



City Chambers
DUNDEE
DD1 3BY

30th May, 2025

Dear Colleague

You are requested to attend a MEETING of the **CITY GOVERNANCE COMMITTEE** to be held in the Council Chamber, City Chambers, City Square, Dundee and also to be held remotely on Monday, 9th June, 2025 following the meetings of the City Council and Climate, Environment and Biodiversity and Fair Work, Economic Growth and Infrastructure Committees called for 5.00pm.

The meeting will also be livestreamed to YouTube. Members of the Press or Public wishing to join the meeting as observers should follow this link www.dundee.gov.uk/live or alternatively they may attend in person.

Should you require any further information please contact Committee Services on telephone (01382) 434228 or by email at committee.services@dundee.gov.uk.

Yours faithfully

GREGORY COLGAN

Chief Executive

AGENDA OF BUSINESS

1 DECLARATION OF INTEREST

Members are reminded that, in terms of The Councillors Code, it is their responsibility to make decisions about whether to declare an interest in any item on this agenda and whether to take part in any discussions or voting.

This will include all interests, whether or not entered on your Register of Interests, which would reasonably be regarded as so significant that they are likely to prejudice your discussion or decision-making.

2 FUTURE OF BALMOSSIE FIRE STATION

This Item has been placed on the agenda at the request of Depute Lord Provost Cordell who will ask that Committee instructs the Chief Executive of Dundee City Council to write to Scottish Fire & Rescue Service outlining the city council's opposition to any downgrading or closure of Balmossie Fire Station.

3 RISK MANAGEMENT ANNUAL REPORT 2024/2025 - Page 1

(Report No 176-2025 by the Executive Director of Corporate Services, copy attached).

**4 USE OF REGULATION OF INVESTIGATORY POWERS (SCOTLAND) ACT 2000 AND
REGULATION OF INVESTIGATORY POWERS ACT 2000 - Page 23**

(Report No 169-2025 by the Executive Director of Corporate Services, copy attached).

**5 SOURCING STRATEGY AND PROPOSED TENDER AWARD FOR ELECTRONIC SOCIAL
CARE SCHEDULING AND MONITORING TOOL - Page 27**

(Report No 153-2025 by the Executive Director of Corporate Services, copy attached).

6 TENDER FOR LEISURE MANAGEMENT SYSTEM - Page 31

(Report No 177-2025 by the Director, Leisure and Culture Dundee, copy attached).

ITEM No ...3.....

REPORT TO: CITY GOVERNANCE COMMITTEE – 9 JUNE 2025

REPORT ON: RISK MANAGEMENT ANNUAL REPORT 2024/25

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 176-2025

1.0 PURPOSE OF REPORT

- 1.1 To present to the City Governance Committee
- The annual report of Risk Management.
 - The review of the risks in the Council's Corporate Risk Register.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Committee
- Note the content of this report.
 - Remit this report to the Scrutiny Committee for further consideration.

3.0 FINANCIAL IMPLICATIONS

- 3.1 None.

4.0 BACKGROUND

- 4.1 Article VIII of the Minute of Meeting of the City Governance Committee of 21 August 2023, Report No 227-2023 refers. This report presented the review of the Council's Risk Management Policy and Strategy and an interim review of the Council's Corporate Risk Register.
- 4.2 Article III of the Minute of Meeting of the City Governance Committee of 10 June 2024, Report No 154-2024 refers. This report presented the annual review of Risk Management and review of the risks in the Council's Corporate Risk Register (CRR).

5.0 RISK MANAGEMENT OVERVIEW

- 5.1 In undertaking reviews of the CRR, it is acknowledged that the nature of a risk at corporate level can vary significantly from similarly titled risks at a service level. However, the service level risks are an important guide to where underlying risks to the Council may lie and, as a result, due consideration is given to these when assessing the Council's corporate risks.
- 5.2 The CRR is reviewed regularly throughout the year by the Council's Risk and Assurance Board which meets every two months and separately by the Council Leadership Team with occasional reports provided from the Risk Management system.
- 5.3 Service Level Risk Registers are reviewed by the relevant Heads of Service on a 3 to 6 monthly basis, with regular reports provided from the Council's Risk Management system (Ideagen) on risks which are due for review. The Risk and Assurance Board consider the overdue Service Level Risks at each meeting.

6.0 REVIEW OF THE COUNCIL'S CORPORATE RISK REGISTER

- 6.1 There have not been any changes to the CRR during 2024/25. No new risks have been added from Service Level Risk Registers and no risks have been removed. Some changes to scores have been made as a result of discussions at the Risk and Assurance Board meetings throughout the year. The Risk and Assurance Board will continue to review any Service Level risks which may require to be escalated to the Corporate Risk Register.
- 6.2 Any assessed changes to the level of risk are updated in Ideagen on an ongoing basis as considered appropriate.
- 6.3 The paragraphs below provide commentary on changes that have been made to the Corporate Risk Register in 2024/25 and some of the high assessed risks.
- DCC001 Financial Sustainability

The risk score for this risk remains at 5*5 (Extreme - Almost Certain) to reflect the financial position of the Council for 2025/26. The Council has agreed balanced Revenue and Capital budgets in February 2025. Financial Sustainability continues to be a significant risk.
 - DCC002 Effectiveness of Partnerships

The risk score for this risk has changed from 5*3 (Extreme – Possible) to 4*2 (Major – Unlikely). Partnerships are working well, although risks still exist in terms of delivering outcomes and priorities and supporting existing partnerships.
 - DCC003 Resilience

The risk score for this risk has changed from 5*3 (Extreme – Possible) to 5*2 (Extreme – Unlikely). Senior Officer Resilience Group meetings are held quarterly, and additional duty resilience support is in place. Training from Scottish Government on Integrated Emergency Management and Crisis Management has been received.
 - DCC012 Integration Joint Board / Dundee Health and Social Care Partnership

The risk score for this risk has changed from 4*4 (Major – Likely) to 5*4 (Extreme / Likely). Discussions are ongoing with the Acting Chief Officer, Dundee Health and Social Partnership to review the description of this risk and the existing Internal Controls following the setting of the Dundee Health and Social Care Partnership budget. This will also consider any further risks to the Council. The financial sustainability of the partnership continues to be a significant risk and will be closely monitored.
- 6.4 Work is ongoing with services to review the relevance of the existing Internal Controls for each risk. Some show as partly effective, some as fully effective and further updates and commentary are required as part of the review process.
- 6.5 It is noted that the risk assessment associated with the implementation of a National Care Service has reduced. In April 2025, proposals to establish the NCS were withdrawn. The government have instead decided to set up a non-statutory advisory board to continue working on social care reform. This board will focus on key areas such as oversight, accountability, ethical commissioning, and funding. The Scottish Government remains committed to improving social care services, but the approach has shifted towards more collaborative and incremental reforms. The Council will continue to review any risks associated with reform and report updates to members timeously.
- 6.6 An Internal Audit of Risk Management has recently been completed, and a draft report has been received. While there are a number of recommendations within the audit report, these are all classed as medium or low and the overall assurance level is substantial. The agreed actions from this report will be taken forward in 2025/26 to improve the Council's Risk Management arrangements.
- 6.7 A wider review of the CRR will take place during 2025/26 to assess whether any risks require to be archived and whether any new risks facing the Council, either identified from existing

Service Level risk registers or from additional horizon scanning require to be included. This will also consider the frequency of review of each of the risks within the CRR.

- 6.8 Appendix A (DCC CRR Committee Overview) is attached which includes a description of each corporate risk, the inherent risk score, the current risk score and the associated control measures linked to each risk.

7.0 POLICY IMPLICATIONS

- 7.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

8.0 CONSULTATIONS

- 8.1 The Council Leadership Team was consulted in the preparation of this report.

9.0 BACKGROUND PAPERS

- 9.1 None.

PAUL THOMSON
EXECUTIVE DIRECTOR, CORPORATE SERVICES

23 MAY 2025

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DCC CRR - Committee Overview

Report Type: Risks Report

Report Author: David Vernon

Generated on: 23 May 2025



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RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
1. COUNCIL CORPORATE RISKS – DCC Corporate Level Risk Register	The Council's high level Corporate Risk Register. Risks held directly within this register are the key high level risks to delivery of the Council's strategic goals.			

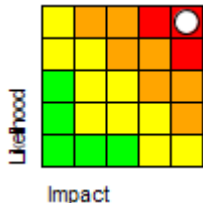
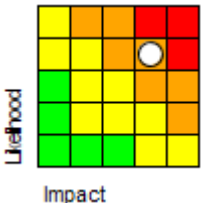
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC001 Financial Sustainability	<p>Risk that the Council is unable to deliver priorities and meet financial obligations due to financial constraints arising from funding pressures and demand pressures</p> <p>Impact / Consequences</p> <p>Fail to deliver objectives</p> <p>Maintaining sufficient revenue and capital resources to meet ambitions</p> <p>Reputational damage of going concern issues</p> <p>Lack of funding for capital and change programmes</p> <p>Need to resort to short-term reactive measures</p> <p>Failure to achieve Best Value</p>			<p>Budget setting and approval process.</p> <p>Capital Plan setting and approval process.</p> <p>Capital Investment Strategy approval.</p> <p>Capital and revenue monitoring.</p> <p>Approval of 3 year revenue budget.</p> <p>Option Appraisals/business cases requirements and approval process.</p> <p>Capital Strategy Group scrutiny.</p> <p>Formal Timetable for revenue and capital monitoring</p> <p>Corporate Leadership Team approval and actions regarding revenue monitoring.</p> <p>Reserves Policy</p> <p>Medium Term Strategy</p> <p>Long Term Revenue Budget Forecast</p>

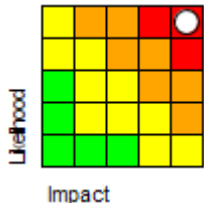
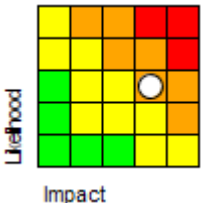
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC002 Effectiveness of Partnerships	<p>Risk that partnerships are not effectively commissioned, contracted and monitored and fail to deliver expected results. Key partnerships include:</p> <ul style="list-style-type: none"> • L&CD • Tayside Contracts • Tayside Plan for Children, Young People and Families • Employability Partnership • Alcohol and Drugs Partnership • Michelin Scotland Innovation Parc • Eden Project <p>NB: IJB /DH&SCP is considered separately as risk DCC012 IJB/DHSCP</p> <p>Impact / Consequence:</p> <ul style="list-style-type: none"> • Reputational damage • Risk of dispute arising between partners • Partnership breakdown causes or is caused by failure to deliver outcomes / priorities • Needs are not met in accordance with approved strategies and policies • Potential overspends / additional costs incurred • Partnerships do not deliver value for money 	<p>Liability</p> <p>Impact</p>	<p>Liability</p> <p>Impact</p>	<p>Statutory Consultation Process</p> <p>Joined vision & defined objectives</p> <p>Performance Management Framework</p> <p>Partnership Risk Strategy / Plan</p> <p>Governance Structure</p> <p>Partnership contract / Service Level Agreement</p> <p>Benchmarking / Market Testing</p> <p>Financial Monitoring</p> <p>Governance Structure</p> <p>Due Diligence & Financial Governance</p> <p>Monitoring Meetings</p> <p>Review Meeting & Reporting</p> <p>Quarterly Lead Officer Review Meeting</p> <p>'Follow The Public Pound' Reporting</p>

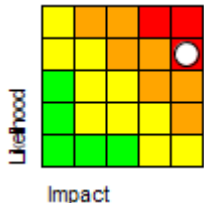
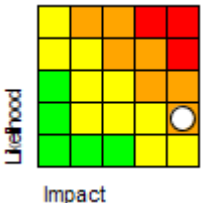
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC003 Resilience	<p>Risk that the Council is unable to deliver critical services due to inadequate business resilience or cyber security arrangements.</p> <p>Risk that the Council cannot respond to or support emergencies in its area, or meet requirements of the Civil Contingencies Act 2004</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Allow physical, financial or emotional harm to come to citizens or stakeholders – Unable to deliver frontline services following disaster, failure or cyber security incident – Loss of information / records – Reputational impact – Unlawful disclosure of sensitive information – Financial cost and penalties 			<p>Senior Officer Resilience Group.</p> <p>Emergency response procedures</p> <p>Local Resilience Partnership</p> <p>Corporate Generic Emergency and Business Continuity Plans.</p> <p>Care Provision Impact Analysis</p> <p>Debriefs to Learn Lessons</p> <p>Appointment of Resilience Officer</p> <p>ICT Disaster Plan</p> <p>Data Centre Back-Up</p> <p>Safety & Alarm Response Centre</p> <p>Weather Response Plans</p> <p>Communication Strategy</p> <p>Membership of Govt Cyber Security Team</p> <p>Scottish Government Cyber Essentials framework</p> <p>Cyber security Protection</p> <p>Cyber Penetration Testing</p> <p>Phishing testing / awareness procedures</p> <p>Payment Card Industry Standards Adherence</p> <p>Public Sector Network Accreditation</p> <p>Network Data Security</p> <p>Cyber Incident Response Plan</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004 City Plan	LINK TO CITY PLAN 2022-2032			

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004a CITY PLAN – Failure to Adequately Address Poverty / Inequalities	Dundee has enduring inequalities concentrated in certain communities, in particular Linlathen and Stobswell West. Within the City as a whole, 22.5% of children are living in poverty after housing costs, while 31% of all households in Dundee are estimated to be fuel poor. Health inequalities persist, with below average life expectancy, higher than average incidences of overweight and obese P1 pupils and issues with drug dependency. Failure to address these underlying issues risks further entrenchment of the current inequalities, a potential widening of the attainment gap and lost opportunities to improve wellbeing and raise citizens out of poverty, particularly in relation to children and young people.			<p>Child Poverty Pathfinder Project (Project Board Established)</p> <p>Local Fairness Initiatives – focus on Linlathen and Stobswell West</p> <p>Local Community Plans</p> <p>Child Healthy Weight Strategy</p> <p>Dundee Drug and Alcohol Services Strategic Commissioning Plan</p> <p>Dundee Health and Social Care Strategic and Commissioning Plan</p> <p>Local Child Poverty and Fairness Plan</p> <p>Strategic Housing Investment Plan</p> <p>Tayside Plan for Children, Young People and Families</p> <p>Fairness Leadership Panel</p>

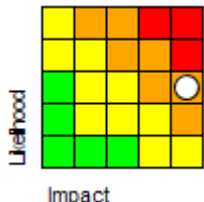
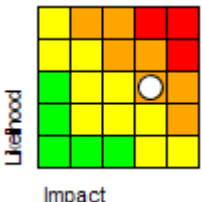
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004b CITY PLAN – Failure to address climate change / net zero	<p>As a consequence of climate change, there is a risk that the Council may be unable to deliver the Council and Corporate plans. In response, the Council has declared a 'climate emergency'.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> – operational and reputational impacts – irregular weather patterns – increased flood risk due to more extreme rainfall alongside heightened drought conditions – property and infrastructure damage sustained from more extreme wind – danger to individuals from storm damage to infrastructure / property / vegetation – financial costs of storm damage – financial requirements to adapt buildings to cope with climate change 	 <p>Uplift Impact</p>	 <p>Uplift Impact</p>	<p>Dundee Biodiversity Action Plan 2020–30</p> <p>Dundee Climate Action Plan</p> <p>Dundee Climate Leadership Group</p> <p>Intention to meet Net-Zero Greenhouse Gas Emissions by 2045 or earlier</p> <p>Local Food Growing Strategy</p> <p>Regional Transport Strategy</p> <p>Waste and Recycling Strategy Action Plan 2020–25</p> <p>Engage with communities about the climate challenge and foster participation and collaboration to enable local action</p> <p>Take action to ensure our communities, green networks and infrastructure are adaptable to a changing climate and reduce the risks and vulnerability to unavoidable impacts</p> <p>MSIP – 'supporting a fair and just transition to a net zero economy</p> <p>Council's Public Bodies Climate Change Duty Annual Report</p> <p>Local Heat and Energy Efficiency Strategy</p> <p>Net Zero Transition Plan</p> <p>Local Area Energy Plan</p>

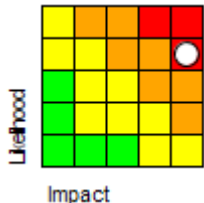
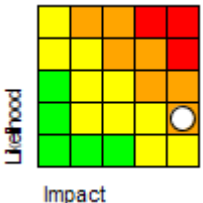
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC004c CITY PLAN – Inadequate steps taken to generate inclusive economic growth / community wealth building	<p>In Dundee, the state of the economy is mixed. While there have been many efforts to increase economic growth and wealth generation, with improvements on levels of employment pre COVID, Dundee still falls below the average for Scotland in various key metrics. Dundee has a less economically active population than average and of those, less individuals were in employment than the average by 1.8%. The unemployment rate is higher by 1%(4.9% compared to 3.9%) Although there has been major improvements since COVID, a lot of the working population will still be feeling the effects of COVID in the workplace. Failure to address these issues can result in higher unemployment rates and therefore a less economically active population. This can impair the city's ability to generate wealth and cultivate a strong economy that's sustainable going into the future</p>			<p>City Centre Investment Plan</p> <p>Discover Work Strategy & Action Plan</p> <p>Dundee's Cultural Strategy 2015 – 2025</p> <p>Tay Cities Deal and Regional Economic Strategy 2017 – 2037</p> <p>Tourism Strategy</p> <p>Deliver an extensive community wealth building strategy</p> <p>Continue to take forward proposals for the Eden Project</p> <p>Increase the number of Start-ups and SMEs and support their expansion</p> <p>Deliver Michelin Scotland Innovation Parc's Vision and Business Plan</p> <p>Attract more Skilled Green Jobs</p> <p>Maximise apprenticeship opportunities</p> <p>Increase the number of better paid private sector jobs</p> <p>Grow the number of local organisations registered as Living Wage employers</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC005 Governance	<p>Risk that the Council's governance arrangements do not operate effectively in order to meet stakeholder and legislative requirements.</p> <p>Impact / Consequence</p> <ul style="list-style-type: none"> – Fail to deliver objectives – Unable to demonstrate Best Value 			<p>Publication of Governance Documents</p> <p>Integrated Impact Assessments</p> <p>Public Meetings Where Possible</p> <p>Report Checking Procedures</p> <p>Whistleblowing Policy</p>

- Inappropriate use of resources (from fraud or error)
- Inadequate transparency
- Poor decision making
- Increased scrutiny

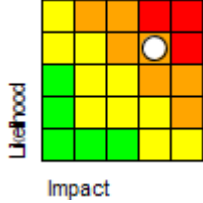
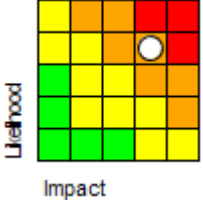
Leader of Opposition Chairs Scrutiny Committee
 Annual Governance and Assurance Statement
 Chief Financial Officer checklist completion and review
 Integrity Group
 Risk and Assurance Board

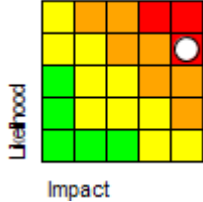
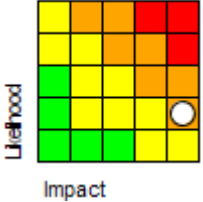
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC006 Corporate Health & Safety	<p>Risk that the Council has inadequate arrangements to protect those for whom it has a duty of care.</p> <p>Impact / Consequence</p> <ul style="list-style-type: none"> – Allow harm to come to citizens, tenants, staff or stakeholders – Reputational impact of failure – Legal intervention – Financial cost and liabilities – Impact on staff wellbeing 			<p>H&S Policy & Training</p> <p>Risk Assessments</p> <p>Benchmarking</p> <p>Four Year H&S Plan & Actions</p> <p>Annual H&S Reporting</p> <p>Induction Training</p> <p>H&S Team Outposting</p> <p>Trade Unions Liaison</p> <p>Individual Service H&S Procedures</p>

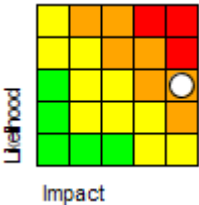
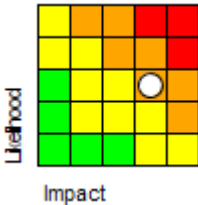
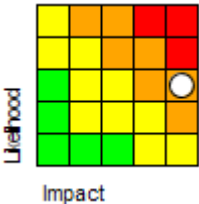
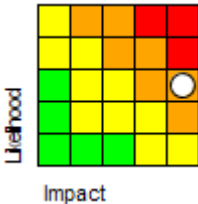
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC007 Information Governance	<p>Risk that the Council information is not governed in line with legislative requirements, including GDPR and FOI legislation.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Allow confidential or sensitive information to be shared unlawfully – Reputational impact of failure – Legal intervention – Prosecution 			<p>Appropriate Policies In Place</p> <p>Annual accreditation to Public Service Network framework</p> <p>Cyber Essentials framework</p> <p>Cyber Security Protection</p> <p>Payment Card Industry Standards Adherence</p> <p>Data Centre Back-Up</p> <p>Information Governance Manager Appointed</p>

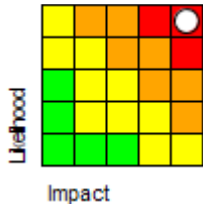
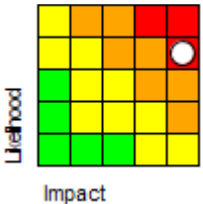
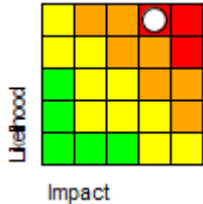
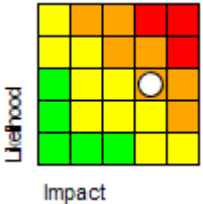
- Financial cost and liabilities
- No suitable information available to support decision making

Training
Data Loss Prevention Policies
Data Security and Access Control

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC008 Workforce	<p>Risk that there is inappropriate or insufficient staff resources to meet service demands and deliver the Council vision</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Fail to deliver objectives – Increased sickness absence – High vacancy level / inability to recruit – Reliance on contractors / agency staff – Loss of corporate knowledge from departures – Inadequate skills / experience – Lack of resources to deliver priorities – Impact on personal wellbeing – Loss of specialist skills to competitors 			<p>Management Training</p> <p>Employee Support</p> <p>Recruitment Procedures</p> <p>Consistent Terms & Conditions</p> <p>Sickness Absence Monitoring</p> <p>Employee Reviews</p> <p>Talent Management</p> <p>Developing Young Workforce</p> <p>Strategic Frameworks</p> <p>Strategy Linkages</p> <p>Leadership Development</p> <p>Strategic Trade Union Forum</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC009 Statutory & Legislative Compliance	<p>Risk that the Council fails to operate in accordance with law, regulation and statutory guidelines</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Non-compliance and legal challenge – Financial cost and liabilities – Obligations to vulnerable groups not met – Reputational impact – Ministerial or Regulatory action/censure – Failure to achieve Best Value 			<p>Appointment of Legally Qualified Officers</p> <p>Monitoring Officer Appointed</p> <p>Monitoring of Legislative developments</p> <p>Professional Expertise</p> <p>Oversight Teams / Committees</p> <p>Risk and Assurance Board</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC010 Major Project Delivery	<p>Risk that major projects are not delivered on time, to budget and do not provide the designed benefits.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Fail to deliver objectives – Essential services not delivered – Financial cost and liabilities – Reputational impact 			<p>Continued use of Project Boards</p> <p>Regular Project Reviews</p> <p>Project Management Resourcing</p> <p>Option Appraisals / Approval Process</p> <p>Procurement Route Selection Process</p> <p>Management Systems in Place</p> <p>Statutory consultation</p> <p>Capital Strategy Group Scrutiny</p> <p>Capital Plan setting and approval process</p> <p>Capital Investment Strategy approval</p> <p>Capital and revenue monitoring</p>
DCC011 Transformation	<p>Risk that transformation and change impacts on business as usual activities, fails to deliver objectives and benefits or is insufficient in response to the changing external environment.</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> – Fail to deliver objectives/implement agreed changes – Financial cost and liabilities – Demand and expectations not met – Fail to achieve required savings – Reputational impact – Impact on staff wellbeing and culture 			<p>Programme Review</p> <p>Programme Management Office Established</p> <p>Corporate Leadership Team Sponsorship & Scrutiny</p> <p>Review Procedures & Methodologies</p> <p>Alignment With Council & City Plan Priorities</p> <p>Budget Monitoring & Benefit Realisation In Place</p> <p>Capital Plan Management</p> <p>Workforce Plan Reporting & Scrutiny</p>

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC012 Integration Joint Board / Dundee Health and Social Care Partnership	<p>Risk that the Dundee HSCP is unable to deliver statutory / essential services due to financial, workforce or governance issues</p> <p>Impact / Consequences</p> <ul style="list-style-type: none"> • Unable to meet aims within anticipated timescales • Unable to maintain spend within allocated resources • staffing issues impact on organisational priorities and operational delivery • adverse impact on staff engagement / buy-in • impact on staff morale and potential exposure to claims 			<p>Financial Monitoring</p> <p>Management of Workforce employed by DCC</p> <p>Budget setting process</p> <p>Elected Member representation on Integration Joint Board</p> <p>Integration Joint Board Agendas and Minutes published on DCC website</p> <p>IJB Internal Audit Plans and Reports are reported to the Council's Scrutiny Committee</p> <p>Benefit also received from control measures deployed for risk DCC008 relating to Workforce</p> <p>HSCP Transformation Plans</p> <p>Supporting Capacity of HSCP Leadership Team</p> <p>Ensuring adequate control and sustainability of corporate IT systems</p> <p>Limiting increased bureaucracy through understanding delegated roles and functions</p>
DCC013 Fraud & Corruption	<p>Risk that the council is exposed to all elements of fraud & corruption including those in the following categories:</p> <ul style="list-style-type: none"> ~ financial transactions including money laundering ~ human resources ~ procurement & contracting ~ property leases & land ~ IT / data 			<p>whistleblowing / fraud reporting policy & procedures</p> <p>registers of interests (members & officers)</p> <p>integrity group</p> <p>gifts gratuities & hospitality policy</p> <p>close working relationships policy</p> <p>Serious Organised Crime Group 'SOCG' – DETER action plan</p> <p>fraud guidelines</p>

~ decision making
 Impact / consequences:
 ~ financial loss to the council
 ~ failure to achieve best value
 ~ inappropriate awards of contracts
 ~ potential sub-standard service
 ~ potential legal challenge
 ~ adverse audit
 ~ reputational damage to the council
 ~ impact on staff morale
 ~ failure to comply with legislation / regulation
 ~ inappropriate influence / decision making
 ~ data loss / misappropriation
 ~ enabling serious organised crime

annual governance statement self-assessment process, with central review of responses for efficiency / compliance

Anti-Money Laundering procedures / reporting officer
 data matching processes & procedures including National Fraud Initiative

revenue & capital monitoring

systems access controls

procurement / supplier controls

active information sharing

anti-bribery policy in place

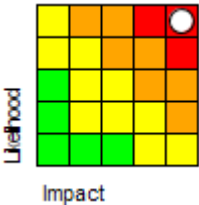
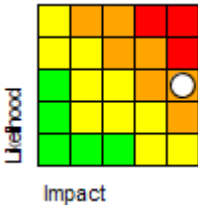
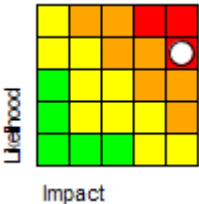
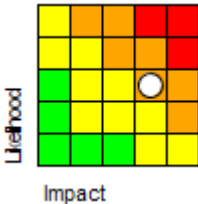
formal reconciliation framework

Ethical values framework (incorporates national code of conduct, whistleblowing, fraud etc)

Control self-assessment and best practice guides

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015 Property & Infrastructure Assets	The Council holds significant levels of property and infrastructure assets valued at over £1bn. There are various risks associated with these assets, including (but not limited to) the need to support an adequate level of ongoing investment to maintain, improve and replace them; the potential for loss of critical assets; societal changes resulting in potential redundancy of certain assets / increased demand for others. There are key areas of potential impact within the Council associated to property and infrastructure risks, and for control and monitoring purposes this			

risk has been split into sub risks. These are assessed and reviewed individually.

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015a Delivery of General Fund Service(s) Affected by Loss of Critical Asset(s)	<p>Risk to service delivery due to the loss of a critical asset.</p> <p>The Council is reliant on the availability of assets as enablers for the delivery of key services. The Council's tenure varies between owner, tenant and landlord, and the assets are an eclectic mix from office accommodation, light industrial, schools and housing, to depots, parks and roads. The effect and timescale for recovery following complete or partial loss of a critical asset will vary dependent on the individual asset and the specific risk event.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> ~ loss of income / cost of alternative service provision ~ service interruption / loss ~ political risk ~ Inability to meet client expectations / interruption of statutory services delivery 			<p>Home working arrangements</p> <p>Flexible Buildings</p> <p>Flexible Workforce</p>
DCC015b Delivery of HRA Service(s) affected by Loss of Critical Asset(s)	<p>The Council has a large-scale exposure to property risk, as owner and landlord of around 12,500 Council owned residential properties. Whilst the risk to residential property is mostly spread over terraced, semi-detached and small blocks of flats and therefore limited in terms of extent, there remain larger flatted multi blocks which would pose a major risk event should the loss of one of</p>			<p>Housing emergency accommodation plan</p> <p>Out of hours service – duty to respond in case of emergency</p> <p>Maintaining staff awareness through briefing sessions on housing emergency plan</p> <p>Tenants' responsibilities</p> <p>Investment / planned maintenance plans</p>

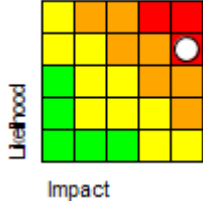
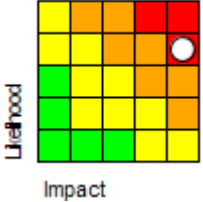
these occur for whatever reason. In addition, the Service is responsible for direct access temporary accommodation, specifically Lily Walker which is used for homeless accommodation.

Climate change adds to the risk levels with potential for more frequent and intense storms resulting in increased incidence of damage and loss, and ongoing expectations of improving standards in respect of insulation, heating, cooling, quality.

The Council has identified a number of properties with Reinforced Aerated Autoclaved Concrete (RAAC) in Council properties in Dundee.

Impact / consequences:

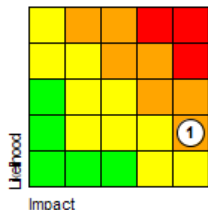
- Increased costs of compliance / protection / maintenance / repair
- Political / reputational damage
- Insufficient / inadequate housing stock to meet demand
- Increased H&S risks

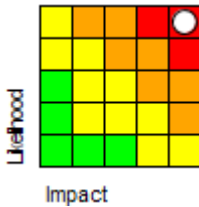
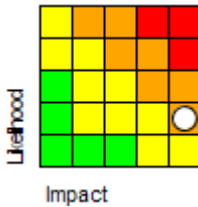
RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC015c Delivery of the Council's Long Term Objectives is Impacted by Insufficient Investment in Assets & Infrastructure	The Council continues to experience a period of financial constraints which, combined with high inflationary pressures, has led to reduced availability of revenue and capital funds and an increasing need to focus tight cash resources on key priorities. There is an ongoing, and potentially increasing, level of risk that this will lead to inadequate investment in assets and infrastructure (both existing and new) resulting in an impact on the Council's ability to meet its strategic			Corporate Asset Management Plan Individual Asset Management Plans – Class Specific Detailed Asset Reviews Strategic Housing Investment Plan (SHIP)

objectives. This may be a direct or indirect impact, or potentially both.

Impact / Consequences:

- ~ Ongoing erosion to the standard of existing assets / infrastructure leading to higher costs in the longer term to repair / replace these
- ~ Key assets / infrastructure become unfit for purpose, leading to their complete loss
- ~ Service provision impacted adversely / inability to provide some services
- ~ Environmental obligations not, or only partially met

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC017 Public Sector Reform	Ongoing public sector reform is anticipated, with this taking various forms and having the potential to impact any part of the Council. For this reason, various sub-risks will be used to reflect the different areas of risk as these are identified.			

RISK CODE & TITLE	RISK DESCRIPTION	INHERENT RISK	CURRENT RISK	CONTROL MEASURES
DCC017a National Care Service	<p>The creation of a new National Care Service represents a risk to the Council, it's staff and to service users. Specifically the uncertainty surrounding how the NCS will eventually be structured, including the interface with Local Authorities such as resource provision, funding and provision / funding of support services.</p> <p>Impact / Consequences:</p> <ul style="list-style-type: none"> ~ impact on the ability to improve outcomes for service users 			<p>Influencing through membership / association with external bodies</p> <p>Scenario Planning</p> <p>Ongoing Consideration of the impact on support services and action which may be required to rationalise / protect these</p>

- ~ service disruption
- ~ staff concerns – employment position unclear / potential recruitment and retention difficulties
- ~ uncertainty likely to exacerbate already 'fragile' position in terms of recruitment and retention
- ~ lack of clarity over future of the essential Chief Social Worker role
- ~ inability to reasonably plan for ongoing service provision
- ~ lack of clarity over future of Integrated Children's Services – at time of writing (10/2022) a national working group has been established to consider this, but this is at a very early stage.
- ~ as yet unknown impact on support services currently provided by the Council
- ~ financial impact
- ~ reduction to / loss of local input
- ~ uncertainty over longer term occupation of Council owned / leased HSCP premises?

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ITEM No ...4.....

REPORT TO: CITY GOVERNANCE COMMITTEE - 9 JUNE 2025

REPORT ON: USE OF REGULATION OF INVESTIGATORY POWERS (SCOTLAND) ACT 2000 AND REGULATION OF INVESTIGATORY POWERS ACT 2000

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 169-2025

1. PURPOSE OF REPORT

- 1.1 To advise the Committee of the use made by the Council of the powers under the Regulation of Investigatory Powers (Scotland) Act 2000 and the Regulation of Investigatory Powers Act 2000 from 1 April 2024 to 30 April 2025.

2. RECOMMENDATIONS

- 2.1 The Committee is asked to note the use which the Council has made of powers contained in the Regulation of Investigatory Powers (Scotland) Act 2000 and related powers contained in the Regulation of Investigatory Powers Act 2000 between 1 April 2024 to 30 April 2025 as detailed in Appendix 1.
- 2.2 The Committee is asked to approve the Council's continued proportionate use of the powers, where necessary, in the areas of crime prevention and detection or preventing disorder, in the interests of public safety and for the purpose of protecting public health. In particular, the Council is asked to agree to continue to use the powers to prevent and detect anti-social behaviour.

3. FINANCIAL IMPLICATIONS

- 3.1 None.

4. BACKGROUND

- 4.1 Since 2 October 2000, the Human Rights Act 1998 has made it unlawful for the Council to act in any way which is incompatible with the Convention rights found in the European Convention on Human Rights. One of these rights is the right set out in Article 8(1) of the Convention to "respect for private and family life, home and correspondence".
- 4.2 A number of services within the Council occasionally require to carry out covert surveillance where persons are placed under observation without them being aware of it. These activities occur, in particular in the Council's Anti-Social Behaviour Team. A summary of the Council's directed surveillance activities are appended to this report for information. (Appendix 1)
- 4.3 Surveillance can, by its very nature, impact on the right to privacy of those being observed. In carrying out surveillance, the Council therefore needs to satisfy the tests found in Article 8 under which it is legitimate to interfere with privacy rights. The first test is that the interference must be explicitly authorised by law.
- 4.4 The Regulation of Investigatory Powers (Scotland) Act 2000 (RIPSA) created a legal framework for the conduct of surveillance and related use of "covert human intelligence sources", that is undercover agents or informants. The Council has, however, never used covert human intelligence sources and the Council's practice is to use directed surveillance which is a much less intrusive activity.

- 4.5 The Council also has limited powers under similar UK legislation - the Regulation of Investigatory Powers Act 2000 - to access certain telecommunications data. These powers have been very rarely used by the Council and have not been used at all in the past year.
- 4.6 Whenever considering directed surveillance, the Council has to balance whether the action is both necessary and proportionate. The possible interference in someone's private life has to be necessary in order to obtain the benefit of the supply of information. If there are other means of obtaining the information without directed surveillance then it would not be appropriate to carry out directed surveillance. Similarly, the Council has to balance whether the action in terms of the risk of interfering in someone's privacy is proportionate with the benefit that is achieved with obtaining the information through directed surveillance. In every case a senior officer of the Council considers these issues and authorises the directed surveillance.

5. POLICY IMPLICATIONS

- 5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6. CONSULTATIONS

- 6.1 The Council Leadership Team have been consulted in the preparation of this report.

7. BACKGROUND PAPERS

None.

Paul Thomson
Executive Director of Corporate Services

DATE: 8 May 2025

APPENDIX 1

**AUTHORISATIONS FOR DIRECTED SURVEILLANCE FROM 1ST APRIL, 2024 TO
30TH APRIL, 2025**

Test Purchase of Tobacco/Nicotine Vapour Products	5
Anti-Social Behaviour - Car Vandalism	1
<i>TOTAL</i>	6

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REPORT TO: CITY GOVERNANCE COMMITTEE – 9TH JUNE 2025

REPORT ON: SOURCING STRATEGY AND PROPOSED TENDER AWARD FOR ELECTRONIC SOCIAL CARE SCHEDULING AND MONITORING TOOL

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 153-2025

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to present a summary of a sourcing strategy as outlined in Section 5 of this report and seek approval to direct award of a further contract regarding the use of CM2000 system in Social Care and Dundee Health and Social Care Partnership.

2. RECOMMENDATION

- 2.1 It is recommended that the Committee:-
- a) approves the commencing of a direct award in respect of the software solution described, based on the sourcing strategy summarised in this report.

3. FINANCIAL IMPLICATIONS

- 3.1 The contract will be for an initial period of 3 years with the option to extend for one year. If the extension is applied the projected total cost across the 4-year contract would be circa £651,000. The contract will be funded from the Dundee Health and Social Care Partnership Revenue Budget for which budget provision has been made.

4. DETAILS OF THE PROJECT BEING COMMISSIONED

- 4.1 The scheduling and monitoring system for care at home services in Dundee plays a crucial role in ensuring the efficient and safe delivery of care to those in need in the city. This system supports the lone working of frontline social care staff, facilitates the analysis of service user visits to help optimize and assess their care needs, operates as a risk management and RAG (Red, Amber, Green) status system, and schedules all service user visits. The system is also embedded into the Resource Matching Unit and supports the allocation of referrals and unmet community need. The non-renewal of this system could pose significant risks to the quality and safety of care provided. The Council has utilised CM2000/HAS technology software to deploy and schedule service users visits over the last 11 years, which equates to 16 million Care at Home (CAH) service users visits. This system is run and managed by a team of 7x Schedulers who work in a locality model within CAH, supporting Social Care Response Service (Community Alarm), Enablement and Support, Community Mental Health Team, Mainstream Care at Home, Technology Enabled Care team and Housing with Care.

5. BACKGROUND

- 5.1 The direct award of the contract ensures business continuity and mitigation of risks as outlined in Section 6 of this report. Business continuity ensures ongoing delivery of national health and wellbeing outcomes.

6. RISK ANALYSIS

- 6.1 There are four standard risks in any procurement and for public sector regulated procurements, a fifth is added, that of the procurement exercise itself breaching the public contract regulations and leaving the Council open to a legal challenge.

Description of Risk	Actions to be taken to manage Risk
Commercial Risk - That either the price objectives are not achieved up front or there are other costs that arise during the contract and diminish the overall benefits.	Reduced cost of ownership as there is no cost set up cost, integration with or training costs. The cost of change was incurred in 2012 (circa cost of £2million). The direct award of the contract ensures business continuity and the ongoing delivery against national health and wellbeing outcomes.
Technical Risk - This concerns the difficulty in being able to specify the desired outcome and on the market being unable to deliver to the specification.	Specification is already met with current provider and is fit for purpose. There are very few companies in the market that can provide a bespoke scheduling and monitoring system - without generating significant set up costs (estimated to be £2 million)
Performance Risk - This concerns the ability of suppliers to perform consistently over the life of the contract to deliver the planned benefits.	Clear projects goals specified in the tender in 2012 continue to be met by current provider, monthly meetings take place to monitor ability to deliver and support service and audit quality assurance. KPI and system function. Care Inspectorate have praised the use of the system in supporting staff and service users.
Contractual Risk - Being able to remedy the shortcomings in the contractor's performance without severely damaging the contract and about avoiding reliance on the contracted supplier as the contract develops.	A clear set of terms and conditions and specification of requirements and supplier performance will be monitored throughout the lifetime of the contract.
Procurement Risk - Where a procurement is found unsound in law, through the public procurement rules.	This is a compliant Framework sourcing route.

7. CONCLUSION

- 7.1 It is recommended that approval be given to progress to a direct award to The Access Group for 2025-2028, which delivers service continuity and best value. The direct award route allows following the completion of a compliant procurement process carried out in compliance with the Public Contracts (Scotland) Regulations of 2015 via Crown Commercial Services GCloud 14 Framework.

8. POLICY IMPLICATIONS

- 8.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

9. CONSULTATION

9.1 The Council Leadership Team were consulted in the preparation of this report.

10. BACKGROUND PAPERS

10.1 None.

Paul Thomson
Executive Director of Corporate Services

Date: 22 May 2025

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REPORT TO: CITY GOVERNANCE COMMITTEE – 9 JUNE 2025
REPORT ON: TENDER FOR LEISURE MANAGEMENT SYSTEM
REPORT BY: DIRECTOR OF LEISURE AND CULTURE
REPORT NO: 177 - 2025

1.0 PURPOSE OF REPORT

- 1.1 The purpose of this report is to provide a summary of a sourcing strategy for a Leisure Management System and to seek approval to undertake a compliant procurement process leading to the direct award of a Leisure Management System contract.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Committee:
- a. approves the Sourcing Strategy as outlined in Section 5 of this report.
 - b. agree to the direct award via GCloud 14 Framework for provision of a leisure management system to Gladstone MRM Ltd.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The total projected renewal cost is £399,932 over a 4-year contract. Approximately £50,000 per year will be funded by the Leisure and Culture Dundee and £50,000 per year will be covered by the Corporate Services : Digital & Customer Services Revenue Budget

4.0 BACKGROUND

- 4.1 Leisure and Culture Dundee and Dundee City Council are required to award a contract for the provision of a Leisure Management System (LMS) which fits the needs of services and customers using the system. The system provided will include full technical support, allow further developments within the current system and ensure a compliant and secure booking and joining system for customers and staff alike. This contract will be for a period of 3 years with the option to extend for one year, with a cost of £399,932 for the 4-year contract. An additional one-off implementation cost of £11,445 is required in year 1. The full cost of this contract, including implementation cost, is covered within L&CD and DCC budgets.
- 4.2 Partially operating in a commercial environment, L&CD requires the LMS software to provide customers with a market leading joining and booking system to minimise barriers to purchase and book products that L&CD offer. The Client Retention Management module of the software will allow for back-office staff to utilise data and communicate with customers effectively and efficiently through automated processes within the system. Since the installation of the current contract in 2018, there has been significant investment in staff training, processes and data management, along with several developments and issues within the current system. There has been significant time and money spent by DCC and L&CD on bringing the current system to a point where it is delivering a good service with very few issues.
- 4.3 Award of this contract would allow business process continuity for an easy joining and booking process to allow members of the public access to sport, physical activity and wellbeing activities that will enhance their lives, improve health outcomes and improve employment levels through the benefits of physical activity. A joining system that provides a sleek transaction between operator and customer means that the risk of losing business is low, resulting in increased revenue. Data collection through this system is essential in managing performance and reporting on Local Government Benchmarking Framework data, with system links to external third parties, Active Dundee can generate reports that evidence the social benefit of activities that Active Dundee undertake to stakeholders.

5.0 SOURCING STRATEGY SUMMARY

- 5.1 Based on the experience working with the current supplier, time and money invested in the current product and various challenges in moving to a different LMS provider, it is proposed that L&CD direct award to Gladstone MRM Ltd through the CCS GCloud 14 Framework. Please refer to the Risk Analysis detailed below. The digitalising of a booking and joining process, as well as improved digital communication reduces the carbon footprint of L&CD, DCC and its users. The use of the improved Gladstone 360 Point of Sale allows flexible means to collect data in sites where resources are limited, meaning less missed attendances in facilities, leading to improved business decisions through the utilisation and interrogation of the Gladstone Reporting module.
- 5.2 The awarding of this contract would enhance L&CDs ability to generate increased revenue resulting in economic benefit to the local economy. This would be achieved through providing a sleek digital offer that will reduce barriers to purchasing L&CD products, whilst delivering a suitable and sufficient booking and payment system for DCC resulting in reduced customer debt on the system. The social benefit of an effective booking system allows for easier access to activities to improve health and wellbeing outcomes. All attendances at activities provides social value to communities and partners. This is monitored by Datahub which connects to Gladstone data and calculates social value of Active Dundee services.

6.0 RISK ANALYSIS

- 6.1 There are four standard risks in any procurement and for public sector regulated procurements, a fifth is added, that of the procurement exercise itself breaching the public contract regulations and leaving the Council open to a legal challenge

Description of Risk	Actions to be taken to manage Risk
Commercial Risk – That either the price objectives are not achieved up front or there are other costs that arise during the contract and diminish the overall benefits.	Benchmarking of rates has been carried out. DCC and L&CD have obtained transparency of costs detail, including future developments and what will be free upgrades or chargeable work. Direct award is allowed as part of the Framework rules.
Technical Risk – This concerns the difficulty in being able to specify the desired outcome and on the market being unable to deliver to the specification	Benchmarking with other Leisure Trusts has been carried out which highlights that the system is providing the required level of service. The direct award is to be made from an established and compliant supply Framework. Bidders were required to demonstrate technical competence as part of the establishment of the Framework.
Performance Risk – This concerns the ability of suppliers to perform consistently over the life of the contract to deliver the planned benefits	A contract management process will be implemented.
Contractual Risk – Being able to remedy the 's shortcomings in the contractor's performance without severely damaging the contract and about avoiding reliance on the contracted supplier as the contract develops.	DCC and L&CD are contractually protected via the Framework contract terms and conditions. The contractor shall be proactively managed during the term of contract. There will be a clearly defined Specification of Requirements.
Procurement Risk – where a procurement is found unsound in law, through the public procurement rules	The direct award from the established Framework (CCS GCloud 14) is a compliant route to market, in accordance with the Public Contracts (Scotland) Regulations of 2015.

7.0 POLICY IMPLICATIONS

- 7.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

8.0 CONSULTATIONS

- 8.1 The Council Leadership Team were consulted in the preparation of this report.
- 8.2 Dundee City Council IT department were consulted in the preparation of this report to ensure compliance with necessary certification and security measures.

9.0 BACKGROUND PAPERS

- 9.1 None

JUDY DOBBIE
Director of Leisure and Culture

DATE: 20 May 2025