

The background of the slide features a large, light blue watermark of the University of Alberta crest. The crest includes a crown at the top with four floral motifs, a shield divided into four quadrants (top-left: gear, top-right: stag head, bottom-left: sailing ship, bottom-right: eagle), and a banner at the bottom with the motto 'ANNE FOR A'.

Agenda Item 4

**Referral from Audit Committee –
Corporate Risk Management Update**

Agenda Item 4

Title: Referral from Audit Committee – Corporate Risk Management Update

Meeting: Emergency Executive

Date: 17 September 2020

Submitted by: Director of Corporate and Housing Services

1. Purpose of Report

- 1.1 This report refers the Corporate Risk Management Update report from the Audit Committee of 24 August 2020 for consideration and approval.

2. Recommendation

- 2.1 **It is recommended that the Executive considers and approves the Corporate Risk Register.**

3. Background

- 3.1 At its meeting of 24 August 2020 the Audit Committee agreed to refer the Corporate Risk Management Update to the Executive for consideration and approval. The report referred by the Audit Committee is provided as an appendix to this report.

4. Consultation

- 4.1 No consultation was carried out on this report.

5. Implications

Financial

- 5.1 There are no financial implications arising from the report recommendations.

Resources

- 5.2 There are no resource implications arising from the report recommendations.

Legal

- 5.3 There are no legal implications arising from the report recommendations.

Risk

- 5.4 There are no risk implications arising from the report recommendations.

Equalities

- 5.5 There are no equalities implications arising from the report recommendations.

Sustainability/Environmental Impact

- 5.6 No sustainability assessment has been completed as part of compiling the report.

6. Conclusions

- 6.1 The Audit Committee agreed to refer the Corporate Risk Management Update to the Executive for consideration and approval.

Director of Corporate & Housing Services

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Date: 17 September 2020

Appendices:

Appendix 1 - Report to the Audit Committee 'Corporate Risk Management Update'
– 24 August 2020

List of Background Papers:

No papers were relied on in the preparation of this report in terms of the Local Government (Scotland) Act 1973.

Falkirk Council

Title: Corporate Risk Management Update
Meeting: Audit Committee
Date: 24 August 2020
Submitted By: Director of Corporate and Housing Services

1. Purpose of Report

- 1.1 This report provides an update on the Corporate Risk Register (CRR), taking account of the impact of the COVID-19 pandemic. It also summarises progress with embedding Corporate Risk Management (CRM) arrangements.

2. Recommendations

2.1 It is recommended that the Committee:

- (1) notes, reviews, and challenges the Risk Dashboard and Corporate Risk Register at Appendices 1 and 2;**
- (2) notes that Services are developing 2020/21 Assurance Statements, linked to COVID-19 Recovery Plans.**
- (3) notes the Corporate Risk Assurance Map at Appendix 3;**
- (4) notes the proposed Corporate Risk Register Deep Dive Review Program (included at Appendix 3); and**
- (5) refers this report to the Emergency Executive, for consideration and approval of the Corporate Risk Register and Corporate Risk Register Deep Dive Review Program.**

3. Background

- 3.1 The most recent Corporate Risk Management update to the Audit Committee, in September 2019, included a review of the CRR and progress with embedding CRM arrangements. Since then, the impact of COVID-19 has been felt across the Council, our partners, and our communities. Clearly this must be embedded within our approach to risk management, and more detail is provided in the next section of this report and in the Corporate Risk Register at Appendix 2.
- 3.2 The Audit Committee is responsible for reviewing and seeking assurance on the Council's framework of risk management, governance, and control.

- 3.3 The role of the Executive is to review and agree the Corporate Risk Register, and to horizon scan for new and emerging risks.

4 Considerations

- 4.1 Good risk management is a routine yet integral part the Council's decision making processes. It is, however, of heightened importance when the landscape within which we operate changes to the extent it has in recent months as a result of COVID-19.
- 4.2 Initially, during the immediate Response phase, assessment and management of risk was a key consideration in the day to day decisions taken to ensure that Services continued to be provided and that people were kept safe. As we have moved through the Response and into the Recovery phase, the opportunity has been taken to ensure that the impact of COVID-19 is properly reflected within our Corporate Risk Register, and that risk is linked into the Recovery Plans being developed and progressed within each Service.
- 4.3 The Corporate Risk Register, at Appendix 2, now includes a number of COVID-19 related risks which reflect the corporate and Service specific position. In addition, each of the existing risks have been reviewed and, where relevant, updated to take account of the impact of COVID-19. The way in which the Council operates and provides services has changed significantly, and in a very compressed timescale. The risk awareness of our staff has helped ensure that changes have been made quickly, but safely and in a managed way.
- 4.4 Looking forward, our organisation will continue to change both as a result of COVID-19 and the wider Council of the Future transformation programme. New ways of working will be developed and embedded, and the measured and proportionate management of risk will be integral to ensuring that these new ways of working result in the vision and outcomes that, as a Council, we are working towards.
- 4.5 Prior to COVID-19, and since the last Corporate Risk Management Update report to Audit Committee in September 2019, Services have also undertaken a wider range of actions to embed risk management. A summary of progress is set out in the Risk Management Dashboard at Appendix 1.
- 4.6 In addition:
- Directors completed Annual Assurance Statements for 2019/20, and these are being refreshed to reflect 2020/21 priorities;
 - most Governance Groups have completed self-assessments;
 - Services have included meaningful consequences, controls, and lessons learned in the CRR (at Appendix 2). Further work is needed to develop measurable actions in some areas; and

- risk management has been embedded within the Council of the Future Programme, via a Risk Strategy and Programme Risk Register. The risk register has been reviewed to reflect wave 2 of the change programme.

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 A sustainability / environmental assessment was not required.

7 Conclusions

- 7.1 The impact of COVID-19 has been reflected in the Corporate Risk Register, and work continues to be undertaken to further improve and embed CRM arrangements.

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Director of Corporate & Housing Services

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Date: 11 August 2020

APPENDICES

- Appendix 1: Risk Management Dashboard.
- Appendix 2: Corporate Risk Register.
- Appendix 3: Corporate Risk Assurance Map.

List of Background Papers:

The following papers were relied on in the preparation of this report in terms of the Local Government (Scotland) Act 1973:

- None.

Risk Management Dashboard

Table 1: Risk Management Assurance

















	Children's Services	Corporate and Housing Services	Development Services	Social Work Adult Services
Service Assurance Statements (SAS)		/ 		
SMTs review SAS quarterly – including new and emerging risks.	Service Assurance Statements were introduced in 2019. However, progress is Amber (Limited Progress) in many areas because Services are still to develop measurable actions and / or review and update progress more regularly – especially Operational Risk Actions. 2020/21 actions are being developed.			
Risk Register details				
The description of risks, controls, and review mechanisms are clear, and reflect other Committee papers and plans.	Most risks now have clearer risk descriptions. More work is needed to assess the impacts and lessons learnt from COVID-19. Services need to ensure that risks are consistent with Committee reports.			
Risk Mitigation Actions / Plans				
Measureable Risk Actions (or PIs) are in place and mapped to risks on Pentana.	Service Assurance Statements were introduced in 2019. However, progress is Amber (Limited Progress) in many areas because Services are still to develop measurable actions, and roll-out Pentana in Children's and Social Work Adult Services. All Services are to link risks to Business Plans (once developed).			
Risk Management Training				
E-learning has been completed by target groups, and training identified.	CHS & DS & Schools: CRM e-learning has been rolled out at Team Leader and above. SWAS: e-learning and SSSC Risk Resource to be rolled out to Team Managers. All Services to assess training needs as part of 2020/21 Service Assurance Statements.			

Table 2: Governance Group Assurance



















No.	Code	Name	Status
1	BCG	Brexit Core Group	New
2	CPF	Corporate Partnership Forum	
3	CPRWG	Capital Planning and Review Working Group	
4	CPSB	Community Planning Strategic Board (roles being reviewed in light of the self-assessment in early 2019–proposals are being drafted in Q3 2019)	
5	CAMG	Corporate Asset Management Group (Cyclical reviews of all asset classes are now implemented)	
6	CRMG	Corporate Risk Management Group	
7	CSG	Corporate Sustainability Group	
8	COTFB	Council of the Future Board	
9	EoS RRP	East of Scotland Regional Resilience Partnership	
10	FFP	Fairer Falkirk Partnership	
11	IMWG	Information Management Working Group	
12	ITSG	IT Steering Group (role being reviewed)	New
13	PMG	Performance Management Group	New
14	PB	Procurement Board	
15	PPCJ COSG	Public Protection and Community Justice Chief Officers' Strategy Group	
16	SMG	Safety Management Group (The Group is to agree plans and PIs)	
17	SHG	Strategic Housing Group	
18	SWIS PB	Social Work Information System Program Board	
19	WG	Wellbeing Group	New

Table 3: Operational Risk Management Assurance

Corporate Risk		Service Risk Rating			
Risk Category	Current Risk Rating	Children’s Services	Corporate and Housing Services	Development Services	Social Work Adult Services
High Corporate Risks					
Equalities	High	Low	High	Medium	Medium
	Key Issues / Actions	Work is required to assess the extent to which this is embedded across Services. Internal Audit Review underway.			
Health and Safety	High	High	Medium	Medium	High
	Key Issues / Actions	Service H&S Audits and PIs are to be introduced which will help monitor this risk Children’s and SWAS increased this risk to High because of ongoing issues with Premises Management. On this basis, it has been increased to High on the CRR.			
Resilience: Emergency Planning & Business Continuity	High	Medium	High	Medium	Medium
	Key Issues / Actions	Increased to High during 2019 – and lessons learnt from COVID-19 to be implemented.			
Sustainability / Climate Change	High	High	High	High	High
	Key Issues / Actions	Climate Change Projects and Targets are to be developed and agreed – across all Services - to meet the commitments made in the Council's Climate Change Declaration.			
HR Management and Workforce Planning	High	Medium	Medium	Medium	Medium
	Key Issues / Actions	Operational Risk scores reduced to Medium during 2019. But corporate risk remains high because of COVID-19 and review of Workforce Plans.			
Medium Corporate Risks					
Asset Management	Medium	Medium	Medium	Medium	Medium
	Key Issues / Actions	Risk remains as Medium.			
Financial Controls	Medium	Medium	Medium	Medium	Medium
	Key Issues / Actions	All Service Directors provide an annual declaration to confirm that financial controls are being complied with in Services. The rating is also consistent with most audits.			
Fraud, CONTEST, and Serious Organised Crime	Medium	Medium	High	Medium	Medium
	Key Issues / Actions	Risk remains as Medium.			
Information Assets (ICT / Governance)	Medium	Medium	Medium	Medium	Medium
	Key Issues / Actions	Risk Specialists reduced risks to Medium in Nov 2019, as the Information Working Group is more established, and receives ongoing assurance (including cyber resilience updates). It is still to be confirmed whether Cyber risks will sit with this Group, or a separate Group.			
Procurement	Medium	Medium	Medium	Medium	Medium
	Key Issues / Actions	Risk remains as Medium.			
Key					
Table 1 and 2: Assurance Level			Table 3: Risk Rating Change		
	No Assurance		High	There are significant risks and / or controls need developed / embedded	
	Limited Assurance		Medium	There are risks, though controls are broadly effective / embedded	
	Substantial Assurance		Low	There are limited risks in a particular Service and / or controls are working.	

Corporate Risk Register

Summary of High Corporate Risks

Risk Title	Target Risk (if relevant)	Last Reviewed
COVID Recovery - Adult Services	Low	June 2020
COVID Recovery - Children's Services	Low	June 2020
COVID Recovery - Corporate & Housing Services	Low	June 2020
COVID Recovery - Development Services	Low	June 2020
Resilience Planning	Medium	July 2020
Resilience: COVID-19 - Response, Recovery, and Lessons	Low	May 2020
Resilience: Uncertainties surrounding Brexit	Low	July 2020
Resilience: Business Continuity	Medium	July 2020
Reducing Corporate Resources – Impact on Staff Wellbeing (in particular, Frontline Managers / Teams)	Medium	Feb 2020
Public Protection (Adults and Children)	High	Feb 2020
Failure to properly discharge equalities duties	Medium	June 2020
Failure to provide a safe environment for employees and visitors	Medium	June 2020
Failure to recognise, and act upon, the need for transformational change and continuous improvement	Medium	June 2020
Insufficient funding to deliver services and deliver outcomes	Medium	June 2020
Failures in workforce planning, including absence, vacancy management, and succession planning	Medium	June 2020
Climate Change	Medium	June 2020
Health and Social Care Integration - Transformation	Medium	June 2020

Summary of Medium Corporate Risks

Risk Title	Target Risk (if relevant)	Last Reviewed
Failures in Leadership, Governance, and Decision Making	Medium	Feb 2020
CONTEST, Integrity, and Serious Organised Crime	Medium	Jan 2020
Compromised security, or inefficient use, of the Council's data and information asset	Medium	June 2020
Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information	Medium	June 2020
Failure in Financial Management Control, or Assurance	Medium	Mar 2020
Failure to address the impact of poverty on individuals, children, and families across the area	Medium	June 2020
Failure to implement effective consultation and improve community planning / empowerment	Low	June 2020
Procurement and Commissioning arrangements fail to secure best value, and demonstrate compliance with Council standards or legal requirements	Medium	June 2020
Asset Management [Use, Condition, Suitability, Availability, and Reliability]	Medium	July 2020

Summary of High Service Risks

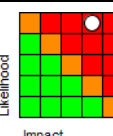

Risk Title	Target Risk (if relevant)	Last Reviewed
Duty Social Work - Case Load	Low	Nov 2019
Seatbelts on School Transport (Scotland) Act 2017 - Implications for Falkirk Council	Medium	Nov 2019
Social Work Information System (SWIS) Replacement	Low	Dec 2019
Failure to adhere to current and emerging building regulations and standards relating to fire safety within housing	Medium	May 2020

Summary of Medium Service Risks

Risk Title	Target Risk (if relevant)	Last Reviewed
Community Care Social Workers: Low number of Social Workers within the HSCP	Low	Jul 2020
Additional Support Needs - Capacity	Low	Nov 2019
Closing the Gap in Attainment : risk of failure to deliver on the Education Plan - includes managing Pupil Equity Fund and Reforms	Medium	Nov 2019
Community Justice Services	Low	Nov 2019
Failure to Deliver Scottish Government Early Years Expansion (by 2020)	Low	Nov 2019
Getting It Right For Every Child (GIRFEC)	Medium	Nov 2019
Scottish Social Services Council (SSSC) - Recent Changes to Registration	Low	Dec 2019
Tackling Bureaucracy and Reducing Workload in Schools	Low	Nov 2019
Failure to meet the priorities set out within the Local Housing Strategy	Medium	Jan 2020
Cemeteries / Head Stones Safety – failure to implement improvement plan	Low	Jun 2020
Investments - Failure to deliver projects / capital programs	Medium	Jun 2020
Prohibitions and Loss of Licences - failure to fulfil duties as a Licence Holder	Medium	Jun 2020
Regulatory Enforcement - failure to fulfil duties as a Regulatory Body	Medium	Nov 2019

Details of Resilience Risks

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_DS_05b	Resilience Planning				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Rhona Geisler	East of Scotland Regional Resilience Partnership	Public Protection	High	Medium
Risk Statement	Ensure compliance with the CCA, 2004 and our obligations to the COMAH Regulations, 2015, to protect the people, economy and environment of Falkirk Council area by building resilience and having effective arrangements in place to plan, prepare, respond and recover from incidents. The EoS RRP's Risk and Preparedness Assessment provides a more detailed assessment of resilience risks.				
Latest Note / Review Date	COVID-19 Update: <ul style="list-style-type: none">· Risk increased to high, due to concurrent events (COVID-19 and Brexit).· COVID-19 Lessons / Debriefs to be turned into measurable (SMART) Action Plans· Resilience Risk Review to be completed in Autumn 2020, including RRP Self-Assessment and progress with COVID-19 Debrief Action Plans and - at Council, Service, and Partnership levels.				16 Jul 2020
Governance Groups (where relevant) - Self-Assessment					
Objectives	Strategic Aims <ul style="list-style-type: none">1. Provide oversight, strategic multi-agency leadership and development, and develop in preparing for, responding to, and recovery from major emergencies.2. Co-ordinate multi-agency emergency planning, response, and recovery arrangements. Objectives <ul style="list-style-type: none">1. Implement and develop all aspects of the Resilience Preparedness Assessment (risk assessment, capability analysis, and development measuring) and developing statement of preparedness.2. Develop and maintain capabilities and plans as required by Preparing Scotland as well as developing and maintaining other plans and processes where these are necessary to meet statutory requirements, local priorities, and response arrangements.3. Facilitate efficient and effective sharing of information and good practice across all agencies – and more broadly with other partnerships / SG where appropriate.4. Have in place arrangements at local and regional levels to warn, inform, and advise the public about emergencies.5. Support activities to improve public awareness of the risks Scotland faces and the measures the public can take to avoid, or minimize, the consequences of those risks, through developing personal, household, community, and business resilience. External Partners <p>Police Scotland (Co-Chair), NHS Forth Valley (Co-chair), Councils (including Lothian, Forth Valley, Fife and Borders), British Transport Police, Maritime & Coastguard Agency, Scottish Ambulance Service, Scottish Environmental Protection Agency, and the Scottish Fire & Rescue Service.</p>				
Self-Assessment / Actions	<ul style="list-style-type: none">1. The RRP meets 3 times per year. It sets its programme based on the RPA (Risk Preparedness Assessment) and emerging threats. The RRP monitors progress against these actions.2. Between meetings there is a support resource of 4 FTE's which undertake work associated with RPA in conjunction with constituent partners and statutory obligations.3. Management of the risks identified via the RPA is well embedded in the Council with plans in place.4. Regular training and exercising of the plans is undertaken as well as consequential review of plans following these.5. There are periodic reports to CMT, with particular regard to exercising and response.				
Assurance Level / Date	Substantial Assurance				17-Jan-2020

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_DS_09	Resilience: COVID-19 - Response, Recovery, and Lessons				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Rhona Geisler		Public Protection	High	1) Low
Risk Statement	<p>COVID-19 impacts all areas of the Council, and so risks have been captured in relevant corporate risks.</p> <p>The key risks are failure to:</p> <ul style="list-style-type: none"> respond effectively - mitigate the impact on employees and communities (in particular, the health and wellbeing of vulnerable groups); recovery fully and effectively - mitigate risks to economy, Council services, and budgets; maximise transformation opportunities - including COTF and Budgets); and learn lessons and prepare for future crisis (at Council, Service, and Partnership levels). <p><u>National and Local Context</u></p> <p>National Themes: Financial Management, Health and Safety, Service Delivery, Workforce Planning, Digital Assurance. Council Recovery Plan Themes – including Fairer Falkirk, Wellbeing, and Economy.</p> <p>This is a dynamic risk – it is uncertain how it will develop, and there is overlap between response and recovery actions.</p>				
Worst Case Consequences	<ul style="list-style-type: none"> insufficient staff to deliver safe, effective services; harm (death / injury) to people; damage to the economy (which could e.g. increase poverty / demand for Council Services); failure to deliver service plans / best value; increased costs of operating (e.g. overtime and contractors); and using inexperienced staff to maintain delivery of core services could be less efficient, reduce quality of service; increased complaints and non-compliance with CCA legislation. 				
Controls / Mitigation	<ul style="list-style-type: none"> Resilience Partnership Plans: Local, Regional, and National response Business Continuity Plans : Council and Service response Recovery Plans: Council and National recovery COTF / Transformation Projects (linked to Council Recovery Plan) <p>The Emergency Planning Unit lead on the Resilience Planning and Business Continuity Planning frameworks - which is well established at Local, Regional, and National levels. This includes links with the Scottish Government's Health Resilience Unit, and Local / Regional Resilience Partnerships (including Council, NHS, and voluntary sectors).</p> <p>The response is led by the Director of Development Services and CMT.</p>				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none"> EPU will co-ordinate lessons learnt / debriefs (feeding into CMT, Service BCP, and National Reviews). CRMG will monitor emerging risks (feeding into Audit Committee). PMO team will update and monitor COTF Projects (linking into COTF Board and Recovery Plan). Scottish Government will co-ordinate the response at a national level (with input from ResiliencePartnerships). 				
What more can we do to reduce the risk?	<ul style="list-style-type: none"> The CRR, Debriefs, and Recovery Plan need to be translated into measurable actions. 				
Lessons Learnt	<ul style="list-style-type: none"> EPU will co-ordinate lessons learnt / debriefs (feeding into CMT, Service BCP, and National Reviews). 				
Latest Note / Review Date	<ul style="list-style-type: none"> COVID-19 impacts all areas of the Council, and so risks are captured in relevant corporaterisks. EPU will co-ordinate lessons learnt / debriefs (feeding into CMT, Service, and NationalReviews). CRMG will monitor emerging risks (feeding into Audit Committee). PMO team will update COTF Projects (linking into COTF Board and Recovery Plan). Scottish Government will co-ordinate the response at a national level (with input fromPartners). The CRR, Debriefs, and Recovery Plan need to translated into measurable actions. The CRR and Action Plans need to be linked to the National Risk Register and RecoveryPlans. 				27 May 2020
Assurance Level / Date	Information required				

Appendix 2

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CR_01	COVID Recovery - Adult Services				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Patricia Cassidy		Leader of the Council	Medium	Low
Risk Statement	The main risks are staff absence, safety / PPE, and care homes.				
Latest Note / Review Date	The main risks relate to managing the covid-19 outbreak across our services/service user and staff groups, ensuring there are sufficient levels of appropriate PPE to protect service users and staff; risks in relation to workforce absence etc. potential for reputational harm given the focus on care homes etc. These risk are monitored on a daily basis by our HSCP COVID-19 duty manager system.				15 Jun 2020

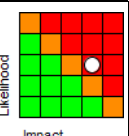
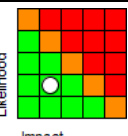
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CR_03	COVID Recovery - Development Services				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Chief Executive Officer		Leader of the Council	High	Low
Risk Statement	The main risks are resilience (managing concurrent events), economic recovery, and facilities (including maintenance / safety during lockdown). There are also significant opportunities – including the Strategic Property Review.				
Latest Note / Review Date	<p>Our Covid-19 business recovery plan is in place and is based on the Business Impact Assessment we use as part of our Business Continuity Planning.</p> <p>Our recovery plan sets out the key actions on our route out of the emergency and identifies the main trigger milestones that will determine when we must take forward these actions.</p> <p>This approach reflects that restrictions are likely to be eased gradually as we move through the phases set out in the Scottish Government Route Map. We will continuously review our recovery plan as the situation develops and we reach each of the recovery milestones.</p>				24 Jun 2020

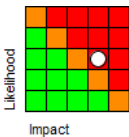

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CR_02	COVID Recovery - Children's Services				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Gary Greenhorn; Robert Naylor		Leader of the Council	High	Low
Risk Statement	The main risks are phased re-opening of premises in a safe way.				
Latest Note / Review Date	<p>The following have been implemented as part of the phased recovery of schools:</p> <ul style="list-style-type: none"> · Premises Risk Assessments · School Re-opening checklists · Schools social distancing guidance. 				15 Jun 2020

Appendix 2

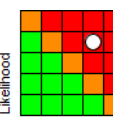
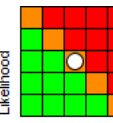
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CR_01	COVID Recovery - Corporate & Housing Services				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Stuart Ritchie		Leader of the Council	High	Low
Risk Statement	The main risks are impact of COVID-19 on communities, poverty, employees' safety, and communications. There are also significant transformation opportunities – including Digital and Property.				
Latest Note / Review Date	<p>Our business recovery plan is based on the Business Impact Assessment, as part of our Business Continuity Planning. Our recovery is mapped against the 5 phases set out in the Scottish Government Route Map, and also considers the customer service channel shift, and opportunities to accelerate Service Transformation.</p> <p>As a significant % of the employees within the Service are office based and working from home, there will be no changes to the working arrangements for these employees as even at stage 4 of the Scottish Government Route Map those who can work from home are still expected to be doing so.</p> <p>Successful recovery is based on a number of dependencies - availability of workforce / premises / PPE / equipment; Other departments / Contractors / suppliers; and Customer behaviour.</p> <p>Channel Shift into a Transformed Service: The COVID-19 emergency has provided the opportunity to accelerate some transformation initiatives - including more use of Mobile & Flexible Working; Tiered Service Delivery; Digital Channels, and Electronic Records.</p> <p>Potential increase use of external contractors to cover BMD employees who are shielding, self-isolating.</p>				15 Jun 2020

Appendix 2


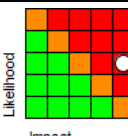
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_DS_01	Resilience: Uncertainties surrounding Brexit			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Rhona Geisler		Public Protection	High	Low
Risk Statement	<p>The main risk is a 'no deal' exit from the EU at the end of 2020 - which increases the following risks:</p> <ul style="list-style-type: none"> Resilience – capacity to respond and recovery from concurrent events e.g. COVID-19, Brexit, and Winter. Resilience – ability to respond to emergencies - including potential protests and disruption at ports. Finance and Economy – Budget Uncertainty and Downturn. Poverty and Welfare – impact on vulnerable people - including food/ fuel poverty. Partnerships and Participation – including Public Communications. Health & Social Care – including capacity and Council and Private sectors resilience. 				
Worst Case Consequences	<ul style="list-style-type: none"> There is an interruption to essential supplies – including medical, food, and fuel supplies. This could harm vulnerable people, the community, and the local economy. Resources are further stretched / diverted from Corporate priorities. Failure to deliver Best Value services and make well-informed decisions. 				
Controls / Mitigation	The Scottish Resilience Partnership (SRP) will manage the response to the response and recovery from emergencies above. This include a framework of plans / work-streams / partnerships.				
How do we monitor that controls are working effectively?	<p>Engagement – at Council and National levels:</p> <ul style="list-style-type: none"> Council participate in resilience planning at local / regional / national levels. SRP (Strategic Resilience Partnership) engage with Public / Private / Independent Sectors and Businesses – including COSLA, SOLACE, and Community Planning Partnerships. 				
What more can we do to reduce the risk?	Lead Officers will continuously review risks, continuity plans, and Recovery / Business plans as necessary.				
Lessons Learnt	Drawn from other events with elements of similar outcomes.				
Latest Note / Review Date	Risk details are now listed under specific corporate risks, instead of a separate Brexit Risk Register.				09 Jul 2020

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_DS_05a	Resilience: Business Continuity				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Rhona Geisler		Public Protection	High	Medium
Risk Statement	<p>Effective Business Continuity Management (BCM) protects services, reputation, finances and people, and contributes to compliance with the Civil Contingencies Act (CCA), 2004.</p> <p>If business continuity arrangements are not effective, it could result in loss of people (due to e.g. pandemic flu); Council assets (due to e.g. severe weather or fire); and key suppliers or data (due to e.g. supplier closure and barriers to sharing information).</p>				
Worst Case Consequences	<ul style="list-style-type: none"> harm (death / injury) to people; damage to the economy (which could e.g. increase poverty / demand for Council Services); failure to deliver service plans; increased costs of operating (e.g. overtime, contractors & temporary premises); and using inexperienced staff to maintain delivery of core services could be less efficient, reduce quality of service, and increase complaints and non-compliance with CCA legislation. 				
Controls / Mitigation	<p>Business Continuity Management (BCM) Strategy is in place, supported by BC Plan (BCP) Templates and Guidance.</p> <p>BCPs are developed at a corporate, service and supplier level. This follows a review of critical services and a BIA (Business Impact Analysis).</p> <p>Specific controls to reduce the likelihood of interruptions include:</p> <ul style="list-style-type: none"> premises & asset maintenance & inspections; flu vaccinations for critical staff; complaints monitoring; procedures and rotas in place to ensure 24 emergency control service including MECS service; backup locations for ICT; and generators at Municipal Buildings to deal with power failure. <p>A senior manager on call rota has been established for all Directors and Heads of Service to support Resilience Officers at the time of a major incident.</p> <p>Service business continuity plans / continuity arrangements to be reviewed and tested, and Services to provide Annual debrief reports to CRMG following each exercise debrief.</p>				
How do we monitor that controls are working effectively?	BCPs should be reviewed by SMTs, and Emergency Planning Team will co-ordinate exercises (at least annually).				
What more can we do to reduce the risk?	<p>Service business continuity plans / continuity arrangements to be reviewed and tested, and Services to provide Annual debrief reports to CRMG following each exercise debrief.</p> <p>Falkirk Council continue to plan corporately in preparation for Severe Weather events and attend the multi-agency group to discuss and implement a plan for the M80. FC submitted comments to draft plan led by Police Scotland.</p>				
Lessons Learnt	<p>Each service to identify and share lessons from their annual debrief events.</p> <p>Lessons learnt from local and national events is embedded within the RRP and Service's Business Continuity planning and exercising activities.</p> <p>A process for debriefing Services for COVID-19 is currently ongoing and lessons are being identified. These lessons will be carefully considered when updating business continuity and response plans</p>				
Latest Note / Review Date	Increased to high due to concurrent events: COVID-19 and Brexit.				06 Jul 2020

Details of High Corporate Risks

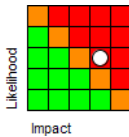
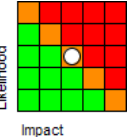
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CE_02	Reducing Corporate Resources – Impact on Staff Wellbeing (in particular, Frontline Managers / Teams)			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Chief Executive Officer	Wellbeing Group	Resources	High	Medium
Risk Statement	Reducing Corporate Resources could have a significant impact on staff well-being and absence. Budget Savings / COTF - in particular, impact of absence within teams, and impact of reduced business support / self-service on Frontline Managers / Teams. Budget Savings Options may not fully assess the risks to other teams within the Council (or 'customers'). This could result in unintended consequences, including increased costs / reduced net savings because of costs of absence or creating new support posts within frontline teams.				
Worst Case Consequences	<ul style="list-style-type: none">Significant impact on staff well-being, morale, absence, turnover.Increased costs and potential legal challenges if we fail to mitigate impact on health. (these are outlined in more detail under the Health & Safety and HR Management risks).				
Controls / Mitigation	Budget Savings Options / COTF Templates and Guidance on assessing risks.				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none">Monitoring of Budget Savings / COTF Projects / Absence / Staff Satisfaction.Wellbeing Group, HR Policies, and Employee Support.Good Conversations.				
What more can we do to reduce the risk?	Lead Officers should consult with customers / services in advance of submitting Budget Savings proposals. The impact assessment should consider not only the risk of not delivering the saving, but also any unintended - or downstream - consequences (a Template has previously been agreed which includes guidance on assessing risks, and this needs communicated / implemented). The risks should also be assessed as part of ongoing COTF project / savings monitoring, and any amendments / additional support can be put in place. In some cases, this may mean a delay or reduced savings. The Culture should be flexible and responsive to changing risks.				
Lessons Learnt	Impact of reducing business support on frontline managers. Absence statistics. Wellbeing Survey Results.				
Latest Note / Review Date	This risk was added to the Corporate Risk Register in Dec 2019, as it has been raised as an escalating risk / concern on both Children's Services and SWAS Assurance Statements. The risks are, to some extent, already covered under HR Management and Health & Safety - however, CRMG collectively agreed that it should be identified separately on the Council's Risk Register. CRMG considered it a short-term risk, until impact assessments and wellbeing results improve. The risks and action plan will be reviewed with the Chief Executive in 2020/21.				12 Feb 2020
Governance Groups (where relevant) - Self-Assessment					
Objectives	To oversee the implementation of the wellbeing strategy and any other actions associated with our Healthy Working Lives award. The Group will include the two physical activity champions, a senior officer wellbeing champion (the Chief Executive, with the Head of HR & Business Transformation as his deputy, for both this role and the senior officer physical activity champion), a representative from each Service, a representative from the HSCP, Trade Union representatives and employee representatives. Given the link to the business of Falkirk Community Trust, links will also be made with FCT. Part of the role of the Group will include the communications to employees on the various initiatives that are being undertaken. The aim will be to link the work being done on the various strands of the strategy, to the wider health and wellbeing priorities of the Falkirk HSCP to ensure consistent messaging about key priority areas, although focusing on the strands of the strategy. For example, initiatives being undertaken on physical activity, healthy eating and smoking can all be linked to health priorities such as tackling diabetes, reducing obesity, reducing heart disease, etc. It is important that such links are made to ensure the full potential of the workplace actions are realised with employees potentially sharing their learning with members of their families too.				
Self-Assessment / Actions	<ul style="list-style-type: none">The Group was formed in 2019/20 and will oversee the implementation of the Council's Wellbeing StrategyThe Group will be chaired by the Chief Executive.Wellbeing Strategy Action Plan has been agreed.				
Assurance Level / Date	Substantial Assurance				30-Nov-2019


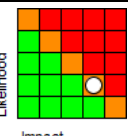
Appendix 2

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CS_08	Public Protection (Adults and Children)			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		31-Mar-2018
	Sara Lacey	Public Protection Chief Officers' Group	Public Protection	High	High
Risk Statement	<p>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).</p> <p>The risk in terms of children is twofold:-</p> <ul style="list-style-type: none"> The need to keep children safe and avoid child deaths The reputational risk to the Council in this situation. <p>The Target Risk Is High because there is always a risk of a serious harm occurring. Whilst the Council can provide reasonable assurance on the effectiveness of it's public protection arrangements at a Council and Partnership level (as outlined in the risk register below), the inherent nature of the risk is that harm could still happen and the consequences could always be severe. The Target Risk is high because we don't think it's possible to reduce the consequences to Medium, even though the Council has reasonable controls in place to mitigate and respond to an event.</p>				
Worst Case Consequences	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Current robust processes with partners regarding sharing of information (including protocols). Key processes MAPPA / IRD's / CP and ASP Case Conferences / CP / ASP Register, integrated / Single shared assessment. Governance Structure - including risk, audit, and performance monitoring (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?	<ul style="list-style-type: none"> Public Protection Group and Sub-Groups Care Inspectorate Children's Commission Criminal Justice Authority 				
What more can we do to reduce the risk?	<ul style="list-style-type: none"> Integrated Children's Services Plan Adult Protection Committee Improvement Plan Information Sharing Working Groups established to progress issues relating to sharing from Social Work, Police and Health. Review progress quarterly. 				
Lessons Learnt	Serious incidents e.g. harm and abuse.				
Latest Note / Review Date	Sara Lacey updated PPCOG Objectives & Self-Assessment in Feb 2020				18 Feb 2020

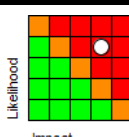
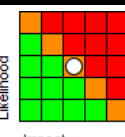
Governance Groups (where relevant) - Self-Assessment		
Objectives	<p>Working within the accountability structures of their respective organisations, Chief Officers work collectively within the Public Protection Chief Officers Group (PPCOG) to identify and commission inter-agency activity for the protection of children, adults and communities. The group is scheduled to meet with sufficient frequency to effectively discharge its accountability and responsibilities.</p> <p>The protection of children and young people is the primary focus of PPCOG but the remit of the group gives due consideration to the issues that have an impact on wider public protection arrangements and developments. The remit includes consideration of the cross-cutting themes regarding adult protection, domestic abuse, community safety and high-risk offenders.</p> <p>Objectives and areas for improvement may arise from Annual Reports and Improvement / Business Plans or from the outcomes of recent inspections which have identified areas requiring improvement. Chief Officers have a collective responsibility to ensure public protection has the resources, including staff time and finance, to fulfil the agreed annual Improvement /Business Plan and related objectives.</p> <p>The Chief Officers Group should be advised by the chair of the CPC of any cases that should be considered in respect of meeting the criteria for warranting either an Initial Case Review (ICR) or Significant Case Review (SCR).</p> <p>Associated Groups Child Protection Committee, Adult Protection Committee, MAPPA Strategic Oversight Group, Community Justice Partnership, Community Safety Partnership, Alcohol and Drugs Partnership, Gender Based Violence Partnership, Clinical and Care Governance Committee.</p> <p>External Membership Chief Executive NHS FV, Chief Superintendent Police Scotland.</p>	
Self-Assessment / Actions	<p>The Assurance Level and Self-Assessment has been validated on the basis that Internal Audit carried out an audit of Public Protection arrangements in 2017/18 and this provided Substantial Assurance. Also, the Chief Social Work Officer and the Chairs of the Adults and Children's protection groups prepare bi-annual reports. A review of Forth Valley arrangements is planned for late 2020 and the self-assessment will be reviewed after that.</p>	
Assurance Level / Date	Substantial Assurance	12-Feb-2020

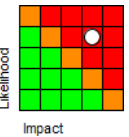
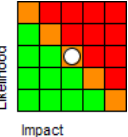
Appendix 2

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CHS_05	Failure to properly discharge equalities duties.			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Colin Moodie	-		High	Medium
Risk Statement	The risk is that the Council is not meeting its statutory duties and this will have a negative impact on protected groups.				
Worst Case Consequences	<ul style="list-style-type: none"> Disadvantage, poverty, inequality, or harm. Challenge under Equalities Act and consequences of this - reputational, safety, legal, and financial implications. 				
Controls / Mitigation	<ul style="list-style-type: none"> Duty to publish equalities information; Assessing and reviewing Policy. Considering award criteria and conditions in relation to public procurement. Materials published in an accessible manner. 				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none"> Community Planning Partnership focus on equalities and fairness Reports to CMT and Executive. 				
What more can we do to reduce the risk?	<ul style="list-style-type: none"> Equalities Action Plan to be developed – following Internal Audit. 				
Lessons Learnt	A report is prepared for CMT to review our equality outcomes and the equality impact assessment process annually.				
Latest Note / Review Date	<p>There is a risk that changes to the decision making structure and an increase in delegated decision making that the impact of decisions on protected groups is not being considered and that any necessary mitigations are not being put in place.</p> <p>Equalities Action Plan to be developed – following Internal Audit.</p>				15 Jun 2020

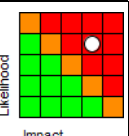
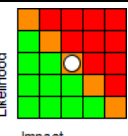
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CHS_10	Failure to provide a safe environment for employees and visitors.				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Karen Algie	Safety Management Group	Leader of the Council	High	Medium
Risk Statement	The Council fails to ensure that Health, Safety, and Care (including Premises Management) arrangements are effectively implemented and monitored.				
Worst Case Consequences	<ul style="list-style-type: none"> Death and / or serious injury to employee, visitor, or Service User. Statutory breaches, which may lead to prosecution and civil claims. Indirect cost of incidents – including investigation costs and reputation damage. Financial loss – such as avoidable absence, claims, insurance, and repair costs. Service delays and harm to vulnerable people. Lack of best value – avoidable losses reduces funds for statutory Services. 				
Controls / Mitigation	<ul style="list-style-type: none"> Health and Safety arrangements – including the Premises Managers' Handbook; Proportionate asset and employee security – including: Risk assessments, inspections, audits, and repair and maintenance programs; Incident reporting, investigations, and monitoring of trends and lessons learnt; Contractors' Health and Safety arrangements, insurance, and indemnities; Health promotion, e.g. Healthy Working Lives and Occupational Health; and Stakeholder engagement – including JCC, Safety @ Work Group, and HSE. 				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none"> PMH compliance monitoring is undertaken by Premises Managers, Services and Facilities Unit. The Safety Management Group and CRMG oversee PMH issues. Health, Safety & Wellbeing team undertake audits of Service's specific safety risks and managements systems. 				
What more can we do to reduce the risk?	<ul style="list-style-type: none"> All Services:- specific / measurable actions arising from the reviews above should be included within Service and Unit Action Plans and progress monitored via the Service Planning and Performance review process. CNS:- ongoing improvement program to comply with DDA in housing & estates. CRMG:- rolling actions list. 				
Lessons Learnt	There are continuous reviews of absence, incidents, audits, and inspections.				
Latest Note / Review Date	<p>The potential for safety risks increased during the COVID-19 lockdown. Significant levels of work, in partnership with Trade Unions, has however, been undertaken to mitigate this risk.</p> <p>A Trade Union liaison group was set up and met initially 2-3 days per week to respond to the risks of the Covid lockdown. This included the development of new guidance, FAQs, wellbeing support, etc (as per Covid website section). This group continues to meet weekly and is now focused on recovery. Updates and issues from this group are reported to CMT as required. Employee questions received from the HR helpdesk were used to prioritise work on the support everyone requires to ensure safe working.</p> <p>Significant work has been required on risk assessments. These will be prepared for all workplaces to ensure these are safe prior to employees returning to work.</p> <p>Considerable work has been done to ensure appropriate guidance is in place on use and access to PPE. A Group chaired by the CSWO was established to oversee the safe use and provision of PPE.</p> <p>Building checks require to be undertaken on any buildings which are re-opening as a result of lockdown – this includes facilities checks and premises management checks.</p> <p>A group has been set up to oversee the safe return of employees to work.</p>				15 Jun 2020

Governance Groups (where relevant) - Self-Assessment		
Objectives	<p>Ensure that the Council meets its statutory obligations in relation to Health & Safety Legislation in order to provide a safe place of work for employees, service users and members of the public.</p> <ol style="list-style-type: none"> 1. Maintain an overall assessment of the key health and safety risks to the Council, and where appropriate escalate significant risks to the CRM Group 2. Set and review health and safety performance and objectives to improve health and safety management and maintain a positive health and safety culture 3. Monitor and review the adequacy and implementation of the Council's safety management system and premises manager hand book 4. Review and endorse policy, strategy and other guidance prior to wider consultation within the Council and with other stakeholders, taking account of Service needs 5. To review significant incidents/failures, enforcement action from the HSE and progress with addressing the significant findings of audits and inspections within Services 6. To establish specialist health and safety short life working groups, as appropriate 7. To receive items of significance from short life working groups with responsibility for health and safety matters 8. To monitor and review the adequacy of the Council's arrangements for communication, consultation and co-operation on health and safety matters 9. To submit an annual report to the CRM Group and send a representative where required <p>. Members include: Human Resources Manager (Chair); Service Representatives, and Insurance, Building Design Unit, and Health, Safety & Wellbeing Teams</p> <p>. Meeting Frequency: a minimum of four times per year.</p>	
Self-Assessment / Actions	<ol style="list-style-type: none"> 1. Current priorities are shown in the actions above and the Corporate Risk Register. 2. Premises Management compliance continues to be weak in some areas, especially in Children's and Social Work Adult Services. 3. H&S Policies are submitted to Corporate Partnership Forum and then Executive, for approval. 4. Performance Indicators, Safety Management Systems, and Audits to be developed / implemented in all Services. 5. The Health, Safety & Wellbeing team has recently procured the SHE Assure software platform to modernise Health & Safety practices across the Council. 	
Assurance Level / Date	Limited Assurance	24-Feb-2020

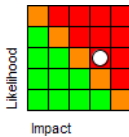
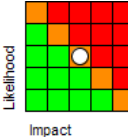
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CHS_02	Failure to recognise, and act upon, the need for transformational change and continuous improvement.				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Karen Algie	Council of the Future Board	Leader of the Council	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	Failure to deliver the planned programme of Council of the Future work and to achieve the required savings in the required timescales, leading to: <ul style="list-style-type: none">absence of required skills or expertise to deliver services;service failure (including delivery of statutory services); andexternal intervention in the running of the Council.				
Controls / Mitigation	<ul style="list-style-type: none">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 /drive pace of change.Framework for COTF reporting, timelines, outcomes, and benefits developed and subject to constant review;The governance arrangements were reviewed and refreshed in Nov - Dec 2019.				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none">Reports on projects and reviews submitted to, and scrutinised by, COTF, CMT, and the 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 Workstream Boards to ensure that robust project assessments / documentation are in place.Monthly project reports form the basis of Performance Panel reports for Service's COTF service plan updates.				
What more can we do to reduce the risk?	<ul style="list-style-type: none">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; andReviewing 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 Note / Review Date	COVID-19 resulted in a short interruption to COTF Governance. The business of COTF resumed - virtually - in May 2020. As part of this, a lite-touch review of the governance review is taking place due for completion July 2020. Some areas of transformational change were suspended due to Covid. An assessment has been done of this and updates are being provided to CMT and MIH Board. The Boards and workstreams are all now back up and running and work is being done with all project managers to assess how we get projects back on track. The milestones and objectives of some projects are now being changed as a result of the Covid learning.				15 Jun 2020
Governance Groups (where relevant) - Self-Assessment					
Objectives	<p>The COTF Risk Strategy outlines the following responsibilities for oversight of Program / Project risks:</p> <ul style="list-style-type: none">COTF Board is responsible for identifying and scrutinising COTF programme risks, providing risk reports to Members, and monitoring the effectiveness of the COTF Risk and Opportunities Management Strategy; andProject Managers / Lead Officers are responsible for assessing project risks and opportunities, and ensuring that the COTF Risk and Opportunities Management Strategy is applied effectively. <p>The COTF Risk Strategy also sets out the following success measures:</p> <ul style="list-style-type: none">successful delivery of COTF objectives, outcomes, and savings;a clearer understanding of the risks (uncertainties) and potential consequences;clear, agreed, and measureable actions to mitigate risks / maximise benefits;well informed decisions - fewer unexpected problems and adverse incidents; andsuccessful outcomes from external scrutiny, e.g. audits and best value reviews.				
Self-Assessment / Actions	The COTF governance arrangements were reviewed and refreshed in Nov/Dec 2019. This has resulted in the re-defining of the core transformation projects in the change programme and associated project reporting arrangements.				
Assurance Level / Date	Substantial Assurance				04-Feb-2020

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CHS_04	Insufficient funding to deliver services and deliver outcomes.			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Bryan Smail		Leader of the Council	High	Medium
Risk Statement	<p>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.</p> <p>The key funding uncertainties and challenges over the medium term are:</p> <ul style="list-style-type: none"> 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). <p>The following corporate risks need effective management in order to manage funding risks include: (abbreviated): Leadership, Change, Brexit, Social Care, Equalities, Poverty, and Financial Controls.</p>				
Worst Case Consequences	<p>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.</p>				
Controls / Mitigation	<p>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 4.84% Council Tax increase in 2020/21, which informs planning; improved budgeting, e.g. zero based, participatory, and review of funding of external organisations; and implementing and enforcing Financial Regulations and other good practice guidance and processes.</p>				
How do we monitor that controls are working effectively?	<p>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.</p>				
What more can we do to reduce the risk?	<p>Budgeting is an ongoing process as part of Business Planning.</p>				
Lessons Learnt	<p>Best Value reports highlight the need for leadership, medium and long-term financial planning, appropriate use of reserves, strategic planning, and change management.</p> <p>The Council have also learnt from budgeting best practice externally, e.g. zero based budgeting.</p>				
Latest Note / Review Date	<p>COVID-19 Update: As per previous Note, risk increased to High.</p> <p>This reflects the impact that the COVID-19 situation has had on an already challenging budgetary position. Difficulty in realising 2020/21 approved budget savings together an expected significant shortfall between government grant and additional expenditure / lost income will have a material adverse material impact on the Council's financial position in 2020/21. The financial exposure of the Trust is an added factor - this financial pressure is expected to last well beyond current financial year.</p>				03 Jun 2020

Appendix 2

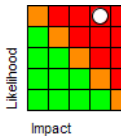

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_CHS_06	Failures in workforce planning, including absence, vacancy management, and succession planning.			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Karen Algie	Corporate Partnership Forum	Resources	High	Medium
Risk Statement	<p>Failures in workforce planning adversely and significantly impact on the quality and consistency of service delivery, and compromise on-going availability of services.</p> <p>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.</p> <p>This risk is closely linked to the following additional, but separate, corporate risks: equalities, health and safety, early years expansion, and SSSC Code of Conduct.</p>				
Worst Case Consequences	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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; Partnership Agreement now in place; 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?	<ul style="list-style-type: none"> Update reports on workforce changes presented to, and considered by, CMT; Absence and turnover reports submitted to Corporate Partnership Forum; 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 / CPF and SPF's(but this consultation framework s 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?	<p>Ensuring workforce plans form part of day to day workforce considerations, budget strategy and change programme.</p> <p>Progress the key COTF projects and Service Plan actions outlined below.</p> <p>Improve areas identified in Policy and Procedures reviews, e.g. exit interviews.</p> <p>Pilot absence nurse pilot scheme being implemented to support absence management</p>				
Lessons Learnt	Research of best practice undertaken to develop the workforce strategy and the workforce planning framework.				
Latest Note / Review Date	<p>Work has continued on this throughout COVID-19.</p> <p>Absence has increased as a result of COVID-19 and continues to be monitored and appropriate steps taken including phone calls by HR to employees who are self isolating. Some work to address absence were suspended as they were inappropriate over this period, e.g., the implementation of a nurse pilot scheme.</p> <p>OH services were suspended but are now up and running again.</p> <p>Recruitment stopped due to COVID-19, but has now re-commenced using virtual arrangements.</p> <p>There is a need to revisit workforce planning arrangements and this work is now being planned.</p> <p>Work has continued with the Trade Unions throughout the lockdown period and this has been collaborative and positive</p> <p>Work on the review of Terms and conditions and the consolidation of the living wage were suspended, but are due to re-commence in July,</p>				15 Jun 2020

Governance Groups (where relevant) - Self-Assessment		
Objectives	<p>The role of the Forum is:</p> <ul style="list-style-type: none"> • To provide a method for consultation to take place at a corporate level between the Council and its employees. • To ensure proposals focus on the Council's vision of being an innovative, responsive, trusted and ambitious organisation. <p>Further details are provided within the Partnership Agreement, approved by Council in June 2018.</p>	
Self-Assessment / Actions	<ul style="list-style-type: none"> . HR Policies are considered by the CPF before being submitted to the Executive for Approval. . There is ongoing work to embed CPF activities through e.g. COTF Engagement activities, COTF Project Updates, and Executive Updates. . Employee and other relevant engagement survey provides some information on consistency of practice on some policies and culture. . Trade Unions have the facility to raise issues of inconsistency at corporate level and at tripartite. 	
Assurance Level / Date	Substantial Assurance	31-Jan-2020

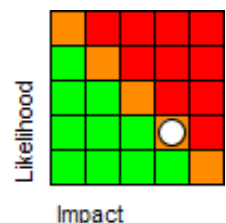
Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_DS_02	Climate Change				
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Robin Millard	Corporate Sustainability Group	Environment	High	Medium
Risk Statement	<p>The Scottish Government have declared a Climate Emergency and committed to “Net Zero” greenhouse gases by 2045. They require the Council meet ambitious Carbon Reduction Targets in order to meet national targets.</p> <p>There is a risk that the Council fails to set sufficiently ambitious Carbon Reduction Targets, or deliver on those. The risks will be further detailed within a Climate Change and Adaptation Risk Register.</p> <p><u>CONTEXT:</u></p> <p>The Council has a statutory duty to reduce emissions from its activities, and to provide leadership in reducing emissions in our area amongst both communities and businesses. The regulatory environment is being strengthened by the Scottish Government, and this will include penalties and enforcement.</p> <p>These are long term targets but the Council need to start early and commit to sustained changes. According to the IPCC, global CO2 emissions will need to start declining well before 2030 to avoid an overshoot of global warming beyond 1.5 degrees. Current estimates show that national governments targets will not limit global warming to 1.5+ degrees, meaning that states, regions, cities and business need to step up to avoid catastrophic climate crisis.</p> <p>In their latest report (Oct 2018), the IPCC warned that there is only 11 years to act for global warming to be kept to a maximum of 1.5 degrees.</p>				
Worst Case Consequences	<p>Climate Change is already happening and consequences start to being felt worldwide, even in Scotland (more frequent severe weather events, drought, biodiversity loss etc), in recognition of this both the Scottish Government and Falkirk Council have declared Climate Emergencies during the course of 2019.</p> <p>Absence of rapid emissions reduction increases global warming and its consequences.</p> <p>The latest UK Climate Projections (2018) predict hotter and drier summers, milder and wetter winters, more likely and more severe coastal flooding & flash flooding, as well as sea level rise up to 0.9 m in Edinburgh if no action is being taken to reduce greenhouse gases.</p> <p>Falkirk Council area includes vulnerable sites where flooding and severe weather events could harm citizen's health and their property.</p> <p>Breach of climate duties could result in reputational damage, legal action, penalties, project delays / funding gaps.</p>				
Controls / Mitigation	<p>Services have implemented a wide range of strategies and projects to mitigate climate change – these are set out within the Climate Change and Adaptation Risk Register.</p> <p>The Council have implemented a clear governance structure for monitoring and reporting progress, led by the Corporate Sustainability Working Group (and aligned with the SOLD, Strategic Plan, and COTF Program).</p> <p>Sustainability should be an integral part of the SOLD and Service Business Plans and decision making.</p>				
How do we monitor that controls are working effectively?	<p>The Council conducts an annual Climate Change Self-Assessment and has a statutory duty to produce an Annual Climate Change Declaration (setting out our ambitions and progress). This is reviewed by Internal Audit before being published on the Sustainable Scotland Network (SSN) website.</p> <p>Governance Groups have oversight of sustainability implications in their area – including asset management, Resilience, Community Planning, and the Council of the Future Program Board.</p> <p>Sustainability should also be an integral part of Service Business Plan & Performance Reviews.</p>				
What more can we do to reduce the risk?	<p>The Climate Change and Adaptation Risk Register (which is currently being developed) makes a clear link to key projects and plans.</p> <p>In addition to reducing the risks, it is essential that the Council invests in adapting to consequences of climate change.</p>				

Lessons Learnt	There is recent experience of organisations' Climate Change Declarations being scrutinised more closely by the Scottish Government, and more evidence being sought to support those declarations. A growing number of Local Authorities (to date, one third) are declaring a "Climate Emergency" and showing leadership by making ambitious commitments. Research shows that tackling climate change is costly, but the cost of inaction would be much greater. Also, some organisations have been denied funding for projects where they cannot demonstrate that the proposals are innovative and offer sufficient sustainability benefits (or because the work should be funded through routine revenue / capital spend).	
Latest Note / Review Date	<p>COVID-19 Update: Climate change policy progress within Scottish Government and key partner agencies (such as COSLA) has effectively been suspended whilst attention is focused on COVID-19 responses. In April 2020 the Scottish Government postponed the publication of the Climate Change Plan, which is a key policy document informing the Council's future response.</p> <p>The international climate change forum (COP 26), due to be held in Glasgow in 2020, has been postponed until November 2021.</p> <p>The Council's own Climate Change Action Stakeholder Working Group (tasked with agreeing and recommending climate change priorities) met in June 2020 and will meet monthly – monthly reviews will alternate between a review of Council and Community / Business climate change activities.</p> <p>Recognising the interaction between budget availability and climate change aspiration, it was evident, prior to the COVID-19 crisis, that climate change initiatives would likely require a rethinking of traditional economic priorities if the Council is to achieve its stated net zero carbon aspirations whilst embedding wellbeing, fairness, inclusivity and 'just transition' principles. Attention is turning at Government level to consider how climate change goals can be delivered as part of a 'green' recovery from COVID-19, however the severity of the economic impact of the COVID-19 crisis is likely to be significant, and will further increase the tension between budget and climate change aspiration.</p> <p>There is evidence that emissions are temporarily reducing as a result of the COVID-19 restrictions, and there have been enforced behaviour changes which have encouraged home-working and active travel, and these could be built upon going forward. However, it must be acknowledged that there has also been a significant move away from public transport, which is a key part of climate change transport response, and as society moves to a socially distanced recovery phase there will be significant risk (at least in the medium term) to public transport and shared workplace initiatives.</p> <p>Cumulatively, the factors above are likely to have an impact on increased risk in 3 ways:</p> <ul style="list-style-type: none">. the timescale for delivery of climate change responses;. the impact and severity of the economic recovery, and subsequent impact of budget availability to support climate change responses;. that any planned economic recovery response will need to be very carefully considered, to ensure that the short term recovery does not lock-in higher greenhouse gas emissions or increased vulnerability to climate change in the longer-term.	21 Jun 2020
Governance Groups (where relevant) - Self-Assessment		
Objectives	<p>Corporate Sustainability Group</p> <ol style="list-style-type: none">1. Develop and monitor the implementation of corporate sustainability policies and targets related to, for example: waste reduction; energy efficiency; climate change adaptation; recycling; climate change action;2. Share best practice amongst Services; and3. Monitor emerging sustainability and climate change issues; and develop strategies and plans to meet duties. <p>The CSG along with the Energy & Climate Change Team (ECCT) and the Climate Change Action Stakeholder Working Group shall work together to address measures required to address the Climate Emergency as established by the council in Aug 2019.</p> <p>The Council will take account of changes to legal and national developments in 2019, including the requirements of the:</p> <ul style="list-style-type: none">. Climate Change Act, as amended;. Scottish Government's Climate Change Plan 2018-2032; and. Climate Ready Scotland Adaptation Programme. <p>Climate Change Action Stakeholder Working Group</p> <ul style="list-style-type: none">. This Group was established in 2019, and it includes Members.. The first Self-Assessment will be completed in 2020.	

<p>Self-Assessment / Actions</p>	<p>Corporate Sustainability Group</p> <p>The risk has been increased to High because there is a significant risk of the Council failing to set sufficiently ambitious climate change targets, or deliver on those.</p> <p>The ECCT are meeting with Services to agree targets and projects during 2019/20 Service Management Teams to provide more active support / engagement on this work).. Those will then be considered by the Corporate Sustainability Group and Members.</p> <p>It is anticipated that a more detailed report will be presented to Members by December 2019, seeking their commitment to stretching, long-term targets. This will be aligned with the COTF Program and Business Plans. Further training will also be provided to Members.</p> <p>Climate Change Action Stakeholder Working Group</p> <p>This Group was established in 2019, and it includes Members.</p> <p>In August 2019, the Council (consistent with many others) declared a Climate Emergency. View papers</p> <p>Further work is being undertaken to assess risks / impacts, agree projects, and set targets. These were considered by Executive in Jan 2020 View papers</p>
<p>Assurance Level / Date</p>	<p>Substantial Assurance</p> <p>05-Feb-2020</p>

Risk Ref.	Risk Title			Current Risk	Target Risk / Date
COR_SWAS.03	Health and Social Care Integration - Transformation			 Likelihood Impact	 Likelihood Impact
Ownership / Monitoring	Lead Officer	Governance Group (if Relevant)	Portfolio Holder		
	Martin Thom		Health and Social Care	High	Medium
Risk Statement	<p>The risk is that the partnership fail to transform Services and meet the priorities set out within the Delivery Plan and Medium-Term Financial Plan.</p> <p>The IJB maintains a Strategic Risk Register which assesses the risks to delivering their Delivery Plan. The risks include:</p> <p>Delivery of Strategic Plan</p> <ol style="list-style-type: none"> 1. Funding and /or demographic pressures 2. Governance arrangements 3. Partnerships 5. Capacity and infrastructure 4. Directions <p>Performance, Oversight & Quality Control</p> <ol style="list-style-type: none"> 5. Assurance 6. Commissioning <p>Specific High Level Risks</p> <ol style="list-style-type: none"> 7. Whole Systems Transformation 8. Transition of Operational Management of NHS Services to Partnerships 9. Brexit and Resilience 10. Primary Care Sustainability <p>A number of these risks are rated high, which reflects the level of change and uncertainty.</p>				
Worst Case Consequences	<ul style="list-style-type: none"> . 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	<ul style="list-style-type: none"> . The IJB's Strategic Risk Register outlines actions for each of the strategic risks above. . IJB Risk Strategy and governance framework. 				
How do we monitor that controls are working effectively?	<ul style="list-style-type: none"> . IJB Strategic Risk Register is reviewed by Leadership Team and IJB Audit Committee quarterly. . HSCP Leadership Team and Integration Joint Board receive regular risk and performance updates. . Ongoing program of inspections, self-assessments, and audits. 				
What more can we do to reduce the risk?	<ul style="list-style-type: none"> . The IJB's Strategic Risk Register outlines actions for each of the strategic risks above. . IJB risk and governance arrangements are being improved. . HSCP management and locality structures are being improved. . Delivery Plans (including transformation projects) are being developed. 				
Lessons Learnt	Lessons Learnt will be considered as part of future HSCP Leadership Team risk reviews.				
Latest Note / Review Date	<p>COVID-19 Update:</p> <p>Progress toward formally consolidating integration transformation as it relates to the partnership's delivery and medium term financial plan has been delayed, as the HSCP has focussed on COVID-19 response service provision. However, work is still progressing, and some areas have seen improved joint working.</p>				03 Jun 2020

Risk Scoring Guidance

Risk Level	Risk Appetite / Approach	Scoring Matrix
High (Score 10-25)	High Risks may be either: <ul style="list-style-type: none"> 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

Corporate Risk Assurance Map

Table 1: High Corporate Risks









Risk Summary			Governance Groups (where relevant)		Most Recent Review Last 5 Years: 15/16-19/20		Next Planned Review				
Lead Service	Risk Title	Change During 2019/20	Group	Assurance Level	Internal Audit	External Audit	CRM Review	Internal Audit	External Audit	Executive Deep Dive*	Comments
High Corporate Risks											
AS	Health and Social Care Integration.	-	-	-	2019/20	2019/20	2020/21	2020/21	-	-	See 2020/21 IJB Internal Audit Plan
CE	Reducing Resources – Impact on Staff Wellbeing	NEW	WG	-	-	-	-	2020/21	-	Q1 2021	See 2020/21 Internal Audit Plan
CS	Public Protection (Adults and Children).	-	PPCOG		2019/20	-	-	-	-	Q1 2021	Chief Social Work Officers' Annual report
CHS	Community Planning Partnerships	-	CPPLB		2017/18	2015/16	2020/21	-	-	-	2020/21 CRM Review: part of COVID-19 Lessons, and CPPLB Self-Assessment
CHS	Equalities Duties	-	-		2019/20	-	2020/21	-	-	Q4 2020	2019/20 IA: provided Limited Assurance 2020/21: CRM Review on Audit Actions
CHS	Health & Safety	Increased to High	SMG		-	-	2020/21	-	-	Q1 2021	2020/21 CRM Review of Service H&S Plans, and SMG Self-Assessment.
CHS	Transformational Change and continuous improvement	-	COTFB		-	Ongoing	-	2020/21	2020/21	-	2020/21 Best Value Audit
DS	Climate Change	Increased to High	CSG		2019/20	2018/19	2020/21	2020/21	-	Q4 2020	Annual IA: Climate Duties report, and 2020/21: CRM Review of Climate Risks
DS	Resilience: Uncertainties surrounding Brexit	NEW	BCG		-	2019/20	2020/21	-	-	Q4 2020	Brexit risks captured in relevant corporate risks (instead of a Brexit Risk Register)
DS	Resilience: COVID-19 Recovery	NEW	-	-	-	-	2020/21	-	-	Q4 2020	2019/20 Business Continuity Internal Audit was not completed due to COVID-19.
DS	Resilience: Emergency Planning	Increased to High	EoS RRP		-	-		-	-		CRM Review of COVID-19, including:
DS	Resilience: Business Continuity	Increased to High	-	-	-	-		-	-		Response: Lessons and Actions, and Recovery: Corporate Risks

Table 2: Medium Corporate Risks









Risk Summary			Governance Groups (where relevant)		Most Recent Review Last 5 Years: 15/16-19/20		Next Planned Review *Executive Deep Dive dates are approximate – to be agreed, depending on Committee Meetings and Annual Reports on risk subjects.				
Lead Service	Risk Title	Change During 2019/20	Group	Assurance Level	Internal Audit	External Audit	CRM Review	Internal Audit	External Audit	Executive Deep Dives*	Comments
Medium Corporate Risks											
CE	Leadership, Governance, and Decision Making	Reduced to Medium	CRMG & PMG	 / NEW	-	-	2020/21	-	2020/21	-	Service Assurance Statements, and CRM Best Value Self-Assessment
CS	CONTEST, Integrity, and Serious Organised Crime	-	-	-	-	-	-	-	-	-	-
CHS	Cyber Security	Reduced to Medium	ITSG		-	-	-	-	2020/21	-	See 2020/21 Internal Audit Plan
CHS	Financial Management Control	-	CPRWG		Ongoing	Ongoing	-	-	2020/21	Q1 2021	Via budget process, 2020/21 Internal Audit Plan, and Best Value Audit
CHS	Information Asset	Reduced to Medium	IMWG		-	-	-	-	-	-	See 2020/21 Internal Audit Plan
CHS	Insufficient Funding	Reduced to Medium	BWG		-	-	-	-	2020/21	-	See 2020/21 Internal Audit Plan, and Best Value Audit
CHS	Procurement and Commissioning	-	PB		Ongoing	Ongoing	-	Ongoing	-	Q1 2021	Via Procurement Annual Report
CHS	Welfare Reform and Poverty	Reduced to Medium	FFP		-	-	-	-	-	-	-
DS	Asset Management (including Strategic Property Review)	-	CAMG		-	-	-	2020/21	-	-	See 2020/21 Internal Audit Plan

Table 3: Corporate Risk Assurance Map - Key

Governance Groups		
No.	Code	Title
1	BCG	Brexit Core Group
2	CPF	Corporate Partnership Forum
3	CPRWG	Capital Planning and Review Working Group
4	CPSB	Community Planning Strategic Board (roles being reviewed in light of the self-assessment in early 2019– proposals are being drafted in Q3 2019)
5	CAMG	Corporate Asset Management Group (Cyclical reviews of all asset classes are now implemented)
6	CRMG	Corporate Risk Management Group
7	CSG	Corporate Sustainability Group
8	COTFB	Council of the Future Board
9	EoS RRP	East of Scotland Regional Resilience Partnership
10	FFP	Fairer Falkirk Partnership
11	IMWG	Information Management Working Group
12	ITSG	IT Steering Group (role being reviewed)
13	PMG	Performance Management Group
14	PB	Procurement Board
15	PPCJ COSG	Public Protection and Community Justice Chief Officers' Strategy Group
16	SMG	Safety Management Group (The Group is to agree plans and PIs)
17	SHG	Strategic Housing Group
18	SWIS PB	Social Work Information System Program Board
19	WG	Wellbeing Group
Action Status/ Assurance Level		
	Green / Substantial Assurance: Expected to meet current timescale	
	Amber / Limited Assurance: The action is slightly behind target	
	Red / No Assurance: The action is significantly behind target (not expected to meet current timescale)	
	More info needed.	