

Leadership risk register as at 30 June 2015 (covers rolling 12 months)

Owner: David McNulty

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L1	ASC1,2 BUS01 CAC2 CSF4, EAI1, 3 FR72, 85	<p>Medium Term Financial Plan (MTFP) 2015-20 Failure to achieve the MTFP, which could be as a result of:</p> <ul style="list-style-type: none"> not achieving savings additional service demand and/or over optimistic funding levels. <p>As a consequence, lowers the council's financial resilience and could lead to adverse long term consequences for services if Members fail to take necessary decisions.</p>	High	<ul style="list-style-type: none"> Monthly reporting to Continuous Improvement and Productivity Network and Cabinet on the forecast outturn position is clear about the impacts on future years and enables prompt management action (that will be discussed informally with Cabinet) Budget Support meetings (Chief Executive and Director of Finance) continue to review and challenge the robustness of MTFP delivery plans and report back to Cabinet as necessary Clear management action reported promptly detailing alternative savings / income if original plans become non deliverable or funding levels alter in year Monthly formal budget reports focus on funding levels comparing actual spend to forecasts Budget planning discussions with Cabinet and Select Committees Formal review of MTFP (2015-20) commenced in March 2015 and is ongoing as part of the budget planning process. Clear pricing structures in place for services delivered. 	<ul style="list-style-type: none"> Prompt management action taken by Strategic Directors / Leadership Teams to identify correcting actions. (Evidenced by robust action plans) Members (Council, Cabinet, Select Committee) make the necessary decisions to implement action plans in a timely manner 	Director of Finance	High
L6	CSF2,3	<p>Safeguarding – Children's Services Avoidable failure in Children's Services, through action or inaction, including child sexual exploitation, leads to serious harm, death or a major impact on</p>	High	<ul style="list-style-type: none"> Working within the frameworks established by the Children's Safeguarding Board ensures the council's policies and procedures are up to date and based on good practice. Adult Social Care and Children, Schools and Families are working as key 	<ul style="list-style-type: none"> Timely interventions by well recruited, trained, supervised and managed professionals ensures appropriate actions are taken to safeguard and promote the well being of children in Surrey. 	Strategic Director for Children's Schools and Families	High

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Page 46		well being.		stakeholders in the further development of the Multi-Agency Safeguarding Hub.	<ul style="list-style-type: none"> - Actively respond to feedback from regulators. - Robust quality assurance and management systems in place to identify and implement any key areas of learning so safeguarding practice can be improved. - The Children's Safeguarding board (chaired by an independent person) comprises senior managers from the County Council and other agencies facilitating prompt decision making and ensuring best practice. 		
	L136 ASC6,7 BUS09	<p>Safeguarding – Adult Social Care</p> <p>Avoidable failure in Adult Social Care, through action or inaction, leads to serious harm, death or a major impact on wellbeing.</p>	High	<ul style="list-style-type: none"> • Working within the framework established by the Surrey Safeguarding Adults Board ensures that the council's policies and procedures are up to date and based on good practice. • Care Act Implementation Board provides strategic direction and focus. • Adult Social Care and Children, Schools and Families are working as key stakeholders in the further development of the Multi Agency Safeguarding Hub. • Established a locality safeguarding advisor to assure quality control. • Close involvement by Associate Cabinet Member for Adult Social Care in safeguarding functions. 	<ul style="list-style-type: none"> - Continue to work with the Independent Chair of the Surrey Safeguarding Adults Board to ensure feedback and recommendations from case reviews are used to inform learning and social work practice. - Agree and embed agreed changes resulting from Care Act 2014 consultation. - Actively respond to feedback from regulators. 	Strategic Director for Adult Social Care	High

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L2	ASC2	National policy development Continuing national policy changes may put additional pressure on demand for all public services leading to an erosion of financial resilience and ability to deliver statutory and essential services.	High	<ul style="list-style-type: none"> Effective horizon scanning to ensure thorough understanding of new policy changes Implementation of a welfare reform programme including districts and boroughs covering: <ul style="list-style-type: none"> - Advice and information - Financial resilience - Emergency assistance - Localisation of council tax support - Housing and homelessness - Employment training and support Taking opportunities to influence central Government policy development e.g. via the Local Government Association. The Welfare Reform Task Group is monitoring the implementation of its recommendations, which are intended to manage the implementation of reforms on Surrey Residents. The Task Group reports regularly to the Council Overview Board. 	<ul style="list-style-type: none"> Working in partnership with other statutory partners (e.g. Clinical Commissioning Groups CCG's) to maximise opportunities for communities Members proactively take the opportunities to influence central Government Care Act Implementation Board in place and project programme set up to support ongoing discussion with partners. 	Strategic Director for Adult Social Care	High
L4	ASC2 CEO13	Integration of health and social care Failure in partnership working reduces our ability to: <ul style="list-style-type: none"> - co-ordinate/integrate health and social care services; - improve health outcomes; and - develop a financially sustainable model. 	High	Governance arrangements: <ul style="list-style-type: none"> Robust partnership governance arrangements are in place through the Better Care Board, Public Sector Transformation programme and Surrey's Health and Wellbeing Board Regular monitoring of progress and risks against key Health & Social Care integration work streams and agreed financial governance framework (including the Better Care Fund) Prioritisation of resources and clear senior leadership across Council directorates to support the development of Health & Social 	<ul style="list-style-type: none"> Progress discussions with Clinical Commissioning Groups in Surrey about plans for integration beyond the Better Care Fund. Inclusion of key partners in local whole systems planning. Members continue to endorse approaches to integration across the County. Increase focus on tracking implementation and realisation of benefits through the Local Joint Commissioning Groups. 	Assistant Chief Executive	High

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L500 Page 48				<p>Care work streams.</p> <ul style="list-style-type: none"> Continued focus on building and maintaining strong relationship with partners through regular formal and informal dialogue Surrey's Better Care Fund plan (which includes agreed financial plans, metrics to measure progress and risk sharing arrangements) has been approved by Surrey's Health & Well-Being Board and the national Better Care Fund team. Formal pooling agreements (section 75 agreements) being developed for the operation of the Better Care Fund. 			
	BUS02	<p>Comprehensive Spending Review (CSR) 2015 Risk that CSR 2015:</p> <ul style="list-style-type: none"> reduces further the total public sector funding available, and introduces a revised distribution mechanism which lowers the councils financial resilience. 	High	<ul style="list-style-type: none"> Contribution to Local Government Commission to review Local Government Funding and development of scenarios for budget planning process is ongoing and will continue throughout 2015. Officers (Finance and Policy in particular) to sustain pro-active horizon scanning for insight into potential funding change. 	- Cabinet fully consider the implications of CSR in budget planning and agree an MTFP that reflects likely impacts.	Director of Finance	High
	ASC4 BUS13	<p>Senior Leadership Succession Planning A significant number of senior leaders leave the organisation within a short space of time and cannot be replaced effectively resulting in a reduction in the ability to deliver services to the level required.</p>	High	<ul style="list-style-type: none"> Workforce planning linked to business continuity plans High Performance Development Programme to increase skills, resilience and effectiveness of leaders Career conversations built into appraisal process looking forward five years Shaping leaders exercise 	- Transparent and effective succession plans	Chief Executive	Medium

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L3	EAI2	<p>Waste</p> <p>Failure to deliver the key elements of the waste strategy leads to negative financial and reputational impact.</p>	High	<ul style="list-style-type: none"> Implementation monitored by the Waste Programme Delivery Board with strategic overview provided by the Strategic Waste Board Operational Delivery Board created to specifically manage the delivery of the Eco Park development. All major decisions are reported to Cabinet on a regular basis Reporting through Surrey Chief Executives detailed proposals on options for improved collaborative working to achieve the strategy outcomes. Joint strategic partnership reinforces collaboration and will, if successful, strengthen the ability to deliver the key elements of the waste strategy Support from external strategic advisors assists senior officers in management and mitigation of key technical, financial and legal risks. Senior officers working closely with Government departments. 	<ul style="list-style-type: none"> Strong resourcing and project management regime in place to ensure prompt resolution of any issues that may hinder progress. Collaborative work with Districts and Boroughs is delivered through the Surrey Waste Partnership with close involvement of all Surrey Chief Executives The Waste Programme Delivery Board comprises senior managers from the service together with Procurement and Finance and is chaired by the Assistant Director Environment facilitating prompt decision making. 	Strategic Director of Environment and Infrastructure	Medium
L7	BUS07 CSF4 EAI1	<p>Future Funding</p> <p>The council is highly dependent on Council Tax for funding, and the ability to increase that in real terms is constrained (by current Government policy). This could lead to a reduction in the council's financial resilience with the consequence that funding for key services will be seriously eroded.</p>	High	<ul style="list-style-type: none"> Structured approach to ensuring Government understands the council's Council Tax strategy and high dependence Targeted focus with Government to secure a greater share of funding for specific demand led pressures (in particular School Basic Need) Continued horizon scanning of the financial implications of existing and future Government policy changes Development of alternative / new sources of 	<ul style="list-style-type: none"> Members make decisions to reduce spending and or generate alternative sources of funding, where necessary, in a timely manner. Officers unable to recommend MTFP unless a credible sustainable budget is proposed. 	Director of Finance	Medium

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				<p>funding (e.g. bidding for grants)</p> <ul style="list-style-type: none"> Review how systems and processes can lead to greater efficiencies. <p>Notwithstanding actions above, there is a significant risk of Central Government policy changes /austerity measures impacting on the council's long term financial resilience.</p>			
L8	ASC8,9 BUS01 CSF3,4 CEO7 EAI2,14	<p>Reputation</p> <p>A significant failure to deliver within the organisation (caused by an event or individual), could lead to a loss of trust and confidence in the organisation by external stakeholders (e.g. residents, Government, Partners) or internal staff, affecting our ability to deliver services effectively and harming our freedoms and flexibilities from Government controls.</p>	High	<ul style="list-style-type: none"> Processes in place that minimise the likelihood of organisational failure include: <ul style="list-style-type: none"> Active learning by senior leaders from experiences / incidents outside the council inform continual improvement within the council Strong corporate values Robust Governance framework (including codes of conduct, health & safety policies, complaints tracking). 	<ul style="list-style-type: none"> Regular monitoring of effectiveness of processes is in place and improvements continually made and communicated as a result of learning. 	Chief Executive Officer	Medium
L9	ASC4 BUS06 CEO8	<p>Staff resilience</p> <p>Scale of public service transformation and budget challenge leads to loss in productivity, increased sickness and staff turnover, impacting on the ability to deliver services to residents.</p>	High	<ul style="list-style-type: none"> Communication, consultation and engagement is a priority for the council with an emphasis placed on thoroughly addressing the concerns of staff and their representatives Eight training courses available that address various aspects of change and trained coaches are available in all services to support staff. High Performance Development Programme being offered across the organisation to support leaders to develop 	<ul style="list-style-type: none"> Decision by members on pay and reward system taken in timely manner and combine with staff and union consultation. Communications engagement plan to promote the benefits of working for Surrey and help to support engagement across the organisation to be delivered. 	Strategic Director Business Services	Medium

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				their own and the organisations behaviours. <ul style="list-style-type: none"> Comprehensive range of surveys and focus groups provide a measure of the staff satisfaction with the council and its management of change. The smarter working framework and flexible working policy are in place to support managers and their teams to work differently. Promotion of support mechanisms for staff (eg. employee assistance). Staff are encouraged to get involved in finding innovative solutions to redesign services. 			
L11	CEO3 EAI4,5 FR06	Business Continuity, Emergency Planning Failure to respond effectively to a known event or major incident results in an inability to deliver key services.	High	<ul style="list-style-type: none"> The Council Risk and Resilience Forum reviews, moderates, implements and tests operational plans. Close working between key services and the Emergency Management Team to update plans and share learning Continued consultation with Unions and regular communication to staff. External risks are assessed through the Local Resilience Forum. Regular updates reported to Statutory Responsibilities Network. 	- Business Continuity Plans are in place and signed off (by heads of service) in timely manner	Assistant Chief Executive	Medium
L12	ASC8	Supply chain / contractor resilience Supply chain failure, lack of business continuity arrangements in place leading to increased costs, time delays or reputational damage and	High	<ul style="list-style-type: none"> Supply chain business continuity plans for strategic/critical contracts to meet required standards. Levels of compliance reported to Statutory Responsibilities Network. Consistent management of supply chain risks across all key suppliers through common reporting. 	- Supplier selection policy decision made to include financial resilience and business continuity arrangements - Needs strong support from ELT (Extended Leadership	Strategic Director Business Services	Medium

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		failure to promote service delivery.		<ul style="list-style-type: none"> Regular supplier intelligence reporting in place to track industry and supplier news. Risk management training provided to contract managers to enable a consistent approach. Mitigating actions are less effective for small/medium suppliers due to reduced business continuity. 	Team) to ensure contract resilience and business continuity is in place and regularly up-dated		
L11	ASC5 BUS13 CEO7 CSF5	<p>Information Governance</p> <p>Loss of protected data by the council leads to financial penalties, safeguarding issues and erosion of public trust.</p>	Medium	<ul style="list-style-type: none"> Encrypted laptops, secure email environment and strong password policies Best practice working standards including PSN accreditation and move towards ISO2700 Focus on educating users through communications campaigns (linked to known peaks for breaches) and a refreshed and re-launched information security e-learning package. Information Governance and Caldicott Boards in place to oversee processes and controls Implementation of learning from feedback where breaches occur. Directorates and Digital Delivery Team engaging with partners to deliver a platform that will enable appropriate sharing of information between agencies. Increased use of mobile technology to minimise the need for paper records. <p>Despite the actions above, there is a continued risk of human error that is out of the council's control.</p>	- Cabinet review of IT security policy has resulted in the security policy, Code of conduct and social media policies being updated to reflect changes agreed	Strategic Director Business Services	Medium

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Movement of risks

Ref	Risk	Date added	Inherent risk level when added	Movement in residual risk level		Current residual risk level
L1	Medium Term Financial Plan	Aug 12	High	-	-	High
L2	National policy development	Feb 13	High	-	-	High
L3	Waste	May 10	High	Jan 15	↓	Medium
L4	Integration of health & social care	June 13	High	-	-	High
L5	Comprehensive Spending Review 2015	Sep 14	High	-	-	High
L6	Safeguarding – Children’s Services	May 10	High	Jan 15	↑	High
L7	Future funding	Aug 12	High	-	-	Medium
L8	Reputation	Oct 14	High	-	-	Medium
L9	Staff resilience	May 10	High	Jan 12	↓	Medium
L10	Business Continuity, Emergency Planning	May 10	High	Aug 12	↓	Medium
L11	Information governance	Dec 10	Medium	Oct 14	↓	Medium
L12	Supply chain / contractor resilience	Jan 14	High	-	-	Medium
L13	Safeguarding – Adult Social Care	May 10	High	Jan 15	↑	High
L14	Senior leadership succession planning	Mar 15	High	-	-	Medium

Risks removed from the register

Risk	Date added	Date removed
<i>IT risk</i>	<i>May 10</i>	<i>Oct 14</i>
<i>Resource Allocation System in adults personalisation</i>	<i>May 10</i>	<i>Aug 12</i>
<i>Integrated Children’s System</i>	<i>May 10</i>	<i>Feb 11</i>
<i>NHS reorganisation</i>	<i>Sep 10</i>	<i>May 13</i>
<i>2012 project management</i>	<i>Sep 10</i>	<i>Aug 12</i>
<i>LLDD budget transfer</i>	<i>May 11</i>	<i>Mar 12</i>
<i>2012 command, control, coordination and communication</i>	<i>Dec 11</i>	<i>Sep 12</i>

Leadership level risk assessment criteria

Due to their significance, the risks on the Leadership risk register are assessed on their inherent risk level (no controls) and their residual risk level (after existing controls have been taken into account) by high, medium or low.

Risk level	Financial impact	Reputational impact	Performance impact	Likelihood
	<i>(% of council budget)</i>	<i>(Stakeholder interest)</i>	<i>(Impact on priorities)</i>	
Low	< 1%	Loss of confidence and trust in the council felt by a small group or within a small geographical area	Minor impact or disruption to the achievement of one or more strategic / directorate priorities	Remote / low probability
Medium	1 – 10%	A sustained general loss of confidence and trust in the council within the local community	Moderate impact or disruption to the achievement of one or more strategic / directorate priorities	Possible / medium probability
High	10 – 20%	A major loss of confidence and trust in the council within the local community and wider with national interest	Major impact or disruption to the achievement of one or more strategic / directorate priorities	Almost certain / highly probable