



# Draft Strategic Risk Register

24th June 2021

## Appendix 1

### Risk Summary: (see last page for key)

Risk Ref.	Risk Title	Risk Event. <i>There is a risk that:</i>	Priority
SR01	<b>Protection of Vulnerable Children &amp; Adults</b>	Vulnerable children and adults are not adequately protected, and the Council fails to meet its statutory duty	20
SR02	<b>Climate Change</b>	The actions and decisions of the Council fail to affect the behavioural and cultural change required to mitigate the causes of and reduce the impact of climate change in Perth and Kinross	20
SR03	<b>Economic Wellbeing</b>	The economy in Perth & Kinross does not grow in an inclusive and sustainable way	20
SR04	<b>Poverty &amp; Equalities</b>	There will be increased poverty and the inequalities gap within Perth & Kinross will widen	16
SR05	<b>Public Service Design &amp; Delivery</b>	The Council does not design and deliver the sustainable public services that our communities need	16
SR06	<b>Information Security</b>	The security (that is, the confidentiality, integrity, availability, and resilience) of the Council's data is compromised	15
SR07	<b>Security &amp; Emergency Planning/Civil Contingencies</b>	The Council is unable to provide an adequate or effective operational response in emergency situations	12
SR08	<b>Financial Resilience</b>	There are insufficient financial resources to deliver the required level and quality of services to our communities	12
SR09	<b>Workforce</b>	The Council does not have the skilled, motivated, and agile workforce that it requires to ensure the effective delivery of services	12
SR10	<b>Asset Management</b>	Council property, housing, roads infrastructure and other assets are not safe, fit for purpose or providing best value	12
SR11	<b>Health &amp; Safety</b>	The health and safety of staff and the public is not adequately protected	8

## Appendix 1

### Risk Number & Title: SR01 – PROTECTION OF VULNERABLE CHILDREN & ADULTS

#### Sub-Category: Legislation & Compliance

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 1**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**SHARE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	5	4
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>20</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Increasing resource pressures across relevant public sector bodies</li> <li>Incohesive partnership working (eg ineffective communication and data sharing)</li> <li>Increasing vulnerabilities</li> </ul>	<b>Vulnerable children and adults are not adequately protected, and the Council fails to meet its statutory duty</b>	<ul style="list-style-type: none"> <li>Significant harm to individuals</li> <li>Increasing demand for services from Council and other public partners</li> <li>Damage to Council reputation/loss of public confidence</li> <li>Legal claims for breach of statutory duty</li> </ul>

#### Key Controls

- Public Protection Chief Officers Group
- PKC Child Welfare & Protection Processes/Policies/Procedures
- PKC Adult Welfare & Protection Processes/Policies/Procedures
- ECS Business Management & Improvement Plan actions
- Child Protection Committee
- Adult Protection Committee
- Public Protection Co-ordinating Group
- Tayside Regional Improvement Collaborative has established a Priority Group for Safeguarding and Child Protection
- Performance/ risk management & reporting systems

**Risk Owner:** Chief Executive

**Risk Actionee:** Chief Social Work Officer

#### Key Actions & Updates

- Chief Officers Group for Public Protection has strengthened role and remit during COVID-19 and approved a new Public Coordinating Group to be established from January 2021 led by the CSWO
- A public protection risk register is closely monitored by the Chief Officers Group for Public Protection and by public protection committees and the key areas of risk have been identified and mitigated
- Annual reports from the Child and Adult Protection Committees will report to Council/IJB December 2020.

## Appendix 1

### Risk Number & Title: SR02 – CLIMATE CHANGE

#### Sub-Category: Environment

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 1**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**SHARE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	4	5
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>20</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>A lack of climate leadership and accountability and failure to embed responsibility for action and to effect cultural change across services</li> <li>A lack of resources to properly plan, co-ordinate implement appropriate Council-wide response</li> <li>New, emerging and evolving statutory duties &amp; responsibilities</li> <li>Failure to properly engage with and empower our communities and business to change behaviour and take action.</li> <li>Compartmentalised/ siloed approach to task and budget and decisions made with short time horizons.</li> <li>Failure to maximise on opportunities for positive change</li> </ul>	<p><b>The actions and decisions of the Council fail to affect the behavioural and cultural change required to mitigate the causes of and reduce the impact of climate change in Perth and Kinross</b></p>	<ul style="list-style-type: none"> <li>Failure to meet our climate reduction targets and responsibilities, with potential legislative penalties</li> <li>Inflated investment requirements due to not taking early action</li> <li>Damage to Council reputation/loss of public confidence</li> <li>Damage to property and livelihoods across the Council-area</li> <li>Detrimental impact on environmental, health and wellbeing outcomes across our community</li> <li>Missed funding or commercial opportunities</li> <li>Duplication of effort around carbon reduction and climate change</li> </ul>

#### Key Controls

- Climate Change Board
- Climate Change engagement plan
- Climate Carbon Working Groups
- Perth and Kinross Climate Change Commission (in process of being established)

#### Key Actions & Updates

- Development of updated climate roadmap and clear corporate framework to ease integration of local low carbon activities across PKC and wider community
- Strengthening of climate change communication, reporting & governance structures across all levels of PKC from the Low Carbon Working Group, through Climate Change Board & onto the CMG, EOT, Community Planning partners & Elected Members.

**Risk Owner:** – Chief Executive

**Risk Actionee:** Head of Planning & Development

## Appendix 1

### Risk Number & Title: SR03 – ECONOMIC WELLBEING

#### Sub-Category: Finance

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 1**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	5	4
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>20</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>The current economic climate, including impacts of COVID-19 and uncertainties caused by withdrawal from the EU</li> <li>Failure to identify relevant factors impacting local economic resilience and develop strategies to support local economy</li> <li>Failure to maximise on opportunities presented through the Tay Cities Deal</li> <li>Debt of Covid</li> <li>Failure to resource the delivery of the Economic Wellbeing Plan appropriately</li> </ul>	<p><b>The economy in Perth &amp; Kinross does not grow in an inclusive and sustainable way</b></p>	<ul style="list-style-type: none"> <li>Increased poverty across our communities</li> <li>Rising unemployment and a lack of positive destinations for school leavers</li> <li>Population and economic decline</li> <li>Decline in housebuilding, business expansion and investment</li> <li>Increased demand for services</li> </ul>

#### Key Controls

- Economic Wellbeing Plan
- Busines Barometer Survey
- Brexit Officers Working Group
- COSLA Officers Working Group
- Local Resilience Partnership
- Tay Cities Deal

#### Key Actions & Updates

- Ongoing monitoring of local economy, including Business Barometer Survey

**Risk Owner:** Executive Director - Communities

**Risk Actionee:** Head of Planning & Development

## Appendix 1

### Risk Number & Title: SR04 – POVERTY & EQUALITIES

#### Sub-Category: Finance

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 1**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	4	4
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>16</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>The current economic climate</li> <li>Low Wage and in work poverty</li> <li>increases in poverty and food poverty</li> <li>Wider societal community impacts as a result of COVID -19 (eg social isolation)</li> <li>Failure to plan and resource effective interventions to meet changing and increasing needs within our communities</li> </ul>	<p><b>There will be increased poverty and the inequalities gap within Perth &amp; Kinross will widen</b></p>	<ul style="list-style-type: none"> <li>An increasing demand for services, including those provided by the HSCP, which the Council may be unable to meet</li> <li>Reduction in Council income</li> <li>A detrimental impact on communities, wellbeing, and achievement of Council strategic aims</li> <li>Pressure on statutory services particularly in public protection, social care and health.</li> </ul>

#### Key Controls

- Local Outcomes Improvement Plan
- Joint Welfare Reform Steering Group
- Service planning, performance monitoring & reporting
- Budget monitoring & reporting
- Equalities Impact Assessments
- Regional Economic Strategy/Economic Wellbeing Plan
- Public Protection Chief Officers Group
- Welfare Rights engagement and signposting
- Welfare Fund & COVID related Hardship Fund
- Local Child Poverty Action Plan
- Tayside Region Improvement Collaboration

**Risk Owner:** Executive Director - Communities

**Risk Actionee:** Depute Director - Communities

#### Key Actions & Updates

- Development of the P&K Offer
- Development of actions through Employability, Equalities and Fairness Group (Poverty & Child Poverty, Food and Fuel Poverty, Employability Initiatives)
- Local Outcome Improvement Plans – Follow up actions
- 2021/22 Budget Setting Decisions Rent increases minimised; Council tax freeze etc
- Economic Wellbeing Plan – monitoring and reporting of progress
- Temporary ongoing support to foodbanks/food distribution through Fair Share
- Development of Food Poverty Strategy

## Appendix 1

### Risk Number & Title: SR05 – PUBLIC SERVICE DESIGN & DELIVERY

#### Sub-Category: Reputation & Public Image

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 1**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
4	5	4	4
<b>Inherent Score:</b>	<b>20</b>	<b>Residual Score:</b>	<b>16</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Failure to engage with and understand the needs of local communities</li> <li>Insufficient population demographics projections</li> <li>Failure to maximise on community connections and goodwill established during COVID-19</li> <li>Insufficient governance and processes in place to deliver services in partnership with the community</li> </ul>	<p><b>The Council does not design and deliver the sustainable public services that our communities need</b></p>	<ul style="list-style-type: none"> <li>Increased demand for services</li> <li>A widening of the inequalities gap</li> <li>Detrimental impact on health and wellbeing</li> <li>Failure to deliver better outcomes for our communities</li> <li>Budgets being spent on ineffective interventions failure to implement duties in relation to the Community Empowerment Act</li> <li>Lack of confidence in Council / reputational loss</li> </ul>

#### Key Controls

- Community Planning Partnership Board
- Local Action Partnerships
- Budget provisions for Local Action Partnerships
- Equalities & Community Empowerment Workstream
- The PK Offer framework/Board

#### Key Actions & Updates

- Work is underway to bring together the Perth and Kinross Offer, PKC Corporate Plan and the Local Outcome Improvement Plan (LOIP) as an integrated approach to improving outcomes for local communities.
- Review of CPP delivery arrangements
- Participatory Budgeting Processes
- Kinross Inclusion review
- Place Plans further expansion

**Risk Owner:** Executive Director - Communities

**Risk Actionee:** Head of Innovation

## Appendix 1

### Risk Number & Title: SR06 – INFORMATION SECURITY

#### Sub-Category: Information Technology & Security

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 2**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	4	5	3
<b>Inherent Score:</b>	<b>20</b>	<b>Residual Score:</b>	<b>15</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Inadequate cyber defences</li> <li>Poor information management</li> <li>Remote working/revised processes implemented at speed</li> <li>Inadequate financial and personnel resources</li> <li>Inadequate training</li> <li>Lack of awareness</li> <li>Human error</li> <li>Technical failure</li> </ul>	<p><b>The security (that is, the confidentiality, integrity, availability and resilience) of the Council's data is compromised</b></p>	<ul style="list-style-type: none"> <li>Significant harm to individuals</li> <li>Irrecoverable loss of data</li> <li>Inability to deliver services effectively</li> <li>Loss of IT infrastructure</li> <li>Damage to Council reputation/loss of public confidence</li> <li>Legal claims and/or financial penalties</li> </ul>

#### Key Controls

- PSN accreditation
- DP Policies/processes/training
- Business Continuity procedures
- Technical and procedural security controls
- Audit and monitoring (including independent auditing)
- EDMS implementation
- Records Management Plan

#### Key Actions & Updates

- Improved technical security measures
- Key data security monitoring roles/responsibilities being identified and resourced
- Further training and awareness sessions organised with staff to raise awareness of phishing and other relevant cyber security risks
- Developing an appropriate governance framework for cyber risk
- Improved supply chain security
- Monitoring of training uptake
- Feedback from exercises to services (ie. Phishing exercise)

**Risk Owner:** Chief Operating Officer

**Risk Actionee:** Head of Corporate IT & Revenues, Head of Legal and Governance Services



## Appendix 1

### Risk Number & Title: SR07 – SECURITY & EMERGENCY PLANNING/CIVIL CONTINGENCIES

#### Sub-Category: Property & Assets

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 2**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	4	3
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>12</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Inadequate emergency/business continuity plans (considering all civil contingencies including terrorist, criminal threats and severe weather events)</li> <li>Lack of training and testing of plans</li> </ul>	<p><b>The Council is unable to provide an adequate or effective operational response in emergency situations</b></p>	<ul style="list-style-type: none"> <li>Major incidents not being managed appropriately</li> <li>Failure to deliver essential services</li> <li>Harm to health and wellbeing</li> <li>Failure to meet requirements of Civil Contingencies Act/legislative penalties</li> <li>Financial/data loss</li> <li>Reputational damage/loss of public confidence</li> </ul>

#### Key Controls

- Corporate Emergency Planning & Business Continuity Officer & Emergency Response Duty Officers
- Incident Management Teams
- Business Continuity Plans
- Civil Contingency Plans
- Civil Contingencies Act
- Tayside Resilience Partnership
- Outbreak Management Plan
- Concurrent Events & Covid 19 Plan

#### Key Actions & Updates

- Ensure Civil Contingency Plans are regularly reviewed and tested
- Table-top exercises (risk based)
- Representation on and attendance at appropriate regional and national resilience forums
- On-going engagement with local Community Resilience Groups
- Potential to complete a lesson learned exercise in view of business continuity/response to pandemic

**Risk Owner:** Chief Executive

**Risk Actionee:** Head of Communities Business and Resources

## Appendix 1

### Risk Number & Title: SR08 – FINANCIAL RESILIENCE

#### Sub-Category: Finance

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 2**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**ACCEPT**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
5	5	4	3
<b>Inherent Score:</b>	<b>25</b>	<b>Residual Score:</b>	<b>12</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>The current economic climate</li> <li>Reduced financial settlement</li> <li>Reduction in projected income</li> <li>Increased expenditure</li> <li>Increasing demand for services</li> </ul>	<p><b>There are insufficient financial resources to deliver the required level and quality of services to our communities</b></p>	<ul style="list-style-type: none"> <li>Reduction in availability/quality of services</li> <li>Detrimental impact of health and wellbeing</li> <li>Failure to comply with statutory duties</li> <li>Failure to deliver a balanced budget</li> <li>Reputational loss</li> <li>Increase in savings targets and significant reduction in the Council's reserves</li> </ul>

#### Key Controls

- Medium Term Financial Planning process
- Capital Budget
- Treasury Management
- Budget monitoring
- Forecasting/analysis
- Ongoing review of assumptions
- Continuous engagement with management and elected members
- Regular engagement with HSCP, Tayside Contracts & ALEOs
- Additional COSLA returns and monitoring and lobbying for Councils nationally via CoSLA, SOLACE, and the Directors of Finance Group
- Budget review groups

#### Key Actions & Updates

- Regular Elected Member briefing sessions have taken place, with Capital and Revenue budget updates to Council and SP&R
- Commenced budget preparation and continued Elected Member review process for 2021/22 with detailed engagement to follow in the Autumn
- Medium Term Financial Plan (2021-2027) approved in September 2020
- Significant funding received from SG to support the Council's response to COVID-19.
- Annual Governance Statement complete and submitted to Scrutiny on 09 June 2021

**Risk Owner:** Chief Executive

**Risk Actionee:** Head of Finance

## Appendix 1

### Risk Number & Title: SR09 – WORKFORCE

#### Sub-Category: Human Resource

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 2**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
4	5	4	3
<b>Inherent Score:</b>	<b>20</b>	<b>Residual Score:</b>	<b>12</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Inadequate workforce planning (including succession planning, policies &amp; strategies, vacancies management, wage analysis)</li> <li>Ineffective employee engagement</li> <li>Rigid/non-agile practices</li> <li>Failure to develop/train existing staff</li> <li>Lack of support for staff in dealing with additional pressures created by COVID-19 (including issues around uncertainty, wellbeing and mental health, and working from home)</li> <li>Failure to manage demand and capacity pressures arising from key losses of experienced Officers in recent years</li> </ul>	<p><b>The Council does not have the skilled, motivated, and agile workforce that it requires to ensure the effective delivery of services</b></p>	<ul style="list-style-type: none"> <li>Failure to deliver strategic objectives</li> <li>Detrimental impact on health and wellbeing</li> <li>Inability to deliver Services in a satisfactory and legislatively compliant manner/non-provision of Services</li> <li>Negative impacts upon staff and service delivery (including decrease in staff wellbeing, high absence, decreased productivity and morale, high staff turnover and skills gaps)</li> <li>Reputational damage/Council being seen as an unattractive employer</li> </ul>

#### Key Controls

- Workforce planning
- MA & Graduate trainee schemes
- Digital skills team and training
- Leadership skills training
- Organisational development framework, new OD approaches/methodologies
- Wellbeing/resilience/support (including links to partner organisation support resources for care workers)
- Employee engagement approaches and pulse surveys
- Leadership and management of change

**Risk Owner:** Chief Operating Officer

**Risk Actionee(s):** Corporate HR Manager, Head of Innovation (Organisational Development)

#### Key Actions & Updates

- Corporate Workforce Plan 2021-2023
- Working Smarter Project
- Unwritten ground rules being refreshed
- Remote working guidance and skills for managers to work remotely being developed
- Skills and role profile review and manager support on this
- Mobilisation plans
- Return to office quality and impact fairness controls check
- Medium to longer term working approach, incorporating support, being developed
- Wellbeing conference

## Appendix 1

### Risk Number & Title: SR10 – ASSET MANAGEMENT

#### Sub-Category: Property & Assets

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 2**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**REDUCE**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
4	4	4	3
<b>Inherent Score:</b>	<b>16</b>	<b>Residual Score:</b>	<b>12</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Ineffective asset management planning</li> <li>Inadequate budgeting &amp; failure of planning and investment</li> <li>Failure to respond appropriately to H&amp;S concerns raised through national enquiries/reports</li> <li>Deterioration of assets through lack of planned maintenance/severe weather events</li> <li>Failure to capitalise on opportunities/new ways of working presented by COVID response</li> <li>Failure to adhere to legislation/statutory requirements</li> </ul>	<p><b>Council buildings and other assets are not safe, fit for purpose or providing best value</b></p>	<ul style="list-style-type: none"> <li>Breach of statutory duties</li> <li>Increased costs due to insurance claims and maintenance</li> <li>Increased health &amp; safety risks (injury/fatalities)</li> <li>Impacts upon Service delivery</li> <li>Increased costs</li> <li>Legal claims/ financial penalties</li> </ul>

#### Key Controls

- Fire Action Plan
- Health & Safety
- Capital Investment Programme
- Structural Condition Surveys
- Partnership Arrangements with Scottish Fire and Rescue Service
- Maintenance Programmes (reactive, planned and statutory compliance)

**Risk Owner:** Chief Operating Officer

**Risk Actionee(s):** Head of Property, Head of Housing, Head of ES &C, Head of Business & Resources – ECS, Head of Business & Resources - Communities

#### Key Actions & Updates

- Asset Management/Investment Blueprint being developed
- Status and option reports for core assets
- Asset management plans
- Estate management plans
- Capital investment plans

## Appendix 1

### Risk Number & Title: SR11 – HEALTH & SAFETY

#### Sub-Category: Legislation & Compliance

**Current Risk Rating:** (priority 1, 2, 3 or 4)

**PRIORITY 3**

**Risk Response:** (accept, avoid, reduce, transfer, share, enhance, exploit)

**ACCEPT**

Inherent Impact (1-5)	Inherent Probability (1-5)	Residual Impact (1-5)	Residual Probability (1-5)
4	4	4	2
<b>Inherent Score:</b>	<b>16</b>	<b>Residual Score:</b>	<b>8</b>

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Very Low	Low	Medium	High	Very High
Probability						

As a Result of	There is a risk that	Which Could Lead to
<ul style="list-style-type: none"> <li>Increased demands and pressures created by operating in context of COVID-19</li> <li>Lack of understanding and application of regulations/legislation</li> <li>Under-investment in training and controls</li> <li>Ineffective monitoring, reporting and response</li> </ul>	<b>The health and safety of staff and the public is not adequately protected</b>	<ul style="list-style-type: none"> <li>Potential injury/fatality</li> <li>Breach of statutory duties</li> <li>Prosecution/fines</li> <li>Reputational damage/loss of staff and public confidence</li> </ul>

#### Key Controls

- Management and staff training and communication
- Risk Assessments based on public health guidance
- Corporate Health & Safety Team
- Health & Safety and PPE Bronze Group
- Safe Systems of Work
- Liaison with Director of Public Health and NHS Tayside to manage local outbreaks
- Weekly COVID monitoring within ECS
- Health & Safety Joint Consultative Committee

**Risk Owner:** Chief Executive

**Risk Actionee:** Head of Environmental & Consumer Services

#### Key Actions & Updates

- Continual monitoring through Bronze Group
- Continual review of risk assessments and environments

## Appendix 1

### Key:

#### **Exposure Rating**

Risks are prioritised as to where they fall on the Risk Scoring Grid:

- **Priority 1** Risk remains extreme even after all identified controls and treatments have been applied. There are significant risks, which may have a serious impact on the Council and the achievement of its objectives if not managed. Immediate management action needs to be taken to reduce the level of risk.
- **Priority 2** There are significant risks, which may have a serious impact on the Council or Service and the achievement of its objectives if not managed. Immediate management action needs to be taken to reduce the level of risk.
- **Priority 3** Risk is manageable after controls have been applied. Although usually accepted, these risks may require some additional mitigating to reduce Probability if this can be done cost effectively. Reassess to ensure conditions remain the same and existing actions are operating effectively.
- **Priority 4** Appropriate controls keep the risk low / negligible. These risks are being effectively managed and any further action to reduce the risk would be inefficient in terms of time and resources. Ensure conditions remain the same and existing actions are operating effectively