



# Heatmap Report

PKC

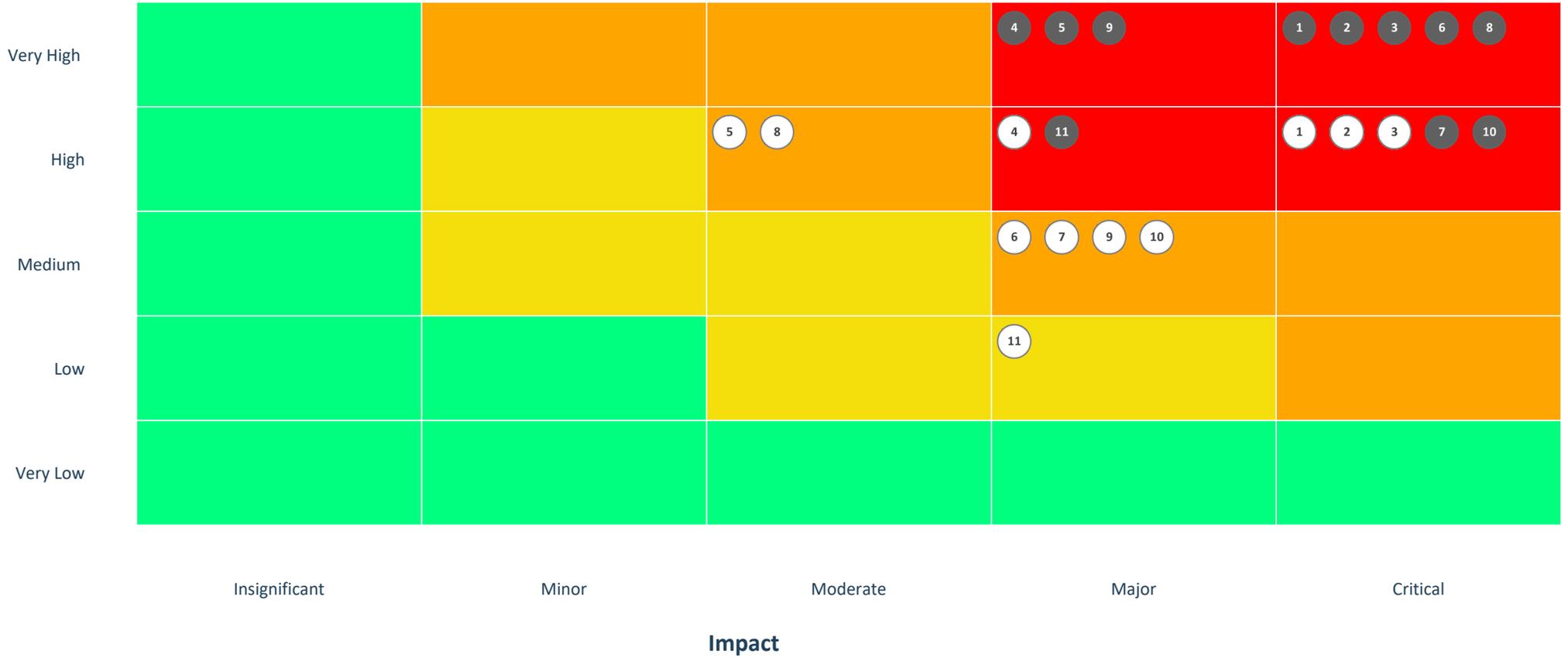
Camms.

Print Date: 13-Jun-2024

### HEATMAP



Probability



## RISK SUMMARY

### Strategic Risk

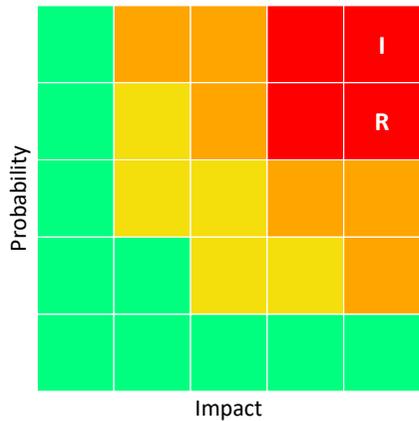
No.	Risk Event	Inherent	Residual	Trend
1	<b>SR-01 - We fail to protect children and vulnerable adults from harm</b> Comments: -	Priority 1	Priority 1	↔
2	<b>SR-02 - We fail to mitigate or reduce the impact of climate change in Perth and Kinross</b> Comments: -	Priority 1	Priority 1	↔
3	<b>SR-03 - The economy in Perth &amp; Kinross does not grow in an inclusive and sustainable way</b> Comments: -	Priority 1	Priority 1	↔
4	<b>SR-04 - Our actions to tackle poverty and address the inequalities gap within Perth &amp; Kinross are ineffective</b> Comments: -	Priority 1	Priority 1	↔
5	<b>SR-05 - We do not design and deliver the sustainable public services that our communities need</b> Comments: -	Priority 1	Priority 2	↔
6	<b>SR-06 - The security (that is, the confidentiality, integrity, availability and resilience) of the Council's data is compromised</b> Comments: -	Priority 1	Priority 2	↔
7	<b>SR-07 - Our operational response (in a non-public health related emergency situation) is inadequate or ineffective</b> Comments: -	Priority 1	Priority 2	↔
8	<b>SR-08 - There are insufficient financial resources to provide the services that our communities need.</b> Comments: -	Priority 1	Priority 2	↔
9	<b>SR-09 - We have insufficient capacity and skills within the workforce to deliver the services that our communities need</b> Comments: -	Priority 1	Priority 2	↔
10	<b>SR-010 - Council buildings and other assets are not safe, fit for purpose or providing best value</b> Comments: -	Priority 1	Priority 2	↔
11	<b>SR-011 - The health and safety of staff and the public is not adequately protected</b> Comments: -	Priority 1	Priority 3	↔

# RISK OVERVIEW

## Strategic Risk

<b>SR-01</b>	<b>We fail to protect children and vulnerable adults from harm</b>			
<b>Risk Categories:</b> People / Human Resource, Audit, Legislation and Compliance	<b>Risk Owner:</b> Arun Singh	<b>Secondary Responsible Person(s):</b> Jacqueline Pepper, Sheena Devlin	<b>Last Reviewed Date:</b> 29 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
Organisation > Economy, Place & Learning > Children, Families & Justice				

### Individual Heatmap



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Effective

### Risk Appetite



### Causes

- Evolving and complex legislative landscape
- Failure to align and prioritise budgets and resources to need
- Failure to develop a sense of collective responsibility (both within and out-with the Council)
- Inadequate/ poor quality data and business intelligence
- Incohesive partnership working (eg ineffective communication and data sharing)
- Increasing vulnerabilities and complexities in terms of need across our communities
- insufficient resource and capacity

### Residual Controls

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
PKC Child Protection Processes/Policies/Procedures	Arun Singh	Effective	01 Apr, 2025
Multi-agency public protection Chief Officers Group	Arun Singh	Effective	01 Apr, 2025
PKC Adult Support Protection Processes/Policies/Procedures	Arun Singh	Effective	01 Apr, 2025
Multi-agency Adult Protection Committee	Arun Singh	Effective	01 Apr, 2025
Multi-agency Child Protection Committee	Arun Singh	Effective	01 Apr, 2025
Tayside Regional Collaborative Priority Group for Safeguarding and Child Protection	Arun Singh	Effective	01 Apr, 2025
Robust internal governance and assurance systems	Arun Singh	Effective	01 Apr, 2025

### Residual Solutions

### Consequences

- Increased pressure on council services and other parts of the public sector
- Increasing failure demand and resources wasted on ineffective interventions
- Legal /financial claims and penalties for breach of duties and/or injury
- Poorer health and social wellbeing outcomes for communities
- Reputational damage/loss of public confidence
- Significant harm to individuals

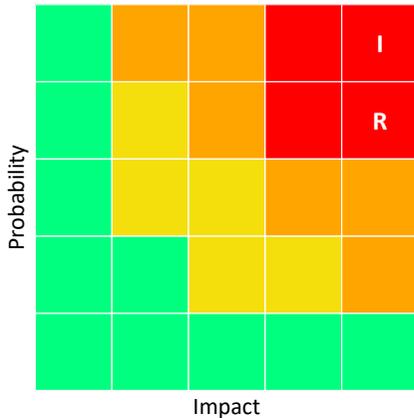
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Compile Adult Protection 2022/23 annual report and improvement plan and present to Adult Protection Committee, Council and IJB	Arun Singh	Completed	100	31 Oct, 2023	 GREEN
Compile Adult Protection Annual Report 2023/24 and Improvement Plan 2024/25 and present to the Adult Protection Committee, Chief Officers Group, Council and Integrated Joint Board	Arun Singh	Not Started	0	30 Dec, 2024	 N/A
Compile the Child Protection Standards and Quality Assurance Report 2023/24 and present to the Child Protection Committee, Chief Officers Group and Council	Arun Singh	Not Started	0	30 Dec, 2024	 N/A
Implement the Scottish Government's refreshed National Guidance for Child Protection	Arun Singh	Completed	100	31 Oct, 2023	 GREEN
Plan for a partnership Public Protection Event in Perth and Kinross and present schedule to Chief Officers Group for agreement	Arun Singh	In Progress	10	30 Dec, 2024	 GREEN

**SR-02 We fail to mitigate or reduce the impact of climate change in Perth and Kinross**

<b>Risk Categories:</b> Environment, Audit, Legislation and Compliance	<b>Risk Owner:</b> Fraser Crofts	<b>Secondary Responsible Person(s):</b> Serge Merone	<b>Last Reviewed Date:</b> 28 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Economy, Place & Learning > Economy, Development & Planning

**Individual Heatmap**



I Inherent Risk Assessment  
R Residual Risk Assessment

**Effectiveness of control**

R Adequate

**Risk Appetite**



**Causes**

- A lack of leadership and accountability
- Energy inefficiency
- Failure to develop a sense of collective responsibility (both within and out-with the Council)
- Failure to influence culture and behaviour
- Failure to respond appropriately to evolving statutory duties & responsibilities
- Inadequate planning/ failure to prioritise and align appropriate resource
- Inadequate resources and capacity
- Ineffective /inefficient asset management
- The current economic climate

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Climate Change Strategy and Action Plan	Fraser Crofts	Effective	01 May, 2025
Climate Change and Sustainability Committee and Convenor's meeting	Fraser Crofts	Effective	01 May, 2025
Climate Change & Sustainability Group	Fraser Crofts	Adequate	01 May, 2025
Climate Change engagement plan	Fraser Crofts	Adequate	01 May, 2025
Climate Carbon Working Groups	Fraser Crofts	Adequate	01 May, 2025
Corporate Plan 2022-27	Greg Boland	Adequate	01 May, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Produce Climate Change Action Plan annual progress report and review indicators' effectiveness	Serge Merone	Completed	100	31 Dec, 2023	GREEN
Review and address CC Internal Audit recommendations	Fraser Crofts	In Progress	50	31 Dec, 2024	GREEN
Review of membership and participation in Climate Change Commission	Serge Merone	In Progress	30	31 Dec, 2024	GREEN

**Consequences**

- Detrimental impact on environmental, health and wellbeing outcomes across our community
- Failure to meet our climate reduction Futures and responsibilities, with potential legislative penalties
- Failure to reduce carbon footprint
- Increased inequalities across communities
- Increase in occurrence of adverse weather events
- Inflated investment requirements due to not taking early action
- Reputational damage/loss of public confidence

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Review procedures to produce prioritised and costed list of actions to be considered through Action Plan and budget review process and carry out Climate Change budget screening	Serge Merone	Completed	100	30 Jun, 2024	 GREEN
Review roles and remits between Climate Change Board, SMT'S, CMG and ELT	Serge Merone	In Progress	85	30 Jun, 2024	 AMBER

**SR-03** The economy in Perth & Kinross does not grow in an inclusive and sustainable way

**Risk Categories:** Finance, People / Human Resource

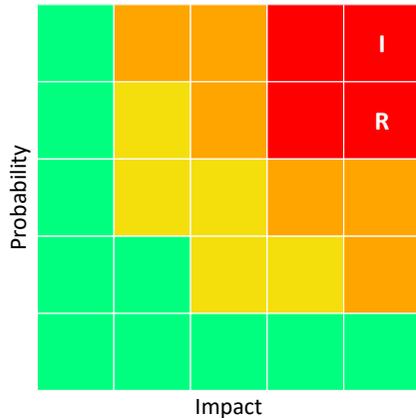
**Risk Owner:** David Littlejohn

**Last Reviewed Date:** 13 Jun, 2024

**Next Review Date:** 31 Aug, 2024

Organisation > Economy, Place & Learning > Economy, Development & Planning

**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

**Effectiveness of control**

**R** Adequate

**Risk Appetite**



**Causes**

- A change in policy direction and potential funding impacts
- Failure to resource interventions to support economic development
- Failure to identify relevant factors impacting local economic resilience and develop strategies to support local economy
- Failure to maximise on opportunities presented through the Tay Cities Deal and other UK/SG funds
- The current economic climate, including the fallout from the Russia-Ukraine war, global supply chain issues and the Cost of Living Crisis

**Consequences**

- Stagnation in wage growth
- A lack of positive destinations for school leavers
- Increased business failures
- Decline in housebuilding, business expansion and investment
- Increased failure demand and resources being wasted on ineffective interventions
- Increased poverty/inequalities across our communities
- Population and economic decline
- Rising unemployment

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
*NEW* Perth & Kinross Economic Partnership	David Littlejohn	Improvement Required	01 May, 2025
Regional Economy Strategy	David Littlejohn	Adequate	01 May, 2025
UK Shared Prosperity Fund	David Littlejohn	Adequate	01 May, 2025
Scottish Local Authorities' Economic Development (SLAED) Group	David Littlejohn	Adequate	01 May, 2025
Local Employability Partnership	David Littlejohn	Improvement Required	01 May, 2025
Tay Cities Deal	David Littlejohn	Effective	01 May, 2025
Ongoing monitoring of local economy through relevant data	David Littlejohn	Adequate	01 May, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Accelerated delivery of step change projects	David Littlejohn	In Progress	75	31 Dec, 2024	GREEN
Perth and Kinross Economy Plan 2024-2028	Serge Merone	In Progress	60	31 Oct, 2024	GREEN
Refresh of Regional Economic Strategy	David Littlejohn	In Progress	45	31 Oct, 2024	AMBER

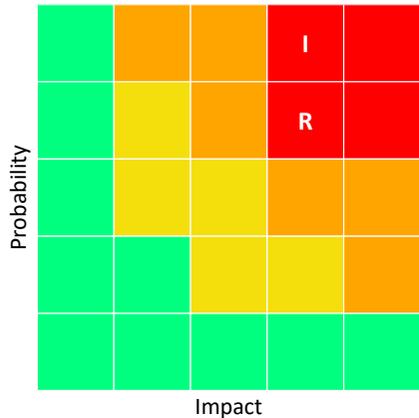
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Review of Wellbeing Plan underway to ensure it still meets the set objectives	David Littlejohn	Completed	100	30 Sep, 2023	 GREEN
Targeted partnership work between ECS and SDS to support school leavers into positive destinations	David Littlejohn	Completed	100	31 Mar, 2024	 GREEN

**SR-04 Our actions to tackle poverty and address the inequalities gap within Perth & Kinross are ineffective**

<b>Risk Categories:</b> People / Human Resource, Finance	<b>Risk Owner:</b> Greg Boland	<b>Secondary Responsible Person(s):</b> Alan Taylor, David Littlejohn, Sheena Devlin	<b>Last Reviewed Date:</b> 16 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Economy, Place & Learning > Economy, Development & Planning

**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- Failure to align and prioritise budgets with locality and local demographic needs
- Failure to plan and resource effective interventions to address needs
- Incohesive partnership working
- Low wage and in work poverty
- Rising costs (including food, fuel, housing)
- The current economic climate and cost of living crisis

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Local Employability Partnership	David Littlejohn	Improvement Required	01 May, 2025
Future for Families Project	Alison Seggie	Effective	01 May, 2025
Transformation and Change Programme	Greg Boland	Adequate	01 Apr, 2025
Joint Welfare Reform Steering Group	Alan Taylor	Adequate	31 Mar, 2025
Governance and internal control arrangements	Greg Boland	Adequate	01 Apr, 2025
Welfare Rights - income maximisation	Alan Taylor	Effective	01 Apr, 2025
Local Child Poverty Action Plan	Greg Boland	Adequate	01 Apr, 2025
Local Outcomes Improvement Plan	Greg Boland	Adequate	01 May, 2025
Anti-poverty task force	Greg Boland	Improvement Required	01 Apr, 2025
Child Poverty Project Team	Greg Boland	Adequate	01 Apr, 2025

**Residual Solutions**

**Consequences**

- An increasing demand for services, which the Council may be unable to meet
- A widening of the inequalities gap within Perth and Kinross
- Poor or reduced health, social and economic wellbeing outcomes within our communities
- Pressure on statutory services
- Reduction in Council income

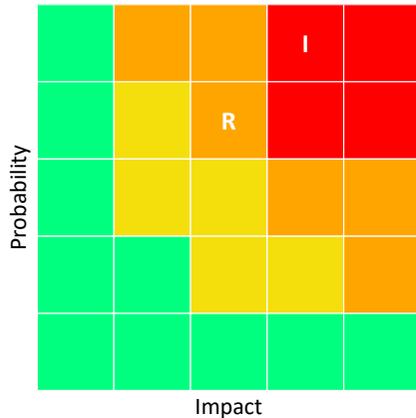
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Consolidation of budgetary information in relation to poverty to allow oversight of budgets and expenditure.	Carole Hendry	In Progress	90	30 Jun, 2024	 GREEN
Development of a cash-first approach	Paul Smith	In Progress	75	01 Jun, 2025	 GREEN
Development of an anti-poverty strategy	Greg Boland	In Progress	60	31 Oct, 2024	 AMBER
Development of Good Food Strategy	Greg Boland	In Progress	65	31 Dec, 2024	 AMBER
Further refine and expand upon PK insights proof of concept	Carole Hendry	In Progress	15	31 Mar, 2025	 GREEN
New data project which will help target areas of need in relation to poverty and the signposting of appropriate resources.	Carole Hendry	Completed	100	01 Jun, 2024	 GREEN
Review role and remit of Anti-Poverty Task Force	Carole Hendry	Not Started	0	31 Oct, 2024	 N/A

**SR-05 We do not design and deliver the sustainable public services that our communities need**

<b>Risk Categories:</b> Reputation and Public Image, People / Human Resource	<b>Risk Owner:</b> Greg Boland	<b>Secondary Responsible Person(s):</b> Elaine Ritchie	<b>Last Reviewed Date:</b> 30 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Strategy, People and Resources > Strategic Planning, People & Performance

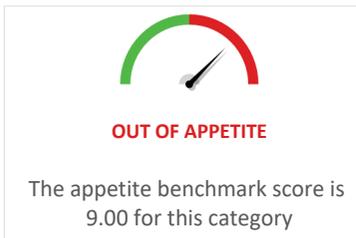
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- Failure to develop and expand community connections and relationships
- Failure to effect the necessary cultural change within the organisation to implement new ways of working
- Failure to engage effectively local communities to better identify need
- Failure to prioritise/align financial resources to need
- Inadequate local population data and business intelligence
- Incohesive partnership working (eg ineffective communication and data sharing)
- Insufficient resources and capacity

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Community Learning and Development Plan	Elaine Ritchie	Adequate	01 May, 2025
Community engagement processes/mechanisms	Elaine Ritchie	Adequate	01 Apr, 2025
Transformation and Change Board	Greg Boland	Adequate	01 May, 2025
Community Planning Partnership Board	Greg Boland	Improvement Required	01 May, 2025
Local Action Partnerships - resources and governance arrangements	Greg Boland	Adequate	01 May, 2025
Transformation and Change Strategy and Implementation Plan	Greg Boland	Adequate	01 Apr, 2025
Corporate Plan 2022-27	Greg Boland	Adequate	01 May, 2025
Equalities Mainstreaming Report	Greg Boland	Effective	01 Jun, 2025
Financial Management and internal control	Scott Walker	Effective	01 Apr, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Development and roll out of locality based, multi-disciplinary working groups	Carole Hendry	In Progress	30	31 Mar, 2026	AMBER

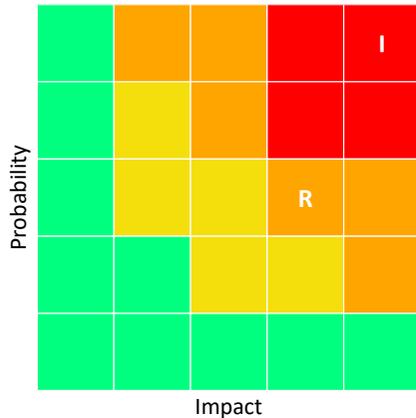
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Further development activity with CPP	Lee Haxton	In Progress	25	30 Sep, 2024	 AMBER
Phase 1 transformation and change programme projects	Carole Hendry	Completed	100	31 Mar, 2024	 GREEN
Review approach to community engagement	Elaine Ritchie	In Progress	20	01 Apr, 2025	 GREEN
Review of CPP delivery arrangements	Greg Boland	Completed	100	31 Mar, 2024	 GREEN

**SR-06 The security (that is, the confidentiality, integrity, availability and resilience) of the Council’s data is compromised**

<b>Risk Categories: Information Technology and Security, Audit, Legislation and Compliance</b>	<b>Risk Owner: Lisa Simpson</b>	<b>Secondary Responsible Person(s): Alan Taylor</b>	<b>Last Reviewed Date: 27 May, 2024</b>	<b>Next Review Date: 31 Aug, 2024</b>
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Organisation > Strategy, People and Resources > Legal & Governance

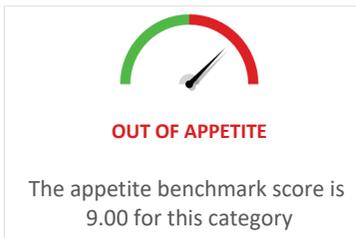
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- Cyber defences being breached
- Deliberate/malicious internal conduct
- Inadequate planning/ poor asset management
- Inadequate resources and capacity
- Inadequate training; lack of awareness; error
- Lack of documented processes and controls
- Lack of knowledge and understanding of Data Protection Legislation
- Poor information management
- Shadow IT procurement / inconsistent management of security aspects of cloud services / hosted systems
- Technical failure

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Digital Board	Alan Taylor	Adequate	01 Apr, 2025
24/7 Security Operations Centre	Alan Taylor	Effective	01 Apr, 2025
Cyber incident response plan	Lisa Simpson	Adequate	31 Mar, 2025
Internal audit & assurance activity	Lisa Simpson	Adequate	01 Mar, 2025
Electronic Document Management System (EDMS)	Lisa Simpson	Effective	01 Mar, 2025
Records Management Plan	Lisa Simpson	Effective	01 Mar, 2025
Data Loss Prevention Policies	Lisa Simpson	Adequate	01 Mar, 2025
Data Protection and Information Security Policies, Processes and Training	Lisa Simpson	Adequate	01 Mar, 2025
PSN accreditation	Lisa Simpson	Effective	01 Feb, 2025
Technical Business Continuity procedures	Alan Taylor	Adequate	01 Apr, 2025
Technical security controls	Alan Taylor	Adequate	01 Apr, 2025

**Consequences**

- Disconnection from PSN
- Inability to deliver services
- Irrecoverable loss theft and/or disclosure of data, including third party data
- Legal claims and/or financial costs and penalties
- Loss /damage to IT infrastructure
- Reputational damage/loss of public confidence
- Significant harm to individuals

## Residual Controls

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
HR/workforce policies and procedures	Pauline Johnstone	Adequate	01 Apr, 2025

## Residual Solutions

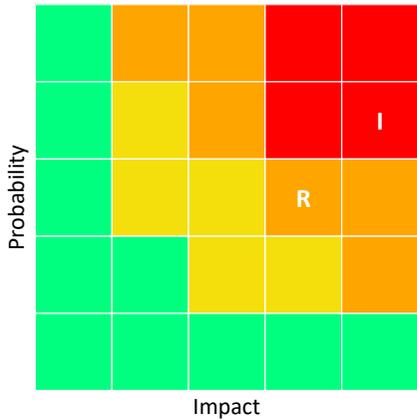
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Annual Cyber Incident Response Plan testing / review feedback from cyber related incidents and exercises	Khopolo Jamangile	Completed	100	31 Mar, 2024	 GREEN
Implement key enhanced MS365 security features	Dave Adams	In Progress	70	31 Dec, 2024	 GREEN
Implementation of new phishing simulation / training solution and monitoring for effectiveness	Khopolo Jamangile	Completed	100	31 Mar, 2024	 GREEN
Refreshed Data Protection training	Jillian Walker	Completed	100	31 Mar, 2024	 GREEN
Review / revision of ISMS policies, standards and guidance	Khopolo Jamangile	In Progress	50	31 Dec, 2024	 AMBER
Review / revision of technical business continuity procedures	Dave Adams	In Progress	80	30 Jun, 2024	 AMBER
Review / test, data and information security controls for remote / hybrid working	Khopolo Jamangile	In Progress	62	31 Dec, 2024	 AMBER

**SR-07 Our operational response (in a non-public health related emergency situation) is inadequate or ineffective**

<b>Risk Categories:</b> Property and Assets, People / Human Resource	<b>Risk Owner:</b> Greg Boland	<b>Secondary Responsible Person(s):</b> Alan Taylor, Elaine Ritchie, Fraser Crofts	<b>Last Reviewed Date:</b> 29 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Economy, Place & Learning > Environment & Infrastructure

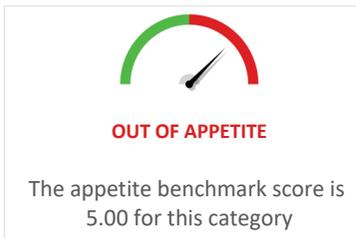
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- A lack of leadership and accountability
- Lack of preparedness to severe weather
- Failure to test civil contingency/business continuity plans and processes
- Inadequate civil contingency/business continuity plans to cover relevant emergency situations
- Inadequate local population data and business intelligence
- Incohesive partnership working
- Insufficient resources and capacity

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Business Continuity / Contingency plans	Greg Boland	Improvement Required	01 May, 2025
Appropriately skilled staff at Strategic, Tactical and Operational levels	Greg Boland	Adequate	01 May, 2025
Tayside Local Resilience Partnership	Clare Mailer	Adequate	01 May, 2025
Effective network of community support/response	Elaine Ritchie	Adequate	01 May, 2025
Vulnerable people lists	Greg Boland	Adequate	01 May, 2025
Emergency response structure	Thomas Glen	Effective	01 May, 2025
Concurrent Events document	Greg Boland	Improvement Required	01 May, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Emergency planning action plan	Greg Boland	In Progress	10	31 Mar, 2025	AMBER
Ensure key staff understand and are able to fulfil roles	Fraser Crofts	Completed	100	01 Apr, 2024	GREEN
Further engage to strengthen community resilience	Fraser Crofts	Completed	100	01 Apr, 2024	GREEN

**Consequences**

- Damage to property and infrastructure
- Damage to the environment
- Detrimental impact on local economy
- Harm to health and wellbeing
- Legal claims and/or financial costs and penalties
- Reputational damage/loss of public confidence
- Unable to deliver essential services

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Maintain availability of current vulnerable people lists	Fraser Crofts	Completed	100	01 Apr, 2024	 GREEN
Maintain currency of plans for foreseeable incidents	Greg Boland	In Progress	55	31 Mar, 2025	 AMBER
Severe Weather Response Improvement Plan	Fraser Crofts	In Progress	40	31 Mar, 2025	 GREEN
Updating of Concurrent Risks Document to reflect new leadership arrangements.	Greg Boland	In Progress	60	31 Aug, 2024	 GREEN

**SR-08** There are insufficient financial resources to provide the services that our communities need.

**Risk Categories:** Finance, Audit, Legislation and Compliance, Contract and Procurement, Environment, Information Technology and Security, People / Human Resource, Property and Assets, Reputation and Public Image, Transformational

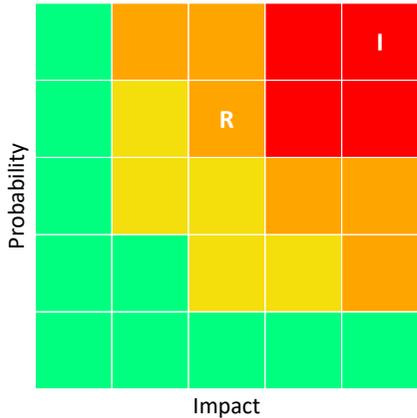
**Risk Owner:** Scott Walker

**Last Reviewed Date:** 30 May, 2024

**Next Review Date:** 31 Aug, 2024

Organisation > Strategy, People and Resources > Finance & Business Support

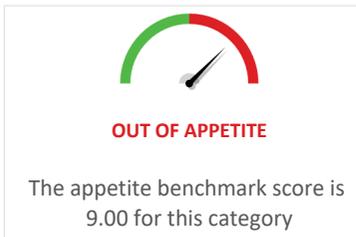
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- Failure to deliver planned savings
- Failure to prioritise/align financial resources to need
- Failure to transform Council services
- High levels of inflation
- Increased ring-fencing of funding
- Increasing and/or more complex needs
- Movements in expenditure
- Movements in financial settlement
- Movements in projected income
- Reduction in local government funding
- The current economic climate and cost of living crisis

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Annual Accounts and Statutory Audit Processes	Scott Walker	Effective	01 May, 2025
Medium Term Financial Plan	Scott Walker	Adequate	01 Apr, 2025
Three Year Revenue Budget	Scott Walker	Adequate	31 Mar, 2025
Strategic Investment Advisory Group	Scott Walker	Adequate	01 May, 2025
Capital Budget	Scott Walker	Effective	01 May, 2025
Financial Strategy and Principles	Scott Walker	Adequate	01 Apr, 2025
Transformation and Change Programme	Greg Boland	Adequate	01 Apr, 2025
Treasury Management and Reserves Strategy	Scott Walker	Adequate	01 Apr, 2025
Revenue and Capital monitoring	Scott Walker	Adequate	01 Apr, 2025
Continuous engagement with management and elected members, e.g. Executive Leadership Group, Conveners, BRGs.	Scott Walker	Effective	01 Apr, 2025

**Consequences**

- Deterioration in quality and safety of assets
- Failure to deliver a balanced budget
- Increased costs through failure demand
- Increased pressures on other parts of public sector or 3rd sector
- Increase in savings Futures and significant reduction in the Council's reserves
- Lack of confidence in Council / reputational loss
- Legal /financial claims and penalties for breach of duties and/or injury
- Poorer economic, environmental and/or health and social wellbeing outcomes across Perth and Kinross
- Reduction in availability/quality of services

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Financial Regulations	Scott Walker	Improvement Required	01 May, 2025

**Residual Solutions**

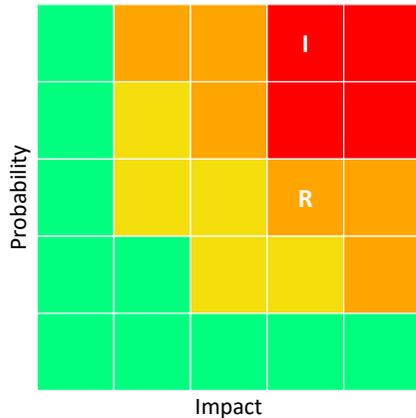
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Consolidation of the Finance Function	Scott Walker	In Progress	90	31 Dec, 2024	 GREEN
Review of Financial Regulations	Scott Walker	In Progress	50	30 Sep, 2024	 AMBER

**SR-09 We have insufficient capacity and skills within the workforce to deliver the services that our communities need**

<b>Risk Categories:</b> People / Human Resource, Reputation and Public Image	<b>Risk Owner:</b> Greg Boland	<b>Secondary Responsible Person(s):</b> Pauline Johnstone	<b>Last Reviewed Date:</b> 16 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Strategy, People and Resources > Strategic Planning, People & Performance

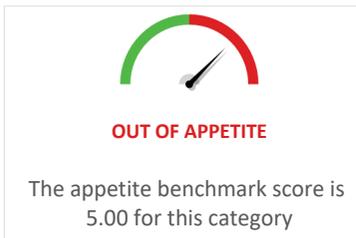
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Effective

**Risk Appetite**



**Causes**

- Difficulties with recruitment, shortages in the labour market
- Difficulties with retention, pay and grade, impact of hybrid working on existing workforce
- Inadequate financial resources
- Inadequate workforce planning (including succession planning, policies & strategies, vacancies management, wage analysis)
- Increase in sickness absence, reduced wellbeing
- Lack of knowledge and expertise in particular areas
- Workforce reduction through restructuring/consolidation as part of transformation and change programme

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Workforce planning procedures and guidance	Pauline Johnstone	Adequate	01 May, 2025
Modern Apprentice & Graduate trainee schemes	Pauline Johnstone	Effective	01 May, 2025
Leadership skills training	Greg Boland	Adequate	01 May, 2025
Wellbeing/resilience/support (including links to partner organisation support resources for care workers)	Greg Boland	Effective	01 May, 2025
Leadership Development Programme	Greg Boland	Adequate	01 May, 2025
Joint Negotiating Committee for Teaching Staff	Pauline Johnstone	Effective	01 May, 2025
Employees Joint Consultative Committee	Pauline Johnstone	Effective	01 Apr, 2025
Corporate Workforce Plan 2021-2023	Pauline Johnstone	Improvement Required	01 Apr, 2025
Hybrid/new ways of working: guidance and operating models established	Pauline Johnstone	Effective	01 Apr, 2025
Organisational development plan	Greg Boland	Adequate	01 Apr, 2025
Health and Wellbeing Plan	Pauline Johnstone	Adequate	01 Apr, 2025

**Consequences**

- Detrimental impact on environmental, economic and health and wellbeing outcomes across Perth and Kinross
- Failure to deliver strategic objectives
- Failure to deliver the services that communities need / poor quality services
- Legal /financial claims and penalties for breach of duties and/or injury
- Poor staff morale, health and wellbeing/ increased staff absence
- Reputational damage/Council being seen as an unattractive employer

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Staff Engagement and Communication Plan	Greg Boland	Adequate	01 Apr, 2025

**Residual Solutions**

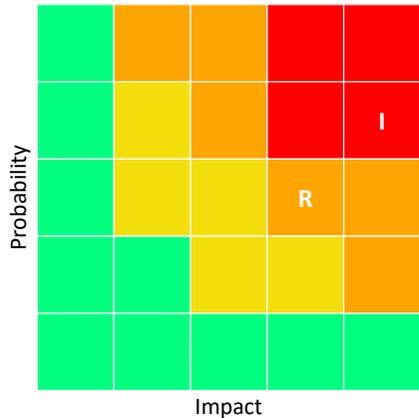
Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Employee Offer Experience	Greg Boland	Completed	100	31 Mar, 2024	 GREEN
Health and Wellbeing Plan	Pauline Johnstone	Completed	100	31 Mar, 2024	 GREEN
Review and update People and Culture Workforce Plan (previously workforce plan)	Pauline Johnstone	In Progress	95	30 Jun, 2024	 GREEN

**SR-010 Council buildings and other assets are not safe, fit for purpose or providing best value**

<b>Risk Categories:</b> Property and Assets, People / Human Resource	<b>Risk Owner:</b> Scott Walker	<b>Secondary Responsible Person(s):</b> Alan Taylor, Fraser Crofts, Greg Boland, Stephen Crawford	<b>Last Reviewed Date:</b> 30 May, 2024	<b>Next Review Date:</b> 31 Aug, 2024
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Organisation > Economy, Place & Learning > Economy, Development & Planning

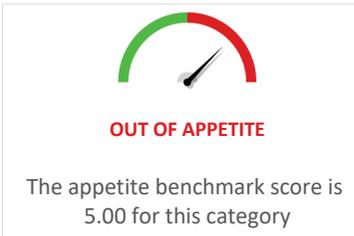
**Individual Heatmap**



**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

Effectiveness of control	
<b>R</b>	Adequate

**Risk Appetite**



**Causes**

- Failure to respond appropriately to H&S concerns raised through national enquiries/reports
- Failure to Future investment where needed
- Inadequate maintenance and repair
- Ineffective asset management and planning
- insufficient resource and capacity

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Condition and suitability surveys	Scott Walker	Effective	28 May, 2025
Corporate Asset Management Framework	Scott Walker	Adequate	01 May, 2025
Strategic Investment Advisory Group	Scott Walker	Adequate	01 May, 2025
Asset Maintenance programmes	Scott Walker	Adequate	01 May, 2025
Asset strategies, plans and performance information	Scott Walker	Adequate	01 May, 2025
Asset Management Boards	Scott Walker	Adequate	01 May, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Create, review, and update Asset Management Plans	Scott Walker	Completed	100	22 Jan, 2024	GREEN
Development of draft 30 year investment plan	Scott Walker	In Progress	60	30 Sep, 2024	AMBER
Development of status reports for key assets and report to appropriate Boards and/or Committees	Scott Walker	In Progress	35	31 Mar, 2025	AMBER
Review, refresh and update planned maintenance programmes	Fraser Crofts	Completed	100	31 Mar, 2024	GREEN
Undertake condition and suitability surveys (risk based) across the wider asset estate	Fraser Crofts	Completed	100	01 Feb, 2024	GREEN

**Consequences**

- Detrimental impact upon ability to deliver or quality of services
- Increased costs due to insurance claims and maintenance
- Injuries/fatalities
- Legal /financial claims and penalties for breach of duties and/or injury
- Reputational damage/loss of public confidence

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Use of asset management data to inform capital budget decision-making	Fraser Crofts	Completed	100	01 Feb, 2024	 GREEN

**SR-011 The health and safety of staff and the public is not adequately protected**

**Risk Categories:** Audit, Legislation and Compliance, People / Human Resource

**Risk Owner:** Greg Boland

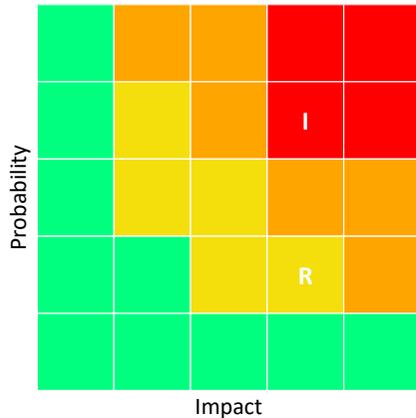
**Secondary Responsible Person(s):** Pauline Johnstone

**Last Reviewed Date:** 21 May, 2024

**Next Review Date:** 31 Aug, 2024

Organisation > Strategy, People and Resources > Strategic Planning, People & Performance

**Individual Heatmap**

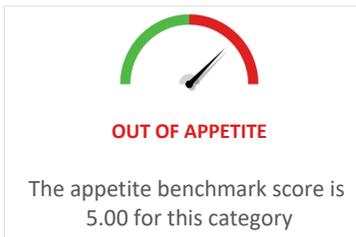


**I** Inherent Risk Assessment  
**R** Residual Risk Assessment

**Effectiveness of control**

**R** Effective

**Risk Appetite**



**Causes**

- Health & safety implications of new ways of working (e.g. hybrid / remote) not fully known/understood
- Inadequate resources and capacity
- Ineffective monitoring, reporting and response
- Lack of understanding /failure to apply legislation
- Under-investment in training and controls

**Consequences**

- Detrimental impact on health and wellbeing
- Legal /financial claims and penalties for breach of duties and/or injury or death
- Poor working environment and work life balance
- Potential injury/fatality
- Reputational damage/loss of confidence

**Residual Controls**

Control Title	Risk Control Owner	Control Effectiveness	Next Review Date
Safe Systems of Work	Greg Boland	Effective	13 Apr, 2025
Partnership working with Director of Public Health ongoing	Greg Boland	Effective	01 May, 2025
Corporate Health & Safety Team	Greg Boland	Effective	01 May, 2025
Employees Joint Consultative Committee and Service based Health and Safety Committees	Greg Boland	Effective	01 May, 2025
Health & Safety training and communication	Greg Boland	Adequate	01 Apr, 2025
Robust Corporate Occupational Health & Safety Policy with supporting arrangement and guidance documents	Greg Boland	Adequate	01 Apr, 2025

**Residual Solutions**

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Continual review of risk assessments, safe systems of work and working environments	Greg Boland	Completed	100	01 Apr, 2024	GREEN
Health & Safety Key Performance Indicators at both Corporate and Service levels	Greg Boland	Completed	100	01 Apr, 2024	GREEN
Implementation of Occupational Health and Safety policy and supporting topic specific arrangements	Greg Boland	In Progress	25	01 Apr, 2025	AMBER
Increased capacity created within Corporate Health and Safety team aimed at Operational Services	Greg Boland	Completed	100	01 Apr, 2024	GREEN

Action Title	Responsible Officer	Action Status	% Completed	Target Completion Date	Performance
Introduction of new digital Corporate Health and Safety management system to allow monitoring and reporting of health and safety	Greg Boland	Completed	100	01 Apr, 2025	 GREEN
Monitoring and auditing of health and safety practices and procedures both by Management and Corporate Health & Safety Team	Greg Boland	In Progress	10	01 Apr, 2025	 AMBER
Review of the training offer and delivery	Greg Boland	In Progress	30	01 Apr, 2025	 GREEN

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