**Falkirk Council: Corporate Risk Register**

Source: Elected Member Briefing on 06 November 2023 (pre-Executive Meeting)

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**Source:**

* This file is attached to the 6-monthly CRM update to Executive on 28 Nov 2023; and it was discussed at a meeting with Elected Members in November 2023.

# Summary of High Corporate (Strategic) Risks

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| **Council Priorities:**  | STR – Stronger and More Health Communities  | PRO – Promoting Opportunities and Reducing Inequalities | EEC – Education, Employment, and Citizenship  | EGT – Econ & Green Transition |
| **Lead Service** | CS - Children’s Services | PS - Place Services | SWAS - Social Work Adult Services | TCCS – Transf. Com. & Corporate  |
| **Target – is there Good Progress and SMART Plans?** | * No Assurance

Significant weaknesses in controls and / or actions overdue  | Warning Limited Assurance Controls not effective and / or actions overdue or not SMART | Okay Substantial Assurance Controls are effective and / or actions due to meet Target  |  Assurance UnknownSMART plan is required, and / or needs further review |
| **Lead Service** | **Council Priority** | **Risk Title** | **Current Risk Level**  | **Target Risk (Appetite)** | **How Do We Get to Target: achievable Plan?**  | **Status and Key Changes in this reporting period** |
| CE | Enabler | [Leadership, Decision Making, and Governance](#_Leadership,_Governance,_and) | High | Medium | WarningActions continue to be implemented | No Change. Measurable actions are set out within the Best Value and Risk Management improvement plans. CMT continue to monitor progress on these. |
| CS | STR | [Public Protection:](#_Public_Protection:_)[Harm to Adults/Children](#_Public_Protection:_) | Inherent High | High | OkayMeets target, butinherent high impact | No Change. Controls are effective, but the risk cannot be reduced to medium due to severe impacts if it occurs.  |
| CS and TCCS | STR | [Anti-Terrorism, including CONTEST. Martyn’s Law, and Radicalisation](#_Terrorism_including_CONTEST) | High | High | WarningActions to be finalised and implemented | No Change: the risk of terrorism is rated high nationally. The assurance level is limited because, although we have effective Public Protection arrangements in place, there is more work to do on reviewing and implementing e.g. CONTEST Strategy and Plan, Terrorism Risk Assessments, and Resilience Plans.    |
| PS | EGT | [Climate Change –](#_Climate_Change)[Delivery of Climate Declaration and Plans](#_Climate_Change) | High | High | Warning Actions in place, but will not meet 2045 targets | No Change in risk level, but assurance changed from None to Limited. The Climate Change Strategy and Action Plan sets out a range of ambitious targets and projects; but it acknowledges there are risks in meeting various targets, e.g.:* high risk that Council will fail to meet the organisational net zero 2030 target.
* low risk that Council will not meet national target of 75% reduction by 2030.
* medium risk that Council will fail to support the reduction of area wide emissions target of 75% reduction by 2030; and
* high risk the Council will fail to meet the national net zero 2045 target, as we have not quantified our ability to meet this target with current funded projects.
 |
| PS | EGT | [Major Investment Programmes including Growth Deal](#_Major_Investment_Programmes,) | High | Medium | Risk Registers are being reviewed or developed | No Change. There are high risks in delivering on all major projects due to their complexity and budget and economic uncertainties. The Strategic Asset Modernisation Board are reviewing all project risks in Autumn 2023; and Growth Deal governance arrangements, including a risk strategy, are being developed. |
| PS | Enabler | [Premises Compliance (including Legionella, Asbestos, and RAAC)](#_Premises_Compliance_(including) | High | Medium | WarningActions in place, but timescales to be defined | Added Oct 2023. CRR Details still to be developed/added. A Compliance Board has been established and action plans are in place to address each risk. The Audit Committee will review progress on legionella actions in November 2023.  |
| PS | EGT | [Sustainable Growth](#_Sustainable_Growth,_Economic,) | High | Medium | Risk Registers are being developed or developed | No Change. A new Lead Officer has been appointed and will take forward a self-assessment and risk review. The Growth Deal Governance Framework is being established for all projects and this will include developing risk registers. |
| TCCS | PRO | [Equalities Duties](#_Equalities) | High | Medium | WarningActions to be developed at Service level | No change in the risk rating, but the Assurance Rating has changed to limited as per the Best Value Review. An Equalities Mainstreaming Report has been published, and the actions in the report will be turned into Service-level actions.  |

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| **Lead Service** | **Council Priority** | **Risk Title** | **Current Risk Level**  | **Target Risk (Appetite)** | **How Do We Get to Target:** **achievable Plan?**  | **Status and Key Changes in this reporting period** |
| TCCS | Enabler | [Financial Sustainability - need for recurring savings](#_Financial_Sustainability) | High | Medium | WarningBudget gap and uncertain outlook  | No Change. The level of medium term budget savings gap, uncertainty over the funding and Council Tax position and prevailing high interest rates, continues to make this high risk and limited assurance. |
| TCCS | STR | [Housing Fires: Potential Changes to Standards](#_Housing_Fires:_) | High | Low | Await national changes | No Change. Fire safety improvements are being implemented; but it remains high risk as further changes may be made in standards, and the costs and timescales of any further building works will need a more detailed assessment. |
| TCCS | STR | [Gender Based Violence (GBV)](#_Gender_Based_Violence) | High | Medium | WarningActions in place, but timescales to be defined | No Change. To be re-assessed following a GBV Risk Management Self-Assessment which is ongoing. |
| TCCS | Enabler | [Health, Safety, and Wellbeing](#_Health,_Safety,_and) | High | Medium | OkayActions in place, and due to meet target | No Change. Limited assurance since 2018. Action plans are now in place and substantial assurance is expected to be provided by October 2024. Progress on Service Action Plans to be reviewed by CMT in October / November 2023.  |
| TCCS | STR | [Poverty – impacts on individuals and families](#_Poverty) | High | Medium | OkayControls effective and clear actions in place | No Change. The Council’s current mitigations are considered effective albeit Poverty has significant impacts on communities.  |
| TCCS | Enabler | [Resilience: Business Continuity](#_Resilience:__Council) | High | Medium | WarningActions in place, but timescales to be defined | No Change. Business Continuity Strategy has been drafted and system being implemented. Impact Assessments and Plans will be developed across all Services on a phased basis starting in Autumn 2023. |
| TCCS | Enabler | [Transformational Change: Delivery of the Council of the Future Programme](#_Council_of_the) | High | Medium | Actions in place, but further work needed | No Change. Remains limited assurance, as there are some outstanding actions from the Internal Audit on Savings and Transformation Trackiing in 2021/22. |
| CS and TCCS | STR | [Services to Asylum Seekers](#_Services_to_Asylum) | High | Medium | WarningActions in place, but further work needed | Changed from Medium to High. A range of supports are in place, but additional demands from the Home Office for new arrivals need to be bedded in to allow us to further explore what mitigations or settlement can be put in place. |
| SWAS | STR | [National Care Service](#_National_Care_Service) | High | Medium |  Review once national changes are clearer | No Change. The Council are participating in national consultations, but the risk cannot be assessed until proposals are clearer. |
| SWAS | STR | [Health and Social Care Integration](#_Health_and_Social) | High | Medium | OkayControls effective and actions in place | No Change in risk level; but changed from Limited to Substantial Assurance. There has been positive progress on the IJB Risk Management Internal Audit actions, but the actions are ongoing and most strategic risks are rated high. |
| SWAS and IJB | STR | [Social Work and Social Care Recruitment and Retention Pressures](#_Social_Work_and) | High | Medium | WarningActions in place, but uncertain outlook | No Change in risk level; but changed from Substantial to Limited Assurance. The HSCP Workforce Plan is being implemented but it is long-term and there are significant challenges across the sector. |
| CS and SWAS | STR | [Community Mental Health and Wellbeing](#_Community_Mental_Health) | High | Medium | WarningActions in place, but further work needed | No Change. Strategies are in place, including mental health awareness and training for early years and schools staff; and a communications strategy to raise awareness of a range of online and in-person supports for young people and families, which are delivered through funding for a range of partners. |

# Summary of Medium Corporate (Service/Operational) Risks

| **Lead Service**  | **Council Priority** | **Risk Title** | **Current Risk** | **Target Risk (Appetite)** | **Assurance Level and Status**  |
| --- | --- | --- | --- | --- | --- |
| CS | EEC | Closing the Attainment Gap in Schools | Medium | Medium | OkaySupports in place and Reports to Children & Young People’s Executive. |
| CS | PRO | Getting It Right for Every Child (GIRFEC) | Medium | Medium | OkaySupports in place and Reports to Children & Young People’s Executive. |
| CS/SWAS | Enabler | Social Work Information System (SWIS) Replacement | Medium | Low | OkaySWIS Board monitor progress. |
| CS/SWAS | STR | Community Mental Health and Wellbeing (jointly managed with the HSCP) | Medium | Low | Okay Supports in place and Reports to IJB and Children & Young People Executive. |
| CS | PRO | School Meal Expansion for P6 & P7s | Medium | Low |  Added Oct 2023: still to be assessed |
| CS | PRO | Scottish Government Setting Teacher No & School Week Targets | Medium | Low |  Added Oct 2023: still to be assessed  |
| PS | Enabler | Asset Management Strategies and Plans | Medium | Medium | OkayAsset Class and Projects Risk Registers and Plans in place |
| PS | Enabler | Prohibitions and Loss of Licences: Failure to fulfil duties as a Licence Holder (including Waste and Fleet) | Medium | Medium | OkayCompliance reviews ongoing. |
| TCCS | Enabler | HR and Workforce Planning | Medium | Medium |  Workforce Strategy Agreed. Plans to be developed |
| TCCS | Enabler | Information Management | Medium | Medium | Okay Digital Strategy Agreed. Plans to be developed |
| TCCS | Enabler | Cyber Security | Medium | Medium |  Cyber Plans being progressed.Annual Accreditations in place. |
| TCCS | STR | Local Housing Strategy | Medium | Medium |  Local Housing Strategy Agreed. Annual Assurance Reports in place. |
| TCCS | Enabler | Financial Controls | Medium | Medium |  Ongoing Finance Monitoring Reports and Internal and External Audits. |
| TCCS | Enabler | Procurement and Commissioning | Medium | Medium |  Procurement Plans being progressed.Annual Report in place. |
| TCCS/CS | STR | Services to Ukrainian Refugees(Jointly managed by Children’s Services) | Medium | Low | OkaySupports in place. |

# Details of High Corporate Risks

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| **Risk Title** | Leadership, Governance, and Decision Making |
| **Risk Statement** | Failures in leadership, governance, or decision making could result in a risk that the Council don't make effective decisions, demonstrate best value, and / or deliver the priorities in the Falkirk Plan, Council Plan. The risks include:- ineffectively designed or implemented decision making and scrutiny structures.- a lack of constructive and productive relationships across Members, Officers, and / or Partners.- professional advice not being sought timeously and / or not being acted upon.- a lack of challenge by Officers / Members.- conflicts of interest, and a lack of pace and ambition to respond effectively to the Council's challenges. |
| **Lead / Owner** | Chief ExecutivePerformance Forum |
| **Risk Scoring:** Inherent (with No Controls) | * Impact 5 – Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring:** Current (with Current Controls) | * Impact 4 - Major
* Likelihood 3 - Possible
* Risk Rating - High
 |
| **Risk Scoring:** Target (with Additional Actions) | * Impact 3 - Moderate
* Likelihood 3 – Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | • Fundamental breakdown in Officer, Member, and / or Partner relationships. • Failure to deliver Best Value services and make well-informed decisions. • Audit criticism, resulting in reputational damage and / or external intervention. • Decisions could be challenged due to poor accountability or transparency. • Officers and / or Members fail to respond effectively to the Council’s challenges.  |
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| **Risk Controls - Current Mitigation** | • Standing Orders: set out clear and agreed governance and decision-making structures. • Falkirk Plan and the Council Plan are supported by a range of strategies / plans / policies. • Council of the Future Transformation Programme: Improvement is pursued with pace and ambition. • Council Values: and these are embedded through a range of Collaborative Leadership and Organisational Development initiatives. • Corporate Governance and Integrity Policies, including Fraud and Irregularity, Gifts & Hospitality, and Whistleblowing Policies. • Timely engagement and consultation with all Stakeholders, including Partners, the Public / Communities, and Employees. • Corporate Governance and Integrity Policies, including schemes of delegation, Codes of Conduct, and Complaints Handling. • Transparent decision-making and Committee processes are supported by professional staff.  |
| **Additional Mitigation Plans (Key Sources)** | **Leadership:**• External Audit Annual Report. • Annual Governance Statement Action Plan. • Standing Orders and Scheme of Delegation: to be reviewed and implemented. • Elected Members' Code of Conduct & Complaints: to be reviewed and implemented. • Formal Appraisals (360 Feedback): to be completed by Managers and Chief Officers. • Briefings and training for Officers and Members: to be developed and implemented. **Performance:**• Data, Insight, Performance & Strategy (DIPS) programme: to be scoped and implemented. • Best Value: implement actions set out in Best Value Report and Self-Assessments. **Risk Management:**• Corporate Risk Management Improvement Plan. • Internal Audit of Risk Management arrangements (by West Lothian Council). |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | **Collaborative Leadership**Collaborative Leadership was a priority in the Best Value Strategic Action Plan, supporting Officers and Elected Members with partnership working.The Council Plan and Financial Strategy are complete, and progress regularly reported to Members. Formal Appraisals (360 Feedback) completed for Chief Officers in Dec 2022 and rolled out to Managers by 2024. Continuous briefings and training are in place for Officers and Members; and an Organisational Development resource to be appointed by April 2023 to take forward the work on Cultural Change. Further details are contained in the Best Value Strategic Action Plan Update to the Executive in March 2023.**Performance**An updated Performance Management Framework will be reported to CMT in October 2023. Following agreement from CMT, the Framework will be published on Falkirk Performs. This aims to tighten existing practices and processes, complement the Council Plan success measures considered by Council on 27 September 2023, and will be reported within the Mid-Year Public Performance Report. It is recommended as part of the Performance Management Framework that the Performance Forum will no longer be required, and reporting will be to CMT direct.**Corporate Risk Management – Substantial / Limited Assurance**CMT, Audit Committee, and the Executive receive regular CRM updates. This includes a review of the Corporate Risk Register, Service Risk Assurance (Exceptions), and progress on the Risk Management Improvement Plan. The key improvement areas outstanding are measurable action plans on high risks and areas of limited assurance, risk training, and horizon scanning (which were due to be completed in March 2023 and are now scheduled for June 2023). In addition, a Risk Management Internal Audit was carried out by West Lothian Council. This provided satisfactory assurance and progress is monitored as part of the CRM updates.**Governance**Corporate Governance - Review Scheme of Delegation; Review Elected Members’ Code of Conduct & Complaints; Review Whistleblowing Policy – approved by Executive 18 January 2022. Review of Committee structures and Standing Orders is underway with a view to reporting back to Council in December 2023. |
| **Level** | Limited Assurance |
| **Key Sources of Assurance** | First Line:• Corporate Risk Register: Quarterly Reviews. • Service Risk Assurance Statements: Quarterly Reviews. • Best Value Reviews and Self-Assessments: Annual Reviews. Second Line:• Corporate Risk Management Group: Annual Self-Assessment. Third Line:• External Audit: Best Value Review. • Internal Audit. Risk Management (by West Lothian Council).  |
| **Link to Council Plan: Action(s)** | There are no corresponding actions or success measures on the Council Plan: we will look at how to track the risk actions and indicators in future. |
| **Link to Council Plan: Success Measures** | Performance is monitored through the Council Plan and Performance Monitoring Reports, which are reported to the Executive. |

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| **Risk Title** | Public Protection: Harm to Adults and Children |
| **Risk Statement** | There is a risk of harm to vulnerable children and young people and adults if the Council fails to meet its statutory public protection duties. The Public Protection Chief Officers' Group (COG) Risk Register details the risks. Criminal Justice risks are twofold: the protection of the community from the service user, and the protection of the service user from the community.  Child and Adult Protection risks are twofold: the need to keep people safe and avoid serious harm / deaths, and the reputational risk to the Council in this situation.  The Target Risk Is High because there is always a risk of a serious harm occurring and the consequences could always be severe., even though the Council and COG partners can provide reasonable assurance on the effectiveness of public protection arrangements.  |
| **Lead / Owner** | Children’s Services / Social Work AdultsPublic Protection Chief Officers’ Group (COG) |
| **Risk Scoring:** Inherent (with No Controls) | * Impact 5 – Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring:** Current (with Current Controls) | * Impact 5 – Extreme
* Likelihood 3 - Possible
* Risk Rating - High
 |
| **Risk Scoring:** Target (with Additional Actions) | * Impact 5 – Extreme
* Likelihood 3 – Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Substantial |
| **Potential 'Worst Case' Consequences** | . Death or serious harm to a child/young person or vulnerable adults. . Significant Case Reviews / Fatal Accident Enquiries / Prosecution or other legal interventions. . Potential compensation claims. . External criticism / intervention (e.g., Care Inspectorate or Criminal Justice Authority). . Reputational damage to the Council.   |
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| **Risk Controls - Current Mitigation** | An overview below - more details are in the COG and Committee / Partnership Risk Registers:. Sharing of information (including protocols) across COG/Partners. . Vulnerable Persons' Registers and integrated / Single shared assessment. . Case conferences / learning reviews. . Governance Structure: including risk, audit, and performance monitoring. . Robust training programme for all Council and partner agency staff. . Awareness raising with the public. . Police run scheme for identification of sex offenders in local communities.  |
| **Additional Mitigation Plans (Key Sources)** | . Integrated Children's Services Plan. . IJB (Adult Protection) and COG Plans. . Improvement Plans from control reviews above.  |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | No change this quarter. -The COG meeting in March 2023 included an annual review of the COG Risk Register, Terms of Reference, and Self-Assessment (summarised above). In addition, COG Sub-Groups/ Committees providing quarterly risk and performance updates to COG.  -Areas of limited assurance include Workforce and SW Budget Pressures, Gender Based Violence, and Mental Health. Plans are place to address each of these. |
| **Key Sources of Assurance** | A summary is given below and more detailed are contained in the COG and Committee Risk Registers.  First Line: . Chief Social Work Officer Annual Report. . Annual Reports and Quarterly COG Updates. . COG and Committee / Partnership Learning Reviews. . Reports to Boards/ Committees, including e.g., Scrutiny Committee, Community Planning Board, IJB (Board), IJB Clinical and Care Governance Committee, and the Children and Young People's Executive.  Second Line: . COG Co-Ordinators and Independent Chairs support and challenge to management / partners. . COG / Committee / Sub-Group papers, including Risk Registers, Learning Reviews, and Performance.Third Line: . Care Inspectorate, Health Improvement Scotland, and Mental Welfare Commission Inspections. . Children's Commission Inspections. . Criminal Justice Authority Inspections. . Internal Audit.  |
| **Link to Council Plan: Action(s)** | Support and safeguard children and adults where protection concerns have been raised.  |
| **Link to Council Plan: Success Measures** | Percentage of children on the child protection register with a protection plan.Percentage of Child Protection Planning Meetings held within 28 days.Number of Duty to Inquire for adults.Number of Interagency Referral Discussions (IRD’s) for adults.Number of Investigations for adults. |

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| **Risk Title** | Sustainable Growth, Economic, and Employment Opportunities |
| **Risk Statement** | There is a risk that the Council (and partners) do not deliver on their priorities relating to Sustainable Growth, Economic, and Employment Opportunities. These priorities and risks are shared with our communities and local, regional, and national partnerships. Although there are many strategies and plans in place to deliver on these priorities; there are also risks (uncertainties) on whether they will be fully achieved. This includes a number of long-term issues, including economic conditions and funding constrains, economic downturn, and long-term changes in town centre use. Whilst the Council's economic strategies and plans (including new HQ, Arts Centre, and Town Centre Strategies) do partly mitigate these, the issues are not fully within local government and partners' control. The consequences could include more business closures, reduced external investment, and increased calls for support/intervention by Council and other agencies to address hardship, sustain business operations, and relax financial claims or regulatory controls – all these have significant impacts on Council resources. This corporate risk is closely related to 2 other high risks: Financial Sustainability and delivery of Major Investment Programmes. These include the risks associated with project funding and economy conditions. |
| **Lead / Owner** | Place Services: Michael McGuinnessEconomic Development Partnership |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5 – Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 – Moderate
* Likelihood 3 – Possible
* Risk Rating - Medium
 |
| **Current Assurance** | To be confirmed |
| **Potential 'Worst Case' Consequences** | . Business closures and cutbacks, which may result in loss of skills / jobs / investment. . Harm to vulnerable people, the community, and the local economy. . Poverty and Inequality - most deprived areas / groups impacted most. . Council and Community Partners’ resources are further stretched / diverted from Council priorities. . Failure to deliver safe and Best Value services causes reputational damage and external intervention.  Falkirk Town Centre decline could have a significant impact on individuals, communities, and businesses across the Council area; in particular, the most deprived areas.  |
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| **Risk Controls - Current Mitigation** | These are detailed within the Assurance (Key Sources) and Additional Actions below.  |
| **Additional Mitigation Plans (Key Sources)** | - Council Plan and Service Delivery Plan.- Economic Partnership Strategies and Plans.- Programme and Project Delivery Plans. |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | The Council's Executive continue to receive updates on economic development activity. The Falkirk Tourism Strategy was approved in June 2023 and the Falkirk Town Centre Vision & Development Framework was approved in August 2023 A new lead officer (Economic Development Manager) has now been appointed and commenced on 1 September 2023. The Economic Partnership and Programme Boards' Annual Self-Assessments were deferred from March to September 2023.The assurance level has been kept as Limited Assurance because of the challenges and issues that are beyond the Council's control. The Corporate Risk Register has been updated to reflect the Council Plan and Place Service Plan priorities. |
| **Level** | Information required |
| **Key Sources** | First Line: - Performance reporting to CMT, Council Executive, and Partners. - Project / Programme Delivery Boards - including Council and Funding Partners.  Second Line: - Falkirk Economic Partnership (and other partners), who report to Community Planning Board. - Strategic Asset Modernisation Board have oversight of Major Capital Projects. - Council Specialists - including Design, Engineering, Legal, Procurement, Project Management. - Professional Advisors and Contractors.Third Line: - Internal Audit - including Funding Financial Controls - External Audit - including Best Value and Economic Partnership Governance. - Government and Funding Bodies and their assurance advisors.  |
| **Link to Council Plan: Action(s)** | Deliver local and regional activity that drives sustainable growth within the local economy. |
| **Link to Council Plan: Success Measures** | Claimant Count as a % of Working Age Population (LGBF).Proportion of people earning less than the living wage (LGBF). Employment Level (In Employment).Value of tourism expenditure in the area (£).% of procurement spend spent on local enterprises (LGBF).No of business gateway start-ups per 10,000 population (LGBF).Town Vacancy Rates (LGBF).Percentage of business properties leased by the Council that are occupied.Gross Value Added (GVA) per capita (LGBF). |

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| **Risk Title** | Climate Change |
| **Risk Statement** | The Climate Change Strategy and Action Plan sets out a range of ambitious targets and projects. But it acknowledges there are risks in delivering various targets within the Council’s Climate Declaration, e.g.: · high risk that Council will fail to meet the organisational net zero 2030 target. · Low risk that Council will not meet national target of 75% reduction by 2030. · Medium risk that Council will fail to support the reduction of area wide emissions target of 75% reduction by 2030; and high risk the Council will fail to meet the national net zero 2045 target, as we have not quantified our ability to meet this target with current funded projects. The Council area includes vulnerable sites where flooding, severe weather, and pollutions events could harm citizens. Worst case includes death, ill-health, poverty and inequalities, and destruction of property and environment. The impacts on the Council include additional capital and running costs – impacting on services / best value - and breach of climate duties. These may result in reputation damage, legal action, penalties, project delays, funding gaps. |
| **Lead / Owner** | Place Services: Michael McGuinnessCorporate Sustainability and Stakeholder Groups |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | Falkirk area includes vulnerable sites where flooding, severe weather, and pollution events could lead to:- severe harm to people, including death / ill-health- severe damage to economy, including business interruption, closures, and economic damage- severe poverty and inequalities.- destruction of environment and habitats.- significant capital project costs and delays, leading to harm to Council finances, Services, and best value. - breach of climate and environmental duties, leading to reputational damage, legal action, and penalties. |
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| **Risk Controls - Current Mitigation** | -Climate, Asset, and Environment Strategies / Plans. -Climate Projects Register. -Major Investment Projects / Programme Risk Registers. -Resilience Plans, including Business Continuity, Flood Protection, and Resilience Partnership Plans. -Annual Climate Change Action Tool Self-Assessment.  |
| **Additional Mitigation Plans (Key Sources)** | Action Plans to address Council Emissions: -Climate Emergency Action Plan (CEAP). -Annual Climate Change Action Self-Assessment. -The Falkirk Plan and Council Plan: supporting a thriving economy and green transition priorities. -Local Development Plan / Framework. -Local Heat & Energy Efficiency Strategy (LHEES). -Business Continuity and Resilience Plans. -Flood Protection Schemes.Action Plans to address Council Area Emissions:-Community Planning Partnership. -Community Wealth Building. -Falkirk Economic Partnership -Grangemouth Future Industry Board. -Growth Deal - Place and Innovation Board. -Forth Green Freeport - net zero ambition.  |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | A climate change update paper was presented to the Executive on 17th October, which outlined the Council's position on our organisational net zero target. The update included the Council's climate change strategy which sets out our strategic framework for meeting our climate change targets and obligations; the action plan that supports the delivery of our strategy; and the LHEES Strategy and Delivery plan.However, there remains a gap between the action plans and the likelihood of meeting the target sets.The assurance rating has been changed from None to Limited, following a review of the risk of meeting each of the 2030 and 2045 local and national targets (as shown in the risk statement above). |
| **Key Sources of Assurance** | First Line: -Annual Public Bodies Duties Report (PDBR). -Annual Climate Change Action Tool Self-Assessment.  Second Line: -Governance Groups’ Annual Self-Assessments. -Corporate Sustainability and Stakeholder Groups, which consult and monitor actions on Council emissions. -Community and Economic Partnerships, which consult and monitor actions on area emissions.-Major Investment Programme Boards, including Growth Deal and Flood Protection.-Resilience Partnerships: which leads on e.g. flood planning responses.-Specialists: professional advisors and contractors.Third Line: -Internal Audits, including Climate Change PDBR Validation. -External Audits, including national reviews of Climate Action Plan Progress. -Scrutiny of emissions and projects by Professional Bodies and the Scottish Government. -Regulators, such as SEPA monitor environmental protection and flood resilience plans. |
| **Link to Council Plan: Action(s)** | Push towards becoming net-zero by 2030.Create a cleaner and greener Falkirk area.Develop a more sustainable transport infrastructure and decarbonise the Council's fleet.  |
| **Link to Council Plan: Success Measure(s)** | Percentage of progress toward the Council's net zero target by 2030.Percentage of progress toward the 2030 Falkirk area-wide interim carbon reduction target.CO2 emissions area wide: emissions within scope of LA per capita (LGBF).Street Cleanliness Score (LGBF).Percentage of total household waste that is recycled (LGBF).Biodegradable waste sent to landfill.Residents within Forth Valley that are within a 10-minute walk from a publicly accessible EV charge point.Percentage of our vehicle fleet that are zero emission vehicles.Co2 emissions from Fleet.Percentage of overall carriageway length to be considered for maintenance treatment.  |

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| **Risk Title** | Major Investment Programmes, including Growth Deal |
| **Risk Statement** | There is a risk that the Council do not deliver on their priority: "Deliver, with our strategic partners, the Growth Deal and other transformational investment programmes to improve the economy through infrastructure investment." This includes the risks (uncertainties) relating to (1) maximising Growth Deal Funding; (2) implementing effective partnerships and programme governance structures; and (3) achieving desired project outcomes and benefits for communities (4) delivering projects within budgets and schedule - including potential Capital Plan Slippage or Over-Spends. This risk includes the risk of not delivering the following priorities within the Place Services Delivery Plan: Growth Deal, Flood Prevention, Roads Infrastructure, and Tax Incremental Funding (TIF). Each of these projects have a specific programme risk register and governance process; and the progress and risks are tracked on the Pentana system as linked actions and / or risks). Note: there are separate corporate risks relating to Sustainable Growth and Financial Sustainability, which includes the risks associated with funding, Best Value, and Economic Conditions.  |
| **Lead / Owner** | Place Services: Paul KettrickProgramme Boards |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5 - Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 3 – Possible
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 – Moderate
* Likelihood 3 – Possible
* Risk Rating - Medium
 |
| **Current Assurance** | To be confirmed |
| **Potential 'Worst Case' Consequences** | -Significant damage / breakdown in public infrastructure, including roads.-Major loss of funding, inward investment and /or budget gaps. -Significant harm to assets, the economy, and individuals. -Significant project delay or over-spends impact on capital program. -Serious audit/ public criticism, and national media interest. -Significant impact on local economy and employment. |
|
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| **Risk Controls - Current Mitigation** | The Council implement best practice methodologies in relation to Capital Planning, Design and Engineering, and Programme Management. This includes (but is not limited to) the following controls: - Growth Deal Governance arrangements and Risk Strategy. - Funding Bids (including TIF/Growth Deal). - Capital Programme - including Plans, Guidance, and Budget Monitoring. - Project Delivery - including Cost, Schedule, and Risk Registers. - Community Consultation and engagement exercises. - Procurement and Contract Management. - Employee CPD (Continuing Professional Development) and Professional Advisors. - Business Gateway & Supplier Development Program. - Learning Reviews - including Post Bid and Project Review Reports. - Partnership / Board Governance - including monitoring and reporting.  |
| **Additional Mitigation Plans (Key Sources)** | - Council Plan and Service Delivery Plan - see linked actions on Pentana. - Capital and Financial Strategy / Plans. - Council and Partners’ Programme and Project Delivery Plans.  |
| **Target Date and Status** | Projects have various dates and statuses and are reviewed by Programme Boards.  |
| **Latest Note** | Major Investment Programme including Growth Deal and Forth Green Freeport and Grangemouth Flood Protection Scheme, do not have confirmed funding yet. For GD and FGF this is being mitigated through the development of Outline Business Cases with confirmation of funding streams expected by the end of the year.For GFPS, discussions with SG continue funding and project governance. FC intend to begin Scheme Notification stage in 2024. Although there is no requirement for a Business Case under flood risk management legislation, an OBC is currently in development. The financial case of the OBC will outline the current assumptions for funding of project delivery across multiple construction contract phases.Inflation remains a concern for all major programmes. |
| **Level** | Information required |
| **Key Sources of Assurance** | First Line: - Performance reporting to CMT, Council Executive, and Partners - Project / Programme Boards  Second Line: - Strategic Asset Modernisation Board - Council Specialists - including Design, Engineering, Legal, Procurement, Project Management - Professional Advisors and Contractors - Project / Programme Delivery Boards - including Council and Funding Partners - Falkirk Economic Partnership - who report to Community Planning Board - Other Economic Partners / Governance Groups - such as Revitalising Falkirk own centre partnership.  Third Line: - Internal Audit - including capital plan reviews - External Audit - including best value reviews relating to Growth Deals / Major Projects / Partnerships - Government and Funding Bodies and their assurance advisors  |
| **Link to Council Plan: Action(s)**  | The Major Investment Programmes are not included in the Council Plan as they are monitored by relevant Boards / Partnerships.  |
| **Link to Council Plan: Success Measure(s)** | Performance is monitored through relevant Boards / Partnerships, including the Strategic Asset Management Board and Growth Deal / Green Free Port Board.Governance arrangements on these Boards are still evolving, and we will look at how to capture a summary in the CRR once these are clearer.  |

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| **Risk Title** | Premises Compliance (including Legionella, Asbestos, and RAAC) |
| **Risk Statement** | The Council has a duty to comply with all statutory duties and Council Policies relating to operational premises compliance. There is a risk that if the Council fails to implement management systems that ensure Services meet compliance then it could result in serious injury to employees, service users, or the public. The consequences of this could be severe, including legal action, reputational damage, and damage to assets / remedial costs. There are currently high risks relating to Legionella, Asbestos, and RAAC. Action plans are in place to address each of these and progress is monitored by the Premises Compliance Board, who report to CMT.  |
| **Lead / Owner** | Place Services: Paul KettrickPremises Management Compliance Board (PMCB) |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5 - Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 3 – Possible
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 – Moderate
* Likelihood 3 – Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | * Death and / or serious injury / illness to employee, visitor, or Service User.
* Staff absence has severe impacts on colleagues including morale, workload, and mental wellbeing.
* Failure to meet statutory obligations, 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.
* Lack of best value – avoidable losses reduces funds for statutory Services.
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| **Risk Controls - Current Mitigation** | * Health & Safety and Wellbeing Strategies and supporting policies and guidance - including the Premises Managers’ Handbook.
* Risk assessments, training, and guidance.
* Health surveillance.
* Safety audits, inspections, and assurance statements.
* Asset repair and maintenance programs.
* Absence and incident reporting, investigations, and monitoring of trends and lessons learnt.
* Contractors’ Health and Safety arrangements, insurance, and indemnities.
* Stakeholder engagement – including Corporate Partnership Forum (including TUs), Safety Management Group, and HSE
 |
| **Additional Mitigation Plans (Key Sources)** | * Legionella Internal Audit action plan
* Asbestos Review action plan
* RAAC Review action plan
 |
| **Target Date and Status** | To Be Confirmed |
| **Latest Note** | New risk created in October 2023, to separate Premises Compliance from Health,. Safety and Wellbeing Risks. The Lead Officer will review and amend all sections in CRR above, as necessary. A summary of the current status on these items is given below, and CMT will receive more detailed progress updates on each subject in October 2023:-Legionella: rated as no assurance following an internal audit: action plans are being progressed and an update is to be provided to the Audit Committee in Nov 2023. -Premises Management: rated limited assurance. The compliance board has been established, and it takes on oversight responsibilities which previously sat with the safety management group (but there is still cross-over in groups) -RAAC: reviews of buildings are ongoing, on a prioritised basis. It is too early to provide an assurance on the extent of any issues or actions required.  |
| **Assurance: 3 Lines of Defence** |
| **Level** | Limited Assurance |
| **Key Sources of Assurance** | First Line: * Compliance monitoring by Premises Managers, Services and Facilities Unit.
* PMH Annual Assurance Statements.

Second Line: * Premises Management Compliance Board: Annual Governance Group Self-Assessment
* Facilities Team and Health, Safety & Wellbeing team: audits / assurance reviews.

Third Line: * Internal Audits
* External Regulatory Reviews / enforcement action by e.g. Health & Safety Executive and Scottish Fire & Rescue Service.
 |
| Link to Council Plan |  |
| **Action(s)**  | **Success Measure(s)** |
| There is no specific action on the Council Plan, as this is an operational versus strategic risk.  | Actions and Success Measure(s) are set out within the assurance sources above. |

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| **Risk Title** | Anti-Terrorism (including CONTEST, Martyn’s Law, and Radicalisation) |
| **Risk Statement** | There is a risk that the Council do not comply with legal duties including:(a) PREVENT: Section 26 of the Counterterrorism and Security Act (CTSA) 2015 places a duty on Local Authorities in the exercise of their functions to have due regard to the need to prevent people from being drawn into terrorism.(b) Martyn’s Law (2022): duty to carry out terrorism risk assessments in all Council premises that meet the recommended criteria for hosting persons (Standard 1 800+ ,higher 2 100 – 799) Compliance may also have significant resource and practical implications, in terms of the financial costs and practicality of Council premises’ compliance and the Council’s monitoring of regulated premises. The UK Government’s terrorism threat assessment is currently Substantial, as a terrorist attack is likely. Therefore, the Council’s Current and Target Risk is also high, despite the controls which are in place.This risk is closely related to the corporate risk for public protection. This includes oversight of Community Justice, MAPPA (Multi-Agency Public Protection arrangements) and CONTEST by the Public Protection Chief Officers Group (COG). Public Protection risks have a High Target Risk because there is always a risk of a serious harm occurring and the consequences could always be severe, even though the Council and COG partners can provide reasonable assurance on the effectiveness of public protection arrangements.   |
| **Lead / Owner** | * CONTEST Lead: Karen Algie (Temporary cover due to absence of Robert Naylor) This is under review with a new lead to be appointed. This include chairing the CONTEST Governance Group.
* PREVENT Strand: The Service Manager, Justice Services, has the role of the Chair of Prevent Multi-Agency Panel (PMAP) and is currently covering as the Single Point of Contact (SPOC) in the absence of Robert Naylor, who is the Lead for PREVENT. As Mr Naylor has now retired a new Lead / SPOC will require to be appointed.
* Martyn’s Law: Kennie Gillespie, as the Resilience Team co-ordinate the Terrorism Risk Assessments.
 |
| **Inherent (with No Controls)** | * Impact: 5 - Severe
* Likelihood: 5 - Almost Certain
* Rating: High (inherent)
 |
| **Current (with Current Controls)** | * Impact: 4 - Major
* Likelihood: 4 – Likely
* Rating: High (inherent)
 |
| **Target (with Additional Actions)** | * Impact: 4 - Major
* Likelihood: 4 – Likely
* Rating: High (inherent)
 |
| **Assurance** | * Limited
 |
| **Potential 'Worst Case' Consequences** | -Radicalisation of young and vulnerable people. -Serious harm to the public (death, injury, or property) from terrorism events.-Significant damage to Council or public property or local economy from terrorism events.-Significant resource and practical implications from compliance. -Significant legal actions and reputational damage from non-compliance and terrorism events.  |
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| **Risk Controls - Current Mitigation** | . Resilience Partnerships’ Risk Preparedness Assessment and Recovery Plans. . Legislative Requirement and associated process (Prevent). Terrorism Risk Assessments for events (in compliance with Martyn’s Law). . Public Protection arrangements, including COG and Partnership Risk Registers . MAPPA, including Information Sharing Protocols and Single Points of Contact with partners.. Governance / oversight by, e.g. Public Protection COG, PMAP, MAPPA, and CONTEST Groups.. Scrutiny of public protection / social work risks by the Education, Children and Young People’s Executive. . Local Policing Plan by the Scrutiny Committee – External. |
| **Additional Mitigation Plans (Key Sources)** | . Review and implement CONTEST and Integrity Strategy and Plan, including training.. Local Policing Plan: overseen by the Public Protection Chief Officers’ Group. . Resilience Partnerships’ workplans, including review and exercising of plans and training.. Scottish Risk Assessment to feed into Council and Partnership Risk Assessments and Resilience Plans.. Review the link between the Governance Groups and Committees above to ensure clear roles / oversight.. Review the link between CONTEST, Serious Organised Crime, and Corporate Fraud.. Review the link between CONTEST and other training, including MAPPA, Social Work, and Fraud.  |
| **Target Date and Status** | To be confirmed. |
| **Latest Note** | The fundamentals of the delivery of the CONTEST strategy are captured in a 2017 Action Plan which will be updated and implemented by the CONTEST Governance Group once a Lead Officer is in place. Updates on the 4 strands of CONTEST are:* PREVENT: Robert Naylor holds responsibility for PREVENT. A new lead will require to be appointed as Mr Naylor has retired. The Annual Assurance Statement to Scottish Government has been completed and signed off by CEX. The Chief Social Work Officer and Public Protection COG provide substantial assurance on the effectiveness of their controls, which includes Community Justice and MAPPA. The revised PREVENT Duty Guidance for Scotland was published on 07/09/23 ([here](https://www.gov.uk/government/publications/prevent-duty-guidance-england-scotland-and-wales-2015/revised-prevent-duty-guidance-for-scotland-2015))
* PURSUE – There is a mix of Substantial and Limited Assurance: the Resilience Partnerships provide limited assurance because further work is required on e.g. exercising of response/recovery plans; albeit there is substantial assurance provided by on the Local Policing Plan.
* PROTECT/PREPARE – There is limited assurance because the CONTEST Strategy and Plan (including training) need refreshed and implemented by the CONTEST Group, including training.
* Martyn’s Law: There is limited assurance because controls are not yet fully established or embedded: engagement with Scottish and UK Governments on how legal duties are to be applied.
 |
| **Key Sources of Assurance** | First Line: . Terrorism Risk Assessments.. Council and Partnership Resilience Risk Assessments and Business Continuity / Response Plans.. Committee Papers – including Children and Young People’s Executive - including scrutiny of Chief Social Work Officer Annual Report and Local Policing Plan. Second Line: . CONTEST and Integrity Steering Group. . Public Protection Chief Officers’ Group. . Resilience Partnerships including the Forth Valley Multi agency CONTEST Group (MACG). . PREVENT Annual Assurance Statement to Scottish Government.Third Line:. Scottish Government: including oversight of Terrorism and Resilience Risks. |
| **Link to Council Plan: Action(s)** | No actions are included in the Council Plan, as it’s more operational. Plans are listed above. |
| **Link to Council Plan: Success Measures** | Performance Information is included in the assurance sources above. |

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| **Risk Title** | Health and Social Care Integration |
| **Risk Statement** | The risk is that the partnership fails to meet the priorities set out within the HSCP Strategic Plan and Medium-Term Financial Plan. There is also a risk that the IJB has ineffective risk and governance arrangements including oversight of the partnership and partners key risks.The IJB maintains a Strategic Risk Register, and the key risks include Financial Stability; Governance arrangements; Partnerships; Capacity and infrastructure; Assurance; Commissioning; Whole Systems Transformation; Resilience. Most risks are rated as high due to the scale of challenges and change, albeit the IJB audit committee have been provided with substantial assurance on the effectiveness of the IJB’s risk management arrangements.  |
| **Lead / Owner** | Social Work Adults Services: Heads of IntegrationHSCP Governance Structures |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 2 - Minor
* Likelihood 4 - Likely
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | -Financial: significant budget overspends may lead to cuts in essential services. -Harm: death or serious harm and increased disadvantage / inequalities. -HR: significant issues, including stress absence / claims. -Legal: significant litigation or prosecution. -Reputation: National media interest and serious loss of confidence. -Service: miss significant opportunities to improve services and outcomes.  |
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| **Ris Controls - Current**  | . Refer to the IJB’s Strategic Risk Register for details. . IJB Risk Strategy and governance framework.  |
| **Additional Mitigation Plans (Key Sources)** | . Refer to the IJB’s Strategic Risk Register and the key assurance sources below for more details. |
| **Target Date and Status** |  Integration is continuous. The IJB Strategic Plan and performance reports provide details.   |
| **Latest Note** | An update on the IJB Risk Management Improvement Plan and Strategic Risk Register were considered and agreed by the IJB Audit Committee in June 2023. The plan showed a mixture of substantial and limited progress and the SRR showed most risks are rated high risk. The CFO provided assurance at the meeting that risk management arrangements are effective (i.e., they are substantial assurance) and this view was supported by the Chief Internal Auditor. The SRR will continue to be reviewed quarterly; and the improvement plan includes training, deep dives, and assurance mapping, and these are to be implemented in 2023/24.  |
| **Level** | Limited Assurance |
| **Key Sources of Assurance** | . Refer to the IJB’s Strategic Risk Register for details. A summary is below. First Line: . IJB reports, including e.g., Projects, Finance, Audits, and Performance. . IJB Strategic Risk Register - IJB and IJB Audit Committee. . Partners' strategic and operational Risk Registers and Assurance Statements. . IJB Assurance and Governance Statements. Second Line: . Risk Management Annual Performance Report. . Deep Dives: Risk and Assurance Reviews . Public Protection Chief Officers' Group (COG) Annual Assurance. Third Line: . Inspections: see IJB Clinical and Care Governance Committee . Internal / External Audits: see IJB Audit Committee. . External Reviews, e.g., Culture and Governance in NHS FV.  |

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| **Link to Council Plan: Action(s)** | Work with Falkirk Health and Social Care Partnership (HSCP) and partners to deliver adult health and social care services in line with the IJB strategic plan. |
| **Link to Council Plan: Success Measures** | Performance is monitored through the Integration Joint Board Performance Monitoring Report and Annual Performance Report and reported to the Council and Scrutiny Committee annually. |

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| **Risk Title** | Social Work and Social Care Workforce (Recruitment and Retention Pressures) |
| **Risk Statement** | The Council and HSCP have developed Workforce Strategies, which aim to develop and retain a highly skilled workforce who can provide safe, effective, and high-quality social work and social care services. An experienced workforce is also critical to delivering the Council's Plans and Transformation Goals. There are many challenges both locally and nationally in delivering these Workforce Strategies, and there this creates uncertainties about whether a sufficiently skilled workforce can be sustained to meet statutory duties and Council priorities. There is also a risk that ongoing capacity pressures may further impact on staff and service users - including absence, quality of care, public protection, and progress on transformation.  |
| **Lead / Owner** | Social Work Adults Services: Martin ThomPublic Protection COG and HSCP Workforce Groups |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5: Severe
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Substantial |
| **Potential 'Worst Case' Consequences** | -see corresponding corporate risks on IJB, Public Protection, and HR / Workforce Planning. -This includes serious impacts on Service Outcomes (Quality & Safety), Staff (e.g., Morale, Turnover, Absence etc.); and wider consequences of these (e.g., financial, legal, reputational).  |
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| **Risk Controls - Current Mitigation** | -Council and IJB Workforce Strategies and Plans, including incentives to improve recruitment and retention including competitive pay, terms and conditions, professional and career development. -National - Training and Professional Development - including promotion of careers in the sector and links with training institutions. -Transformation, including collaboration amongst Social Work Scotland and professional bodies e.g., carers.  |
| **Additional Mitigation Plan** | Workforce Development Plan. IJB & COG Risk Registers contain more info.  |
| **Target Date**  | HSCP Workforce Strategy sets out dates.  |
| **Latest Note** | Council and HSCP Workforce Strategies are in place, and the Public Protection COG monitor progress. However, and pressures are having significant impact on the current workforce and services; and there are a number of local and national challenges that need to be addressed. IJB Workforce Deep Dive to be undertaken in Q/23 2023.  |
| **Key Sources of Assurance** | First Line: -HR Indicators and Performance Measures. -Surveys - Staff Satisfaction and Wellbeing. -Complaints & Feedback - Service Users and Carers Second line: -Corporate Partnership Forum - including TUs consultation -Public Protection COG (Chief Officers' Group) - including independent Chairs -Serious Case Reviews and National Reviews, -IJB Care & Clinical Governance Committee -NHS Staff Governance Forum Third Line: -Care Inspections and Scrutiny Bodies  |
| **Link to Council Plan: Action(s)** | There is no specific action on the Council Plan as the actions are part of the Children’s Services and HSCP Strategic Plans. |
| **Link to Council Plan: Success Measures** | Performance is monitored through Children’s Services SLT, the Public Protection Chief Officers’ Group, and the Integration Joint Board. Updates can also be provided to Children and Young People’s Executive, if required. |

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| **Risk Title** | National Care Service |
| **Risk Statement** | The potential creation of a national care service creates uncertainties around how the Council and IJBs deliver services in the future, and these were set out in the Council's response to national consultations in Dec 2021. This includes both potential opportunities and negative impacts from the proposals. More generally, it noted there is a risk that this crucial area of service provision is bogged down in a lengthy and complex organisational reform which distracts from the need to focus on outcomes.  |
| **Lead / Owner** | Children’s and Social Work Adults Services: Sara Lacey; Martin ThomWork-Streams to be established. |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5: Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | To be confirmed |
| **Potential 'Worst Case' Consequences** | More detailed risk assessment to be completed as national changes progress.  |
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| **Risk Controls - Current Mitigation** | More detailed risk assessment to be completed as national changes progress.  |
| **Additional Mitigation Plans (Key Sources)** | More detailed risk assessment to be completed as national changes progress.  |
| **Target Date and Status** | To be confirmed following national review.  |
| **Latest Note** | No Change in this quarter. National changes are on hold whilst further consultation is undertaken. The Council approved the Chief Officer's response to the national consultation in Dec 2021. More detailed risk assessment to be completed as national changes progress.  |
| **Key Sources of Assurance** | More detailed risk assessment to be completed as national changes progress.  |
| **Link to Council Plan: Action(s)** | There is no specific action on the Council Plan as the actions are still to be developed. They will be part of the IJB Strategic Plan. |
| **Link to Council Plan: Success Measures** | Performance is monitored through Integration Joint Board. Updates can also be provided to the Council and Executive, if required. For example, the response to the national consultation was agreed by Members. |

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| **Risk Title** | Housing Fires: Potential Changes to Standards |
| **Risk Statement** | Risk that the Council fails to implement lessons learnt from housing fires, at sufficient speed, and to either mitigate or respond effectively to a serious fire in housing properties. The likelihood of fire risk has reduced significantly over time due enhanced fire protection measures and better tenant behaviour e.g., fewer accidental fires due to smoking, kitchen fires and electrical appliances.The risk in smaller, self-contained properties is considered low, due to less likelihood of spread and easier evaluation. The risk is however higher in multi-storey properties, given more difficult evacuation and a high proportion of vulnerable people living in them, due to local letting initiatives.  |
| **Lead / Owner** | Transformation, Com. & Corporate Services | Kenny Gillespie |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 4 – Major
* Likelihood 2 - Unlikely
* Risk Rating - Medium
 |
| **Current Assurance** | To be confirmed |
| **Potential 'Worst Case' Consequences** | • Fatalities, injury, loss of homes, significant financial cost, and reputational harm. • Loss of housing assets and availability of homes to meet housing need. • Displacement of people, which may have a significant impact on their lives, health, welfare, and public protection.  |
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| **Risk Controls - Current Mitigation** | • Housing is designed and constructed to minimise the spread of fire and to meet all fire safety standards. • Housing investment and maintenance program (linked to the capital and asset management planning). • Improvement works are designed to meet all relevant standards and avoid compromising existing fire safety. • There are clear and established processes in place for monitoring and assessing fire safety. • Independent Fire Risk Assessments have been completed and are in place for each High-Rise block. H&S within blocks is currently being reviewed by on site specialists. • Exercise to survey all of towers to assess risks is being carried out. External assessment of cladding was undertaken between February and May and internal assessment of towers is currently in progress. Key fire protection measures currently in place include:• all properties have hard wired smoke alarms installed. • Carbon Monoxide detectors in all properties with gas which are linked to the smoke alarm; work is ongoing and is scheduled for completion 11 October 2023. • regular testing and maintenance of fire prevention equipment, e.g., fire alarms; dry risers; emergency lighting, fire doors, and fire extinguishers, within high rise properties and other applicable locations. Financial provision will also be made in forthcoming Housing Investment Programmes to improve current fire protection measures to meet new regulations.Business continuity plan testing is also undertaken e.g., rest centres. |
| **Additional Mitigation Plans (Key Sources)** | None at present. Actions will be incorporated into the Housing Asset Management Plan and Housing Investment Plan.  |
| **Target Date and Status** | To be confirmed following national review. |
| **Latest Note** | External assessment of high rise flats complete, and internal assessment ongoing including lifts. Interlinked carbon monoxide detectors and smoke alarms for all housing stock will be completed by mid-October 2023. |
| **Key Sources of Assurance** | First Line:• Housing Annual Report. • Programme of fortnightly checks on the high-rise properties. Any repairs or issues being identified are instructed for action immediately. These are reviewed by the Housing Management Team. Second Line:• Housing Annual Report • Housing Strategy Group Third Line• Scottish Housing Regulator • Regular and effective liaison with Scottish Fire Service, including quarterly premises visits to High Rise flats.  |
| **Link to Council Plan: Action(s)** | There is no specific action on the Council Plan as this is an operational action and will feed into the Housing Strategies and Plans. |
| **Link to Council Plan: Success Measures** | Performance is monitored through Strategic Housing Group. Updates can be provided to the Members, if required, as part of wider housing updates.  |

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| **Risk Title** | Council of the Future Transformational Change Programme |
| **Risk Statement** | The Council’s Council of the Future Programme aims to transform Council services and deliver savings. There is a risk that the Council does not deliver on its Council of the Future Change Programme objectives because of a lack of political buy-in and approval for projects. The risk includes failure to recognise, and act upon, the need for transformational change, continuous improvement, and financial benefits / or failure to plan for, and implement, appropriate change / financial benefits. This risk also includes potential missed opportunities and failure to deliver the right services, to the right people, in the right way, and within budget. |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Amanda TemplemanCOTF Board |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 – Major
* Likelihood 3 - Possible
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | Failure to deliver the planned programme of Council of the Future work and to achieve the required savings in the required timescales, leading to:• absence of required skills or expertise to deliver services • service failure (including delivery of statutory services) • external intervention in the running of the Council.  |
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| **Risk Controls - Current Mitigation** | • COTF Board established, and comprises Council Chief Officers, Change Manager, and Communications Officer. • COTF Programme: projects agreed and being progressed; aligned to Council Plan and Financial Strategy. • Change Manager and Programme Management Office in place to support good practice / drive pace of change. • Framework for COTF reporting, timelines, outcomes, and benefits developed and subject to constant review. • Governance arrangements were reviewed and agreed by the Council's Executive in August 2022. • Directorate Boards will review project risk registers (by exception with a focus on red risks, as per CRR Risk and Assurance Scoring matrix. • Project lead officers will monitor project risks, as part of project management arrangements. • Oversight and scrutiny by COTF Boards (including the Council of the Future Board and Directorate Boards), CMT, Audit Committee, Executive, Council, and external audit.  |
| **Additional Mitigation Plans (Key Sources)** | • COTF Board papers: including project progress reports with risks relating to individual projects. • Best Value Self-Assessment. • Internal Audit of COTF Savings Tracking.  |
| **Target Date and Status** | COTF Projects have various dates and statuses, and this is monitored by COTF Board.   |
| **Latest Note** | The Council of the Future (COTF) Governance framework, including Director COTF review meetings, continues to be embedded. Alongside the refresh of the Council’s core strategic plans, The Council Plan, Financial Strategy and Workforce Strategy, this has brought new projects, transformation opportunities and tightened savings plans in the COTF programme. These are reported in the Financial Strategy (considered by Falkirk Council 27 September 2023), with COTF remaining the delivery mechanism for the Transformation and Improvement enabler in The Council Plan. The Council Plan has set success measures and targets for the COTF Programme, and these were reported to Scrutiny on 01 June 2023 and will be reported again on 9 November 2023 to track the performance of the programme.The Internal Audit on COTF received limited assurance and appropriate recommendations are being implemented. A lot of progress has been made but outstanding recommendations need to be completed. |
| **Assurance: 3 Lines of Defence** |
| **Key Sources of Assurance** | First Line:• Council Plan Performance Indicators: mid and end of year public performance reports. • Project progress reports: include a RAG status against plan and financial benefits. Second Line:• Best Value Self-Assessment. • COTF Board: Annual Self-Assessment. Third Line:• External Audit: Best Value Assurance Report – Accounts Commission / Audit Scotland. • Internal Audit: COTF Savings Tracking.  |
| **Link to Council Plan: Action(s)** | Our Council of the Future (COTF) change programme is the Council’s framework for Transformation and Improvement. Our COTF projects will support the delivery of our vision and priorities by doing things in a more Responsive, Innovative, Trusted & Ambitious way. |
| **Link to Council Plan: Success Measures** | Percentage of approved savings delivered. |

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| **Risk Title** | Poverty |
| **Risk Statement** | There is a risk that the Council may not sufficiently address the impact of poverty on individuals, children, and families across the area, including not providing sufficient financial and other support and advice to help people maximise their income and mitigate financial difficulties. This may result in failure to deliver the Falkirk Plan Poverty Priorities and the Fairer Falkirk Strategy. Increased cost of living is likely to push more people into poverty and exacerbate poverty for those already experiencing it. Even with Council doing all we can to support people, it is likely that the % of households living in poverty across the Falkirk area will increase. |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Kenny GillespieFairer Falkirk Partnership |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Substantial |
| **Potential 'Worst Case' Consequences** | • Impact on citizen’s ability to pay bills, leading to increased poverty and ill-health for communities. • Significant increases in demand for support, e.g., Crisis Grants and Discretionary Housing Grants. • Fall in rent and Council Tax collection rates, and impact on Housing Revenue / Council finances. • Unsustainable pressure on Council services and staff. • Increase in people presenting as homeless. • New models of service delivery do not improve Services, or within planned budget / time. • Staff do not have the skills or support to provide effective Services (including digital skills). • Impact on reputation of Council and relationships with citizens / partners; and Increased inequality may impact on health, social issues, the economy, and employment. • Services that predominately support people in poverty are reduced or removed due to budget pressures.  |
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| **Risk Controls - Current Mitigation** | • Provision of advice services that meet the needs of individuals and communities. • Household Support Fund provides support to lower income households while encouraging take-up of advice and support. • Fairer Falkirk Strategy focusses on actions that address / prevent the root causes of poverty. • Financial Controls, including monitoring of Council Tax and rent Collections and bad debts. • Workforce planning, including new roles and skills, to provide better advice and support. • Investment in property and information assets to enable more effective services. • Equality and Poverty Impact Assessment for any change in service or budget.  In addition, the Council aims to reduce the root causes and impact of poverty through various related strategies and plans, including housing, attainment, community empowerment, employment and training, and health and social care. These are monitored by relevant oversight Groups. |
| **Additional Mitigation Plans (Key Sources)** | • Council Plan. • Community Planning Delivery Plan. • Child Poverty Action Plan. • Towards a Fairer Falkirk Delivery Plan • Income Maximisation Strategy: -details SMART actions for 2023 and 2024 to make sure we maximise income and uptake of in-kind benefits across the Falkirk area. Update to Executive due November 2023. • Falkirk Library Services 5-year Strategic Plan (includes SMART actions that will support people experiencing poverty). Update to Executive due November 2023.  |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | Due to increasing costs of living the likelihood of people experiencing poverty is increased. Additionally, people in poverty will be pushed further into hardship.Further funding to support those living in poverty has enabled us to provide additional support to low-income households reducing the impact slightly. The Household Support Fund reopened in September 2023 to support people over winter 2023/24.Income Maximisation Strategy approved by Executive on 11 April 2023 - update due November 2023.Library Services 5-year plan approved by Executive on 9 May 2023 - update due November 2023.Due to current increasing cost of living and limitations on Council budgets it is unlikely the target assessment will be achieved in the next three years.Matched Payment Fund (£250k) for council tenants launched in July 2023. This includes automatic referral for Income Maximisation to bring more households out of poverty in tandem with reducing level of rent debt. |
| **Key Sources of Assurance** | First Line:• Frontline Service Improvement Group monitor progress with the Local Advice and Support Hubs. • CMT and Executive receive updates on the risks relating to above. • Following the Public Pound, evaluation of outcomes and best value from external funding. Second Line:• Fairer Falkirk Partnership have oversight of the Fairer Falkirk Strategy. • Community Planning Partnership have oversight of the poverty outcomes within the Falkirk Plan. • Annual Governance Group Self-Assessments (for both Partnerships). Third Line:• Internal Audit.  |
| **Link to Council Plan: Action(s)** | Help people participate in activities that improve health & wellbeing with particular focus on inclusivity and those who experience barriers to participation such as poverty, inequality, and disability.Tackle poverty by offering financial health-checks to improve access to services/benefits to help with the cost of living.Provide connectivity and support within library spaces to those who would otherwise be digitally excluded.Develop our Library Service to create attractive opportunities to further reduce inequalities and promote opportunities (including digital activities, but not IT support classes). |
| **Link to Council Plan: Success Measures** | Increase Income/ participation/ engagement of our Sport & Leisure provision.Increase Satisfaction rating for customers using the Sport & Leisure provision.Increase the 'GoCard Plus' uptake and usage within the Sport and Leisure service.Financial gain (additional income to households) from benefits support provided by Council Debt and Welfare Benefits ServicesIncrease the number of public space Wi-Fi Locations.Increase the number of unique clients accessing pc, internet, and Wi-Fi sessions in libraries (connectivity).Increase the number of individuals attending IT support sessions in libraries (support).Number of attendees at programmed events and activities offered by libraries. |

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| **Risk Title** | Financial Sustainability |
| **Risk Statement** | The Council’s Financial Strategy and Budget Reports sets out the need to deliver annually recurring budget savings, alongside annual council tax increases ,in order to continue to meet statutory duties and provide sustainable services. There is a risk that if recurrent savings are not found, and/oror council tax rises are not implemented, then the Council will have insufficient funding to deliver Services, and so will be unable to deliver on the commitments made in the Council Plan. In addition, there is a risk that delays in identifying savings increase the budget gaps, reduce reserves, and increase the potential severity of service reductions in future years. The key funding uncertainties and challenges over the short and medium term are:• Funding: including Local Government Financial Settlement, COVID, and Business Rates; • Government policy, including the Fiscal Framework, teacher numbers and Council Tax freeze (2024/25)• Reserves: use of non-recurring funding to fund Services is not sustainable, this includes the use of service concessions; • increased demand for Services; • high inflation rates impacting on all financial areas such as pay, energy, fuel, school transport, waste, childcare, adult care, and PFI school contracts; • increasing interest rates which, alongside inflationary pressures could impact on delivery and affordability of the capital programme; • Council of the Future Program (see separate risk); • recurring savings and income cannot be identified to bridge the financial gap.  |
| **Lead / Owner** | Transformation, Com. & Corporate Services | Amanda Templeman |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 – Major
* Likelihood 4 – Likely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | • The Council is unable (or unwilling) to take difficult decisions to live within its revenue or capital budget. • Services are unable to identify savings that will contribute to the budget cap. • 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. • External intervention in the running of the Council.  |
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| **Risk Controls - Current Mitigation** | • Financial Strategy approved by Council; horizon scanning regularly undertaken. • Budget preparation process with all Services (including the Senior Leadership Group) and formation of the Financial Strategy Group which has been meeting regularly. • Clear and consistent messages of the Council’s financial pressures given to both officers and Members, reinforced by messages from the Chief Executive and Directors. • Financial training for Members provided. • Regular Director meetings to discuss budget. • Ongoing budget monitoring by managers, and expert advice from Service Accountants. • Gathering and considering network intelligence by including, for example, COSLA, CIPFA Directors of Finance Group). • Aligning budgeting to strategic planning, COTF program, and strategies, for example, workforce and technology. • Development of a Council Tax Strategy to set a path for future increases. However, the effectiveness of this as mitigation will depend on the proposals from Scottish Government in respect of a Council Tax freeze for 2024/25.• Ongoing development of EPIA process.  |
| **Additional Mitigation Plans (Key Sources)** | Key Plans include:• Best Value Action Plan, particularly actions on Transformation. • Council Plan 2022-2027. • Updated Financial Strategy approved by Council. . in September 2023. • Services expected to identify key savings options to include in planning exercise. Information will be reported back to CMT, and FSG. • Council Tax briefing paper developed and presented to FSG. Will be updated following further information from SG on the proposed freeze for 2024/25.• Income review terms of reference going to CMT with work planned in summer 2023. • Annual Audit Report actions. • TCCS Service Assurance Statement. • Financial Plans – including Revenue and Capital Budgets. • HRA 50-year model. • Capital Programme Review (approved by Council in September 2022). • Budget Plan for 2024/25 being developed. • Budget communications plan for 2024/25 budget under development. |
| **Target Date and Status** | To be confirmed: will depend on decisions made by Council on budgets. |   |
| **Latest Note** | Risk remains High. An updated Financial Strategy has been approved by Falkirk Council on 27 September 2023. That Strategy sets out a funding gap of £64.4m over the next five years. Whilst this is a slight improvement, the position remains extremely challenging and savings/additional income has not been identified to bridge the gap (c£31m gap remains after Council Tax increase and savings). Further work is therefore required to bridge the gap before the risk can be reduced. However, the Financial Strategy is an improvement, ensuring a clear and consistent understanding of the financial challenges facing the Council.The recent Scottish Government announcement on the Council Tax freeze adds some uncertainty to the financial position for 2024/25 and beyond. Guidance on how the Council Tax freeze will work is anticipated and projections will be updated on receipt. |
| **Key Sources of Assurance** | First Line:• Budget and Finance Monitoring Reports • Service Assurance Statements – including Directors’ Annual Declaration on Financial Controls. Second Line:• Statutory Section 95 Officer review role. • Oversight and scrutiny by CMT, Audit Committee, Executive, and Council. • Financial Strategy Group. • Oversight by partnership Boards, including the Integration Joint Board. Third Line:• External Audit of the Council’s Financial Statements, and Best Value reviews. • Internal Audit of financial processes and controls.  |
| **Link to Council Plan: Action(s)** | We must develop a balanced approach to the difficult task of achieving financial sustainability with our limited resources with a clear focus on the needs of people, businesses, and the communities at the very heart of our decision making. |
| **Link to Council Plan: Success Measures** | Reduction in the use of non-recurring funding to balance the budget.Ratio of general fund income that is used to fund borrowing costs from capital investment (LGBF).Ratio of housing income that is used to fund borrowing costs from capital investment (LGBF).Percentage of approved savings delivered. |

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| **Risk Title** | Equalities |
| **Risk Statement** | There is a risk that the Council fails to properly discharge equalities duties, and this may have a negative impact on protected groups.  |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Colin MoodieEqualities and Human Rights Group |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | • Disadvantage, poverty, inequality, or harm. • Challenge under Equalities Act and consequences of this - reputational, safety, legal, and financial implications.  |
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| **Risk Controls - Current Mitigation** | • 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. • EPIA system in place.  |
| **Additional Mitigation Plan** | • Equalities & Human Rights Improvement Plan.  |
| **Target Date and Status** | To be confirmed: action plans to be developed.  |
| **Latest Note** | The Equality & Human Rights Working Group was established in 2022. The Group reviewed the Best Value Action Plan and developed an Equalities & Human Rights Improvement Plan. The Council published the Mainstreaming Report which shows how we take equalities into everything we do. Equalities Outcomes have been developed and are monitoring and published in accordance with statutory timescales.Training on equalities, and in particular EPIAS, was delivered in February 2023 to Elected Members and Senior Officers. Further training will be delivered on a regular basis. Additional training was provided to Children’s Services SLT in June 2023 and Transformation, Communities & Corporate Services Extended SMT in August 2023.Care experienced has been added to EPIAs following Council decision on 28 June 2023.An Equalities and Human Rights Policy Officer post has been created and advertised with interviews to be held on 25/26 September 2023. A meeting of the Equalities & Human Rights Group will be arranged for October 2023. |
| **Key Sources** | First Line: • Equalities Mainstreaming report and Improvement Plan.Second Line: • Equalities & Human Rights Group. Third Line: • Internal Audit of Equalities Duties. and • External Audit: Best Value review. |
| **Link to Council Plan: Action(s)** | We will embed equalities at the heart of strategic planning and decision making across the Council. |
| **Link to Council Plan: Success Measures** | * All decision-making reports to the Council, Executive and Education Children and Young People Executive are supported by an EPIA.
* All Elected Members and Senior Officers to complete EPIA training.
* Increase the percentage of staff who have completed Basic Equalities Training.
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| **Risk Title** | Health, Safety, and Wellbeing |
| **Risk Statement** | The Council has a duty to comply with all statutory duties and Council Policies relating to health, safety, and wellbeing of employees and the public.There is a risk that the Council fails to implement management systems that enable Services to effectively comply with its responsibility to effectively manage risks to relevant person’s health and safety and to effectively promote the wellbeing of its employees.  |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Colin MoodieSafety Management Group and Wellbeing Group |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 4 – Major
* Likelihood 2 – Unlikely
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | • Death and / or serious injury / illness to employee, visitor, or Service User. • Staff absence has severe impacts on colleagues including morale, workload, and mental wellbeing. • Failure to meet statutory obligations, 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. • Lack of best value – avoidable losses reduces funds for statutory Services.  |
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| **Risk Controls - Current Mitigation** | • Health & Safety and Wellbeing Strategies and supporting policies and guidance - including the Premises Managers’ Handbook. • Risk assessments, training, and guidance. • Health surveillance. • Safety audits, inspections, and assurance statements. • Asset repair and maintenance programs. • Absence and incident reporting, investigations, and monitoring of trends and lessons learnt. • Contractors’ Health and Safety arrangements, insurance, and indemnities. • Stakeholder engagement – including Corporate Partnership Forum (including TUs), Safety Management Group, and HSE. • Employee Support - including Bulletins, Consultations, Counselling / Employee Assistance Program, Mental Health First Aiders, and Occupational Health. • Implementation of the Employee Experience Survey Action Plan & Wellbeing Strategy Action Plan.  |
| **Additional Mitigation Plans (Key Sources)** | The limited assurance rating comes from the Service Assurance Statements and Safety Management Group's Self-Assessment which (since 2019) have both reported that Premises Management compliance continues to be weak in some areas; and Performance Indicators, Safety Management Systems, and Audits to be developed / implemented across all Services by the Health, Safety & Wellbeing Team. In addition, the recent Legionella audit report provided no assurance.Actions flowing from audits should be captured in SHE System Reports and Service Assurance Statements. These feed into overview reports to SMG and CRMG Reports.Key Plans include:• CMT H&S Report Action Plan, • H&S Annual Report, • Statement of Assurance Report, • Wellbeing Strategy Action Plan (currently being reviewed), • Safety Management Group & Wellbeing - Annual Self-Assessment and Action Plan, • Service Management Teams now receive quarterly updates on H&S performance including agreed KPIs.  |
| **Target Date and Status** | Expected to reach target of medium risk and substantial assurance by 31 March 2024  |
| **Latest Note** | Services have continued to implement the action plan that was approved by CMT earlier in 2023. This action plan has required Services to improve health and safety monitoring arrangements to demonstrate their ability to manage health and safety risks within their remit. It is anticipated that the final action from this action plan will be implemented in June 2024.These changes in turn provide structural pathways to facilitate further improvement work enabling the Council to demonstrate improved assurance for health and safety risks in the future.As part of the Council’s Health and Safety Strategy, which is currently going forward for approval at Executive, the Health, Safety and Wellbeing team will begin planned audits of work area’s operational health & safety arrangements in April 2024. Outcomes of these audits will be reported through Service Management Teams. The implementation of the actions contained with the CMT Health & Safety report action plan will enable Services to appropriately monitor and action outcomes from these audits.It is anticipated provided Services can demonstrate a 6-month period of oversight of these audits the Council will be able to move to Substantial Assurance for the Health, Safety & Wellbeing corporate risk. |
| **Key Sources of Assurance** | First Line:• Compliance (Premises Manager and H&S) monitoring by Premises Managers, Services and Facilities Unit. • PMH Annual Assurance Statements. • Health and Safety Annual Report. • Wellbeing Annual Report and Surveys. Second Line:• Annual Governance Group Self-Assessment (Safety, Wellbeing, and Corporate Partnership). • CMT Health & Safety Action Plan. • Health, Safety & Wellbeing team audits of Service's specific safety risks and managements systems commencing from April 2024. Third Line:• External enforcement action by Health & Safety Executive and Scottish Fire & Rescue Service.  |
| **Link to Council Plan: Action(s)** | The Council’s Health and Safety Strategy 2023-2026 is implemented.  |
| **Link to Council Plan: Success Measures** | I know where to find support for my personal wellbeing.I have enough contact with my line manager / supervisor / chargehand to meet my needs.My team are communicating well and staying connected.I feel involved in making change happen where I work. |

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| **Risk Title** | Gender Based Violence |
| **Risk Statement** | Failure to meet the Council Plan priority of reducing inequalities.Failure to protect vulnerable people from harm. |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Colin Moodie | GBV Partnership (reports to Public Protection COG) |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 5 - Extreme
* Likelihood 5 - Almost Certain
* Risk Rating - High
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | Harm, discrimination, and failure to meet the Council’s Equality Outcome of “Improving the response to people experiencing Domestic Abuse".  |
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| **Risk Controls - Current Mitigation** | Falkirk Gender Based Violence Partnership.Equally Safe National Strategy.Falkirk Gender Based Violence Partnership Action Plan. |
| **Additional Mitigation Plans (Key Sources)** |   |
| **Target Date and Status** | To be confirmed following self-assessment.  |
| **Latest Note** | The Falkirk GBV Partnership brings together a range of statutory and voluntary agencies in Falkirk with the aim of improving agency responses to women, children and young people who have experienced or are experiencing Gender Based Violence.The Partnership has planned to undertake a Self-Assessment process to establish how it can improve its work and develop an action plan and is currently ongoing.A Multi-Agency Risk Assessment Conference (Marac) Self-Assessment was recently completed with a view to improve the effectiveness and robustness of Marac to reduce the risks (including murder) for high-risk victims of Domestic Abuse.Recommendations were presented to the Public Protection Chief Officer Group in September 2023. A Steering Group will be set up to take forward the recommendations in the report. |
| **Key Sources of Assurance** | First Line:• Gender Based Violence Partnership papers, including regular updates to the Public Protection Chief Officer Group.Second Line:• Gender Based Violence Partnership Self-Assessments.• Public Protection Chief Officers' Group (COG) scrutiny.Third Line:• None at present. |
| **Link to Council Plan: Action(s)** | There is no specific action on the Council Plan.  |
| **Link to Council Plan: Success Measures** | Performance is monitored through Public Protection Chief Officers’ Group. We will also review this risk as part of IJB Strategic Risk Register reviews and clarify how it’s monitored by the IJB |

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| **Risk Title** | Resilience: Council Business Continuity and Resilience Partnerships |
| **Risk Statement** | Resilience includes a wide range of emergencies identified in the UK and Scottish Resilience Risk Registers, which are grouped into 3 main themes: Health Emergencies (including Pandemic or Animal Disease), Severe Weather (including Flood, Snow, Wildfire etc)., and Infrastructure (including Mass Transport or Energy Failures). It includes potential impacts on Council Services, Communities, and Places. Factors such as climate change and global interdependencies increases the frequency of these risks. The Civil Contingencies Act 2004 The Civil Contingencies Act 2004 (the Act) and the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 (as amended) (the Regulations) is the legislation which outlines the key organisations and their duty to prepare for civil emergencies within Scotland. As a Category 1 responder, Falkirk Council have the following duties: 1. Duty to assess risk 2. Duty to maintain emergency plans 3. Duty to maintain business continuity plans 4. Duty to promote business continuity1 5. Duty to communicate with the public. 6. Duty to share information 7. Duty to co-operate This includes forming part of the Resilience Partnership process which lays down the fundamental principles of the National Risk Register and delivery of work plans.  There is also a risk that the Council is not able to effectively respond to the COVID-19 Inquiries which are being undertaken by the Scottish and UK Governments; for example, because of limitations in our evidence and / or inability to respond promptly.  |
| **Lead / Owner** | Transformation, Com. & Corporate Services: Kenny GillespieBusiness Continuity Co-Ordinators Group |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | -Significant interruption or damage to Council Services, including staff, property, and systems / data.-Significant interruption or damage to essential public services / infrastructure, including utilities and roads.-Serious legal or statutory breaches: primarily non-compliance with Civil Contingencies (CCA) legislation, but also other duties e.g., Data Protection, Environmental Health, Health & Safety, and Public Protection.- Serious harm to people or property, including death or serious injury.- Serious harm to communities and businesses, leading to increased poverty and economic downturn.- Significant failure to deliver Council Plan or Service Plans, leading to poor audit and best value outcomes.- Significant financial costs / increased costs of operating e.g., overtime, contractors, temporary premises.- Significant legal and reputational impacts, leading to increased complaints and loss of public confidence. |
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| **Risk Controls - Current Mitigation** | -Risk Preparedness Assessment: assesses the risks on the National Risk Register; and these should feed into the risk assessments which inform plans and exercises at Partnership, Organisation, and Service Level. -Organisational and Service Business Continuity Plans, Business Impact Assessments, and Protocols/Recovery Procedures. -Incident Response Framework: the overarching Framework which ensures a corporate approach to planning and response. -Incident Response Plan: tested through the Resilience Teams Annual training plan along with activation during real time incidents. When activated, de briefs take place to ensure learning is captured an actioned.·On call senior management arrangements: which include awareness sessions to managers as and when required along with no notice tests, currently through the exercising for the COMAH external Plan for Grangemouth however planned to be incorporated into the newly implemented Business Continuity System. ·Meetings with neighbouring Local Authorities and Partners to share learning and good practice, including the Local Authority Resilience Group Scotland (LARGS).  -Performance Measurement: the concept of Resilience has traditionally proven very difficult to measure. Attempts to measure resilience have moved towards capacity-based approaches; with resilience understood in the context of capacity to respond to defined shocks or stresses. Resilience is ever evolving therefore quantifying resilience to thresholds requires to be a continual process.   The following areas of Control / Mitigation on that note are not considered fully measurable.  |
| **Additional Mitigation Plans (Key Sources)** | Incorporating a hub and spokes model to ensure that Resilience plans for all relevant areas included in Risk Preparedness Assessment (RPA) are considered. Each Hub should also take account of the Corporate Risk Register.Update the Corporate Business Continuity Policy and submit to CMT for approval by April 2023.Implement the Continuity2 Software system by August 2023. PID needs CMT approval by April 2023 and the Business Continuity Group need to monitor progress including Timescales, Risk, and Issues LogCorporate Risk Specialists and Governance Groups should be consulted Council and Servicer Level BCPs in advance of individual Services populating the Risk Assessments, Business Impact Analysis, and BCP sections on the C2 System.Implement Training and Awareness Programme (at resilience Partnership, Organisational, and Service BC Levels)Develop and improve the COMAH testing and exercising programme through a detailed review of concept.Resilience Coordinator and Lead Officer should ensure that the above are embedded into the Resilience Work-Plans in a measurable way, and they should review progress quarterly and provide progress updates to the Lead Officers and CRMG at least 6 monthly (and raise issues with CMT or CRMG more frequently if they need addressed).COVID-19 Enquiries by UK and Scottish Government: complete all actions agreed with CMT and response to enquiries. |
| **Target Date and Status** | To be confirmed  |
| **Latest Note** | Business Continuity - Reviews, Training and C2 implementation will commence within Transformation, Communities and Corporate services and Place services by October 2023. The dates for implementation of Children's Services and Social Work and Adult Services (HSCP) are scheduled to commence by December 2023. A Severe weather exercise will be completed in August 2023 and the debrief Outcomes will be used as evidence to review the Incident Response Plan. This plan has been activated on two occasions in recent months through Climate Camp and UCI. De briefs are taking place for these activations. Staff, including heads of service have also attended an RRP workshop on recovery from a terrorist’s incident which is currently being de briefed. All this de brief material will inform the review of the Incident Response Plan and associated Framework. This review will also consider the learning and actions from COVID 19 learning, previous exercises, and Scottish Risk assessment  |
| **Key Sources of Assurance** | First Line: - Organisational and Service Business Continuity Plans and Impact Assessments.Second Line: Resilience Partnerships, including: -Partnership Annual Self-Assessment, supported by Capability Assessment Forms and Quarterly Reviews. -De-briefs following all training, exercises, and incidents; and action learning where appropriate. -COMAH testing regime, which includes a full Exercising and learning cycle. Second Line: Resilience Team, including: -Resilience Team and Partners review risks and plans at Partnership, Organisation, and Service BC Plans. |
| **Link to Council Plan: Action(s)** | The Business Continuity Improvement Plan agreed by CMT is not included in the Council Plan as it’s more operational. Performance is monitored through the BC Group, Resilience Partnerships, and CMT. Updates are not reported to Members / Committees; but can be provided if required. |
| **Link to Council Plan: Success Measures** | Status of e.g. -BIAs, BCP Plans, and -Debrief Action Plans |

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| **Risk Title** | Services to Asylum Seekers |
| **Risk Statement** | The Council has a legal and moral responsibility to safeguard people seeking asylum and fleeing war. Failure to do so, will have an impact on the wellbeing of asylum seekers as well as reputational damage to the Council.  There are 2 main service risks relating to asylum seekers: Housing and Children's Services.  Housing: We do not have a locus on Asylum Seekers as they are managed by the UK Government. Dispersed accommodation for asylum seekers will reduce the number of available properties in the area that would normally be utilised to address homelessness.  Children's Services: There is a risk that the additional – and yet unfunded service demands – may lead to a risk of not meeting demand for housing and social work services. This includes pressures in social work in looking after unaccompanied children, providing education and support to all young people, and potential increases in homeless applications.  |
| **Lead / Owner** | Children’s and TC&C Services: Kenny Gillespie; Gary Greenhorn |
| **Risk Scoring: Inherent (with No Controls)** | * Impact 3 - Moderate
* Likelihood 4 - Likely
* Risk Rating - Medium
 |
| **Risk Scoring: Current (with Current Controls)** | * Impact 4 - Major
* Likelihood 4 - Likely
* Risk Rating - High
 |
| **Risk Scoring: Target (with Additional Actions)** | * Impact 3 - Moderate
* Likelihood 3 - Possible
* Risk Rating - Medium
 |
| **Current Assurance** | Limited |
| **Potential 'Worst Case' Consequences** | • Significant pressures on Services and financial costs due to increased demands • Significant reputational and legal impacts if we don't meet statutory duties.  |
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| **Risk Controls - Current Mitigation** | • Home Office funding is distributed to Councils via the Scottish Government. • Database to monitor refugees now in place. • Improved communications with Scottish Government to access additional information for direct links with refugees. • Council Policies and Strategy - including Housing and Looked After Children. • Consultation within the Council and with partners and Government agencies. • Accommodation - including Temporary Housing and Children's Residential. • Foster Placements. • Supports For Young People and Families - including benefits, welfare, education. • Transformation - Closer to Home Project for Young People. • Databases allowing analysis/trends and used for returns to Scottish Government.  |
| **Additional Mitigation Plans (Key Sources)** | Housing Services• Continue to respond to emerging issues. Database used for returns to Scottish Government allowing analysis/trends. • Continue to monitor current mitigations. • Continue to update CMT and Members. • Complete Internal Audit recommendations.  |
| **Target Date and Status** | Continuous: it is a changing environment.  |
| **Latest Note** | New risk created. Risk increased too high. Services to Ukrainian Refugees is a separate risk and rated medium. An update on the Support for Children Seeking Asylum or Fleeing War in Ukraine was provided to the Children and Young People's Executive in Nov 2023. This confirmed that controls are effective; but also recognised the continued financial pressures on Children’s Services to provide accommodation to children seeking asylum in the absence of family based foster placements. This is impacted by wider pressures including workforce challenges, finding foster placements within 5 days, the discrepancy between the funds provided by the Home Office and the actual care costs; and meeting visa requirements and providing support thereafter to the child and their host family. |
| **Key Sources of Assurance** | First Line:• management provide update reports to Council Committees, COSLA, and the Scottish and UK Governments. Second Line:• housing and social work specialists support and challenge management to ensure that they apply guidance and meet statutory duties. Third Line:• Scrutiny by Internal Audit and potentially the Scottish Housing Regulator and Children's Commission.  |
| **Link to Council Plan: Action(s)** | There is no specific action on the Council Plan as it’s an operational action. |
| **Link to Council Plan: Success Measures** | Performance is monitored through Housing and Children’s Services. Reports have also been provided ad hoc to the Executive on services for Asylum Seekers and refugees. |

# Appendix 4: Risk and Assurance Scoring Guidance



|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Likelihood Score**  |   | **Impact Score**  | **Financial**  | **Legal and Compliance**  | **Reputational**  | **People / Communities and Assets / Place**  | **Services and Projects**  |
| **5. Almost Certain**  Or, if already happening, then it’s an Issue rather than a risk  |    | **5.**  **Severe**   | Extensive; spend exceeds available budgets   | Serious Breach of Regulations including potential prosecutions   | Sustained media interest, complaints   | Multiple deaths / assets destroyed /   severe social impact   | Extended disruption or loss of service, or project delay   |
| **4. Likely**  Has happened in recent past and will probably happen again  |    | **4. Significant**   | Major impact, but within budgets   | Breach of Regulations may lead to litigation or prohibitions   | National media interest and / or extended period and / or loss of confidence   | Major injury, death, social impact   | Major service disruption, or project delay   |
| **3. Possible**  Will probably happen at some point in the future  |    | **3.**  **Moderate**   | Manageable budget impact; spend exceeds risk owner’s authority   | Breach of Regulations may lead to claims or inquiry   | Regional Media Interest - medium term - and some loss of public confidence   | Moderate injuries / damage / social impact   | Some disruption to service, or project delay   |
| **2. Rare**  Has happened before but unlikely.   |    | **2.**  **Limited**   | Minimal budget impact;   | Legal action is unlikely or only minor claims   | Local media interest - short-term - little loss of public confidence   | Minor injury and / or damage / social impact   | Minor disruption to multiple services, or project delay   |
| 1. **Almost Impossible**

 Never happened and doubt it will  |    | **1.**  **None**   | None or little budget impact; spend is within risk owner’s authority   | None, or little risk of legal action   | None, or little, media interest; no loss of confidence   | None / very minor injury / damage / social impact   | None or little disruption to one service, or project delay   |

# Appendix 5:  Key Assurance Sources and Questions for Members to consider when scrutinising.

**Key Assurance Sources (3 Lines of Defence)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |   |   |   |   |   |   |
|   | **1st Line Roles:** **Management** |   | **2nd Line Roles:** **Risk Support** |   | **3rd Line Roles:** **Independent Assurance** |   |
|   | provide Services to clients and manage risks to delivering objectives |   | provide expertise, support, monitoring, and challenge on managing risk-related matters  |   | provide independent and objective assurance and advice on all matters related to achievement of objectives |   |
|   | **Key sources include:**Risk Registers / Assurance Statements  Incidents / Lessons Learnt Reviews Performance Reports Governance Board Self-Assessments Compliance / Statutory Returns |   | **Key sources include:**Corporate Risk Management Team  Risk Specialists, including Health and Safety, Resilience, and Clinical and Care Governance, and Project Co-ordinators  Corporate Specialists, including. assets, capital, equalities, information. |   | **Key sources include:**External Audit Internal Audit Inspection Bodies Regulators / Scottish Government Consultants / Third Party Advisors  |   |

**Key Questions for Elected Members to consider when scrutinising Corporate Risks**

Questions for All Elected Members: when reviewing Committee Papers​

* What are the risks and (**unintended**) consequences of making decisions? ​
* What are the consequences of (**not**) making difficult or timely decisions? ​
* Can we realistically do more – do we want to prioritise it - and can we afford to?  ​

Questions for the Audit Committee: when reviewing Corporate Risk Updates:​

* How do we know that the risk management policy, framework, and improvement plan are effective? ​
* How are areas of limited assurance being addressed? Are there clear plans? Are these on track?
* How do corporate risk reviews feed into other assurance reviews and governance statements?

Questions for the Executive: when reviewing and agreeing the Corporate Risk Register: ​

* Are the descriptions of risks, consequences, and controls on the CRR clear?​
* Do they agree with the risk and assurance ratings clear? Are they consistent with other updates?
* How are areas of limited assurance being addressed? Are there clear plans? Are these on track?
* Are there any other additional / emerging risks? How does the CRR reflect peers / national reviews?
* Do Members want to give directions to Officers on what high risks/action plans should be prioritised? i.e., have Elected Members made their risk appetite / tolerance clear, and is it achievable?

**Further Guidance: the questions above are abbreviated and adapted from the following sources:**

* [Centre for Public Scrutiny](https://www.cfgs.org.uk/?publication=the-good-scrutiny-guide)e.g., the Good Scrutiny Guide​
* [UK Government – Orange Book (Risk Standards](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/866117/6.6266_HMT_Orange_Book_Update_v6_WEB.PDF))
* [Audit Scotland: Local Government in Scotland Overview 2023](https://www.audit-scotland.gov.uk/publications/local-government-in-scotland-overview-2023)

In addition, similar scrutiny questions emerge in many national reviews by Audit Scotland and the Accounts Commission, which are regularly shared with Members, as relevant.