CLACKMANNANSHIRE COUNCIL	THIS PAPER RELATES TO ITEM 8
Report to Audit Committee	**ON THE AGENDA**

Date of Meeting: **30ᵗʰ September 2021**

Subject: **Corporate Risk Register**

Report by: **Strategic Director – Partnership & Performance**

1.0   Purpose

1.1.   This report provides the regular update on Clackmannanshire Council's Corporate Risk Log (Appendix A).

2.0   Recommendations

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

3.0   Considerations

3.1.   Purpose of Risk Management

3.1.1.   The Council has several key goals regarding how it will achieve the priorities set out in the Local Outcomes Improvement Plan (LOIP) and how it will transform the Council under the Be the Future programme. In order to effectively 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.

3.1.2.   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. 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 short-, medium- and long-term implications, as well as (often complex) inter-dependencies.

3.1.3.   The impact of the pandemic on Council services and the local community has been significant, and this approach remains critical in light of the Council's ongoing response and recovery planning. 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 a Civil Contingencies and 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.

3.2. Corporate Risk Management Process

3.2.1. 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 follows a systematic risk process, reporting corporate and service risks to Committee on a regular basis. The process is assessed via internal and external governance and audit mechanisms, and peer-reviewed by other local authorities.

3.2.2. 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. Meetings are held with risk owners and/or delegated officers to:

- Review changes and developments in existing corporate and service risks;
- Investigate emerging externally-identified risks for local relevance;
- Evaluate emerging internally-identified risks (Internal Audit/self-assessment); and
- Consider significant risks, or those with implications across multiple services, for escalation to the corporate log, where they are managed until their severity reduces.

3.2.3. It would be impossible to remove all risk from our operations as most of our functions have inherent risks, as do most changes. Moreover, we cannot choose not to make changes, as this would involve exposure to other risks, such as failing to fulfil statutory duties, comply with new legislation or take advantage of new opportunities/technologies. The aim, therefore, is not to be 'risk averse' but 'risk aware'.

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

Treat: we will take action to reduce the risk;
Tolerate: actions within our control have been completed and plans are in place;
Transfer: the risk will be passed to another party, such as insurers;
Terminate: the activity that is causing the risk will be ceased.

3.3. Current Risk Profile & Development Activity

3.3.1. As can be seen from Appendix A, the positive impact of our mitigations is being mirrored in many areas by worsening external factors, resulting in little direct change in risk scores. The main change is the re-escalation of Climate Change. This risk was on the corporate log from 2011 to 2015, at which point it was separated from Severe Weather (the already-materialising impacts we must manage regularly). The latter remained on the corporate log, while it was agreed that the wider Climate risk would be managed and monitored via reports from the (then) Development & Environment Service to the (then) Enterprise & Environment Committee. Given the renewed global focus on this issue, and the Council's stated commitment to Climate Change adaptation and mitigation, it is now felt appropriate to also renew scrutiny and governance by re-escalating this to the corporate risk log.

3.3.2. Council risk management is currently focussed on pandemic response, with the log capturing many anticipated challenges, which will continue developing throughout response and recovery. The Corporate Risk & Integrity Forum meets quarterly at the Extended Strategic Leadership Group, ensuring visibility, ownership and input at a senior level, and enabling timely action to minimise negative impacts. Senior managers achieved risk accreditation in 2020 through a 2-day course from Gallagher Bassett, who also offer regular training opportunities, workshops and guides. Work also continues on supporting teams and directorates, implementing internal audit recommendations, and partnership work, such as a current review of the Health & Social Care Partnership joint risk strategy.

4.0 Sustainability Implications

4.1. There are no direct sustainability implications arising from this report.

5.0 Resource Implications

5.1. Financial Details – There are no direct financial implications arising from this report.

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. Yes ✓

5.4. Staffing – There are no direct staffing implications arising from this report.

6.0 Exempt Reports

6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No ✓

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 ✓

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 ✓

10.0 Appendices

10.1 Please list any appendices attached. If there are no appendices, please state "none".
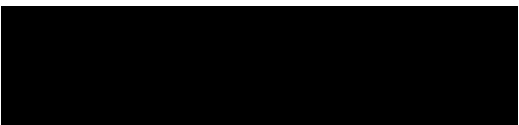
Appendix A – Corporate Risk Log

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 ✓

Author(s)
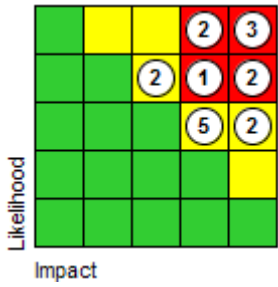
NAME	DESIGNATION	TEL NO / EXTENSION
Judi Richardson	Performance & Information Adviser	2105

Approved by

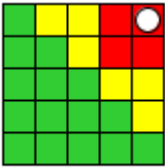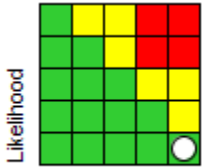| NAME	DESIGNATION	SIGNATURE
Stuart Crickmar	Strategic Director – Partnerships & Performance	

Appendix A - Corporate Risk Log

Clackmannanshire Council | Comhairle Siorrachd Chlach Mhanann
www.clacks.gov.uk
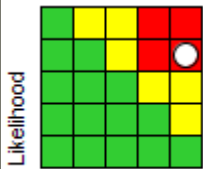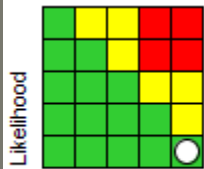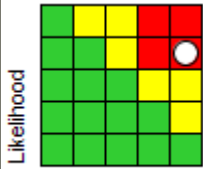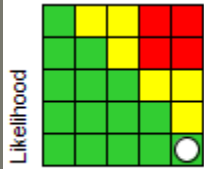
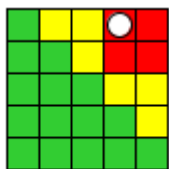| Summary of Changes	Distribution of Scores
At the 2021/22 half year stage (out of a total of 17 risks): **Status** 8 risks are red (same as in previous report: 17-Jun-21) 9 risks are amber (increase of 1 - escalated Climate Change risk) No risks are green (same as previous) **Approach** 14 risks are being **Treated** (increase of 1 - Climate Change) 3 risks must be **Tolerated** (same as previous) **Change in Scores Since Last Review** No risks have increased 16 risks remain the same Climate Change has been re-escalated by the Place Directorate (see report for details)	*[Risk matrix: Likelihood (vertical) vs Impact (horizontal), with scores 2, 3, 2, 1, 2, 5, 2 plotted]*
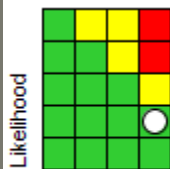
Code	Title	Score	Status	Approach	Change
COU CRR 022	Public Health Emergency	25	🔴	Tolerate	▬
COU CRR 008	Insufficient Financial Resilience	25	🔴	Treat	▬
COU CRR 034	Insufficient Pace and Scale of Organisational Transformation	25	🔴	Treat	▬
COU CRR 005	Impact of Poverty, Inequality & Changing Demographics	20	🔴	Treat	▬
COU CRR 012	Health & Safety Breach	20	🔴	Treat	▬
COU CRR 011	Harm to Child(ren)	20	🔴	Treat	▬
COU CRR 045	Unknown Terms of EU Withdrawal	20	🔴	Treat	▬
COU CRR 033	Major Governance Failure	16	🔴	Treat	▬
COU CRR 049	Continued Contribution to Climate Change	15	🔺	Treat	N
COU CRR 038	Failure to Prevent Extremism and/or Radicalisation	15	🔺	Treat	▬
COU CRR 047	Inadequate Workforce Planning	12	🔺	Treat	▬
COU CRR 046	IT System Failure	12	🔺	Treat	▬
COU CRR 048	Increasing Attainment Gap	12	🔺	Treat	▬
COU CRR 009	Information Not Managed Effectively	12	🔺	Treat	▬
COU CRR 037	Failure to Address Serious Organised Crime	12	🔺	Treat	▬
COU CRR 040	Failure of Public Utility Supply	12	🔺	Tolerate	▬
COU CRR 031	Failure to Prepare for Severe Weather Events	12	🔺	Tolerate	▬
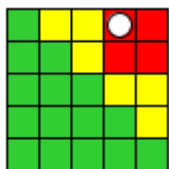
Approach Treat

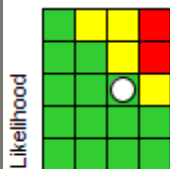| 🛑 ➖	**Insufficient Financial Resilience**	Senior Manager Finance & Revenues	Current Score	25	Target Score	5

Risk	The Council does not have a balanced budget to meet essential service demands, customer needs, or external agendas.
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 2020/21 Accounts by Audit Scotland	COU EXA 201	Existing Controls	Budget Strategy & Monitoring
	Use the agreed strategic change framework and organisational design principles to implement a whole organisation redesign	EXA BVA 1A0		Contract Standing Orders
	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		Financial Regulations
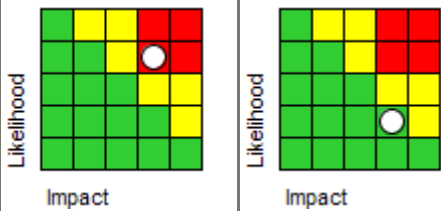
🛑 ➖	**Insufficient Pace and Scale of Organisational Transformation**	Chief Executive	Current Score	25	Target Score	5

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.
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	The new Strategic Director (Transformation) is now in post and the PMO is currently being established. Work is underway to review the Be the Future Transformation Portfolio and to develop the Councils Strategic Roadmap which is being led by the Strategic Director. In addition to this work, significant progress is being made on a number of workstreams including City Region Deal; Clackmannanshire's Wellbeing Hub and Leisure Review and Wellbeing Economy and Community Wealthbuilding.

Related Actions	Be the Future Transformation Programme	COU BTF	Existing Controls	Be the Future Board

Appendix A – Corporate Risk Log   ✅ Low: 9 or less   ⚠️ Medium: 10 – 15   🛑 High: 16 or more   ⬆️Increased   ➖ Consistent   ⬇️Reduced   **N**ew Risk   **R**emove from log   Page 2 of 9

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Impact of Poverty, Inequality & Changing Demographics			Chief Executive		Current Score	20	Target Score	5

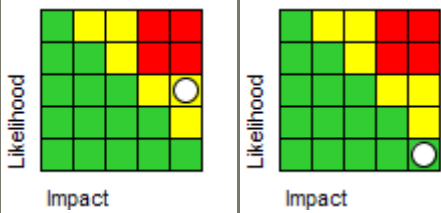| Risk	Services are not appropriately redesigned based on changing needs in relation to the ageing population, health, complexity of care or socio-economic factors, specifically poor outcomes associated with welfare reform, poverty and/or inequality.
Potential Impact	Inappropriate allocation of resources & 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 Poverty Impact Assessments are undertaken for any new policy or significant business change. The rating for this risk has been increased to reflect local planning assumptions arising from EU withdrawal, the impact of the Covid pandemic and the recent publications of Child Poverty statistics.

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

Health & Safety Breach			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.
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 interrupted as the team has been heavily involved in establishing safe working arrangements in light of the Covid 19 pandemic. However a new IT system is being developed to help manage H&S risks across the Council.

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

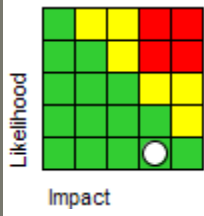Appendix A – Corporate Risk Log   ✔ Low: 9 or less   ▲ Medium: 10 – 15   ⬤ High: 16 or more   ⬆Increased   ▬ Consistent   ⬇Reduced   New Risk   Remove from log   Page 3 of 9

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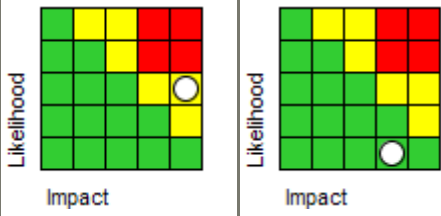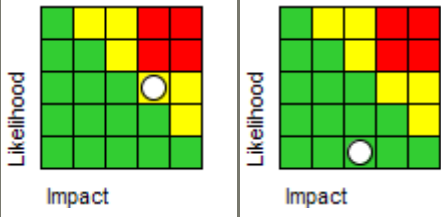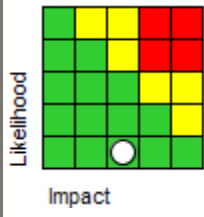
⬟ ▬ **Harm to Child(ren)**	Strategic Director - People	Current Score	20	Target Score	8

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	New Strategic Director appointed in Sep 20. Planning and measures being put in place to address staffing, leadership, assurance and improvement plan. Quarterly reports will go forward to People Committee. Work has started on mapping for The Promise. New Public Protection Framework is being developed. New Interim CSWO will take up post in March 21.	

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

⬟ ▬ **Unknown Terms of EU Withdrawal**	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 has been undertaken and reviewed to assess and monitor the potential impacts of EU withdrawal based on the Scottish and UK planning assumptions. This work has been carried out alongside wider resilience activities as part of a national and local all risks approach led by ScORR. Local risks and mitigations on EU withdrawal continue to be monitored and shared as part of ongoing work led by CoSLA.

Related Actions			**Existing Controls**	Brexit Update Reports to Council

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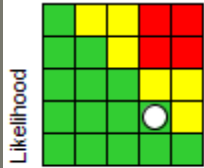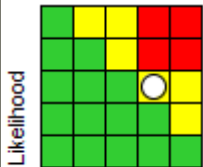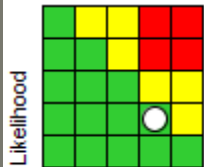
🔴 ➖	**Major Governance Failure**	Strategic Director - Partnership & Performance	Current Score	16	Target Score	8

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.
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	The Corporate Risk & Integrity Forum recently discussed issues around compliance and concerns, in a number of areas, that extensive focus on Covid means diminished focus on existing pressures/issues that haven't gone away. The role of the Audit Committee should be further dveloped in order to ensure appropriate levels of scrutiny.

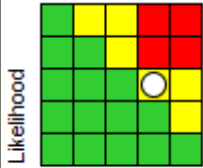| **Related Actions**	Audit of 2020/21 Accounts by Audit Scotland	COU EXA 201	**Existing Controls**	Scheme of Delegation
	Annual Internal Audit & Fraud Programme	COU IAF		Governance & Audit Processes
	Governance improvement actions across all services	CRR P&P LD1		Committee Structures & Remits

🔺 N	**Continued Contribution to Climate Change**	Strategic Director - Place	Current Score	15	Target Score	5

Risk	The Council fails to play its part in addressing the climate emergency, such as by not reducing emissions, not undertaking efforts to adapt to the more frequent and extreme impacts of climate change or not improving energy efficiency in the area, by not making available adequate resources, not developing, using, or promoting sustainable practices, materials & technologies, or by failing to act as a local ambassador for national & international good practice as it emerges.
Potential Impact	Worsening environmental impacts (see related Severe Weather risk), increased fuel poverty in the area (with knock-on health/social impacts), missed efficiency savings, missed economic opportunities and poorer air quality. Also political/reputational impacts of not supporting national/ international policy, and potential legal implications of not meeting targets or demonstrating progress.
Note	The Council submits Public Bodies Climate Change Duties reports to the Scottish Government annually, and is developing/ implementing several related strategies & projects. These will not only ensure the Council adopts appropriate practices (in its own assets, housing stock, etc.) but also that it disseminates information to residents & businesses (through energy & fuel poverty advice, community food growing schemes, etc.) while facilitating waste reduction and the use of low-carbon technology such as sustainable transport across the local authority. The International Environment Centre proposal, as part of the City Region Deal, will place Clackmannanshire at the forefront of Scotland's Climate Change mitigation efforts.

Related Actions	Develop Net Zero strategy and action plan	PLC 213 101	**Existing Controls**	Local Biodiversity Action Plan
	Develop routemap to compliance with EESSH2 for all Council Housing stock.	PLC 213 104		Regional Energy Masterplan
	Deliver CRD programme in line with delivery plan/financial profile	PLC 213 111		Sustainable Food Growing Strategy

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		Failure to Prevent Extremism and/or Radicalisation	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 and through the Forth Valley CONTEST Board. Prevent is the strand within CONTEST focussed on preventing radicalisation and extremism in communities. Training for staff is provided as part of mandatory training programmes and on specific aspects of the national Prevent strategy. The national Prevent referral pathway has also been reviewed in 2021.

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)

		Inadequate Workforce Planning	Senior Manager HR & Workforce Development	Current Score	12	Target Score	3

Risk	Due to lack of workforce planning the Council fails to ensure sufficient capacity/resource to deliver key Council service or 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	Loss of key staff from posts identified as single points of failure, including statutory officers, leading to inability to delivery key functions and lack of adequate professional advice to Council Officers/Elected Members.
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	CRR P&P HR3	Existing Controls	Strategic Workforce Plan

Appendix A – Corporate Risk Log   ✔ Low: 9 or less   ⚠ Medium: 10 – 15   ● High: 16 or more   ⬆Increased   ➖ Consistent   ⬇Reduced   **N**ew Risk   **R**emove from log   Page 6 of 9

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		IT System Failure	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	The Council is progressing a programme of investment in ICT infrastructure as part of its Digital Transformation Strategy and roadmap. This will see a programme of cloud hosted services and the retirement of legacy systems over the next 4 years; implementation of m365; replacement of key ICT systems and investment in modern technology to support service delivery and future ways of working and our Digital Transformation ambitions. The recent Digital Maturity Assessment; Audit Scotland review and our work in partnership with Digital Office is helping shape this work. A report on Cyber Security compliance is scheduled for Autumn.

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

		Increasing Attainment Gap	Strategic Director - People	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.
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

Appendix A – Corporate Risk Log   ✓ Low: 9 or less   ⚠ Medium: 10 – 15   ● High: 16 or more   ⬆Increased   ➖ Consistent   ⬇Reduced   New Risk   Remove from log   Page 7 of 9

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⚠ ▬	**Information Not Managed Effectively**	Strategic Director - Partnership & Performance	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. Failure to use information to properly manage performance and plan responses
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	Opportunities arising from implementation of MS 365 but this will need an implementation plan which includes records management

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

⚠ ▬	**Failure to Address Serious Organised Crime**	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.
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 and briefings are shared with staff from Scottish Business Resilience Centre and the National Crime Agency.

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

Appendix A – Corporate Risk Log   ✓ Low: 9 or less   ⚠ Medium: 10 – 15   ⬤ High: 16 or more   ⬆ Increased   ▬ Consistent   ⬇ Reduced   N ew Risk   R emove from log   Page 8 of 9

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Approach Tolerate

	🔴 ➖	**Public Health Emergency**	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.				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 remains an ongoing incident requiring Council's continued response and recovery activity. 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. Ongoing response and recovery work however is still required particularly around outbreak management, community testing, vaccinations and community support for those people isolating. Council has agreed an internal debrief process will be undertaken to identify lessons learned and inform ongoing response and recovery work.				Major Incident Procedures

	⚠️ ➖	**Failure of Public Utility Supply**	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.				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

	⚠️ ➖	**Failure to Prepare for Severe Weather Events**	Strategic Director - 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

Appendix A – Corporate Risk Log   ✅ Low: 9 or less   ⚠️ Medium: 10 – 15   🔴 High: 16 or more   ⬆️Increased   ➖ Consistent   ⬇️Reduced   **N**ew Risk   **R**emove from log   Page 9 of 9

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