

AUDIT COMMITTEE – 7th December 2016

STRATEGIC RISK REGISTER – Full Review October 2016

1. Purpose of the Report

- 1.1 This brief covering note presents the draft Cabinet Report for the latest review of the Strategic Risk Register (SRR), which has been programmed for consideration by Cabinet on the 11th January 2017.
- 1.2 This report forms part of the Audit Committee's assurance process where it was agreed that following the completion of each review of the SRR, the Audit Committee considers the latest iteration of the SRR, and where appropriate, provides comment.

2. Recommendation

2.1 It is recommended that the Audit Committee:

- I. Considers, and comments accordingly on the outcomes of the recent review of the SRR, in relation to the management, challenge and development of the SRR;**
- II. Considers whether any further information regarding the SRR review process is required from the Risk and Governance Manager;**
- III. Considers whether any further information is required from specific Risk Owners, or Risk Mitigation Action Owners regarding the progress towards managing and mitigating SRR risks; and,**
- IV. Confirms whether the Committee wishes to continue to receive periodic updates as to the progress of the actions taken and their impact on the SRR, or whether the Committee requires a deeper level of assurance that could be provided through the provision of a more detailed or focused report.**

Contact Officer: Risk and Governance Manager
Telephone: 01226 77 3119
Date: 28th October 2016

CABINET – 11th January 2017

STRATEGIC RISK REGISTER – Full Review October 2016

1. Purpose of the Report

- 1.1 The Strategic Risk Register (SRR) contains those high level risks which are considered to be significant potential obstacles to the overall achievement of the Council's corporate objectives.
- 1.2 Like all risk registers, it is important that the SRR remains up to date and is reviewed regularly in order to accurately reflect the most significant risks to the achievement of corporate objectives and facilitate timely and effective mitigations of those risks.
- 1.3 Following a review of the SRR in March 2016, a further review of the SRR was undertaken in October 2016. The outcomes of that review are detailed in the body of this report.

2. Recommendation

2.1 It is recommended that:

- i. **Cabinet confirms that the high level strategic risks articulated within the SRR fully reflect the current position of the Council; and,**
- ii. **Cabinet considers the content of this report, and continues to commit to support the Corporate Risk Management process and the embedding of a Risk Management culture within the organisation.**

3. Introduction and Background

- 3.1 The Introduction and background to the SRR is now included as Appendix One to this report. This details:
 - The context of the SRR in relation to the broader governance arrangements in place;
 - The importance of the SRR in relation to embedding Risk Management within the Council;
 - The management of the SRR;
 - The content of the SRR; and,
 - The review process to ensure the SRR remains a vibrant and dynamic document;

4. Risk Profile

- 4.1 The table below sets out the distribution of the SRR risks across the six concern rating classifications:

Risk Concern Rating	Number of Risks (as at Oct 2016)	Percentage (as at Oct 2016)	Number of Risks (as at Mar 2016)	Percentage (as at Mar 2016)	Number of Risks (as at Oct 2015)	Percentage (as at Oct 2015)
1	0	0%	0	0%	0	0%
2	4	20%	3	16%	2	12%
3	6	30%	7	37%	6	35%
4	9	45%	8	42%	8	47%
5	1	5%	1	5%	1	6%
6	0	0%	0	0%	0	0%
Total	20	100%	19	100%	17	100%

- 4.2 The total number of risks logged in the SRR has increased by one since the last review in March 2016 (risk 3842 - Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe). This risk is detailed further in section 5.2.4 of this report.

The current review identified two risks that have had their risk concern rating reduced:

- Risk 3024 ('Lack of educational attainment') – was concern rating '3', now logged as concern rating '4': Reflects improvements to GCSE results in Barnsley, that are now above the national average for the first time; and,
- Risk 3034 ('Failure to deliver the MTFS - 'Failure of Future Council to achieve the required level of savings') – was concern rating '3', now logged as concern rating '4': Reflects improved confidence to identify and deliver a sustainable financial strategy.

- 4.3 Details of the average risk category score for the SRR, from the 'zero-based' review in March 2013 are detailed below:

	Period							
	Mar 2013	Oct 2013	Feb 2014	Sept 2014	Feb 2015	Oct 2015	Mar 2016	Oct 2016
Average Risk Concern Rating	3.70 ➔	3.47 ↓	3.47 ➔	3.35 ↓	3.5 ↑	3.47 ↓	3.37 ↓	3.35 ↓

- 4.6 The slight variance in the average concern rating is directly attributable to the identification of risk 3842, detailed in section 5.2.4 of this report.

5. Outcomes of the March 2016 Review

- 5.1 The significant outcomes that are detailed in this document focus on:

- Significant / 'Red' Risks; and,
- New / Emerging Risks.

5.2 Significant / 'Red' Risks:

- 5.2.1 Risk 3026: Failure to achieve a reduction in health inequalities within the Borough:

Risk:	Risk Owner:
Risk 3026 – Failure to achieve a reduction in health inequalities within the Borough.	Director of Public Health

Consequences:
Health inequalities persist. Life expectancy in Barnsley remains well below the national average. Such health inequalities challenge not just the health and social care services but every one interested in the future prosperity and well-being of the borough. <i>For more information, see Appendix Eight.</i>

As per previous reports, this risk is currently logged as having a 'Concern Rating' of 2. It is important to note that despite this risk having been allocated a 'red' concern rating, it is recognised that population based outcome measures are often slow and difficult to change.

The Risk Mitigation Actions for this risk focus on:

- Developing the Public Health distributed Model to include sector led improvement recommendations;
- Developing the governance arrangements regarding the Public Health Strategy to ensure Service Directors are held to account for public health outcomes vested with Business Units;
- Identification of priority areas regarding the use of the Public Health Grant; and,
- Developing options regarding innovative commissioning and partnership working with the CCG regarding pooled budgets.

5.2.2 Risk 3792: Failure to be prepared to assist in the event of an emergency resilience event in the region:

Risk:	Risk Owner:
Risk 3792 – Failure to be prepared to assist in the event of an emergency resilience event in the region.	Director, Human Resources, Performance and Communications
Consequences:	
Recent emergencies relating to industrial actions and flooding proves there is still an inappropriate reliance on the increasingly limited resources of the HS&ERS to manage and lead on the management of emergency events. <i>For more information see Appendix Eight.</i>	

The Risk Mitigation Actions for this risk focus on:

- Providing SMT with improvement opportunities to consider in terms of resourcing and pump-priming;
- Working with Information Services to assist in identifying IT related business continuity issues within individual Business Units; and,
- Liaison with colleagues within Environment and Transport regarding community flood resilience plans.

5.2.3 Risk 3793: Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident:

Risk:	Risk Owner:
Risk 3793 – Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	Director, Finance, Assets and IS
Consequences:	
In the event of a business continuity threat the Council will be unable to recover in an effective manner resulting in lost time and resources. Inability for customers to be able to access services	

and a lack of access to IT systems to enable employees to undertake their duties effectively.
For more information see Appendix Eight.

The Risk Mitigation Actions for this risk focus on:

- Working with the Health, Safety and Emergency Resilience Unit to assist in identifying IT related business continuity issues within individual Business Units;
- Formalising and testing plans; and,
- Developing agreements for out of hours support.

5.2.4 Risk 3842: Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe:

Risk:	Risk Owner:
Risk 3842 – Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	Director Public Health
Consequences:	
Poor quality of services affecting customers health and missed identification of issues and concerns by professional employees resulting in a breach of safeguarding arrangements affecting wellbeing of customers; Increased likelihood of HR disputes resulting in potential strike action; The transition of the service has unfortunately created a one off pressure of £0.442M which has been subsumed within the overall plan; <i>For more information see Appendix Eight.</i>	

5.3 New / Emerging Risks:

Details of risk 3842 ('Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe') have been detailed within section 5.2.4 of this report.

- 5.4 Details of the risks logged on the SRR that have improved since the last review are logged in Appendix Two to this report.
- 5.5 There are no risks logged on the SRR that that have worsened since the last review of the SRR.
- 5.6 There are no risks logged on the SRR that are proposed to be closed since the last review of the SRR.
- 5.7 Details of all SRR risk concern ratings, including a direction of travel indicator to provide details of the 'trend' of the SRR risk profile are included as Appendix Three to this report.

6. **Risk Mitigation Actions**

- 6.1 Appendix Four details the completed risk mitigation actions following the October 2016 review.
- 6.2 There are no risk mitigation actions logged on the SRR that have been allocated a 'red' status following the October 2016 review.
- 6.3 Appendix Five details those risk mitigation actions that are new following the October 2016 review.

7. Other Significant Changes to the SRR

- 7.1 Other significant changes to the SRR have been highlighted in bold text, and included within Appendix Six of this report.

8. Assurance

- 8.1 This report and the SRR (which is attached to this report as Appendix Six) itself will be submitted to the Audit Committee at their meeting of 7th December 2016, in order to provide assurances that these significant risks are being managed appropriately.
- 8.2 The Audit Committee have expressed a clear interest in receiving assurance from Cabinet that appropriate challenge and scrutiny of corporate risk management arrangements take place, and engagement with significant risks through reports on the SRR will be a key source of assurance. The Audit Committee will be informed of the outcomes of Cabinet's consideration of the SRR.

9. Future Review of the SRR

- 9.1 Future review of the SRR are now programmed with other governance related reports such as those relating to Corporate Finance and Performance Management in order for Cabinet to receive and consider these governance related reports as a broad suite of documents.

10. Delivering Corporate Plan Ambitions

- 10.1 The SRR lists those significant risks which could impact upon the delivery of the Council's priorities and objectives, as set out in the Council's Corporate Plan. Risks within the SRR are directly linked to the Corporate Plan in order to ensure that the register is focused upon those risks which are considered to be significant potential obstacles to the achievement of corporate objectives.

11. Risk Management Issues

- 11.1 The report focuses on the further development of the SRR and the contribution this will make to the embedding of a risk management culture throughout the Council.
- 11.2 Failure to develop the SRR will present a significant risk to the successful implementation of the required Risk Management culture within the Council.

12. Financial Implications

- 12.1 There are no specific financial implications arising directly from this report, although there is often a cost in taking (or not taking) specific action that was identified through the risk management process. Most individual Cabinet Reports have financial implications and so the application of good risk management practices is vital to ensure the most effective use of resources.

13. Appendices

Appendix One:	SRR Introduction and Background
Appendix Two:	Improved SRR Risks
Appendix Three:	Direction of Travel / Trend Report
Appendix Four:	Completed Risk Mitigation Actions

Appendix Five: New Risk Mitigation Actions
Appendix Six: Full SRR as at October 2016

14. Background Papers

- 14.1 Various papers and electronic files and risk registers are available for inspection at the Westgate Plaza One offices of the Council.

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Date: 28th March 2016

1. Introduction

- 1.1 The embedding of a culture where Risk Management is considered a part of normal business process is crucial to the delivery of the Risk Management Policy and Strategy and the implementation of good governance arrangements.
- 1.2 A robust and dynamic SRR sets the culture and tone for Risk Management across and throughout the Council. The engagement of the Senior Management Team (SMT) in the Risk Management process through their ownership and review of the SRR demonstrates a strong commitment to lead and champion Risk Management 'from the top' and to further reinforce the continuing development of a Risk Management culture.
- 1.3 The risks in the SRR are owned by SMT, with the management of individual risks being allocated to a Risk Manager (a member of SMT) and measures to mitigate risks allocated to Risk Mitigation Action Managers (being those senior managers best placed to take responsibility to drive the implementation of those actions).
- 1.4 SMT is also responsible for ensuring that the SRR continues to express those high level risks which have a significant bearing upon the overall achievement of corporate objectives and that they are being appropriately managed.
- 1.5 In order to provide assurances that the SRR is being appropriately managed, reviews of the register are facilitated by the Risk and Governance Manager on a six monthly cycle. The results of these reviews are then presented to the Council's Directorate Risk Champions, and reported to SMT for further consideration and challenge. The outcomes of these processes are then reported to the Audit Committee, and subsequently, Cabinet.
- 1.6 This report provides a summary to Cabinet of the recent review, and highlights specific issues and actions for consideration. This ensures Senior Elected Members are aware of the SRR and can contribute to its development. The consideration of the SRR by Cabinet also contributes towards the role of Elected Members in assisting in the development of strategy and contributing to the identification of high level strategic risks, rather than simply monitoring the management of the Risk Management process.

2. Background and Context to the March 2016 Review

- 2.1 The review that has recently been completed is the fifth review of the SRR, which was significantly refreshed, following a 'zero-based' review of the SRR in March 2013.
- 2.2 The current review included:
 - **Consideration of the current expression of the Risk:**
Risk Owners are encouraged to consider risks in terms of Event > Consequence > Impact, and these are logged within the 'Risk Title' and 'Risk Consequences' fields.
 - **Consideration of links between Corporate Priorities, Outcomes and Risks:**
Each Risk is clearly linked to a Corporate Priority, and these are logged in the 'Priority' field.

Clear links between Corporate Outcomes and Risks have been identified and logged in the 'Existing Control Measures' field, to demonstrate the relevance of risks to the Council's performance management framework.

▪ **Consideration of the level of 'Concern' for each Risk:**

Clearly, all risks logged in the SRR are significant. A 'traditional' quantitative risk assessment of all SRR risks has been undertaken, and all of the risks logged in the SRR have been assessed as being 'red' due to their high rating in terms of probability and / or impact.

Whilst risk mitigation actions are in place, and efforts are being made to ensure the intended benefits of such risk mitigation actions are realised, the actual positive impact of these mitigations can often be hard to express in terms of the risk assessment itself, and ultimately, what are contextually small positive impacts on such significant risks may simply result in the *maintenance* of the assessment, rather than actually *improving* it.

As part of the 'zero-based' review of the SRR in March 2013, the use of a 'Concern Rating' was implemented. This qualitative assessment gives the Risk Owner, or SMT collectively, the opportunity to consider the following dynamic elements of the risks, rather than focusing on the traditional probability and impact based assessments:

Concern Rating	Description
1 - Red	Little confidence the Risk can be improved; Unachievable Objective; Difficult to Influence; or, Out of Tolerance.
2 - Red	Concern is between Rating 1 and Rating 3.
3 – Amber	Some confidence the risk can be improved; Moderately achievable Objective; Possible to Influence; or, Barley Tolerable.
4 – Amber	Concern is between Rating 3 and Rating 5.
5 – Green	Confident the Risk can be improved; Achievable Objective; Easily Influenced; or, Tolerable.
6 – Green	Concern Rating is less than 5.

▪ **Consideration regarding *existing* Risk Mitigation Actions, as well as consideration of any *new* Risk Mitigation Actions:**

Each risk mitigation action is allocated a red, amber or green rating, on a similar basis as the Risk Concern rating. Risk mitigation action owners are asked to provide an assessment as to the overall progress and achievement of each of these actions. Of note is the fact that some risks may be logged as being 'amber' or in some circumstances, 'red' in terms of the overall 'Concern Rating', but risk mitigation actions may be logged as 'green'. The implication of this is that the actions being taken are on track, but due to factors such as the 'long-tail' nature of some risks, the action may be something that is aimed at *maintaining* the risk, rather than *improving* it.

Similarly, some risks may be logged as having a 'Concern Rating' of 'green', with actions logged as being 'amber' or in some circumstances, 'red'. This reflects that whilst the risk itself may be acceptable, the actions themselves may be less so. In these circumstances, attention should be given to ensuring the action is resourced to ensure it is able to deliver the intended outcomes. This is in addition to the '% complete' field which is included within the register.

- **Consideration of Future Council Activity:**

As part of the current review, SRR Risk Owners were asked to consider the implications of the transition to the Future Council model, in terms of the ownership and positioning of the risk, along with any issues arising that may affect the delivery of risk mitigation actions.

- 2.3 Consideration was also given during each update meeting with Risk Owners regarding any new or emerging risks that should be considered, or any risk areas that may be developing that could influence the consideration of exiting risks.

Appendix Two: Improved SRR Risks

Risk Number	Risk Name	Reason for Improvement
3024	Lack of educational attainment	This decrease from concern rating '3', to concern rating '4' reflects improvements to GCSE results in Barnsley, that are now above the national average for the first time.
3034	Failure to deliver the medium Term Financial Strategy ('Failure of the Future Council to deliver the required level of savings')	This decrease from a concern rating of '3' to '4' reflects improved confidence to identify and deliver a sustainable financial strategy.

Appendix Three: Direction of Travel / Trend Report

Risk Number	Risk Title	Oct 2016	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3021	Failure to build the Economy of Barnsley	Closed -	Closed -	Closed -	Closed -	3 ⇄	3 ⇄	3 ⇄	3 -
3022	Inability to direct Corporate Strategy	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 -
3023	Failure to engage with Stakeholders	3 ⇄	3 ⇄	3 ⇄	3 ↑	2 ↓	3 ⇄	3 ⇄	3 -
3024	Lack of Educational Attainment	4 ↑	3	3 ↓	4 ⇄	4 ⇄	4 ⇄	4 ↑	3 -
3025	Failure to Safeguard Vulnerable Service Users	3 ⇄	3 ↑	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 -
3026	Failure to achieve a reduction in health inequalities within the Borough	2 ⇄	2 ⇄	2 ⇄	2 ⇄	2 ⇄	2 ⇄	2 ⇄	2 -
3027	Failure to manage Organisational Change ('Risk of destabilisation of the Organisation')	5 ⇄	5 ⇄	5 ⇄	5 ⇄	5 ⇄	5 ⇄	5 ⇄	5 -
3028	Workforce planning issues	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ↓	4 -
3029	Failure to Safeguard Information	4 ⇄	4 ⇄	4 ⇄	4 ↑	3 ⇄	3 ⇄	3 ↓	4 -
3030	Failure to be prepared for an emergency response or business continuity threat	Closed -	Closed -	2 ⇄	2 ⇄	2 ↓	3 ⇄	3 ↓	4 -
3031	Strategic Performance, Governance or Compliance failure	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 ⇄	4 -
3032	Failure of Partnership Working / Supply Chains	Closed -	Closed -	Closed -	Closed -	4 ⇄	4 ⇄	4 ⇄	4 -
3033	Failure to adapt the Authority into a sustainable organisation ('Failure to maintain current Services)	4 ⇄	4 ⇄	4 ⇄	4 ↑	3 ⇄	3 ⇄	3 ↓	4 -
3034	Failure to deliver the Medium Term Financial Strategy ('Failure of the Future Council to be able to deliver the required level of savings')	3 ↑	3 ↓	4 ↓	5 ⇄	5 ⇄	5 ⇄	5 ⇄	5 -
3035	Loss of assets and resources as a result of one-off incident of fraud / corruption / bribery or a sustained or widespread occurrence	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ↓	4 ⇄	4 ↓	5 -
3047	Failure to protect the population from preventable health threats	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 ⇄	3 -
1630	Equal Pay Claims	Closed -	Closed -	Closed -	3 ⇄	3 ⇄	3 ⇄	3 ↑	2 -
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Service Organisation (CSO) Programme	4 ⇄	4 ⇄	4 ⇄	4 -	-	-	-	-
3543	Failure to ensure the adequate supply of land for housing and commercial property growth	4 ⇄	4 ⇄	4 ↑	3 -	-	-	-	-
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	4 ⇄	4 ⇄	4 -	-	-	-	-	-

Risk Number	Risk Title	Oct 2016	Mar 2016	Sept 2015	Feb 2015	Sept 2014	Feb 2014	Oct 2013	June 2013
3792	Failure to be prepared to assist in the event of an emergency resilience event in the region	2 ⇅	2 -	-	-	-	-	-	-
3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	2 ⇅	2 -	-	-	-	-	-	-
3794	Failure to ensure the governance arrangements underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	4 ⇅	4 -	-	-	-	-	-	-
3842	Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	2 -	-	-	-	-	-	-	-

Appendix Four: Completed / Closed Risk Mitigation Actions

Risk Number	Risk Name	Risk Mitigation Action
3543	Failure to ensure the adequate supply of land for housing and commercial property growth	Quarterly Developer Forums (16/17)
3024	Lack of educational attainment	Children and Younger Peoples Plan 2016 – 2019: Being refreshed to adoption by TEG and Cabinet with aspirational targets
		Revised approach to assessing performance in schools developed and now requires embedding
3025	Failure to safeguard vulnerable service users	(11) Anti-Poverty: Anticipating significant impacts following CSR in Autumn 2015; development of a Community Supermarket - reports drafted and partners committed to project. Need to unpick issues regarding Community Asset transfer.
		(8) Stronger Barnsley Together: Programme infrastructure is to be updated, and will include a different approach, standing down and rationalising some structures and rebranding as 'Community Wellbeing', Actions Plan to be considered by OSC prior to Cabinet in September 2015.
		Consolidation of Adults Social Care peer review Action Plan - reported to Members on progress and outstanding actions
		Refresh of 'Making Safeguarding Personal' programme
3026	Failure to achieve a reduction in Health inequalities within the Borough.	Investigation into issues raised by CCG regarding pooled budgets and the potential impact on vulnerable groups such as 0-5 services, health visitors and substance misuse services as a result of funding voids - developing options regarding innovative commissioning and partnership working
3023	Failure to engage with stakeholders	Refresh of Health and Wellbeing Strategy to improve Health and Wellbeing Board governance arrangements
		Review of engagement and participation arrangements as part of the Health and Wellbeing Strategy refresh
3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	Development of a formalised agreement for out of hours support for areas such as Helpdesk
3029	Failure to safeguard information	Phase 2 of Information Security Programme - roll out of guidance and training to partners such as BH, Bull, NPS etc. - BH and Bull completed, NPS and Norse in development - phishing training now in place and is mandatory for all employees
		Risk based Action Plan developed (following review of IT architecture) being delivered (all 'red' actions complete)
		Consideration of Cloud based infrastructure (on a case by case basis) to

Risk Number	Risk Name	Risk Mitigation Action
		progress and enable a proportionate Electronic Content Management System - paper to SMT approved and SharePoint is preferred supplier - SMT Sponsor (ED Place) confirmed
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Services Organisation Programme (CSO)	<p>Restructure and consolidation of programme resources into permanent structure completed 01/04/2015 as part of Future Council implementation. Two year fixed term Programme Management resource agreed at Board - to be recruited to support delivery of next phases. IT Projects support to be committed from within wider ICT envelope of resources following transfer of TCL staff back to the Council.</p> <p>Seek assurances regarding the review by services / business units as to how they intend to adopt and embed Customer Services activities within their individual business units - business planning cycle now complete - BLT to undertake challenge and identify significant issues that may arise before 2021</p>
3699	Failure to ensure the Council's commercial / trading arm is effective in its operations, and is a well governed organisation	<p>Consideration of pump-priming opportunities to ensure the right resources and infrastructure is in place to sustain meaningful commercial / trading activities</p> <p>Development of processes to enable the support services recharges to be clear and transparent within future bids or tenders that may be made by the trading company</p>

Appendix Five: New Risk Mitigation Actions

Risk Number	Risk Name	Risk Mitigation Action
3025	Failure to safeguard vulnerable service users	Stronger Community Partnership includes Anti-Poverty sub-group which benefits from Delivery Action Plan which is reportable and accountable to the Health and Wellbeing Partnership 16/17
		Stronger Community Partnership (multi agency) established to deliver improvements in early intervention and prevention 16/17
		Adults Safeguarding - development of outcome based Performance Framework
		Second review of TOM - phase 2 action plan in development
3023	Failure to engage with stakeholders	Refresh of Community Engagement Strategy that underpins Stronger Communities Partnership and Community Safety Partnership (council, not multi-agency)
3793	Failure to ensure that appropriate disaster recovery arrangements are in place to ensure the Council is able to recover in the event of a business continuity threat or incident	Development of a formalised agreement for out of hours support for areas such as Helpdesk
3022	Inability to direct corporate strategy	Monitor and review the implementation and effectiveness of revised Contract Procedure Rules to deal with commissioning of internal services from Area Council budgets (16/17)
3028	Workforce Planning issues	Refresh of Corporate Plan to align it to 2020 outcomes - will also include a review of the Future Council Strategy which will join up the Future Council Strategy to the Workforce Development Strategy and also ensure the Future Council Improvement and Growth Strategy is more aligned to resourcing and financial influences
3029	Failure to safeguard information	Removal of Citrix from personal computers due to PSN constraints - due July 2017
		Review of IG Toolkit - aiming for L3 compliance in 2017/18
		ICT systems access system access, review policy and simplify process for new starters, movers and leavers
		Information flow mapping activities to ensure compliance with General Data Protection Regulations 2018
3514	Failure to be able to deliver the ambitions and outcomes associated with the Customer Strategy Implementation Programme	Delivery of Customer Strategy Implementation Programme, including the appropriate consideration of risk at project level, and the escalation of significant risks to the CSI Delivery Group and subsequently the FC Improvement and Growth Board (16/17)
3794	Failure to influence the governance arrangements	Ensuring that the Authority is able to learn from its experiences in terms of

Risk Number	Risk Name	Risk Mitigation Action
	underpinning and controlling the emerging City Region Deal Devolution Deal enable an appropriate blend of risk and reward for the Council	<p>conflicts that may have arisen and identifying areas of potential improvement in terms of how conflict are identified, handled and addressed (16/17)</p> <p>Focused de-brief following significant interaction with CA i.e. J36 development (including BLT development sessions)</p>
3842	Failure to ensure the transfer of 0-19 services that are coming back into Council control ensure customers remain safe, there is continuous service and that during and after the transition period customers remain safe	Refer to detailed risk mitigations within the Risk Register for BU 10 (Public Health) (16/17)