

**TELFORD & WREKIN COUNCIL**

**AUDIT COMMITTEE 16 SEPTEMBER 2014**

**REVIEW OF STRATEGIC RISK REGISTER – JUNE 2014**

**REPORT OF THE MANAGING DIRECTOR – LEAD OFFICER FOR GOVERNANCE**

**PART A) – SUMMARY REPORT**

**1. SUMMARY OF MAIN PROPOSALS**

- 1.1. For the Audit Committee to note the latest Strategic Risk Register. The Council keeps the Strategic Risk Register under constant review in order to reflect the changes affecting the Council, its risks and the effectiveness of the controls implemented to manage these risks.
- 1.2. The risks are designed to be clear and strategic in nature. They have been combined into themes where appropriate.
- 1.3. The Register was last presented to Cabinet in July 2014 and are scheduled to receive the Register next in November 2014.

**2. RECOMMENDATIONS**

- 2.1. That the Audit Committee note the strategic risks in Appendix A.

**3. SUMMARY IMPACT ASSESSMENT**

<b>COMMUNITY IMPACT</b>	Do these proposals contribute to specific Co-operative Council priority objective(s)?	
	Yes	<i>All Priorities</i>
	Will the proposals impact on specific groups of people?	
	Yes	<i>The Council's priorities impact across all communities</i>
<b>TARGET COMPLETION/DELIVERY DATE</b>	<i>This is part of the on-going monitoring of delivery of the Council's priorities.</i>	
<b>FINANCIAL/VALUE FOR MONEY IMPACT</b>	Yes	Strategic risks are considered as part of the budget setting process and the effective management of risks helps to maximise the financial resources available to deliver services to the community.
<b>LEGAL ISSUES</b>	Yes	The Council has statutory responsibilities to undertake functions which are, in many cases, subject to central government regulations and guidance. As mentioned in the report, the attached risk register is a strategic one and therefore will not provide detail for all individual

		statutory responsibilities. However, the strategic risk register must continue to comply with the Council's statutory duties and this should be a consideration if/when any changes to the register are made.
<b>OTHER IMPACTS, RISKS &amp; OPPORTUNITIES</b>	Yes	The report identifies key risks to the delivery of the Council's priorities
<b>IMPACT ON SPECIFIC WARDS</b>	No	Borough-wide impact

**PART B) – ADDITIONAL INFORMATION**

**4. PREVIOUS MINUTES**

4.1. N/A

**5. BACKGROUND PAPERS**

5.1. Cabinet – 24th July

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**Appendix A**

**Strategic Risk Register  
September 2014**

	<b>Risk</b>	<b>What are we doing to manage the risk? (Controls)</b>	<b>Lead Director</b>
1	Failure to match available resources (both financial , people and assets) with statutory obligations, agreed priorities and service standards	<ul style="list-style-type: none"> <li>• Rigorous service and financial planning and regular monitoring through S&amp;FPG, SMT and Policy Review Group.</li> <li>• Savings programme, service reviews and restructuring</li> <li>• In-year savings exercise as necessary</li> <li>• Rationalisation of Council assets and accommodation</li> <li>• Delivery capital receipts/rigorous monitoring of capital receipts realisation and impact on the budget</li> <li>• If necessary contingency plans reviewing phasing of planned capital expenditure, schemes included in capital programme, alternative potential disposals and further revenue budget cuts would be prepared</li> <li>• Review of reserves and balances against risk exposure and available contingency</li> <li>• Safeguarding Cost Improvement Plan</li> </ul>	RP
2	Failure to deliver financial strategy: <ul style="list-style-type: none"> <li>○ capital receipts</li> <li>○ delivery of Council savings</li> </ul>	<ul style="list-style-type: none"> <li>• Adult Social Care Change</li> <li>• Commercial Strategy</li> <li>• “Culture Change” to budget management by managers</li> <li>• Specialist legal advice as required</li> <li>• Cabinet Members regularly briefed</li> </ul>	RP
3	Not managing the impact of organisational and culture change in the Council and partner organisations within the constraints of the public sector economy	<ul style="list-style-type: none"> <li>• Engagement and communication with all staff through structured sessions and interactive sessions with Cabinet to support Co-operative working</li> <li>• Regular meetings with Trade Union representatives</li> <li>• Loss of service delivery performance and risk exposure monitored through SMT</li> <li>• Constitution – assurance by AD’s, Finance, Legal, Internal Audit and external reviews (i.e. External audit and government bodies)</li> <li>• Transparency</li> <li>• Codes of conduct</li> <li>• LSP Executive</li> <li>• Maintaining communication channels with appropriate senior executives</li> </ul>	RP

	Risk	What are we doing to manage the risk? (Controls)	Lead Director
		<ul style="list-style-type: none"> <li>• Health &amp; Wellbeing Board</li> <li>• New Organisational Development Strategy (see 8 below)</li> <li>• Strategic Commissioning Board + Commissioning and Transformation Partnerships</li> </ul>	
4	Death or serious harm of a vulnerable child or vulnerable adult (Breach of duty of care)	<ul style="list-style-type: none"> <li>• Children’s and Adult Safeguarding Boards (ASBs becomes a statutory requirement of the Care Act from April 2015) &amp; Community Safety Partnership scrutinises performance, call partners to account and drives practice improvement in the light of learning (e.g. from Serious Case &amp; Domestic Homicide Reviews)</li> <li>• Created draw down budgets of £1.2m for children and £2.5m for adults for 2014-15</li> <li>• Work to national inspection standards (Ofsted and Care Quality Commission) and respond to actions required from inspections</li> </ul> <p><b>Children:</b></p> <ul style="list-style-type: none"> <li>• Workforce development strategy – recruitment and retention, learning and development including Systemic Practice across councils children’s workforce</li> <li>• Children’s Services - Systematic quality assurance role for all managers from frontline team manager through to MD and DCS</li> <li>• No staff savings target for Children’s Social Workers</li> </ul> <p><b>Adults:</b></p> <ul style="list-style-type: none"> <li>• Review of Adult Safeguarding arrangements will be undertaken jointly with T&amp;W CCG to ensure compliance with Care Act requirements once new Adult Safeguarding Guidance &amp; Regulations are released</li> <li>• Adult Safeguarding – following review, new multi-agency strategy agreed and regional procedures are now operational</li> <li>• Regional Quality Surveillance Group chaired by Chief Officer of NHS England Area Team ensures co-ordination of quality &amp; safeguarding issues across health &amp; social care</li> </ul>	LJ/PT
5	Failure to manage the impact of poverty and deprivation on future wellbeing of our residents	<ul style="list-style-type: none"> <li>• Council has adopted a “Business Supporting, Business Winning” approach that will provide a joined up, business facing service that provides the conditions to enable businesses to start up, expand and to attract new investors.</li> <li>• Working through/with the LEP to drive economic growth</li> <li>• Community Loans</li> </ul>	RP

	Risk	What are we doing to manage the risk? (Controls)	Lead Director	
		<ul style="list-style-type: none"> <li>• Telford Crisis Network/Food Bank</li> <li>• Youth Unemployment Programme</li> <li>• “Pride in your community” Project</li> <li>• Target Intervention Area programme</li> <li>• Public Health Grant to drive improvements in health of population/address health inequalities (Public Health outcomes)</li> <li>• Health &amp; Wellbeing Board and Commissioning &amp; Transformation Partnerships</li> </ul>		
	6	Major emergency affecting the community and/or ability to provide priority services	<ul style="list-style-type: none"> <li>• Maintaining appropriate, risk based contingency plans (Civil Resilience Team) which are exercised and reviewed on regular basis</li> <li>• Individual Service Delivery Managers are responsible for maintaining and exercising their Business Continuity Plan. These plans would be coordinated corporately and the emergency plan activated if necessary.</li> <li>• Maintain appropriate levels of trained staff to be able to respond to an emergency.</li> <li>• Work collaboratively with other LRF partner agencies, maintaining effective working relationships with the relevant bodies</li> <li>• Gorge - Additional funding with conditions received from DCLG which has enabled further stabilisation work to commence in Jackfield</li> <li>• Operation ‘Tangent’ – multi agency plan to respond to landslide in the Gorge is in place and is reviewed and exercised regularly</li> </ul>	PT
7	Significant business interruption affecting ability to provide priority services	<ul style="list-style-type: none"> <li>• ICT controls – Disaster Recovery facilities in place based on Priority Services in line with Business Continuity Plans</li> <li>• Investment in ICT infrastructure within the server room to provide business continuity</li> <li>• Improvement to Business Continuity Plans to reflect risk and appropriate mitigation</li> </ul>	DS	
8	Key skills shortages (retention & recruitment)	<ul style="list-style-type: none"> <li>• Organisational Development Plan e.g.:                             <ul style="list-style-type: none"> <li>- skills gap analysis and needs</li> <li>- flexible working policy</li> <li>- staff benefit scheme</li> </ul> </li> <li>• Council values, ethos, rewards and recognition</li> </ul>	RP	
9	Failure to manage the health & safety risks in delivering the council’s	<ul style="list-style-type: none"> <li>• Reviewing, writing and monitoring of health and safety policies through SMT and Health and Safety Committee</li> </ul>	PT	

	<b>Risk</b>	<b>What are we doing to manage the risk? (Controls)</b>	<b>Lead Director</b>
	functions.	<ul style="list-style-type: none"> <li>• Risk based health and safety audit process of service areas and local authority managed schools, which not only audit implementation of health and safety policies but also proactively identifies short comings, actions and controls that need to be in place to manage those risks. Significant findings of the audits are reported back through SMT and Health and Safety Committee.</li> <li>• Internal Health and Safety work to Health and Safety Executive (HSE) guidance and revise Policies and Procedures to ensure compliance with legal standards. Revisions reported back through SMT and Health and Safety Committee</li> <li>• There is a system in place for reporting all accidents, incidents and near misses. Non reportable accidents investigated by service area</li> <li>• All reportable accidents are investigated by Internal Health and Safety Team and significant findings reported to Health and Safety Committee. Other findings reported back to relevant Service area management</li> <li>• Training provided on Health and Safety through a mixture of OLLIE and face to face.</li> <li>• Regular meetings with Trade Unions</li> <li>• Coordination and management of Personal Safety Precautions Risk Register to ensure safety of employees.</li> </ul>	
10	Information Governance	<ul style="list-style-type: none"> <li>• The Council has an Information Governance Framework which includes the Corporate Information Security Policy (CISP) and other policies (Data protection, Information Sharing policies)</li> <li>• Small dedicated team promoting sound Information Governance within the Council and ensuring that good practise is shared across the Council</li> <li>• Training and awareness programme put in place annually and Information Governance module on OLLIE forms part of induction</li> <li>• Established procedures for investigating and recording data breaches including identifying and communicating lessons learnt</li> <li>• Information Governance compliance programme includes tasks to check on Council compliance with local and legal requirements</li> <li>• Secure Communication System in place</li> <li>• Compliance with Public Service Network (PSN) requirements</li> <li>• Governance includes regular review by Internal Audit and reporting to Audit</li> </ul>	RP

	Risk	What are we doing to manage the risk? (Controls)	Lead Director
		Committee twice a year to provide assurance on Information Governance <ul style="list-style-type: none"> <li>• ICT Security Group in place which considers Information Governance matters of new developments/issues arising</li> </ul>	

**Existing Strategic Risks Being Managed Through Appropriate Significant Projects**

- Single Status
- Better Care Fund and Care Bill, Social Care Change Board
- Children Safeguarding Service Reconfiguration
- Commercial project for additional income generation
- Housing Investment Programme