

The background of the slide features a large, light blue watermark of the University of Alberta crest. The crest is a shield divided into four quadrants. The top-left quadrant shows a building, the top-right shows a stag's head, the bottom-left shows a sailing ship, and the bottom-right shows an eagle. Above the shield is a crown with four floral motifs. Below the shield is a banner with the motto 'ANNE FOR A'.

Agenda Item 10

Corporate Asset Management Risk Review (Deep Dive)

Title: Corporate Asset Management Risk Review (Deep Dive)
Meeting: Scrutiny Committee
Date: 11 November 2021
Submitted By: Acting Director of Development Services and
Director of Corporate and Housing Services

1. Purpose of Report

- 1.1 This report provides a review of the risks and governance arrangements related to delivering the [Corporate Asset Management Strategy 2021– 2026 \(CAMS\)](#) (agreed by Council in May 2021) and other 'Asset Class' Strategies, including Property, Fleet, ICT, Housing, Open Spaces, and Roads (agreed by CMT and Members at various points).
- 1.2 This review forms part of the [2021/22 Risk Review \(Deep Dive\) Plan](#) (agreed by the Scrutiny Committee in June 2021), and it covers the Terms of Reference at **Appendix 1**.
- 1.3 The Scrutiny Committee are asked to consider the report, seek further assurance from Chief Officers (as necessary), and refer the report to the Executive (as necessary).

2 Recommendations

2.1 It is recommended that the Scrutiny Committee:

- (1) Note the CRM Review Terms of Reference (at Appendix 1).
- (2) Scrutinise the following:
 - Appendix 2: CAM Risk Dashboard;
 - Appendix 3: CAM Risk Assurance (Reporting) Framework;
 - Appendix 4: CAM Corporate Risk Register Summary; and
 - Appendix 5: 2021/22 CRM Review (Deep Dive) Progress Update.
- (3) Note that Chief Officers have commenced work on the priority actions.
- (4) Seek any additional assurance from Chief Officers, as necessary.
- (5) Refer this report to the Executive, as necessary.

3. Background

- 3.1 In June 2021, the Scrutiny Committee agreed the [2021/22 CRM Review \(Deep Dive\) Plan](#), including a review of Asset Management risks by September 2021.
- 3.2 In May 2021, Council agreed the [Corporate Asset Management Strategy 2021– 2026 \(May 2021\)](#). This was part of a wider review of the Property Asset Strategy including proposals to take forward the Corporate Landlord Model (although a review of this model is excluded from this CRM review).

4. Considerations

4.1 The main risk is failure to deliver on the following CAMS and risk management objectives:

- asset strategies and the plans support the Corporate Plan outcomes;
- assets are managed effectively and efficiently;
- assets are fit for purpose, suitable, and financially sustainable;
- suitable management mitigation controls and action plans are implemented; and
- the CAMS risks, performance, and governance framework is effective.

Terms of Reference

4.2 The Terms of Reference (at **Appendix 1**) summarises what areas are in scope and out of scope in this review. In particular, the review has not considered the risks to delivering on major capital projects - including the HQ, Arts Centre, Flood Protection schemes, transformation projects, or the Corporate Landlord Model. Information on these risks will be provided through a variety of sources, including reports by Asset Class Leads to relevant Programme Boards and Committees. The report also does not assess capital plan risks - although it does note (at 4.5) significant ongoing slippage, and significantly rising costs and squeeze on the Capital Plan – and these risks will be assessed as part of ongoing budget reviews and reports will be provided to Elected Members on how this will be addressed by March 2022.

Key Findings and Actions

4.3 The CAMS risk is currently rated as Medium on the Corporate Risk Register - Members have agreed the CAMS and Asset Class Strategies, but this report also identifies some significant asset budget uncertainties and scope to improve asset risk management and governance arrangements. This report recommends a number of improvement actions – if these are not substantially progressed by March 2021, the risk may increase to 'high'.

4.4 The CAM Risk Dashboard (at **Appendix 2**) summarises the key findings and actions. Most areas are rated as Amber – meaning limited progress in embedding CAMG's risk management and governance arrangements. The key reasons and actions are:

- the CAMS is new and performance arrangements are still being embedded;
- CAMG needs to ensure that regular (at least 6 monthly) reviews of asset class risks take place;
- Asset Class Risk Registers and plans should focus on strategic rather than operational risks; and
- Annual Reports need to be implemented for the CAMS and all asset classes.

4.5 The Asset Class Leads also considered whether there is adequate funding approved - or any significant shortfall - to deliver their asset plans. Their assessment is that the risk is medium overall. However, the Finance Team did highlight that there continues to be significant slippage in the Capital Plan and backlog maintenance costs to be factored into budgets; and this will be assessed as part of ongoing budget and CAMG reviews.

4.6 The CAM Risk Dashboard (at **Appendix 2**) also shows some areas of Red because of significant slippage on actions from risk reviews in 2016 to 2018 – including:

- Fleet – High Risk because of a significant and long-standing issue high accident rates (which is also a focus of the Zero-Based Budgeting (ZBB) review); and

- Trees – High Risk because capital bid is being prepared and uncertainty on whether there will be sufficient budget funding for maintenance.

4.7 These reviews identified some weaknesses in risk controls which could result in serious harm to members of the public. The weaknesses included gaps in the inspection and maintenance of trees and ineffective actions to address driving incidents. Lead Officers for Fleet and Open Spaces are aware of these issues and aim to address these actions by March 2022 (or, as a minimum, agree more detailed budgets and action plans).

CAM Strategy - Risk Assurance (Reporting) Framework

- 4.8 The Framework (at **Appendix 3**) summarises the risks, assurance, and performance reporting process. This is based on the Framework included in the CAMS agreed by Council in May 2021, but has links to wider Committees, Governance Groups, and Partnerships (e.g. Community Planning, Resilience, and COTF Boards) included.
- 4.9 As noted at **Section 4.4**, there needs to be more consistent escalation and review of 'high' risks and areas of Limited Assurance by CAMG, and regular reports on the CAMS and Asset Class risks, action plans, and performance indicators to CMT and Members.
- 4.10 Monitoring of operational and project risks and plans remains the responsibility of Asset Class Leads and relevant Programme Boards, and CAMG will also monitor high risks.

CAM Corporate Risk Summary

- 4.11 The Corporate Risk Summary (at **Appendix 4**) summarises the strategic risk to delivering the CAMS. It includes a brief description of the risks, consequences, and mitigations. It also summarises the remit of CAMG.
- 4.12 The Corporate Risk Summary will be linked to measurable strategic asset plans and performance indicators, as part of CAMG's ongoing review of performance arrangements.

Limitations of this review – risks still to be assessed

- 4.13 The following property asset projects may present significant risks or opportunities, but it is too soon to assess these:
- **Corporate Landlord 'model'**: proposals on the implementation of the Corporate Landlord 'model' are expected to be brought to CMT and Executive in late 2021/early 2022, and this will take into account the approach required for premises management.
 - **Falkirk Community Trust**: there are potential risks and opportunities from the reintegration of Falkirk Community Trust and Council assets. These will be assessed by relevant Chief Officers and CAMG as the integration process moves forward.
 - **Community Assets & Learning Estate**: as part of the COTF Transformation Programme, the Council is in the scoping stage of this initiative. The risks and costs will be assessed once we have a firmer understanding of e.g. those assets we will transform, when that will happen, and what opportunities will be available for external funding, e.g. through Scottish Government for the Learning Estate.

- 4.14 Once the above projects are fully developed, then the risks for each will be captured in the Property Asset Class and relevant Programme Risk Registers, and reports will be provided to CAMG, CMT, and the Executive. Members can then, if needed, refer them to the Scrutiny Committee and / or request a follow up CRM review.
- 4.15 The CAM Risk Review was also due to include a review of significant COVID Lessons and Debrief Actions relating to assets, but this review has been deferred and will be part of a wider COVID Deep Dive Follow-Up in 2022.

2021/22 CRM Review (Deep Dives) Plan – Progress Update

- 4.16 The progress update (at **Appendix 5**) provides an update on progress with the 2021/22 CRM Review (Deep Dives) Plan, agreed by the Scrutiny Committee in June 2021. This shows that there are several reviews behind schedule. Most items are either in progress (and CRMG members have provided assurance that March 2022 is achievable). The Scrutiny Committee will be asked to note that there is a risk of slippage due to significant ongoing issues with Service capacity and normal budget priorities. There is a risk, therefore, that the 2021/22 Plan is not completed by March 2022 and this may impact on Annual Assurance Statements. Members are invited to ask Chief Officers for details of any of these risks or reviews, and ask for any new reviews or changes to the plan.

5. Consultation

- 5.1 The report was considered by CMT, CAMG, and Development Services' DMT.

6. Implications

Resources, Equalities, and Sustainability / Environmental Impact

- 6.1 There are no direct risks arising from this report. Impact Assessments were not required for either Equalities and Poverty or Sustainability and Environment. Any significant implications should be identified in relevant Asset Strategy or Plan updates to Elected Members.

Financial, Legal, and Reputational

- 6.2 There are no direct risks arising from this report. Any specific implications should be identified in relevant Asset Strategy or Plan updates to elected Members.

Risk

- 6.3 The risks are summarised at **4.1** and detailed at **Appendix 4**.

7. Conclusions

- 7.1 This review confirms that the risks to delivering the CAM Strategy remain medium, as the CAMS and Asset Class Strategies (or Plans) are in place. However it may increase to high if CAMG do not make substantial progress on the actions in this report by March 2022.

- 7.2 The CAMS and Asset Class actions and risks will be reviewed by CAMG (at least six monthly), and these will be reported to CMT and Members (at least annually).
- 7.3 The Scrutiny Committee are asked to consider the report, seek further assurance from Chief Officers (as necessary), and refer the report to the Executive (as necessary).

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Acting Director of Development Services

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Director of Corporate and Housing Services

Author(s): Hugh Coyle, Corporate Risk Co-Ordinator, 01324 506 286,
hugh.coyle@falkirk.gov.uk

Date: 27 October 2021

APPENDICES

- Appendix 1: CAM Risk Review - Terms of Reference;
- Appendix 2: CAM Risk Dashboard;
- Appendix 3: CAM Risk Assurance (Reporting) Framework;
- Appendix 4: CAM Corporate Risk Register Summary; and
- Appendix 5: 2021/22 CRM Review (Deep Dive) Progress Update.

List of Background Papers:

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

- Service Assurance Statements – August 2021.
- Asset Class Strategies (or Plans), Progress Reports, and Risk Registers – various dates.

Appendix 1: Terms of Reference¹ - Asset Management Risk Review

| | | | |
|-----------------------------------|--|-----------------------|--|
| Lead Officer/ Sponsor: | Douglas Duff, Acting Director of Development Services and Pete Reid, Acting Head of Economic Development | Reviewer: | Isabel Wright, Internal Audit, Risk, and Corporate Fraud Manager |
| Lead Manager: | Craig Isdale, Manager – Asset Management And all Asset Class Leads | Lead Reviewer: | Hugh Coyle, Corporate Risk Co-Ordinator |
| Risks Reviewed: | Corporate Asset Management – risks to delivering Corporate Asset Management Strategy (CAMS) 2021-2026 (May 2021) | | |

SCOPE AND CONTEXT

This review forms part of the 2021/22 Deep Dive Plan agreed by [Scrutiny Committee in June 2021](#).

The review will focus on corporate (**strategic**) asset risks. Asset Class (Operational) Risks will only be reviewed at high level to determine their current status and to inform a process for monitoring and escalation of high / strategic risks by Corporate Asset Management Group (CAMG). Asset Class Leads are responsible for monitoring their operational risks. To improve the overall CAMG Risk Assurance process, the following areas will be reviewed:

- Governance arrangements – review Corporate Asset Management Group's remit and implementation of it;
- Corporate Risk Register – review how strategic risks and mitigations (vs operational) are defined and monitored;
- Corporate (Strategic) Asset Risk Register – review and refresh definition of risks, mitigations, and assurances;
- Asset Classes (Operational) Risk Registers and Plans – review and align to CAMG assurance process;
 - Assurance Reviews - including audits, inspections, and self-assessments – review and align to assurance process;
 - Project Risk Registers (only where in scope of CAMG) – review and align to CAMG assurance process; and
 - COVID-19 Risks – review lessons and progress on Service Debrief Action Plans relating to assets.

OUT OF SCOPE

This review will **not** review the following related risks and controls:

- Capital Planning – because assurance is provided by both Internal Audit and External Audit;
- Housing Assets – as this is covered by a separate corporate risk, Strategy, and Governance Group; and
- Projects – including COTF, TIF, and Investment Zone - as these are not within CAMG's remit.

This review supports, but does not replace or duplicate wider assurance, including:

- First line assurance – ownership, monitoring and escalation of risks by Asset Class Leads and Services;
- Second line assurance - including oversight by Corporate Asset Management Group;
- Third line assurance – independent Internal Audits; and
- External Assurance – including External Audit, Inspection Bodies, and Regulators.

Specifically, this risk review **will not** retrospectively assess whether all significant lessons / actions were identified in previous assurance reviews - instead, it will monitor progress on agreed action plans and (if necessary) recommend additional assurance reviews are undertaken by the first, second, and / or third line.













REPORT OUTPUTS

Corporate Asset Risk Improvement Plan – and templates for Risk Register, Dashboard, and Assurance Framework.

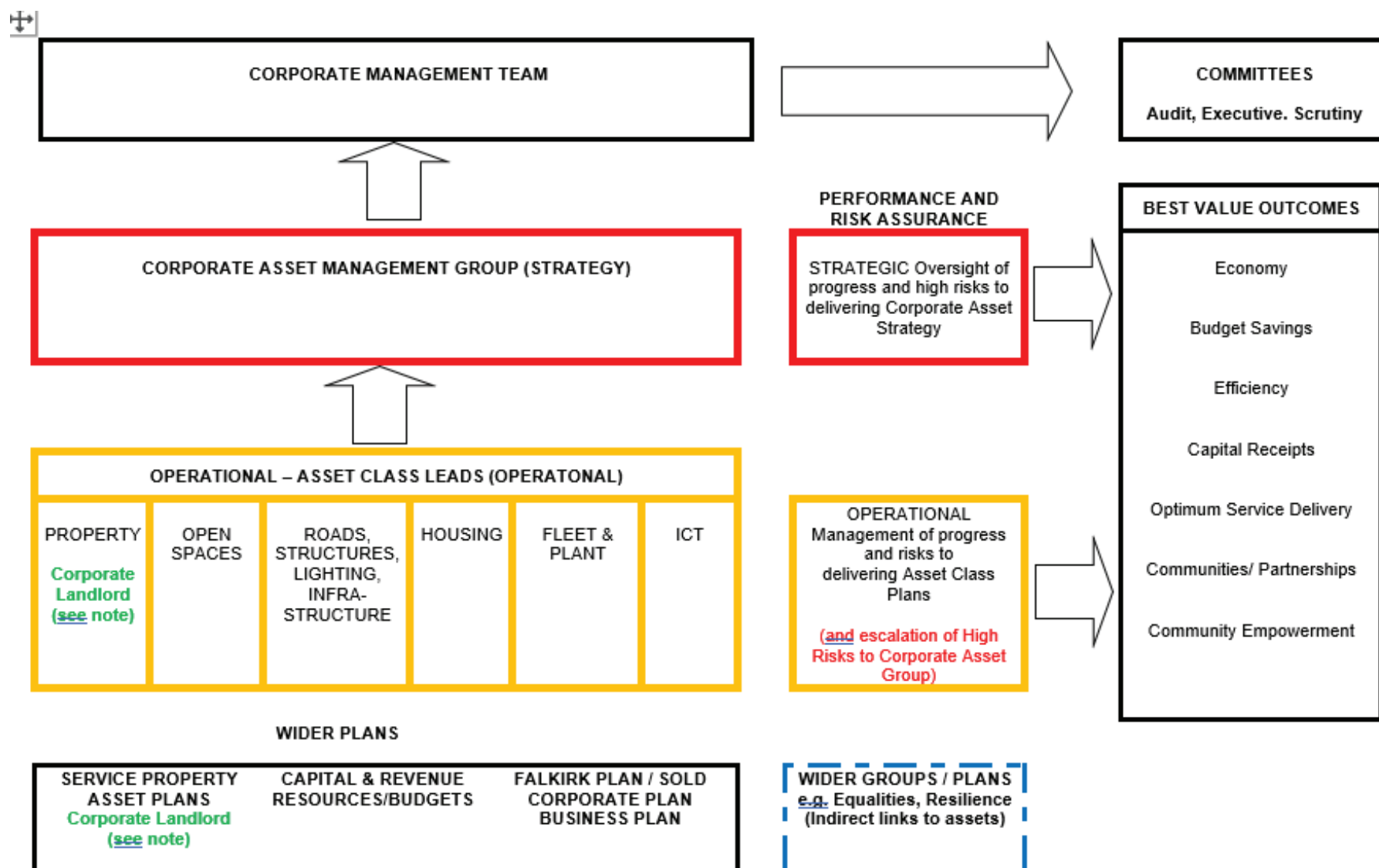
Note: The Property Risk Register Template has been developed, and once the Property Manager and their Chief Officer flesh this out it will be shared with CAMG for implementation across all asset classes. The template is not included in this report because it's not critical to agreeing the report to CMT or Members and is too much operational detail.

¹ For CMT and DS DMT Only)

Appendix 2: Corporate Asset Management – Risk Dashboard



|  | No Assurance and / or Substantially Overdue |  | Limited Assurance and / or Slightly Overdue |  | Substantial Assurance and on track or complete |  | More information needed to assess progress. |
|---|--|--|--|---|--|---|---|
| Ref | Key Area | Assurance Rating | Status / Key Findings | Actions (Note - Refer to the CAM Framework at Appendix 3 for names of CAM and Asset Class Leads) | | Timescales | |
| 1 | CAMS Governance Arrangements |  | <p>The CAMS was approved by Council in May 2021, and the reporting Framework has been updated (at Appendix 3).</p> <p>The reporting framework and performance arrangements are still being developed and embedded. At present, CAMG do not monitor all asset class strategies and associated actions plans, performance indicators, and risks; and they have recognised that their oversight of these needs to be improved.</p> | <p>CAMG need to have oversight of all Corporate and Asset Class Strategies and associated plans, performance indicators, and risks. This should include a (minimum of) 6 monthly updates from Asset Class Leads and Services on all High Risk and areas of Limited Assurance on assets.</p> <p>The CAMS and Asset Class Leads should provide CMT and Executive with (a minimum of) Annual Reports on their strategies and associated plans, performance, and risks.</p> | | <p>December 2021</p> <p>June 2022</p> | |
| 2 | Corporate Risk Register |  | <p>The Corporate Risk Register (at Appendix 4) has been updated to reflect the risks to delivering the CAMS.</p> <p>The risk is Medium, but may increase to High if CAMG don't make substantial progress on the actions by March 2022.</p> | <p>CAMG should link the Corporate Risk Register (at Appendix 3) to measurable strategic plans and performance indicators (as part of the ongoing review of asset performance arrangements), and these should be reviewed at all CAMG meetings (a minimum of quarterly).</p> | | <p>March 2022</p> | |
| 3 | Asset Classes Risk Registers and Mitigation Plans |  | <p>Asset Class Risk Registers are in place, but they cover operational versus strategic risks.</p> <p>Some asset class mitigation plans are in place, but they are not all strategic and / or not measurable.</p> | <p>Asset Class Leads should develop strategic Risk Registers (a template has been provided), and should be linked to measurable actions, performance indicators, and assurance sources. These should be reviewed (a minimum of) Quarterly and all High Risks and areas of Limited Assurance should be escalated to CAMG (and, where necessary, CMT and Members).</p> <p>The CAMS and Asset Class Leads should provide CMT and Executive with (a minimum of) Annual Reports on their strategies and associated plans, performance, and risks.</p> | | <p>December 2022</p> <p>June 2022</p> | |
| 4 | Asset Transformation) Project Risk Register(s) |  | <p>The COTF Risk Register update to Audit Committee in August 2021 confirmed that Project Risk Logs (Registers) are developed for all significant projects, although work is needed to review and validate the completeness of the risk registers.</p> <p>The following transformation risks and opportunities are still to be fully assessed – Corporate Landlord Model, Community Trust Re-Integration, and Community Learning Estate.</p> | <p>The CRM Team and Programme Management Office will review the COTF Asset Project Risk Registers by March 2022. The actions will be reported to Asset Class Leads, who will monitor these and include them in ongoing updates to CAMG, CMT, and Members on High Risks and areas of Limited Assurance.</p> <p>Once the above projects are fully developed, then the risks for each will be captured in the Property Asset Class and relevant Program Risk Registers, and reports will be provided to CAMG, CMT, and the Executive. Members can then refer them to the Scrutiny Committee and / or request a follow up CRM review.</p> | | <p>March 2022</p> | |
| 5 | Asset Incidents and Lessons Learnt – including COVID |     | <p>Most Asset Classes undertake self-assessments and / or external evaluations, but the information provided was limited. Those reviewed (e.g. Fleet and Roads) were operational compliance and CAMG need to seek more strategic reviews.</p> <p>The COVID Deep Dive report to Scrutiny Committee in June 2021 noted that Debrief Action Plans didn't cover all Critical functions and Services' BCPs need to be updated.</p> <p>Fleet and Tree risk improvements need to be prioritised because actions are outstanding from reviews in 2016-18.</p> <p>CAMG need more oversight of all risks and lessons identified by other Governance Groups, e.g. Equalities, Resilience, and Community Planning.</p> | <p>Asset Class Leads should develop more strategic self-assessments and/ or external evaluations. These should be reviewed (a minimum of) annually and all High Risks and areas of Limited Assurance should be escalated to CAMG (and, where necessary, CMT and Members).</p> <p>Resilience Team will agree a plan with CMT to improve Corporate BCP arrangements by March 2022 (though the timescale for implementation of this plan is currently unclear). The actions will be reported to Asset Class Leads, who will monitor these (and ongoing BCP lessons) and include them in ongoing updates to CAMG, CMT, and Members on High Risks and areas of Limited Assurance.</p> <p>CAMG have agreed to identify budgets and action plans for these health and safety risks by March 2022 - albeit it will then take some time (March 2022 onwards) to see the full effects of mitigations.</p> <p>CAMG to have oversight of work ZBB review of fleet accidents.</p> <p>Governance Group Leads should feedback any lessons or risks relating to assets to Asset Class Leads, who will monitor these (and ongoing lessons) and include them in ongoing updates to CAMG, CMT, and Members on High Risks and areas of Limited Assurance.</p> | | <p>June 2022</p> <p>March 2022</p> <p>March 2022</p> <p>March 2022</p> | |

Appendix 3: Corporate Asset Management Strategy - Risk Assurance Framework




*The Corporate Landlord Model will centralize some property activities, but it still requires Services to have local premises asset arrangements. The model will be further developed in 2021/22.

Appendix 4: CAM Corporate Risk Register Summary

| Risk Ref. | Risk Title | Risk Scoring & Appetite | |
|---------------------------|--|---|---|
| | | Residual (With Controls) | Target - Appetite (After Actions) |
| COR_DS_03 | Asset Management: Failure to deliver on the Corporate Asset Management Strategy |  |  |
| Lead Officer (s) | Acting Head of Economic Development | Medium | Medium |
| Risk Description | <p>The main risk is failure to deliver on the following CAMG and risk management objectives:²</p> <ul style="list-style-type: none"> asset strategies support the Corporate Plan outcomes; assets are managed effectively and efficiently; assets are fit for purpose, suitable, and financially sustainable; suitable management mitigation controls and action plans implemented; and the CAMS risks, performance, and governance framework is effective. | | |
| Consequences (Worst Case) | <p>Failures in asset management can contribute towards:</p> <ul style="list-style-type: none"> disruption to service delivery for communities, economy, traffic, etc – leading to significant damage to reputation; failure to deliver core services (leading to statutory breaches) or deliver transformation projects (on time / budget / outcomes); harm (death / injury) to vulnerable people – leading to potential prosecution, prohibitions, and civil claims for injury / damage; inefficiency and increased costs e.g. energy, repair, and capital expenditure – leading to failure to demonstrate best value; impact on delivery of the Community Plan (including economic development) and Partnerships (including Health & Social Care); fundamental breakdown in contractor or partnership relationships (so unable to deliver strategic plans / projects). | | |
| Mitigation Controls | <p>The Council's assets comprise a total of 6 asset classes - property, housing, roads and infrastructure, fleet, open space and ICT. High Level objectives are set out within the CAM Strategy. Each asset class also has a strategy, plan, and risk register. There is extensive consultation with services, partners, communities, and other stakeholders to develop asset strategies. This is linked closely to the Community Empowerment and Locality Planning aspects of the SOLD.</p> <p>Each Asset Classes operational controls include Business Continuity Plans, planned and re-active maintenance and inspection; compliance monitoring, asset registers; condition, utilisation, and efficiency reviews; defects, repairs, incidents and lessons reviews.</p> | | |
| Assurance | <p>CAM Group (CAMG) has oversight of the corporate assets' strategy, plans, and risks. This is summarised in the Asset Risk Dashboard:</p> <ul style="list-style-type: none"> Asset Class risks and plans will be reviewed on a cyclical basis. Governance Groups/ Partnerships lead on specific risks, e.g. Council of the Future, Community Planning Partnership, Housing Self-assessments are undertaken by asset classes, e.g. Fleet – VOSA Compliance, Roads – APSE, and Property – CIPFA. Audits take place covering e.g. best value, delivery of strategies / plans / projects, and compliance / operational controls. and any significant issues from the above reviews should be escalated to CAMG – including areas of High Risk and Limited Assurance | | |
| Additional Mitigation | See CAMS Risk Dashboard. | | |

Appendix 5: 2021/22 CRM Review (Deep Dive) Progress Update

| Lead Service | Risk Title | Target Risk Appetite | Planned Review Time | Progress and Revised Date | Comments – Progress and Next Steps | | | |
|---|---|----------------------|---|---|--|--|---|---|
| Table 1: Reviews on High Corporate Risks | | | | | | | | |
| SWAS / IJB | Health and Social Care Integration | Medium | H1 2021 (Oct 2021) |  Postponed to H2 2022 | IJB Risk Management Audit postponed due to COVID. The actions are unlikely to be taken forward until mid-2022 - aim to report CRM Review to Scrutiny Committee in Half 2 2022/23. | | | |
| CS | Public Protection (Adults and Children) | Inherently High | H1 2021 (Oct 2021) |  In Progress March 2022 | Public Protection Risk Register has been developed and is being monitored by the Chief Officers' Group (COG). We are currently looking at how COG feeds into a new Community Planning Partnership Risk Register - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| CHS | Health & Safety – Premises Management Handbook | Medium | H1 2021 (Oct 2021) |  In Progress March 2022 | CMT agreed initial solutions on Premises Management issues in August 2021 Safety Management Group to provide more detailed report in December 2021. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| CHS | Transformational Change Council of the Future Risks | High | H2 2021 (Mar 2021) |  Scheduled March 2022 | Following a review by CRM and PMO Teams in June 2021, the COTF Program Risk Register was reshaped approved by COTF Board in Aug 2021. Project Risks Registers are still to be reviewed as part of an internal audit. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| Are DS | Resilience – includes COVID and Business Continuity | Low | H1 2021 (Oct 2021) |  Follow Up H2 2022 | Amber because Services are still to take forward their Debrief Action Plans. Scrutiny Committee to receive a COVID follow-up report in Nov 2021, setting out COVID progress and BCP actions e.g. improvements in training. Deep Dive Follow Up was due by Dec 2021, but postponed to Half 2 2022/23. | | | |
| DS | Climate Change | Medium | H1 2021 (Oct 2021) |  Scheduled March 2022 | Original Deep Dive was due in June 2021 but postponed because Service needed Executive buy-in to strategy and Climate Emergency Action Plan. The risks need to be assessed following Budget Decisions in early 2022. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| CHS | Community Planning | Medium | H2 2021 |  Scheduled March 2022 | Ongoing CRM Updates to Audit Committee and Executive show that CPP governance has improved from limited to substantial during 2021/22. We are currently looking at how best to develop CPP Risk Register. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| CHS | Participation | Medium | H2 2021 | | | | | |
| CHS | Equalities Duties | Medium | H2 2021 | | | | | |
| Table 2: Reviews on Medium Risks | | | | | | | | |
| CE | Leadership, Governance, and Decision Making | Medium | H1 2021 |   Quarterly | Green - CRM Policy Revised. Amber - Service Assurance Statements, Measurable Risk Actions, and Risk Appetite. Quarterly CRM Updates are reported to Audit Committee and Executive, so no Scrutiny Report planned. | | | |
| DS | Asset Management including (inc. Flood Risk Registers) | Medium | H1 2021 |  In Progress | Asset Management Review to be reported in November 2021. Flood Risks Briefing to be provided in Spring or Summer 2022. | | | |
| DS | Delivery of Head Office Replacement Project | Medium | H1 2021 |  March 2022 | Program Risk Register in place. Project RRs in place. CRM Team and Program Manager review regularly e.g. Demolition risks. Corporate Risks associated with New HQ being re-assessed following executive decisions in Sept 2022 and will report to Audit & Exec by Dec 2021 | | | |
| CS | Children's Service – Social Work - Review of Static Risks | Medium | H1 2021 |  Delayed | Statements of assurance have improved significantly. Many static risks have now been closed and there is wider assurance. Exception Reports being prepared for Audit Committee by December 2021. More work to be done linking risks to Business Plans / performance reports. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| CS | Children's Service – Education Review of Static Risks | Medium | H1 2021 |  In Progress March 2022 | | | | |
| CHS | Corporate and Housing - Review of Static Risks | Medium | H1 2021 |  Limited Progress March 2022 | | | | |
| DS | Development Services - Review of Static Risks | Medium | H1 2021 | | Statements of assurance need more work – not yet seeing enough progress. Exception Reports being prepared for Audit Committee by December 2021. More work to be done linking risks to Business Plans / performance reports. - aim to report CRM Review to Scrutiny Committee in March 2022. | | | |
| SWAS | Social Work Adult Services - Review of Static Risks | Medium | H1 2021 |  Postponed to H2 2022 | This work is on hold because of COVID and Winter pressures. Postponed until 2022/23 – will be part of the IJB RM Audit actions. | | | |
|  | No Assurance and / or Substantially Overdue | |  | Limited Assurance and / or Slightly Overdue |  | Substantial Assurance and on track or complete |  | More information needed to assess progress. |