Impact / Likelihood

Risk Title

CORRR0001 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**
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. 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 during 2021. 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-19 is expected to mean ongoing financial constraint into future years especially for those local government services deemed lower priority by the Scottish Government. Pay inflation is a particular concern for the Council as such additional costs are not supported by additional government grant. General inflation is also a heightened risk at present and there are specific pressures affecting construction markets and pricing	The Council fails to set a realistic and balanced budget, a legal requirement. Spend is not aligned to agreed priorities set out in our Council Plan. Budget issues arise which require emergency funding. Unexpected spending responding to COVID-19 erodes the Council's financial reserves leaving less scope to manage unexpected financial issues in the future. The Council has insufficient resources to meet its core statutory duties. Lack of a strategic approach to service planning and resource allocation leading to unsustainable services. Increased service user and citizen dissatisfaction: we fail to engage sufficiently with our citizens and manage expectations. Adverse media publicity resulting in a negative impact on the reputation of the council. Savings and efficiencies are not realised resulting in emergency corrective action. We fail to meet our statutory duties resulting in poorer outcomes for service users and weak external inspection and regulatory reports.

which are likely to affect the Councils budgets. There are also potential risks to the Council's income streams and ability to collect e.g. Council Tax and rents in the aftermath of the pandemic as government support schemes wind down.

The Council's latest Medium Term Budget Strategy (MTBS) from March 2021 shows a projected funding gap for the period 2022/23 to 2023/24 of £23.3m. This requires new savings in addition to the £71.3m 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

Annual Medium Term Budget Strategy prepared including assessment of national issues affecting public finances generally	To forecast the extent of future financial challenges and allow plans to address these in good time.
Change Programme aligned to Council Plan	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.
Robust financial management	Budgets are reviewed, scrutinised and evaluated monthly by budget holders supported by finance staff.
Regular budget monitoring and reporting	By directors at Corporate Leadership Team meetings and committees.
Transformational options developed as part of Change Programme	Options which will increase income or reduce the demand on and cost of council services
2020/21 budgets were revised in response to COVID-19 and 2021/22 budgets have also been adjusted and will be kept under review	Further adjustments can be made during 2021/22 as COVID and other impacts evolve.
Change Management Board meets every 4 weeks	Chaired by the Chief Executive

Risk Likelihood Score: 4

Risk Impact Score: 4

Overall Risk Score: 16

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00001 Update Medium Term Budget Strategy analysis	After Local Government Finance Settlement is	31-Oct-2021	▶	MTBS updated, funding gaps	Director of Finance	Completed and target date of Feb 2021 met. Action now	23-Jul-2021

	announced			updated		updated for the current year.	
AC-COR-00002 Prepare the next iteration of the Change Programme	Version 3	30-Nov-2021	▶	Options to bridge whole of the funding gap are identified	Director of Finance to lead	Work ongoing, intended for submission to Committee in October/November cycle	23-Jul-2021
AC-COR-00003 Prepare fallback options should targeted savings not be met	To provide flexibility should projected funding gaps increase or Change Programme projects not meet their targeted savings - review point in summer 2021 to determine if fallback options likely to be necessary.	30-Sep-2021	▶	Options capable of implementation if need be identified	Director of Finance	Fallback options are to be identified as part of 2022/23 budget submissions from each Council service	23-Jul-2021
AC-COR-00004 Review Change programme plans monthly	Budget, savings, service plans, etc	31-Jan-2022	▶	Plan is reviewed at monthly service managers' meeting	All Directors and Service Leads	Work ongoing – monthly meetings of Change Board continuing	23-Jul-2021
AC-COR-00005 Ensure priorities are addressed as per the Council Plan		28-Feb-2022	▶	Outcomes are met	Directors	Completed and target date of Feb 2021 met. Action updated for 22/23.	23-Jul-2021
AC-COR-00006 Ensure alignment with Change Programme	Correlation across all areas	28-Feb-2022	▶	Budget and work programmes aligned and delivering	Service Leader (Governance & Change); Director of Finance	Change Programme fully integrated into Council budget setting process for 2021/22 which was agreed at the Special Council meeting held on 4 March 2021. Action updated for 2022/23.	23-Jul-2021
AC-COR-00031 Prepare Medium Term Plan/Strategy for how the Council will manage financial and other challenges between now and Local Government Elections in May 2022		31-Jan-2021	✅	Clear plan and strategy developed and being implemented	Director of Finance	COMPLETED submitted to Council meeting 4 March 2021	23-Jul-2021
AC-COR-00032 Hold additional briefings and workshops for 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.	31-Jul-2021	▶	Briefings/workshops held and provide clear plan to keep the Council financially sustainable having also consulted with the public.	Chief Executive; Director of Finance	Significantly progressed – 2 of 3 initial workshops held by end June 2021	23-Jul-2021
AC-COR-00033 Ensure the Council takes the opportunity to use the Fiscal	This is in the absence of additional funding from	28-Feb-2022	▶		Director of Finance	Discussions between Scottish Government and COSLA	23-Jul-2021

Flexibilities allowed by Scottish Government to meet COVID-19 financial impacts.	Scottish Government and is for impacts now and in the medium term.						regarding these flexibilities are ongoing so action date rolled forward
AC-COR-00046 Prepare a long term financial strategy for the Council	To compliment the MTBS by looking further ahead at key issues likely to significantly affect the Council's finances.	30-Nov-2021	▶	Long term strategy approved by Council and used to inform decision making and planning	Director of Finance	NEW ACTION	23-Jul-21
AC-COR-00047 Develop clear plan for use of COVID funding provided to the Council to address issues caused by the pandemic	Also to consider how such funding may support the Council's overall budget challenges and ensure best value use of all resources regardless of how provided.	30-Sep-2021	▶	Clear plan for use of funds available which best supports delivery of Council Plan priorities	Director of Finance	NEW ACTION	23-Jul-21

Target Likelihood: 3

Target Impact: 3

Overall Target Score: 9

Risk Owner:	Ian Lorimer, Director of Finance

Latest Update	By	Date
Narrative is deliberately detailed given the importance of this risk. No changes to likelihood or impact score made at review.	Ian Lorimer	23 Jul 2021

Impact

Likelihood

Risk Title

CORRR0002 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	**Potential Impact**
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 partnerships. Our Council Plan has identified strategic priorities and resource and planning are aligned to these. There is a growing expectation that 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.	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

Leadership	Strong resilient strategic leadership with a clear sense of purpose and change.
Approach to 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).
Whole Council approach to change	
Clear change programme approach developed and agreed	includes defining the scope of the programme and delivering the various programmes/ projects.
Change programme links to strategic outcomes	Economy, People, Place and Our Council.

Governance	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.
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 our corporate governance arrangements.
Weekly monitoring of the impact of COVID19	Including required changes to service delivery.

Risk Likelihood Score: 3

Risk Impact Score: 3

Overall Risk Score: 9

**Additional Controls/Actions to Reduce Likelihood and/or Impact Scores**

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00007 Continue to develop staff resources and skills.	To support delivering service transformation.	31-Mar-2022	▶	Improvement in staff capability for delivering change.	Service Leader (Governance & Change)	There has been significant investment in project management training throughout the organisation over the past few years. A bespoke training course was designed with our training partner QA at the start of 2019 and that has provided the basis for the Council's Project Life Cycle. In addition training has been delivered in relation to the 'Service Design' approach and further commitments are being progressed to expand the use of this, with a particular emphasis on customer engagement and inclusion in the service design/ change process.

Fulfilled in 2020/21 and ongoing for 2021/22. | 13-Jul-2021 |
| AC-COR-00008 Continue to develop approach to demand management across all services. | | 31-Mar-2022 | ▶ | Demand management as business as usual. | CLT | Work is going on to progress this action. A recent change in the portfolio of the Director for Communities (Vibrant | 08-Jul-2021 |

						Communities) will enable leadership of demand management across the Council. CLT are considering all aspects of this in relation to our finance and texts of change	
AC-COR-00009 Ensure risk actions in Change Programme risk register are completed to deadlines.		31-Mar-2022	▶	Change Programme risk register actions completed.	Service Leader (Governance & Change)	The risk in the Change programme risk register are monitored and updated regularly including the associated actions. The Risk Register is also reported to the Change Board for scrutiny, review and input where required. Fulfilled in 2020/21 and ongoing for 2021/22.	13-Jul-2021
AC-COR-00025 Monitor impact of changes to service delivery as a consequence of COVID19	Decide whether change is an improvement to be continued post pandemic.	31-Mar-2022	▶	More efficient service delivery including online approaches.	CLT	A lot of excellent cross council work going on to address service delivery improvements as a consequence of different delivery during the pandemic. CLT papers & a likely paper to Council Sept/Oct outlining changes to offices and workstyles.	08-Jul-2021

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Margo Williamson, Chief Executive

Latest Update	By	Date
Potential impact scored reduced from 4 to 3.	Alison Frew	23-Jul-21

Impact / Likelihood
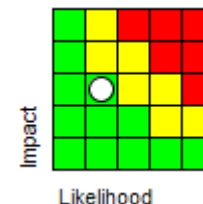
Risk Title

CORRR0003 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**
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 focused reports would help us improve current arrangements. 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 into a performance led council. We do not consistently have an evidence led understanding of the performance that is important to our external stakeholders. We are increasing our use of benchmarking our performance against other councils in priority areas. We are measuring our performance against government set targets in several service areas. We are starting to undertake public engagement on our council priorities as part of the budget setting process.	The council does not know how well it performs (in terms of customer satisfactions, costs and service quality) in all priority areas. More performance information is needed to influence the Transformation programme and scrutiny review process The public, elected members and senior officers do receive only partial pertinent and timely performance information which is useful to them. Service performance is poorly monitored. Decisions about where to spend our financial and other resources are not informed by performance data. There is a surfeit of performance information which is not useful. There is a lack of concentration on "what matters"

Existing Controls

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 the system.
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
Benchmarking information from other authorities in some service areas	

Well established performance management and reporting arrangements	Annual reports, reports to Scrutiny & Audit Committee
Range of measures contained in the Council Plan	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
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 Conditions Results; Annual Chief Social Work Officer report; Housing Service Performance report.
Council committees and Capital Plan Monitoring Groups.	Monitors performance on spend for revenue and capital expenditure which includes service delivery performance monitoring where applicable.
Performance Led Programme	Recommendations from the Pentana review and also How Good Is Our Council integrated into this programme.

Risk Likelihood Score: 2

Risk Impact Score: 3

Overall Risk Score: 6

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00010 Performance information to be used to inform budget setting.	Decisions and choices made about priority and non-priority service provision.	28-Feb-2022	▶	Robust performance information available to assist in setting and achieving outcomes at 2021/22 budget setting.	Directors	Completed for 21/22 and moved forward for 22/23 budget setting process.	09-Jul-2021
AC-COR-00011 Endorse recommendations from the Pentana review.		31-Mar-2021	✓	Pentana as the reporting tool.	CLT	COMPLETED Integrated into Performance Led Programme	09-Jul-2021
AC-COR-00012 Service Directors to continue to use appropriate performance measures.	Directors will continue to use appropriate performance measures that are important to internal and external stakeholders and report to CLT / Service Committees as appropriate.	31-Aug-2022	▶	The council manages and reports its performance in all the areas that are important to internal and external stakeholders and therefore monitors its performance against priorities and outcomes.	Directors	Ongoing action and due date moved forward for coming year.	09-Jul-2021
AC-COR-00013 Progression on How Good Is Our Council / Service.	Setting out performance information and comparisons	31-Aug-2022	▶	Robust performance information and	Directors	Ongoing action and moved forward for current year	09-Jul-2021

|	with other councils.			benchmarking data.			
AC-COR-00014 Recommendations from Pentana review and How Good Is Our Council combined.	Produces the Performance-Led Council Programme.	31-Aug-2021	✅	Golden thread - performance led culture.	Service Leader (Governance & Change)	COMPLETED Both these components are combined into the Performance Led (PLED) Programme.	21-Dec-2020

Target Likelihood: 2

Target Impact: 2

Overall Target Score: 4

Risk Owner:	Ian Cochrane, Director of Infrastructure

Latest Update	By	Date
Risk reviewed. Two completed actions resulted in strengthened controls. No changes to score required.	Alison Frew	15 Jul 2021

Impact / Likelihood
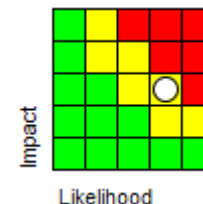
Risk Title

CORRR0004 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

Regular meetings with a wide range of partners through ACCP	
Work ongoing in relation to One Public Estate	
Regular meetings with Chief Executives of neighbouring authorities.	
Shared understanding that partnership working delivers economies of scale in certain areas.	
Legislative requirements	
Central Government expectation	
Strategic Commissioning (SC) function within the Council	
SC function holds regular liaison meetings with partners	Tayside Contracts (TC), Angus Health & Social Care partnership (AHSCP), Angus Alive (AA) and Voluntary Action Angus (VAA)
Council representative(s) attend TC, AHSCP and AA strategic / board / governance meetings	

Risk Likelihood Score: 4

Risk Impact Score: 3

Overall Risk Score: 12

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00015 Continue development work with Angus Alive to align priorities	Consider a range of issues related to strategic alignment with Council priorities	31-Mar-2022	▶	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)	Director of Strategic Policy, Transformation & Public Sector Reform	The transformation project with Angus Alive as a consequence of the impact of Covid 19 on Culture and Leisure services is well underway. Reports on progress have been considered by Angus Council at each of its meetings throughout 2021. There have now been 3 Rapid Improvement Events and four innovation groups established to ensure that the service level agreement with the ALEO is both robust and forward looking from 2022.	20-Jul-2021
AC-COR-00016 Continue development work with Tayside Contracts to align priorities	Consider a range of issues related to strategic alignment with council priorities	31-Mar-2022	▶	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)	Deputy Chief Executive	Work with TC GSG and services continues to identify areas for improvement, saving and income generation.	14-Jul-2021
AC-COR-00017 Continue development work with Voluntary Action Angus to align priorities	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)	31-Mar-2022	▶	Improved understanding of council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit	Director of Strategic Policy, Transformation & Public Sector Reform	Work continues with VAA to better align 3rd sector partnerships through the Transforming Services group and through leadership sharing on the Angus Community Planning Partnership. The service level agreement with VAA has been much improved for 2021/22	20-Jul-2021

				future partners actions (e.g. agreed action plan or similar)			

Target Likelihood: 3
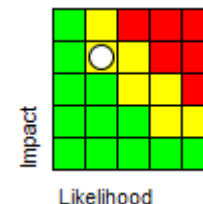
Target Impact: 3

Overall Target Score: 9

Risk Owner:	Vivien Smith, Director of Strategic Policy, Transformation & Public Sector Reform

Latest Update	By	Date
Risk reviewed and no changes to risk score required.	Alison Frew	19 Jul 2021

Impact / Likelihood

Risk Title

CORRR0007 Information Governance

Risk Description

A lack of consistency in operational delivery of information governance & implementation of information governance policies could expose the council to an information breach and/or Information Commissioner intervention and substantial financial penalties

Likelihood	**Potential Impact**
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. This is compounded by an apparent lack of resource in some service areas and consequently lack of consistency in operational delivery of information governance across the council.	There is a loss or inappropriate disclosure of sensitive data. Reputational damage. Adverse impact on specific individuals affected. Public loss of confidence. Breach of data protection legislation. Significant fines imposed. Ineffective decision making. Unable to meet statutory duty (Data Protection, FOI, Record Management). Impact on resources dealing with alleged breach.

Existing Controls

Information Governance Steering Group	Meets quarterly & monitors & scrutinises delivery of information governance; determines matters escalated from Working Group.
Information Governance Working Group	Meets every 6 weeks; responsible for implementation and monitoring of information governance policies & procedures; significant issues escalated to IGSG (see above).
Service Specific Working Groups	Each directorate responsible for ensuring all issues are fed to the appropriate group whilst implementing and promoting good practice.
Guidance, Policies, Instruction	All available on the Information Governance website on the intranet and updates are made available on the

	IG Yammer group.
Information Officers	All directorates have an appointed Senior Information Officer and Information Officers with set remits.
Compliance incorporated into Annual Corporate Governance review process	
Corporate Leadership Team	Receive reports as required to highlight any significant issues.
Dedicated Information Governance Team	Based in Legal Team 2, Legal & Democratic Services

Risk Likelihood Score: 2
Risk Impact Score: 4
Overall Risk Score: 8

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00018 Seek approval from CLT for additional staff resource		31-Jan-2020	✅	Sufficient resource put in place for Information Governance Team	Director of Legal & Democratic Services	COMPLETED Approval was provided. 2 new members of staff approved to join the information governance team. Currently shortleeting	24-Nov-2020
AC-COR-00026 Conclude recruitment process of additional staff	Freedom of Information Assistant and Assistant Records Officer in place.	01-Mar-2021	✅	Sufficient resource put in place for Information Governance Team	Director of Legal & Democratic Services	COMPLETED Additional staff recruited and in place.	09-Jul-2021
AC-COR-00027 Induction and training of new staff		01-Jun-2021	✅	Fully trained and knowledgeable staff	Director of Legal & Democratic Services	COMPLETED Induction and training completed	09-Jul-2021

Target Likelihood: 2
Target Impact: 4
Overall Target Score: 8

Risk Owner:	Jackie Buchanan, Director of Legal & Democratic Services

Latest Update	By	Date
The successful recruitment of the FOI Assistant and Assistant Records Officer has enabled the Information Governance team to provide an improved service across the council thereby reducing the likelihood of this risk materialising	Angela Dunlop, Information Analyst	09 Jul 2021

Impact

Likelihood
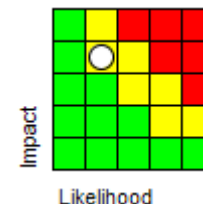
Risk Title

CORRR0016 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

Multi-Agency Public Protection Arrangements (MAPPA), Angus Child Protection Cttee and Angus Adult Protection Cttee	
Chief Officer Group oversee committees at strategic multi-agency level	Programme of support and evaluation for Independent Chairs established and delivered.
Child and adult protection procedures, training and staff development	
Staff have appropriate skills and qualifications	
Multi-agency management, monitoring processes and external inspection	Risk register agreed and updated by Committee Chairs.
Internal audit programmes	
Learning events from initial and significant case reviews	
Attendance monitoring is in place	each agency provides a rep or appropriate delegate; induction in place for new members

Risk Likelihood Score: 2

Risk Impact Score: 4

Overall Risk Score: 8

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00019 Conclude implementation of programme of support & evaluation for Independent Chairs	The managing and development of Independent Chairs	31-Mar-2021	✅	Independent Chairs evidence continued competence to lead multi-agency protection committees	Senior Planning Officer, Children, Families and Justice	COMPLETED Programme established and delivered	09-Jul-2021
AC-COR-00020 Partnerships develop a risk register across the agencies	To assess, manage & monitor risk to success	31-Mar-2021	✅	Dynamic risk assessments in place and owned across the partner members in order that risk continues at a manageable level	Senior Planning Officer, Children, Families and Justice	COMPLETED Risk register in place	09-Jul-2021

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Kirsty Lee, Senior Planning Officer; Kathryn Lindsay, Director Children, Families and Justice (CSWO)

Latest Update	By	Date
Chief Officer arrangements of some partners are to be under review which may affect attendance and commitment. This risk will be assessed in an ongoing way through existing controls including monitoring of attendance, participation in induction into the Chief Officer Group role and delivering on chairing arrangements etc.	Kirsty Lee, Senior Planning Officer	09 Jul 2021
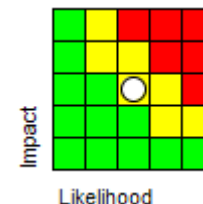
Impact / Likelihood

Risk Title

CORRR0018 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**
Legislation is not matched with adequate resources including the deletion of superseded legislation. Capacity for implementation work is limited given reduction in management and planning posts in recent years. An entitlement culture means that incomplete or late implementation will lead to dissatisfaction for pressure groups/individuals. We have a good track record of being actively engaged in the development of legislation and delivering on requirements on time. There is uncertainty on future due to EU exit.	Financial impact on current budget and priorities. Reputational damage. Legal challenges.

Existing Controls

Active engagement with the development of legislation	Through COSLA, professional associations and by responding to consultations as appropriate
Project management approach adopted for implementation of legislation	Led by the Director; for 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

Risk Impact Score: 3

Overall Risk Score: 9

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00021 Seek approval from CLT for additional staff resource		31-Jan-2020	✅	Sufficient resource in place	Director of Legal & Democratic Services	COMPLETED	
AC-COR-00028 Conclude recruitment of Assistant Records Officer		01-Mar-2021	✅	Sufficient resource in place for Information Governance Team	Director of Legal & Democratic Services	COMPLETED Additional staff recruited and in place.	22-Jul-2021
AC-COR-00029 Induction and training of new staff		01-Jun-2021	✅	Fully trained and knowledgeable staff	Director of Legal & Democratic Services	COMPLETED Induction and training completed.	22-Jul-2021
AC-COR-00030 System requirements to be investigated with IT		01-Dec-2021	▶	To have a system in place for recording of statutory consultations and new legislation	Service Leader - Legal	Discussions are ongoing with Donald Bennett in IT to identify a suitable system	21-Jul-2021

Target Likelihood: 2
Target Impact: 3
Overall Target Score: 6

Risk Owner:	Jackie Buchanan, Director of Legal & Democratic Services

Latest Update	By	Date
Risk reviewed and the risk score remains unchanged at this time. Legal due to meet with IT in July 2021 to take forward the identification of an appropriate IT system for recording of statutory consultation and new legislation. This had started pre-lockdown and a process map was created.	Alison Watson, Service Leader – Legal & Democratic	22 Jul 2021

Impact / Likelihood
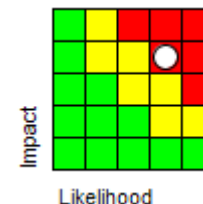
Risk Title

CORRR0019 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

Project being implemented to provide automatic switch over	For email and other core components to switch to the use of the secondary site in Arbroath
Implementation of Office365 has improved resilience for all services	
Regular and tested data back-up and recovery	
Business Continuity plans for all critical services	
Regular maintenance of physical environment and equipment	
Regular review of security standards	
PSN accreditation	
Council wide Application Strategy in place.	

Risk Likelihood Score: 4

Risk Impact Score: 4

Overall Risk Score: 16

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions			Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00034 Start development of council wide application strategy			31-Mar-2021	✅	Increased profile of application planning and improved end to end resilience, security and data availability	Service Manager Digital Enablement and IT	COMPLETED Application Strategy reviewed with all senior managers and approved by Digital Strategy Board June 2021	19-Jul-2021
AC-COR-00035 Ongoing review of new threats and counter measures			31-Mar-2022	▶	Improved security and resilience	Service Manager Digital Enablement and IT	Ongoing and regular review by Network and Security Team Leader with periodic reports to CLT on threats and counter measure. Fulfilled in 2020/21 and ongoing for 2021/22.	19-Jul-2021
CORRR_0019.2 Where appropriate avoid the risk by provisioning the services differently.	This is an ongoing action as applications are moved to the cloud.		31-Mar-2022	▶	Different approaches taken in the provision of IT services	Service Manager Digital Enablement and IT	In the last 6 months changes made to AHSC Eclipse, O365 and Backup to provision services such that they are less reliant on on-site physical infrastructure. Ongoing for 2021/22.	19-Jul-2021
CORRR_0019.3 IT will review, with the service units, 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.		31-Mar-2022	▶	List of agreed priorities	Service Manager Digital Enablement and IT	Updated as part of BC plans and ongoing review between BRMs and service areas wrt system uptime and recovery time requirements. Ongoing for 2021/22.	19-Jul-2021
CORRR_0019.4 Resilience projects identified from the Technology Roadmap are implemented	This action is ongoing but has been severely delayed due to Covid-19.		31-Mar-2022	▶	Increased resilience	Service Manager Digital Enablement and IT	Potential downtime required to undertake complete end to end testing still being hampered by COVID-19 and need for vast majority of staff to be working remotely.	19-Jul-2021

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Caroline Cooper, Service Manager Digital Enablement and IT; Sharon Faulkner, Head of Organisational Change

Latest Update	By	Date
Potential downtime required to undertake complete end to end testing of disaster scenarios still being hampered by COVID-19 and need for vast majority of staff to be working remotely, hence very difficult to negotiate downtime required for actual testing and making resilience changes.	Caroline Cooper, Service Manager Digital Enablement and IT	19 Jul 2021
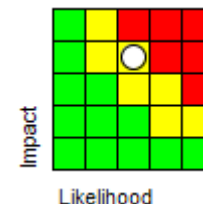
Impact

Likelihood

Risk Title

CORRR0020 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 identifies 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 & Safety Executive.

Existing Controls

Corporate Action Plan in place	
Reviewed health & safety policy and arrangements in place	
Provision of risk assessment guidance, templates and training	
Competent and 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

Risk Impact Score: 4

Overall Risk Score: 12

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00022 Review of risk assessment guidance, templates and training		31-Dec-2020	✅	Compliance with legislation	Manager - Risk, Resilience & Safety	COMPLETED Risk assessment guidance, templates complete. Training has commenced and will continue during 2021, due to the impact of the pandemic.	21-May-2021
AC-COR-00023 Delivery of corporate action plan and agreed strategic objectives for 2020/21		31-Oct-2021	▶	Compliance with legislation	Manager - Risk, Resilience & Safety	Corporate action plan monitored, reviewed and updated on an ongoing basis. The pandemic has had an impact on taking some of these actions forward and these are now being progressed on a priority basis.	19-Jul-2021
AC-COR-00045 Review of health & safety training to enable a training plan to be produced and implemented.		31-Dec-2021	▶	Training plan produced and implemented.	Manager - Risk, Resilience & Safety	NEW ACTION	

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Mark Armstrong, Deputy Chief Executive

Latest Update	By	Date
Work is ongoing to take forward the corporate health & safety action plan. No change in risk score required at this time.	Jacqui Semple, Manager - Risk, Resilience & Safety	19 Jul 2021
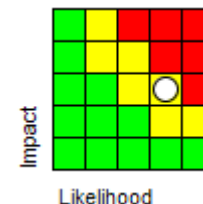
Impact / Likelihood

Risk Title

R-AC-COR-00003 Exit from the European Union (EU)

Risk Description

Impacts from the UK leaving the European Union on 31 January 2021

Likelihood	Potential Impact
Five years on from the UK decision to leave the EU it is not yet possible to describe the full impact that decision will have on the people of Scotland. Some consequences, such as parts of the new rules on trade into the UK, are not yet fully in force. For those that are, assessing the real impact will take many years. Work to identify the immediate, medium and longer term impact of the UK leaving the UK continues at a national, regional, and local level. The Chief Executive is a member of the Regional Resilience Partnership and Chairs the Local Resilience Partnership. The council's Brexit Officer Group meets bi monthly to discuss local challenges and specifically information from Scottish and UK governments. Council officers continue to attend sector specific meetings, the detail of which is subsequently shared and actioned accordingly. COSLA agreed a further 6 months funding for the Brexit Officer post, Angus had already identified funding to continue the post until December 2021. NHS Tayside and Angus Health and Social Care Partnership continue to assess the impact on the health service and its wider partnership	A full review has been undertaken of the national planning assumptions, aligned to council's approach following the agreement of the Free Trade Deal. This has been undertaken via the Tayside Resilience Partnership and wider Scottish Resilience Partnership sub group. With Angus being a rural area the impact on trade, economy and workforce in relation to farming and tourism is being monitored. Some of these difficulties are about unavoidable new rules and regulations. Some are about costs which now need to be permanently factored in. It is difficult to know the full impact of BREXIT alongside COVID; this is being managed by concurrent risk mitigation and oversight.

Existing Controls

Brexit officer appointed

Provision of UK & Scottish planning assumptions	
Angus Council assessment against all planning assumptions	
National planning	
Brexit council officer group	
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 local level
Preparation of all council services dealing with public support	
Information sharing internally and externally	
Brexit information on council website	
Additional funding for 6 months from Scottish Government	
Reporting to elected members	
Ongoing assessment and review of information	
Ongoing monitoring and review of concurrent risks	

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

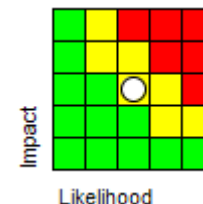**Additional Controls/Actions to Reduce Likelihood and/or Impact Scores**

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update		Date
AC-COR-00024 Monitor and review and then assess impacts		31-Dec-2021	▶	Understanding of potential impacts on the council and citizens of Angus.	Senior Practitioner (Brexit Coordinator)	AMENDED ACTION		

Target Likelihood: 4
Target Impact: 3
Overall Target Score: 12

Risk Owner:	Gail Forrest, Senior Practitioner (Brexit Coordinator); Vivien

	Smith, Director of Strategic Policy, Transformation & Public Sector Reform

Latest Update	By	Date
Risk likelihood and potential impact reviewed in line with the Free Trade Deal and current impact information from Scottish Government.	Gail Forrest, Senior Practitioner (Brexit Coordinator)	01 Jul 2021

Impact / Likelihood

Risk Title

R-AC-COR-00004 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

Annual reporting on Climate Change has been carried out since 2010 on a voluntary basis before the requirement to report was introduced in 2015. 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. 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. 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.	Failure to meet statutory duty including carbon emission targets Unacceptable impact on the environment Inability to deal with climate change impacts including severe weather events and unforeseen emergencies Reputational impact of lack of action or perceived lack of action

Existing Controls

Climate Change Duties of Public Bodies Reporting Requirements Order 2015	These ensure that we report annually on our compliance with the 2009 Act.
Climate Change Member Officer Group	This is supported by the Carbon, Adaptation and Sustainability Working Groups
Strategic Environmental Assessments	Of statutory plans, policies and strategies ensures Climate Change is considered in their development

Risk Likelihood Score: 3

Risk Impact Score: 3

Overall Risk Score: 9

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00036 Publish the Sustainable Energy & Climate Change Plan		30-Sep-2021	▶	Publication of plan	Manager - Tay Cities Deal (Angus)	Additional work being added to SECAP.	19-Jul-2021
AC-COR-00037 Delivery and monitoring of SECAP actions		31-Mar-2022	▶	Contribution to Public Bodies Duties Report Achieving targets Regular reporting	Climate Change MOG	Work ongoing.	19-Jul-21
AC-COR-00038 Submit annual Public Bodies Report		31-Mar-2022	▶	Progress on performance towards targets Continued self-assessment	Environmental Project Officer	On target.	19-Jul-21

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Alison J Smith, Interim Director - Communities

Latest Update	By	Date
Risk reviewed and no change in risk score at this time.	Alison Frew	22 Jul 2021

Impact / Likelihood
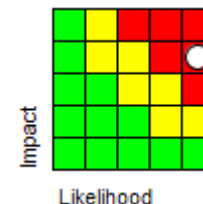
Risk Title

R-AC-COR-00005 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**
This is an ongoing emergency response. New strain of virus emerging, implications for increased transmission. Ongoing oversight and direction from UK and Scottish Governments. Additional risk of concurrent events over winter e.g. flu, EU Exit, severe weather	Increasing pressures on health and social care systems. Increasing demand on existing resources. Targeting resources at emergency response reduces capacity elsewhere to sustain business as usual. Ongoing hardship for citizens and local businesses. Impact on vulnerable groups. Financial implications for council and local economy. Increased risk of additional deaths. Reduced customer confidence in the council's ability to deliver business as usual services Economic impact local, regional and national business Opportunity to redesign services and accelerate transformational change

Existing Controls

Established emergency planning and incident management response
Network of partnership 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

Risk Likelihood Score: 5

Risk Impact Score: 4

Overall Risk Score: 20

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00039 Review and prioritise service delivery	against response requirements and the Council Plan.	31-Dec-2021	▶	Good customer service and delivery against Council Plan and priorities.	Deputy Chief Executive	Due date revised to take account of ongoing Covid response management. IMT and Gold continue to meet to manage the response to and recovery from the pandemic. Services continue to flex and respond to dynamic Covid situation.	14-Jul-2021
AC-COR-00040 Continue to support the test and protect measures		31-Mar-2022	▶	Reducing numbers of positive tests within manageable criteria.	Deputy Chief Executive	The LTR T&P Group continues to meet fortnightly and report to LRP meetings. System across Tayside in managing with demands and changes. A proposal for asymptomatic testing across Tayside is being refined to secure Scottish Government approval and funding. Probability is that T&P will continue beyond October 2021 and end date should be revised to 31 March 2022	21-Jun-2021
AC-COR-00041 Demand management programme to develop opportunities for change in service delivery.		31-Dec-2021	▶	Delivery based on demand management	Deputy Chief Executive	Tender process to secure a partner to work with Council and ACPP on Service Design and how this will enable demand management projects to realise benefits is nearing completion. Assuming partner is selected, projects will be identified and initiated prior to end of the year. New SL post to be established to lead on demand management work with a dedicated team.	21-Jun-2021

AC-COR-00042 Ensure recovery and renew activity learns from positive ways of working.	To learn from the positive and more effective ways of working that emerged during the pandemic and continue those beyond the pandemic period.	01-Mar-2022	On course	New ways of working are reflected in council and service plans.	Director of Legal & Democratic Services		
AC-COR-00043 Support the delivery of mass vaccination programme (NHS public health lead)		31-Dec-2021	On course	Communities can recover and renew.	Service Leader - Assets		
AC-COR-00044 Ensure the effective administration of Scottish Govt grants	To minimise the economic and social impact of the pandemic.	30-Jun-2021		Distribution of grants to eligible recipients.	Director of Strategic Policy, Transformation & Public Sector Reform	COMPLETED A member of staff has been seconded to keep a register of all grants coming to Angus Council. Work is underway to secure new levelling up grant funding and a bid is being progressed for regeneration funding. Work has progressed with business support grants and all support schemes delivered as planned.	23-Jul-2021

Target Likelihood: 5

Target Impact: 3

Overall Target Score: 15

Risk Owner:	Mark Armstrong, Deputy Chief Executive

Latest Update	By	Date
Risk reviewed and no changes to risk score made.	Alison Frew	23-Jul-2021