**Falkirk Council: Corporate Risk Register**

The CRR will be scrutinised by the Executive as part of their 6-Monthly CRM Update in June 2024.

Source: Pentana Report Generated on 23 May 2024

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**Corporate Risk Register:**

* **Appendix 1:  [Summary of High Corporate (Strategic) Risks](#_Summary_of_High)**
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**Background Information:**

* **Appendix 4:** [**Risk and Assurance Scoring Guidance**](#_Appendix_4:_)
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**Brief Notes:**

* The Executive will be asked to scrutinise and agree the CRR as part of their 6-Monthly CRM Update; and they will also have the opportunity to ask questions about the CRM Update and CRR at Executive Risk Briefings before each CRM Update.
* Appendix 1 is an extract from the 6-monthly CRM Update to the Executive.  The notes highlight any significant changes since the last CRR report to Executive.
* Appendix 2 is an extract from the Pentana system. Further details on any high or medium corporate risks are available, if required.
* Appendix 3 is a background paper within the 6-mont hly CRM Update to the Executive. It includes the description of risks, controls, additional actions plans, and assurance sources. Lead Officers have considered the deliverability of the commitments made in the Council Plan and other Strategies/Plans when assessing each risk.
* Appendices 4-5 are extracts (or adapted) from the Risk Management Assurance Policy and the Members’ Risk Briefings in 2023.
* Details of Medium Corporate Risks are available from the Chief Finance Officer or Risk Co-Ordinator, if required.
* The CRR will be linked to the Council Plan (We Will Statements and Success Measures) during 2024/25, so that risk actions are more measurable and there is a golden tread between risks, plans, and performance information.

# 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 Services:** | CS - Children’s Services | PS - Place Services | SWAS - Social Work Adult Services | TCCS – Transf. Com. & Corporate  |
| **Target – is there Good Progress and Measurable 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 measurable action plan is on track |  Assurance Needs Reviewed:Measurable action plan is required, and / or controls need further review |

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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** |
| CE | Enabler | Leadership, Decision Making, and Governance  | High | Medium | OkayActions continue to be implemented | The Chief Executive recommended in May 2024 that this risk is kept as limited assurance because it is intrinsically linked to financial sustainability and the need for Elected Members to agree changes that provide recurring savings.  |
| CS | STR | Public Protection: Harm to Adults/Children  | 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 | STR | Anti-Terrorism (including CONTEST, Martyn’s Law, and Radicalisation) | High | High | WarningAction Plans to be reviewed and reset | No Change: the risk of terrorism is rated high nationally. The assurance level is limited because, although effective Public Protection arrangements are in place, there is more work to do on reviewing and implementing e.g. CONTEST Strategy and Plan and Terrorism Risk Assessments.    |
| TCCS | PRO | Equalities Duties | High | Medium | OkayActions continue to be implemented | Remains High Risk, but likelihood rating has improved from likely to possible EPIAs because EPIAs and training have been improved. The Target Date to achieve Medium Risk and Substantial Assurance remains September 2024. A new Equity, Diversity and Inclusion Action Plan is in place.  |
| TCCS | Enabler | Financial Sustainability - need for recurring savings | 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 Standards – possible changes to fire safety | 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 more detailed assessment. |
| TCCS | STR | Gender Based Violence (GBV) | High | Medium | WarningAction Plan to be further developed | No Change. The GBV Action Plan will be finalised once a new Lead Officer is appointed and the GBV Self-Assessment is completed. |
| TCCS | Enabler | Health, Safety, and Wellbeing  | 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 Oct 2024. CMT will review progress as part of Health and Safety Annual Reports September 2024. |
| **Lead** | **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 | STR | Poverty – impacts on individuals and families  | High | Medium | OkayControls effective and actions in place | No Change. Remains High. The Council’s current mitigations are considered effective albeit Poverty has significant impacts on communities.  |
| TCCS | Enabler | Resilience – Partnerships and Business Continuity Management (BCM) | High | Medium | WarningActions in place, but review needed | No Change. BCM System being implemented across all Services during 2024. There is a Target Date of December 2024 to reach substantial assurance, but a new Resilience Co-Ordinator will review the action plan by September 2024.  |
| CS and TCCS | STR | Services to Asylum Seekers  | High | Medium | Okay Actions continue to be implemented | No Change. Remains 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. |
| PS | EGT | Delivery of Major Capital Investments (including Grangemouth Flood Protection and Growth Deal) | High | Medium | OkayRisk Registers and Plans in place | 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 monitor project risks continuously; and Growth Deal governance arrangements are being implemented, including a risk strategy. |
| PS | EGT | Climate Change – Delivery of Climate Declaration and Plans | High | High | Warning Actions in place, but will not meet 2045 targets | No Change. Climate Strategy and Action Plan sets out a range of ambitious targets and projects; but limited assurance because there are risks in meeting organisational net zero 2030 target and national net zero 2045 target, as we’ve not quantified our ability to meet this target with current funded projects. |
| PS | Enabler | Premises Compliance (including Legionella, Asbestos, and RAAC) | High | Medium | WarningActions in place. | No Change. A Compliance Board has been established and action plans are in place, but there has been some slippage due to recruitment challenges. The Audit Committee receive regular updates on progress - next due October 2024. Internal Audit also monitor progress on outstanding Legionella actions. |
| PS | EGT | Sustainable Growth  | High | Medium | Review to be completed | No Change. A Forth Valley Regional Economic Strategy will be developed by December 2024. It will be supported by a regional governance structure, which is expected to include a Regional Economic Leadership Group who become the overarching Economic Partnership for the Forth-Valley Region.  |
| HSCP | STR | National Care Service | High | Medium |  Review once national changes are clearer | No Change. Scottish Governnment still to confirm implementation timescales. The Council and HSCP are participating in national consultations, and they have established a range of local work-streams to develop action plans. The risks will be reviewed as part of wider HSCP integration work during 2024/25.  |
| HSCP | STR | Health and Social Care Transformation  | High | Medium | WarningActions in place, but more needed.  | Changed from Substantial to Limited Assurance. Some actions in place and being implemented. Work ongoing to develop and implement further actions to fully mitigate this risk |
| CS and HSCP | STR | Social Work and Health and Social Care Recruitment and Retention Pressures | High | Medium | WarningActions in place, but uncertain outlook | No Change. The Children’s Services and HSCP Workforce Plans are being implemented, but it’s limited assurance as there are significant barriers to progress across the Social Work and Health and Social Care sector. |

# Summary of Medium Corporate (Service/Operational) Risks

| **Lead Service**  | **Council Priority** | **Risk Title** | **Current Risk** | **Assurance Level** | **Key Strategy / Plan/ Assurance Source**  |
| --- | --- | --- | --- | --- | --- |
| CS | EEC | Closing the Attainment Gap in Schools | Medium | Okay | Service Performance Indicators. |
| CS | PRO | Getting It Right For Every Child (GIRFEC) | Medium | Okay | Service Performance Indicators. |
| CS/SWAS  | PRO | Community Mental Health and Wellbeing Supports | Medium | Okay | Service Performance Indicators and IJB Strategic Plan. |
| CS/SWAS | Enabler | Social Work Information System (SWIS) Replacement | Medium | Okay | Project Risk Register. |
| CS | PRO | School Meal Expansion for P6 & P7s | Medium |  | Service Performance Indicators. |
| CS | PRO | Scottish Government Setting Teacher No & School Week Targets | Medium |  | Service Performance Indicators. |
| PS | Enabler | Asset Management Strategies and Plans | Medium | Okay | Strategic Asset Board and Asset Class Strategies, Plans, and Risk Registers. |
| PS | Enabler | Prohibitions and Loss of Licences: Failure to fulfil duties as a Licence Holder (including Waste and Fleet) | Medium | Okay | Compliance reviews and audits. |
| TCCS | Enabler | HR and Workforce Planning | Medium | Okay | Workforce Strategy and Plans in place. |
| TCCS | Enabler | Information Management | Medium | Okay | Digital Strategy and Plans, and Senior Info. Risk Officer’s Annual Report.  |
| TCCS | Enabler | Cyber Security | Medium | Okay | Cyber Action Plans and Annual External Accreditations. |
| TCCS | STR | Local Housing Strategy | Medium | Okay | Local Housing Strategy, Investment Plan, and Annual Report to Regulator  |
| TCCS | Enabler | Financial Controls | Medium | Okay | Finance Monitoring Reports and Internal and External Audits. |
| TCCS | Enabler | Procurement and Commissioning | Medium | Okay | Annual Report to Scottish Government. |
| TCCS/CS | STR | Services to Ukrainian Refugees  | Medium | Okay | Service Performance Indictors. |
| TCCS | Enabler | Transformational Change: Delivery of Council of the Future (COTF) Programme | Medium | Okay | Board Papers and Project Risk Registers |

# 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 Officer** | Kenneth Lawrie; Chief Executive Officer |
| **Governance Group/ Partnership(s)** | Corporate Management Team and Council. |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major3 - Possible12 - High   |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Substantial Assurance |
| **Target Date (if Limited Assurance)** | 31-Mar-2024 |
| **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.  |
| **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. • 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. **Governance:** Annual Governance Statement Action Plan. **Risk Management:**• Corporate Risk Management Improvement Plan |
| **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 Improvement Plan Annual Governance Statement Action Plan Governance Groups' Annual Self-Assessments Third Line: • External Audit: Best Value Review. • Internal Audit. Risk Management (by West Lothian Council).   |
| **Latest Note** | **Decision Making: Reviewed by Corporate Risk**The Chief Executive recommended in May 2024 that this risk is kept as limited assurance because it is intrinsically linked to financial sustainability and the need for Elected Members to agree changes that provide recurring savings. **Collaborative Leadership: Reviewed by HR Manager**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 December 2022 and rolled out to Managers by 2024. Continuous briefings and training are in place for Officers and Members. This work will continue. The SLG now have a programme of meetings in place, with development sessions added to this programme in response to developing further collaborative leadership. SMG meetings are now also scheduled with the most recent meeting focussing on priority agreed areas. The Leadership forum continues to meet, with the most recent March event, focussing on Employee Experience, Financial Position, Capital Investment and Marketing and Communication Strategy. The employee experience work continues. This work has included a survey, focus groups and one-to-one meetings with a range of employees, to better understand changes required. A further programme of research has commenced with listening events taking place across services to further analyse results. The Financial Strategy Group continues to meet to ensure collaborative consideration of the Council’s financial position. Group Leaders meet regularly with the Chief Executive, and a working group was established to consider changes to standing orders which support effective working practices across the Council.**Governance and Risk Management: Reviewed By Risk Co-Ordinator**The Annual Governance Statement (AGS) action plan was considered by the Audit Committee in Feb 2024; and will be be updated and included in the Annual Accounts in June 2024. The AGS provides substantial assurance overall on how well the Council meet CIPFA's Good Governance Principles, and there is a clear action plan to address any weaknesses.Corporate Risk Management (CRM) Updates are provided to CMT Quarterly and the Executive 6 monthly, and corporate risks also feed into the 6 monthly AGS Updates. These reports provide substantial assurance on the effectiveness of the Council's risk management arrangements; and they include an update on progress with the Corporate Risk Register and Risk Management Improvement Plan. Good progress has been made on most improvement actions, and the outstanding items are due to be implemented during 2024 - including clearer CRR Action Plans, risk considerations within Committee Papers, and Service Risk Training Needs Assessments.Boards/ Governance Groups also complete an annual self-assessments of their remit and effectiveness,including e.g. the Strategic Asset Management Board (SAMB) and Council of the Future Board (COTF). All Boards/Groups are due to complete these reviews by May 2024 and the results will feed into the Corporate Risk Register which is included in both the CRM and AGS updates. These self-assessments aim to ensure all Boards / Groups remain effective, deliver best value, and support the ongoing strategic work of the Council in their specialist areas.**Performance and Planning: Reviewed by Change Manager** Following the refresh of The Council Plan by Council in September 2023 and the subsequent Performance Management Framework, Falkirk Performs, the first cycle of reporting, based on the enhanced 108 success measures in the Council Plan 2023 covering Quarter 3 period of 2023/24, was presented at CMT. The report identified issues with the retrieval of data and results (e.g. some LGBF results are collated on an annual not quarterly basis). In line with the Council’s commitment to continuous improvement, using the ‘Plan, Do, Check, Act’ (PDCA) model, CMT requested that Services review the initial iterations of the report to improve the quality of reporting for scrutiny. This produced a fuller and more quality-focused performance report and set the standard for future reporting. It was also determined that regular calibration sessions to review data, insights and performance with service representatives would be required to ensure the standard of reporting is sustained. These calibration sessions will be held quarterly, with a focus on the quality and timeliness of data and insights contributing to the Council’s performance reporting and will complement the CMT leadership and strategic approach to this.Each Service has produced a Directorate Plan, aligned with the above focus on performance. The plans cover all aspects of the Council Plan (priorities and enablers) and show how each Service will deliver on their respective commitments. The plans are available on the Council’s website and will be subject to internal reporting on a 6-monthly basis. |

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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 Officer** | Sara Lacey; Chief Social Work Officer |
| **Governance Group/ Partnership(s)** | Public Protection Chief Officers' Group (COG) |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Extreme 3 – Possible 12 - High (Inherent)  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Extreme 3 – Possible 12 - High (Inherent)  |
| **Current Assurance** | Substantial Assurance |
| **Target Date (if Limited Assurance)** |  |
| **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.  |
| **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.  |
| **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.  |
| **Latest Note** | No change this quarter. The risk remains inherently high (due to potential serious impacts), but substantial assurance is provided on the effectiveness of most key risks. Sub-Risks with limited assurance include Workforce Challenges and Gender Based Violence; and action plans are place to address each of these. The Public Protection Chief Officers' Group (COG) will complete an annual review of the COG Risk Register, Terms of Reference, and Self-Assessment in March 2024, which will feed into the Council and IJB Annual Governance Statements. In addition, COG Sub-Groups/ Committees provide quarterly risk and performance updates to COG; and the adult and child protection committees have more detailed risk registers and review these quarterly. The Chief Social Work Officer submitted their annual report to Scottish Government and Council in Dec 2023. The link between Social Work and HSCP risks will be reviewed as part of wider integration work in 2024/25.  |

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| **Risk Title** | **Community Mental Health and Wellbeing Supports** |
| **Risk Statement** | Failure to improve mental health and wellbeing support for communities creates significant risk of increased harm and absence, which impacts on attainment, equalities, and life opportunities. This includes support for Children and Young People in Schools (lead by Children's Services) and CAMHS (Community Adult Health - lead by the IJB)  Context - Young people in Falkirk, and our data, tells us we have increasing needs around mental health and wellbeing, including family support. Community mental health and wellbeing supports need to be better coordinated, available before crisis point and easily accessible to ensure young people have access to help and support when they need it.  |
| **Lead Officer** | Head of Education |
| **Governance Group/ Partnership(s)** | None |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major5 - Almost Certain20 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4-Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 2 - Minor 3 - Possible 6 - Medium  |
| **Current Assurance** | Substantial Assurance |
| **Target Date (if Limited Assurance)** | None |
| **Potential 'Worst Case' Consequences** | -Significant increases equalities, ill-health and poverty. -Significant more pressure and spend on e.g. welfare and health, and so less spend on other priorities. -Significant increased costs - including absence and legal challenges -Significant reputational risks - criticism by best value, audit, or inspection bodies and pubic.  |
| **Risk Controls - Current Mitigation** | Children’s Services have implemented a range of strategies to manage this risk - targeted at different age group - 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. This forms part of the Mental Health and Wellbeing Priority action plan, which links to the Integrated Children’s Services Plan.  IJB support / projects includes Enhanced Transitions Pilot, CAMHS Improvement Support, NHS Neurodevelopmental Pathway, and Scottish Government and Healthcare Improvement Scotland improvement projects.  |
| **Additional Mitigation Plans (Key Sources)** | Ongoing implementation and monitoring of the strategies/ training/ supports above.  |
| **Key Sources of Assurance** | First Line: . Education, Children, and Young People’s Executive. Second Line: . Child Protection Committee, who report to the Public Protection Chief Officers’ Group (COG). . Mental Health and Wellbeing Board (MHWB). Third Line: . National Initiatives are overseen by Healthcare Improvement Scotland and the Scottish Government. . COSLA Children and Young People’s Mental Health and Wellbeing Programme Board.  |
| **Latest Note** | No change this quarter. The Mental Health and Wellbeing Board (MHWB) provide oversights of these actions including CAMHS activities. This risk remains Medium Risk and Substantial Assurance because a range of strategies to manage this risk have been implemented. This includes 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 which are available for young people and families; delivered through funding for a range of partners.  |

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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 Officer** | Michael McGuiness; Head of Growth, Planning, and Climate |
| **Governance Group/ Partnership(s)** | Falkirk Economic Partnership |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4-Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible 9 - Medium  |
| **Current Assurance** | To be reviewed. |
| **Target Date (if Limited Assurance)** | To be reviewed. |
| **Potential 'Worst Case' Consequences** | . Business closures and cut-backs, 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.  Falkrik Town Centre decline could have a significant impact on individuals, communities, and businesses across the Council area; in particular, the most deprived areas.  |
| **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.  |
| **Key Sources of Assurance** | 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.  |
| **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. The new Forth Valley Regional Economic Strategy is in draft stage and a review of the Falkirk Economic Strategy is scheduled for completion no later than March 2025. There has been recent high profile announcements regarding potential future changes to business operations, and downsizing, of a local key employer. Council staff are engaging with representatives of the business and key national and local agencies regarding this, and will offer support where required as well as exploring future growth and innovation opportunities locally.Council Officers across Falkirk, Stirling, and Clackmannanshire are developing a Forth Valley Regional Economic Strategy, and this will require a regional governance structure to be established with the expected development of a Regional Economic Leadership group. This group would become the overarching Economic Partnership for the Forth-Valley area. The new Strategy and Governance arrangements are targeted to be confirmed by December 2024.  The assurance level has been kept as Information Required until the strategy and governance arrangements has been completed. Likely to remain Limited Assurance because of the challenges and issues that are beyond the Council's control.  |

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| **Risk Title** | **Climate Change** |
| **Risk Statement** | The Climate Change Strategy and Action Plan (agreed by Executive in October 2023) sets out a range of actions; but there are risks in meeting various targets: . 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 Officer**  | Michael McGuiness; Head of Growth, Planning, and Climate |
| **Governance Group/ Partnership(s)** | Corporate Sustainability, Stakeholder, and Energy Management Monitoring Groups |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 -Major5 - Almost Certain20 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4-Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 4-Major4 - Likely16 - High  |
| **Current Assurance** | Limited. |
| **Target Date (if Limited Assurance)** | To be reviewed. |
| **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.  |
| **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 Tool Self-Assessment. -The Falkirk Plan and Council Plan: supporting a thriving economy and green transition priorities. -Local Development Plan / Framework. -Local Heat and Energy Efficiency Strategy (LHEES). -Review of Council Business Continuity Plans.  Action Plans to address Council Area Emissions are embedded in the strategies and plans below: -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. Action Plans to mitigate and respond to severe weather: -Business Continuity and Resilience Plans. -Flood Protection Schemes.  |
| **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.  |
| **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 and the national 2030 interim carbon reduction 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).  |

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| **Risk Title** | **Major Investment Programmes** (including Grangemouth Flood Protection and 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, Grangemouth Flood Protection Scheme, Roads and Property Assets, and Tax Incremental Funding (TIF) projects.. 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 Officer** | Paul Kettrick; Head of Invest Falkirk |
| **Governance Group/ Partnership(s)** | Strategic Asset Management Board; andPartnership Boards e.g. Growth Deal and Freeport. |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 -Extreme5 - Almost Certain25 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4-Major3 - Possible12 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 – Medium  |
| **Current Assurance** | Substantial |
| **Target Date (if Limited Assurance)** |  |
| **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.  |
| **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.   |
| **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  |
| **Latest Note** | Assessed and remains as high. The latest Committee paper show the following: Growth Deal (Executive, March 2024) (1) There is a risk that the Full Deal document is not accepted by the UK and Scottish Governments. This is mitigated by regular engagement with both governments which has enabled an iterative process to develop the document. (2) There is a risk that projects within the Deal do not progress at the speed desired or at all. This is mitigated through a robust programme and project implementation plan in accordance with the Treasury Green Book. (3) There is a risk that the benefits outlined from the Growth Deal investment prove to be too optimistic and are not fully realised. The Growth Deal has developed a Benefits Realisation Plan with partners and stakeholders. This covers the benefits and the monitoring and evaluation of these. Optimism bias has been incorporated into all Economic and Social Impact studies. (4) There is a risk that the IPMU do not have the capacity to oversee all the competing major projects that they are currently responsible for. The IPMU has recruited a number of professional staff and based on project demands will continue to secure adequate staff resources and external support is deployed. The integration of all Investment programmes ensures that we can grow the necessary expertise in-house. Grangemounth Flood Protection Scheme (Capital Strategy, Council, Feb 2024) The total cost of the project is expected to be £458m to £685m. Under the current funding arrangements, this would require funding from the Scottish Government of between £366m and £548m, and a Council contribution of between £92m and £137m. Falkirk Council cannot afford this level of contribution and discussions are ongoing with the Scottish Government to develop a sustainable model for delivery and maintenance of this project. The project will be unable to progress beyond the outline design and scheme notification stage until these issues are resolved. Roads Network (Capital Strategy, Council, Feb 2024) The annual capital budget allocated to Roads is approximately £3.5m is not enough to maintain the road condition to an acceptable standard and existing funding will only allow Officers to manage the decline of Falkirk Council’s road condition in future years. Through Asset Management planning and collaboration with SCOTS, it is officers view that an annual £7.7m capital investment programme is required solely to maintain the steady state and ensure the network does not deteriorate to a worse condition than the current level  |

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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 Officer** | Chief Officer and Senior Leadership Team |
| **Governance Group/ Partnership(s)** | Integration Joint Board |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major5 - Almost Certain20 - High   |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 2 - Minor4 - Likely8 – Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** |  |
| **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.  |
| **Risk Controls - Current Mitigation** | . 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.  |
| **Key Sources of Assurance** | 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, eg Culture and Governance in NHS FV.  |
| **Latest Note** | Changed from Substantial to Limited Assurance in May 2024. Some actions in place and being implemented. Work ongoing to develop and implement further actions to fully mitigate this risk.The IJB Strategic Risk Register sets out the key risks to delivering the IJB Strategic Plan. It is reviewed by the HSCP SLT (Monthly), IJB Audit Committee (Quarterly), and IJB (6 Monthly) - most recently in March 2024. There were no new risks or changes in the year, and most strategic risks are rated as High due to the scale of challenges. The IJB Annual Risk Management Performance Report will be reviewed by SLT in May 2024 and then the Audit Committee in June 2024. It provides substantial assurance on the effectiveness of risk management arrangements, although some items on the Risk Management Improvement Plan have slipped during 2022 and 2023, and SLT will review these inhave been asked to set realistic timescales to complete all actions; which include e.g. risk assurance reviews, risk appetite, and training. A Risk Workshop is planned with SLT and Managers in June 2024. This will build on previous training and briefings provided both to the HSCP SLT and to staff within NHS and Social Care.  |

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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 are also critical to delivering the Council's Plans and Transformation Goals. However, 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 Officer** | Martin Thom; Head of Integration |
| **Governance Group/ Partnership(s)** | Social Care Workforce Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 – Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Substantial |
| **Target Date (if Limited Assurance)** |  |
| **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).  |
| **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 Plans (Key Sources)** | Workforce Development Plan. IJB & COG Risk Registers contain more info.  |
| **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  |
| **Latest Note** | Council and HSCP Workforce Strategies are in place, and a Workforce Group has been established (chaired by the Head of Integration). Although there are extensive actions in place to address the risks, the scale of the challenges (at local and national level) means the risk remains high and limited assurance. The risk will be reviewed in more detail as part of the IJB Strategic Risk Register Reviews in early 2024.  |

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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 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 Officer** | Sara Lacey, Chief Social Work Officer; and Martin Thom; Head of Integration |
| **Governance Group/ Partnership(s)** | Social Care Workforce Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | To be reviewed. |
| **Target Date (if Limited Assurance)** | To be reviewed. |
| **Potential 'Worst Case' Consequences** | More detailed risk assessment to be completed as national changes progress.  |
| **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.  |
| **Key Sources of Assurance** | More detailed risk assessment to be completed as national changes progress.  |
| **Latest Note** | - The IJB Chief Officer's Update to the IJB in March 2024 provided an update on this work. - This risk is shared by Children's Services. - In December 2023, the Scottish Government confirmed their continued commitment to establishing the National Care Service (NCS) and intention to launch the National Care Service Board by Spring 2026, subject to Parliamentary approval of the NCS Bill. However, some aspects of local delivery reform will be phased in later, starting in 2028/29. This phased approach will allow time for the National Care Service Board to establish itself within the system by leading on priority areas while also laying the groundwork for further local reforms. - It is possible that the NCS will have implications for Children & Families and Justice Social Work Services. In this context, the Council and HSCP have established a Programme Board. The Board will consider how Children’s Social Work Services are delivered and managed at a local level and whether these correctly sit within Children's Services, or whether in due course, these services should be integrated into the HSCP. It is important to note that no decision has been taken to date by the Council, NHS FV Board (as an interested Integration Authority) or the IJB to transfer these services. - The Programme Board will be supported by the following subgroups: Governance; Workforce; Finance; and Communications and Engagement.  |

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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 the majority of 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 Officer** | Kenny Gillespie, Head of Housing and Communities  |
| **Governance Group/ Partnership(s)** | Strategic Housing Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major2 - Unlikely8 - Medium  |
| **Current Assurance** | Substantial |
| **Target Date (if Limited Assurance)** | 30-Jun-2024 |
| **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.  |
| **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; with exception of 32 properties where there are tenant related issues to be addressed; • 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. 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. |
| **Key Sources of Assurance** | First Line:• 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 Assurance Statement • Housing Strategy Group Third Line• Scottish Housing Regulator • Regular and effective liaison with Scottish Fire Service, including quarterly premises visits to High Rise flats.  |
| **Latest Note** | External and internal assessment of high rise flats complete, including lifts. Annual Fire Risk Assessments have also been carried out (March 2024) and, as normal, remedial action will be undertaken as appropriate. A decision on whether Type 4 Fire Risk Assessment is required will be made after further information gathering from Scottish Housing Network and Scottish Fire Service.  |

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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 Officer** | Kenny Gillespie, Head of Housing and Communities  |
| **Governance Group/ Partnership(s)** | Fairer Falkirk Partnership |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Substantial |
| **Target Date (if Limited Assurance)** | 31-Mar-2027 |
| **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. • Council found to have failed to meet requirements of Fairer Scotland duty  |
| **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. • Refreshed anti-poverty strategy developed for approval by Executive in May 2024 • Fairer Falkirk and Income Maximisation Strategies focus 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. • Falkirk Plan 2021-2030. • 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. Briefing provided to Members November 2023. • Falkirk Library Services 5-year Strategic Plan (includes SMART actions that will support people experiencing poverty). Briefing provided to Members November 2023. • Fairer Scotland duty highlighted as part of basic equalities and human rights training provided to senior management.  |
| **Key Sources of Assurance** | First Line:• 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. Third Line:• Internal Audit.  |
| **Latest Note** | Continued high inflation means more people are likely to experience poverty. Whilst tackling inequalities is a key priority for Council, reductions in public sector budgets are likely to impact on preventative services.  |

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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/or 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 which have impacted on all financial areas such as pay, energy, fuel, school transport, waste, childcare, adult care, and PFI school contracts; • high 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 Officer** | Amanda Templeman, Chief Finance Officer  |
| **Governance Group/ Partnership(s)** | Financial Strategy Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major5 - Almost Certain20 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** | 31-Mar-2028 |
| **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 and/or assets are not maintained through the capital budget. • Statutory breaches, leading to Public Enquiry and / or legal action. • External intervention in the running of the Council.  |
| **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 met 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 alongside briefings offered. • Regular Director meetings to discuss budget. • Ongoing budget monitoring by managers, and expert advice from Service Accountants. • Gathering and considering network intelligence through, 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 and local political views on this. • 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. • Briefing to FSG on the 2024/25 Local Government Settlement and briefings offered to all Members to emphasise the severity of the position and the difficult decisions that must be taken. • Income review terms of reference going to CMT with work planned in summer 2023 (some work undertaken to date and presentation of fees and charges for the budget book are under review). • 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 models for the period of the Financial Strategy are being developed for discussion with the FSG and potential inclusion in the Budget Report to Council. • Budget communications plan for 2024/25 budget under development with a briefing to FSG anticipated soon.  |
| **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.  |
| **Latest Note** | Financial sustainability remains high risk. The Council approved the budget on 28 February 2024. Whilst the budget was balanced, this required a huge injection of service concessions , more than was required for 2023/24. We have been clear that the Council should be reducing the reliance on service concessions so this is worrying. However, it should be noted that SG notifications on council tax freeze and teacher numbers significantly impacted on the Council's financial position. Without these elements, the Council would have required less service concessions than the previous year.A session with the Senior Leadership Group is scheduled for 19/4 and the financial strategy will be the main topic on that day. A paper will be presented to CMT on the steps to develop the Financial Strategy for September 2024, including more detailed budget consultation work as required.  |

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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 Officer** | Kenny Gillespie, Head of Housing and Communities |
| **Governance Group/ Partnership(s)** | Equalities & Human Rights Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major3 - Possible12 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** | 30-Sep-2024 |
| **Potential 'Worst Case' Consequences** | • Disadvantage, poverty, inequality, or harm. • Challenge under Equalities Act and consequences of this - reputational, safety, legal, and financial implications.   |
| **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 • EPIA guidance for staff refreshed • Basic EPIA training provided to staff • Support available for staff completing EPIAs  |
| **Additional Mitigation Plans (Key Sources)** | • Equity, Diversity and Improvement Action Plan approved by CMT February 2024 • 93% of Senior Managers (to tier 4) completed basic Equalities and Human Rights training (February - March 2024) • EPIAs routinely attached to Council and Executive reports  |
| **Key Sources of Assurance** | First Line:• Equalities Mainstreaming report. Second Line:• Equity, Diversity and Improvement Action Plan. Third Line:• Internal Audit of Equalities Duties • External Audit: Best Value review  |
| **Latest Note** | New Equity, Diversity and Inclusion Action Plan in place.Council and Executive reports all have initial EPIA assessments completed and full EPIAs included where required. 93% of senior management completed basic Equalities and Human Rights 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 Officer** | Colin Moodie, Chief Governance Officer |
| **Governance Group/ Partnership(s)** | Safety Management Group and Wellbeing Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major3 - Possible12 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** | 31-Oct-2024 |
| **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.   |
| **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.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.  |
| **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. • Property Compliance Board Third Line:• External enforcement action by Health & Safety Executive and Scottish Fire & Rescue Service.  |
| **Latest Note** | A Notice of Contravention and Prohibition Notice were issued by the HSE at Burnbrae House in February. Both these Notices have been closed.The Council’s Safety Management Group met in its newly constituted format with Trade Union representation as part of the membership. The Group is expected to approve its new Terms of Reference at the next meeting in late April.Codes for incident reporting types have been reviewed and updated in consultation with Children’s Services and Trade Union representatives to provide more appropriate reporting mechanisms for employees.Operational Health & Safety audits by the Health, Safety & Wellbeing team are scheduled to commence in May 2024.The Council’s How to Manage Health and Safety Risks document was approved at Corporate Partnership Forum in January.The Council’s new Wellbeing Policy and Strategy are currently being developed. |

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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 Officer** | Colin Moodie, Chief Governance Officer |
| **Governance Group/ Partnership(s)** | Public Protection Chief Officers' Group |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 5 - Extreme5 - Almost Certain25 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** | 30-Sep-2024 |
| **Potential 'Worst Case' Consequences** | Harm, discrimination and failure to meet the Council’s Equality Outcome of “Improving the response to people experiencing Domestic Abuse".  |
| **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)** |   |
| **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. |
| **Latest Note** | The Lead Officer for Violence Against Women took up post in March 2024 and is reviewing the Gender Based Violence Partnership work plan and priorities. This will include a review of MARAC (Multi-Agency Response and Co-ordination) and the Gender Based Violence Partnership self-assessment. |

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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: Does not have a locus on Asylum Seekers as this is managed by the UK Government with no influence in a local setting over decision making including the number of asylum seekers received. 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 as 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 Officer** | Kenny Gillespie, Head of Housing and Communities; and Sara Lacey, Chief Social Work Officer |
| **Governance Group/ Partnership(s)** |  |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** |  |
| **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.  |
| **Risk Controls - Current Mitigation** | Housing Services• Home Office funding is distributed to Councils via the Scottish Government. • Consultation within the Council and with partners and government agencies. • Good working relationships at a local level with MEARS (Home Office provider). Children's Services• Council Policies and Strategy - including Housing and Looked After Children. • 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.  |
| **Additional Mitigation Plans (Key Sources)** | Housing Services• Continue to monitor current mitigations. • Continue to update CMT and Members. • Continue to attend and participate at a national level (COSLA etc.). Children’s Services |
| **Key Sources of Assurance** | First Line: management provide update reports to Council Committees, COSLA, and UK Government. Second Line: Scottish Government Third Line: Internal Audit |
| **Latest Note** | The risk remains high as we are still seeing arrivals to contingency accommodation which is now nearly at capacity. Positive decisions remain static at 70%, however we have seen applicants presenting as homeless from England. MEARS are continuing to identify properties in the area to be used for dispersal adding additional pressure for accommodation and services. |

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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 risk2. Duty to maintain emergency plans3. Duty to maintain business continuity plans4. Duty to promote business continuity15. Duty to communicate with the public6. Duty to share information7. Duty to co-operateThis 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 Officer** | Kenny Gillespie, Head of Housing and Communities; and Sara Lacey, Chief Social Work Officer |
| **Governance Group/ Partnership(s)** | Business Continuity Co-Ordinators Group and Resilience Partnerships |
| **Inherent Risk (without Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Current Risk** **(with Controls):*** Impact,
* Likelihood, and
* Risk Rating
 | 4 - Major4 - Likely16 - High  |
| **Target Risk (after Additional Actions):*** Impact,
* Likelihood, and
* Risk Rating
 | 3 - Moderate3 - Possible9 - Medium  |
| **Current Assurance** | Limited |
| **Target Date (if Limited Assurance)** | 31-Dec-2024 |
| **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 and Control of Major accidents and Hazards (COMAH), 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.  |
| **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 BC Level.The introduction of a Business Continuity Management System (BCMS) to manage 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. This includes:• Incident Response Plan: Implemented and 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. In addition to this:• 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)** | Incident Response Framework which has been exercised and successfully delivered in real time for a number of incidents since its inception.Linking the Corporate Risk Coordinator with the National Risk Preparedness Assessment process to allow for future development of corporate plans which recognise both national and corporate risk.Production of the next National RPA is expected early 2024. This will assist in informing the development of the 2024 / 2025 training and exercising programme for the organisation and will include partnership training opportunities. The Organisation does not have a Business Continuity Policy. This requires to be developed as the C2 system is being integrated into the organisation. The timeline for this development will coincide with the roll out of the C2 system, which at the moment is planned for early January 2024. This roll out will consist of a series of training programmes to Service level managers, supported by a series of Webinars open to all staff to raise awareness.Accurate implementation of the C2 system and compliance with the delivery of all its services will ensure the opportunity to comply with ISO 22301.SMART principles are applied to the development of all training, exercising and plans. Training delivery at Operational, Tactical and Strategic levels following JESIP principles.CPD for Resilience staff, which has and will include attendance at the EPC for COMAH writing and events planning.Regular, planned meetings with Head of Service, providing a Governance oversight.Maintenance of Resilience Planning Workplan to ensure work progress is documented and transparent .  |
| **Key Sources of Assurance** | Business Continuity Management system containing service level plans.Incident Response Framework.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 testing and exercising linked to NRA, CCA and outcomes of debriefs. |
| **Latest Note** | In accordance with the National Risk Register all businesses, including small and medium enterprises, and those who operate critical national infrastructure (CNI), should have business continuity to understand the impacts upon critical services, as Business continuity planning supports business resilience. The following mitigation to ensure compliance are as followsActions on current work-plan are inline with the RPA, Risk preparedness assessment and include 1) BC2 software launched across TCCS and Place services- a training program for assigning and completing Business impact assessments has been completed for coordinators and plan owners. Additional support can and is being provided upon request.**Start Date 2022- Completion aimed for June 2024**2) work to commence on populating the BIA battle-box facility to ensure BIA's are backed up by policies and procedures.**Not Started - planned for June 2024**3) Once BIA's are completed, work will be completed in cooperation with the BC2 software consultants to devise a training program to validate the plans completed.**Not Started Planned for July-October 2024**4) BC data uploading to occur for Education and Health and Social Care partnership.**Not started - aimed for July 2024**5) BIA training for education and H&SCP**Not Started - unknown start date.**Exercises for Care for People and Cyber resilience are planned between the months of April and September, the learning of which will directly be incorporated into the BIA process and business continuity planning, as well as emergency planning.Actions being completed on a local level for resilient partnerships are as follows**1) Chair the LRP planning group twice a year.**Start 2022- continuous, meeting timetable to be confirmed.2) Oversee and exercise fuel resilience plan and integrate all learning into the regional plan.**Start 2022- end August 2024 - aim completed regional fuel plan.** 3) Support LRP in planning and delivering of testing and exercising including attending current Forth Valley Care for People and Cyber resilience exercises.**Start date March 2024- end date September 2024**4) Ensure relevant levels of management within the council are fully conversant with the role and purpose of the LRP**Not Started.**5) Brief the Head of Service. **Continuous**  |

# 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.