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**Report to Audit Committee**

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**Date of Meeting: 4 February 2021**

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**Subject: Review of Risk Register**

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**Report by: Lindsay Thomson, Senior Manager Legal & Governance**

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**1.0 Purpose**

- 1.1. This report provides the regular update on Clackmannanshire Council's Corporate Risk Log (Appendix A). This report would also normally contain progress updates on Audit Scotland's recommendations following their audit of 2019/20 accounts however these recommendations are appearing for the first time on this agenda. A progress update on external audit recommendations will be brought to the next meeting.

**2.0 Recommendations**

- 2.1. That Committee notes the report, commenting and challenging as appropriate.

**3.0 Considerations**

**3.1 Purpose of Risk Management**

- 3.2. The Council has several key priorities which focus on how it will achieve the priorities set in the local outcome improvement plan and how it will transform the Council under the "Be the Future" programme. In order to plan how we will achieve these goals, we must also consider the internal and external challenges with the potential to prevent or hinder their achievement. An effective risk management approach ensures that the Council is aware of such factors and, where appropriate, takes action to reduce or remove risks to ensure the success of its initiatives. The purpose of risk management is not to prevent activities from taking place, but to ensure that all relevant factors are taken into account in their planning and execution so that the best possible outcomes are realised.
- 3.3. The impact of the coronavirus pandemic on the Council's services and on the local community has been profound. The Council had previously identified a public health emergency on its risk register but this had been in the context of a winter flu type of event. In a year of unparalleled uncertainty and challenge the management of risk has never been more important. In recent years it has been well recognised that Council officers and services deal on a daily

basis with a wide variety of operational risks to individuals, communities and internal management processes however the corporate risk management approach must take a wider, more strategic view and consider the implications of short-, medium- and long-term concerns, as well as (often complex) inter-dependencies. This approach has continued this year. The hierarchy of risk logs from teams, services, directorates (and partnerships), up to the corporate log should ensure that each level has holistic oversight of the most significant issues which must be monitored and managed. In addition, consideration of risk at an Incident Management level has been critical as has the risk assessment process which has formed a significant part of the Council's ability to respond and manage service provision safely.

- 3.4. In addition various steps are taken to integrate the corporate risk assessment process with key functions, such as Internal Audit, Human Resources (including Organisational Development and Health & Safety), Equalities, Communications, Asset Management and Sustainability, etc. Though External Audit's main focus is financial management, Audit Scotland's revised Best Value Assurance approach aims to enhance assessment of wider areas, such as performance and change management, to present a more comprehensive audit opinion.

### **3.5. Corporate Risk Management Process**

- 3.6. The corporate risk log is owned by the Strategic Leadership Group, and the Strategic Director – Partnership & Performance is responsible for the corporate Risk Management approach. The Council has a systematic risk process, reporting corporate and service risks to Committee on a regular basis although that has been impacted this year by the cancellation of some service committees.
- 3.7. Each corporate risk review involves gathering information from internal and external sources (environmental scanning) and review of the log by a range of different individuals and groups. This year this was done as part of the SLG meeting. As part of the review of the risk register this year we have:
  - 3.8. Reviewed changes and developments in existing corporate and service risks (progress, controls and scores, and consider escalation/demotion);
  - 3.9. Investigated emerging externally-identified risks for local relevance (local audit/inspection, other authorities and national themes);
  - 3.10. Evaluated emerging internally-identified risks (ad hoc or through Internal Audits, self-assessments or the Annual Governance Statement process).
  - 3.11. Considered risks with implications across multiple services, or assessed as significant for any specific area, are considered for escalation to the corporate log, where they are managed until their severity reduces. Risks are recorded on the Pentana Performance Management System and linked to outcomes, actions (or overall plans/strategies) and existing controls (policies, procedures, scrutiny, etc.). It would be impossible to remove all risk from our operations as most functions have inherent risks, as do most changes. The risk of not developing and improving would also involve other types of risk, such as failing to fulfil statutory duties, comply with new legislation or take

advantage of improvement opportunities/new technologies, etc. The aim, therefore, is not to be 'risk averse' but 'risk aware'.

3.12. We identify our approach to managing each risk as:

3.13. Treat: we will take action to reduce the risk;

3.14. Tolerate: actions within our control have been completed and plans are in place;

3.15. Transfer: the risk will be passed to another party, such as insurers;

3.16. Terminate: the activity that is causing the risk will be ceased.

### **3.17. Development & Improvement**

3.18. Since the last report on risk in December 2019, one of the main focusses of the Council's risk management has been the response to the pandemic. This review of the risk register captured some of the challenges anticipated by the Council and community's response to the pandemic but there is still much work to do as the response and recover phases continue. It is likely that there will be significant impacts on the local community and economy and on the Council's own financial position and service delivery. The corporate risk log will need to record and assess those strategic risks in terms of ongoing impact and mitigation as they develop.

3.19. The Corporate Risk & Integrity Forum has continued to meet approximately quarterly at the Extended Strategic Leadership Group, with updates from ad hoc attendees, depending on the current risk profile. This strengthens focus on risk, visibility, ownership and input at a senior level, and provides flexibility to address the most significant risks at any time, ensuring timely steps are taken to minimise negative impact on the achievement of outcomes.

3.20. All senior managers attended a two day course on risk management delivered by Gallagher Bassett at the start of 2020 and this has provided additional tools and approaches to managing risk which has been valuable over the last year.

3.21. It was recognised that the risk strategy should undergo a review and recent learning will be incorporated into that review. The review will be presented to Committee in due course. This review will take into consideration the Local Outcomes Improvement Plan (LOIP) and the priorities being identified and considered by Council as part of the Be the Future transformation plan and in light of recent management appointments and re-structuring progress. The business planning cycle will also incorporate consideration of risk so that the strategic corporate risk assessment will flow to the service and team reviews. This should fully refresh and align risk logs to the Council and Alliance's aims.

3.22. In future, corporate risks will be reported as part of the Corporate Plan, alongside progress on key strategies and the Local Government Benchmarking Framework, to provide a holistic answer to the questions: 'how are we performing?', 'what are we doing about it?' and 'what might get in the way?'.

## Corporate Risk Log – Appendix A

- 3.23. Appendix A presents the corporate risk log. As seen in the current risk profile, the impact of the pandemic colours a significant proportion of the log and that is expected to continue as we enter the recovery phase. The Council was already in a period of transition as changes in leadership/structures were embedded, and other processes reviewed and this is reflected in high scores for transformation and financial sustainability. As well as internal issues, wider political, social and economic factors also continue to present uncertainties. In particular, the EU exit risk still scores highly.
- 3.24. The appendix summarises the key changes to the risk log and set out the detail of each risk, the mitigations The key messages are:
- 3.25. 3 risks have increased – poverty, harm to children and public health emergency
- 3.26. 12 risks remain the same
- 3.27. 1 risk has reduced – further consideration of this risk will be given in light of the recent power supply issue in Tillicoultry
- 3.28. No risks have been newly added to the log

### 4.0 Sustainability Implications

- 4.1. None

### 5.0 Resource Implications

#### 5.1. *Financial Details*

- 5.2. The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate. Yes

- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report. Yes

#### 5.4. *Staffing*

### 6.0 Exempt Reports

- 6.1. Is this report exempt? Yes  (please detail the reasons for exemption below) NoX

### 7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please double click on the check box )

- Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all
- Our families; children and young people will have the best possible start in life
- Women and girls will be confident and aspirational, and achieve their full potential
- Our communities will be resilient and empowered so that they can thrive and flourish

(2) **Council Policies** (Please detail)

**8.0 Equalities Impact**

- 8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?  
Yes  No x

**9.0 Legality**

- 9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes x

**10.0 Appendices**

- 10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix A corporate risk log

**11.0 Background Papers**

- 11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)  
Yes  (please list the documents below) No x

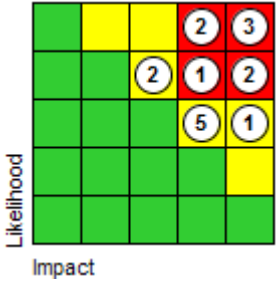
**Author(s)**

NAME	DESIGNATION	TEL NO / EXTENSION
Lindsay Thomson	Senior Manager Legal & Governance	2084

**Approved by**

NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Director partnership & Performance	



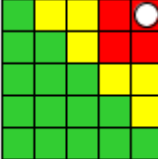

# Appendix A - Corporate Risk Log



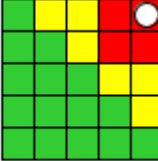
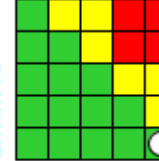
Summary of Changes	Distribution of Scores
<p>At the 2020/21 half year stage (out of a total of 16 risks):</p> <p><b>Status</b></p> <p>8 risks are red (7 in previous report – 2019/20 half year stage)            8 risks are amber (10 in previous report)            No risks are green (1 in previous report)            2 risks were removed from the log after the previous report</p> <p><b>Approach</b></p> <p>13 risks are being <b>Treated</b> (14 in previous report)            3 risks must be <b>Tolerated</b> (4 in previous report)</p> <p><b>Change in Scores Since Last Review</b></p> <p>3 risks have increased            12 risks remain the same            1 risk has reduced            No risks have been newly added to the log</p>	

Code	Title	Score	Status	Approach	Change
COU CRR 005	Impact of Poverty, Inequality & Changing Demographics	20		Treat	
COU CRR 008	Insufficient Financial Resilience	25		Treat	
COU CRR 011	Harm to Child(ren)	20		Treat	
COU CRR 012	Health & Safety Breach	20		Treat	
COU CRR 022	Public Health Emergency	25		Tolerate	
COU CRR 033	Major Governance Failure	16		Treat	
COU CRR 034	Insufficient Pace and Scale of Organisational Transformation	25		Treat	
COU CRR 045	Unknown Terms of EU Withdrawal	20		Treat	
COU CRR 009	Information Not Managed Effectively	12		Treat	
COU CRR 031	Failure to Prepare for Severe Weather Events	12		Tolerate	
COU CRR 037	Failure to Address Serious Organised Crime	12		Treat	
COU CRR 038	Failure to Prevent Extremism and/or Radicalisation	15		Treat	
COU CRR 040	Failure of Public Utility Supply	12		Tolerate	
COU CRR 046	IT System Failure	12		Treat	
COU CRR 047	Inadequate Workforce Planning	12		Treat	
COU CRR 048	Increasing Attainment Gap	12		Treat	



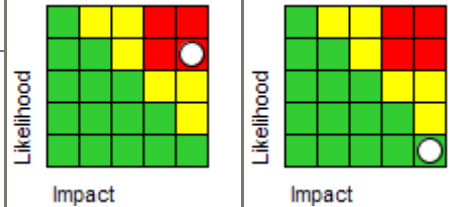
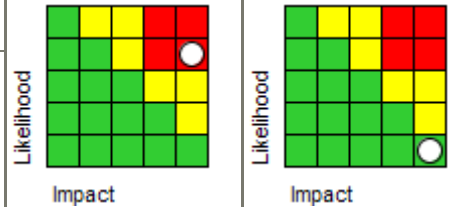




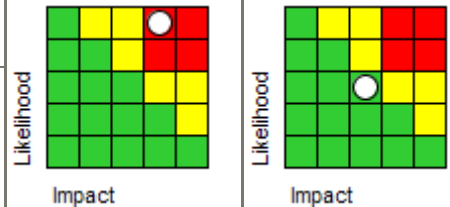
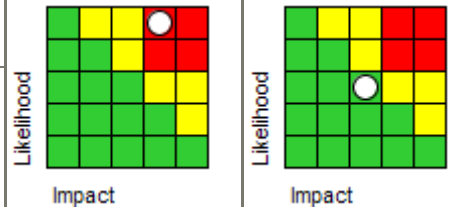
## Approach Treat



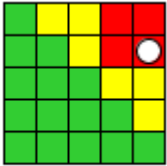
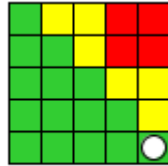


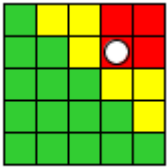
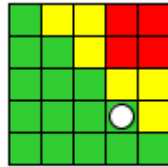
		<b>Insufficient Financial Resilience</b>	Senior Manager Finance & Revenues	Current Score	25	Target Score	5
Risk	The Council does not have a balanced budget to meet essential service demands, customer needs, or external agendas.			<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  <p>Likelihood</p> <p>Impact</p> </div> <div style="text-align: center;">  <p>Likelihood</p> <p>Impact</p> </div> </div>			
Potential Impact	Reputational and legal implications and severe, extended loss of service provision. Possibility of Alliance, Health & Social Care and other partners also experiencing budget pressures contributes to potential impact, given the interdependencies.						
Note	The cumulative funding gap to 2023 has been reduced from £20.5m to £14.5m as reported to Council in December 2020. Although this has reduced, there is a continuing need for service redesign to ensure service delivery. Given the significant savings already achieved, as well as impacts and costs relating to Covid, and challenges around national budget uncertainty, it is extremely challenging to identify new proposals. Significant priority is being given to progressing the Council's organisational redesign and transformational change.						
Related Actions	Audit of 2018/19 Accounts by Audit Scotland	COU EXA 189	Existing Controls	Budget Strategy & Monitoring			
	Use the agreed strategic change framework and organisational design principles to implement a whole organisation redesign	EXA BVA 1A0		Procurement Strategy			
	Balance the drive for savings with the need for sufficient officer time and skills to support change and consider how to make more use of external assistance to support improvement	EXA BVA 4F0		Change Management Board			



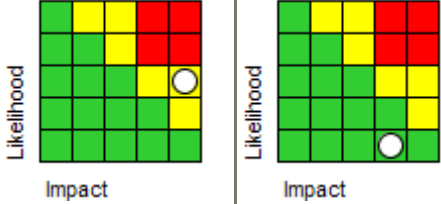


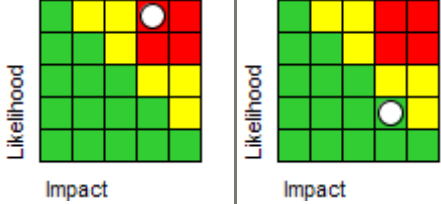
		<b>Insufficient Pace and Scale of Organisational Transformation</b>	Chief Executive	Current Score	25	Target Score	5
Risk	The Council fails to proactively drive the fundamental redesign of services and organisational planning/development with the speed required to address the funding gap due to ineffective change management.			<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  <p>Likelihood</p> <p>Impact</p> </div> <div style="text-align: center;">  <p>Likelihood</p> <p>Impact</p> </div> </div>			
Potential Impact	Failure to maintain the required level of provision for statutory services. The corporate business improvement programme does not establish sustainable service delivery and a sustainable cost base for the future.						
Note	<p>There are still significant risks associated with the ongoing COVID-19 pandemic and the Council's ability to balance the need to continue to provide core service with the ability to resource transformation projects.</p> <p>Significant work has been undertaken since the summer to review the Transformation Programme, resulting in seven key priorities being identified. Further work is still required to prioritise the projects that sit within each priority.</p> <p>Key posts will soon be recruited into, including a Strategic Director (Transformation) and Project Managers and Business Analysts within the Council's PMO will increase the capacity dedicated to the Transformation Programme.</p>						
Related Actions	Be the Future Transformation Programme	COU BTF	Existing Controls	Be the Future Board			



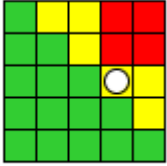
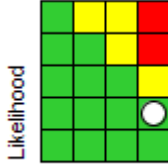




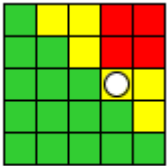
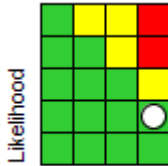
		<b>Impact of Poverty, Inequality &amp; Changing Demographics</b>	Chief Executive	Current Score	20	Target Score	5
Risk	Services are not appropriately redesigned based on changing needs in relation to the ageing population, health, complexity of care or socio-economic factors, specifically poor outcomes associated with welfare reform, poverty and/or inequality.						
Potential Impact	Inappropriate allocation of resources & assets, misalignment of corporate objectives to need, inability to demonstrate Best Value, and possible financial and reputational consequences of responding to unplanned situations.						
Note	The LOIP sets out partnership outcomes, based on demographic & demand analysis. While 8 local priorities in the Health & Care Strategic Plan will strengthen community & place-based services. Key priorities are to reduce children living in poverty; to develop inclusive growth and to empower families and communities in Clackmannanshire. Plans and actions are in place, or are developing, to address these key priorities, including significant activity with a range of partners on City Region Deal, Community Wellbeing and Community Wealth Building. Data. Research and evidence based approaches routinely informs decision-making, and work is ongoing to develop plans from the Clacks Effect research completed in late 2018. The rating for this risk has been increased to reflect local planning assumptions arising from EU withdrawal, as well as the impact of the Covid pandemic.						
Related Actions	Clackmannanshire Alliance Local Outcome Improvement Plan 2017-27		CPP LOI	Existing Controls	Customer Consultation & Engagement		
	Implement Health & Care Partnership Strategic Delivery Plan		CRR HSC SDP		Budget Strategy & Monitoring		



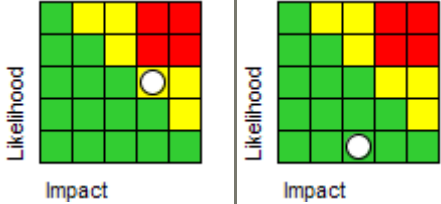
		<b>Unknown Terms of EU Withdrawal</b>	Chief Executive	Current Score	20	Target Score	9
Risk	The Council is unable to prepare for the potential impact of Brexit due to uncertainty around the terms of withdrawal, future relationships with European Union nations, or the timing of withdrawal (possible extension of Article 50 period).						
Potential Impact	Inability to assess/mitigate/prepare for impact on migration, trade, regulation, security, or wider impacts across sectors (see Brexit Update to Council, 25-Oct-18). Also differing geographical impacts for Clacks (economic resilience) and Scotland (food/drink) than UK. Local impact most likely workforce, economy/procurement & value/funding of goods & services.						
Note	Work is ongoing to assess and monitor the potential impacts of EU withdrawal based on the Scottish and UK planning assumptions. Information has been shared with employees, elected members and with communities on potential impacts and to plan mitigations. Information for employees and communities has been shared on the Council website. Work in partnerships with resilience partners, COSLA and SOLACE is ongoing. The Councils resilience planning and preparations for Business Continuity have been further developed and enhanced in recent months.						
Related Actions				Existing Controls	Brexit Update Reports to Council		



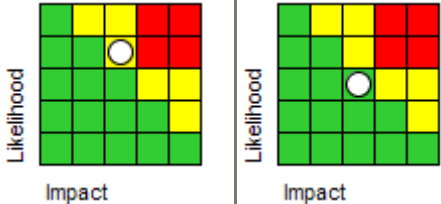
		<b>Health &amp; Safety Breach</b>	Chief Executive	Current Score	20	Target Score	5
Risk	Incident or statutory breach results in injury or death of staff member or customer due to lack of awareness or non-compliance with policies and procedures. Incidents may also arise from third parties actions, outwith Council control.			Likelihood		Likelihood	
Potential Impact	The effects on individuals and their families, financial penalties (including Health & Safety Executive intervention fees), criminal proceedings, adverse publicity, increased insurance or damage to Council assets.						
Note	H&S development work has been significantly interrupted as the team has been heavily involved in establishing safe working arrangements in light of the Covid 19 pandemic. During the 3 months to December 2020, 48 building assessments and 422 individual risk assessments were completed, with a range of control measures introduced.						
Related Actions	Health & Safety action plan, based on recommendations from Gallagher Bassett		CRR P&P HR1	Existing Controls	Health & Safety Management System		
	Governance improvement actions across all services		CRR P&P LD1		Health & Safety Handbook for Managers		
		<b>Major Governance Failure</b>	Senior Manager Legal & Governance	Current Score	16	Target Score	8
Risk	A significant failure of compliance with statutory duties due to a lack of awareness or understanding of corporate policies or codes of conduct, or through non-adherence, including through management or elected member override of controls.			Likelihood		Likelihood	
Potential Impact	Significant reputational damage, injury or loss of life, legal action, financial loss or disruption to service delivery. Staffing changes and re-design reaffirm need to closely monitor & manage compliance with statutory requirements & good practice.						
Note	This risk remains high, particularly in context of the pandemic. New committee structures have been in place since August. Standing Orders & Scheme of Delegation will be revised by the end of the financial year to reflect new appointments & responsibilities.						
Related Actions	Audit of 2018/19 Accounts by Audit Scotland		COU EXA 189	Existing Controls	Scheme of Delegation		
	Annual Internal Audit & Fraud Programme		COU IAF		Governance & Audit Processes		
	Governance improvement actions across all services		CRR P&P LD1		Committee Structures & Remits		



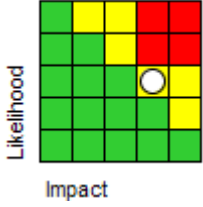
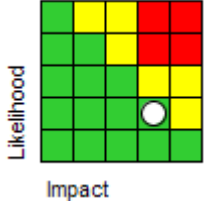
		<b>Failure to Prevent Extremism and/or Radicalisation</b>	Senior Manager Partnership & Transformation	Current Score	15	Target Score	4
Risk	Radicalisation of someone from the area results in terrorist incident (or other malicious attack), causing physical or financial harm to individuals or groups (here or elsewhere), or fear of such an incident affects quality of life.						
Potential Impact	Casualties/fatalities, property/infrastructure damage, need for evacuation/temporary housing or wider economic damage. Financial harm to individuals, businesses or the Council. Disruption to services or reputational/legal implications.						
Note	Continue to implement CONTEST delivery plan through work with our partners. Internal audit was completed in 2018 with substantial assurance provided. Training on Prevent Professional Concerns and development workshops delivered by Scottish Government attended by key staff in March 2019.						
Related Actions	Actions from Internal Audit of CONTEST, Prevent & Serious Organised Crime Readiness		CRR P&P SP2	Existing Controls	Forth Valley Local Resilience Partnership		
					CONTEST Delivery Plan & Working Groups		
					WRAP Training (High Priority Staff)		
		<b>Harm to Child(ren)</b>	Strategic Director - People	Current Score	20	Target Score	8
Risk	A lack of capacity or stability in key roles reduces the Council's ability to fulfil statutory requirements and intervene to prevent the serious harm of a child/children.						
Potential Impact	Effects of injury or death on individual, family, friends & staff members, reputational & legal implications, with associated costs, as well as impact of reputational damage & negative publicity on morale, workforce development and sustainability.						
Note	Due to Covid and impact, this risk is being re-assessed in the context of the 'Four Harms'.						
Related Actions	Develop and Implement a new Corporate Parenting Strategy for 2018/2021		LOI LP1 102	Existing Controls	Child Protection Procedures		
	Children's Services Plan 2017-2020		PPL CSP		Public Protection Forum		
	People Directorate Business Plan		PPL DBP		Child Protection Committee		

		<b>Increasing Attainment Gap</b>	Improving Outcomes Manager - Senior Phase	Current Score	12	Target Score	8
Risk	The Council fails to reduce the educational attainment gap between pupils from more and less deprived areas due to financial pressures, workforce issues, or wider economic, demographic and poverty-related issues.			 Likelihood Impact		 Likelihood Impact	
Potential Impact	Reputational damage, implications for inspection & funding, and continued poor school leaver destinations, participation & young people reaching potential, longer-term impacts on social mobility, poverty, life chances and economic growth.						
Note	The educational impact of the Covid-19 pandemic, subsequent closure of schools, and reliance on home learning is being assessed now the children have returned to school. Any remedial, catch-up education to improve attainment will be planned and provided, with each school having a Covid-19 recovery plan approved by Education Scotland. Schools will be supported by the IO Principal Teachers, specific government funding for additional staff, provision of digital learning resources and equipment and a greater focus on outdoor learning across all sectors. Health and wellbeing impacts are being addressed and supported by Educational Psychology and partner agencies.						
Related Actions	People Directorate Business Plan		PPL DBP	Existing Controls	Education Senior Management Team		
	Covid-19 Education Recovery Plan		PPL EDU CRP		Scottish Attainment Challenge		
	Scottish Attainment Challenge Action Plan 2020/21		PPL EDU SAC		National Improvement Framework		

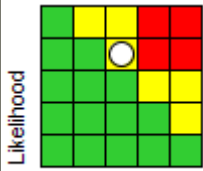
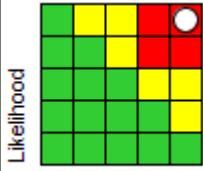
		<b>Failure to Address Serious Organised Crime</b>	Senior Manager Partnership & Transformation	Current Score	12	Target Score	8
Risk	Public bodies fail to address organised crime involving drugs, violence, fraud, corruption, money laundering and/or human trafficking (with women and girls particularly vulnerable), due to a lack of preventative processes or information sharing.			 Likelihood Impact		 Likelihood Impact	
Potential Impact	Physical or financial harm to individuals, businesses, communities or the Council. Direct or indirect disruption to Council services and associated reputational and/or legal implications.						
Note	Situational awareness and monitoring of significant developments or intelligence is ongoing. Web pages for staff have been updated with the latest advice on cyber crimes and keeping safe.						
Related Actions	Serious Organised Crime action plan, based on Police Scotland self-assessment		COU SOC	Existing Controls	Serious Organised Crime Delivery Plan		
	Implement Council CONTEST Delivery Plan, based on the Government's CONTEST Strategy		CRR P&P SP1		Let Scotland Flourish Strategy		
	Actions from Internal Audit of CONTEST, Prevent & Serious Organised Crime Readiness		CRR P&P SP2		National Fraud Initiative		



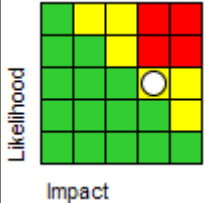
		<b>Inadequate Workforce Planning</b>	Senior Manager HR & Workforce Development	Current Score	12	Target Score	3
Risk	Due to a lack of workforce planning, the Council fails to adequately develop its workforce to ensure that skills, knowledge and structures are appropriate, sustainable, financially viable, and compatible with our corporate vision.						
Potential Impact	Lack of intelligence on opportunities & threats around workforce development, resulting in under-investment in workforce and increasing disconnect between the people and skills we have, versus the people and skills we need for the future.						
Note	Council approved the Strategic Workforce Plan (2019-22) in June 2019. This identifies the key workforce development priorities for the Council, and establishes a detailed plan of work for the next three years (via the annexed workforce development delivery plan). As we move through the implementation of this plan, the likelihood of this risk occurring will reduce.						
Related Actions	Implement the Workforce Plan 2019-22 once approved by Council		CRR P&P HR3	Existing Controls	Strategic Workforce Plan		

		<b>IT System Failure</b>	Senior Manager Partnership & Transformation	Current Score	12	Target Score	9
Risk	Full or partial loss of network/hardware/software/telecoms technologies (temporary or prolonged) due to cyber attack/other emergency, failure to manage maintenance/backups/suppliers/contracts, or lack of investment in systems/staff/training (i.e. failure of IT services to uphold priorities of Confidentiality, Integrity and Availability).						
Potential Impact	Financial impact from loss of productivity, service disruption (inc. statutory/vulnerable groups), inability to communicate, harm to staff/customers (access to records/Potentially Violent Persons register) & legal/regulatory/reputational implications.						
Note	A large programme to facilitate remote working has been rolled out, with investment in new IT kit and existing kit re-provisioned to meet immediate needs and ensure continuity of service delivery. Council agreed to the procurement of Microsoft 365, which will ensure ongoing business efficiency, compliance with national security standards and continuity in the face of a period of uncertainty. An annual Cyber Security report is being introduced to the Audit Committee forward plan to enable closer scrutiny of the Council's arrangements.						
Related Actions	Develop & deliver the Council's Digital Transformation Strategy		CRR P&P IT1	Existing Controls	Business Continuity Plans		
	Complete actions from IT Asset Management Plan		CRR P&P IT2		Service Level Agreements & Contracts		

		<b>Information Not Managed Effectively</b>	Senior Manager Legal & Governance	Current Score	12	Target Score	8
Risk	Information is not protected due to lack of compliance with information sharing, data protection, records management or IT principles/protocols (Confidentiality, Integrity & Availability), or poor management of information leads to inefficiency (duplication across multiple systems) and decisions based on poor quality/inaccurate business intelligence.						
Potential Impact	Legal/reputational/financial implications from breaches, inefficiencies costing time/money, non-completion of (possibly statutory) duties. Loss of productivity, impacting morale, or uninformed decision-making if information not available/used.						
Note	Ongoing work and education around technical and operational controls. CyberEssentials achieved. Focus on Clacks Academy mandatory training. Ongoing consolidation of systems. Council reorganisation brings negative impacts to management of information. Terms of Reference for Information Governance Group approved by ESLG. Digital Strategy going to Council 18th April.						
Related Actions	GDPR Implementation Project Plan		COU GDP	Existing Controls	Data Sharing Agreements		
	Develop & deliver the Council's Digital Transformation Strategy		CRR P&P IT1		GDPR Guidance & Training		
	Develop a programme of digitisation to support redesign and service change		EXA BVA 1A4		Records Management Working Group		

## Approach Tolerate

<span style="font-size: 1.2em; vertical-align: middle;">⚠️</span> <span style="font-size: 1.2em; vertical-align: middle;">⬇️</span> <b>Failure of Public Utility Supply</b>		Strategic Director - Partnership & Performance	Current Score	12	Existing Controls
Risk	Loss of gas, electricity, water or communications over a significant area due to failure of a provider's infrastructure as a result of a local or national event.	<div style="display: flex; align-items: center; justify-content: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: 0.8em; margin-right: 5px;">Likelihood</div>  </div> <p style="margin-top: 5px; text-align: center;">Impact</p>			Business Continuity Plans
Potential Effect	Fatality, injury or health risk, requirement to evacuate & find alternative accommodation, including for vulnerable people. Disruption to businesses, with potentially large costs, and impact on contact with health, care and emergency services.				Major Incident Procedures
Note	Risk reduced slightly due to planning and preparations but remains a concern due to infrastructure & power interdependencies, particularly black start outage recovery time (now believed to be minimum 7 days). Priority for the Resilience community, particularly due to Councils' duty of care. Planning & work ongoing, regular testing of plans, lessons learned from previous incidents and quarterly meetings with resilience partners including SPEN, SGN and Scottish Water.				Emergency Response Plan
<span style="font-size: 1.2em; vertical-align: middle;">⚠️</span> <span style="font-size: 1.2em; vertical-align: middle;">⬆️</span> <b>Public Health Emergency</b>		Chief Executive	Current Score	25	Existing Controls
Risk	Significant numbers of Council staff and customers become ill due to the occurrence of a public health emergency, such as a flu pandemic, with spread potentially exacerbated through failure to vaccinate or follow hygiene protocols.	<div style="display: flex; align-items: center; justify-content: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: 0.8em; margin-right: 5px;">Likelihood</div>  </div> <p style="margin-top: 5px; text-align: center;">Impact</p>			Business Continuity Plans
Potential Effect	Short- & long-term health implications for public & staff (inc. absence if ill or caring for others). Disruption to support & front-line services, inc. to already vulnerable groups. Consideration required of minimal service provision requirements.				Pandemic Flu Plan
Note	The Covid 19 pandemic is an ongoing live issue. The Council's Incident Management Plan was implemented on the 9 March, 2020 and Major Emergency Operating Procedures (MEOPs) were agreed and enacted. All Business Continuity plans have been reviewed and we are actively involved in response planning with the Forth Valley Resilience Partnership. Continuity of crucial services has largely been achieved, but the current and predicted increasing transmission rates is giving significant cause for concern and the risk score has been increased accordingly.				Major Incident Procedures

	 <b>Failure to Prepare for Severe Weather Events</b>	Strategic Director of Place	Current Score	12	Existing Controls
Risk	Inability to respond to severe weather events due to lack of appropriate planning & equipment (e.g. 4x4 vehicles). Most likely flooding from rain/coastal surge, winter weather or heatwave (increasing frequency & severity due to climate change).				Business Continuity Plans
Potential Effect	Widespread community dislocation, damage to property, businesses, roads & utility infrastructure (inc. telecoms & power), or inability of staff to get to workplace. Increased workload in numerous services, impact on delivery, reputation & finances.				Winter & Flood Management Plan
Note	During the 3 months to December 2020, we have evacuated properties following flooding in Hillfoots. 2 new flood resilience groups were established in Alva and Dollar Discussions are also taking place with Police Scotland on how to improve community resilience response for flooding e.g road closures on minor roads.				Forth Valley Local Resilience Partnership