

Leadership risk register as at 16 August 2013

Owner: David McNulty

Annex A

Ref	Directorate register ref	Description of the risk	Inherent risk level (no controls)	Controls	Risk owner – Officer	Risk owner – Member	Residual risk level (after existing controls)
L14	ASC5 BUS17,21, 22,23 CAC1 CSF4,16,22 EAI1,9	<p>Future Funding</p> <p>- Erosion of the council's main sources of funding:</p> <ul style="list-style-type: none"> • council tax – through legislative controls on levels of increase • central government grants – through further austerity cuts, policy changes and diversion of grants to LEP's <p>and failure to generate new income streams e.g. trading</p> <p>lead to lack of financial resilience and failure to deliver statutory and essential services.</p>	High	<p>- More robust quarterly monitoring to Corporate Board and Cabinet of actual funding (eg council tax and business rate collection levels) achieved through close working with district and borough colleagues</p> <p>- Continued horizon scanning of the financial implications of existing and future government policy changes</p> <p>- Development of alternative / new sources of funding (e.g. bidding for grants).</p> <p>Notwithstanding actions above, there is a high risk of central government policy changes /austerity measures impacting on the council's long term financial resilience.</p>	Corporate Leadership Team / Sheila Little	Cabinet / David Hodge	High
L1	ASC2,5 BUS9 CAC8,19 CSF4,16,22 EAI1	<p>Medium Term Financial Plan (2013-18)</p> <p>- 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>lead to lack of financial resilience and failure to deliver statutory and essential services.</p>	High	<p>- Monthly reporting to Corporate Board and Cabinet on the forecast outturn position will be clear on the impacts on future years and enable prompt management action (that will be discussed with informal Cabinet/Corporate Leadership Team).</p> <p>- As recommended in the Chief Finance Officers statutory budget report (Sec25), the review of the MTFP will be carried out in quarter 1 of 2013/14.</p> <p>- Clear management action reported promptly detailing alternative savings / income if original plans become non deliverable or funding levels alter in year</p> <p>- Increased risk contingency (up from £8m to £13m) for 2013/14.</p> <p>- Monthly tracking of actual demand compared to budgeted.</p> <p>- Monthly formal budget reports will focus on funding levels comparing actuals to forecasts. Finance to sustain pro-active horizon scanning for insight into potential funding change.</p>	Corporate Leadership Team / Sheila Little	Cabinet / David Hodge	High

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L7	BUS12 EAI2	Waste - Failure to deliver key waste targets (including key waste infrastructure) leads to increased cost to residents and tax payers and impacts on the environment.	High	- Strong resourcing and project planning monitored by the Waste Board - Further work with the Districts and Boroughs continue, to review waste plans to achieve the targeted increase in recycling. - Notwithstanding the controls above, there is still a risk that delivery could be delayed by external challenge and levels of recycling are strongly influenced by district and borough collection arrangements which are not within SCC's direct control. Although the council continues to work in partnership to achieve the desired outcome.	Trevor Pugh	John Furey	High
L15	ASC5 CSF4,16	Welfare Reform - Multiple central government welfare reform changes impact adversely on Surrey residents and put additional pressure on all public services.	High	- Effective horizon scanning to ensure thorough understanding of intended 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 e.g. via the LGA.	Sarah Mitchell and Nick Wilson	Cabinet / Mary Angell and Mel Few	High
L16	ASC9 BUS22,23,24 CSF8,20,23 EAI3	Partnership working Failure of: (a) a significant partnership (where the council has entered into a formal partnership) or (b) partner (other public bodies eg NHS) leads to service failure and delivery of savings due to increased reliance on partners to deliver services.	High	a) Leadership and managers recognise the importance of building and sustaining good working relationships and having early discussions if these falter. b) Contracts are managed effectively through strong governance and early warning mechanisms are put in place. - Intelligence on partners is shared and areas of risk identified as a consequence.	Corporate Leadership Team / Susie Kemp	Cabinet	High

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L11	ASC12 BUS26 CEO7 CSF18	Information Governance - Failure to effectively act upon and embed standards and procedures by the council leads to financial penalties, reputational damage and loss of public trust.	High	<ul style="list-style-type: none"> - Encrypted laptops - Secure environment through the Egress encrypted email system - Internal Audit Management Action Plans in place that are monitored by Audit & Governance Committee and Select Committees - Ongoing communications campaign and training - Despite the actions above, there is a continued risk of human error that is out of the council's control. 	Corporate Leadership Team	Denise Le Gal	High
L4	ASC19 BUS20,26	IT systems - major breakdown and disruption of systems leads to an inability to deliver key services	High	<ul style="list-style-type: none"> - Additional resilience has been brought about by the go-live of the Primary and Secondary Data Centres. - Design and implementation of a new 64 bit Citrix farm is in progress that will bring resilience and performance enhancements. - Work in progress to increase the performance of login/logout times. - The new UNICORN Network will provide further resilience going forwards. 	Julie Fisher	Denise Le Gal	High
L3	ASC18 CAC8,18,19 CEO3 EAI4,5,7	Business Continuity, Emergency Planning - Failure to plan, prepare and effectively respond 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. 	Corporate Leadership Team	Kay Hammond	Medium

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L2	ASC4,9,20 BUS2 CEO8 CSF4,20 EAI2,3,10	Major change programmes - Staff do not feel engaged or able to support proposed major changes, affecting timescales, delivery and outcomes of the change programme	High	- Communication, consultation and engagement is a priority for the Council with an emphasis placed on thoroughly addressing the concerns of staff and their representatives - Training and development, where appropriate, supports the changes affecting staff. - Questions in the Staff Survey provide a measure of the staff satisfaction with the council and its management of change. - Staff are encouraged to get involved in finding innovative solutions to redesign services.	Corporate Leadership Team	Cabinet	Medium
L5	ASC7 CSF6,16	Safeguarding - avoidable failure in Children's and/or Adults care leads to serious harm or death	High	- Appropriate and timely interventions by well recruited, trained, supervised and managed professionals, with robust quality assurance and prompt action to address any identified failings.	Sarah Mitchell / Caroline Budden	Michael Gosling/ Mary Angell	Medium

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Key to references:

ASC = Adult Social Care

BUS = Business Services

CAC = Customers and Communities

CEO = Chief Executive's Office

CSF = Children, Schools and Families

EAI = Environment and Infrastructure

Movement of risks

Ref	Risk	Date added	Residual risk level when added	Movement		Current residual risk level
L1	Medium Term Financial Plan	Aug 12	High	-	-	High
L2	Major change programmes	May 10	High	Jan 12	↓	Medium
L3	Business Continuity and Emergency Management	May 10	Medium	Aug 12	↓	Medium
L4	IT systems	May 10	Medium	June 13	↑	High
L5	Safeguarding	May 10	Medium	-	-	Medium
L6	<i>Resource Allocation System in adults personalisation</i>	<i>May 10</i>	-	<i>Aug 12</i>	*	-
L7	Waste	May 10	High	-	-	High
L8	<i>Integrated Childrens System</i>	<i>May 10</i>	-	<i>Feb 11</i>	*	-
L9	<i>NHS reorganisation</i>	<i>Sep 10</i>	<i>High</i>	<i>May 13</i>	*	-
L10	<i>2012 project management</i>	<i>Sep 10</i>	-	<i>Aug 12</i>	*	-
L11	Information governance	Dec 10	High	-	-	High
L12	<i>LLDD budget transfer</i>	<i>May 11</i>	-	<i>Mar 12</i>	*	-
L13	<i>2012 command, control, coordination and communication</i>	<i>Dec 11</i>	-	<i>Sep 12</i>	*	-
L14	Future funding	Aug 12	High	-	-	High
L15	Welfare reform	Feb 13	High	-	-	High
L16	Partnership working	June 13	High	-	-	High

* Removed from the risk register

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