**ITEM No …5……..**

**REPORT TO: POLICY AND RESOURCES COMMITTEE – 25 JANUARY 2021**

**REPORT ON: RISK MANAGEMENT ANNUAL REPORT**

**REPORT BY: CHIEF EXECUTIVE**

**REPORT NO: 47-2021**

## 1.0 PURPOSE OF REPORT

To present to Policy and Resources Committee:

- A comparative review of the Council's Corporate Risk Register (CRR), associated service level risk registers (SRRs), and Covid-19 Recovery Risk Register (C19 RRR);
- An update on implementation of the Risk Management Improvement Plan.

## 2.0 RECOMMENDATIONS

It is recommended that Committee:

- note the content of this report
- approve the revised CRR risk assessments proposed
- confirm the addition of further risks to the CRR
- remit this report to the 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 27 January 2020, Report No 29-2020 and Article III of the Minute of Meeting of the Policy and Resources Committee of 10 December 2018, Report No 378-2018 refer. These reports provided Committee with summary reviews of the Council's CRR.

4.2 Article XV of the Minute of Meeting of the Policy and Resources Committee of 24 August 2020, Report No 193-2020 refers. This report presented the Council's C19 RRR.

4.3 Reference is also made to a previous CRR report submitted to the Council's Policy and Resources Committee meeting on 23 April 2018 (Article IV, Report No 143-2018), which sought approval of the revised CRR.

## 5.0 COMPARISON OF CRR RISKS TO SRR AND C19 RRR RISKS

*It should be noted that the SRR risks as they presently stand take limited or no account of Covid-19 because they were developed prior to the onset of the pandemic. Whilst some service risks have been reviewed recently, the majority of reviews were re-scheduled to November / December 2020, at which point new messages generated by the Pentana system remind officers to give appropriate consideration to the impact of Covid-19 during the risk review process.*

5.1 With service level risk registers now in place across the Council, the opportunity has been taken to undertake a comprehensive review of the CRR against these and the C19 RRR.

5.2 In undertaking this review, it is acknowledged that the nature of a risk at corporate level may vary significantly from similarly titled risks at a service level. However, the service level risks are an important guide to where underlying risks to the Council lie and, as a result, due cognisance requires to be given to these when assessing the Council's corporate risks.

5.3 Similarly, Covid-19 has had a profound effect on a global scale impacting communities, organisations and individuals at a national and local level. It has affected the way people live and work, how businesses operate and has significantly impacted a number of industries including leisure and entertainment, hospitality, retail and travel. It is difficult to think of an area

of our lives that has not been affected by the pandemic and it is, therefore, appropriate that the Council's C19 RRR risks are now considered alongside the CRR risks.

5.4 The following paragraphs, 5.5 – 5.18, provide a synopsis of the comprehensive review exercise, with additional comment where a change to risk scoring for example is recommended. The codes used (e.g. DCC001) relate to the risk codes used in Pentana. For ease of reference, the Council's standard Risk Assessment Matrix, Risk Impact and Likelihood Scoring Matrices, the C19 RRR and an extract from the Council's Corporate Risk Register can be found at Appendices A, B, C and D respectively.

5.5 DCC001 – Financial Sustainability - considered 'High' in the CRR and largely across services but 'Very High' in the C19 RRR.

*Recommendation*: increase the CRR likelihood score from 2 (Unlikely) to 3 (Possible), increasing the overall score from 10 to 15. This retains the existing 'High' risk assessment but increases the overall score to a level more in keeping with current circumstances, the SRRs and C19 RRR.

5.6 DCC002 – Effectiveness of Partnerships - considered 'Moderate' in the CRR, 'High' across the services and 'High' to 'Very High' in the C19 RRR.

*Recommendation*: increase the CRR likelihood score from 2 (Unlikely) to 3 (Possible), increasing the overall score from 10 to 15. Once again this retains the existing 'High' risk assessment but increases the overall score to a level more in keeping with current circumstances, the SRRs and C19 RRR.

5.7 DCC003 – Resilience – No change.

5.8 DCC004a – Children and Young People Development - considered 'High' in the CRR and the C19 RRR but 'Very High' at service level.

*Recommendation*: there is considerable divergence within the SRRs and between the SRRs and the C19 RRR. Further consideration of the SRR risk is required before committing to any change at CRR level.

5.9 DCC004b – Lack of Economic Productivity / Sustainability - considered bottom end of 'High' (10) in the CRR, and at top end of 'High' (16) at both SRR and C19 RRR level.

*Recommendation*: the CRR Likelihood score should be increased from 2 (Unlikely) to 3 (Possible), retaining the existing 'High' overall score.

5.10 DCC004c – Lack of Neighbourhood and Community Involvement - there are no underlying equivalent SRR risks although there are two C19 RRR risks which are scored slightly higher than the CRR risk.

*Recommendation*: consideration should be given to potentially including an equivalent risk at SRR level. Following which, where appropriate, further consideration should be given to whether the CRR risk scoring requires to be revised.

5.11 DCC005 – Governance - no underlying equivalent risk at service level, although included in the C19 RRR and scored higher than the CRR, albeit both considered 'High'.

*Recommendation*: on the basis that all services contribute towards maintaining the adequacy of corporate governance, it is suggested that consideration is given towards potentially including 'Governance' as a specific risk across services. Leaving the current CRR risk score as it is meantime.

5.12 DCC006 – Corporate Health and Safety – the overall score of the CRR risk sits at 'Moderate' (6), whereas the services score this risk 'High' to 'Very High' (10, 12 & 20) and the C19 RRR scores it as 'Very High'.

*Recommendation*: the CRR scores should be increased, more specifically, the impact score should be increased from 3 (Moderate) to 4 (Major) and the likelihood score from 2 (Unlikely) to 3 (Possible), thereby increasing the overall score from 'Moderate' (6) to 'High' (12). Underlying this is the fact that health and safety breaches could result in injury or death, significant cost, reputational damage and disrupt the Council's ability to successfully deliver its objectives.

5.13 DCC007 – Information Governance – the CRR overall score is broadly in line with the SRR scoring at 'High', although there is one SRR outlier scored at 'Very High', which is the same as

is the C19 RRR. Covid-19 has resulted in significant changes to the way many colleagues work, with a substantial increase in home working / online systems access, paper files and electronic devices being taken home longer term, use of personal devices for accessing Council systems etc. hence the C19 RRR 'Very High' score.

*Recommendation*: the CRR likelihood score should be increased from 2 (Unlikely) to 3 (Possible), raising the overall score to 15, nearer the top end of 'High'.

5.14 DCC008 – Workforce – the overall score in the CRR is 'Moderate', whereas SRR risks are universally 'High', other than one very specific risk assessed as 'Moderate'. Aside from that one specific risk, the SRR Impact scores are all 4 (Major). The C19 RRR overall risk is scored as Moderate and the impact score requires further consideration.

*Recommendation*: the CRR impact score should be raised from its current level of 3 (Moderate) to 4 (Major). This would increase the overall residual risk assessment to 'High' in line with service level risks generally.

5.15 DCC009 – Statutory and Legislative Compliance – No change. No equivalent C19 RRR risk.

5.16 DCC010 – Major Project Delivery – the overall CRR risk is 'High', but scored generally lower than the SRR risks. No equivalent C19 RRR risk.

*Recommendation*: increase CRR likelihood score from 2 (Unlikely) to 3 (Possible). Overall assessment maintained as 'High'.

5.17 DCC011 – Transformation – overall CRR risk scored as 'High', SRR risks range from 'High' to 'Very High'. No equivalent C19 RRR risk.

*Recommendation*: increase the CRR likelihood score from 2 (Unlikely) to 3 (Possible), leaving the overall assessment of 'High' but ensuring that it is more aligned to the SRR risks

5.18 DCC012 – IJB / HSCP – this partnership represents a specific risk on the CRR and is assessed as 'Very High' and 'High' on the C19 RRR.

*Recommendation*: no change to CRR risk score recommended.

## 6.0 OTHER RISKS TO BE CONSIDERED FOR INCLUSION IN THE CRR

6.1 In addition to those risks contained within the C19 RRR and SRRs and set out in section 5.0 above, there remain a small number of other risks, which do not fit neatly into an existing CRR risk category but which are appropriate for consideration as new CRR risks. These are set out below in paragraphs 6.2 – 6.4.

6.2 Fraud & Corruption – this risk is contained within all SRRs and the C19 RRR, and was considered previously within report 29-2020, but was not added at that time. The pandemic has impacted since then and this needs to be taken into consideration.

Regrettably, fraud and corruption does happen, and the Council is not immune. In addition to financial loss, it can lead to reputational damage, breaches of legal / statutory duty, reduced staff morale and ensuing investigations which detract from day-to-day activity. There have been examples within the Council and, other than one SRR risk assessed 'Moderate', all services have made an overall risk assessment of 'High' or 'Very High'. Additionally, the onset of Covid-19 saw a considerable increase in scams and frauds, seeking to benefit from people and system vulnerabilities. Fraud and corruption is included as a 'High' risk in the C19 RRR.

*Recommendation*: Fraud and Corruption should be added to the CRR as a specific risk with a current assessment of 'High' - likelihood 4 (Likely) x impact 4 (Major).

6.3 Brexit – Brexit features in a number of service level risk registers. In addition to the loss of access to EU funds, there are potential changes to legislation / regulation, potential staffing issues for external providers, wider economic issues due to the impact of Brexit on the economy (in addition to Covid-19 issues), potential procurement issues, impact on contractors / contract costs and further potential impacts as yet unknown. Meantime a Brexit risk register is in place, along with regular reporting to Committee.

*Recommendation*: With uncertainty surrounding how the terms of the Trade and Co-operation Agreement will work in practice and potential for the changed relationship between the UK and EU to be disruptive financially and more widely, consideration should be given to the inclusion of Brexit on the CRR, at least in the short to medium term, with a full risk assessment to be undertaken. Meantime it should be added to the CRR with an overall risk at 'High'.

6.4 Property – features as a risk in Children and Families and Neighbourhood Services SRRs, both assessed as 'High'. It is also present in the C19 RRR and assessed 'High'. This risk was also considered in report 29-2020 but merits further consideration due to the pandemic and the potential longer-term impact on property as it affects the Council, its tenants and on a wider basis across the City.

The Council has a large-scale exposure to property risk, be it as owner-occupier, tenant or landlord. Children and Families have experienced disruption due to the loss of a school to fire, Neighbourhood Services are responsible for around 13,700 Council owned residential properties, City Development holds responsibility for the Council's £1bn property and infrastructure portfolio. Covid-19 has brought into sharp perspective the vulnerability of property owners, tenants and landlords to structural change in the property sector, with impact ranging from High Street retail to office space. The Council is not immune to this, with potential for reduced occupancy by tenants and the Council itself and consequent income / cost impacts. However, potential opportunities can also be expected, and thought needs to be given to where these will arise and how they can best be taken.

*Recommendation*: a new 'Property' risk should be added to the CRR, subject to a full risk assessment.

## 7.0 C19 RRR RISKS FOR NOTING ONLY

7.1 Three further risks are included in the C19 RRR, which do not fit neatly into the CRR and do not necessarily require to be added to it at present. These are set out below in paragraphs 7.2 - 7.4.

7.2 C19RR06 – Procurement – Covid-19 is likely to have adversely impacted suppliers, supply chains and pushed up certain costs. In addition, Brexit may well have an additional detrimental impact. The overall impact on the Council could be significant. However, it is not suggested that procurement be added to the CRR as a separate risk at present, with this covered for now by DCC001 – Financial Risk; DCC002 – Partnerships; and DCC003 – Resilience. This position will be considered further going forward and Procurement may yet be recommended for inclusion as a specific risk should circumstances warrant it.

7.3 C19RR15 – Further & Higher Education – this reflects the profile this sector has in Dundee, the high comparative percentage of student population and the impact of Covid-19 on the sector. Risk assessed as 'High'.

7.4 C19RR20 – Covid-19 Further Waves – this risk has already come to fruition and a further Scottish mainland lockdown came into effect from 5 January until at least the end of January 2021, introducing restrictions beyond the five standard protection levels previously introduced in Scotland. Risk assessed in overall terms as Moderate, with the Council responding through the use of focused control measures and lessons learned from the initial lockdown. In the medium and longer terms the vaccination programme is expected to be key to addressing the virus.

## 8.0 PENTANA

8.1 The Council's Pentana risk management database, which holds details of risks across all services, and at a corporate level, affords, among other things, the opportunity to set automatic reminders for responsible individuals to undertake regular reviews; and produce regular management reports, including where reviews become overdue. The automatic reminder e-mails, which were 'switched off' at the onset of the Coronavirus lockdown have now been reinstated and a prompt added to the new messages to remind officers to give appropriate consideration to the impact of Covid-19 when undertaking the risk review. The monthly reports for Executive Directors and Heads of Service of overdue reviews have continued to be issued throughout.

## 9.0 RISK MANAGEMENT IMPROVEMENT PLAN UPDATE

9.1 Two items of the initial 21 in the Risk Management Improvement Plan remain outstanding, but have since been incorporated into a single action. This action is development of a training / e-learning package, to also cover use during the induction programme for new recruits to the Council. The e-learning package remains in course having gone through several iterations and additional input from Zurich. This is currently being worked on and is at an advanced stage.

Meantime, 11 training sessions have been delivered to in excess of 50 officers across all services covering risk and the use of Pentana, thus ensuring there is a knowledge base available across the Council, and reduced reliance on the Corporate Risk Management Coordinator for day-to-day support. In addition, a comprehensive procedural guide has now been uploaded to Pentana.

## 10.0 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.

## 11.0 CONSULTATIONS

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

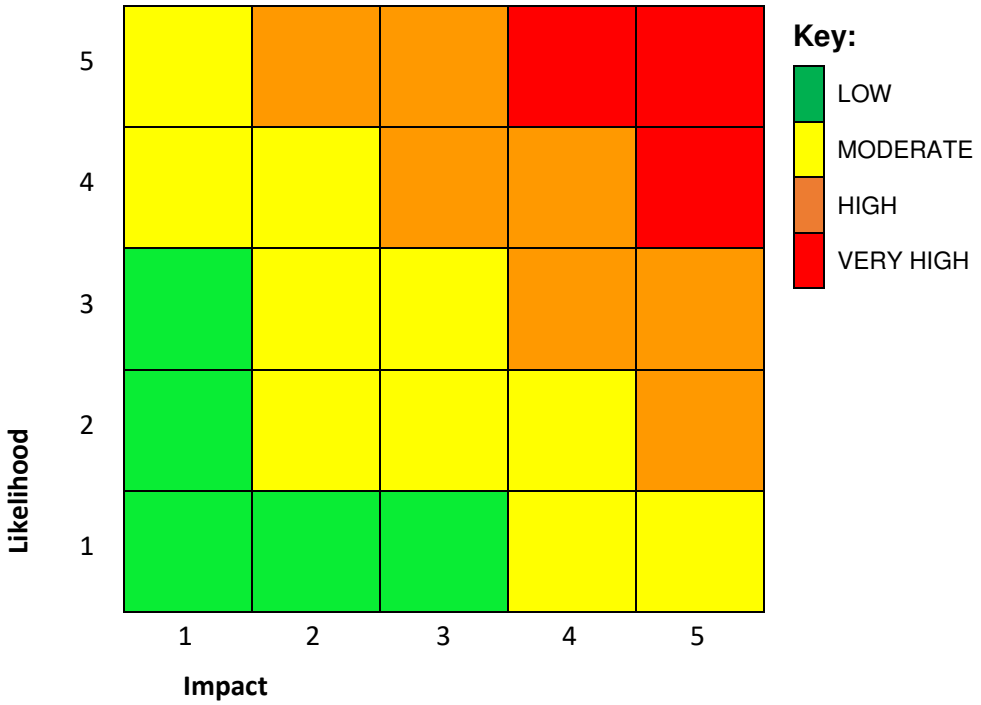
## 12.0 BACKGROUND PAPERS

None.

**GREGORY COLGAN**
**CHIEF EXECUTIVE** **06 January 2021**

**APPENDIX A**

**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 B.

**APPENDIX B**

**Risk Impact Scoring Matrix**

| Impact / Domain | 1<br>None / Insignificant | 2<br>Minor | 3<br>Moderate | 4<br>Major | 5<br>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)<br>MP / MSP concern – questions asked in parliament |
| **Economic / Financial / Security & Equipment** | Loss / theft / damage / claim<br><£10k | Loss / theft / damage / claim<br>£10k - £100k | Loss / theft / damage / claim<br>>£100k - £500k | Loss / theft / damage / claim<br>>£500k - £2m | Loss / theft / damage / claim<br>>£2m |
| **Social Impact / Safety of Staff & Clients** | No / insignificant community impact<br>Minor injury not requiring first aid | Highly localised community impact / small scale<br>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<br>Significant injury requiring medical treatment and / or counselling.<br>Potential for staff absence | Community impact contained within City / serious repercussions for Council<br>Major injury / long term incapacity / loss of limb. Medical treatment and / or counselling required | Widespread community impact, beyond City boundary / serious repercussions for Council<br>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<br>No / low Council involvement<br>No / low cost to Council | Minor environmental impact<br>May be some Council involvement<br>Minimal cost to Council | Noticeable environmental impact<br>Council implicated, largely responsible for clean-up<br>Potential moderate cost to Council | Significant environmental impact<br>Council implicated and responsible for clean up<br>Likely major cost to Council | Catastrophic environmental impact<br>Council solely / heavily implicated and responsible for clean-up<br>Considerable cost to Council |
| **Legal / Statutory Obligations** | No / negligible or marginal deviation / breach / non-compliance – contained within Council<br>No penalty likely | Minor deviation / breach / non-compliance – contained within Council.<br>Potential for minor penalty | Deviation / breach / non-compliance reported to regulatory authority.<br>Reprimand likely, potential for moderate penalty | Deviation / breach / non-compliance reported to regulatory authority.<br>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<br>No or barely noticeable reduction in project scope / quality / schedule<br>Short term low staffing / no disruption | Minor impact on objectives / minimal service disruption<br>Minor reduction in project scope / quality / schedule - impact restricted<br>Ongoing low staffing / minor service impact / potential for minor training related errors | Noticeable impact on objectives / noticeable service disruption<br>Noticeable reduction in project scope / quality / objectives or schedule<br>Ongoing staffing level problems / late delivery of key objective(s) / moderate training related errors | Significant impact on objectives / considerable service disruption<br>Significant reduction in ability to meet project objectives / schedule<br>Lack of staff / uncertain delivery of key objective / major training related errors | Unable to meet objectives / extended loss of service<br>Inability to meet project objectives, serious reputational damage<br>Critical training related errors |

**Risk Likelihood Scoring Matrix**

| | 1<br>Remote | 2<br>Unlikely | 3<br>Possible | 4<br>Likely | 5<br>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 |

**Covid 19 RECOVERY RISK REGISTER**

**APPENDIX C**

| Risk Domain | Specific Risk Area | Explanation of Risk | Impact / Consequence | Inherent Likelihood | Inherent Impact | Inherent Total | Control Measures / Mitigants | Residual Likelihood | Residual Impact | Residual Total | Control Gaps / Actions | Owner(s) | Opportunities? |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1. Financial Stability - Expenditure - C19RR01 | * 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<br>* Risk that 2020/21 (and beyond) budgeted savings are not achieved, leading to over-budget expenditure<br>* DH&SCP costs escalate in the long term due to Covid 19, leading to a further draw on DCC (& NHS) funding | * Significant funding gap<br>* Inability to meet budgeted commitments<br>* Extreme 2021/22 funding pressures<br>* Inability to provide some services at all<br>* Capital programme requires to be reviewed<br>* Going concern status in doubt<br>* Increased level of write offs<br>* 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<br>2 Regular re-assessment by Corporate Finance of combined Council budget, with regular re-forecasting and outcome reporting<br>3 Ongoing recording of Covid 19 related expenditure / savings - COSLA reporting<br>4 Communication with Scottish Government through all available channels<br>5 Planned / controlled reduction in levels of service / expenditure<br>6 Prioritisation of capital spend to mitigate against associated revenue budget and cash flow impacts<br>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<br>8 Specific consideration being given to Services and the IJB, which have had significantly increased costs<br>9 Corporate financial recovery plan<br>10 Savings tracker in place to monitor implementation and achievement of approved savings | 4 | 5 | 20 | 1 Continue contact with UK Government, Scottish Government and COSLA<br>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<br>2 Review of service delivery particularly around more electronic ways of working and less use of cash |
| | 2. Financial Stability - Income - C19RR02 | * 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<br>2 Regular re-assessment by Corporate Finance of combined Council budget, with regular re-forecasting and outcome reporting<br>3 Increased / new (and re-introduced) charges for services<br>4 Reduced / removal of services - reduction to largely core / statutory<br>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<br>6 Other fee generating areas (e.g. CD, NS) will also need careful consideration<br>7 Preparation of recovery plans by each strategic service and their teams should give an indication of the financial implications associated with recovery actions<br>8 Deferral arrangement agreed where appropriate | 4 | 5 | 20 | 1 No budget for bad debt provision / write off in most areas<br>2 Need to ensure that strong, positive communication with service users is maintained<br>3 Ongoing implementation and assurance of protective measures regarding Covid 19 transmission | Head of Corporate Finance | 1 Review charging policies<br>2 Review parking policy |
| | 3. Third Sector Service Providers C19RR03 | * Financial instability / potential collapse of key providers leading to difficulty in ensuring short / medium term service provision | * Inability to source essential services<br>* Financial expectations of third sector cannot be met<br>* Increased cost of service provision<br>* Additional burden on internal services<br>* Quality of service reduces | 5 | 5 | 25 | 1 Maintain regular communication with third sector essential service providers<br>2 Advance (confidential) prioritisation of service providers for exceptional support where essential<br>3 Redeploy Council staff in short term, where essential and appropriate, to assist providers of essential services in maintaining adequate service levels<br>4 Ensure open communication channels with other authorities re third party providers<br>5 Ensure service quality assessments are maintained<br>6 Close monitoring of third sector financial position, as considered necessary<br>7 Advance identification of alternative providers where potential terminal weakness of existing providers is identified<br>8 Preparation to bring essential service provision 'in-house' where appropriate / necessary<br>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, focussing on on building relationships with strong, effective operators<br>2 Opportunities to work with operators who may be able to re-focus / specialise<br>3 Consolidation of the collaborative, flexible and creative approaches with 3rd Sector developed during the challenging Covid 19 response |
| | 4. Property C19RR04 | * Office accommodation unable to house pre-Covid 19 staffing levels due to social distancing requirements<br>* Backlog of repairs and maintenance - budgetary issues, rising costs based on current market forces & legislation changes<br>* Timescales and resource for preparation of property for post Covid 19 occupation<br>* Increased market uncertainty and downturn in developer interest in property & land deals<br>* Slow restart to construction sites and rising material costs<br>* Difficulty marketing and selling surplus properties<br>* Defaulting of tenant leases due to post Covid 19 economic conditions<br>* Difficulty letting vacant commercial properties<br>* Continuity of external service contractors for H&S statutory contracts | * A proportion of staff will be unable to return to their regular workplace<br>* Compressed funding requirement to catch up on overdue works<br>* Reduction in sales value of surplus properties<br>* Security of unoccupied properties<br>* Reconfigurations required to existing premises<br>* Loss of rental income due to business failures<br>*Downward pressure on capital and rental values due to market conditions<br>*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<br>2 Reconfigure existing accommodation to maximise usage of available space whilst maintaining social distancing with adequate margins of safety<br>3 Close budgetary control and regular review / monitoring of property expenditure<br>4 Post Covid 19 operational protocols developed for each property and implemented (incl. corporte H&S sign off)<br>5 Monitor and implement Scottish Government guidance<br>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<br>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<br>9 Close communication with all terms contractors, plan and programme to give continuity of work, prompt payment, vigilant for signs of business erosion<br>10 Consider additional marketing tools and resources<br>11 Continue regular security inspections programme of unoccupied buildings | 4 | 4 | 16 | 1 Repurposing IT for remote and home working<br>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<br>2 Remote / home working - roll out of Microsoft teams & video conferencing facilities for all staff will assist with implementation<br>3 Work with developers with focus on current market and constraints now in place based on Covid 19 conditions. |

| | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Council | 5. Demand Levels C19RR05 | * 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<br>* 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<br>* Poor quality of service<br>* Complaint levels escalate, exacerbating the situation<br>* Staff morale suffers<br>* Increased absence levels | 4 | 5 | 20 | 1 Demand monitoring<br>2 Continuing (medium term) deployment flexibility across roles / services<br>3 Complaint monitoring, management and focused communications (internal & external)<br>4 Ensure service quality assessments are maintained<br>5 Withdraw selected non-essential / non-statutory processes in short term until demand gets back to balanced historic levels / acceptable 'new normal' levels<br>6 Maintain regular contact & communications with team members<br>7 Promote the use of online self services<br>8 Provide proportionate support in accordance with types/levels of need<br>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)<br>2 Consider long term home working set up / options | Senior Manager - Customer Services & Benefit Delivery | 1 Ongoing flexible working in longer term<br>2 Increased digital working<br>3 Introduce new service delivery models<br>2 Focus on personal capacity and asset building |
| | 6. Procurement C19RR06 | * 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<br>* Supply / demand pushes up the cost of goods & services<br>* Increased incidence of fraud / price manipulation<br>* 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<br>2 As appropriate, use Scotland Excel to ensure suppliers remain sound and capable of continuing<br>3 Maintain communication with other Councils / Scottish Government<br>4 Maintain active control measures to identify and reduce fraud<br>5 Contract monitoring arrangements<br>6 Accelerated payment terms with all suppliers<br>7 Additional specific support for Early Years and Transport providers | 3 | 5 | 15 | 1 Tayside Collaborative project to progress<br>2 Addtional procurement guidance and training to be rolled out | Executive Director of Corporate Services & Head of Corporate Finance | 1 Review contract management arrangements<br>2 Review most appropriate procurement routes |
| | 7. Fraud / Corruption C19RR07 | * Risk that Covid 19 related fraud attempts will continue into 'recovery' period (albeit perhaps with a different slant) | * Financial loss<br>* Reputational damage<br>* Staff morale suffers<br>* Failure to give Best Value | 5 | 4 | 20 | 1 Maintain heightened fraud awareness across all services<br>2 Communication - specific fraud alerts<br>3 'Double down' on communication efforts to ensure other pre-existing control measures are implemented and effective<br>4 NFI exercise<br>5 Effective use of the fraud RR to direct resource<br>6 Existing groups (Integrity and Serious Organised Crime) have added specific item to Agenda<br>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<br>2 Establishment spot checks to be introduced<br>3 Register of Gifts and Hospitality to be relaunched | Head of Corporate Finance | 1 Being more cashless will reduce some opportunities |
| | 8. Governance C19RR08 | * Risk that effective governance arrangements are not adhered to due to pressures, constraints and changing priorities related to Covid 19 and the recovery process<br>* Reduced public and regulatory scrutiny | * Failure to adhere to legislation, regulation, standing orders<br>* Political / reputational damage / reduced public confidence<br>* Legal action / fines<br>* Regulatory action<br>* Resource drain due to time consuming action to resolve issues arising | 5 | 5 | 25 | 1 Finalisation and ongoing use of Integrated Impact Assessments (IIAs)<br>2 Management monitoring of system / procedure / legislative and regulatory adherence<br>3 Message reinforcement that governance / procedural compliance matters<br>4 Monitoring of legislative / regulatory developments<br>5 Covid 19 Incident Management Team consideration of legal / regulatory implications / requirements<br>6 Planning for removal of emergency powers and return to regular reporting committees with public scrutinys<br>7 Compliance with Standing Orders - Exercise of Delegation of Powers (Urgent Matters Arising Between Meetings) to deal with Essential Council Business<br>8 Establishment of Recovery Sub Committee with full delegated powers | 3 | 5 | 15 | 1 Review of IIAs is underway | Head of Democratic & Legal Services | |
| | 9. Information Governance C19RR09 | * New ways of working / remote working / additional demand on stretched resources results in poor adherence to information security and loss of data<br>* 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<br>* Deletion / other loss of data<br>* ICO / Scottish Information Commissioner investigation / fine<br>* Legal action / compensation<br>* Harm to public<br>* Political / reputational damage<br>* Resource drain due to time consuming action to resolve | 4 | 5 | 20 | 1 Strong centralised systems and data protection measures<br>2 Ongoing message reinforcement<br>3 Enhanced / increased data protection training requirements?<br>4 Adherence to ICO / Scottish Information Commissioner reporting regime<br>5 Home workers are suitably trained / sign up to required levels of security adherence<br>6 Corporate policies in place (but may need reinforcing due to considerably higher levels of home working)<br>7 Systems access password controls & two factor authentication<br>8 Technical controls to prevent home printing / restrict webmail access via corporate network / website access restrictions | 4 | 5 | 20 | | Head of Democratic & Legal Services | |
| | 10. Health & Safety C19RR10 | * Risk to the health & safety of staff, clients and other stakeholders due to Covid 19-19 related issues, including:<br>- Inadequate protective measures<br>- Ineffective implementation of protective measures<br>- Inadequate response / PPE availability to cope with resurgence of infection including changing guidance / regulation (see 20. below)<br>- Concentration on Covid 19 H&S results in other H&S shortcomings | * HSE investigation / action<br>* Political and reputational damage<br>* Injury or death of staff / public<br>* Legal action - compensation / fines<br>* Impact on mental health of staff / public<br>* 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<br>2 Revision to H&S policy and guidance to account for Covid 19 specific requirements<br>3 Buildings re-opening being controlled with specific criteria and standards to be met prior to occupation<br>4 Monitoring advice from external bodies such as Scottish Government, NHS, HPS, COSLA and other Local Authorities<br>5 Adherence to Covid 19 legislation, regulation and guidance<br>6 Effective use of corporate communication channels<br>7 Phased / partial return to premises occupation and continuation, as appropriate, of remote working<br>8 Assisting services establish risk controls to minimise the risks for our employees and the community we serve<br>9 Advising corporate procurement on the standards of PPE required<br>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 | |

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| 11. Education & Wellbeing C19RR11 | * Educational attainment is impaired due to the severe disruption to school based lessons<br>* Lockdown restrictions result in increased instances of abuse and neglect<br>* Increased risk of placement breakdown for Looked After Children as a result of additional pressures and constraints on providing support<br>* Risk to seamless transitions between nursery / primary / secondary / tertiary<br>* Potential teacher shortages due to smaller class sizes<br><br>* Delay to full implementation of 1140 hrs of Early Learning and Childcare ( ELC)<br>(NB: albeit statutory requirement now 600 hrs, DCC remain committed to 1140 as far as possible) | * Failure to achieve attainment targets<br>* Attainment ground lost against peer group<br>* Children do not receive the best start in life<br>* Children are inadequately educated for SQA examination syllabus<br>* SIMD children disproportionately affected<br>* Attainment gap increases<br>* Child protection referrals increase<br>* Inability to accommodate smaller class sizes<br><br>* 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<br>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<br>3 Robust and rigorous tracking and monitoring of attainment data and assessment to plan for appropriate intervention to address gaps<br>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<br>5 Increased tracking of vulnerable young people and working with partners to address gaps and identify any hidden harm<br>6 Robust TATC processes and multi-agency working<br>7 Accelerate work with the Third Sector on the FORT system to support early access to coordinated support<br>8 Schools and establishments work closely together to ensure smooth transitions with early intervention and increased awareness of individual needs for transition<br>9 Additional teachers appointed on temporary contracts for 1 year to support Covid 19 recovery<br>10 Classes will currently not be reduced in size<br>11 Retain risk rating system on levels of contact<br>12 Provide extra support to vulnerable placements<br>13 Introduce new models such as FFT<br><br>*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<br>2 Prioritise resources to ensure MASH, Intake and Locality Teams maintain capacity | Head of Education / Chief Education Officer | 1 Alternative / enhanced education delivery methods<br>2 Enhanced partnership working and delivery of a range of services through schools<br>3 Improved measures for identifying hidden harm<br>4 Enhanced use of digital technology and learning<br>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 C19RR12 | * Risk of longer term mental / physical wellbeing impact on staff<br>* Difficulties in recruitment<br>* Ongoing H&S risks from continuing Covid 19 threat<br>* Capacity issues<br>* Ad-hoc removal of equipment to home working environment<br>* Increased Covid 19 spread / 2nd wave of infection<br>* Annual leave build-up as a result of new Covid 19 specific guidance<br>refer financial risks above | * Staff morale suffers<br>* Increased absence levels<br>* Reputational risk<br>* Litigation risk if infection spread through inadequate PPE / procedures<br>* Issue resourcing services adequately<br>* Lack of control over equipment / equipment loss<br>* Large scale shielding of teams<br>* Staff shortages due to a/l c/f issues<br>* Financial cost of essential overtime | 4 | 4 | 16 | 1 Prioritise essential recruitment<br>2 Prioritise essential training<br>3 Maintain register (formal / informal?) of skills gained during Covid 19 response to cover potential second wave<br>4 Working arrangement changes to allow for social distancing / use of shared facilities (kitchens, copiers etc.)<br>5 Support ongoing home working arrangements including physical & mental welfare<br>6 Continue redeployments as necessary<br>7 Need to reconsider ongoing working arrangements in medium term for some non-office staff also - e.g. shared cars, vans etc.<br>8 Advance planning and approval process for transfer of equipment from office to home environment, and inventory control<br>9 Introduce / enhance signage in buildings to ensure social distancing<br>10 Carry out risk assessments and implement all required controls<br>11 Introduce hygiene / protective arrangements - hand wash / sanitiser / desk screening etc<br>12 Active management of a/l across teams in an effective and timely manner<br>13 Continued focus on working from home but with greater risk controls for safe working being developed<br>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<br>15 Homeworking protocol being developed with a basic 'kit' identified based on risk assessments on actual need<br>16 Development of the Staff Deployment Team to continue to seek internal recruitment opportunities and less external recruitment<br>17 Clear guidance in place on using annual leave to reduce the build-up of accrued annual leave from 2020/21 leave year<br>18 The use of OneDundee and OneDundee on the Move together with all staff emails has helped remote communications with the workforce<br>19 Staff Wellbeing Service established with advice. Guidance and support materials available on OneDundee and OneDundee on the Move<br>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<br>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<br>2 Improved use of digital technology to aid working practices<br>3 Staff deployment service to develop the skills database linked to roles and frameworks to increase an internal jobs market<br>4 Downsizing of the workforce using voluntary methods and reskilling of remaining workforce with opportunities created for the young workforce<br>5 Continue to work on communications channels for all employee groups<br>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 C19RR13 | * 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<br><br>refer financial expenditure risks above | * Ongoing physical and mental stress on staff<br>* Staff morale suffers<br>* Increased absence levels<br>* Reputational risk<br>* Extreme financial pressure<br>* 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 |

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| Key Partners | 14. LaCD C19RR14 | * Prolonged delay in reopening facilities coupled with added H&S protective measures leads to reduced usage and income / increased costs<br>* Reduced confidence levels in facilities resulting in very slow take up of re-opened facilities<br>* 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<br>* Staffing levels out of line with 'new normal' workload requirements and income<br>* 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<br>2 Financial planning in conjunction with '1' above<br>3 Ensure government guidelines are followed closely and in a safe manner at all times<br>4 Introduce and monitor / review as appropriate, infection transmission avoidance and minimisation procedures<br>5 Facilities to remain closed either in part or completely in the absence of adequate safety assurance<br>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<br>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)<br>8 Financial Recovery Plan agreed through LaCD's Finance Committee and Board<br>9 Consultation with DCC's City Development throughout recovery phase<br>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<br>2 Review of service delivery to incorporate examples of good practice taken during lockdown such as increase in online service provision |
| | 15. Further & Higher Education C19RR15 | * Risk of significant medium to long term damage due to lack of overseas student numbers leading to current business model being unsustainable<br>* Disruption of SQA examinations has knock-on impact on entry qualifications / application levels | * Resultant economic impact on city of reduced student numbers<br>* Impact on leisure / entertainment and cultural aspects of the Council & city<br>* Threat to well paid jobs in the Further & Higher Education sector | 4 | 4 | 16 | 1 Oversight of issue by the Fair Work and Enterprise Board<br>2 Regular engagement with Further & Higher Education sector institutions in the city to review student numbers on an ongoing basis<br>3 Support efforts to market Dundee to prospective students, focusing on quality of education and student experience<br>4 Conclude Tay Cities Deal and support project delivery<br>5 Further & Higher Education 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. Business Support C19RR16 | * Businesses fail or struggle to survive / recover across multiple sectors | * Increased unemployment<br>* City becomes less attractive for investment / tourism / leisure<br>* 'High street' store closures result in significantly reduced retail offering<br>* Local severe economic recession | 5 | 5 | 25 | 1 Engage with businesses in the city to build understanding<br>2 Monitor through Fair Work and Enterprise Board<br>3 Regional Economic Strategy and Action Plan being refocused<br>4 DCC Recovery Plan<br>5 Preparation of City Centre Investment Plan<br>6 Ensure responsiveness of support services, including Business Gateway to challenges<br>7 Monitor property impacts (vacancies)<br>8 Promote resources / support for businesses through Council website<br>9 Conclude Tay Cities Deal and support project delivery<br>10 Michelin Scotland Innovation Park | 4 | 4 | 16 | | Head of Planning & Economic Development | 1 Business flexibility and resilience shown by many during Covid 19<br>2 Support green recovery - build back better<br>3 Growth in some sectors, including health and social care |
| | 17. Unemployment / Homelessness / Inequalities C19RR17 | * Higher levels of (persistent) unemployment leading to greater levels of homelessness, inequality and demand on Council support services and funds | * Financial impact<br>* Increased demand on Council services<br>* Increased SIMD inclusion and difficulties in shifting this<br>* Income and health disadvantage worsens | 5 | 5 | 25 | 1 Monitor through Dundee Partnership; particular focus of Fair Work and Enterprise Board<br>2 Regional Economic Strategy and Action Plan refocused to respond to challenges<br>3 Work with partners to respond to changing labour market position and demand in key sectors including Health & Social Care, ELC, Retail, Digital, etc.<br>4 Enhanced monitoring of Homelessness data / trends / demand<br>5 Partnership working across Housing, H&SCP and third sector to effectively respond and deliver support and advice<br>6 Focused response on prevention and early intervention<br>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<br>2 Access to software / tools / resources required for the supply of virtual service delivery<br>3 Further integration between Council & partner employability services to ensure alignment with other relevant services such as health, criminal justice & housing<br>4 Clarity on the future management, administration and delivery of additional funding, (re)training & employment initiatives announced by both UK and Scottish Government<br>5 Refresh employability strategy to reflect changed landscapes<br>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'<br>2 Build on volunteering seen during Covid 19 lockdown, as a means to individuals gaining experience and eventual (re-)employment<br>3 Homelessness - lessons learned from Covid 19 initiatives<br>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 C19RR18 | * Increased levels of unemployment, hardship and deprivation leading to greater levels of crime / violence | * Fallout in recovery period from domestic violence during lockdown<br>* Harm to people, property<br>* Anti-social behaviour & associated complaint levels increase, stretching resources<br>* Openings created for increase in serious organised crime<br>* Increased demand on strained Council resources | 4 | 4 | 16 | 1 Police Scotland - closely monitor trends across crime categories and allocate resources appropriately in response<br>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<br>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<br>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<br>5 DCC (Housing) - Enhanced monitoring of Homelessness data / trends / demand<br>6 DCC (Housing)- Proactive engagement with Council Tenants to deliver advice / support<br>7 DCC / H&SCP – work in partnership with Third Sector (DVVA) to provide support and advice to vulnerable groups<br>8 Dundee Partnership – Monitor trends via ASPC; ADP; CPC; VAWP etc and support the delivery of Action Planss<br>9 Work with partners to strengthen and expand Whole Systems approaches including the use of Diversion from Prosecution<br>10 Retain / enhance approaches towards priority crimes and/or the people who commit those crimes<br>11 Maximise resources for Community Payback Orders including Unpaid Work<br>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<br>2 Certain categories of crime have reduced during lockdown<br>3 Perfect time to Develop Social Capital in communities and look to empower people<br>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 |

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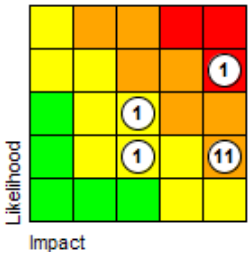
| | 19. Leisure, Culture & Entertainment (excl LaCD) C19RR19 | * Unemployment & reduced economy results in less discretionary spend | * Businesses & venues struggle or fail<br>* Vicious cycle creating more unemployment in this sector<br>* Impact on Dundee as a visitor destination<br>* Negative impact on quality of life for citizens | 5 | 4 | 20 | 1 Regular dialogue with Dundee Partnership Cultural Development Group<br>2 Culture Resilience and Recovery Plan produced through partnership<br>3 Promotion campaign to encourage visitors to the city<br>4 Regular engagement with business through networks<br>5 Implement Regional Tourism Strategy<br>6 Short term measures to build confidence<br>7 Maximise funding support from Government<br>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<br>2 New, more cost-effective delivery methods - online, enhanced use of outdoor venues<br>3 Shop local campaigns<br>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 C19RR20 | * Lockdown restrictions easing results in a 'second wave' resurgence of the virus | * Return to lockdown with workplace / travel / social etc restrictions<br>* Increase in illness, deaths, social distancing etc<br>* Basically, back to where we were at start of initial lockdown<br>* 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<br>2 Maintain office / other social distancing measures and rigidly enforce whilst regulation / guidelines require this<br>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<br>4 Staff Deployment Service being maintained and developed, looking at internal jobs market<br>5 Staff deployed as part of response to Covid 19 are maintained<br>6 Maintain strong relationships with the trade unions to ensure collegiate working in the event of further lockdown situations<br>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<br>2 Continue to collect workforce skills profiles to increase base of information for future deployment as required<br>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 | | | |

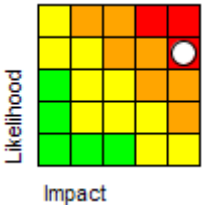
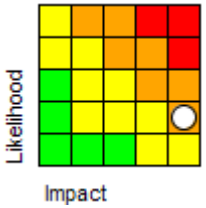
**APPENDIX D**

# DCC CRR - Committee Overview

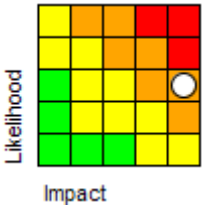
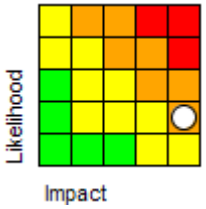
**Report Type:** Risks Report
**Report Author:** Colin Carmichael
**Generated on:** 08 January 2021

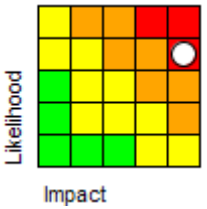
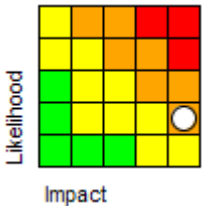
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| COUNCIL CORPORATE RISKS | - DCC Corporate Level Risk Register | The Council's high level Corporate Risk Register.<br>Risks held directly within this register are the key high level risks to delivery of the Council's strategic goals. | |  | N/A |

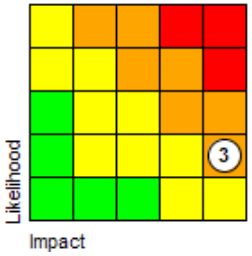
**APPENDIX D**

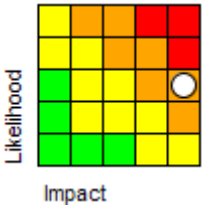
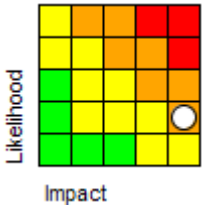
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC001 | Financial Sustainability | Risk that the Council is unable to deliver priorities and meet financial obligations due to financial constraints arising from funding pressures and demand pressures<br><br>Impact / Consequences:<br><br>- Fail to deliver objectives<br>- Maintaining sufficient revenue and capital resources to meet ambitions<br>- Reputational damage of going concern issues<br>- Lack of funding for capital and change programmes<br>- Need to resort to short-term reactive measures<br>- Failure to achieve Best Value |  |  | - Budget setting and approval process.<br>- Capital Plan setting and approval process.<br>- Capital Investment Strategy approval.<br>- Capital and revenue monitoring.<br>- Approval of 3 year revenue budget.<br>- Option Appraisals/business cases requirements and approval process.<br>- Finance and Support Manager embedded in services.<br>- Capital Strategy Group scrutiny.<br>- Formal Timetable for revenue and capital monitoring<br>- CMT approval and actions regarding revenue monitoring.<br>Reserves Policy |

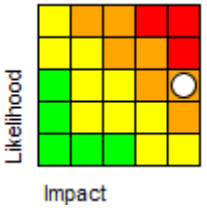
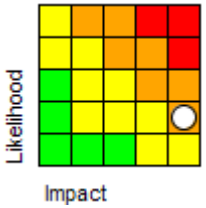
**APPENDIX D**

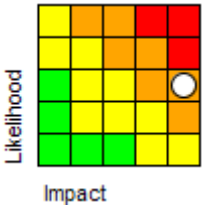
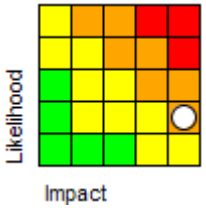
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC002 | Effectiveness of Partnerships | Risk that partnerships are not effectively commissioned, contracted and monitored and fail to deliver expected results. Key partnerships include:<br>• L&CD<br>• Tayside Contracts<br>• Tayside Procurement Consortium – Tayside Scientific Services<br>• Tayside Plan for Children, Young People and Families<br>• Employability Partnership<br>• Alcohol and Drugs Partnership<br><br>NB: IJB /DH&SCP is considered separately as risk DCC012 IJB/DHSCP<br><br>Impact / Consequences:<br><br>• Reputational damage<br>• Risk of dispute arising between partners<br>• Partnership breakdown causes or is caused by failure to deliver outcomes / priorities<br>• Needs are not met in accordance with approved strategies and policies<br>• Potential overspends / additional costs incurred<br>• Partnerships do not deliver value for money |  |  | Statutory Consultation Process<br>Joined vision & defined objecetives<br>Performance Management Framework<br>Partnership Risk Strategy / Plan<br>Governance Structure<br>Partnership contract / SLA<br>Benchmarking / Market Testing<br>Financial Monitoring<br>Governance Structure<br>Due Diligence & Financial Governance<br>Monitoring Meetings<br>Review Meeting & Reporting<br>Quarterly Lead Officer Review Meeting<br>'Follow The Public Pound' Reporting |

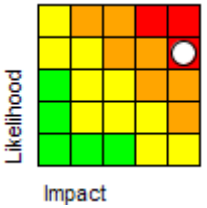
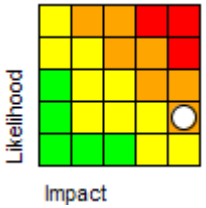
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC003 | Resilience | Risk that the Council is unable to deliver critical services due to inadequate business resilience or cyber security arrangements. Risk that the Council cannot respond to or support emergencies in its area, or meet requirements of the Civil Contingencies Act 2004<br><br>Impact / Consequences:<br><br>- Allow physical, financial or emotional harm to come to citizens or stakeholders<br>- Unable to deliver frontline services following disaster, failure or cyber security incident<br>- Loss of information / records<br>- Reputational impact<br>- Unlawful disclosure of sensitive information<br>- Financial cost and penalties |  |  | Senior Officer Resilience Group.<br>Emergency response procedures<br>Local Resilience Partnership<br>Corporate Generic Emergency and Business Continuity Plans.<br>Care Provision Impact Analysis<br>Debriefs to Learn Lessons<br>Appointment of Resilience Officer<br>ICT Disaster Plan<br>Data Centre Back-Up<br>Safety & Alarm Response Centre<br>Weather Response Plans<br>Communication Strategy<br>Membership of Govt Cyber Security Team<br>Scottish Government Cyber Essentials framework<br>Cyber security Protection<br>Cyber Penetration Testing<br>Phishing testing / awareness procedures<br>PCI Standards Adherence<br>PSN Accreditation<br>Network Data Security |

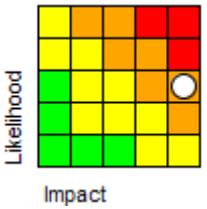
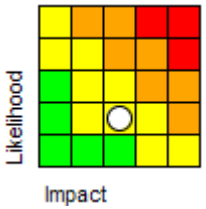
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC004 | City Vision | | |  | N/A |

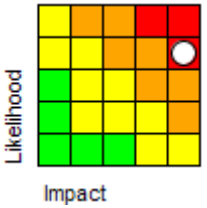
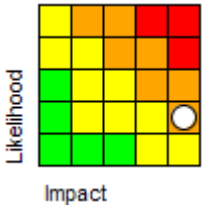
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC004a | Children & Young People Development Risk | Risk that our children and young people will not have the best start in life.<br>Risk that Dundee will not be the best place in Scotland to grow up.<br><br>Impact / Consequences:<br><br>- Constant or deteriorating early years outcomes.<br>- Attainment gap remains the same or is widening.<br>- No improvement to physical, mental and emotional health for children & young people.<br>- No improvement to health and wellbeing outcomes for children and young people who experience inequalities.<br>- No improvement to the safety and protection of young people. |  |  | Children and Families Executive Board<br>Tayside Collaborative & Tayside plan<br>Established Child Protection Committee<br>Annual Reporting by Chief Social Worker<br>Self Evaluation Framework<br>Corporate Parenting Strategy and established Champions Board<br>Establishment of Revised Framework For Attainment Outcomes<br>Educational Services Management Group |

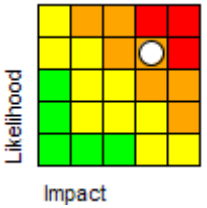
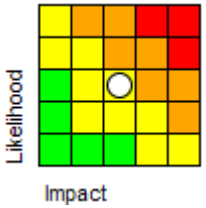
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC004b | Lack of Economic Productivity / Sustainability | Risk that the local economy, which is part of the Tay Cities Region, is not developed to become strong, sustainable and connected.<br>Risk that the local economy is not more productive, smarter and fairer.<br><br>Impact / Consequences:<br><br>- Unable to close the jobs gap by increasing the number of people in Dundee in work to the Scottish average.<br>- Unable to reduce unemployment.<br>- Productivity cannot be raised to the Scottish average.<br>- Unable to improve community priority areas of traffic, parking and public transportation. |  |  | Active Monitoring of Local Economic Performance<br>Regular reviews of Council Economic Strategy<br>Adequate Resourcing<br>Participation In Business Community<br>Active participation in Tay Cities Deal<br>Influencing of Government Policy<br>Participation in Developing Scotland's Young Workforce<br>Proactive Pursuit of New Business in Key Sectors<br>Working With Skills Providers To Match Local Labour Demands<br>Active Identification of Future Skills Needs |

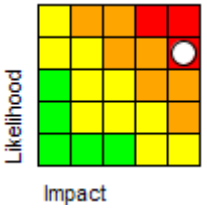
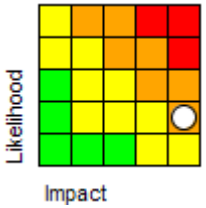
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC004c | Lack of Neighbourhood & Community Improvement | Risk that stronger, more resilient, influential and inclusive communities and neighbourhoods are not created.<br><br>Impact / Consequences:<br><br>- Unable to improve quality of neighbourhoods<br>- Unable to increase the level of community empowerment.<br>- No improvement to the quality of housing, choice and affordability.<br>- Unable to improve access to healthy, green and open spaces.<br>- Transport connections to communities are not improved.<br>- Unable to reduce levels of domestic abuse, crime and re-offending.<br>- Unable to improve road safety.<br>- Anti-social behaviour levels increase. |  |  | Violence against Women Partnership<br><br>Strategic Oversight Group<br><br>Links to Chief Officers Group<br><br>Systems In Place To Learn From Significant Incidents<br><br>Well established Community Safety and Justice Executive Board<br><br>Community Justice Outcome Improvement Plan<br><br>CSWO Annual Report<br><br>Community Safety Outcome Improvement Plan in place<br><br>Local MATAC Arrangements<br><br>MATAC Oversight Group<br><br>Community Safety Team Partnership Working<br><br>Road safety Forum reinvigorated<br><br>Fire Related Anti Social Behaviour Group |

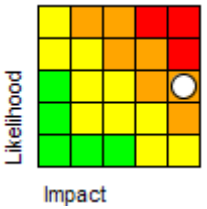
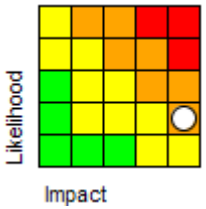
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC005 | Governance | Risk that the Council's governance arrangements do not operate effectively in order to meet stakeholder and legislative requirements.<br><br>Impact / Consequence:<br><br>- Fail to deliver objectives<br>- Unable to demonstrate Best Value<br>- Inappropriate use of resources (from fraud or error)<br>- Inadequate transparency<br>- Poor decision making<br>- Increased scrutiny |  |  | Publication of Governance Documents<br>Integrated Impact Assessments<br>Public Meetings Where Possible<br>Report Checking Procedures<br>Whistleblowing Policy<br>Leader of Opposition Chairs Scrutiny Committee<br>Annual Governance and Assurance Statement<br>Chief Financial Officer checklist completion and review<br>Integrity Group |

| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC006 | Corporate Health & Safety | Risk that the Council has inadequate arrangements to protect those for whom it has a duty of care.<br><br>Impact / Consequence:<br><br>- Allow harm to come to citizens, tenants, staff or stakeholders<br>- Reputational impact of failure<br>- Legal intervention<br>- Financial cost and liabilities<br>- Impact on staff wellbeing |  |  | H&S Policy & Training<br>Risk Assessments<br>Benchmarking<br>Four Year H&S Plan & Actions<br>Annual H&S Reporting<br>Induction Training<br>H&S Team Outposting<br>Trade Unions Liaison<br>Individual Service H&S Procedures |

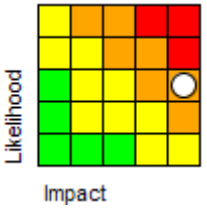
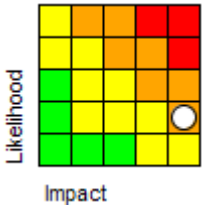
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC007 | Information Governance | Risk that the Council information is not governed in line with legislative requirements, including GDPR and FOI legislation.<br><br>Impact / Consequences:<br><br>- Allow confidential or sensitive information to be shared unlawfully<br>- Reputational impact of failure<br>- Legal intervention<br>- Prosecution<br>- Financial cost and liabilities<br>- No suitable information available to support decision making |  |  | Appropriate Policies In Place<br>Annual accreditation to PSN framework<br>Cyber Essentials framework<br>Cyber security Protection<br>External Penetration Testing<br>PCI Standards Adherence<br>Data Centre Back-Up<br>Network Data Security<br>Information Governance Manager Appointed<br>Training |

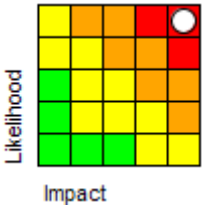
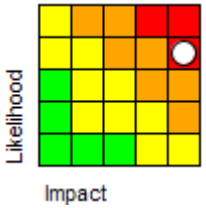
| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC008 | Workforce | Risk that there is inappropriate or insufficient staff resources to meet service demands and deliver the Council vision<br><br>Impact / Consequences:<br><br>- Fail to deliver objectives<br>- Increased sickness absence<br>- High vacancy level / inability to recruit<br>- Reliance on contractors / agency staff<br>- Loss of corporate knowledge from departures<br>- Inadequate skills / experience<br>- Lack of resources to deliver priorities<br>- Impact on personal wellbeing<br>- Loss of specialist skills to competitors |  |  | Management Training<br>Employee Support<br>Recruitment Procedures<br>Consistent Terms & Conditions<br>Sickness Absence Monitoring<br>Employee Reviews<br>Talent Management<br>Developing Young Workforce<br>Strategic Frameworks<br>Strategy Linkages<br>Leadership Development |

| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC009 | Statutory & Legislative Compliance | Risk that the Council fails to operate in accordance with law, regulation and statutory guidelines<br><br>Impact / Consequences:<br><br>- Non compliance and legal challenge<br>- Financial cost and liabilities<br>- Obligations to vulnerable groups not met<br>- Reputational impact<br>- Ministerial or Regulatory action/censure<br>- Failure to achieve Best Value |  |  | Appointment of Legally Qualified Officers<br>Monitoring Officer Appointed<br>Monitoring of Legislative developments<br>Professional Expertise<br>Oversight Teams / Committees |

| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual 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.<br><br>Impact / Consequences:<br><br>- Fail to deliver objectives<br>- Essential services not delivered<br>- Financial cost and liabilities<br>- Reputational impact |  |  | Continued use of Project Boards<br>Regular Project Reviews<br>Project Management Resourcing<br>Option Appraisals / Approval Process<br>Procurement Route Selection Process<br>Management Systems in Place<br>Statutory consultation<br>Capital Strategy Group Scrutiny<br>Capital Plan setting and approval process<br>Capital Investment Strategy approval<br>Capital and revenue monitoring |

**APPENDIX D**

| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual 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.<br><br>Impact / Consequences:<br><br>- Fail to deliver objectives/implement agreed changes<br>- Financial cost and liabilities<br>- Demand and expectations not met<br>- Fail to achieve required savings<br>- Reputational impact<br>- Impact on staff wellbeing and culture |  |  | Programme Review<br>PMO Established<br>CMT Sponsorship & Scrutiny<br>Review Procedures & Methodologies<br>Alignment with Council & City Plan Priorities<br>Budget Monitoring & Benefit Realisation in Place<br>Capital Plan Management<br>Workforce Plan Reporting & Scrutiny |

| Risk Code | Risk Title | Risk Description | Inherent Risk | Residual Risk | Control Measures |
|---|---|---|---|---|---|
| DCC012 | IJB / DHSCP | Risk that the Dundee HSCP is unable to deliver statutory / essential services due to financial, workforce or governance issues<br><br>Impact / Consequences:<br><br>• Unable to meet aims within anticipated timescales<br>• Unable to maintain spend within allocated resources<br>• staffing issues impact on organisational priorities and operational delivery<br>• adverse impact on staff engagement / buy-in<br>• impact on staff morale and potential exposure to claims |  |  | Control measures are in place at IJB level against individual risks. |