

Reference Number	Risk Type	Risk Description	Risk Owner	Action to Mitigate (List as many as required)	Action Owner	Due Date	Further Action/Controls
SR01	Financial	Lack of resources to support the funding of a competent workforce, to fund specialist external services and deliver proactive early intervention initiatives.	Alison Michalska	1. Mitigate impact by making budget reductions to other service areas where the risk impact is less. 2. Reviewing statutory duties to ensure these are met. 3. Some non statutory services are under review and may be reduced or terminated. 4. Produced a recruitment and retention strategy for social workers to ensure capacity and capability is maintained to a high standard. 5. MTFS relates to protection of key services.	CALT	Ongoing	Currently a project underway reviewing how we provide HomeCare services - Make or Buy, similar to that reviewed for the provision of transport for service users.
SR02	Workforce	More responsibility placed on colleagues who have little spare capacity; diverts from delivery of core services; lack of understanding and skill of service managers in meeting support service requirements.	Alison Michalska	1. Dedicated resource to co-ordinate and manage the implementation of new self serve policies; to manage compliance; and support service leads. 2. Training programme for service leads. 3. Produce a self service guide for service leads.	CALT	Ongoing	
SR03	Citizens	Increase reliance on agency workers; inability to recruit qualified and suitably experienced social workers; practitioners are allocated caseloads that are too high.	Alison Michalska	1. Produced a recruitment and retention strategy for social workers to ensure capacity and capability is maintained and statutory services are provided to citizens, which includes a training programme, performance management tool for managers, coaching and mentoring scheme, grow your own policy, fast track recruitment for social workers. 2. Regional Agency Memorandum to mitigate migration of social workers across the region. 3. Currently retain minimum number of agency workers. Directors review caseloads on a weekly basis.	CALT	Ongoing	
SR04	Financial	Failure to raise sufficient funds from local taxation to meet the needs of the our citizens.	Geoff Walker	1. MTFS which is designed to increase income, control costs and deliver targeted savings from service areas. 2. Review of and continual monitoring of income needed from business rate charges and council tax. 3. Joint working with the NHS and implementing policies within the STP. 4. Maximise grant income	Geoff Walker	31-Mar-2018	
SR05	Commercial	Lack of infrastructure to support Directors in future scoping of business strategy and long term visioning; Lack of joining up of resources and skills; Inability of support services to respond to the needs of the commercial growth agenda at the pace required; lack of budget information in a format that support business needs and commercial growth.	Andy Vaughan	1. Project to review finance arrangements to ensure service leads have clear visibility to manage their own budgets; dedicated health and safety professional; dedicated resource sitting within the business. 2. For operational needs to improve efficiencies and reduce cost project to consider the use of a specialist team utilised as and when to facilitate operational changes.	Mary Lester and Craig Lane	Mar-18	Looking to develop the expertise needed to support commercial growth and gain a better understanding of how to join the operational and commercial opportunities.
SR06	Commercial	Lack of agile and commercially astute management processes resulting in inability to quickly respond to business growth opportunities. Lack of empowerment in decision making at the lowest level delays decisions and quick turnarounds.	Andy Vaughan	1. Decentralised decision making to a local level complying with council governance arrangements. 2. Creating a workforce development programme that provides the workforce with the necessary skills to achieve competent decisions. 3. Improving the compliance and governance arrangements. 4. Creating a stronger analytical research and insight team to support managers in intelligent decision making.	Mary Lester	Mar-18	

SR07	Workforce	Cannot pay at levels required to attract the talent to deliver the commercial agenda; reduced level of services delivered within wholly owned companies affecting commercial income and growth due to inability to pay overtime requirements; failure to meet statutory obligations/reduction in ability to deliver front line services due to inability to recruit and retain staff.	Andy Vaughan	1. Introducing market supplements to ensure meet statutory obligation such as with LGV drivers, EH officers. 2. Considering the operating models of each commercial business to understand needs and skills required to meet objectives, working with support services to produce a package that ensures the best talent is attracted to maximise commercial growth opportunities.	DLT	Sep-17
SR08	IT	IT security (tools, process and people) is insufficient to protect against the council's IT system being hacked to steal highly sensitive or confidential personal information or to steal financial data on our citizens and customers. IT security systems are insufficient to quickly detect a malware attack; processes and supervision fails to detect employee negligence or malicious behaviour. Failure to adequately train employees on IT security to raise awareness and ensure adherence to policies.	Simon Salmon	1. The Council have implemented and continue to update security products to minimise the risk of systems being hacked to protect sensitive, confidential and personal information. Systems are both reactive and proactive in protecting data. 2. IT security systems are regularly updated to protect against malware attacks. 3. Colleagues in IMS have provided leaflets, briefings, training and events to advise colleagues of their responsibility personally and as managers and supervisors to protect data to minimise the risk of an employee negligence and malicious behaviour. 4. Training in IT security is provided through the Learning Pool on line provided by Training and Development. Service Managers are required to ensure colleagues are adequately trained in information handling and this is included in processes such as Employee Induction.	Simon Salmon and Information Management Services	Ongoing
SR09	Operational	Lack of robust business continuity plans that are joined up, tested and adequate to respond to a business critical interruption; Budget cuts and rationalisation may challenge the ability of Category 1 responders to fulfil their statutory duty; Insufficiently prepared management leads to delay in the restoration of business critical activities and the control of the emergency plan.	Candida Brudenell	1. Ensuring the council meets its statutory obligation under the the Civil Contingencies Act 2004 by having in place plans that ensure we will continue to deliver our core functions in an emergency. 2. BCP in place for all service areas. 3. A dedicated Emergency Planning Team to manage a multi agency response to an incident arising in the community. 4. To continue to develop, resource and embed an organisation wide risk management framework to assist in managing risks to reduce likelihood and impact.	Malcolm Townroe and Sarah Molyneux	Ongoing
SR10	Legal	Lack of transparent and robust governance arrangements that protect the interests of the council.	Candida Brudenell	1. Currently updating the governance arrangements to achieve an improved and robust process. 2. Ensuring there is a shareholder representative on each company. 4. Auditing and reporting risk within the annual audit plan and Annual governance statement. 5. Continually monitoring performance of wholly owned companies in accordance with the city council's Code of Good Governance. 6. Having a city council representative on the company board.	Glen O'Connell	Dec-17

