7. Fraud / Corruption	* Risk that Covid 19 related fraud attempts will continue into 'recovery' period (albeit perhaps with a different slant)	* Financial loss * Reputational damage * Staff morale suffers * Failure to give Best Value	5	4	20		1 Maintain heightened fraud awareness across all services 2 Communication - specific fraud alerts 3 'Double down' on communication efforts to ensure other pre-existing control measures are implemented and effective 4 NFI exercise 5 Effective use of the fraud RR to direct resource 6 Existing groups (Integrity and Serious Organised Crime) have added specific item to Agenda 7 Internal Audit have been supporting process changes to ensure internal controls maintained	4	4	16		1 Compliance Group Guidance and checklist to be issued 2 Establishment spot checks to be introduced 3 Register of Gifts and Hospitality to be relaunched	Head of Corporate Finance	1 Being more cashless will reduce some opportunities
Council	8. Governance	* Risk that effective governance arrangements are not adhered to due to pressures, constraints and changing priorities related to Covid 19 and the recovery process * Reduced public and regulatory scrutiny	* Failure to adhere to legislation, regulation, standing orders * Political / reputational damage / reduced public confidence * Legal action / fines * Regulatory action * Resource drain due to time consuming action to resolve issues arising	5	5	25		1 Finalisation and ongoing use of Integrated Impact Assessments (IIAs) 2 Management monitoring of system / procedure / legislative and regulatory adherence 3 Message reinforcement that governance / procedural compliance matters 4 Monitoring of legislative / regulatory developments 5 Covid 19 Incident Management Team consideration of legal / regulatory implications / requirements 6 Planning for removal of emergency powers and return to regular reporting committees with public scrutinys 7 Compliance with Standing Orders - Exercise of Delegation of Powers (Urgent Matters Arising Between Meetings) to deal with Essential Council Business 8 Establishment of Recovery Sub Committee with full delegated powers	3	5	15		1 Review of IIAs is underway	Head of Democratic & Legal Services	
Council	9. Information Governance	* New ways of working / remote working / additional demand on stretched resources results in poor adherence to information security and loss of data * Pace of change leads to inadequate / ineffective planning for move to remote and alternative ways of working and reduced or ineffective security	* GDPR / Data Protection breach * Deletion / other loss of data * ICO / Scottish Information Commissioner investigation / fine * Legal action / compensation * Harm to public * Political / reputational damage * Resource drain due to time consuming action to resolve	4	5	20		1 Strong centralised systems and data protection measures 2 Ongoing message reinforcement 3 Enhanced / increased data protection training requirements? 4 Adherence to ICO / Scottish Information Commissioner reporting regime 5 Home workers are suitably trained / sign up to required levels of security adherence 6 Corporate policies in place (but may need reinforcing due to considerably higher levels of home working) 7 Systems access password controls & two factor authentication 8 Technical controls to prevent home printing / restrict webmail access via corporate network / website access restrictions	4	5	20			Head of Democratic & Legal Services	
Council	10. Health & Safety	* Risk to the health & safety of staff, clients and other stakeholders due to Covid 19-19 related issues, including: - Inadequate protective measures - Ineffective implementation of protective measures - Inadequate response / PPE availability to cope with resurgence of infection including changing guidance / regulation (see 20. below) - Concentration on Covid 19 H&S results in other H&S shortcomings	* HSE investigation / action * Political and reputational damage * Injury or death of staff / public * Legal action - compensation / fines * Impact on mental health of staff / public * Teams over-stretched assisting with Covid 19 work	5	5	25		1 Risk assessments and controls being updated to deal with the Covid 19 hazard 2 Revision to H&S policy and guidance to account for Covid 19 specific requirements 3 Buildings re-opening being controlled with specific criteria and standards to be met prior to occupation 4 Monitoring advice from external bodies such as Scottish Government, NHS, HPS, COSLA and other Local Authorities 5 Adherence to Covid 19 legislation, regulation and guidance 6 Effective use of corporate communication channels 7 Phased / partial return to premises occupation and continuation, as appropriate, of remote working 8 Assisting services establish risk controls to minimise the risks for our employees and the community we serve 9 Advising corporate procurement on the standards of PPE required 10 Developing corporate induction package of training to ensure employees are aware of new risk controlsd	4	5	20		1 Update and reiterate public health guidance	Executive Director of Corporate Services & Head of HR and Business Support	

Ref	Risk	Consequences	L	I	Score	Mitigations / Controls	L	I	Score	Further Actions	Owner	Opportunities
11. Education & Wellbeing	* Educational attainment is impaired due to the severe disruption to school based lessons * Lockdown restrictions result in increased instances of abuse and neglect * Increased risk of placement breakdown for Looked After Children as a result of additional pressures and constraints on providing support * Risk to seamless transitions between nursery / primary / secondary / tertiary * Potential teacher shortages due to smaller class sizes * Delay to full implementation of 1140 hrs of Early Learning and Childcare (ELC) (NB: albeit statutory requirement now 600 hrs, DCC remain committed to 1140 as far as possible)	* Failure to achieve attainment targets * Attainment ground lost against peer group * Children do not receive the best start in life * Children are inadequately educated for SQA examination syllabus * SIMD children disproportionately affected * Attainment gap increases * Child protection referrals increase * Inability to accommodate smaller class sizes * Not all children will receive1140 hr of ELC	5	5	25	1 Focus on recovery of attainment particularly in literacy and numeracy supported by additional teacher workforce for recovery and by the Pedagogy Team 2 Increased access to digital devices and connectivity for the most disadvantaged to ensure digital inclusion and access to learning at home. We will continue blended approaches to learning and adjustments to the curriculum to meet the needs of all learners 3 Robust and rigorous tracking and monitoring of attainment data and assessment to plan for appropriate intervention to address gaps 4 Explore opportunities to extend existing joint approaches with LaCD to supporting young people's wellbeing and achievements using pupil equity and counselling funding, including recruitment of counsellors in all secondary schools 5 Increased tracking of vulnerable young people and working with partners to address gaps and identify any hidden harm 6 Robust TATC processes and multi-agency working 7 Accelerate work with the Third Sector on the FORT system to support early access to coordinated support 8 Schools and establishments work closely together to ensure smooth transitions with early intervention and increased awareness of individual needs for transition 9 Additional teachers appointed on temporary contracts for 1 year to support Covid 19 recovery 10 Classes will currently not be reduced in size 11 Retain risk rating system on levels of contact 12 Provide extra support to vulnerable placements 13 Introduce new models such as FFT *1140hrs - assessment of each setting to ascertain safe numbers of children that can be accommodated on an interim basis	4	3	12	1 Situation still subject to change - need to be responsive to ongoing SG advice 2 Prioritise resources to ensure MASH, Intake and Locality Teams maintain capacity	Head of Education / Chief Education Officer	1 Alternative / enhanced education delivery methods 2 Enhanced partnership working and delivery of a range of services through schools 3 Improved measures for identifying hidden harm 4 Enhanced use of digital technology and learning 5 Work with the Third Sector on the development of integrated Family Support Services and the implementation of the Fast Online Referral Tracking (FORT) system to promote easier access to services
12. Staff	* Risk of longer term mental / physical wellbeing impact on staff * Difficulties in recruitment * Ongoing H&S risks from continuing Covid 19 threat * Capacity issues * Ad-hoc removal of equipment to home working environment * Increased Covid 19 spread / 2nd wave of infection * Annual leave build-up as a result of new Covid 19 specific guidance refer financial risks above	* Staff morale suffers * Increased absence levels * Reputational risk * Litigation risk if infection spread through inadequate PPE / procedures * Issue resourcing services adequately * Lack of control over equipment / equipment loss * Large scale shielding of teams * Staff shortages due to a/l c/f issues * Financial cost of essential overtime	4	4	16	1 Prioritise essential recruitment 2 Prioritise essential training 3 Maintain register (formal / informal?) of skills gained during Covid 19 response to cover potential second wave 4 Working arrangement changes to allow for social distancing / use of shared facilities (kitchens, copiers etc.) 5 Support ongoing home working arrangements including physical & mental welfare 6 Continue redeployments as necessary 7 Need to reconsider ongoing working arrangements in medium term for some non-office staff also - e.g. shared cars, vans etc. 8 Advance planning and approval process for transfer of equipment from office to home environment, and inventory control 9 Introduce / enhance signage in buildings to ensure social distancing 10 Carry out risk assessments and implement all required controls 11 Introduce hygiene / protective arrangements - hand wash / sanitiser / desk screening etc 12 Active management of a/l across teams in an effective and timely manner 13 Continued focus on working from home but with greater risk controls for safe working being developed 14 Recruitment to vacancies being prioritised to front line roles with services asked to consider all vacancies carefully to ensure new ways of working are considered rather than replacing like with like 15 Homeworking protocol being developed with a basic 'kit' identified based on risk assessments on actual need 16 Development of the Staff Deployment Team to continue to seek internal recruitment opportunities and less external recruitment 17 Clear guidance in place on using annual leave to reduce the build-up of accrued annual leave from 2020/21 leave year 18 The use of OneDundee and OneDundee on the Move together with all staff emails has helped remote communications with the workforce 19 Staff Wellbeing Service established with advice. Guidance and support materials available on OneDundee and OneDundee on the Move 20 Individual discussions with employee and manager to ensure those affected by shielding and/or chronic health conditions are assessed if returning to the workplace 21 Regular engagement with the trade unions on all employee relations matters to act on issues quickly	3	3	9		Head of HR & Business Support	1 Blended approach to home working where feasible / desirable 2 Improved use of digital technology to aid working practices 3 Staff deployment service to develop the skills database linked to roles and frameworks to increase an internal jobs market 4 Downsizing of the workforce using voluntary methods and reskilling of remaining workforce with opportunities created for the young workforce 5 Continue to work on communications channels for all employee groups 6 Mobilisation of the workforce at the start of the lockdown has resulted in the development of new ways of working which can be built upon
13. IJB / DH&SCP	* Covid 19 related pressure on resources (financial / staff) will have a 'tail', resulting in ongoing medium / longer term pressure on the H&SCP and by association on the Council refer financial expenditure risks above	* Ongoing physical and mental stress on staff * Staff morale suffers * Increased absence levels * Reputational risk * Extreme financial pressure * Potential for multiple legal actions	5	5	25	The H&SCP will have experienced extreme impact from Covid 19 in both clinical and care settings, and a Covid 19 RR has been developed by them and loaded into Pentana. This appears to be 'current crisis oriented' but can be utilised by them to help advise risks and mitigants during the recovery period. This is really for the H&SCP to develop with oversight from the IJB, but clearly issues within the IJB / H&SCP reflect on the Council in many ways - including political, financial and workforce, and lines of communication on IJB / H&SCP impacts should be enhanced as appropriate. There are likely to be ongoing cost and workforce implications extending well into the recovery period, and perhaps beyond, and the impacts of these need to be fully considered at all levels.	4	4	16	1 Remobilisation plans developed to manage the move to business as usual	Head of Finance & Strategic Planning - DH&SCP	1 Capture of lessons learned during the Covid 19 response to develop collaborative, flexible and creative approaches

		Risk	Risk Factors	L	I	Score	Mitigating Actions	L	I	Score	Further Actions	Owner	Opportunities
Key Partners	**14. LaCD**	* Prolonged delay in reopening facilities coupled with added H&S protective measures leads to reduced usage and income / increased costs * Reduced confidence levels in facilities resulting in very slow take up of re-opened facilities * Risk of infection at LaCD facilities and risk of the financial impact of a second wave and potential return to lockdown	* Extreme financial pressure on LaCD and Council * Staffing levels out of line with 'new normal' workload requirements and income * Litigation risk if infection spread through inadequate Covid 19 H&S procedures	5	5	25	1 Scenario planning for various levels of facility usage and staffing requirements to maintain adequate H&S measures for new normal / new ways of working 2 Financial planning in conjunction with '1' above 3 Ensure government guidelines are followed closely and in a safe manner at all times 4 Introduce and monitor / review as appropriate, infection transmission avoidance and minimisation procedures 5 Facilities to remain closed either in part or completely in the absence of adequate safety assurance 6 Risk assessments to be undertaken against background of Covid 19 and procedures developed and implemented to reflect 'new normal' - subject to monitoring and regular review for effectiveness 7 Re-opening Recovery Plan agreed through LaCD's H&S and Property Committee and Board incorporating a phased return of services whilst continuing to access the Scottish Government's Job Retention Scheme (JRS) 8 Financial Recovery Plan agreed through LaCD's Finance Committee and Board 9 Consultation with DCC's City Development throughout recovery phase 10 Clear Communication Strategy in place for staff and public to ensure awareness and understanding of control measures in place	4	5	20	1 Staff training prior to opening to ensure full implementation of preventative actions	Director, L&CD	1 Submission of applications to new funding opportunities when announced, such as the Cultural Investment Fund and the JRS Bonus Scheme 2 Review of service delivery to incorporate examples of good practice taken during lockdown such as increase in online service provision
	15. Further Education	* Risk of significant medium to long term damage due to lack of overseas student numbers leading to current business model being unsustainable * Disruption of SQA examinations has knock-on impact on entry qualifications / application levels	* Resultant economic impact on city of reduced student numbers * Impact on leisure / entertainment and cultural aspects of the Council & city * Threat to well paid jobs in the further education sector	4	4	16	1 Oversight of issue by the Fair Work and Enterprise Board 2 Regular engagement with Higher and Further Education institutions in the city to review student numbers on an ongoing basis 3 Support efforts to market Dundee to prospective students, focusing on quality of education and student experience 4 Conclude Tay Cities Deal and support project delivery 5 FE institutions looking to remote learning for 2020/21 academic year	3	4	12	1 Impact of diminished student numbers on city economy / residential accommodation demand	Head of Planning & Economic Development	
City	**16. Trade & Commerce**	* Businesses fail or struggle to survive / recover across multiple sectors	* Increased unemployment * City becomes less attractive for investment / tourism / leisure * 'High street' store closures result in significantly reduced retail offering * Local severe economic recession	5	5	25	1 Engage with businesses in the city to build understanding 2 Monitor through Fair Work and Enterprise Board 3 Regional Economic Strategy and Action Plan being refocused 4 DCC Recovery Plan 5 Preparation of City Centre Investment Plan 6 Ensure responsiveness of support services, including Business Gateway to challenges 7 Monitor property impacts (vacancies) 8 Promote resources / support for businesses through Council website 9 Conclude Tay Cities Deal and support project delivery 10 Michelin Scotland Innovation Park	4	4	16		Head of Planning & Economic Development	1 Business flexibility and resilience shown by many during Covid 19 2 Support green recovery - build back better 3 Growth in some sectors, including health and social care
	17. Unemployment / Homelessness / Inequalities	* Higher levels of (persistent) unemployment leading to greater levels of homelessness, inequality and demand on Council support services and funds	* Financial impact * Increased demand on Council services * Increased SIMD inclusion and difficulties in shifting this * Income and health disadvantage worsens	5	5	25	1 Monitor through Dundee Partnership; particular focus of Fair Work and Enterprise Board 2 Regional Economic Strategy and Action Plan refocused to respond to challenges 3 Work with partners to respond to changing labour market position and demand in key sectors including Health & Social Care, ELC, Retail, Digital, etc. 4 Enhanced monitoring of Homelessness data / trends / demand 5 Partnership working across Housing, H&SCP and third sector to effectively respond and deliver support and advice 6 Focused response on prevention and early intervention 7 Recommencement of permanent allocations to support availability of temporary accommodation	4	4	16	1 Ensure structure of Discover Work Partnership achieves stronger links between strategy and service delivery 2 Access to software / tools / resources required for the supply of virtual service delivery 3 Further integration between Council & partner employability services to ensure alignment with other relevant services such as health, criminal justice & housing 4 Clarity on the future management, administration and delivery of additional funding, (re)training & employment initiatives announced by both UK and Scottish Government 5 Refresh employability strategy to reflect changed landscapes 6 Develop new or enhanced services / interventions through the use of emerging funds from Scottish Government including No One Left Behind and Parental Employability Support Funding	Head of Planning & Economic Development	1 Accelerate existing employability review including the development of a citywide Employability Strategy & Action Plan and a redesign the 'Discover Work Service' 2 Build on volunteering seen during Covid 19 lockdown, as a means to individuals gaining experience and eventual (re-)employment 3 Homelessness - lessons learned from Covid 19 initiatives 4 Retraining of labour market to meet growth areas including Digital, Healthcare and Early Learning & Childcare with employment opportunities generated from expansion of ELC Hours
	18. Crime Levels	* Increased levels of unemployment, hardship and deprivation leading to greater levels of crime / violence	* Fallout in recovery period from domestic violence during lockdown * Harm to people, property * Anti-social behaviour & associated complaint levels increase, stretching resources * Openings created for increase in serious organised crime * Increased demand on strained Council resources	4	4	16	1 Police Scotland - closely monitor trends across crime categories and allocate resources appropriately in response 2 DCC (Community Safety & Resilience) - maintain capacity in the SARC, Community Safety Wardens and Antisocial Behaviour to support measures to prevent / reduce crime and antisocial behaviour 3 Partners – Build on Community Safety Hub model to promote partnership working (DCC / Police / SFRS & others) to share information to anticipate / react to issues with the most appropriate response 4 DCC & partners – SOC group - strengthen partnership working to share intelligence; raise awareness of emerging issues; tap into available information / resources from National SOC Taskforce 5 DCC (Housing) - Enhanced monitoring of Homelessness data / trends / demand 6 DCC (Housing)- Proactive engagement with Council Tenants to deliver advice / support 7 DCC / H&SCP – work in partnership with Third Sector (DVVA) to provide support and advice to vulnerable groups 8 Dundee Partnership – Monitor trends via ASPC; ADP; CPC; VAWP etc and support the delivery of Action Planss 9 Work with partners to strengthen and expand Whole Systems approaches including the use of Diversion from Prosecution 10 Retain / enhance approaches towards priority crimes and/or the people who commit those crimes 11 Maximise resources for Community Payback Orders including Unpaid Work 12 Maintain approaches towards prisoner release	3	4	12	1 Limited resources across all partners may mean actions need to be prioritised and duplication of effort avoided	Head of Community Safety & Protection	1 Build on volunteering seen during Covid 19 lockdown, to engage with public 2 Certain categories of crime have reduced during lockdown 3 Perfect time to Develop Social Capital in communities and look to empower people 4 Work with partners on new models of service delivery for more vulnerable groups, such as outreach services for people with substance misuse and mental health problems

	19. Leisure, Culture & Entertainment (excl LaCD)	* Unemployment & reduced economy results in less discretionary spend	* Businesses & venues struggle or fail * Vicious cycle creating more unemployment in this sector * Impact on Dundee as a visitor destination * Negative impact on quality of life for citizens	5	4	20	1 Regular dialogue with Dundee Partnership Cultural Development Group 2 Culture Resilience and Recovery Plan produced through partnership 3 Promotion campaign to encourage visitors to the city 4 Regular engagement with business through networks 5 Implement Regional Tourism Strategy 6 Short term measures to build confidence 7 Maximise funding support from Government 8 Work with COSLA and others on a national solution	4	4	16		**Head of Planning & Economic Development**	1 'Staycation' market could be substantially increased - targeted marketing to increase city footfall 2 New, more cost-effective delivery methods - online, enhanced use of outdoor venues 3 Shop local campaigns 4 Dundee an attractive visitor destination - a city without crowds; walkable; high quality open spaces
MAJOR / KEY THREAT TO RECOVERY	**20. Covid 19 Further Waves**	* Lockdown restrictions easing results in a 'second wave' resurgence of the virus	* Return to lockdown with workplace / travel / social etc restrictions * Increase in illness, deaths, social distancing etc * Basically, back to where we were at start of initial lockdown * Increased anxiety levels / mental health concerns	4	4	16	1 Blended approach to home working where feasible in medium / longer term which could result in more permanent arrangements being agreed 2 Maintain office / other social distancing measures and rigidly enforce whilst regulation / guidelines require this 3 Lessons learned from initial lockdown - what worked / what didn't / what could have been done better? Achieve a go-to position of 'immediate excellence' in event of second wave 4 Staff Deployment Service being maintained and developed, looking at internal jobs market 5 Staff deployed as part of response to Covid 19 are maintained 6 Maintain strong relationships with the trade unions to ensure collegiate working in the event of further lockdown situations 7 Co-ordinating Response Team established to bring together the City-wide response, including DCC services and partner agencies	3	3	9	1 Develop new pandemic resilience plans based on lessons learned from the current Covid 19 crisis 2 Continue to collect workforce skills profiles to increase base of information for future deployment as required 3 Continued focus on health and safety measures required to minimise the risk of Covid 19 Transmission in the workplace	**Head of HR & Business Support**	
		AVERAGE SCORES		4.6	4.7	21.6		3.7	4.3	15.5			

Risk Impact Assessment Matrix

Impact / Domain	1 None / Insignificant	2 Minor	3 Moderate	4 Major	5 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 Remote	2 Unlikely	3 Possible	4 Likely	5 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

DCC Standard Risk Scoring Matrix

LIKELIHOOD					
	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5
	IMPACT				