

ANGUS COUNCIL

SCRUTINY AND AUDIT COMMITTEE – 23 AUGUST 2022

CORPORATE RISKS AND RISK MANAGEMENT

REPORT BY MARGO WILLIAMSON – CHIEF EXECUTIVE

ABSTRACT

This report provides an update on the progress and the work being undertaken on the council's risk management framework, including an updated corporate risk register.

1. RECOMMENDATIONS

It is recommended that the Scrutiny and Audit Committee:

- (i) note the continuing work being undertaken to promote and embed risk management and
- (ii) scrutinise the corporate risk register and all risks contained therein.

2. ALIGNMENT TO THE COUNCIL PLAN

The contents of this report contribute to the achievement of the corporate priorities set out in the Community Plan and the Council Plan. This is achieved by providing the Scrutiny and Audit Committee with information and assurance about the council's identified corporate risks and the embedding of our risk management framework.

3. BACKGROUND

Reference is made to item 8 of the minute of this Committee on 25 January 2022, report no. 16/22, where an update was provided on work undertaken to promote and embed risk management. The updated corporate risk register was also reported.

4. CURRENT POSITION

The risk management strategy has been reviewed and is reflective of current practices. Work on risk appetite is progressing, in conjunction with our Risk Consultant at Zurich Municipal, who are the council's insurers. This work will support the development of specific guidance and definitions to enable a more targeted approach to risk appetite.

Work with all services continues to review and finalise service risk registers, which will be scrutinised by the corporate risk monitoring group.

All corporate risks have been reviewed and amended by risk owners; summary dashboard in Appendix 1 and detailed report included in Appendix 2. Vivien Smith, Director of Strategic Policy, Transformation and Public Sector Reform has taken ownership of the performance management risk due to the recent retiral of the previous owner.

A report was submitted to the Corporate Leadership Team (CLT) meeting on 12 July 2022, and this outlined emerging risks, and agreement for inclusion as follows:

- Decarbonisation of fleet will be included with the existing climate change risk.
- Workforce fit for the future will be included with the existing transforming for the future risk.

- The National Care Service is identified as an emerging risk and a full risk assessment will be developed and reported to a future committee meeting.

Work is also scheduled to consider the outcomes and recommendations from the recent Best Value Report.

Significant changes to the risk register are:

- Climate Change risk has been rescored from 9 to 16 taking into consideration additional actions required.
- Pandemic – COVID19 risk has been rescored from 20 to 16 reflecting the success of the vaccination programme whilst still being cognisant of the fact that case numbers are still high.
- Partnership Risk score has been reduced from 12 to 9 reflecting the outcomes of the Best Value Report issued in June. A new target score of 6 has also been set.
- All associated actions for the Data Migration risk have been completed leading to a new risk score of 5 reduced from 20. This risk will now be de-escalated and monitored at project board level.

5. PROPOSALS

The Committee scrutinises the progress of the corporate risk register and the ongoing work on the council's risk management framework.

6. FINANCIAL IMPLICATIONS

There are no financial implications arising directly from this report.

7. OTHER IMPLICATIONS

There are no other implications arising from this report.

8. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment has been carried out and is attached.

NOTE: No background papers, as detailed by Section 50D of the Local Government (Scotland) Act 1973 (other than any containing confidential or exempt information) were relied on to a material extent in preparing the above report.

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List of Appendices:

Appendix 1 Corporate Risk Dashboard

Appendix 2 Corporate Risk Register



Equality Impact/Fairer Scotland Duty Assessment Form

(To be completed with reference to Guidance Notes)

Step 1

Name of Proposal

Regular committee report to Scrutiny & Audit (23 August 2022) giving update on the council's corporate risks and risk management framework which have taken place over the last 6 months. This information is reported twice yearly to this committee.

Step 2

Is this only a **screening** Equality Impact Assessment Yes

(A) If Yes, please choose from the following options **all** reasons why a full EIA/FSD is not required:

- | | |
|--|--------|
| (i) It does not impact on people | Yes/No |
| (ii) It is a percentage increase in fees which has no differential impact on protected characteristics | Yes/No |
| (iii) It is for information only | Yes/No |
| (iv) It is reflective e.g. of budget spend over a financial year | Yes/No |
| (v) It is technical | Yes/No |

If you have answered yes to any of points above, please go to **Step 16**, and sign off the Assessment.

(B) If you have answered No to the above, please indicate the following:

Is this a full Equality Impact Assessment	Yes/No
Is this a Fairer Scotland Duty Assessment	Yes/No

If you have answered Yes to either or both of the above, continue with Step 3.

If your proposal is a **strategy** please ensure you complete Step 13 which is the Fairer Scotland Duty Assessment.

Step 3

(i)Lead Directorate/Service:

(ii)Are there any **relevant** statutory requirements affecting this proposal? If so, please describe.

(iii)What is the aim of the proposal? Please give full details.

(iv)Is it a new proposal? Yes/No Please indicate OR

Is it a review of e.g. an existing budget saving, report, strategy, policy, service review, procedure or function? Yes/No Please indicate

Step 4: Which people does your proposal involve or have consequences for?

Please indicate all which apply:

Employees Yes/No

Job Applicants Yes/No

Service users Yes/No

Members of the public Yes/No

Step 5: List the evidence/data/research that has been used in this assessment (links to data sources, information etc which you may find useful are in the Guidance). This could include:

Internal data (e.g. customer satisfaction surveys; equality monitoring data; customer complaints).

Internal consultation (e.g. with staff, trade unions and any other services affected).

External data (e.g. Census, equality reports, equality evidence finder, performance reports, research, available statistics)

External consultation (e.g. partner organisations, national organisations, community groups, other councils.

Other (general information as appropriate).

Step 6: Evidence Gaps.

Are there any gaps in the equality information you currently hold? Yes/No

If yes, please state what they are, and what measures you will take to obtain the evidence you need.

Step 7: Are there potential differential impacts on protected characteristic groups? Please complete for each group, including details of the potential impact on those affected. Please remember to take into account any particular impact resulting from **Covid-19**.

Please state if there is a potentially positive, negative, neutral or unknown impact for each group. Please state the reason(s) why.

Age

Impact

Disability

Impact

Gender reassignment

Impact

Marriage and Civil Partnership

Impact

Pregnancy/Maternity

Impact

Race - (includes Gypsy Travellers)

Impact

Religion or Belief

Impact

Sex

Impact

Sexual orientation

Impact

Step 8: Consultation with any of the groups potentially affected

If you have consulted with any group potentially affected, please give details of how this was done and what the results were.

If you have not consulted with any group potentially affected, how have you ensured that you can make an informed decision about mitigating action of any negative impact (Step 9)?

Step 9: What mitigating steps will be taken to remove or reduce potentially negative impacts?

Step 10: If a potentially negative impact has been identified, please state below the justification.

Step 11: In what way does this proposal contribute to any or all of the public sector equality duty to: eliminate unlawful discrimination; advance equality of opportunity; and foster good relations between people of different protected characteristics?

Step 12: Is there any action which could be taken to advance equalities in relation to this proposal?

Step 13: FAIRER SCOTLAND DUTY

This step is only applicable to **strategies** which are key, high level decisions. If your proposal is **not** a strategy, please leave this Step blank, and go to Step 14.

Links to data sources, information etc which you may find useful are in the Guidance.

Step 13(A) What evidence do you have about any socio-economic disadvantage/inequalities of outcome in relation to this strategic issue?

Step 13(B) Please state if there are any gaps in socio-economic evidence for this strategy and how you will take measures to gather the evidence you need.

Step 13(C) Are there any potential impacts this strategy may have specifically on the undernoted groupings? Please remember to take into account any particular impact resulting from **Covid-19**.

Please state if there is a potentially positive, negative, neutral or unknown impact for each grouping.

Low and/or No Wealth (e.g. those with enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future.

Impact

Material Deprivation (i.e. those unable to access basic goods and services e.g. repair/replace broken electrical goods, warm home, leisure and hobbies).

Impact

Area Deprivation (i.e. where people live (e.g. rural areas), or where they work (e.g. accessibility of transport)).

Impact

Socio-economic Background i.e. social class including parents' education, people's employment and income.

Impact

Other – please indicate

Step 13(D) Please state below if there are measures which could be taken to reduce socio-economic disadvantage/inequalities of outcome.

Step 14: What arrangements will be put in place to monitor and review the Equality Impact/Fairer Scotland Duty Assessment?

Step 15: Where will this Equality Impact/Fairer Scotland Duty Assessment be published?

Step 16: Sign off and Authorisation. Please state name, post, and date for each:

Prepared by: Alison Frew, Risk & Insurance Adviser, 20 July 2022

Reviewed by: Doreen Phillips, Senior Practitioner – Equalities, 22 July 2022

Approved by: Jacqui Semple, Manager – Risk, Resilience & Safety, 22 July 2022

NB. There are several worked examples of separate EIA and FSD Assessments in the Guidance which may be of use to you.
