

	Risk Category	Potential outcomes – what could go wrong?	Potential consequences – what does this mean for Falkirk Council?	Controls – systems in place to manage risks and outcomes.	Review mechanisms – to ensure that controls are operating as intended.
1.	Failures in proper financial management.	<ul style="list-style-type: none"> • Failure to operate within agreed / available budgets; • Breach of statutory duty to achieve best value; • Breach of S95 statutory duty; • Material mis-statement of financial position; • Inability to fulfil financial and policy obligations; • Failure to collect income due timeously; • Flawed borrowing or investment related decision making; • Fraud / irregularity; • Failure to plan for and manage economic climate; • Failure to pay creditors, benefits and employees timeously; • Failure to achieve Single Outcome Agreement / Corporate and Service Plan objectives; • Qualification of Annual Accounts or criticism from the appointed external auditor. 	<ul style="list-style-type: none"> • Failure to deliver core services to stakeholders; • Failure to achieve and demonstrate best value; • Prosecution or other legal remedy; • Compromise the financial position of organisations with whom we transact; • Compromised medium to long term financial position; • Financial loss; • Damage to reputation; • Detrimental impact on partner organisations; • External intervention / control. 	<ul style="list-style-type: none"> • CMT commitment to good financial governance and achievement of best value; • Clear and up to date Standing Orders, Contract Standing Orders, and Financial Regulations. • Reliable financial management IT systems with appropriate automated control; • Robust budgetary control procedures; • Timely and accurate management information to officers and members. • Internal and external scrutiny; • CIPFA Code of Practice for Treasury Management; • Anti-fraud arrangements; • Complaints procedure • Single Outcome Agreement, Corporate and Service plans (including Performance Indicators's); • Capital Planning and Review Working Group; • Accountancy staff liaison with Services. 	<ul style="list-style-type: none"> • CMT scrutiny; • Internal and External audit scrutiny and other inspections; • Member scrutiny via established Committee structure, including the Audit Committee; • Service management meetings; • Scottish Public Sector Ombudsman.

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2.	Failures in proper information management (availability, integrity and security).	<ul style="list-style-type: none"> • Information / data loss; • Information / data corruption • Breach of statutory duty; • Compromised / flawed decision making or reporting; • Adverse publicity. • Breach of confidentiality, compromising staff, public, or other stakeholders; • Failure to achieve Single Outcome Agreement, Corporate and Service plan objectives. 	<ul style="list-style-type: none"> • Financial loss resulting from reliance on flawed or incomplete data; • Prosecution or other legal remedy; • Failure to deliver core services; • Detrimental impact on partner organisations; • Damage to reputation. 	<ul style="list-style-type: none"> • CMT commitment to good information governance; • Compliance with relevant legislation; • Clear ICT strategy and supporting policy and procedures; • Clear Records Management policy, procedures, and arrangements; • Acceptable Use of the Internet and Email Policy; • Information Audit and logging of information transfers (electronic or otherwise); • Robust ICT security arrangements; • Complaints procedure; • Corporate working groups including ICT strategy groups, Records Management Working Group, Freedom of Information Working Group and Corporate Risk Management Group; • Single Outcome Agreement, Corporate and Service plans (including Performance Indicators's). 	<ul style="list-style-type: none"> • CMT scrutiny; • Internal and External audit scrutiny and other inspections; • Service Management meetings; • Member scrutiny via established committee structure; • Scottish Public Sector Ombudsman; • Scottish Information Commissioner.

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3.	Failures in human resource management.	<ul style="list-style-type: none"> • Insufficient staff; • recruitment and retention problems; • absence; • Non performing staff,: • not properly qualified; • not properly supported; • not properly trained; • staff not properly remunerated; • Sick/injured staff; • Inequitable treatment of staff; • Failure to achieve Single Outcome Agreement, Corporate and Service plan objectives; 	<ul style="list-style-type: none"> • Failure to deliver core services; • Damage to reputation ; • Prosecution or other legal remedies, eg employment tribunals, damages; • Cost of identifying and rectifying human errors; • Cost of covering vacant posts; • Other financial loss; • Human / personal impact on staff affected. 	<ul style="list-style-type: none"> • Appropriate management and accountability structures; • Adequate and appropriate staff establishments; • Up to date Member / Officer Job descriptions in place; • Clear and robust HR policies and procedures, including job evaluation scheme; • Service plans including PI's; • Roll out of Achievement and Personal Development Scheme to all staff; • Premises Manager handbook and associated guidance; • Off-site handbook; • Timely and accurate management information; • Single Outcome Agreement, corporate and service plans; • Corporate working groups including health at work, safety at work and Corporate Risk Management Group; • Service Based Forums. 	<ul style="list-style-type: none"> • CMT scrutiny; • Service management meetings; • External accreditation eg Investors in People; • Internal and External audit scrutiny and other inspection; • Scottish Public Sector Ombudsman; • Member scrutiny via established committee structure including Joint Consultative Committee.

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4.	Failure to properly manage assets.	<p>Deterioration in both fixed and moveable assets resulting in:</p> <ul style="list-style-type: none"> • harm to others; • increased repairs and maintenance obligations; • loss of value if realised; • increased replacement costs; • not making best use of fixed assets; • environmental impact; • Failure to achieve Single Outcome Agreement, Corporate and Service plan objectives. • excessive / insufficient assets held to deliver core services; • Assets not fit for purpose; • Loss or theft of assets. 	<ul style="list-style-type: none"> • Failure to deliver core services; • Prosecution or other legal remedies; • Damage to reputation; • Unnecessary revenue and capital expenditure including insurance claims; • Shortfall in receipts leading to capital programme slippage or compromise; • Failure to demonstrate and achieve good environmental governance and sustainability. 	<ul style="list-style-type: none"> • Finance Capital Section / General Services and Housing Capital Programmes; • Asset register; • Asset Management Plan; • Property and asset maintenance schedules; • Contractual repair and maintenance arrangements; • Assessment of environmental and other risks; • Procurement Strategy, governance and guidance; • Sustainability Strategy and environmental management targets; • Premises managers' handbooks, including arrangements for health and safety, Legionella, etc; • Off site plan; • Complaints procedure; • Single Outcome Agreement, corporate and service plans (including PI's) • Procurement Strategy, Board and other corporate management groups, and User Intelligence Groups; • Asset Strategy Working Group. 	<ul style="list-style-type: none"> • CMT scrutiny • Service management meetings; • Scottish Public Sector Ombudsman; • Internal and external audit scrutiny and other inspections; • Member scrutiny via established committee structure.

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5.	Failure to properly recognise, plan for, and manage significant change, both internal and external.	<ul style="list-style-type: none"> • Missed opportunities / failure to maximise financial position / service delivery potential; • Financial or reputational damage by consequences of change; • Breach of statutory duty; • Failure to achieve Single Outcome Agreement, Corporate and Service plan objectives. 	<ul style="list-style-type: none"> • Failure to deliver core services; • Failure to achieve and demonstrate best value; • Prosecution or other legal action; • Damage to reputation. • Financial loss; • Detrimental impact on partner organisations; • Failure to deliver core services. 	<ul style="list-style-type: none"> • Corporate and Service risk management arrangements; • Business continuity plans; • Emergency response plans; • [Horizon scanning;] • Consultation papers and outcomes; • Service plans; • External groups; • Liaison with Central and Local Government partners; 	<ul style="list-style-type: none"> • CMT scrutiny; • Scottish Public Sector Ombudsman; • Internal and external audit scrutiny and other inspections; • Member scrutiny via established committee structure.
6.	Failures in governance, leadership, accountability or decision making.	<ul style="list-style-type: none"> • Breakdown in relations between Members and Officers; • Members / Officers unclear/unsure of duties and responsibilities; • Poor quality decisions; • Lack of strategic vision, direction and outcomes; • Ineffective organisation; • Failure to achieve Single Outcome Agreement, Corporate and Service plan objectives. 	<ul style="list-style-type: none"> • External intervention; • Breach of statutory duties; • Damage to reputation; • Failure of Members / officers to fulfil responsibilities; • Failure to deliver core services; • Prosecution and other legal action; • Financial loss; • Detrimental impact on partner organisations 	<ul style="list-style-type: none"> • Single Outcome Agreement, Corporate and Service plans (including PIs); • Committee structure; • Monitoring Officer; • APDS for Members; • Code of conduct • Standing orders via scheme of delegation; • Democratic process; • Annual Governance Statement; • Corporate consultation on draft committee reports; • Service/Best Value reviews; • Public Sector Improvement Framework. 	<ul style="list-style-type: none"> • Member scrutiny via established committee structure; • CMT; • Internal and External Audit scrutiny; • Standards Commissioner; • Internal and external audit and other inspections; • Scottish Public Sector Ombudsman; • Service management meetings.

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7.	Failures in partnerships or contracts with external bodies.	<ul style="list-style-type: none"> • No delivery mechanism for plan/project; • Failure of supply chain; • Failure to achieve purpose of partnership or contract; • Failure to achieve Single Outcome Agreement, corporate and other objectives. 	<ul style="list-style-type: none"> • Failure to deliver core services; • Prosecution or other legal action; • Damage to reputation; • Financial loss; • Detrimental impact on partner organisations; • Committee scrutiny / criticism. 	<ul style="list-style-type: none"> • Partnership agreement. • Contract terms; • Single Outcome Agreement, Corporate and Service plans; • Corporate working groups; • External working groups; • Suppliers/partners business continuity arrangement; • External governance arrangements. 	<ul style="list-style-type: none"> • CMT; • Member scrutiny via established committee structure; • Internal and external audit and other inspections; • Service management meetings; • Community Planning Partnership arrangements.