Agenda Item 5

Corporate Risk Management Update

Falkirk Council

Title:	**Corporate Risk Management Update**
Meeting:	**Audit Committee**
Date:	**27 September 2018**
Submitted By:	**Director of Corporate and Housing Services**

1.   Purpose of Report

1.1   This report provides an update on progress with embedding Corporate Risk Management (CRM) arrangements.

2.   Recommendations

2.1   **It is recommended that the Audit Committee notes:**

  (1) the Corporate Risk Management Update,

  (2) the updated Corporate Risk Register (CRR); and

  (3) that a Members' Risk Workshop / Training will be arranged.

3.   Background

3.1   In April 2018 the Audit Committee considered the revised CRM Policy and Framework (subsequently approved by Executive on 15 May 2018), and noted:

  - progress with embedding CRM arrangements; and

  - the Corporate Risk Register (CRR).

3.2   It is a key function of the Audit Committee to review and seek assurance on the Council's framework of risk management, governance, and control.

4.   Considerations

4.1   Since April 2018, Services have been undertaking a range of actions to embed risk management. A summary of progress is at Appendix 1.

4.2   In addition:

- the review of Governance Groups (including self assessment of role and effectiveness) is progressing. A summary of progress / outcomes to date is at Appendix 2;

- the Integrated Assurance Map (IAM), at Appendix 3, continues to be developed. This provides a view of assurance across various sources, including the CRM Team, Internal Audit, External Audit, and other inspection bodies;

- Services are working to ensure that meaningful consequences, controls, and lessons learnt are included in the CRR (at Appendix 4);

- a Members' Risk Workshop / Training will be arranged; and

- risk management has been embedded within the Council of the Future Programme, via a Risk Strategy and Programme Risk Register.

4.3 The CRM Team and CRM Group will continue to work with Services to improve and embed CRM arrangements.

5. Consultation

5.1 Members of Corporate Management Team (CMT) have been consulted.

6. Implications

Financial

6.1 There are no direct financial implications arising from this report.

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.

Risk

6.4 The key risk is failure to effectively identify, assess, mitigate, and report on the risks to delivering outcomes.

Equalities

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

Sustainability / Environmental Impact

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

7. Conclusions

7.1 Work continues to be undertaken to embed risk management arrangements across the Council, and the CRM Team and CRM Group will continue to work with Services to improve and embed CRM arrangements.

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Director of Corporate & Housing Services

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Date: 14 September 2018

APPENDICES

- **Appendix 1: Progress with embedding CRM arrangements**
- **Appendix 2: Governance Group reviews and effectiveness**
- **Appendix 3: the Integrated Assurance Map (IAM)**

List of Background Papers: None

Progress with Embedding CRM Arrangements

	Children's Services	Corporate and Housing Services	Development Services	Social Work Adult Services
Corporate Risk Register (CRR) Reviews Reviewed by Lead Officers and Senior Management Teams (min) 6 monthly.	Service Management Teams have agreed to review risks every 3-4 months.			
	✅⇧	✅⇧	✅⇧	✅⇧
Controls / Review Mechanisms CRR identifies Policies / Strategies / Plans and Review Mechanisms.	Measureable Controls and Review Mechanisms need to be confirmed for all corporate risks.	Measureable Controls / Review Mechanisms to be confirmed.	Controls / reviews to be followed up as part of HoS / Manager 1:1s.	Measureable Controls / Review Mechanisms to be confirmed.
	🔺	🔺	✅⇧	🔺
Incidents and Lessons Learnt Identified on CRR and Action Plans are in place.	Some good examples of lessons learnt being reported to CRMG, which improves risk awareness.	SMT to confirm process for reviewing incidents, claims, etc.	SMT review audit reports, self assessments, Service review actions, and insurance claims.	SMT to confirm process for reviewing incidents, claims, etc.
	✅⇧	🔺⇧	✅⇧	🔺
Measurable Actions and PIs (including COTF, Service, and Divisional Plans) are linked / mapped to all risks on Pentana.	Service, Divisional, and other plans are still being developed and added to Pentana (as part of the Service Planning process). These will be linked to corporate risks incrementally. This should include significant actions arising from audits, inspections, etc.			
	🔺	🔺	🔺	🔺
Training Targeted roll out of E Learning. Additional needs identified via APDS.	Roll out E-Learning in schools. Develop SW C&F training.	E-Learning has been rolled out to staff at Team Leader and above. More targeted / refresher training is to be identified as part of APDS.		Roll out e-Learning and SSSC Risk Resource. Review Care Homes Risk Reviews / Training.
	🔺	✅⇧	✅⇧	🔺
Service Manager (Operational) Risks Reviews undertaken (minimum) Quarterly, and linked to actions on Pentana.	Service Risk Reviews to be rolled out as part of HT / Manager Meetings.	Service Risk Reviews to be rolled out (ie Managers need to be engaged in risk reviews by D/SMTs). The method can be flexible, eg HoS and Manager 1:1s, or Extended SMT meetings.		
	🔺	🔺	✅⇧	🔺 ⇧

Key:	❌ No Assurance	🔺 Limited Assurance	✅ Substantial Assurance	⇧ Improved since last review	❓ Not clear, more information is needed

Governance Group Reviews and Effectiveness

	Name	Lead Service	Assurance Level
1	Public Protection and Community Justice Chief Officers' Strategy Group	CHS	❌
2	Best Value Working Group	CHS	🟢
3	Capital Planning and Review Working Group	CHS	🟢
4	Community Planning Strategic Board	CHS	🟢
5	Corporate Risk Management Group	CHS	🟢
6	Council of the Future Board	CHS	🟢 / 🔺
7	Procurement Board	CHS	🟢
8	Safety @ Work Group	CHS	🔺
9	Strategic Housing Group	CHS	🟢
10	Fairer Falkirk Partnership	CHS	🟢 / 🔺
11	Information Management Working Group	CHS	🔺
12	Corporate Asset Management Group	DS	🟢 / 🔺
13	Corporate Sustainability Group	DS	🟢 / 🔺
14	East of Scotland Regional Resilience Partnership	DS	🟢
15	Integrity / CONTEST Steering Group	CS	🔺
16	Criminal Justice Change Program Board	CS	❌
17	Social Work Information System (SWIS) Program Board	CS	🟢

Key:			
Lead Service		**Assurance Level**	
CHS	Corporate & Housing Services	🟢	Substantial
CS	Children's Services	🔺	Limited (some aspects need better embedded)
DS	Development Services	❌	None – as Self-Assessment is Outstanding

Integrated Assurance Map

Table 1– High Risks

Risk Summary		Governance Groups (where relevant)		Most Recent Review			Next Planned Review		
Lead Service	Risk Title	Group	Review Status	CRM Review	Internal Audit	External Audit	CRM Review	Internal Audit	External Audit
CE	Failures in Leadership, Governance, and Decision Making.							2018/19	2018/19
CE	Uncertainties surrounding Brexit.								2018/19
AS	Health and Social Care Integration.					2017/18		2018/19	2018/19
CS	Closing the Gap in Attainment.					2016/17 + Ongoing		2018/19	Ongoing
CS	Criminal Justice Review.	CJ PB	❌		2014/15	2016/17			
CS	Getting It Right For Every Child (GIRFEC) Change Program.								
CS	Public Protection (Adults and Children).	PPCJCOSG	❌		2017/18	2013/14 + Ongoing			Ongoing
CHS	Failure to implement lessons learnt from housing fires and associated risks	SHG	✅				2018/19		
CHS	Failure to recognise, and act upon, the need for transformational change and continuous improvement.	COTFB	✅		Ongoing	Ongoing Best Value		Ongoing	Ongoing
CHS	Failure to monitor, measure, manage, and mitigate the impacts of Welfare Reform and Poverty.	FFP	✅		2013/14			2018/19	
CHS	Insufficient funding to deliver services and deliver outcomes.							2018/19	Ongoing
CHS	Failure to properly discharge equalities duties								
CHS	Failures in workforce planning, including absence, vacancy management, and succession planning.					2017/18			
CHS	Compromised security, or inefficient use, of the Council's data and information asset.	IMWG	✅		2016/17			2018/19	
CHS	Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information.	IMWG	✅		2017/18	2018/19			2019/20
CHS	Failure to undertake proper engagement and consultation with service users, stakeholders, and partners on the delivery of services.	CPSB	✅		2017/18	2015/16			

Table 2 – Medium Risks

Lead Service	Risk Title	Group	Review Status	CRM Review	Internal Audit	External Audit	CRM Review	Internal Audit	External Audit
	Risk Summary	Governance Groups (where relevant)		Most Recent Review			Next Planned Review		
AS	Self-Management / Independent Living (including Self-Directed Support).				2013/14	2016/17	2018/19		
CS	Tackling Bureaucracy and Reducing Workload in Schools				2015/16			2018/19	
CS	Social Work - Risks Identified in CSWO Annual Report	PPCJCOSG	❌			Ongoing			Ongoing
CS	Failure to Deliver Scottish Government Early Years Expansion (by 2020)					2016/17			2018/19
CS	SSSC Code of Conduct - Recent Changes								
CS	Social Work Information System (SWIS) Replacement	SWIS PB	✅						
CS	CONTEST, Integrity, and Serious Organised Crime.	ICSG	✅					2018/19	
CHS	Failure to provide a safe environment for employees and visitors.	SWG	✅		2016/17			2018/19	
CHS	Failure to comply with Scottish Housing Quality Standards (SHQS).	SHG	✅			Ongoing	2018/19		Ongoing
CHS	Failure in Financial Management Control, or Assurance.	CPRWG	✅		Ongoing	Ongoing		2018/19	2018/19
CHS	Procurement and Commissioning arrangements fail to secure best value, and demonstrate compliance with Council standards or legal requirements.	PB	✅		2017/18	2014/15			
DS	Environmental Risks: Energy, Waste, and Sustainability	CSG	✅		2017/18			2018/19	
DS	Asset Management [Use, Condition, Suitability, Availability, and Reliability].	CAMG	✅				2018/19		
DS	Cemeteries / Head Stones Safety – Lessons Learnt from Fatal Accident at Craigton Cemetery, Glasgow.								
DS	Regulatory Enforcement.								
DS	Resilience: Business Continuity and Emergency Planning	EoS RRP	✅						

Table 3: Corporate Risk Register and Integrated Assurance Map Key

Lead Service		Governance Groups	
AS	Adult Services	BVWG	Best Value Working Group
CE	Chief Executive	CPRWG	Capital Planning and Review Working Group
CS	Children's Services	PPCJ COSG	Public Protection and Community Justice Chief Officers' Strategy Group
CHS	Corporate & Housing Services	CPSB	Community Planning Strategic Board
DS	Development Services	CAMG	Corporate Asset Management Group
		CSG	Corporate Sustainability Group
		CRMG	Corporate Risk Management Group
Portfolio Holders		COTFB	Council of the Future Board
CLT	Culture, Leisure, and Tourism	EoS RRP	East of Scotland Regional Resilience Partnership
ED	Economic Development	FFP	Fairer Falkirk Partnership
EDU	Education	ICSG	Integrity / CONTEST Steering Group
ENV	Environment	IMWG	Information Management Working Group
HSC	Health and Social Care	PB	Procurement Board
HOU	Housing	SWG	Safety at Work Group
LEA	Leader of the Council	SHG	Strategic Housing Group
PP	Public Protection	SWIS PB	Social Work Information System Programme Board
RES	Resources	CJ PB	Criminal Justice Change Programme Board
Review Status		**Linked Actions - Status**	
✅	Green: The risk has been reviewed within the last 4 months (120 days)	✅	Green: The action is on target or has been completed
❌	Red: The risk has not been reviewed within the last 4 months (120 days)	⚠️	Amber: The action is slightly behind target
		🛑	Red: The action is significantly behind target

Corporate Risk Register

Table 1: Summary of High Risks

Lead: Chief Executive

Risk Title	Target Risk (if relevant)	Governance Group (if relevant)	Portfolio Holder	Last Review	Review Status
Failures in Leadership, Governance, and Decision Making.	Medium		LEA	11 Apr 2018	✅
Uncertainties surrounding Brexit.	Low		LEA	24 Jul 2018	✅

Lead: Adult Services

Health and Social Care Integration.	Medium		HSC	22 Aug 2018	✅

Lead: Children's Services

Closing the Gap in Attainment.	Medium		EDU	21 Jun 2018	✅
Criminal Justice Services.	Low	CJ PB	PP	13 Jul 2018	✅
Getting It Right For Every Child (GIRFEC) Change Program.	Medium		PP	13 Jul 2018	✅
Public Protection (Adults and Children).	High	PPCJCOSG	PP	13 Jul 2018	✅

Lead: Corporate & Housing Services

Failure to implement lessons learnt from housing fires and associated risks.	Medium	SHG	HSG	23 May 2018	✅
Failure to recognise, and act upon, the need for transformational change and continuous improvement.	Medium	COTFB	LEA	11 Jul 2018	✅
Failure to monitor, measure, manage, and mitigate the impacts of Welfare Reform and Poverty.	Medium	FFP	LEA	17 Aug 2018	✅
Insufficient funding to deliver services and deliver outcomes.	Medium		LEA	24 May 2018	✅
Failure to properly discharge equalities duties.	Medium			23 Nov 2017	❌
Failures in workforce planning, including absence, vacancy management, and succession planning.	Medium		RES	11 Jul 2018	✅
Compromised security, or inefficient use, of the Council's data and information asset.	Medium	IMWG	RES	17 May 2018	✅
Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information.	Medium	IMWG	LEA	17 Aug 2018	✅
Failure to undertake proper engagement and consultation with service users, stakeholders, and partners on the delivery of services.	Medium	CPSB	LEA	17 Aug 2018	✅

Table 2: Summary of Medium Risks

Lead: Adult Services					
Risk Title	**Target Risk (if relevant)**	**Governance Group (if relevant)**	**Portfolio Holder**	**Last Review**	**Review Status**
Self-Management / Independent Living (including Self-Directed Support).		PPCJCOSG	PP	18 Jul 2018	✅

Lead: Children's Services					
Tackling Bureaucracy and Reducing Workload in Schools.	Low		EDU	13 Jul 2018	✅
Social Work - Risks Identified in Chief Social Work Officer Annual Report.	Low	PPCJCOSG	PP	13 Jul 2018	✅
Failure to Deliver Scottish Government Early Years Expansion (by 2020).	Low		EDU	13 Jul 2018	✅
SSSC Code of Conduct - Recent Changes.	Low		RES	13 Jul 2018	✅
Social Work Information System (SWIS) Replacement.	Low	SWIS PB	RES	13 Jul 2018	✅
CONTEST, Integrity, and Serious Organised Crime.		ICSG	LEA	03 Jul 2018	✅
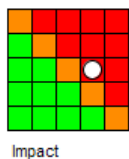
Lead: Corporate & Housing Services					
Failure to provide a safe environment for employees and visitors.	Medium	SWG	LEA	11 Jul 2018	✅
Failure to Comply with Scottish Housing Quality Standards (SHQS).	Medium	SHG	HSG	24 Jul 2018	✅
Failure in Financial Management Control, or Assurance.	Medium	CPRWG	LEA	11 Jul 2018	✅
Procurement and Commissioning arrangements fail to secure best value, and demonstrate compliance with Council standards or legal requirements.	Medium	PB	LEA	25 May 2018	✅

Lead: Development Services					
Environmental Risks: Energy, Waste, and Sustainability.	Medium	CSG	ENV	12 Jul 2018	✅
Asset Management [Use, Condition, Suitability, Availability, and Reliability].	Medium	CAMG	LEA	23 Jul 2018	✅
Cemeteries / Head Stones Safety – Lessons Learnt from Fatal Accident at Craigton Cemetery, Glasgow.	Low		ENV	01 Aug 2018	✅
Regulatory Enforcement.	Medium		ENV	06 Aug 2018	✅
Resilience: Business Continuity and Emergency Planning.		EoS RRP	PP	25 Jul 2018	✅
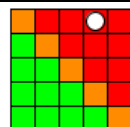
Table 3: Details of High Risks
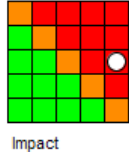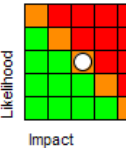
Chief Executive

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CE_G_01	**Failures in Leadership, Governance, and Decision Making**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
	Leader of the Council	Chief Executive		

Risk Statement	Ineffective leadership could result in the Council failing to make effective decisions and to progress the priorities set out within the Strategic Outcomes and Local Delivery Plan (SOLD) and Corporate Plan. The issues could include: - ineffectively designed or implemented decision making and scrutiny structures; - a lack of constructive and productive relationships across Members, Officers, and / or Partners; - professional advice not being sought timeously and / or not being acted upon; - a lack of challenge by Officers / Members; - conflicts of interest, and a lack of pace and ambition to respond effectively to the Council's challenges.
Worst Case Consequences	- Fundamental breakdown in Officer, Member, and / or Partner relationships; - Failure to deliver Best Value services and make well-informed decisions; - Audit criticism, resulting in reputational damage and / or external intervention; - Decisions could be challenged due to poor accountability or transparency; and Officers and / or Members fail to respond effectively to the Council's challenges.
Controls / Mitigation	- Clear and agreed governance structures, in line with Standing Orders; - Improvement is pursued by Officers and Members with pace and ambition; - Timely engagement and consultation with all Stakeholders (including Partners); - Clear schemes of delegation and accountability throughout the organisation; - Transparent decision-making processes are supported by professional staff; - Committees report template; and Integrity Policies – including Code of Conduct for Members and Officers.
How do we monitor that controls are working effectively?	Independent, external, review and scrutiny, e.g. Best Value reviews.
What more can we do to reduce the risk?	The following actions are being taken to improve / embed effective decision making: - Best Value Report – Improvement Action Plan. - Committee Report Template to be embedded through training and challenge. - Leaders should model / embed a culture of scrutiny, challenge, and accountability. Ongoing development of tools that will provide Officers and Members with better quality information, to improve timely decision making.
Lessons Learnt	Best Value reports have highlighted the need for effective decision making, including effective governance and relationships amongst Members, Officers, and Partners; and a need for a shared commitment to addressing the Council's budget challenges with pace and ambition.

LATEST NOTES	
Latest Note	**Date Reviewed**
This risk was updated in May 2018. The risk level has been increased from Medium to High.	11 Apr 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CE_G_02	Uncertainties surrounding Brexit			
Governance Group (if Relevant)	Portfolio Holder	Lead Officer		
	Leader of the Council	Chief Executive		

Risk Statement	Falkirk Council is engaging with COSLA re the impact of Brexit nationally. The main risk is not knowing what exactly is going to happen, making planning difficult. Locally, there are 3 primary areas that may impact on the Council: - EU funding of future projects (and the economic impact); - EU workers (in particular, seasonal workers); and - EU citizens employed by the Council (in particular, teaching and care staff, where there are already resource pressures).
Worst Case Consequences	- Resources are further stretched / detracted from Corporate priorities; - Failure to manage change, e.g. legislation; and - Failure to deliver Best Value services and make well-informed decisions.
Controls / Mitigation	Development Services will continue to lead on discussions with COSLA and provide updates to CMT and CRMG.
How do we monitor that controls are working effectively?	-
What more can we do to reduce the risk?	HR are trying to identify and support all affected employees, e.g. with citizenship applications. Services have been asked to help ensure that this work is progressed.
Lessons Learnt	Previous elections and referendums.

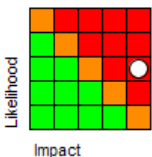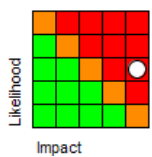| LATEST NOTES	
Latest Note	Date Reviewed
This risk was reviewed by CRMG on 01 June, and the information above has been updated to reflect the minutes of those discussions. The Lead Officer is the Chief Executive, but Development Services lead on monitoring this risk and providing updates to CMT and Members.	24 Jul 2018

Adult Services

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
IJB.00 / CRR.AS1	**Health and Social Care Integration**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
	Health and Social Care	Head of Social Work Adult Services		

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 IJB has established an Audit Committee with responsibility for oversight of IJB risk management arrangements. The Audit Committee should receive a quarterly Strategic Risk Register update report and regular risk management reports. These reports focus on IJB risks. The Audit Committee will receive an updated Strategic Risk Register report during 2018 which will take account of the proposals to transfer operational responsibility for some NHS services to the IJB. There is a risk that this transfer could destabilise Adult Social Care Services. In June 2018 the Chief Executive of Falkirk Council presented a report to Falkirk IJB which included the following statement: "There remains uncertainty around the management structure to be transferred, with no agreement on the appropriate seniority of transferring posts. If unresolved, this would result in the Chief Officer and Head of Adult Social Care being overburdened with unfeasible spans of control, which is a significant risk for the services transferring as well as adult social care. The Council cannot support a proposal that could undermine adult social care and the vulnerable people it protects."
Worst Case Consequences	- Financial and Project: Budget overspends due to inability to effectively manage pressures. Service 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	As per IJB Risk Register.
How do we monitor that controls are working effectively?	Project and Strategic Risks, Service Planning, and Performance review processes will be agreed and monitored by the Leadership Team and Integration Joint Board.
What more can we do to reduce the risk?	1. See IJB Risk Register. 2. Internal Audit will provide consultancy support as part of a wider review of risk management and the strategic risk register in 2018/19.
Lessons Learnt	Lessons Learnt will be considered as part of future HSCP Leadership Team risk reviews.

LATEST NOTES

Latest Note	Date Reviewed
Internal Audit will provide consultancy support as part of a wider review of risk management and the strategic risk register in 2018/19.	22 Aug 2018

Children's Services
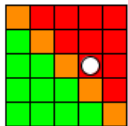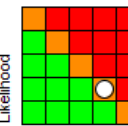
Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CS_01	Closing the Gap in Attainment			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
	Education / Children's Services	Head of Education		
Risk Statement	The risks specific to Children's Services include: a) Increasing positive destinations / outcomes; b) Meeting attainment targets / closing the attainment gap; c) Improving pupil attendance; d) Delivering zero tolerance strategy on illiteracy and innumeracy and e) managing the Pupil Equity Fund.			
Worst Case Consequences	Prosecution or other legal remedy; Civil claims; Criticism & external intervention (e.g. Care Commission and Criminal Justice Authority); Damage to reputation; Breakdown in communications with partners leads to poor sharing of information and decisions.			
Controls / Mitigation	Monitored, scrutinised and reviewed by a) Children's Services Senior Leadership Team; b) performance panel; and c) Scottish Government.			
How do we monitor that controls are working effectively?	To be populated following next Children's Services risk register review.			
What more can we do to reduce the risk?	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 NOTES

Latest Note	Date Reviewed
PEF Funding initiatives are now being rolled out in schools and arrangements are in place to monitor the impacts of these initiatives on improved performance and equity across our school estate.	21 Jun 2018
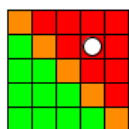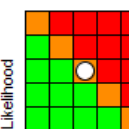
Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CS_02	**Criminal Justice Services**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Criminal Justice Program Board	Public Protection	Chief Social Work Officer		
Risk Statement	Offending happens on a daily basis. 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.			
How do we monitor that controls are working effectively?	MAPPA Working Group; Self Evaluations (e.g. Women & young Offender Services); FV Criminal Justice Board; Evaluations By Care Inspectorate.			
What more can we do to reduce the risk?	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 NOTES				
Latest Note			**Date Reviewed**	
Reviewed Jun 18 - No change			13 Jul 2018	
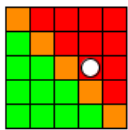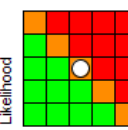
Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CS_04	Getting It Right For Every Child (GIRFEC) Change Program			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
	Public Protection	Head of Education		

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 and Criminal Justice Authority); Damage to reputation; Breakdown in communications with partners leads to poor sharing of information and decisions;
Controls / Mitigation	Implementation Plan for Named Person - August 2016. JCC RAG Resource Allocation Group - subject to review.
How do we monitor that controls are working effectively?	To be populated following next Children's Services risk register review.
What more can we do to reduce the risk?	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; and - Develop information protocol between Named Person Service and Lead Professionals.
Lessons Learnt	-

LATEST NOTES	
Latest Note	**Date Reviewed**
Reviewed June 18 - No change	13 Jul 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CS_08	**Public Protection (Adults and Children)**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Public Protection & Community Justice Chief Officers' Strategy Group	Public Protection	Chief Social Work Officer		

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 plce (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.
How do we monitor that controls are working effectively?	-
What more can we do to reduce the risk?	Council strategies (GIRFEC / Corporate Parenting). SOLD / Service Plans. Working Groups established to progress issues relating to information sharing from Social Work, Police and Health. Review progress in 3 months.
Lessons Learnt	-

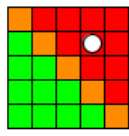| **LATEST NOTES**	
Latest Note	**Date Reviewed**
Reviewed June 18 - No change to risk category. Work in this area is continual.	13 Jul 2018
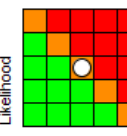
Corporate & Housing Services
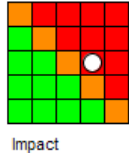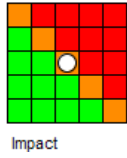
Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_A_07	**Failure to implement lessons learnt from housing fires and associated risks**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Strategic Housing Group	Housing	Heads of Procurement & Housing Property and Housing Services		

Risk Statement	There is a risk that the Council fails to implement lessons learnt from housing fires and associated risks. The Council has a portfolio of over 16,000 houses, of which over 1,000 of these are high rise tower blocks. All properties have been constructed or maintained to the building regulations pertaining at that time. The Fire (Scotland) Act 2005 and associated amendments, sets the regulatory framework through which the Council as landlord must follow.
Worst Case Consequences	Fatalities, injury, loss of homes, significant financial cost, and reputational harm.
Controls / Mitigation	Key fire protection measures currently in place include: - All properties have hard wired smoke alarms installed; - Carbon Monoxide detectors in all properties with gas which are linked to the smoke alarm; - Regular testing and maintenance of fire prevention equipment e.g.: fire alarms; dry risers; emergency lighting and fire extinguishers, within high rise properties and other applicable locations; - Fire tested doors within high rise flats. The following measures have been progressed since the Grenfell incident: - Regular and effective liaison with Scottish Fire Service, including quarterly premises visits to High Rise flats. - Independent Fire Risk Assessments completed and in place for each High Rise block. - A number of housing staff have been trained in fire safety and they undertake a programme of fortnightly checks on the High Rise properties as part of their housing management role. Any repairs or issues being identified are instructed for action immediately. - Programme of works ongoing to install fire suppression systems within the Bin Store areas at all Tower Blocks i.e: areas deemed to at risk of having combustible material. This measure has been supported by the Fire Service. - Programme of installation of LED and emergency lighting within common closes of low rise tenement properties. - Removed external cladding sheets to ensure the composition of the structure is correct, including Fire Checks. - Design work progressing to create additional lift opening points within each high rise block, allowing both lifts access to all floors. - Design work being undertaken regarding installation of fire suppression systems within new build properties. - Monitoring and responding to consultations on emerging legislation in order to have early actions and measures in place to respond to changing regulatory framework.
How do we monitor that controls are working effectively?	-
What more can we do to reduce the risk?	Continuing to monitor and progress the control above.
Lessons Learnt	- Need to maintain on-going programme of property checks, e.g. to ensure fire doors properly sealed and closed; no fire hazards are in communal areas etc. - Need to maintain on-going public awareness of fire safety measures. - Joint working with Scottish Fire and Rescue Service.

Latest Note	Date Reviewed
Clear and established processes now in place for monitoring and assessing fire safety. With greater awareness and trained staff in place, together with effective liaison with the Scottish Fire Service. At this time, we have in place a range of controls and measures to mitigate risk. However, we still await clearer guidance / legislation to flow from the Grenfell enquiry via Scottish Government. In the absence of this, the risk remains high, until we can be satisfied that we have not only implemented measures in accordance with current best guidance but we are also implementing any new requirements.	23 May 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_C_01	**Failure to recognise, and act upon, the need for transformational change and continuous improvement.**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Council of the Future Board	Leader of the Council	Head of HR & Business Transformation		

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	Failure to deliver the planned programme of Council of the Future work and to achieve the required savings in the required timescales, leading to: • absence of required skills or expertise to deliver services; • service failure (including delivery of statutory services); and • external intervention in the running of the Council.
Controls / Mitigation	• COTF Board in place (comprising elected Members and Chief Officers); • Programme of COTF work agreed and being progressed; • Change Manager and Project Management Office team appointed to ensure good practice and drive pace of change; and • Framework for COTF reporting, timelines, outcomes, and benefits developed and subject to constant review.
How do we monitor that controls are working effectively?	• Reports on projects and reviews submitted to, and scrutinised by, the Council of the Future Board, CMT, and Executive; • Audit Committee monitors the effectiveness of COTF Risk Strategy / program governance; • Change implemented, savings achieved, and performance improved, in line with agreed outcomes. • The Programme Management Office (PMO) have 1:1 reviews with Program Managers and attend Service Change Boards to ensure that robust project assessments / documentation are in place. • Monthly project reports form the basis of Performance Panel reports for each Service's COTF service plan updates.
What more can we do to reduce the risk?	• The Board will review the Program Risk Register at 6 monthly intervals (or by exception); • Project lead officers will monitor project risks, as part of project management arrangements; • Oversight and scrutiny by CMT, Audit Committee, Executive, Council, and external audit; • Internal audit of processes and controls; and • Reviewing the change programme through Council of the Future proposals.
Lessons Learnt	Consideration has been given to best practice, lessons learned by other Councils, feedback from Audit Scotland, and programmes in place elsewhere.

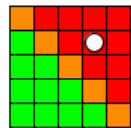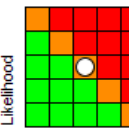| LATEST NOTES	
Latest Note	**Date Reviewed**
The Board has considered its risks and continues to do so. Implementation of the programme and the foundations of culture change are, however, at early stages and need to continue to be monitored.	11 Jul 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_C_02	Failure to monitor, measure, manage, and mitigate the impacts of Welfare Reform and Poverty.			
Governance Group (if Relevant)	Portfolio Holder	Lead Officer		
Fairer Falkirk Partnership	Leader of the Council	Head of Policy, Technology & Improvement		

Risk Statement	There is a risk that the Council fails to provide our residents with more accessible money advice and support services, to help people maximise their income and mitigate financial difficulties. Failure to manage this risk effectively could affect the Financial Security outcomes in the Fairer Falkirk Strategy. A key risk is the introduction of Universal Credit, which creates a significant risk of increased poverty to people in our area due to the changes to the social security system. There is also a high risk to the Council's finances that rent arrears increase, impacting on the Housing Revenue Account. There are also risks relating to the introduction of Local Advice and Support Hubs. Significant work is required within a tight timescale to implement the Central Hub and exit from Callendar Square. This is being closely monitored by the Frontline Services Improvement Group. The following risks on the Corporate Risk Register cover the risks of failing to meet other aspects of the Fairer Falkirk Strategy: Harm to Children / Adults, Housing Strategy, Health and Social Care, and Communities and Participation (which includes Partnerships and Community Empowerment). The roll out of Universal Credit will not be complete until 2022. Currently only approximately 10% of our expected final claimants are claiming Universal Credit. We are not yet seeing the full impact of Universal Credit and the other significant changes to the benefits system and, therefore, the risk remains high.
Worst Case Consequences	- Impact on citizens' ability to pay bills, leading to increased poverty and ill-health for communities; - Significant increases in demand for support, e.g. Crisis Grants and Discretionary Housing Grants; - Fall in rent and Council Tax collection rates, and impact on Housing Revenue / Council finances; - Unsustainable pressure on Council services and staff; - New models of service delivery do not improve Services, or within planned budget / time; - Staff do not have the skills or support to provide effective Services (including digital skills); - Impact on reputation of Council and relationships with citizens / partners; and - Increased inequality may impact on health, social issues, the economy, and employment.
Controls / Mitigation	- Provision of advice services that meet the needs of individuals and communities; - Refocussing of Fairer Falkirk Fund and Poverty Strategy; - Fairer Falkirk Strategy focusses on actions that address / prevent the root causes of poverty; - Financial Controls, including monitoring of Council Tax and rent collections and bad debts; - Workforce planning, including new roles and skills, to provide better advice and support; - Investment in property and information assets to enable more effective services. In addition, the Council aims to reduce the root causes and impact of poverty through various related strategies and plans, including housing, attainment, community empowerment, employment and training, and health and social care. These are monitored by relevant oversight Groups.
How do we monitor that controls are working effectively?	- Following the Public Pound: evaluation of outcomes and best value from external funding; - Fairer Falkirk Partnership have oversight of the Fairer Falkirk Strategy; - Community Planning Partnership have oversight of the poverty outcomes within the SOLD; - Frontline Service Improvement Group monitor progress with the Local Advice and Support Hubs; - CMT and Executive receive updates on the risks relating to the change programs above; and - Oversight of related risks / plans by relevant Groups and Committees, e.g. the Strategic Housing Group, Council of the Future Board, and the Information and Asset Management Working Groups

What more can we do to reduce the risk?	A review of the Fairer Falkirk Strategy is underway. This will shape future priorities and actions. Implementation of the three Advice Hubs will ensure people have access to advice and support to help them maximise their impact and better manage their money.
Lessons Learnt	The work-streams 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. These are key components of our Advice and Support Hubs.

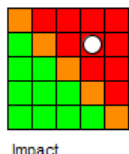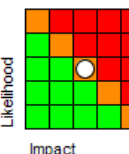| LATEST NOTES	
Latest Note	**Date Reviewed**
The key messages provided in the following reports provide an overview of the current risks: - Universal Credit: Executive Update, January 2018: Full Service Universal Credit (implemented in March 2018) significantly increases these pressures. Lessons have been learnt from other Council's experiences of rolling out Universal Credit, and this helps to inform the controls and actions that Falkirk put in place in preparation for this change. - Local Advice and Support Hubs: Executive Update, September 2017: Whilst any changes to services carry a degree of risk, the Advice and Support Hub has been in place in the East since December 2016 with no negative impacts. - Front facing Office: Executive Update, August 2018, includes funding to implement the Central Hub in the Falkirk Library.	20 Aug 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_F_01	Insufficient funding to deliver services and deliver outcomes.			
Governance Group (if Relevant)	Portfolio Holder	Lead Officer	Likelihood / Impact	Likelihood / Impact
	Leader of the Council	Chief Finance Officer		

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. The key funding uncertainties and challenges over the medium term are: - Funding: including Local Government Financial Settlement, Brexit, and Business Rates; - Reserves : the ongoing use of reserves to fund Services is not sustainable; - Demographics: in particular, challenges on Pupil Teacher Ratios, Adult Services, and Welfare; and - Council of the Future Program (delivery of projects and realisation of savings). The following corporate risks need effective management in order to manage funding risks: (abbreviated): Leadership, Change, Brexit, Social Care, Equalities, Poverty, and Financial Controls.
Worst Case Consequences	- The Council is unable (or unwilling) to take difficult decisions 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 citizens if services not delivered; - Statutory breaches, leading to Public Enquiry and / or legal action; and external intervention in the running of the Council.
Controls / Mitigation	- Medium term financial planning (MTFP), scenario modelling, and horizon scanning; - robust and inclusive budget preparation process (e.g. Member Budget Working Group and EPIAs); - ongoing budget monitoring by managers, and expert advice from Service Accountants; - gathering and considering network intelligence via, eg COSLA, CIPFA Directors of Finance Group; - aligning budgeting to strategic planning, COTF program, and strategies e.g. workforce and technology; - Members have agreed a provisional 3% Council Tax increase, which informs planning; - Improved budgeting, e.g. zero based, participatory, and review of funding of external organisations; implementing and enforcing Financial Regulations and other good practice guidance and processes.
How do we monitor that controls are working effectively?	. Statutory Section 95 Officer review role; . Oversight and scrutiny by CMT, Audit Committee, Executive, and Council; . External Audit of the Council's Financial Statements, and Best Value reviews; . Internal Audit of processes and controls; . Member Budget Working Group; and Oversight by partnership Boards, including Falkirk Community Trust and the Integration Joint Board.
What more can we do to reduce the risk?	-
Lessons Learnt	Best Value reports highlight the need for leadership, medium and long-term financial planning, appropriate use of reserves, strategic planning, and change management. The Council have also learnt from budgeting best practice externally, e.g. zero based budgeting.

LATEST NOTES	
Latest Note	**Date Reviewed**
The Medium Term Financial Plan update to the Executive in May 2018 provides a more detailed review of the risks and work being taken to mitigate these.	24 May 2018
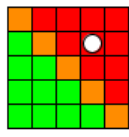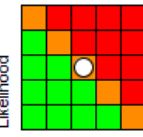
Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_G_01	**Failure to properly discharge equalities duties.**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
		Head of Policy, Technology & Improvement		

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.
How do we monitor that controls are working effectively?	
What more can we do to reduce the risk?	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 NOTES	
Latest Note	**Date Reviewed**
Equality and poverty impact assessments are being rolled out across the council underpinned by training for members and officers.	23 Nov 2017

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_H_01	**Failures in workforce planning, including absence, vacancy management, and succession planning.**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
	Resources	Head of HR & Business Transformation		

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. There is also a risk that the Council fails to agree and implement a modern and flexible package of terms and conditions, and to undertake effective consultation with employees and trades' unions. This risk is closely linked to the following additional, but separate, corporate risks: equalities, health and safety, and early years expansion.
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 / staff satisfaction issues (impacting on recruitment, retention, performance and employee relations.
Controls / Mitigation	- Workforce Strategy agreed by Members, and monitoring of implementation by Human Resources; - Workforce Planning Framework in place and being implemented across Services; and - Workforce Plans being developed across all Services and Council wide plan drafted. - Workforce Plans are an integral part of Strategic Planning, including Service Planning / Budgets; - HR support Services in developing and reviewing their workforce plans; - Trades' Union are pro-actively involved in change, including consultation on terms and conditions and workforce issues; - Managers receive the information and support needed to manage performance, e.g. absence; - Employee engagement is undertaken and acted upon, e.g. staff satisfaction survey / Action Plans; - HR and Organisation Development Policies are effective and consistently implemented; and - A range of training and development opportunities are available to improve skills / performance.
How do we monitor that controls are working effectively?	- Update reports on workforce changes presented to, and considered by, CMT; - Absence and turnover reports submitted to Joint Consultative Committee; and - Consistency of approach to workforce planning across all Services; - HR Policy and Procedure Audits, and Exit Interviews; - Employee Satisfaction results are evaluated, and Action Plans are implemented and monitored; - Workforce Planning reviews, including critical friend, audit, and peer review; - Best practice reviews including ILM, and Healthy Working Lives audits; - Oversight of HR risks by staff / JCC and Service Based Forums (but this consultation framework is under review); and Equalities / Equal Pay issues are monitored as part of the Equalities Mainstreaming process.
What more can we do to reduce the risk?	Ensuring workforce plans form part of day to day workforce considerations, budget strategy and change programme. Progress the key COTF projects and Service Plan actions outlined below. Improve areas identified in Policy and Procedures reviews, e.g. exit interviews. Review the current JCC framework and implement new partnership arrangements / framework to improve employee and industrial relations.
Lessons Learnt	Research of best practice undertaken to develop the workforce strategy and the workforce planning framework.

LATEST NOTES	
Latest Note	**Date Reviewed**
Absence management continues to be monitored but is still above the Council's target. There are costs associated with this. Revised workforce plans have been developed and must continue to be implemented. Given the financial situation of the Council the risk level of this remains unchanged.	11 Jul 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_I_01	**Compromised security, or inefficient use, of the Council's data and information asset.**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Information Management Working Group	Resources	Chief Governance Officer and Head of Policy, Technology, and Improvement		

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. This risk includes the potential failure to comply with General Data Protection Regulations (GDPR), and deliver on the information objectives with the COTF Program and Corporate Plan. There are a number of closely related corporate risks, e.g. Cyber Security and SWIS Replacement.
Worst Case Consequences	- Significant data breach leading to personal harm and / or Information Commissioner's Office (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 is recognised through clear governance structures – including a Senior Information Risk Officer, Data Protection Officer, and Information Governance Manager. - Information Governance and Security Policies are in place; - Data protection training regime in place and monitored; - Framework of policies including Acceptable Use Policy and Record Management Plan; - Planned future workstream as part of COTF Information project to further develop strategy and practice for appropriate sharing of information across Services and Partners; - Public Services Network (PSN) compliance; and - working to further develop strategy and practice for appropriate sharing of information across Services and Partners.
How do we monitor that controls are working effectively?	- No breaches reported; - Audits of compliance with Policies; - Officer knowledge of subject area is tested and is high; and - Customer confidence is high.
What more can we do to reduce the risk?	The following plans are in place: - GDPR Action Plan; - COTF Information Project Plan; and Internal Audit will review GDPR compliance and COTF Programs. Information security policies to be updated.
Lessons Learnt	Lessons learnt from internal and external data breaches are regularly reviewed and shared.

LATEST NOTES	
Latest Note	**Date Reviewed**
The following COTF Updates provide an overview of key actions to mitigate information asset risks from an Information Governance perspective: • Information Working For You; and • GDPR Compliance. Sound Information Governance. The GDPR Action Plan includes the following priorities: Information Asset Audit, Personal Data Audit / Privacy Notices, Communications and Awareness, Data Protection Policy, and Contracts.	17 May 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_I_03	**Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information.**			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Information Management Working Group	Leader of the Council	Head of Policy, Technology & Improvement		

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	- A "Denial of Service" attack could prevent access to IT Systems and the Internet without losing data. - 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 – including independent Health Check; - Annual Cyber Essentials Accreditation; - Network Security, including firewalls, network segregation and penetration testing; - National Cyber Security Centre Active Defence Measures – Webcheck real time monitoring on our internet facing systems Other "Defence in Depth" measures such as antivirus and end point protection software and end user training.
How do we monitor that controls are working effectively?	- Achieving PSN accreditation which requires remediating any vulnerabilities found in the independent Health Check; - Achieving Cyber Essentials accreditation which is a pass or fail accreditation; - Lack of Data/Information breach; - Immunity to cybersecurity incidents which affects others Monitoring of our protection systems e.g. Symantec Endpoint Protection.
What more can we do to reduce the risk?	- PSN Accreditation Improvement Plan (and monitoring by the IMWG); - Continued participation in IT Security groups such as the Scottish Local Authority IT Security Group; - Continued awareness of National and International Security Incident reports through CHisP (Certified Health Informatics Systems Professional) and CERT (Network Certification Body); - Continued testing of our BCPs in conjunction with our colleagues in Emergency Planning Services to review their ICT systems and confirm which are critical ('Hot Systems') i.e. those needing recovered as a priority during any interruption. This will allow the ICT to develop appropriate recovery plans.
Lessons Learnt	- Continuous review of internal and external cyber security incidents, and appropriate response (reinforcing staff awareness and technical security). - Business continuity risks relating to a loss of power failure at Municipal Buildings have been tested and the emergency generator provided power to the building and IT systems during this time.

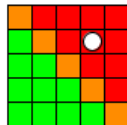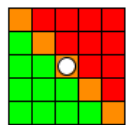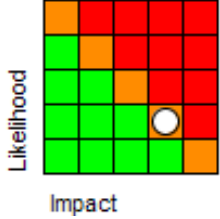| **LATEST NOTES**	
Latest Note	**Date Reviewed**
Current information from the National Cyber Security Centre indicates that there is still a high likelihood of a high impact cyber security event affecting the UK.	17 Aug 2018

Risk Ref.	Risk Title		Current Risk	Target Risk (if relevant)
CRR_CHS_P_01	Failure to undertake proper engagement and consultation with service users, stakeholders, and partners on the delivery of services.			
Governance Group (if Relevant)	**Portfolio Holder**	**Lead Officer**		
Community Planning Strategic Board	Leader of the Council	Head of Policy, Technology, and Improvement		

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.
How do we monitor that controls are working effectively?	-
What more can we do to reduce the risk?	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 NOTES	

Latest Note	**Date Reviewed**
The risks are mitigated by having robust and defensible consultation and decision making processes and by the Scrutiny Committee monitoring the following strategies and action plans: SOLD, Locality Planning and Participation Strategy. Engagement and consultation is embedded within decision making, including consideration of the risks and impact on stakeholders within all Committee reports. An online consultation tool has been implemented and training delivered to relevant officers across the Council. The Corporate Participation Group oversees activities and meets on a two-monthly basis, with the next meeting on 03 September. The Participation Strategy is due for renewal in 2019 and work is being carried out to refresh it. A public consultation is underway asking the public what they want to be consulted on and how they want to be consulted and this will inform the new strategy. There has also been a considerable amount of engagement work in communities to underpin Locality Planning. The Executive agreed on 14th August to establish a Policy Development Panel to look at the implications of the Local Governance Review which will cover a number of related areas. A risk and governance framework is in place at both Council and Community Planning Partnership levels. The Community Planning Leadership Board are accountable for the effectiveness of the partnership performance, risk, and governance arrangements. The SOLD plan summarises the governance arrangements, including delivery and partner responsibilities. The Scrutiny Committee receive regular CPP updates and are responsible for scrutinising these risks. This includes updates on locality planning, community empowerment, and participation. The Audit Committee receive regular (6 monthly) Corporate Risk updates and are responsible for scrutinising the risks to the Council. As part of this the lead officer updates the corporate risk and provides CRMG with an annual self-assessment on the effectiveness of the CPP SB. Audit Scotland has also undertaken previous reviews of the Community Planning Partnership.	17 Aug 2018

Table 4: Risk Scoring Guidance

Risk Level	Risk Appetite / Approach	Scoring Matrix
High (Score 10-25)	High Risks may be either: • within the Council's risk appetite (meaning that the Lead Officer considers the current controls are proportionate **and effective**; or • above the Council's risk appetite (meaning that the Lead Officer considers that additional actions are necessary to reduce the risk (if the risk is above the risk appetite, the Corporate Risk Register should include a Target Risk Level and Actions)	
Medium (Score 7-9)	Medium risks are within Council's risk tolerance - meaning, controls / mitigation are proportionate **and effective** (actions are not essential, but may included in the Corporate Risk Register).	
Low (Score 1-6)	These do not need to be recorded on the Corporate Risk Register. Services should monitor these at an operational level and, if the risk increases, they should be added as High or Medium risks.	

LIKELIHOOD			IMPACT / CONSEQUENCE				
Impact		Score	Financial	Reputational	Harm to People or Assets	Interruption to Services to Projects	Audit/ Legal/ Compliance
1 Almost Impossible	Little evidence that the risk is likely to occur	**1 Negligible**	None or little budget impact; spend is within risk owner's authority	None, or little, media interest; impact is in public domain, but managed	None or very minor injury and / or damage	None or little disruption to one service, or project delay	No or little query from audit body / regulator; but no criticism or action required
2 Unlikely	Low chance of the risk occurring	**2 Minor**	Minimal budget impact; spend is within risk owner's authority	Local media interest and / or customer complaints	Minor injury and / or damage	Minor disruption to multiple services, or project delay	Action required; but unlikely to result in criticism and / or penalty
3 Possible	A reasonable chance of the risk occurring	**3 Moderate**	Manageable budget impact; spend exceeds risk owner's authority	Regional media interest and / or multiple complaints	Moderate injuries and / or damage	Some disruption to service, or project delay	Action required; and may result in criticism and / or penalty
4 Likely	A strong chance of the risk occurring	**4 Major**	Major impact, but within budgets	National media interest and / or serious loss of confidence	Major injury, death, and / or assets destroyed	Major service disruption, loss of multiple services, or project delay	Major legal action, penalty, and / or criticism
5 Almost Certain	Fairly certain that risk will / has occur, occurred	**5 Severe**	Extensive; spend exceeds available budgets	Sustained media interest, complaints, and / or loss of confidence	Multiple deaths and / or assets destroyed	Extended disruption or loss of service, or project delay	Severe penalty, criticism and / or legal action