Agenda Item 5

Corporate Risk Management Update

Falkirk Council

Title:	**Corporate Risk Management Update**
Meeting:	**Audit Committee**
Date:	**28 September 2017**
Submitted By:	**Director of Corporate and Housing Services**

1. Purpose of Report

1.1 This report provides an update on progress with embedding the Corporate Risk Management (CRM) Policy and Framework, and presents a revised Corporate Risk Register (CRR).

2. Recommendations

2.1 It is recommended that Audit Committee:

    (1) notes the actions taken to further embed risk management across, and within, Services;

    (2) notes the revised Corporate Risk Register and background information, as detailed in appendices 1 to 4; and

    (3) refers this report to the Executive for consideration.

3. Background

3.1 In October 2016 and March 2017 the Audit Committee noted that:

- the revised CRM Policy and Framework (agreed by the Executive in May 2015) is being embedded across the Council;

- the CRM Group is reviewing all corporate risks on a cyclical basis;

- Corporate Working Groups (CWGs) will undertake a review of their arrangements (including their remit, membership, and a self assessment of their effectiveness) during 2016;

- a CMT and Members' Risk Workshop will be undertaken, as part of the Members' Development Program;

- Services are embedding flexible risk management arrangements, as part of their Council of the Future, Budget, and Service Planning processes;

- West Lothian Council's Internal Audit Team undertook an audit of Falkirk's CRM arrangements in early 2016, and provided Substantial Assurance; and

- the Committee will continue to receive 6 monthly CRM updates.

4.   Considerations

4.1   This report is provided in line with the CRM Policy and Framework, which states that the Committee will receive 6-monthly updates on risk management arrangements.

4.2   Since the last report, further work (via the CRM Group) has been undertaken to progress the actions outlined in section 3, and to further embed CRM arrangements. Actions include:

- developing the risk details for each corporate risk to ensure they include meaningful consequences, lessons learnt, and measurable actions (work to date is incorporated into the risk register as detailed in Appendices 1 to 4);

- progressing a review of Corporate Working Groups, and integrating the Corporate Risk Register and Corporate Working Group reviews. Again, work to date is now reflected in the risk register in the Appendices;

- embedding CRM arrangements within the Council of the Future Program and Members' and officers' training and development programs (an event is being planned as part of the Member Development programme); and

- West Lothian Council's Internal Audit Team undertook a follow-up review of CRM arrangements in early 2017. They again provided Substantial Assurance, but noted that work is required to further embed the Policy and Framework fully across Services.

4.3   The CRM Group and CMT will continue to improve and embed CRM arrangements.

5.   Consultation

5.1   All Services have been consulted on the recommendations within this report, and the corporate risks at Appendices 1 to 3.

6.   Implications

Financial

6.1   There are no direct financial implications arising from this report. However, failure to manage corporate risks could have significant financial consequences.

Resources

6.2   There are no direct resource implications arising from this report.

Legal

6.3   There are no direct legal implications arising from this report. However, failure to effectively embed the CRM Policy and Framework and manage corporate risks could have significant legal consequences.

Risk

6.4   The key risks are failure to effectively implement the CRM Policy and Framework; and to identify, assess, mitigate, and report on the risks to delivering outcomes.

6.5   Risks continue to be monitored as part of the Council's governance arrangements, including Service Performance Planning, Council of the Future reviews, (Service) self assessments, and reviews of incidents, audits, and lessons learned.

Equalities

6.6   An Equality and Poverty Impact Assessment (EPIA) was not required for this report.

Sustainability / Environmental Impact

6.7   An Environmental Impact Assessment (EIA) was not required for this report.

7. Conclusions

7.1 The CRM Policy and Framework is being embedded across the Council, and the CRM Group and CMT will continue to monitor and progress the actions outlined within this report.

7.2 A CMT and Members' Risk Workshop will be planned and delivered as part of the Members' Development Programme.

7.3 The Committee will continue to receive CRM updates on a 6 monthly basis.

_____

Director of Corporate & Housing Services

Author(s) – Karen Algie, Head of Human Resources and Business Transformation - 01324 506223, karen.algie@falkirk.gov.uk; and
Hugh Coyle, Corporate Risk Co-Ordinator, 01324 506 286,
hugh.coyle@falkirk.gov.uk

Date: 19 September 2017

Appendices

1. Summary of High Risks;
2. Summary of Medium Risks;
3. Details of High Risks; and
4. Corporate Risk Register Key.

List of Background Papers

- None

Summary of High Risks

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder
Lead Service: Chief Executive					
CRR_CE_G_02	G	Uncertainties surrounding Brexit	Low	CRMG	LEA
Lead Service: Adult Social Work Services					
CRR_AS_1.02	C	Health and Social Care Integration	Medium	ProgB	HSC
CRR_AS_1.03	C	Self-Directed Support Reforms	Medium	ProgB	PP
CRR_AS_1.06	G	Harm to Vulnerable People / Public Protection (Adults)	High	COPPSG	PP/ HSC
Lead Service: Children's Services					
CRR_CS_01	G	Closing the Gap in Attainment	Medium	-	EDU
CRR_CS_02	C	Criminal Justice Review	Low	ProgB	PP
CRR_CS_04	G	Getting It Right For Every Child (GIRFEC) Change Program	Medium		PP
CRR_CS_08	G	Harm to Vulnerable People / Public Protection (Children)	-	COPPSG	PP
Lead Service: Corporate & Housing Services					
CRR_CHS_A_07	A	Failure to implement lessons learnt from housing fires and associated risks	-	SHG	HSG
CRR_CHS_C_01	C	Failure to recognise, and act upon, the need for transformational change and continuous improvement.	Medium	COTFB	LEA
CRR_CHS_C_02	C	Failure to monitor, measure, manage, and mitigate the impacts of Welfare Reform and Poverty.	Medium	WRGG	LEA
CRR_CHS_F_01	F	Insufficient funding to deliver services and deliver outcomes.	Medium	-	LEA
CRR_CHS_G_01	G	Failure to properly discharge equalities duties.	Medium	-	-
CRR_CHS_H_01	H	Failures in workforce planning, including absence, vacancy management, and succession planning.	Medium	-	RES
CRR_CHS_I_01	I	Compromised security, or inefficient use, of the Council's data and information asset.	Medium	IMG	RES
CRR_CHS_I_03	I	Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information.	Medium	IMG	LEA
CRR_CHS_P_01	P	Failure to undertake proper engagement and consultation with service users, stakeholders, and partners on the delivery of services.	Medium	-	LEA
Lead Service: Development Services					
CRR_DS_A_03	A	Development Projects	Medium	ProgB	ED/ ENV
CRR_DS_F_01	F	Major Investment: TIF and Regeneration	Medium	ProgB	ED/ ENV
CRR_DS_P_01	P	Employment and Training	Medium	-	ED

Summary of Medium Risks

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder

Lead Service: Chief Executive

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder
CRR_CE_G_01	G	Failures in Leadership at Council and Partnership Level.	Medium	CRMG	LEA

Lead Service: Children's Services

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder
CRR_CS_05	C	Integration of Education and Social Work Services to create Children's Services	Low	-	EDU
CRR_CS_07	A	Structural Failure to School Buildings	Low	-	RES
CRR_CS_09	C	Tackling Bureaucracy and Reducing Workload in Schools	Low	-	EDU
CRR_CS_10	C	Social Work - Risks Identified in CSWO Annual Report 15-16	Low	COPPSG	PP
CRR_CS_11	C	Baillie Gywnne Report	Low	-	EDU
CRR_CS_12	C	Failure to Deliver Scottish Government Early Years Expansion (by 2020)	Low	-	EDU
CRR_CS_13	C	SSSC Code of Conduct - Recent Changes	Low	-	RES

Lead Service: Corporate & Housing Services

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder
CRR_CHS_A_04	A	Failure to provide a safe environment for employees and visitors.	Medium	SWG	LEA
CRR_CHS_A_06	A	Failure to Comply with Scottish Housing Quality Standards (SHQS).	Medium	SHG	HSG
CRR_CHS_F_03	F	Failure in Financial Management Control, or Assurance.	Medium	CPRG	LEA
CRR_CHS_G_13	G	Procurement and Commissioning arrangements fail to secure best value, and demonstrate compliance with Council standards or legal requirements.	Medium	PB	LEA

Lead Service: Development Services

Risk Code	Risk Category	Risk Title	Target Risk (if relevant)	Working Group / Board (if relevant)	Portfolio Holder
CRR_DS_A_01	A	Asset Construction and Design: All Asset Types	Low	CAMG	LEA
CRR_DS_A_01	A	Environmental Risks: Energy, Waste, and Sustainability	Medium	CSG	LEA
CRR_DS_A_02	A	Assets (excluding Housing): Maintenance, Availability, and Reliability	Medium	CAMG	LEA
CRR_DS_C_01	C	Resilience: Business Continuity Management	Medium		LEA
CRR_DS_C_02	C	Resilience: Emergency Planning / Civil Contingencies	Medium	EoS RRP	LEA
CRR_DS_G_01	G	Prohibitions and Loss of Licences, e.g. Operator Licence for vehicles	Medium	FFG	LEA
CRR_DS_G_02	G	Regulatory Enforcement	Medium		ENV

Details of High Risks

Lead Service: Chief Executive

Uncertainties surrounding Brexit		Governance	Current Risk	Target Risk
			High	Low
Risk Statement	There are significant uncertainties surrounding Brexit. This could impact on the economy and employment; and may add to the Council's budget and staff resource pressures.			
Worst Case Consequences	• Resources are further stretched / detracted from Corporate priorities; • Failure to manage change / legislation; and • Failure to deliver Best Value services and make well-informed decisions.			
Controls / Mitigation	Monitoring developments and engaging with Governments and other stakeholders.			
What more could we be doing?	Implement action plans to mitigate the risk as further information becomes available.			
Lessons Learnt	Previous elections and referendums.			
Latest Note / Review Date	Amended in September 2017.			05 September 2017
Lead Officer	Chief Executive			

Lead Service: Adult Social Work Services

Health and Social Care Integration		Change	Current Risk	Target Risk
			High	Medium
Risk Statement	The risk is that Adult Services fail to meet the commitments agreed by the IJB, as set out within the HSCP's Strategic Plan. The Falkirk Integration Joint Board (IJB)'s will receive an update on their Strategic Risk Register at their meeting in June 2016; and governance arrangements will be developed further through consultation with relevant Officers / Groups. A draft summary of risks (at May 2016) are: Short-Term Priorities: 1. Financial Stability and Commissioning (inc capacity across all sectors, co-location / sharing of teams / assets); 2. Leadership, Decision Making, and Scrutiny (inc governance arrangements / potential for adverse audits / inspections); and 3. Performance of the IJB (including the need to meet HEAT targets, and Delayed Discharge / Waiting Times issues). Medium-Term Priorities: 1. Culture, behaviours, and values. 2. HR Management / Workforce Planning (including sustainable change skills and absence); 3. Service User and Unpaid Carer Experience (including engagement, feedback, and complaints); 4. Safety of a) Patients and Service Users, b) Staff and Volunteers, and c) Unpaid Carers; and 5. Information Management and Governance (inc ICT systems / infrastructure; data protection and data sharing). Long-Term Priorities: 1. Effective Links with Other Partnerships (e.g. Community Planning, Third/ Voluntary sectors, Criminal Justice, and Housing).			
Worst Case Consequences	Financial and Project: Severe budget gaps and project delay / failures. Harm: serious harm (death / injury) and disadvantage / inequalities. HR: significant issues, including stress absence / claims. Reputation: national media interest and / or loss of confidence. Service: opportunities to improve services, efficiencies, outcomes.			
Controls / Mitigation	See IJB Risk Register.			
What more could we be doing?	1. See IJB Risk Register. 2. A number of actions were identified during the Risk Specialists' Workshop in November 2016 and these will be addressed as part of a risk update to the IJB in early 2017.			
Lessons Learnt	Lessons Learnt will be considered as part of future HSCP Leadership Team risk reviews.			
Latest Note / Review Date	Changed Lead Service / Officer to Adult Services. And, the JMT / IJB are still to develop an HSCP Risk Register.			02 Feb 2016
Lead Officer	Head of Adult's Services			

Self-Directed Support Reforms	Change	Current Risk	Target Risk
		High	Medium

Risk Statement	There is uncertainty around the Council's capacity to deliver change due to resources, processes, skills and budgets; financial constraints, information and governance risks - including IT changes, loss of charging incomes, and potential increased fraud. If managed well the reforms will create opportunities for improved enablement / choice and flexibility of support. The risks & actions associated with this project are detailed within the SDS Project Risk Register. Context: Implementation of SDS will substantially impact on the Council, our partners and vulnerable people - in particular, older people, children and young people and those with physical, mental and learning disabilities.
Worst Case Consequences	1. Harm: death / injury and disadvantage / inequalities. 2. Financial: significant cost of service changes / SDS options and fraud potential. 3. Governance: increased Human Rights claims and (individuals) liabilities. 4. Reputation Damage - to Council and Partners. 5. Stakeholder relationships breakdown.
Controls / Mitigation	1. SDS Steering Groups monitor Programme Risk Register and plans. 2. Financial controls, linked to capacity / budget planning decisions. 3. Improved workforce skills and procurement capacity. 4. The risk is monitored by Public Protection Chief Officers' Strategy Group, and under-pinned by policies, guidance, and inspections.
What more could we be doing?	1. Review Adult Services and partners' risk frameworks and eligibility criteria. 2. Develop risk resources (including guidance) for practitioners. 3. Implement Audit actions (Council and National). 4. Continued participation in national risk (enablement) review. 5. Continued engagement with partners, including providers, third sector, people with support needs and carers. 6. Work is currently taking place on Policy - Eligibility / Assessment (with Members' involvement), Procurement, and Forward-Project Planning.
Lessons Learnt	Complaints relating to allocation of personal budgets are reviewed at Team Level, but will consider a process for capturing these at Service level.
Latest Note / Review Date	Comments from Risk Specialists' Workshop on 03 Nov 2016: Emerging Risk - potential legal challenges associated with delayed implementation across all people re SDS options (i.e. breach of legislation). The Council's Policies and procedures impacts on our ability to manage this risk. Review Mechanisms and Additional Controls added. Assurance - Note that Audit Scotland reports on Council's implementation of SDS legislation. Lessons Learnt - complaints relating to allocation of personal budgets are reviewed at Team Level, but will consider a process for capturing these at Service level.	24 Nov 2016
Lead Officer	Head of Adult's Services

Harm to Vulnerable People / Public Protection (Adults)	Governance	Current Risk	Target Risk
		High	High

Risk Statement	There is a risk of harm to vulnerable people if the Council fails to meet it's statutory public protection duties. This includes Adult Support and Protection; Child Protection and both sex offenders and violent offenders (Criminal Justice Service users). In relation to Children's Services the risk is two fold (the protection of the community from the service user and the protection of the service user from the community). The delivery of Adult Support and Protection (ASP) service is also overseen by and accountable to the IJB (integration Joint Board).
Worst Case Consequences	Death or serious harm to a vulnerable person. Significant Case Reviews / Fatal Accident Enquiries / Court / Prosecution or other external legal interventions. Potential compensation claims external criticism / intervention (e.g. Care Inspectorate or Criminal Justice Authority). Reputational damage to the Council.
Controls / Mitigation	Current robust processes with partners regarding sharing of information (including protocols). The following processes MAPPA / IRD's / CP and ASP Case Conferences / CP / ASP register integrated / Single shared assessment. Robust training programme for all Council and partner agency staff regarding CP / ASP / MAPPA. Awareness raising with the public. Police run scheme for identification of sex offenders in local communities.
What more could we be doing?	Council strategies (GIRFEC / Corporate Parenting). SOLD / Service Plans. Core Social Work assessment and provision of care services. Self evaluation and PSIF reviews.
Lessons Learnt	
Latest Note / Review Date	September 2016 - added separate risks for harm - adults and children.	24 Nov 2016
Lead Officer	Chief Social Work Officer and Head of Adult's Services

Lead Service: Children's Services

Closing the Gap in Attainment		Governance	Current Risk	Target Risk
			High	Medium
Risk Statement	The risks specific to Children's Services include: a) Increasing positive destinations/ outcomes; b) Meeting attainment targets / closing the attainment gap; c) Improving pupil attendance; and d) Delivering zero tolerance strategy on illiteracy & innumeracy.			
Worst Case Consequences	Prosecution or other legal remedy; Civil claims; Criticism & external intervention (e.g. Care Commission & Criminal Justice Authority); Damage to reputation; Breakdown in communications with partners leads to poor sharing of info & decisions;			
Controls / Mitigation	Monitored, scrutinised and reviewed by a) Children's Services Senior Leadership Team; b) performance panel; and c) Scottish Government.			
What more could we be doing?	Progress the Curriculum for Excellence tasks within the Children's Services Service Performance Plan (SPP), including: • National Improvement Framework • Address the CFE priorities set out in the Authority Expectations 2013-16 • Support the practical application in learning and teaching of mobile devices • Ensure Workforce Planning and Recruitment meets Current and Future Needs • Implement the Literacy Strategy • Implement the Numeracy Strategy Improve Business Process and System to support more efficient work-streams • Allocate attainment challenge funding to support identified schools.			
Lessons Learnt				
Latest Note / Review Date	Support Quality Improvement team now have taken up their posts and are proactively engaging with schools. Revised guidance has been developed and will be shared with schools before Easter.		15 Mar 2017	
Lead Officer	Head of Education			

Criminal Justice Review		Change	Current Risk	Target Risk
			High	Low
Risk Statement	Offending happens on a daily basis. On occasion very serious crimes will take place and sometimes by people on criminal justice supervision.			
Worst Case Consequences	Death or significant injury to others or significant damage to property, poor communication and decision making, particularly if not based on defensible assessments may cause external criticism and potential intervention. High Court trials, Fatal Accident Enquiries and significant Case Reviews. Reputational risk to Council.			
Controls / Mitigation	Following national and local guidance, acting carefully, ensuring Criminal Justice staff and managers have excellent training and support. Working in partnership within and outwith the Council.			
What more could we be doing?	Managing offenders is a muti-agency task, all areas of the Council and our partners should consider how they incorporate communication and capacity building in this regard.			
Lessons Learnt				
Latest Note / Review Date	The Community Justice Strategic Group continues to meet quarterly. It includes all designated partners and has a role to review risks.		16 Mar 2017	
Lead Officer	Chief Social Work Officer			

Getting It Right For Every Child (GIRFEC) Change Program	Governance	Current Risk	Target Risk
		High	Medium

Risk Statement	The risks / challenges include:- a) Implementing "named person" responsibilities (GIRFEC); b) Regulatory compliance in regard to ASN (Additional Support Needs); c) Completing the inclusion review; d) Action plans from the joint Children's Services inspection; e) the information exchange and interface between named person and lead professional; and f) Vacancy management - loss of senior management and associated knowledge through significant downsizing.
Worst Case Consequences	Prosecution or other legal remedy; Civil claims; Criticism & external intervention (e.g. Care Inspectorate & Criminal Justice Authority); Damage to reputation; Breakdown in communications with partners leads to poor sharing of info & decisions;
Controls / Mitigation	Implementation Plan for Named Person - August 2016. JCC RAG Resource Allocation Group - subject to review.
What more could we be doing?	Progress the Curriculum for Excellence tasks within the Children's Service Performance Plan (SPP), including:: • Address the CFE Priorities set out in the Service Plan. • Develop and Implement the Nurturing Programme and Nurturing Schools - Completed. • Deliver the expansion in Early Years Provision in line with the Children and Young People's Bill. • Develop and Implement the Procedures for the Named Person, Team Around the Child and Child's Plan. • Implement Improvements Identified by the Early Years Collaborative. • Track, Monitor, and Intervene to support Vulnerable Groups, especially Looked After Children, Plan for and Build Community Capacity in collaboration with relevant Stakeholders and Partners. • Develop information protocol between Named Person Service and Lead Professionals.
Lessons Learnt	
Latest Note / Review Date	Reviewed by SLT - March 2017	24 Mar 2017
Lead Officer	Head of Education

Harm to Vulnerable People / Public Protection (Children)	Governance	Current Risk	Target Risk
		High	-

Risk Statement	There is a risk of harm to vulnerable children and young people and adults if the Council fails to meet its statutory public protection duties. This includes Adult Support and Protection; Child Protection and both sex offenders and violent offenders (Criminal Justice Service users). In relation to Criminal Justice the risk is twofold (the protection of the community from the service user and the protection of the service user from the community). The delivery of Adult Support and Protection (ASP) service is also overseen by and accountable to the IJB (integration Joint Board). The risk in terms of children is twofold: • The need to keep children safe and avoid child deaths • The reputational risk to the Council in this situation.
Worst Case Consequences	Death or serious harm to a child / young person or vulnerable adults. Significant Case Reviews / Fatal Accident Enquiries / Court / Prosecution or other external legal interventions. Potential compensation claims. External criticism / intervention (e.g. Care Inspectorate or Criminal Justice Authority). Reputational damage to the Council.
Controls / Mitigation	Current robust processes with partners regarding sharing of information (including protocols). The following processes MAPPA / IRD's / CP and ASP Case Conferences / CP / ASP register integrated / Single shared assessment. Governance Structure - including risk, audit, and performance monitoring are in place (e.g. Child Protection Committee). Robust training programme for all Council and partner agency staff regarding CP / ASP / MAPPA. Awareness raising with the public. Police run scheme for identification of sex offenders in local communities.
What more could we be doing?	Council strategies (GIRFEC / Corporate Parenting). SOLD / Service Plans.
Lessons Learnt	
Latest Note / Review Date	CPC / ASPC / MAPPA processes are routinely evaluated to ensure they continue to mitigate against risks.	16 Mar 2017
Lead Officer	Chief Social Work Officer

Lead Service: Corporate & Housing Services

Failure to implement lessons learnt from housing fires and associated risks	Governance	Current Risk	Target Risk
		High	-
Latest Note	This has been added as a new risk and further details will be provided in future reports.		30 Aug 2017

Failure to recognise, and act upon, the need for transformational change and continuous improvement.	Change	Current Risk	Target Risk
		High	Medium
Risk Statement	The Council fails to plan for, and implement, appropriate transformational change, leading to missed opportunity and failure to deliver the right services, to the right people, in the right way, and within budget.		
Worst Case Consequences	The Council is unable to achieve the required savings in the required timescales, leading to service failure (including delivery of statutory services); external intervention in the running of the Council; and the Council does not have the required skills or expertise to deliver services.		
Controls / Mitigation	Council of Future Board in place (comprising elected Members and Chief Officers); programme of Council of Future work being progressed; Change Manager and Programme Management Office team appointed, in conjunction with the Improvement Service, to ensure good practice and pace of change; and framework for future Council of Future reporting, timelines, outcomes, and benefits being developed.		
What more could we be doing?	Continued oversight and scrutiny by CMT, Audit Committee, Executive, and Council; external audit of the Council's Financial Statements, and Internal Audit of processes and controls; and reviewing the change programme through Council of the Future proposals.		
Lessons Learnt	Review of change programme through work on Council of the Future. Consideration has been given to best practice, lessons learned by other Councils, feedback from audit Scotland and programmes in place elsewhere.		
Latest Note / Review Date	Report submitted to Council in September to consider the Council of the Future programme.		10 Aug 2017
Lead Officer	Head of HR & Business Transformation		

Failure to monitor, measure, manage, and mitigate the impacts of Welfare Reform and Poverty.	Change	Current Risk	Target Risk
		High	Medium
Risk Statement	The Council fails to recognise the impacts of the Welfare Reform programme, and the outcomes for stakeholders, leading to increased poverty within communities, higher arrears, and unplanned and unbudgeted impacts / demands on Council services (including housing).		
Worst Case Consequences	Impact on citizen's ability to pay bills, leading to health and mental health issues for our communities, and unsustainable pressure on Council services; significant negative impact on to the economy in Falkirk; and fall in rents and Council Tax collection rates and impact on Council finances.		
Controls / Mitigation	Provision of advice services; refocussing of Fairer Falkirk Fund; and refocussing of Poverty Strategy.		
What more could we be doing?	Three significant workstreams in place – Advice and Support Hubs; Services to Tenants and Rent Improvement. The objective of these reviews is to provide more accessible support services to help mitigate financial difficulties for our residents.		
Lessons Learnt	The workstreams have identified that more direct face to face contact, coupled with single designated points of contact and case ownership are considered by our residents to provide improved means of support and assistance.		
Latest Note / Review Date	Revised advice and support services are scheduled to commence in the Grangemouth and Bo'ness areas from 12 December 2016. Following on from that, a new operating structure and revised roles for housing officers will commence within the same localities from early 2017.		30 Nov 2016
Lead Officer	Heads of Policy, Technology & Improvement and Head of Housing Services		

Insufficient funding to deliver services and deliver outcomes.	Financial	Current Risk	Target Risk
		High	Medium

Risk Statement	Budgetary, economic, or demographic pressures, and failure to properly manage and allocate resources to deal with these, mean that the Council is unable to deliver services and meet its statutory and other obligations.
Worst Case Consequences	The Council is unable (or unwilling) to take the actions and difficult decisions needed to live within its revenue budget; service failure, resulting in inability to deliver statutory services; threat to lives and significant negative impact on the wellbeing of the citizens of Falkirk if services not delivered; and external intervention in the running of the Council.
Controls / Mitigation	Medium term financial planning, scenario modelling, and horizon scanning; robust and inclusive budget preparation process; ongoing budget monitoring by managers, and expert advice from Service Accountants; gathering and considering network intelligence via, eg COSLA, CIPFA Directors of Finance Group; and implementing and enforcing Financial Regulations and other good practice guidance and processes.
What more could we be doing?	
Lessons Learnt	
Latest Note / Review Date	Budget report together with MTFP (Medium Term Financial Plan) submitted to Council 28 June 2017. Member Budget Working Group now meeting for current budget cycle. Further budget report to October Executive.
Lead Officer	Chief Finance Officer

The Latest Note / Review Date row also contains: 28 Aug 2017

Failure to properly discharge equalities duties.	Governance	Current Risk	Target Risk
		High	Medium

Risk Statement	Failure to comply with equalities duties may lead to disadvantage, poverty, inequality, or harm, and associated reputational, safety, legal, and financial implications.
Worst Case Consequences	Challenge under Equalities Act and consequences of this.
Controls / Mitigation	Duty to publish equalities information; Assessing and reviewing Policy; Considering award criteria and conditions in relation to public procurement; and materials published in an accessible manner.
What more could we be doing?	Community Planning Partnership focus on equalities and fairness; and reports to CMT and Executive.
Lessons Learnt	A report is prepared for CMT to review the achievement of our equality outcomes and the equality impact assessment process annually.
Latest Note / Review Date	
Lead Officer	Head of Policy, Technology & Improvement

Failures in workforce planning, including absence, vacancy management, and succession planning.	Human Resources	Current Risk	Target Risk
		High	Medium

Risk Statement	Failures in workforce planning adversely and significantly impact on the quality and consistency of service delivery, and compromise on-going availability of services.
Worst Case Consequences	Failure to deliver services, including statutory services; more staff employed than required and / or staff with the wrong skill set; no clear plan to achieve savings that impact on staff; and industrial relations issues.
Controls / Mitigation	Workforce Strategy agreed by Members, and monitoring of implementation by Human Resources; Workforce Planning Framework in place and being implemented by Services; Workforce Plans being developed across all Services and Council wide plan drafted.
What more could we be doing?	Ensuring workforce plans form part of day to day workforce considerations, budget strategy and change programme.
Lessons Learnt	Research of best practice undertaken to develop the workforce strategy and the workforce planning framework.
Latest Note / Review Date	Workforce plan for Council will be reviewed once the Corporate Plan is agreed by Members. In addition, the plan will be further reviewed once the saving options for future years are available. Further work will be undertaken with Services at this stage to update their individual Service workforce plans.
Lead Officer	Head of HR & Business Transformation

The Latest Note / Review Date row also contains: 10 Aug 2017

Compromised security, or inefficient use, of the Council's data and information asset.	Information	Current Risk	Target Risk
		High	Medium

Risk Statement	Failure to properly secure data and information may lead to data breach, legal recourse, and reputational damage. Equally, failure to maximise the value of the data and information asset may lead to disjointed and inefficient service delivery, and adverse impact on clients' experience of interacting with the Council.		
Worst Case Consequences	Significant data breach leading to personal harm and / or ICO investigation, fine, and reputational damage; Loss of data that compromises people's safety; Loss of personal information that compromises individuals' privacy; Loss of confidence in Council; and Ineffective / inefficient service delivery through failure to join up relevant information.		
Controls / Mitigation	Information Governance Manager appointed, with recognition of risk at corporate level; Information Governance and Security Policies in place; data protection training regime in place and monitored; framework of policies including Acceptable Use Policy and Record Retention Policy; Public Services Network compliance; and working to further develop strategy and practice for appropriate sharing of information across Services.		
What more could we be doing?			
Lessons Learnt			
Latest Note / Review Date			
Lead Officer	Chief Governance Officer and Head of Policy, Technology & Improvement		

Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information.	Information	Current Risk	Target Risk
		High	Medium

Risk Statement	A targeted cyber attack may impact on the availability, integrity, and confidentiality of Council systems and data / information, with associated impact on service delivery and financial loss.		
Worst Case Consequences	Significant data breach, leading to personal harm and / or ICO investigation, fine, and reputational damage; loss of data that compromises peoples safety; loss of personal information that compromises individuals; and significant impact on stakeholders' ability to interact electronically with the Council and Loss of confidence in Council.		
Controls / Mitigation	Annual Public Services Network accreditation; network security, including firewalls, network segregation, penetration testing; and Information Security and Acceptable Use Policies, and supporting processes and procedures.		
What more could we be doing?			
Lessons Learnt			
Latest Note / Review Date			
Lead Officer	Head of Policy, Technology & Improvement		

Failure to undertake proper engagement and consultation with service users, stakeholders, and partners on the delivery of services.	Partnerships	Current Risk	Target Risk
		High	Medium

Risk Statement	Failure to appropriately engage and consult with service users, stakeholders, and partners on the design and delivery of Council services could lead to flawed decision making, services that do not meet people's needs, poorly targeted expenditure, and adverse impact on communities or individuals.	
Worst Case Consequences	Uninformed (or un-evidenced) decision making; resources not allocated to meet need; and failure to deliver statutory obligations.	
Controls / Mitigation	• Participation Strategy was subject to a review by Scrutiny Panel in 2015; • Actively responding to the requirements of the Community Empowerment Act 2015; • Active and responsive Citizen's Panel; • Participation Strategy and supporting guidance and processes; and • Development of a locality planning model and priorities.	
What more could we be doing?	Procurement of Citizen Space, a bespoke online consultation and engagement platform.	
Lessons Learnt	Community Planning Audits – outcomes from audits of Falkirk and other Councils.	
Latest Note / Review Date	Added reference to Community Planning Partnership and Following the Public Pound risk – these used to be listed separately.	21 Feb 2017
Lead Officer	Head of Policy, Technology & Improvement	

Lead Service: Development Services

Development Projects		Assets	Current Risk	Target Risk
			High	Medium
Risk Statement	This includes roads, flood prevention works, town centre regeneration and crematorium refurbishment. Failure to deliver projects and achieve income targets (or benefits) on time and cost could have an impact on the Council and communities.			
Worst Case Consequences	Extended project delay and service / economic interruption; severe contractor failures and unplanned costs / budget gaps; sustained media interest, complaints, and loss of confidence; multiple harm (injury / death / assets damage) and civil claims.			
Controls / Mitigation	Project boards have implemented project risk registers (PRRs) and risk / performance / budget monitoring frameworks and contingency plans; construction health and safety arrangements meet statutory duties; and working groups monitor strategies and plans – including corporate asset management (CAM) capital planning and review groups, project working groups, the procurement board and the Council Executive. Previous pressure on Denny town centre is lessened, the Helix is complete.			
What more could we be doing?	Develop project schedule, develop, review and monitor PRRs more formally using red, amber, green (RAG) indicators; and review CAM Strategy and asset / project risk framework. Provide post project review reports to CMT and reports to Development Services DMT twice a year.			
Lessons Learnt	Project officers have continuous professional development (CPD) programmes.			
Latest Note / Review Date	Last updated November 2016.			29 Nov 2016
Lead Officer	Development Services DMT			

Major Investment: TIF and Regeneration		Financial	Current Risk	Target Risk
			High	Medium
Risk Statement	Failure to deliver project on time and cost as set out in TIF and THI delivery plans.			
Worst Case Consequences	Major loss of funding, inward investment and /or budget gaps presents harm to assets, the economy, and individuals and serious project delay, criticism, and national media interest.			
Controls / Mitigation	Economic Development Strategy. TIF programme management e.g. capital investment plan; Portfolio Management Plan and construction plans; performance monitoring and reporting to Council Executive; monitor outcomes from progress, consultation and engagement.			
What more could we be doing?	Key reports / audit actions, e.g. Business Gateway Internal Audits, and Economic Partnership. Review and monitor PRRs more formally using red, amber, green (RAG) indicators. Provide post project review reports to CMT and reports to Development Services DMT twice a year.			
Lessons Learnt	Project officers have continuous professional development (CPD) programmes.			
Latest Note / Review Date	Last updated November 2016.			29 Nov 2016
Lead Officer	Head of Economic Development & Environmental Services			

Employment and Training		Partnerships	Current Risk	Target Risk
			High	Medium
Risk Statement	The changing policy and financial landscape for the delivery of employability support could have a significant impact on external funding and service provision available for the most disadvantaged job seekers.			
Worst Case Consequences	Major loss of funding and / or budget gaps; negative impact on the local economy, business and individuals; increase in inequality, unemployment and demand for welfare; and potential reputational damage as a result of limited ability to provide support.			
Controls / Mitigation	Strategic Objectives Local Delivery (SOLD) Plan, new Economic Strategy, Unit Operating Plan, performance and budget monitoring and reporting. Participation in strategic groups at a national level advocating on behalf of local government.			
What more could we be doing?	Formalise review and monitoring of risk registers e.g. twice a year to Development Services Departmental Mgt Team (DMT) and the Corporate Risk Management Group (CRMG). Review improved alignment and connectivity across Council services supporting key client groups.			
Lessons Learnt	ETU Management Team and Staff undertake continuous assessment and review with external evaluations as appropriate taking forward key improvement actions.			
Latest Note / Review Date	Updated 7 April 2017.			07 Apr 2017
Lead Officer	Head of Economic Development & Environmental Services			

Corporate Risk Register Key

	Risk Categories		Corporate Working Groups		Portfolio Holders
A	Assets	BVWG	Best Value Working Group	CLT	Culture, Leisure, and Tourism
C	Change	CPR	Capital Planning and Review	ED	Economic Development
F	Financial	COPPSG	Chief Officers' Public Protection Strategy Group	EDU	Education
G	Governance	COTFB	Council of the Future Board	ENV	Environment
H	Human Resources	CPP LB	Community Planning Partnership Leadership Board	HSC	Health and Social Care
I	Information	CAMG	Corporate Asset Management Group	HOU	Housing
P	Partnerships	CSG	Corporate Sustainability Group	LEA	Leader of the Council
		CRMG	Corporate Risk Management Group	PP	Public Protection
		EoS RRP	East of Scotland Regional Resilience Partnership	RES	Resources
		FFG	Fit Fleet Group		
		IMG	Information Management Group		
		PB	Procurement Board		
		ProgB	Programme Board		
		SHG	Strategic Housing Group		
		SWG	Safety at Work Group		
		WRGG	Welfare Reform Governance Group		

Target Risk and Additional Actions (Risk Tolerance):

A Target Risk Level and Additional Actions are only included on High Risks where the Current Risk Level is greater than the Council's risk tolerance, and the Lead Officer considers it achievable to reduce the level of risk to Medium.

In some cases, e.g. Public Protection, the Current Risk Level is High and cannot be reduced to Medium, despite robust controls being in place.