

Risk No	Risk – Description of the risk	Management actions already in place to mitigate the risk
	<b>The finances of the Council</b>	
1	A failure to achieve the Councils savings plan impacts more generally on the councils finances with the necessity for unintended savings (from elsewhere) to ensure financial stability	<ul style="list-style-type: none"> <li>• Established governance arrangements are in place to achieve planned outcomes at Cabinet and officer level</li> <li>• Escalation processes are in place and working effectively.</li> <li>• Alignment of service, transformation and financial monitoring.</li> <li>• Tracker developed which allows all change plans to be in view and monitored on a monthly basis</li> <li>• Programme management office established and resourced</li> <li>• Monthly (and quarterly) financial reporting</li> </ul>
2	<p>Failure to control expenditure and income within the overall annual council approved budget leads to the necessity for unintended savings (from elsewhere)). The most significant of these risks are related to volumes (in excess of budget) of;</p> <ul style="list-style-type: none"> <li>• Complex Adult Care services</li> <li>• Childrens Care Services</li> <li>• Educational high needs</li> </ul> <p>&amp; * Rent Collection impact of Universal Credit rollout (H R A) And in the longer term, the costs of waste disposal.</p>	<ul style="list-style-type: none"> <li>• Significant service pressures recognised as part of resource allocation in 2018/19 and 2019/20</li> <li>• Responsibility for budgetary control aligned to Strategic and Service Directors.</li> <li>• Examine alternative strategies or amend policies where possible to mitigate growth in demand or reduce costs</li> <li>• Utilise supplementary resources to cushion impact of cuts and invest to save.</li> <li>• Continue to lobby, through appropriate mechanisms, for additional resources</li> <li>• Proactive monitoring as Universal Credit is introduced</li> </ul>
3	Above inflation cost increases, particularly in the care sector, impact on the ability of providers to deliver activities of the specified quality, and or impacting on the prices charged and impacting on the budgets of the council.	<ul style="list-style-type: none"> <li>• Monitor quality and performance of contracts.</li> <li>• Be aware of underlying issues through effective communication with service providers and suppliers about likely impact on prices</li> <li>• Renegotiate or retender contracts as appropriate.</li> <li>• Ensure that budgets anticipate likely cost impacts</li> <li>• Seek additional funding as a consequence of government imposed costs</li> </ul>

4	Making inappropriate choices in relation to lending or and borrowing decisions, leads to financial losses.	<ul style="list-style-type: none"> <li>• Effective due diligence prior to granting loans and careful monitoring of investment decisions.</li> <li>• Effective challenge to treasury management proposals by both officers and members (Corporate Governance &amp; Audit Committee) taking account of external advice</li> </ul>
5	Exposure to uninsured losses or significant unforeseen costs, leads to the necessity for unintended savings to balance the councils finances	<ul style="list-style-type: none"> <li>• Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services.</li> <li>• Consider risks and most cost effective appropriate approach to responding to these (internal or external insurance provision)</li> </ul>
6	A future financial regime set by government causes a further loss of resources or increased and under-funded obligations (e.g. in relation to social care), with impact on the strategic plans.	<ul style="list-style-type: none"> <li>• Monitor government proposals and legislation, and their impact on council and partner services.</li> <li>• Continue to lobby, through appropriate mechanisms, for additional resources e.g. Local Government Association (LGA)</li> <li>• Be aware of underlying issues through effective communication with citizens, partners, service providers and suppliers about likely impact on resources</li> <li>• Ensure that budgets anticipate likely impacts</li> <li>• Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services.</li> </ul>
<b>Community Impacts &amp; Risks</b>		
7	The council does not adequately safeguard children and vulnerable adults, as a result of increased complexity, referral volumes and a lack of service capacity to respond to the assessed need.	<ul style="list-style-type: none"> <li>• Disclosure &amp; Barring Service (DBS) checking, staff training, supervision, protection policies kept up to date and communicated.</li> <li>• Effective management of social work (and related services); rapid response to any issues identified and from any serious case review work.</li> <li>• Active management of cases reaching serious case review stage, and any media interest</li> <li>• Review of current practices following the child sexual exploitation in Rotherham and the emerging requirements.</li> <li>• Ensure that workloads are balanced to resources.</li> <li>• Staff and skill development to minimise dependence on key individuals.</li> <li>• Use of agency staff and or contractors when necessary</li> <li>• Ideal manager training</li> <li>• Development of market sufficiency strategy; consider approaches to support the development of the available service offer both locally and regionally.</li> </ul>

		<ul style="list-style-type: none"> <li>• Ensure competence of the Safeguarding Boards and that they are adequately resourced to challenge and improve outcomes</li> <li>• Ensure routine internal quality assessment</li> <li>• Take effective action after Serious Case Reviews</li> <li>• Effective listening to messages about threats from other parts of the council and partner agencies</li> <li>• Proactive recognition of Members role as “corporate parent”</li> <li>• Childrens Improvement Board to assist governance and quality improvement</li> </ul>
<b>8</b>	Legacy issues of historical childcare management practices, and particularly, the heightened national attention to Child Sexual Exploitation and historical abuse cases causes reputational issues, and resource demands to address consequential matters.	<ul style="list-style-type: none"> <li>• Additional resources and expertise allocated to new and historical Child Sex Exploitation (CSE) and other legacy work, as required.</li> <li>• Risk matrix and risk management approach implemented with the police and partners.</li> <li>• Oversight of Council risks through the CSE Member Panel.</li> <li>• Understand relationship with the Prevent strategy, and issues linked to counter terrorism</li> <li>• Take steps per risk 7 to seek to avoid ongoing issues</li> </ul>
<b>9</b>	Failure to address matters of violent extremism and related safer stronger community factors create significant community tension, (and with the potential of safeguarding consequences for vulnerable individuals.	<ul style="list-style-type: none"> <li>• Prevent partnership action plan.</li> <li>• Community cohesion work programme</li> <li>• Local intelligence sharing and networks.</li> <li>• New status as a Prevent Priority Area provides funding for a Prevent Coordinator Post and enables the development of bids for additional funding.</li> <li>• Counter terrorism local profile.</li> <li>• Home Office funded Counter Extremism Community Co-ordinator role</li> </ul>
<b>10</b>	Significant environmental events such as severe weather impact on the Council’s ability to continue to deliver services.	<ul style="list-style-type: none"> <li>• Effective business continuity and emergency planning (including mutual aid) investment in flood management, gritting deployment plans.</li> <li>• Winter maintenance budgets are supported by a bad weather contingency.</li> <li>• Operational plans and response plans designed to minimise impacts (e.g. gully cleansing for those areas which are prone to flooding.)</li> </ul>
<b>11</b>	The policy presumption of communities taking more responsibility for service provision does not deliver the hoped for outcomes, with the consequence that some community services will no longer be sustainable from the	<ul style="list-style-type: none"> <li>• Reduced demand for statutory services</li> <li>• If the reduction is not realised at the pace set out, (in change plans) then those services that are directly impacted will need to identify this early, and to help in doing so, ensure that appropriate demand management and monitoring is put in place to record the levels of service take up. Remedial action should also be identified by those services.</li> <li>• Successful implementation of new service models</li> </ul>

	resources available, with reputational and policy risks.	<ul style="list-style-type: none"> <li>• Impact assessments for those services directly affected should be carried out to reflect the impact on citizens of losing a service as a consequence of the pace and scale of new service models not meeting demand.</li> <li>•</li> </ul>
	<b>The UK exiting the EU</b>	
12	<p>The process of the UK exiting the EU lead to the following consequences and impact:</p> <ul style="list-style-type: none"> <li>• Economic uncertainty impact on business rates and housing growth, with knock-ons to council tax, new homes bonus and business rate income.</li> <li>• The potential for increased cuts in core government funding (as a result of economic pressures) in the context of ongoing increases in demand for council services.</li> <li>• Rising inflation could lead to increased costs. And Interest rate volatility impacting on the cost of financing the council's debt.</li> <li>• The general uncertainty affecting the financial markets could lead to another recession.</li> <li>• An uncertain economic outlook potentially impacting on levels of trade and investment.</li> <li>• Uncertainty about migration impacting on labour markets, particularly in key sectors like health and social care</li> <li>• Potential impact on community cohesion, with increased community tensions and reported hate crimes.</li> </ul>	<p>These risks are largely addressed elsewhere in the Matrix</p> <ul style="list-style-type: none"> <li>• Monitor government proposals and legislation, and their impact on council and partner services.</li> <li>• Working with the WY Combined Authority, and other WY local authorities and partners</li> <li>• Continue to lobby, through appropriate mechanisms, for additional resources e.g. Local Government Association (LGA)</li> <li>• Be aware of underlying issues through effective communication with partners, service providers and suppliers about likely impact on prices and resources</li> <li>• Ensure that budgets anticipate likely cost impacts</li> <li>• Utilise supplementary resources to cushion impact of any cuts and invest to save.</li> <li>• Ensure adequacy of financial revenue reserves to protect the council financial exposure and that they are managed effectively not to impact on the council essential services</li> <li>• Local intelligence sharing and networks.</li> <li>• Prevent partnership action plan.</li> <li>• Community cohesion work programme</li> <li>• Service and financial strategies kept under review to keep track of developments related to the UK exiting the EU.</li> </ul>

	<b>Other Resource &amp; Partnership Risks</b>	
<b>13</b>	<p>Council supplier and market relationships, including contractor failure leads to;</p> <ul style="list-style-type: none"> <li>• loss of service,</li> <li>• poor quality service</li> <li>• an inability to attract new suppliers (affecting competition, and to replace any incumbent contractors who have failed)</li> <li>• complexities and difficulties in making arrangements in respect of significant and long running major outsource contracts, and their extension and renewal.</li> </ul>	<ul style="list-style-type: none"> <li>• Avoid, where possible, over dependence on single suppliers;</li> <li>• More thorough financial assessment when a potential supplier failure could have a wide impact on the council's operations but take a more open approach where risks are few or have only limited impact.</li> <li>• Recognise that supplier failure is always a potential risk; those firms that derive large proportions of their business from the public sector are a particular risk.</li> <li>• Need to balance between only using suppliers who are financially sound but may be expensive and enabling lower cost or new entrants to the supplier market.</li> <li>• Consideration of social value, local markets and funds recirculating within the borough</li> <li>• Be realistic about expectation about what the market can deliver, taking into account matter such as national living wage, recruitment and retention issues etc.</li> <li>• Develop and publish in place market position statement and undertake regular dialogue with market.</li> <li>• Effective consultation with suppliers about proposals to deal with significant major external changes</li> <li>• Early consultation with existing suppliers about arrangements to be followed at the end of existing contractual arrangements</li> <li>• Realign budgets to reflect real costs</li> <li>• Commission effectively</li> <li>• Ensuring adequate cash flow for smaller contractors</li> </ul>
<b>14</b>	<p>Management of information from loss or inappropriate destruction or retention and the risk of failure to comply with the Council's obligations in relation to Data Protection, Freedom of Information legislation and the General Data Protection Regulations (GDPR) leading to reputational damage, rectification costs and fines</p>	<ul style="list-style-type: none"> <li>• Thorough, understandable information security policies and practices that are clearly communicated to workforce.</li> <li>• Effective management of data, retention and recording.</li> <li>• Raised awareness and staff training</li> <li>• Compliance with IT security policy.</li> <li>• Compliance with retention schedules.</li> <li>• Compliance with information governance policy.</li> <li>• Business continuity procedures.</li> <li>• Comply with new legislation around staff access to sensitive data.</li> </ul>

		<ul style="list-style-type: none"> <li>• Council has a Senior Information Risk Owner (“SIRO”) officer and a Data Protection Officer (DPO) who are supported by an Information Governance Board</li> <li>• Development of action plan to respond to GDPR requirements and resourcing requirements as appropriate</li> <li>• Increased awareness of officers and members as to their obligations</li> </ul>
<b>15</b>	Health and safety measures are inadequate leading to harm to employees or customers and possible litigious action from them personally and/or the Health and Safety Executive.(and the potential of prosecution and corporate /personal liability)(and in particular issues of fire safety,)	<ul style="list-style-type: none"> <li>• New Fire Safety Policy approved and being implemented Improved monitoring of fire risk</li> <li>• Prioritised programme of remedial works to buildings to tackle issues</li> <li>• Review work practices to address H&amp;S risks</li> <li>• Monitor safety equipment</li> <li>• Improved employee training as to their responsibilities, as employees and (where appropriate) as supervisors</li> </ul>
<b>16</b>	Exposure to increased liabilities arising from property ownership and management, including dangerous structures and asbestos, with reputational and financial implications.	<ul style="list-style-type: none"> <li>• Routine servicing and cleansing regimes</li> <li>• Work practices to address risks from noxious substances</li> <li>• Property disposal strategy linked to service and budget strategy</li> <li>• Review of fire risks Develop management actions, categorised over the short to medium term and resource accordingly.</li> <li>• Prioritisation of funding to support reduction of backlog maintenance</li> <li>• Clarity on roles and responsibilities particularly where property management is outsourced.</li> </ul>
<b>17</b>	A funding shortfall in partner agencies) leads to increased pressure on community services with unforeseen costs.	<ul style="list-style-type: none"> <li>• Engagement in winter resilience discussions with NHS partners</li> <li>• Secure funding as appropriate</li> <li>• Consider extension of pooled funds</li> <li>• Accept that this may lead to an increase in waiting times</li> <li>• Strengthen partnership arrangements to ascertain whether other funding or cost reduction solutions can be introduced.</li> </ul>
<b>18</b>	The risk of retaining a sustainable, diverse, workforce, including - aging and age profile - encouraging people to enter hard to recruit roles (which often have low pay, or challenging hours or tasks)	<ul style="list-style-type: none"> <li>• Effective Workforce Planning (inc recruitment , retention issues)</li> <li>• Modernise Human Resources policies and processes</li> <li>• Increased accessibility to online training managers/ employees.</li> <li>• Selective use of interim managers and others to ensure continuity of progress regarding complex issues</li> </ul>

	- encouraging entrants to professional roles where pay is often below market levels. and ensuring that the workforce are broadly content, without whom the council is unable to deliver its service obligations.	<ul style="list-style-type: none"> <li>• Ensure robust change processes including Equality Impact Assessments (EIA's) and consultation..</li> <li>• Understand market pay challenges</li> <li>• Promote the advantages of LG employment</li> <li>• Emphasise the satisfaction factors from service employment</li> <li>• Engage and encourage younger people through targeted apprenticeships, training, and career development</li> </ul>
<b>19</b>	National legislative or policy changes have unforeseen consequences with the consequence of affecting resource utilisation or budgets.	<ul style="list-style-type: none"> <li>• Reprioritise activities</li> <li>• Deploy additional resources</li> <li>• Use of agency staff or contractors where necessary</li> <li>• Development of horizon scanning service</li> </ul>

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