

Leadership risk register as at 12th April 2018 update (covers rolling 12 months)

Owner: Joanna Killian

Strategic risks – have the potential to significantly disrupt or destroy the organisation

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 CSF7 EAI1 FN1 ORB10	Financial outlook Further reductions in funding, due to constraints in the ability to raise local funding and/or distribution of funding, results in significant adverse long term consequences for sustainability and service reductions leading to significant implications for residents.	High	<ul style="list-style-type: none"> Proactive development and implementation of a transformation programme to support the council in improved financial sustainability ahead of 2020/21 and enable the delivery of a balanced budget for 2019/20 Structured approach to ensuring Government understands the council's Council Tax strategy and unsustainable impact of current funding mechanism. Targeted focus with Government to secure a greater share of funding for specific demand led pressures (in particular Adult Social Care). Proactive engagement with Government departments to influence core Government policy direction (specific areas to be developed as Government priorities become clear). Continued horizon scanning of the financial implications of existing and future Government policy changes. Development of alternative / new sources of funding (e.g. bidding for grants where economically advantageous). <p>Notwithstanding actions above, there is a significant risk of Central Government policy changes /austerity measures due to changes in ministerial responsibilities impacting on the council's long term financial sustainability.</p>	<ul style="list-style-type: none"> Strengthened Transformation Governance arrangements established to effectively manage and monitor progress (fortnightly Transformation Board). Members make decisions to stop new spending, reduce spending and or generate alternative sources of funding, where necessary, in a timely manner. Members proactively take the opportunities to influence central Government. Officers continue to analyse events and create budget scenarios. The council pro-actively seek to participate in consultations and other opportunities to engage with Government as it develops future funding policies. 	Director of Finance	High

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L2	CSF3,4,9	<p>Safeguarding – Children's Services</p> <p>Avoidable failure in Children's Services, through action or inaction, including child sexual exploitation, leads to serious harm, death or a major impact on well being.</p>	High	<ul style="list-style-type: none"> Children's Improvement Board, with partnership membership, in place which has set improvement objectives for children through an Improvement Plan and regularly reviews impact for children and whole system capability and capacity. In addition to the Improvement Board there is scrutiny and quality assurance across the partnership through for example the Children's Safeguarding Board, Corporate Parenting Board, the Council's Select Committees and other scrutiny functions. Regular quality assurance and review within Children's, Schools and Families, including feedback from regulators, peer review, quality and performance insight, and feedback from children and families. Children's, Schools and Families Assistant Director roles and responsibilities have been reshaped to strengthen leadership and governance. Work now underway to strengthen practice leadership at all levels. Focus on improving practice and practice leadership. 	<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 wellbeing of children in Surrey. Quality assurance and management systems in place to identify and implement any key areas of learning so safeguarding practice can be improved. Actively respond to feedback from regulators, partners and service users. The Surrey Safeguarding Children Board (with an independent chair) is the key statutory mechanism to ensure agencies, including the council, work together effectively to safeguard and promote the welfare of children. An Improvement Board (chaired by the Leader) sets direction and reviews progress on the Improvement Plan and agrees any areas of action as required. 	Strategic Director of Children's Schools and Families	High

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L3	ASC6,7,13,14	<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. • The Adult Social Care and Children, Schools and Families Multi Agency Safeguarding Hub went live on 5 October 2016 facilitating the sharing of good practice. • Established a locality safeguarding advisor role to assure quality control. • Surrey Safeguarding Adults Board has undertaken external auditing of adult safeguarding enquires in 2016 and 2017 and we have acted on the learning from these. • We have improved our process including our case recording system and our internal quality assurance process. • In addition to the work of the Safeguarding Adults Board, there is further scrutiny of the function through the activities of the Council's Adults and Health Select Committee. 	<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. - Actively respond to feedback from regulators. - We are working with Surrey Safeguarding Adults Board (SSAB) and our partners to revise our adult safeguarding policies, procedures and guidance, associated tools such as the competency framework and our learning and development offer to support these. The revised SSAB policy, procedure and competency framework have been agreed by relevant sub-groups. Final sign off is anticipated at the next Board meeting in May 2018. The revised adult safeguarding training offer for ASC staff commenced in April 2018. 	Strategic Director of Adult Social Care & Public Health	High

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Cross cutting risks – high level risks that can be mitigated more effectively through cross working.

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L4	ASC1,2,12,16,17 C&C4 CSF1,2,7 EAI1,3 FN2 ORB01,10	<p>Medium Term Financial Plan (MTFP) 2018-21 Failure to achieve the MTFP, which could be 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"> • Detailed savings tracker in place for CLT to monitor progress of delivery of 2018/19 savings, covering: necessary consultations, milestones, Equality Impact Assessments, detailed plans. (Enables early conversations to be held with all relevant stakeholders to ensure consultations about service changes are effective and completed in a timely manner). • 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). • Weekly review of the in year financial position at Corporate Leadership Team meeting and strong focus on development of plans for delivery of the 2018/19 service efficiencies and reductions – to enable early management action as relevant. • Budget planning cycle up-dated to ensure key decisions for 2019/20 financial year made well ahead of the February 2019 council meeting to enable full year delivery on plans. • Earlier budget planning discussions held with Cabinet and Select Committees. • Cross service networking and timely escalation of issues to ensure lawfulness and good governance. 	<ul style="list-style-type: none"> - Prompt management action taken by CLT, Directors / Leadership Teams to identify correcting actions for any in year overspends or failure to deliver service reductions (evidenced by robust action plans). - Members (Council, Cabinet, Select Committees) make the necessary decisions to implement action plans in a timely manner. - Members have all the relevant information to make necessary decisions. 	Director of Finance	High

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				<ul style="list-style-type: none"> Increased challenge and rigour on cost control. Ongoing all Members briefings to ensure all members are aware of the financial challenge in 2018/19 and the longer term. Ongoing induction programme for new Chief Executive to introduce her to the council and provide insight to all relevant issues. Significant focus on income generating activities through an enlarged property investment programme and the optimisation of the existing property assets. 			
L5	ASC2, 16 CSF1,2, 5,6,8 ORB01, 02,07, EMT3, 12, EA13	New ways of working Failure to work effectively as part of a multi-agency system leads to severe service disruption and reputational damage.	High	<ul style="list-style-type: none"> Shared and aligned strategies to ensure no unintended consequences. Robust governance arrangements (e.g. Inter Authority Agreements, Memorandum of Understanding, Joint Commissioning Committee, Executive Leadership Group, Health and Social Care Integration Board, Health and Wellbeing Board, financial governance framework) in place with early warning mechanisms. Effective transition arrangements with continuous stakeholder engagement. Continuous focus on building and maintaining strong relationships with partners through regular formal and informal dialogue. Close liaison and communication with customers, partners, inspectorates and regulators. Self-assessment continually refreshed in line with Ofsted inspection framework to inform Children's improvement work. Regular reviews with Department for Education, feedback from Ofsted and listen to 	<ul style="list-style-type: none"> Working closely with Department for Education and Ofsted to inform future Children's improvement strategy. Leadership and managers recognise the importance of building and sustaining good working relationships with key stakeholders and having early discussions if these falter. Continue to nurture strategic partnerships to affect better outcomes for residents. Work with Sustainability and Transformation Partnerships and Integrated Care Systems (including Clinical Commissioning Groups and Health Providers) on models of integrated care. Members continue to endorse approaches for integration 	Chief Executive	Medium

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				feedback from partners and practitioners, all informs our Children's improvement work.	across the council.		
L6	ASC4, 5,8 CSF5 EAI2, 3,4 ORB 02,03, 08 LD6 EMT1, 10,11	Organisational resilience Failure for the organisation as a whole to plan for and/or respond effectively to a significant event and or strains on workforce capacity or resilience, results in severe and prolonged service disruption and loss of trust in the organisation.	High	<ul style="list-style-type: none"> Developing an employment framework that supports flexibility in service delivery and organisational resilience. Robust governance framework (including codes of conduct, IT cyber resilience and information assurance policies, health and safety policies, complaints tracking). Information Governance Board monitors information governance requirements and changes and reviews information governance risks. Review of third party information governance risks. External risks are regularly assessed through the Local Resilience Forum and reviewed by the Corporate Leadership Team. Active learning by senior leaders from external experiences / incidents informs continual improvement within the council. Close working between key services and the Emergency Management Team to proactively update and communicate business continuity plans and share learning. Leadership and management development programme in place to increase skills, resilience and effectiveness of leaders, focusing on communication and setting clear expectations. Career conversations built into appraisal process looking forward five years Robust management networks in place including Corporate Leadership Team and Council Risk and Resilience Forum. 	<ul style="list-style-type: none"> Corporate Leadership Team review business continuity plans at least twice annually. Regular monitoring of effectiveness of processes is in place and improvements continually made and communicated as a result of learning. Robust change management processes. Refresh staff awareness for IT security and information management. All externally hosted IT solutions should be considered by Security Working Group (IT & Digital and Information Governance), with contract approval via IT & Digital. Senior management annual assurance statement provides assurance that business continuity is well planned and staff are all aware. Mutual aid arrangements set up to provide support to other SE7 Authorities in the event of an emergency. 	Chief Executive	Medium

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				<ul style="list-style-type: none"> Ongoing Members development programme in place to ensure that all Members have the skills and information they need to understand the challenges facing the Council and to perform their roles effectively. 			
L7		<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>	Medium	<ul style="list-style-type: none"> Executive leadership team being reshaped and programme management capacity and capability has been strengthened under leadership of the Chief Executive (eg MyProteus have been appointed to support the change programme) . 	<ul style="list-style-type: none"> Up-dated Executive Leadership Team agreed by People, Performance and Development Committee on 9 April 2018. Additional capacity at tier 2 and 3 to be secured over the next six months as appropriate. 	Chief Executive	Medium

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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

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