APPENDIX 3

TELFORD & WREKIN COUNCIL
STRATEGIC RISK REGISTER UPDATED JANUARY 2020

Definitions used in the risk register:

Likelihood of Risk Occurring

Occurrence	Description
Unlikely	Unlikely to ever occur
Rare	May occur only in exceptional circumstances
Likely	Will probably occur at some time
Almost certain	Is expected to occur in the foreseeable future

Impact of Risk if it does Occur

Descriptor	Financial	Reputation	Physical	Environ-mental	Service
Insignificant	Low	No damage	None	None/ insignificant	No loss of service
Minor	<£50K	Minimal/ minimal media/ social media	Minor	Minor locally	Internal disruption only, no loss of service
Moderate	£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
Significant	£1m to £5m	National media/social media	Extensive/ multiple injuries	Major local impact	Disruption/ loss of service less than 7 days
Major	>£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.

The Register

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
1	Death or serious harm of a vulnerable child or vulnerable adult (Breach of duty of care)	Likely	Major: physical + reputation + financial	• Safeguarding Partnership (Adults & Children) Community Safety Partnership and Youth Offending Service Management Board scrutinise performance, call partners to account and drive practice improvement in the light of learning (e.g. from Serious Case, Safeguarding Adult & Domestic Homicide Reviews) • Safeguarding Partnership works to develop systematic working across children and adult landscape. • The Council will invest more than £3.9m of additional funding into Adult Social Care services 2020/21. The Council's net budget for Adult Social Care will be over £45m • In total the additional investment in to the Children's Safeguarding budget 2020/21 will be £4.958m. The Council's net budget for Children's Safeguarding will now be over £36m. • The combined additional investment 2020/21 in Adult Social Care and Children's Safeguarding totals £8.884m (which is more than 10% of the existing budgets). The combined total net budget allocation for these services will be in excess of £81.5m • A general budget contingency of £3.2m will be available in 2020/21 which can support pressures in any Council budget, including Adult Social Care	CJ/JR	Rare	Major: physical + reputation + financial

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				and Children's Safeguarding which account for two thirds of the Council's net budget. ***Children:*** • New safeguarding arrangements in place following new statutory requirements. • Workforce development strategy – recruitment and retention, learning and development including Systemic Practice across the council's children's workforce. • Children's Services - systematic quality assurance role for all managers from frontline team manager through to CEX and DCS • No staff savings target for Children's Social Workers • Work to national inspection standards and respond to actions required from inspections. OFSTED inspection of Children's Safeguarding June/July 2016 achieved "requires improvement". "Getting to good" action plan being delivered to respond to recommendations. • Independent Review of Child Sexual Exploitation (CSE) commissioned by the Council is underway • 'Essential learning' for all employees includes both child protection and CSE. ***Adults:*** • Adult safeguarding part of Safeguarding Partnership in compliance with Care Act requirements and new Adult Safeguarding Guidance & Regulations.	CJ		

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• Adult Services - systematic quality assurance role for all managers from frontline team manager through to DAS • Quality Surveillance Group chaired by Chief Officer of NHS England Area Team ensures co-ordination of quality & safeguarding issues across health & social care system. • 'Essential learning' for all employees includes adult safeguarding.	JR		
2	Inability to: - match available resources (both financial , people and assets) with statutory obligations, agreed priorities and service standards - deliver financial strategy including capital receipts, savings and commercial income.	Almost certain	Major physical + reputation + service	• Rigorous service and financial planning and regular monitoring and active management through S&FPG, SMT, Policy Review and Cabinet. • Efficiency Strategy in place which allows the Council to qualify for the Flexible Use of Capital Receipts which can be used to fund the revenue costs of reform and service transformation which deliver efficiencies • 'Savings programme, service reviews and restructuring. • Staffing, economic and environmental impact assessments. • In-year savings exercises possible if necessary • Rationalisation of Council assets and accommodation • Prudent level of uncommitted one-off resources and in-year budget contingency • Delivery of capital receipts/rigorous monitoring of capital receipts realisation and impact on the budget • A large proportion of future funding for Adult Social Care will come via the STP (Sustainable	DS	Rare	Major: physical + reputation + service

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				Transformation Partnership) this is a Shropshire-wide partnership and the financial pressures facing Shropshire CCG present a risk, mitigating factors are that we are represented at all levels and an agreed governance structure in place. • 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 • Regular review of reserves and balances against risk exposure Review of financial policies • Safeguarding Children Cost Improvement Plan • Adult Social Care Cost Improvement Plan • Commercial project(s) for additional income generation as well as wider economic, social and regeneration purposes • Housing Investment Programme • Commercial Strategy • Robust assessment of potential new investments through a proper due diligence and business case process to 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 • Keep investments inside the borough to ensure that any council tax, new homes bonus or business rates income benefits residents and the Council's overall budget • Specialist legal and taxation advice as required			

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• Active Treasury Management in conjunction with regular advice and updates from specialist Treasury Management Advisors • Cabinet Members regularly briefed • Long track record of unqualified external audit opinions • Long track record of delivering within budget each year through active financial management being practised by managers and Cabinet Members • All necessary strategies, policies and procedures in place to fully comply with CIPFA and MoHCLG codes and regulations with regular review • Established approval process for agreement of business cases for new investment from the Council's Growth Fund and Invest to Save/Capacity Fund • 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			
3	The impact of organisational and cultural change in the Council and partner organisations within the constraints of the public sector economy	Almost certain	Major: reputation + service	• Service & Financial Planning Strategy sets out organisational focus to manage on-going funding cuts. • Regular meetings with Trade Union representatives • Loss of service delivery performance and risk exposure monitored through SMT • Implementing the new Workforce Development Strategy (see 8 below)	DS	Rare	Major: reputation + service

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• Internal communications and Leadership Forum. Visibility of Chief Executive. • Constitution – assurance by Directors, Finance, Legal, Internal Audit and external reviews (i.e. External audit and government bodies) • Transparency agenda • Codes of conduct • Partnership working though Safeguarding Partnership, Health & Wellbeing Board, Community Safety Partnership, Children & Family Partnership, Corporate Parenting Strategic Group and Armed Forces Covenant. Working with health service thought Sustainable Transformation Partnership and emerging Integrated Care System. TWIPP.			

4	The impact of losing skills, knowledge and experience (retention & recruitment)	Almost certain	Significant: service + reputation + financial	• Member development programme.
				• Workforce Development Strategy focussing on four themes: Employer of choice; Planning for the Future; Healthy Organisation; Workforce of the Future.
				• Future Leader/ Management & Leadership programmes
				• Each service area has a workforce plan considering
				    - skills gap analysis and needs
				    - apprenticeships
				• Specific HR policies:
				    - use of market factor weighting for key groups (ICT software developers)
				    - flexible working policy
				    - staff benefit schemes
				• "Grow your own" scheme for social workers.
					AA	Likely	Significant: service + reputation + financial

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• Lean Review of recruitment process and the development of the Council's employment "offer" • Council values, ethos, rewards and recognition • Implementation of Annual Personal Performance and Development discussions for all staff.			
5	Significant business interruption affecting ability to provide priority services	Almost certain	Significant: service + reputation	• 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. • Serious Incident Protocol been adopted. • Continue to invest in ICT capital programme. Data centre investment complete. • Improvement/upgrade/replacement of key ICT systems ICT controls – Disaster Recovery facilities in place based on Priority Services in line with Business Continuity Plans. • Roll out of "office 365" and the cloud computing. • Investment in cyber security and awareness programme and training (see risk 6 also).	AA	Rare	Significant: service + reputation
6	Inability to manage the health & safety risks in delivering the council's functions (including building security and cyber security)	Almost certain	Major: physical + reputation + financial	• Reviewing, writing and monitoring of health and safety policies through SMT and Health and Safety Committee. • 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 though SMT and Health and Safety Committee.	AA	Likely	Major: physical + reputation + financial

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• 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. • Lone worker and member processes in place (Stay Safe). • Building security kept under review. • System in place for reporting all accidents, incidents and near misses. Non reportable accidents investigated by service area. • 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 • Training provided on Health and Safety through a mixture of e-learning and face to face. • Essential learning training for all employees includes health and safety and fire safety awareness. • Regular meetings with Trade Unions. • Coordination and management of Personal Safety Precautions Risk Register to ensure safety of employees. • Appointed Cyber Security Manager to review and improve cyber security where required. • Cyber security part of essential learning for all employees.			

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
7	Inability to deliver effective information governance	Almost certain	Major: financial + reputation	• The Council has an Information Governance Framework which includes the Corporate Information Security Policy (CISP) and other policies (Data protection, Information Sharing policies) • Small dedicated team promoting sound Information Governance within the Council and ensuring that good practise is shared across the Council • Training and awareness programme put in place annually and Information Governance modules form part of induction and essential learning programmes. • General Data Protection Requirements 2018 implemented.	DS	Likely	Major: financial + reputation
8	Inability to respond adequately to a significant emergency affecting the community and/or ability to provide priority services (including provider financial failure)	Likely	Major: physical + reputation + service + financial + environment	• Work collaboratively with other LRF partner agencies, maintaining effective working relationships with the relevant bodies • Maintain appropriate levels of trained staff to be able to respond to an emergency. • Maintaining appropriate, risk based contingency plans (Civil Resilience Team) which are exercised and reviewed on regular basis • Gorge – Phase II at Jackfield complete. Operation 'Tangent' – multi agency plan to respond to landslide in the Gorge is in place and is reviewed and exercised regularly • 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.	JR	Rare	Major: physical + environment + reputation + service + financial

Ref	Risk	Likelihood without controls	Impact without controls	What are we doing to manage the risk? (controls)	Lead Director	Likelihood with controls	Impact with controls
				• Provider contract monitoring in place. • Public health mechanisms in place to manage response to significant incidents.			
	Inability to respond to impact of climate emergency on sever weather events	Likely	Major: Financial + Reputation + Environment	• Investment in highways capital programme • Monitor ground stability in the Gorge and water levels. • Working with street scene contractors to monitor impact on public realm. • Adoption of Climate Emergency action plan.	AA	Likely	Significant: Financial + Reputation + Environment
9	Inability to respond to the impact and implications of Brexit impact	Likely *(dependent on nature of Brexit)*	Major: Financial + Reputation + Environment	• Effective monitoring with regional partner organisations regarding progress and potential impact of Brexit (including Black Country Consortium, West Midlands Combined Authorities) - both from a local authority and key sectors of the economy point of view. • The Council is part of the West Mercia Local Resilience Forum reporting arrangements for monitoring impacts of Brexit and any community issues and tensions. This is part of the national reporting framework through the National Local Resilience Forums which reports to the Ministry of Housing, Communities and Local Government. • "Risk" identification, reporting and mitigation through SMT.	DS	Rare/Likely *(dependent on nature of Brexit)*	Major: Financial + Reputation + environment