

RISK TEMPLATE

Risk Title: 01 FINANCIAL SUSTAINABILITY

Risk Description: The council does not plan and implement the necessary changes in its services to deliver its priorities within the resources available. This results in a financially unsustainable Council unable to meet all its statutory duties including the requirement to set a balanced budget each year.

Likelihood	Potential Impact
<p>Our Change Programme and its Board is where planning and evaluation of change is monitored. It regularly scrutinises and evaluates planned savings, efficiencies, channel shift and service redesign. Work on the inclusion of all projects in the Change Programme is iterative.</p> <p>Priority based budgeting is progressing with localities to reach our 1% participatory budgeting target but has been delayed due to the pandemic. Whilst community engagement, citizen's panel and locality planning have given some insight into the voice of our customers the work needs to expand to identify both the customers' priorities and non-priorities taking into account the limited resources the Council has available. Specific proposals for a Community Engagement Strategy are expected to be brought to elected members for approval early in 2021.</p> <p>The medium to long term implications of COVID-19 and Brexit on Scottish local government finances is still emerging and uncertain, however the Scottish Government's latest Medium Term Financial Strategy (2019) indicates significant financial challenge for the council will continue for the foreseeable future. The additional public expenditure due to COVID is expected to mean ongoing financial constraint into future years especially for those local government services deemed lower priority by the Scottish Government.</p> <p>Preparation of the Council's latest Medium Term Budget Strategy (MTBS) has been delayed due to COVID-19 but will be submitted to the budget setting meeting in February 2021. The most recent MTBS shows a projected funding gap for the period 2020/21 to 2022/23 of £35m. This requires new savings in</p>	<p>The Council fails to set a balanced budget, a legal requirement.</p> <p>Spend is not aligned to agreed priorities set out in our Council Plan.</p> <p>Budget issues arise which require emergency funding.</p> <p>Unexpected spending responding to COVID-19 erodes the Council's financial reserves leaving less scope to manage unexpected financial issues in future.</p> <p>The Council has insufficient resources to meet its core statutory duties.</p> <p>Lack of a strategic approach to service planning and resource allocation leading to unsustainable services.</p> <p>Increased service user and citizen dissatisfaction: we fail to engage sufficiently with our citizens and manage expectations.</p> <p>Adverse media publicity resulting in a negative impact on the reputation of the council.</p> <p>Savings and efficiencies are not realised resulting in emergency corrective action.</p> <p>We fail to meet our statutory duties resulting in poorer outcomes for service users and weak external inspection and regulatory reports.</p>

addition to the £55m of savings already implemented since 2013. Delivering this level of further saving in a context where large parts of the Council's budget is made up of fixed costs will be enormously challenging and won't be achieved without significant changes to the range, volume and methods of delivery of Council services.

There is still a need for further work with elected members and partners to identify less prioritised areas and thereafter identify where significant service reductions will be supported.

Existing Controls

- Medium Term Budget Strategy prepared annually to forecast the extent of future financial challenges and allow plans to be made to address these in good time.
- Our Change Programme is aligned to the Council Plan and is continually being developed – a specific programme of work to create the next phase of the Change Programme in a post pandemic environment following Corporate Leadership Team development sessions is underway.
- The Change Management Board, Chaired by The Chief Executive, meets every 4 weeks.
- Financial Management – Budgets are reviewed, scrutinised and evaluated by budget holders and finance monthly.
- 2020/21 Budgets were revised in response to COVID and 2021/22 budgets can be adjusted if this proves necessary once the year is underway.
- Regular budget monitoring and reporting by Directors, at Corporate Leadership Team Meetings and Committees.
- Transformational options which will reduce the demand on the Council's services are being developed as part of our Change Programme.

Risk Likelihood Score:	4 High
Risk Impact Score:	4 Major
Overall Risk Score:	16 - Red

Latest Update	Author	Date
Narrative is deliberately detailed given the importance of this risk. The risk and associated actions reviewed and updated as required. Target impact score has been raised to 3 from 3 to take into account the ever changing environment we are operating in	Ian Lorimer	21 December 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)

Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Update Medium Term Budget Strategy analysis once Local Government Finance Settlement is announced	Director of Finance	28 February 2021	MTBS updated, funding gaps updated
Prepare the next iteration of the Change Programme	Directors, Director of Finance to lead	28 February 2021	Options to bridge whole of the funding gap are identified
Prepare Medium Term Plan/Strategy for how the Council will manage the financial and other challenges between now and the next Local Government elections in May 2022	Council Leadership Team	31 January 2021 for Plan to be developed and agreed	Clear plan and strategy developed and being implemented
Hold additional briefings and workshops of members and senior officers to explore how to keep the Council financially sustainable by analysing and understanding in more detail the impact on outcomes and priorities from our deployment of available resources. Ensure this work is informed by good community engagement to get public views	Council Leadership Team	31 July 2021	Briefings/workshops held and provide clear plan to keep the Council financially sustainable having also consulted with the public
Prepare fallback options to provide flexibility should projected funding gaps increase or Change Programme projects do not meet their targeted savings – review point in summer 2021 to determine if fallback options likely to be necessary	Director of Finance	31 August 2021	Options capable of implementation if need be identified
Review Change Programme plans monthly – budget, savings, service plans, etc	All Directors and Service Leads	31 January 2022	Plan is reviewed at monthly service managers' meeting
Ensure priorities are addressed as per the Council Plan	Directors	28 February 2021	Outcomes are met.
Ensure alignment with the Change Programme and correlation across all areas.	Director of Finance & Service Lead for Governance & Change	28 February 2021	Budget and work programmes aligned and delivering.
In the absence of additional funding from Scottish Government ensure the Council takes the opportunity to use the Fiscal Flexibilities being allowed by the Scottish Government to help meet COVID-19 financial impacts both now and in the medium term.	Director of Finance	28 February 2021	Fiscal Flexibilities analysed and clear strategy for their use developed and implemented

Target Likelihood Score:	3 – Low to High
Target Impact Score:	3 - Significant
Overall Target Score:	9 - Amber

Risk Owner: Ian Lorimer

RISK TEMPLATE

Risk Title: 02 Transforming for the Future

Risk Description:

The council fails to transform its service delivery sufficiently to meet future demands and priorities, while working within its budget constraints and rising costs.

Likelihood

Substantial transformation is being progressed by the council in the way services are delivered. There is a focus on strategic planning and prioritisation of outcomes. Significant work is underway to minimise risk by engaging in collaborative work across the Council and partnerships.

Our Council Plan has identified strategic priorities and resource and planning are aligned to these.

There is a growing expectations communities will do more for themselves. There is a risk that we will not empower communities to support the transformation agenda and control demand management.

Potential Impact

Failure to deliver the transformational change could prevent the creation of sustainable services. This may result in a failure to modernise services, practice, attitude and behaviour. Council resources may not be properly and/ or adequately targeted at achieving strategic change agenda to provide key frontline service requirements. The Council may fail to deliver on its priorities/ outcomes and could spend beyond its available budget.

Existing Controls

- Strong resilient strategic leadership with a clear sense of purpose and change.
- Good Industry Practice approach to change being implemented (e.g. via OGC Portfolio Management approach).
- Clear priorities established and agreed in line with key strategic plans (e.g. Local Outcomes Improvement Plan, Council Plan, Financial Plan, Workforce Plan, Medium Term Budget Strategy and Change Programme).
- A whole council approach to change has been adopted.
- A clear change programme approach has been developed and agreed, including defining the scope of the programme and delivering the various programmes/ projects.
- The change programme links to the strategic outcomes of Economy, People, Place and Our Council.
- Council has agreed governance arrangements for the change programme, including reporting to Change Board, Policy & Budget Strategy Group (PBSG), Policy & Resources Committee and Scrutiny & Audit Committee.
- A Programme Office team is in place to co-ordinate and support services with the delivery of the change programme.
- Change Forum established for project leads and other staff involved in change to share information, learning and support improvement.
- Change Programme planning and delivery cycle embedded in corporate governance arrangements
- Weekly monitoring of the impact of COVID19 including required changes to service delivery

Risk Likelihood Score:	3 – Low to High
Risk Impact Score:	4 - Major
Overall Risk Score:	12 – Amber

Latest Update	Author	Date
Risk reviewed and updated as required in respect of COVID-19 pandemic.	Margo Williamson	30 November 2020

Additional controls / actions needed to mitigate risk further?	Yes	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Staff resources and skills will continue to be developed to support delivering service transformation.	Gordon Cargill	31 March 2021	Staff capability for delivering change improved.
Continue to develop approach to demand management across all services.	CLT	31 March 2021	Demand management as business as usual
Monitor impact of changes to service delivery as a consequence of COVID19 and decide whether change is an improvement to be continued post pandemic.	CLT	31 March 2021	More efficient service delivery, including online approaches
Ensure actions within the change programme risk register are completed to deadlines.	Gordon Cargill	31 March 2021	Change Programme Risk Register Actions.

Target Likelihood Score:	2 Low
Target Impact Score:	3 Significant
Overall Target Score:	6 Green

Risk Owner: Margo Williamson

RISK TEMPLATE

Risk Title:03 Performance Management

Risk Description:

The council does not manage or report its performance in all the areas that are important to internal and external stakeholders and therefore does not monitor performance against priorities and outcomes.

Likelihood	Potential Impact
<p>It is currently accepted that the performance management arrangements in place could be more pertinent to outcomes and could be better reported. Less detailed more focussed reports would help us improve current arrangements.</p> <p>We have a partial understanding of the performance (covering cost, quality, satisfaction, etc.) of all of our services – our intelligence and data is mixed, and we are continuing to develop the into a performance led council.</p> <p>We do not consistently have an evidence led understanding of the performance that is important to our external stakeholders.</p> <p>We are increasing our use of benchmarking our performance against other councils in priority areas.</p> <p>We are measuring our performance against Government set targets in several service areas.</p> <p>We are starting to undertake public engagement on our council priorities as part of the budget setting process.</p>	<p>The council does not know how well it performs (in terms of customer satisfactions, costs and service quality) in all priority areas.</p> <p>More performance information is needed to influence the Transformation programme and scrutiny review process</p> <p>The public, elected members and senior officers do receive only partial pertinent and timely performance information which is useful to them.</p> <p>Service performance is poorly monitored.</p> <p>Decisions about where to spend our financial and other resources are not informed by performance data.</p> <p>There is a surfeit of performance information which is not useful. There is a lack of concentration on “what matters”</p>

Existing Controls (bullet points):

- Pentana is in place as a tool to facilitate performance management and reporting. A working group examining its further potential and we are increasing our use of Pentana.
- Services are using Local Government Benchmarking Framework (LGBF) to assess comparative performance. Some services are involved in Association for Public Service Excellence (APSE) or professional bodies with associated benchmarking frameworks and comparators.
- Council Committees scrutinise a range of performance reports on service performance such as LGBF reports; Council plan performance; Angus Joint Child Poverty Local Action Plan; Scottish Roads Maintenance Condition Results; Annual Chief Social Officer report; Housing Service Performance report.
- Council Committees and Capital Plan Monitoring Group monitors performance on spend for revenue and capital expenditure which includes service delivery performance monitoring where applicable.
- Benchmarking information from other authorities in some service areas.
- Existing performance management arrangements and reporting to members is well established, e.g. annual reports, reports to Scrutiny & Audit Committee.
- Council Plan contains a range of measures that focus on key information needed by the public and elected members to judge council performance; we are now measuring and reporting this data and developing trend information.

Risk Likelihood Score:	2 Low
Risk Impact Score:	3 Significant
Overall Risk Score:	6 - Green

Latest Update	Author	Date
Score reduced in light of more robust performance management being used to support decision making and being reported to committees	Ian Cochrane	21 December 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Performance information will be used to inform budget setting decisions and choices we make about priority and non-priority service provision.	Directors	28 February 2021	Robust performance information available to assist in setting and achieving outcomes, at 2021/22 budget setting
Endorse recommendations from the Pentana Review.	CLT	31 March 2021	Pentana as the reporting tool.
Service Directors will continue to use appropriate performance measures across the range of their services that are important to internal and external stakeholders and report to CLT/Service Committees as appropriate	Directors	31 August 2021	The council does manage and report its performance in all the areas that are important to internal and external stakeholders and therefore does monitor performance against priorities and outcomes.
Progression on How Good Is Our Council/Service is setting out performance information and comparisons with other councils	Directors	31 August 2021	Robust performance information and benchmarking data
Recommendations for Pentana review and How Good is Our Council/Service combine to produce the "Performance-Led Council Programme".	Quality Improvement & Performance Team	31 August 2021	Golden thread – performance led culture

Target Likelihood Score:	2 Low
Target Impact Score:	2 Marginal
Overall Target Score:	4 Green

Risk Owner: Ian Cochrane

RISK TEMPLATE

Risk Title: 04 Partnerships
Risk Description: Failure to align / influence the differing priorities of partners can lead to decisions being taken that deviate the focus from the delivery of council priorities and outcomes.

Likelihood	Potential Impact
As budget pressures on partners grow, there is a very real risk that collaborative working across a range of services will suffer.	Efficiencies through joined up working will not be delivered as short term decisions may be taken. This may result in savings identified in the change programme relating to partnership working not being realised or delivered within anticipated timescales.

Existing Controls
<ul style="list-style-type: none"> • Regular meetings with a wide range of partners through ACPP • Ongoing work in relation to One Public Estate • Regular meetings of Chief Executives of neighbouring Authorities • Shared understanding that working in partnership delivers economies of scale in certain areas • Legislative requirements • Central Government expectation • Establishment of Strategic Commissioning (SC) function within the Council • SC function having regular liaison meetings with Tayside Contracts (TC), Angus Health & Social Care Partnership (AHSCP), Angus Alive (AA) and Voluntary Action Angus (VAA) • Council representative(s) attend AHSCP, AA and TC strategic / board / governance meetings

Risk Likelihood Score:	4 High
Risk Impact Score:	3 Significant
Overall Risk Score:	12

Latest Update	Author	Date
Risk reviewed and score assessed and no changes required at this time.	Stewart Ball	30 November 2020

Additional controls / actions needed to mitigate risk further?	Yes	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Continue development work with Angus Alive required to consider a range of issues related to strategic alignment with Council priorities	Mark Armstrong	31 March 2021	Improved understanding of Council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)
Continue development work with Tayside Contracts required to consider a range of issues related to strategic alignment with Council priorities	Mark Armstrong	31 March 2021	Improved understanding of Council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)
Continue development work with Voluntary Action Angus and 3 rd sector to develop and updated approach towards commissioning services and delivering outcomes	Vivien Smith	31 March 2021	Improved understanding of Council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)

Target Likelihood Score:	3 Low to High
Target Impact Score:	3 Significant
Overall Target Score:	9 - Amber

Risk Owner: Stewart Ball

RISK TEMPLATE

Risk Title: 05 Information Governance
Risk Description: A lack of consistency in operational delivery of information governance & information policies and processes could expose the council to an information breach and/or Information Commissioner intervention and substantial financial penalties.

Likelihood	Potential Impact
<p>Despite work done to date, it is still possible that staff are either unaware of the policies/guidance or fail to adhere to them and a breach of sensitive personal data results.</p> <p>Compounded by an apparent lack of resource in some service areas & consequently lack of consistency of operational delivery of information governance across the council.</p>	<p>There is a loss or inappropriate disclosure of sensitive data. Adverse impact on specific individuals affected. Reputational damage. Impact on resources dealing whilst dealing with alleged breach. Public loss of confidence. Breach of the Data Protection Legislation. Significant fines imposed. Ineffective decision making. Unable to meet statutory duty (Data Protection, FOI, Record Management).</p>

Existing Controls
<ul style="list-style-type: none"> Information Governance Steering Group meets quarterly & monitor & scrutinise delivery of information governance; determines matters escalated from Working Group. Information Governance Working Group meets every 6 weeks & is responsible for the implementation & monitoring of information governance policies & procedures; issues of significant concern are escalated to IGSG (see above). Each directorate has a service specific working group who are responsible for ensuring that any actions, issues or problems are fed to the appropriate group whilst implementing & promoting good practice. All relevant guidance, policies & instruction is available on the Information Governance website on the intranet and updates are made available on the IG Yammer group. All directorates have an appointed Senior Information Officer and Information Officers. Information Governance incorporated into Annual Corporate Governance review process. Corporate Leadership Team receive reports as required to highlight any significant issues.

Risk Likelihood Score:	3 Low to High
Risk Impact Score:	4 Major
Overall Risk Score:	12 Amber

Latest Update	Author	Date
Risk reviewed and the risk score remains the same for the time being. Controls have changed slightly in relation to Corporate Leadership Team reports (on an "as and when required basis" as opposed to a "regular") and by adding details of yammer group. Position as regards the recruitment process has been updated.	Alison Watson	30 November 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)

Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Seek approval from CLT for additional staff resource	Jackie Buchanan	Completed	Sufficient resource put in place for Information Governance Team.
Conclude recruitment process for FOI Assistant and Asst Records Officer and have staff in place	Jackie Buchanan	01 March 2021	Sufficient resource put in place for Information Governance Team.
Induction and training of new staff	Jackie Buchanan	01 June 2021	Fully trained and knowledgeable staff.

Target Likelihood Score:	2 Low
Target Impact Score:	4 Major
Overall Target Score:	8 Amber

Risk Owner: Jackie Buchanan

RISK TEMPLATE

Risk Title: 06 Public Protection
Risk Description: There is a failure in the multi-agency arrangements for protecting people resulting in significant harm to a child or vulnerable person and / or a failure to manage an offender appropriately leading to significant harm to another person.

Likelihood	Potential Impact
Wide range of existing controls mitigate the likelihood. These controls are monitored and revised as necessary.	A failure of systems or performance in any of the three public protection areas would have significant repercussions for the safety of the public and would potentially bring the Council into disrepute through Governmental scrutiny and adverse media attention

Existing Controls
<ul style="list-style-type: none"> • Multi-Agency Public Protection Arrangements (MAPPA), Angus Child Protection Committee and Angus Adult Protection Committee. • Chief Officer Group oversee committees at strategic multi-agency level. • Child and adult protection procedures, training and staff development. • Staff have appropriate skills and qualifications. • Multi-agency management and monitoring processes and external inspection. • Internal audit programmes. • Learning events from initial and significant case reviews. • Monitoring of attendance is in place; each agency provides a rep or appropriate delegate; induction in place for new members.

Step 3 – Risk Scoring

Risk Likelihood Score:	3 Low to High
Risk Impact Score:	4 Major
Overall Risk Score:	12 Amber

Latest Update	Author	Date
No change to the scoring of this risk; impacts of Covid on children, young people and vulnerable adults are being reported and managed via additional meetings of the COG (every 6 weeks from May - Dec 2020), weekly monitoring of data via COG data set and risk register review. Mental health impacts on children and adults including increased suicide rates and drug related deaths are emerging risks that are being closely monitored.	Kirsty Lee	16 December 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Conclude implementation of programme of support & evaluation for managing & developing Independent Chairs.	Kirsty Lee	31 March 2021	Independent Chairs evidence continued competence to lead multi agency protection committees
Partnerships develop a risk register across the agencies to assess, manage & monitor risk to success.	Kirsty Lee	31 March 2021	Dynamic risk assessments in place and owned across the partner members in order that risk continues at a manageable level

Target Likelihood Score:	2 Low
Target Impact Score:	4 Major
Overall Target Score:	8 - Amber

Risk Owner: Kathryn Lindsay

RISK TEMPLATE

Risk Title:07 Legislation
Risk Description: The council is unable to fully implement new legislative requirements on time and within budget to achieve the required outcomes.

Likelihood	Potential Impact
<p>Legislation is not matched with adequate resources including the deletion of superseded legislation.</p> <p>Capacity for implementation work is limited given reduction in management and planning posts in recent years.</p> <p>An entitlement culture means that incomplete or late implementation will lead to dissatisfaction for pressure groups/individuals.</p> <p>We have a good track record of being actively engaged in the development of legislation and delivering on requirements on time.</p> <p>There is uncertainty on future due to EU Exit.</p>	<p>Financial impact on current budget and priorities</p> <p>Reputational damage</p> <p>Legal challenges</p>

Existing Controls
<ul style="list-style-type: none"> Active engagement with the development of legislation through COSLA, professional associations and by responding to consultations as appropriate. Project management approach (led by Director) adopted for implementation of each piece of legislation/direction, including individual risk registers. Distinguish between powers and duties when planning implementation. Directorate leadership teams act as project board, receiving updates and reviewing risks during implementation. Escalation to CLT if risks increase or situation changes materially

Risk Likelihood Score:	3 Low to High
Risk Impact Score:	3 Significant
Overall Risk Score:	9 Amber

Latest Update	Author	Date
This risk was reviewed and the risk score remains the same for the time being. The position regards the recruitment process has been updated. An action has been added in relation to a system having to be identified with input from IT. This had started pre-lockdown and a process map was created but is now on hold due to impact of COVID19 on available IT resources	Alison Watson	30 November 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Seek approval form CLT for additional staff resource	Jackie Buchanan	Completed	Sufficient resource in place.
Conclude recruitment process for Asst Records Officer and have staff in place.	Jackie Buchanan	01 March 2021	Sufficient resource put in place for Information Governance Team.
Induction and training of new staff	Jackie Buchanan	01 June 2021	Fully trained and knowledgeable staff.
System requirements to be investigated with IT.	Jackie Buchanan	01 Dec 2021	To have a system in place for recording of statutory consultations and new legislation.

Target Likelihood Score:	2 Low
Target Impact Score:	3 Significant
Overall Target Score:	6 Green

Risk Owner: Jackie Buchanan

RISK TEMPLATE

Risk Title: 08 IT RESILIENCE & CYBER ATTACK (BUSINESS CONTINUITY)
Risk Description: Interruption to service or inability to provide IT services due to loss of the data centre and/or other critical infrastructure components caused by factors such as fire, vandalism, cyber-attack, equipment malfunction.

Likelihood	Potential Impact
There are resilience and protections in place however there are a number of circumstances where significant damage to the data centre or other critical infrastructure (cloud, hosted or connectivity) components is possible. Cyber-attacks are becoming increasingly common with public sector organisations targeted regularly.	Work is being done around the Recovery Time Objectives (RTO's) in our business continuity plans to ensure that they are realistic in relation to available IT resources and time. A number of business critical systems on which the council is wholly dependent to provide services could take several days to recover. The restoration of Business As Usual (BAU) services could take several weeks.

Existing Controls
<ul style="list-style-type: none"> • For email and other core components there is a project being implemented to provide an automatic switch over to the use of the secondary site in Arbroath. • The implementation of Office365 will improve resilience for all services. • Regular and tested data back-up and recovery. • Business Continuity plans in place for all critical services. • There is regular maintenance of physical environment and equipment. • The security standards are regularly reviewed. • We have PSN accreditation.

Risk Likelihood Score:	4 High
Risk Impact Score:	4 Major
Overall Risk Score:	16 Red

Latest Update	Author	Date
A significant amount of work has been undertaken including maintaining and testing standby generator and physical components at Forfar, availability of secondary servers, implementation of O365 email and sharepoint, review of security standards, backup environment being updated and moved to cloud and PSN accreditation being worked towards.	Caroline Cooper	22 December 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Where appropriate avoid the risk by provisioning the services differently. This is an ongoing action as applications are moved to the cloud.	Caroline Cooper	31 March 2021	Different approaches taken in the provision of IT services
IT, with the service units, will review the RTO's against estimates of recovery time and agree priorities for actions. This is an ongoing action as applications are moved to the cloud.	Caroline Cooper	31 March 2021	List of agreed priorities.
Resilience projects identified from the Technology Roadmap are implemented. These actions are ongoing but have been severely delayed due to COVID-19.	Caroline Cooper	31 March 2021	Increased resilience.
Start development of council wide application strategy.	Caroline Cooper	31 March 2021	Increased profile of application planning and improved end to end resilience, security and data availability

Target Likelihood Score:	2 Low
Target Impact Score:	4 Major
Overall Target Score:	8 Amber

Risk Owner: Sharon Faulkner

RISK TEMPLATE

Risk Title: 09 Health & Safety Compliance
Risk Description: The council does not fully comply with Health & Safety at Work legislation.

Likelihood	Potential Impact
Gaps for improvement have been identified through a corporate gap analysis and peer review. Both have identified similar themes and disparities which require to be addressed as a priority.	The council fails to comply with Health and Safety at Work legislation, leading to enforcement by the Health and Safety Executive.

Existing Controls
<ul style="list-style-type: none"> • Corporate Action Plan in place from September 2019. • Health & Safety policy & arrangements in place. • Peer review & gap analysis which has identified priorities and risks. • Competent & qualified health & safety staff. • Health & Safety service action plan. • Risk assessments. • Training. • Occupational Health Surveillance provided in partnership with PAM Assist.

Risk Likelihood Score:	3 – Low to High
Risk Impact Score:	4 – Major
Overall Risk Score:	12 Amber

Latest Update	Author	Date
Actions completed and internal controls strengthened.	Jacqui Semple	08 October 2020

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Review of risk assessment guidance, templates and training	Jacqui Semple	31 December 2020	Compliance with legislation
Delivery of the corporate action plan and agreed strategic objectives for 2020/21	Jacqui Semple	31 March 2021	Compliance with legislation

Target Likelihood Score:	2 - Low
Target Impact Score:	3 – Significant
Overall Target Score:	6

Risk Owner: Mark Armstrong

RISK TEMPLATE

Risk Title: 10 A NO DEAL EXIT FROM EUROPEAN UNION (EU)

Risk Description: The UK government fails to negotiate a deal to leave the EU (Risk description to be amended given outcome of negotiations between the UK and the European Union)

Likelihood	Potential Impact
<p>Planning and preparation continues at a national, regional and local level on EU exit plans. The Chief Executive is a member of the Regional Resilience Partnership and the Local Resilience partnership. The council's 'EU' exit group (BREXIT) continues to meet frequently to discuss local challenges and specifically information from Scottish and UK Governments. Council Officers are also attending sector specific meetings, the detail of which is subsequently shared and actioned accordingly. National and local workshops have also been held embracing a multi-agency approach, to assess and discuss national and local issues.</p> <p>CoSLA is negotiating additional funding for the Brexit Officer posts to be continued for a further year. Angus Council has identified resource to continue the post should the negotiations fail.</p> <p>The Health and Social Care Partnership has assessed readiness, against national assumptions and has undertaken a risk assessment alongside the council's Brexit group to identify any gaps. Work will continue in this regard as further information is received.</p>	<p>A full review has been undertaken of the national planning assumptions, aligned to council's approach. This has been undertaken via the Tayside Resilience Partnership and wider Scottish Resilience Partnership sub group.</p> <p>A deal has now been agreed.</p> <p>Although a deal has now been agreed, it is important to continue to monitor the impact of the UK leaving the EU especially over the short to medium term. This is further impacted by the need to respond to a worldwide pandemic and alignment of the resulting risks is actively being pursued.</p>

Existing Controls

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| <ul style="list-style-type: none"> • Brexit Officer appointed December 2019. • The provision of UK & Scottish planning assumptions. • Angus Council assessment against all planning assumptions. • National planning. • EU Exit council group – specialist officers. • Resilience partnership assessment and testing. • Testing of plans and procedures of what is known. • Assessment of known challenges and mitigation where possible (many issues are national and cannot be mitigated at a local level). • Preparation of all council services dealing with public support. . |
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- Information sharing internally and externally.
- Brexit Information on Angus Council website.
- Additional funding for 1 year from Scottish Government.
- Reporting to elected members.
- Ongoing assessment and review of information.

Risk Likelihood Score:	4 - High
Risk Impact Score:	3 - Significant
Overall Risk Score:	12 - Amber

Latest Update	Author	Date
Risk reviewed in light of recovery impacts; no changes required. A deal has now been agreed between the UK and European Union. Although it is recognised there are teething problems, the impact is not as significant a risk should no deal have been the outcome of the negotiations. We will continue to monitor any issues as they arise.	Vivien Smith	13 January 2021

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Monitor and review until 31 December and then assess impacts.	Gail Forrest	31 December 2020	Deal is agreed

Target Likelihood Score:	4 - High
Target Impact Score:	3 – Significant
Overall Target Score:	12 - Amber

Risk Owner: Vivien Smith

RISK TEMPLATE

Risk Title:11 Climate Change
Risk Description: Failure to comply with the requirements of the Climate Change (Scotland) Act 2009 to reduce carbon emissions, adapt to climate change and endeavour to act sustainably.

Likelihood	Potential Impact
<p>Annual reporting on Climate Change has been carried out since 2010 on a voluntary basis before the requirement to report was introduced in 2015.</p> <p>The Climate Change MOG and associated governance was established in 2016 as a result of a self assessment process identifying this as a weakness in the Council's approach to Climate Change.</p> <p>Self assessment continues and annual reporting provides accountability, but further work is required to ensure Climate Change considerations are central to work across the Council.</p> <p>The Sustainable Energy and Carbon Action Plan (SECAP) being progressed will help to do this. It aims to provide strategic direction, provide an evidence based approach and to deliver on national targets with the objective to support sustainable development, environmental management and a transition to a low carbon economy.</p>	<p>Failure to meet statutory duty including carbon emission targets</p> <p>Unacceptable impact on the environment</p> <p>Inability to deal with climate change impacts including severe weather events and unforeseen emergencies.</p> <p>Reputational impact of lack of action or perceived lack of action.</p>

Existing Controls
<ul style="list-style-type: none"> • The Climate Change Duties of Public Bodies Reporting Requirements Order 2015 ensures we report annually on our compliance with the 2009 Act. • Climate Change Member Officer Group supported by the Carbon, Adaptation and Sustainability Working Groups • Strategic Environmental Assessment of statutory plans policies and strategies ensures Climate Change is considered in their development.

Risk Likelihood Score:	3 – Low to High
Risk Impact Score:	3 - Significant
Overall Risk Score:	9 - Amber

Additional controls / actions needed to reduce risk further?	Yes / No	If Yes go to action plan
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Action	Owned By	Target Date	Success Criteria
Publish the Sustainable Energy & Climate Change Plan (late 2020)	Manager – Tay Cities Deal (Angus)	February 2021	Publication of Plan
Delivery and monitoring of SECAP actions	Climate Change MOG	Ongoing	Contribution to Public Bodies Duties Report Achieving targets Regular reporting
Continue to operate Climate Change MOG and associated working groups	Service Lead Planning and Communities	Ongoing	Regular meetings Progress on implementation of SECAP Regular reporting to Angus Council
Continue to submit Public Bodies Duties Report on an annual basis	Environmental Project Officer	Yearly and ongoing	Progress on performance towards targets Continued self-assessment

Target Likelihood Score:	2 - Low
Target Impact Score:	3 - Significant
Overall Target Score:	6 - Green

Risk Owner: Stewart Ball

RISK TEMPLATE

Risk Title: 12 Pandemic – Covid19
Risk Description: The ongoing response to the global Covid19 pandemic impacts the council's ability to continue to provide essential services and to protect the most vulnerable citizens of Angus, the wider community and the local economy.

Likelihood	Potential Impact
<p>This is an ongoing emergency response.</p> <p>New strain of virus emerging, implications for increased transmission.</p> <p>Ongoing oversight and direction from UK and Scottish Governments.</p> <p>Additional risk of concurrent events over winter e.g. flu, EU Exit, severe weather</p>	<p>Increasing pressures on health and social care systems.</p> <p>Increasing demand on existing resources. Targeting resources at emergency response reduces capacity elsewhere to sustain business as usual.</p> <p>Ongoing hardship for citizens and local businesses</p> <p>Impact on vulnerable groups.</p> <p>Financial implications for council and local economy.</p> <p>Increased risk of additional deaths.</p> <p>Reduced customer confidence in the council's ability to deliver business as usual services</p> <p>Economic impact local, regional and national business</p> <p>Opportunity to redesign services and accelerate transformational change</p>

Existing Controls
<ul style="list-style-type: none"> • Established emergency planning and incident management response • Existing network of partner organisations, third sector and community groups • Emergency Centre Co-ordination and resourcing • Decision making powers and governance • Agile workforce. • Test and protect measures • Mass Vaccination programme (recently commenced)

Risk Likelihood Score:	5 – Very High
Risk Impact Score:	4 - Major
Overall Risk Score:	20 - Red

Additional controls / actions needed to mitigate risk further?	Yes / No	If Yes go to action plan (section B)
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Additional controls / actions to reduce likelihood and/or potential impact scores

Action	Owned By	Target Date	Success Criteria
Continue to review and prioritise service delivery against response requirements and the Council Plan.	Depute Chief Executive	30 June 2021	Good customer service and delivery against Council Plan and priorities.
Continue to support the test and protect measures (all agencies)	Depute Chief Executive	31 October 2021	Reducing number of positive tests within manageable criteria.
Demand management programme to develop opportunities for change in service delivery.	Depute Chief Executive	31 December 2021	Delivery based on demand management.
Recovery and renew activity to learn from the positive and more effective ways of working during the pandemic and continue those beyond the pandemic period.	Director of Legal and Democratic Services	28 February 2022	The positive and more effective ways of working during the pandemic reflected in Council and service plans.
Support the delivery of mass vaccination programme. (NHS public health lead)	Depute Chief Executive	31 December 2021	Communities can recover and renew.
Effective administration of Scottish Government grants to minimise the economic and social impact of the pandemic.	Director of Strategic Policy and Transformation	30 June 2021	Distribution of grants to eligible recipients.

Target Likelihood Score:	5 – Very High
Target Impact Score:	3 - Significant
Overall Target Score:	15 - Red

Risk Owner: Mark Armstrong
