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 and/or local government funding for core services reaches levels which make it impossible to deliver all statutory duties. 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
The 2022/23 Local Government Finance Settlement sees a continuation of real terms reductions in Government Grant funding for core (long standing) local government services. 95% of the uplift in funding provided to Angus Council for 2022/23 was for specific purposes and policy commitments so cost pressures like pay and general inflation again had to be funded by reductions in costs elsewhere in the Council's budget and through Council Tax increases. This approach to local government funding of core services is not sustainable and there is now a very real risk that the overall resources available will be insufficient to enable the Council to meet its core statutory functions. The risk of service failure is also increased by the cumulative effect of budget savings to compensate for the lack of growth in grant funding for core service cost and demand pressures. The recently published Scottish Government resource Spending Review projects no cash increase in total revenue funding for local government for the period 2022/23 to 2025/26 meaning a significant real terms cut would apply if those projections are what is implemented in practice.

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 | 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 legacy issues or the cost of living crisis 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. |

Programme is iterative but the scale of change and budget savings already delivered is making it increasingly difficult to find new options for savings.

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.

The medium to long term implications of COVID-19 and Brexit on Scottish local government finances is still emerging and uncertain. 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 food, energy, fuel and construction markets and pricing which will inevitably 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 due to the cost of living challenges facing Angus citizens.

An update to the Council's Medium Term Budget Strategy (MTBS) is currently being prepared but based on previous estimates a gap over the next 2 years of at least £28m is expected. This requires new savings in addition to the £78m 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 may even be impossible to achieve whilst still ensuring the Council's statutory responsibilities can be fulfilled. Even assuming statutory responsibilities can still be met the scale of further savings projected to be required cannot possibly 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 but there are currently insufficient options identified to close projected funding gaps.

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
Budgets were revised in response to COVID-19 and 2022/23 budgets will also be adjusted and will be kept under review in response to the impacts of inflation.	Further adjustments can be made during 2022/23 as impacts evolve.
Change Management Board meets every 4 weeks	Chaired by the Chief Executive

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-00002 Prepare the next iteration of the Change Programme	Version 3	31-Mar-2023	In progress	Options to bridge whole of the funding gap are identified	Director of Strategic Policy, Transformation & Public Sector Reform	Completed for 2022/23 and will roll forward for 2023/24 budget.	07-Jul-2022
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-2022	In progress	Options capable of implementation if need be identified	Director of Finance	Completed for 2022/23 and will roll forward for 2023/24 budget.	07-Jul-2022
AC-COR-00004 Review Change programme plans monthly	Budget, savings, service plans, etc	31-Jan-2023	In progress	Plan is reviewed at monthly service managers' meeting	Manager - Change	Completed for 2022/23 and will roll forward for 2023/24 budget.	07-Jul-2022
AC-COR-00005 Ensure priorities are addressed as per the Council Plan		28-Feb-2023	In progress	Outcomes are met	Directors	Completed for 2022/23 and will forward for 2023/24 budget.	07-Jul-2022
AC-COR-00006 Ensure alignment with Change Programme	Correlation across all areas	28-Feb-2023	In progress	Budget and work programmes aligned and delivering	Service Leader (Governance & Change); Service Director	Completed for 2022/23 and will roll forward for 2023/24 budget.	07-Jul-2022

|							
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	Completed	Briefings/workshops held and provide clear plan to keep the Council financially sustainable having also consulted with the public.	Chief Executive; Director of Finance	Programme of workshops completed - further briefing provided as part of elected members induction programme. Report to Council in June provided further update.	07-Jul-2022
AC-COR-00033 Ensure the Council takes the opportunity to use the Fiscal Flexibilities allowed by Scottish Government to meet COVID-19 financial impacts.	This is in the absence of additional funding from Scottish Government and is for impacts now and in the medium term.	28-Feb-2022	Completed		Director of Finance	Completed.	07-Jul-2022
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-Sep-2022	In progress	Long term strategy approved by Council and used to inform decision making and planning	Director of Finance	This has been delayed several times by the pressure of other urgent work but an initial long term financial planning framework will be brought to Council for consideration in September or November 2022	07-Jul-2022
AC-COR-00079 Prepare updated Medium term Budget Strategy (MTBS)	to set out the projected funding gaps over the 3 year period 2023/24 to 2025/26	30-Nov-2022	In progress	Clear plan and strategy developed and being implemented	Director of Finance	Work about to commence	07-Jul-2022
AC-COR-00080 Undertake full review of all commitments in the Council's reserves	to try to free up one-off funds to support the Council's budget challenges in 2022/23 and beyond	30-Sep-2022	In progress	Council as well places as it can be to meet financial challenges	Director of Finance	Largely complete – report to come to members after summer recess	07-Jul-2022
AC-COR-00081 Assess potential financial benefits for the Council from the review of accounting treatment of service concession charges		31-Dec-2022	In progress	Additional savings identified to help close budget funding gap	Director of Finance	Awaiting detailed guidance from Scottish Government – draft guidance issued mid-July is being reviewed	07-Jul-2022
AC-COR-00082 Assess the implications of inflationary pressures on the Council's budgets in 2022/23	and identify remedial action. assessment to also consider knock on impact into 2023/24 budgets	31-Oct-2022	In progress	Council as well placed as it can be to meet financial challenges	Director of Finance	Work is underway for reporting through budget monitoring reports to Committee	07-Jul-2022

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 and has been updated to reflect the budget set in March 2022 and the Resource Spending Review publication in May 2022. Risk score stays as is.	Ian Lorimer	07 Jul 2022

Impact

Likelihood
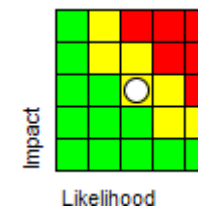
Risk Title

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	A number of strategies are in place from Service Design to Lean. Our Strategy on a Page (SOAP) developed in collaboration with staff and members must be followed to ensure we deliver the necessary change
Clear priorities established and agreed in line with key strategic plans	Our Community Plan, Council Plan, Financial Plan, Workforce Plan, Medium Term Budget Strategy and Change Programme. The follow through Action Plan to our Best Value Audit report to be completed.
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	In progress	Improvement in staff capability for delivering change.	Service Leader (Governance & Change)	Four project management training sessions have been arranged for 2022 with our training partner QA, The training modules in relation to Service Design are complete and available for staff on the Always Learning Platform. Options Appraisal training for staff and elected members is being designed and will be delivered to suit the needs of varying groups once available. Will roll forward for 2022/23.	18-May-2022
AC-COR-00008 Continue to develop approach to demand management across all services.		31-Mar-2023	In progress	Demand management as business as usual.	Director of Vibrant Communities and Sustainable Growth	Director of Vibrant Communities now established and leading work with community engagement and participation. Post pandemic in-person meetings will potentially grow interest from community activists.	07-Jul-2022
AC-COR-00009 Ensure risk actions in Change Programme risk register are completed to deadlines.		31-Mar-2023	In progress	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	07-Jul-2022

|							
							Register is also reported to the Change Board for scrutiny, review and input where required. Fulfilled in 2021/22 and ongoing for 2022/23.	
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-2023	In progress	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. Workstyles being agreed to reduce carbon footprint. More services to consider digital only provision.	07-Jul-2022

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Margo Williamson, Chief Executive

Latest Update	By	Date
Transforming services to reduce costs dominates this work. Our SOAP must be continually considered in any report where members are asked for a decision. Consider including SOAP in the template for reports to Council and Committee that include service change.	Margo Williamson	07 Jul 2022

Impact / Likelihood
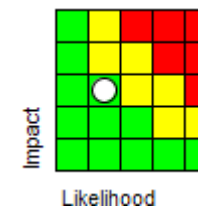
Risk Title

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**
Work continues to ensure that all directorates and services use available data effectively to identify and prioritise improvements in performance. This work includes the need to ensure a greater focus on outcomes and a reporting schedule which presents our performance/improvement in alignment with our planning process. At present how directorates/services utilise the data available to them is varied. All Directorates are progressing with the PLED programme. 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. This includes setting targets against our council plan performance indicators. 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. Service performance is not effectively monitored in some areas. Decisions about where to spend our financial and other resources are not informed by performance data in all areas. The public, elected members and senior officers do not always receive performance information drawn from a variety of sources/stakeholders and so are being asked to make decisions based on information that may not be reliable or valid. How we utilise data as a Council does not effectively support and align with the planning and reporting cycle. 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-2023	In progress	Robust performance information available to assist in setting and achieving outcomes at 2021/22 budget setting.	Directors	A revised Council plan was agreed at budget setting in Feb 2022 with performance measures and targets clearly articulated. Completed for 2022/23 and will roll forward for 2023/24 budget.	19-Jul-2022
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	In progress	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.	Service Leader (Governance & Change)	Performance measures reviewed and updated as part of the Council Plan agreed by Council on 3 March 2022. Service Directors continue to engage in progressing the PLED programme which includes reviewing and updating all performance management information.	19-Jul-2022

AC-COR-00013 Progression on How Good Is Our Council / Service.	Setting out performance information and comparisons with other councils.	31-Aug-2022	In progress	Robust performance information and benchmarking data.	Service Leader (Governance & Change)	This forms part of the PLED programme and services are progressing through the various stages.	19-Jul-2022
AC-COR-00060 Progress to Stage 3 & 4 of the Performance Led programme	Next stage of PLED programme. This will involve: - Improved performance reporting - Big Data Project - Development of Power BI	31-Dec-2023	In progress	Quarterly performance updates to S&A Committee	Director of Strategic Policy, Transformation & Public Sector Reform	This action tree will be added to Pentana to allow progress on the three key components to be monitored. Improved regular reporting, development of data dashboards and the big data project will help us co-ordinate the services work on PLED programme.	23-Dec-2021
AC-COR-00061 Power BI Improvement Tool	Development of this analytical tool has progressed well since response to COVID.	31-Mar-2023	In progress	Improved dashboards and reporting	Performance Analyst	Meeting held in March with IT and Microsoft. The Embedded Power BI licence will be reviewed at the same time as the O365 package renewal in September 2022.	28-Apr-2022
AC-COR-00062 Big Data Project	This project will improve the direction, management and co-ordination of our data.	31-Dec-2023	In progress	Whole council approach to data integration, governance and analysis	Performance Analyst	This action is added to Pentana to ensure delivery of the 4 core workstreams: - Improved collaboration and productivity between services on data - Increased quality and efficiency of our data and data management - Data skills and training - Improved data analysis and reporting of data	23-Dec-2021
AC-COR-00063 Audit Scotland's Annual Audit Report actions – to be monitored	Create an action plan to progress recommendations in annual report	30-Sep-2022	In progress	Improved data for PIs in annual performance report, Clearer public performance reporting; and reporting on the compliance to 2018 SPI Direction.	Service Leader (Governance & Change)	CLT Creative conversation on 15.02.22 discussed the plan for year ahead included how to meet the Annual Audit Report actions.	24-Mar-2022

Target Likelihood: 2

Target Impact: 2

Overall Target Score: 4

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

Latest Update	By	Date
No change in assessment. PLED work continues and Audit Scotland has considered our Performance Management as part of the Best Value Audit reported in June 2022.	Vivien Smith	19 Jul 2022

Impact / Likelihood
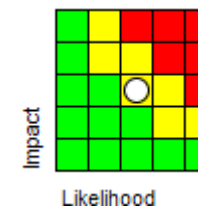
Risk Title

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 ACPP	
Regular meetings between 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: 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-00015 Continue development work with Angus Alive to align priorities	Consider a range of issues related to strategic alignment with Council priorities	31-Mar-2023	In progress	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)	Senior Practitioner - Strategic Commissioning	ANGUSalive (AA) continue their post pandemic return to business supported by the Council. Various opportunities have been identified for AA to pursue which will provide more opportunities for income and improved services to communities. Updating of the Services Agreements are being undertaken to reflect current provision. Progress of the overall transformation of AA is being monitored and reported to Council on a regular basis	20-Jul-2022
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-2023	In progress	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)	Depute Chief Executive	Work with TC GSG and services continues to monitor existing service delivery, identify areas for improvement, saving and income generation. Transformation workshops focused on several service delivery areas have been agreed to be undertaken identifying future savings projects across the Tayside Councils through Tayside Contracts	20-Jul-2022
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-2023	In progress	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)	Senior Practitioner - Strategic Commissioning	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 Agreement held between the Council and VAA has been transitioning into an outcomes focused agreement which has served as a template for more	20-Jul-2022

|							
						trusted and improved service delivery arrangements.	
AC-COR-00059 Review of Community Plan	reviewing the Community Plan with partners and engaging with our communities ensures there is a plan in place that can deliver what people in Angus need.	30-Nov-2022	In progress	Community Plan signed off at partner boards / committees.	Manager - Strategic Policy & Planning	Updates are presented at every Community Planning Partnership.	12-Jul-2022

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

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

Latest Update	By	Date
Audit Scotland has recognised that Angus Council has effective partnership working in place in the Best Value audit of Angus Council. It is therefore appropriate to review the risk score and reduce it to the target of 3 and 3 giving an overall risk score of 9. The new target will be 2 and 3 respectively for likelihood and impact.	Vivien Smith	19 Jul 2022

Impact / Likelihood
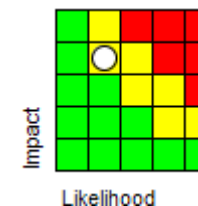
Risk Title

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 and sharing best practice and operational examples; 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 webpage on the intranet and updates are made available on the IG Yammer group on a regular basis.
Information Officers	All directorates have an appointed Senior Information Officer and Information Officers with set remits.
Compliance incorporated into Annual Corporate Governance review process	Including annual GDPR training requirement.
Corporate Leadership Team	Receive reports as required to highlight any significant issues and take appropriate action.
Dedicated Information Governance Team	Skilled and trained staff based in Legal Team 2, Legal & Democratic Services available to provide advice and support and lead on compliance.

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

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

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

Latest Update	By	Date
Risk reviewed; no change in score required at this time.	Jackie Buchanan	19 Jul 2022

Impact / Likelihood
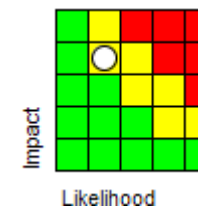
Risk Title

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

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
Existing controls sufficient							

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Kathryn Lindsay, Director Children, Families and Justice (CSWO)

Latest Update	By	Date
No additional actions are required to mitigate this risk further. Risk kept under review.	Kirsty Lee, Service Leader	07 Jul 2022
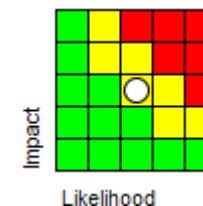
Impact / Likelihood

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 management and compliance are not matched with adequate resources including awareness in respect of superseded or new legislation. Capacity for legislative implementation work is limited given reduction in posts in recent years. Dissatisfied Groups or individuals may challenge Council decisions the Council in respect of any compliance issue We have a good track record of being actively engaged in the development and implementation of legislation and delivering on requirements on time. There is uncertainty on future due to EU exit.	Failure to meet legal obligations and responsibilities Financial impact of legislative compliance 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 Scottish and UK Governments 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	
Legal & Democratic Services Directorate leadership team	Act as project board, receiving updates and reviewing risks during implementation. Escalation to CLT if risks increase or situation changes materially
Fully trained and knowledgeable staff in place.	

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-00058 Engage in development of workflow system with Civica (system provider)		31-Dec-2022	▶ In progress	Process in place	Service Leader - Legal	Discussions with Civica are ongoing - on target to meet due date.	19-Jul-2022

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 action updated. No change to risk score at this time; likelihood score will reduce once new online system is instigated.	Jackie Buchanan	19 Jul 2022

Impact / Likelihood
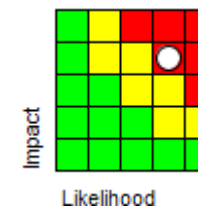
Risk Title

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 government and 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. As more and more critical systems traditionally delivered by on the premises client / server model move to internet-based delivery and the number of devices and locations being used to access council data assets from outside the corporate network increases, so does the exposure to malware and malicious threat actors and the risk of a successful attack is more likely. The impact of a successful ransomware attack is significant data loss, inability of organisation to function at all in the short term and significant disruption to services over many months. The costs incurred are likely to be in the range £10Ms.

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.	

Council wide Application Strategy approved and 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-00035 Ongoing review of new threats and counter measures		31-Mar-2023	In progress	Improved security and resilience	Service Manager Digital Enablement and IT	Action is ongoing and due date has been updated to reflect this. Ongoing and regular review by Network and Security Team Leader with periodic reports to CLT on threats and counter measures.	12-Jul-2022
AC-COR-00075 Address outstanding actions from automated failover testing	including automation of active directory fail over and review of Hybrid Exchange	31-Mar-2023	In progress	Increased automated resilience	Service Manager Digital Enablement and IT	Work ongoing by the Infrastructure Team to review hybrid Exchange setup and remove the on-premises component thereby decreasing the resilience complexity for this service as it will be reliant on only internet access which is automated. No ETA at this time due to work prioritisation.	12-Jul-2022
AC-COR-00076 Implement Security Operations Centres (24/7)	as per business case and options appraisal provided to CLT.	31-Mar-2023	In progress	24/7 alert response reducing risk of effective cyber-attack against the organisation.	Service Manager Digital Enablement and IT	Project Initiation Document (PID) completed and submitted to Strategic Digital Board for management. Business case submitted and queries by Director of Finance responded to. Awaiting final go-ahead. Some changes to dates which have been reflected in the PID.	12-Jul-2022
AC-COR-00077 Regularly review implementation of actions from SEPA gap analysis programme	Proposed technical, process, and people change actions. Managed by Digital Strategy Board.	31-Mar-2023	In progress	Improved security and resilience	Manager - Risk, Resilience & Safety; Service Manager Digital Enablement and IT	Action is ongoing and will be managed by the Strategic Digital Board.	12-Jul-2022

|							
AC-COR-00078 Implement and monitor cyber training and awareness across the organisation	includes phishing, cyber incident response. Cyber incident playbooks for technical staff.	31-Mar-2023	In progress	Cyber incident response training for senior leaders and all other relevant resources. Improved security and resilience.	Service Manager Digital Enablement and IT	5 of 11 IT staff have had Cyber Incident Response training. Remaining 6 to complete in August and November. 10 have had Cyber Incident Response playbook training. Senior management training being dealt with by Risk and Resilience Team	12-Jul-2022
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-2023	In progress	Different approaches taken in the provision of IT services	Service Manager Digital Enablement and IT	Action is ongoing and due date has been updated to reflect this. Ongoing programme of improvement and move to cloud via AC/DC migration and Application strategy programmes.	12-Jul-2022
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-2023	In progress	List of agreed prioritised actions	Service Manager Digital Enablement and IT	Action is ongoing and due date has been updated to reflect this. Updated as part of BC plans and ongoing review between BRMs and service areas re system uptime and recovery time requirements. Additionally new actions from SEPA gap analysis have been added to programme and will be used to monitor progress. This will be picked up by the work Risk and Resilience will carry out as part of the SEPA Gap Analysis work.	12-Jul-2022
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	Completed	Increased resilience	Service Manager Digital Enablement and IT	All technology components tested for resilience and automated fail over to CC1 in event of issues with main data centre in Forfar. See link **ResilienceComponentTestingClosu rereport.docx** Due to issues with Active directory set up some manual intervention is	12-Jul-2022

						required, and this has been documented and available in the IT Battle box. This action can be closed based on DC1/ CC1 lessons learned and actions will be raised covering further changes required.	

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Sharon Faulkner, Director of Human Resources, Digital Enablement and Business Support

Latest Update	By	Date
Risk reviewed and updated - no change in score required at this time.	Sharon Faulkner	12 Jul 2022

Impact
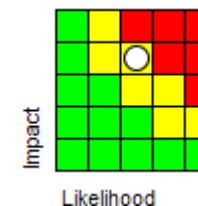
Likelihood

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 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 & 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
Assure digital management system launched.	
Consultation with external partners, services and trade unions	

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	Templates contained within the Assure system risk management module. Guidance for general and specific hazards and controls on H&S webpages. Training on Always Learning and linked to Resourcelink.	31-Dec-2022	In progress	Compliance with legislation	Team Leader - Risk, Resilience & Safety	EastScot H&S group (PKC/Clacks/Angus Safety Teams) development plan progresses to develop/review 33 guidance topics setting out responsibilities and providing information, instruction and training to services. Web pages build progresses. Fire, activity, individual, DSE, homeworking, COSHH Assure templates live. Next steps: Updated risk assessor training starts August 2022. Assessors will build service risk assessments into system. Further development ongoing.	07-Jul-2022
AC-COR-00023 Delivery of corporate action plan and agreed strategic objectives for 2022/23		31-Mar-2023	In progress	Compliance with legislation	Team Leader - 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.	07-Jul-2022
AC-COR-00045 Review of health & safety training to enable a training plan to be produced and implemented.	Risk assessors training to be delivered by safety advisers. Pre assessors course, awareness and self-assessment training will be on Always Learning	31-Dec-2022	In progress	Training plan produced and implemented.	Team Leader - Risk, Resilience & Safety	Ongoing discussions and development with OD to design and deliver mandatory H&S training to meet audit benchmarking report. Fire awareness and building managers training reviewed, designed and live. Next steps: risk and COSHH assessors training delivery starts in August 2022. Review of DSE, homeworking and lone working on Always Learning. Other topics to follow. Due date revised from 30 June 22 to 31 Dec 22.	07-Jul-2022

| AC-COR-00048 Develop the Performance Monitoring Record | Contained within the Assure System's audit management module. | 31-Jul-2023 | In progress | Services enabled to identify if they are compliant with relevant H&S legislation | Team Leader - Risk, Resilience & Safety | As part of ongoing EastScot Assure System group work the Performance Monitoring Record is under development. This will be trialled in July 22, finalised in August 22.

Once ready, it will take significant time for services along with adviser assistance to complete the Performance Monitoring Record and due date been amended accordingly.

The Record will provide an action plan to support achieving compliance with legislation. | 07-Jul-2022 |

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Mark Armstrong, Depute 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.	Mark Armstrong	07 Jul 2022

Impact

Likelihood
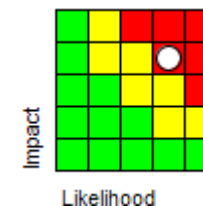
Risk Title

R-AC-COR-00004 Climate Change

Risk Description

Failing to comply with the requirements of the Climate Change (Scotland) Act 2009 to achieve interim targets by 2030 and net zero emissions by 2045 and a failure to manage climate change adaptation will reduce the resilience of communities, businesses, and ecosystems within Angus.

Likelihood	**Potential Impact**
High - action is required immediately within Angus Council, and the wider Angus area, to ensure the Council achieves its specific climate change strategic aim of reducing the impact of climate change by being a major contributor to achieving Scotland's national climate change goals, as leaders in clean growth, environmental stewardship, and sustainability.	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 (Scotland) Order 2015	Mandatory annual reporting for compliance with the Climate Change (Scotland) Act 2009.
Climate Change (Scotland) Act 2009	Underpinning legislation to tackle climate change.
Strategic Environmental Assessments and Habitats regulations Appraisal	Of statutory plans, policies and strategies ensures Climate Change is considered in their development
Climate Change (Emissions Reduction Targets (Scotland) Act 2019	Scotland's emissions reduction targets to net zero by 2045, and interim emissions reduction targets.
Update to the Climate Change Plan 2018 – 2032 Securing a Green Recovery on a Path to Net Zero	Sets out the Scottish Government's pathway to the ambitious targets set by the Climate Change Act 2019.
Local Heat and Energy Efficiency Strategies order (draft)	Statutory duty on Scottish local authorities to produce Local Heat and Energy Efficiency Strategies (LHEES)
Planning (Scotland) Act 2019	Determines the future structure of the modernised planning system. Includes NPF4 which is a crucial element of our planning reforms. NPF4 will set out a new plan for Scotland in 2050.
Scottish Biodiversity Strategy (post 2020) - A Statement of Intent	Sets the direction for a new biodiversity strategy which will respond to the increased urgency for action to tackle the twin challenges of biodiversity loss and climate change.

Angus Shoreline Management Plan 2			A large-scale assessment of the risks associated with erosion and flooding at the coast.			
Tay Estuary and Montrose Basin Flood Risk Management Plan			Developed to detail the actions adopted to reduce the devastating and costly impact of flooding in the Tay Estuary and Montrose Basin local plan district.			
Elected Member Updates			Interim arrangement, Climate Change Working Group to be superseded by SECAP Working Group			

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-00036 Publish the Sustainable Energy & Climate Change Plan		30-Sep-2021	✅ Completed	Publication of plan	Manager - Tay Cities Deal (Angus)	It is proposed to undertake an early review of the SECAP once a resource is in place to link in with existing corporate activity and focus more on business and community links.	19-Jul-2022
AC-COR-00037 Delivery and monitoring of SECAP actions		31-Mar-2022	✅ Completed	Contribution to Public Bodies Duties Report Achieving targets Regular reporting	Manager - Strategic Policy & Planning	Recruitment to the SECAP post was unsuccessful. The post has been moved to the Environment and Climate Team and has recently been regraded. Recruitment will be undertaken shortly.	19-Jul-2022
AC-COR-00038 Submit annual Public Bodies Duties Report (mandatory)		30-Nov-2022	▶ In progress	Progress on performance towards targets Continued self-assessment	Project Officer - Environmental Strategy; Project Officer - Climate Change	On track – data gathering for 2021/22 submission underway. Report to Full Council 03/11/22 for submission to Scottish Govt by 30/11/22 deadline.	19-Jul-2022
AC-COR-00064 Establish Council Boundary emissions		31-Dec-2022	✅ Completed	Determine a boundary to monitor emissions reductions against.	Project Officer - Environmental Strategy; Project Officer - Climate Change	Complete based on 2019 data. Data for 2020 now available so documents and graphs to be updated.	19-Jul-2022
AC-COR-00065 Calculate Angus's carbon insetting potential		31-Dec-2023	▶ In progress	Determine Angus Council's insetting	Project Officer - Environmental	Awaiting guidance from Scot Govt, due early 2023. Timescale	19-Jul-2022

|							
				potential for offsetting 'unavoidable' emissions.	Strategy; Project Officer - Climate Change	amended to reflect this and available resource to complete.	
AC-COR-00066 Carry out a net zero review of Angus Council	to inform a Net Zero plan to 2030 (Interim target of 75% reduction compared to baseline).	31-Dec-2022	In progress	Ensure Angus Council has a clear plan to meet the interim carbon reduction target of 75% (against base year) by 2030.	Project Officer - Environmental Strategy; Project Officer - Climate Change	On track – draft complete. Report to Full Council 08/09/22 and launch during Climate Week (26/09/22)	19-Jul-2022
AC-COR-00067 Produce Local Heat & Energy Efficiency Strategy		31-Dec-2023	In progress	Set out the long-term plan for decarbonising heat in buildings and improving their energy efficiency across an entire local authority.	Service Manager (Technical); Service Leader - Planning and Sustainable Growth; Director of Strategic Policy, Transformation & Public Sector Reform	Funding package of £75k agreed by Cosla and Scot Govt to support the development of LHEES. Working to procure consultancy support to progress for commencement by end of the financial year.	19-Jul-2022
AC-COR-00068 Mandatory e-Learning for staff		31-Mar-2024	In progress	Staff will be well informed about climate change and how it affects Angus Council, and Angus as a whole. Staff will consider climate change impacts in their work.	Project Officer - Environmental Strategy; Project Officer - Climate Change	Work ongoing, timescale amended due to available staff resource	19-Jul-2022
AC-COR-00069 Embed climate change impacts into all Angus Council activities and decisions.		31-Mar-2024	In progress	Councillors & management will have an awareness of carbon emissions costs and impacts of everyday activities, and the ability and motivation to reduce emissions. Climate Change impacts will be quantified during	Service Leader - Planning and Sustainable Growth	Sustainable Scotland Network Climate Change Impacts Assessment working groups guidance at templates due to be released end Dec 2022. Timescale moved due to available staff resource to progress.	19-Jul-2022

				the decision-making process.			
AC-COR-00070 Access to funding via council monies and loans to progress net zero projects		31-Mar-2023	In progress	Various small to large scale projects are completed to ensure we reach our interim targets and Net Zero by 2045.	Service Leader - Planning and Sustainable Growth	Work ongoing.	19-Jul-2022
AC-COR-00071 Develop and deliver a programme of land use adaptation projects	at a landscape scale, corporately and with stakeholders. Secure external funding for delivery.	31-Mar-2023	In progress	Climate change mitigation and adaptation will be achieved on a large scale.	Project Officer - Environmental Strategy	Work ongoing.	19-Jul-2022

Target Likelihood: 3

Target Impact: 4

Overall Target Score: 12

Risk Owner:	Alison J Smith, Director - Vibrant Communities and Sustainable Growth

Latest Update	By	Date
Reviewed and updated the whole document, added new controls / actions, and updated the risk and target scores.	Caren Webster	10 Feb 2022

Impact / Likelihood
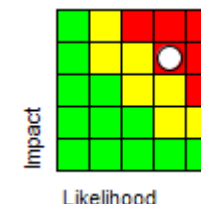
Risk Title

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

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: 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-00039 Review and prioritise service delivery	against response requirements and the Council Plan.	31-Dec-2021	✅ Completed	Good customer service and delivery against Council Plan and priorities.	Depute Chief Executive	Covid response and reprioritisation of services has been stood down and council has moved back to normal operations and service delivery.	20-Jul-2022
AC-COR-00040 Continue to support the test and protect measures		31-Mar-2022	✅ Completed	Reducing numbers of positive tests within manageable criteria.	Depute Chief Executive	Test and protect system has been stood down. Council resources supporting this work have been returned to normal operations.	20-Jul-2022
AC-COR-00041 Demand management programme to develop opportunities for change in service delivery.		31-Jan-2023	▶ In progress	Delivery based on demand management	Depute Chief Executive	Service design tests of change and capacity building programme has been delivered across four projects. All now in delivery phase and future demand management projects being identified as part of the change programme.	20-Jul-2022
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-2023	▶ In progress	New ways of working are reflected in council and service plans.	Director of Legal & Democratic Services	Virtual meetings both at officer level and for Council and Committees has continued successfully throughout the pandemic and continue to do so allowing the Council to function as well as bringing benefits in terms of cost reduction, reduced carbon footprint and greater flexibility for both staff and the public. Online processes continue to be developed in support of the new ways of working covering all aspects of Council service delivery. In addition, the Council is considering a hybrid system for	20-Jul-2022

						delivery of its Council and Committee meetings.	
AC-COR-00043 Support the delivery of mass vaccination programme (NHS public health lead)		31-Mar-2022	✅ Completed	Communities can recover and renew.	Service Manager (Technical)	Responsibility for vaccination centres moved to the NHS on 11 April 2022. Council resources supporting this work have been returned to normal operations.	21-Jul-2022
AC-COR-00044 Ensure the effective administration of Scottish Govt grants	To minimise the economic and social impact of the pandemic.	30-Jun-2021	✅ Completed	Distribution of grants to eligible recipients.	Director of Strategic Policy, Transformation & Public Sector Reform	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: 4

Target Impact: 3

Overall Target Score: 12

Risk Owner:	Margo Williamson, Chief Executive

Latest Update	By	Date
This risk is being monitored and evaluated. Positive cases in Scotland and Angus are still high but manageable due to vaccines. We will carefully monitor the situation Autumn / Winter 2022/23. Roll out booster programme being put in place for over 50's. Likelihood score accordingly reduced from 5 to 4 giving overall risk score of 16. Target likelihood score also reduced from 5 to 4 giving overall target score of 12.	Margo Williamson	22-Jul-2022

Impact / Likelihood
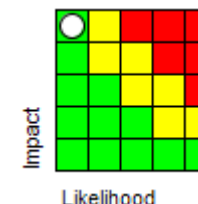
Risk Title

R-AC-COR-00006 Data Migration

Risk Description

Incomplete migration of data from Care First (legacy client index system) to Eclipse (replacement client index system) leads to professionals having incomplete information on which to base assessment of need and risk to children referred to social work; incomplete identification of records in relation to subject access requests and the Historic Child Abuse enquiry; the application of incorrect file retention schedules and inaccuracy of key data returns to Scottish Government and the Improvement Service to inform comparative data.

Likelihood	**Potential Impact**
Initial implementation review of the "go live" for children's social work of the Eclipse system identified that a cohort of data had not been successfully migrated from the legacy system to the new Eclipse. Ongoing requests for subject access to social work files and day to day operation of the system in dealing with referrals has led to identification of other cases. This suggests that the incomplete migration of data impacted a larger number of records than initially understood. Statutory return data did not pass internal sense check and highlighted further inaccuracies with the system's automated data reporting. Due to our incomplete understanding of the underlying issue with data migration and missing and/or duplicated records the likelihood of future occurrence is currently unquantified.	Previous episodes of intervention do not reliably show on the new system and risk not therefore being factored into an assessment of the need for a service, including protection-based intervention for referrals that present now or in the future. That we advise people looking to exercise their legal entitlement to access their social work records (or other entitled parties) that we do not have records pertaining to that individual when in fact we do. Completion of the statutory data returns to Scottish Government required significant additional work to check, correct and verify the return prior to submission. Inability to have confidence in the automated management information produced by the system reduces the ability to proactively monitor demand and performance and respond to FOI requests. Confidence in the system is undermined.

Existing Controls

Specific operational work around put in place to input data in relation to the initial cohort of records identified
In Children, Families & Justice requests manually checked against rather than relying on the data in Eclipse, we are confident that we are not failing to respond to such requests.
Every subject access request is manually checked
Manual sense check of all FOI responses

Operational managers have been instructed to ensure that all referrals being screened through duty must have CareFirst checks completed in addition to existing processes. This will stay in place until confidence is restored.
Provision of CareFirst logins and training prioritised for all staff who deliver duty.
Cross departmental working group established and initial action plan in place to assess the root cause of the issues and identify other mitigations necessary.
Manual work arounds in place for all statutory returns.
Specific problem-solving liaising arrangement in place with OLM (the provider).
Weekly reporting to the Children, Families and Justice Bronze group on progress and oversight by the Implementation Board.

Risk Likelihood Score: 1

Risk Impact Score: 5

Overall Risk Score: 5

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

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00049 Assess risks regarding the migration of further data prior to progressing with further implementation.		21-Jan-2022	✅ Completed	Report to Programme Board providing clarity regarding the systems issues and ability to progress without adding to the current difficulties	Service Manager Digital Enablement and IT	Initial report complete and attached. Data quality review to be completed w/c 14th Feb and specification defining missing data cohort to OLM w/c 28th Feb	24-Jan-2022
AC-COR-00050 Notify the out of hours service and ensure they have capability to implement dual system checking for referrals.		21-Dec-2021	✅ Completed	OOHS have the ability to screen referrals on both systems	Service Leader - Localities	Alan Hope: OOHS notified and will advise if additional log ins required - have been maintaining both systems in any event as not all services have moved to Eclipse.	23-Dec-2021
AC-COR-00051 Continue current temporary Information Officer capacity within CFJ for further 12 months to mitigate risk.		31-Mar-2022	✅ Completed	The service retains its current level of capacity for the meantime.	Service Leader - Child Protection & Review	Budget identified and post extended to ensure capacity to support service delivery	03-May-2022
AC-COR-00052 Notify adult services of the issues and merit in implementing dual system checking for relevant referrals/ subject access requests.		20-Dec-2021	✅ Completed	Adult services are aware of the need to implement double system checks where indicated.	Service Leader - Child Protection & Review	The CFJ service assessment and risk information has been shared with Head of Service in Adult Services and currently assessing the implications and action required in adult care.	21-Dec-2021

AC-COR-00053 Clarify the scope and nature of the issues in conjunction with OLM (provider)	initially through cross referencing records identified as problematic by the service	31-Dec-2021	✅ Completed	Report to Programme Board providing clarity regarding the systems issues and a specific action plan in place to resolve.	Service Manager Digital Enablement and IT	Report to Programme board completed 21/03/22 and OLM updated 3/3/22 with complete information of data migration discrepancies. Action complete. New mitigation action re OLM response and timescales to be added to risk register.	22-Mar-2022
AC-COR-00054 Provide login details to all relevant staff for Care First		23-Dec-2021	✅ Completed	All relevant staff have a CareFirst login	Service Manager Digital Enablement and IT	Completed, all further requests will be managed as part of normal processes	24-Jan-2022
AC-COR-00055 Ensure advice is available to key staff on use of Care First		24-Dec-2021	✅ Completed	Advice on the use of Care First for system checks is available to those with no prior experience of the system	Service Leader - Localities	Alan Hope: Any Support is available from Eclipse team.	23-Dec-2021
AC-COR-00056 Review permissions in place for all staff accessing Eclipse	to ensure these allow the right level of records viewing and are consistent.	23-Dec-2021	✅ Completed	Permissions reviewed	Service Manager Digital Enablement and IT	All Urgent issues / discrepancies have been addressed Programme board agreed 28/2/22 to close action. Further action to be added : IT/Applications Team to coordinate Legal services and Data quality/ practitioner reps in review of quality of permissions in place.	22-Mar-2022
AC-COR-00057 Keep under active review any record anomalies that emerge through day-to-day operations.		31-Mar-2022	✅ Completed	Anomalies reviewed	Service Leader - Child Protection & Review	There is now an established process to quality assure data and resolve issues prior to submission (national return) and monthly data quality checks. The Eclipse Group meets regularly, has an action plan with timescales and reports to the Eclipse Board; clear escalation processes in place. This action is no longer necessary.	03-May-2022
AC-COR-00072 Agree and implement ongoing data improvement approach	to oversee and progress data quality for all social work data.	15-Jun-2022	✅ Completed	Measurable, fit for purpose data.	Service Leader - Child Protection & Review	Quality assurance approach under development; data being submitted for current returns is being quality checked for more accuracy. This action will now be	01-Jul-2022

							transferred to the project risk register.	
AC-COR-00073 Manage provider's (OLM) response to data migration issues		15-Jun-2022	✅ Completed	Confirmation that time bounded action plan is in place to resolve.	Service Manager Digital Enablement and IT	Agree action plan carried out by supplier and previously non migrated historical records migrated.	24-Jun-2022
AC-COR-00074 Operational review of permissions for accessing Eclipse system	review of quality and suitability of permissions in place for all staff accessing Eclipse system.	15-Jul-2022	✅ Completed	Permissions reviewed.	Service Manager Digital Enablement and IT	IT/Application Team Leader to coordinate permissions review of Eclipse system in the coming months. This action will now be transferred to the project risk register.	01-Jul-2022

Target Likelihood: 1

Target Impact: 5

Overall Target Score: 5

Risk Owner:	Kathryn Lindsay, Director Children, Families and Justice (CSWO)

Latest Update	By	Date
Risk presented to the Social Work Client Index Upgrade Project Board (SWCIUP) and agreed risk to be de-escalated due to the completion of the associated actions that drastically reduce the likelihood of this risk re-occurring. Likelihood score reduced from 5 to 1, potential impact remains at 5 giving overall new risk score of 5 (down from 20). Risk will be monitored at operational/project level.	Kathryn Lindsay	01 July 2022