

ANGUS COUNCIL

SCRUTINY AND AUDIT COMMITTEE – 31 JANUARY 2023

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 delivery of the corporate priorities set out in the Community Planning and Council Plans. This is achieved by providing the Scrutiny and Audit Committee with information and assurance on the council's corporate risks and the ongoing work to embed and fully utilise the risk management framework.

3. BACKGROUND

Reference is made to item 10 of the minute of this Committee on 23 August 2022, report no. 206/22, 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

Work on the development of risk appetite is still progressing, however has been delayed due to competing priorities and a change of personnel within Zurich Municipal (ZM). A meeting of the corporate risk monitoring group is scheduled to meet in January 2023 with our new ZM Risk Consultant in attendance.

Work with all directorates continues to finalise service risk registers. These will be submitted for review and scrutiny to the corporate risk monitoring group in January 2023.

Corporate risks have been reviewed. The summary dashboard is noted at Appendix 1 and a detailed report included at Appendix 2.

The following risk scores have been revised:

- a. The financial sustainability risk score has been increased from 20 to 25 in light of inflationary pressures and the 2023/24 grant settlement from the Scottish Government.
- b. The transforming for the future risk score has been increased from 9 to 15. This aligns with the magnitude of the financial challenges over the next 3 years as set out in our latest medium term budget strategy which was considered by Angus Council on 3 November. Council priorities going forward must also be clear to ensure we allocate

our resources appropriately. The potential impact score has been increased from 3 to 5 to reflect this.

- c. The health & safety compliance risk score has been reduced from 12 to 9. Progress in implementing the corporate health & safety action plan has enabled the potential impact score to be reduced from 4 to 3.

Work continues to incorporate the workforce fit for the future into the existing transforming for the future risk, addressing the development of the overall risk and mitigating actions.

The decarbonisation of the car fleet has been added to the existing climate change risk and appropriate mitigating actions are being developed.

As the National Care Service (Scotland) Bill is at early stages of the legislative process and the Bill as drafted details optional powers that may be exercised rather than clarifying definitive intentions, it is challenging at this stage to be clear about and plan for the future impacts of the Bill including in terms of timescales for implementation. Officers have set up a working group to consider matters and the legislation will be closely monitored and any risk implications developed as required.

5. PROPOSALS

That 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 (31 January 2023) giving update on the council's corporate risks and risk management framework for the past 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, Insurance & Risk Adviser, 20 December 2022

Reviewed by: Doreen Phillips, Senior Practitioner – Equalities, 21 December 2022

Approved by: Jacqui Semple, Manager – Risk, Resilience & Safety, 21 December 2022

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