

APPENDIX 3 TELFORD & WREKIN COUNCIL STRATEGIC RISK REGISTER

UPDATED JANUARY 2022

Definitions used in the risk register:

Likelihood of Risk Occurring

| Likelihood | Definition |
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| Very Low | May occur in exceptional circumstances |
| Low | Risk may occur in next 3 years |
| Medium | The risk is likely to occur more than once in the next 3 years |
| High | The risk is likely to occur this year |
| Very High | The risk has occurred and will continue to do so without further action being taken |

Impact of Risk if it does Occur

| Descriptor | Financial | Reputation | Physical | Environmental | Service |
|------------|-------------------|---|---|-----------------------|---|
| Very Low | None | None | None | None | None |
| Low | <£50K | Minimal/ minimal media/ social media | Minor | Minor locally | Internal disruption only, no loss of service |
| Medium | £50K to £1m | Extensive local media/social media | Violence or threats of serious injury requiring medical treatment | Moderate locally | Disruption/ loss of service less than 48 hours |
| High | £1m to £5m | National media/social media | Extensive/ multiple injuries | Major local impact | Disruption/ loss of service less than 7 days |

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| Very High | >£5m | Extensive national media (lead item)/social media | Extensive multiple injuries/death | Major national/inter national | Severe disruption/ loss of service more than 7 days. |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R1 | Failure to discharge duty of care for a vulnerable child or vulnerable adult. | Very High without controls Change since last review = | Very High without controls – Physical Reputation Finance Change since last review = | a) Safeguarding Partnership (Adults & Children) Community Safety Partnership and Youth Offending Service Management Board scrutinise performance, hold partners to account and drive practice improvement in the light of learning (e.g. Serious Case, Safeguarding Adult & Domestic Homicide Reviews). b) Safeguarding Partnership works to develop systematic working across children and adult landscape. c) The Council will invest almost £5.2m net additional funding into Adult Social Care services in 2022/23, increasing to almost £7m additional net funding in 2023/24. The Council's net budget for Adult Social Care will be over £53m in 2022/23. d) The Council's net budget for Children's Safeguarding will exceed £37m in 2022/23, benefitting from additional net funding of over £1.3m | J Britton S Dillon | Very Low with controls Change since last review = | Very High with controls – Physical Reputation Finance Change since last review = |

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| | | | <p>e) The combined total net budget allocation for these services will be in excess of £90m.</p> <p>f) A general budget contingency of £3.95m, with an additional £2.4m held for inflationary pressures will be available in 2022/23. These can be used to support pressures in any Council budget including Adult Social Care and Children’s Safeguarding which account for two thirds of the Council’s net budget.</p> <p>Children:</p> <p>g) Safeguarding arrangements are routinely reviewed and developed in response to new statutory requirements as they are introduced</p> <p>h) Workforce development strategy – recruitment and retention, learning and development including Systemic Practice across the Council’s children’s workforce.</p> <p>i) Children’s Services - systematic quality assurance role for all managers from frontline Team Manager through to CEX and DCS</p> <p>j) No staff savings target for Children’s Social Workers</p> <p>k) Work to national inspection standards and respond to</p> | | | |
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| | | | | <p>actions required from inspections.</p> <p>l) OFSTED inspection of Children’s Safeguarding January 2020 achieved “Outstanding””. An action plan has been delivered to respond to the small number of recommendations</p> <p>m) Independent Review of Child Sexual Exploitation (CSE) commissioned by the Council is underway</p> <p>n) ‘Essential learning’ for all employees includes both child protection and CSE.</p> <p>Adults:</p> <p>o) Adult safeguarding part of Safeguarding Partnership in compliance with Care Act requirements and new Adult Safeguarding Guidance & Regulations.</p> <p>p) Adult Services - systematic quality assurance role for all managers from frontline team manager through to DAS</p> <p>q) Quality Surveillance Group chaired by Chief Officer of NHS England Area Team ensures co-ordination of quality & safeguarding issues across health & social care system.</p> | | | |
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| | | | | r) 'Essential learning' for all employees includes adult safeguarding. | | | |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R2 | <p>Inability to:</p> <p>a) Match available resources (both financial, people and assets) with statutory obligations, agreed priorities and service standards</p> <p>b) deliver financial strategy including capital receipts, savings and commercial income</p> <p>c) fund organisational and cultural development in the Council within the constraints of the public sector economy</p> | <p>Very High without controls</p> <p>Change since last review =</p> | <p>Very High without controls – Physical Reputation Service</p> <p>Change since last review =</p> | <p>a) Robust commercial approach taken by Council services in terms of increasing income generation</p> <p>b) Rigorous service and medium term financial planning and regular monitoring and active management through S&FPG, SMT, Business Briefing and Cabinet.</p> <p>c) Efficiency Strategy in place which allows the Council to qualify for the Flexible Use of Capital Receipts which is expected to continue to be available to fund the revenue costs of reform and service transformation which deliver efficiencies</p> <p>d) 'Savings programme, service reviews and restructuring.</p> <p>e) Staffing, economic and environmental impact assessments.</p> <p>f) In-year savings exercises possible if necessary</p> <p>g) Rationalisation of Council assets and accommodation</p> | D Sidaway K Clarke | <p>Low with controls</p> <p>Change since last review =</p> | <p>Very High with controls – Physical Reputation Service</p> <p>Change since last review =</p> |





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| | | | | <ul style="list-style-type: none"> h) Prudent level of uncommitted one-off resources and in-year budget contingency i) Delivery of capital receipts/rigorous monitoring of capital receipts realisation and impact on the budget j) 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 identified for consultation k) Regular review of reserves and balances against risk exposure with significant level of uncommitted balances available, held within the Budget Strategy Reserve to support the Council's Medium Term Financial Strategy l) Ongoing review of financial policies m) Safeguarding Children Cost Improvement Plan n) Adult Social Care Cost Improvement Plan o) Commercial project(s) for additional income generation as well as wider economic, social and regeneration purposes p) Housing Investment Programme q) Robust assessment of potential new investments through a proper due diligence and business case process to | | | |
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| | | | | <p>ensure that the Council is not exposed to an unacceptable level of risk either on an individual basis or when considering the entire investment portfolio</p> <ul style="list-style-type: none"> r) Specialist legal and taxation advice taken as required s) Active Treasury Management in conjunction with regular advice and updates from specialist Treasury Management Advisors t) Cabinet Members regularly briefed u) All necessary strategies, policies and procedures in place to fully comply with CIPFA and MoHCLG codes and regulations with regular review v) Established approval process for agreement of business cases for new investment from the w) Council's Growth Fund and Invest to Save/Capacity Fund x) All reports to Cabinet include a financial comment that identifies the financial implications arising from the recommendations to avoid significant additional ongoing commitments being committed without appropriate consideration | | | |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R3 | Losing skills, knowledge and experience (retention & recruitment) in relation to staffing. | Very High without controls Change since last review = | High without controls – Financial Reputation Service Change since last review = | <p>a) Workforce Development Strategy in place with focus on delivering ambition of the Council being employer of choice. Strategy will focus on:</p> <ul style="list-style-type: none"> • ‘Our workforce will have the skills and abilities to deliver our priorities and will have the opportunity to further develop • Our managers will be leaders and will empower staff to deliver our priorities • ‘Our organisation will be more diverse and inclusive offering a voice and fair treatment for all’ • ‘Our workplace will be healthy and we will support our employees’ wellbeing’ <p>b) Senior Management development programmes underway with aspiring leader and Team Leader programmes in development</p> <p>c) Each service area has a workforce plan considering</p> <ul style="list-style-type: none"> • skills gap analysis and needs • apprenticeships <p>d) Specific HR policies:</p> | D Sidaway | Medium with controls Change since last review = | High with controls – Service Reputation Finance Change since last review = |

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| | | | | <ul style="list-style-type: none"> • use of market factor weighting for key groups • flexible working policy • staff benefit schemes <p>e) “Grow your own” scheme for roles that are hard to recruit to.</p> <p>f) Review of induction programme and ongoing training and development underway</p> <p>g) Lean Review of recruitment process and the development of the Council’s employment “offer”</p> <p>h) Council values, ethos, rewards and recognition</p> <p>i) Implementation of Annual Personal Performance and Development discussions for all staff.</p> <p>j) Staff awards ceremony</p> <p>k) Review of the use of apprentices</p> <p>l) Staff benefits scheme</p> | | | |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R4 | Significant business interruption affecting ability to provide priority services, e.g. critical damage to Council buildings, pandemic, etc. | Very High without controls Change since last review = | Very High without controls – Physical Reputation Service Change since last review = | <ul style="list-style-type: none"> a) Each Service Delivery Team has Business Continuity Plans to enable them to respond appropriately (people, systems etc.), these are reviewed annually and updated following team changes and or incidents. b) Continuity plans tested in live environment due to the effects of the pandemic c) Serious Incident Protocol been adopted. d) Continue to invest in ICT capital programme. Data centre investment complete. e) Improvement/upgrade/replacement of key ICT systems ICT controls – Disaster Recovery facilities in place based on Priority Services in line with Business Continuity Plans. f) Roll out of “office 365” and the cloud computing. g) Investment in cyber security and awareness programme and training (see risk 7 also). h) COVID Gold group set up i) COVID risks monitored by SMT | J Rowe | Low with controls Change since last review = | Very High with controls – Service Reputation Change since last review = |

| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R5 | Inability to manage the health & safety risks in delivering the council's functions (including building security and cyber security). | Very High without controls Change since last review  | Very High without controls – Physical Reputation Financial Change since last review  | <ul style="list-style-type: none"> a) Reviewing, writing and monitoring of health and safety policies through SMT and Health and Safety Committee. b) 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 shortcomings, actions and controls that need to be in place to manage those risks. c) Significant findings of the audits are reported back through SMT and Health and Safety Committee. d) 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 reported via regular Trade Union meetings. e) Lone worker and member processes in place (Stay Safe). | J Rowe Liz Noakes | Low with controls Change since last review  | Very High with controls – Physical Reputation Finance Change since last review  |

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| | | | | <ul style="list-style-type: none"> f) Building security kept under review. g) System in place for reporting all accidents, incidents and near misses. Non reportable accidents investigated by service area. h) 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 i) Training provided on Health and Safety through a mixture of e-learning and face to face. j) Essential learning training for all employees includes health and safety and fire safety awareness. k) Regular meetings with Trade Unions l) Coordination and management of Personal Safety Precautions Risk Register to ensure safety of employees. m) Appointed Cyber Security Manager to review and improve cyber security where required. n) Cyber security part of essential learning for all employees. o) Corporate review of list of 1st aiders to ensure adequate resource in place | | | |
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| | | | | <p>p) Corporate review of list of fire marshals to ensure adequate resource in place</p> <p>q) Enhanced risk assessments for specific individual/services</p> <p>r) Updated personal safety training</p> <p>s) Increased security at main Council buildings</p> | | | |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R6 | Inability to deliver effective information governance. | Very High without controls <div style="border: 1px solid black; padding: 2px; display: inline-block;"> Change since last review = </div> | Very High without controls – Financial Reputation <div style="border: 1px solid black; padding: 2px; display: inline-block;"> Change since last review = </div> | <p>a) The Council has an Information Governance Framework which includes the Corporate Information Security Policy (CISP) and other policies (Data protection, Information Sharing policies)</p> <p>b) Small dedicated team promoting sound Information Governance within the Council and ensuring that good practice is shared across the Council</p> <p>c) Training and awareness programme put in place and Information Governance modules form part of induction and essential learning programmes.</p> <p>d) Data Protection Officer reports regularly to SMT on IG related matters</p> | D Sidaway | Low with controls <div style="border: 1px solid black; padding: 2px; display: inline-block;"> Change since last review = </div> | High with controls – Reputation Finance <div style="border: 1px solid black; padding: 2px; display: inline-block;"> Change since last review = </div> |

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| | | | | <ul style="list-style-type: none"> e) Data Protection Officer attended a number of management team meetings. f) General Data Protection Regulations 2018 implemented. g) SMT oversight of reported data breaches h) All data breaches recorded, investigated and lessons learnt identified i) Detailed report is sent to relevant Director in respect to breaches occurring in their service area j) Information Governance related posters in all main Council buildings k) Staff complete randomly generated questions on data protection/information security every quarter l) Regular bulletins on information governance related matters published in staff news letter m) Completion of annual Data Security and Protection (DSP) toolkit. n) Annual Governance Statement process encompasses key information governance related matters o) Key elements of information governance are audited by an external company. | | | |
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| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R7 | Inability to respond adequately to a significant emergency affecting the community and/or ability to provide priority services. | High without controls Change since last review = | Very High without controls – Environment Financial Service Change since last review = | <ul style="list-style-type: none"> a) Work collaboratively with other LRF partner agencies, maintaining effective working relationships with the relevant bodies b) Maintain appropriate levels of trained staff to be able to respond to an emergency. c) Maintaining appropriate, risk based contingency plans (Civil Resilience Team) which are reviewed on regular basis d) Gorge – Phase II at Jackfield complete. Operation e) ‘Tangent’ – multi agency plan to respond to landslide in the Gorge is in place and is reviewed and exercised regularly f) 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. g) Provider contract monitoring in place. h) Public health mechanisms in place to manage response to significant incidents. | J Rowe | Very low with controls Change since last review = | Very High with controls – Service Reputation Finance Change since last review = |

| Ref | Risk | Likelihood Without Controls | Impact Without Controls | What are we doing to manage the risk? (Controls) | Lead Executive Director / Director | Likelihood With Controls | Impact With Controls |
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| R8 | Inability to respond to impact of climate emergency on severe weather events. | High without controls Change since last review = | Very High without controls – Environment Reputation Financial Change since last review = | <ul style="list-style-type: none"> a) Investment in highways capital programme. b) Monitor ground stability in the Gorge and water levels. c) Use and testing of flood barriers in Ironbridge d) Working with street scene contractors to monitor impact on public realm. e) Adoption of Climate Emergency Becoming Carbon Neutral action plan which includes a commitment to ensuring that its operation and activities are carbon neutral by 2030. f) Delivering a wide range of schemes to reduce carbon emissions. g) Driving partnership engagement and action on climate change including setting up the Telford and Wrekin Borough Climate Change Partnership h) Addressing biodiversity through actions plans. i) Established the Telford and Wrekin Climate Change Partnership action plan. j) Climate Emergency is at the forefront of the Council's priorities. k) New Council priority defined – 'Our natural environment is | A Astley | Medium with controls Change since last review = | High with controls – Environment Reputation Finance Change since last review = |

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| | | | | <p>protected – we are taking a leading role in addressing the climate emergency</p> <ul style="list-style-type: none">l) Strong relationships with key partners including the Environment Agency.m) Work of the Environment Scrutiny Committee | | | |
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Risks Removed for Register

| Ref | Risk | Reason for Removal | Date of Removal |
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| | | | |
| R9 | Inability to respond to the impact and implications of Brexit. | This risk is no longer applicable. | 27/1/2022 |
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Document Version Control

| Version | Date | Author | Sent To | Comments |
|---------|---------|--------------|---------|--|
| | | | | |
| n/a | 19/1/21 | R Montgomery | SMT | Approval prior to register presented to Audit Committee and Cabinet |
| 2022.2 | 27/1/22 | R Montgomery | SMT | Update of register in respect to additions/changes to mitigating actions and deletion of risk R9 |
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