

Risk Area	Risk Detail	Current Controls in Place	Risk Score	Specific Action to be Taken	Due Date	Revised Risk Score
3&8	Failure to better join up Health and Social Care (SSOPT, Care Act and Better Care Fund) into an integrated health and care system.	<ul style="list-style-type: none"> Committees (Scrutiny/Standards/Audit), Constitution, Corporate Risk Register, Transformation Unit/Process, Officer/Member Relations, Scheme of Delegation, Record of Decisions, Schedule of Meetings, Section 151 Officer, Monitoring Officer, Whistle Blowing Policy, Board to Board Governance, Chair of Corporate Review attends SSOPT Trust Board mtgs as an observer with the ability to raise questions Joint working with the Clinical Commissioning Congress (CCC) 	25	Four strands of action are being undertaken: <ul style="list-style-type: none"> - Transformation of the SSOPT contract - - Support for the CCC - - Exploration of wider Health Devolution within Staffordshire - - Recommissioning of Community Health & Social Care in-conjunction with the Clinical Commissioning Groups (CCG's) 	Ongoing Ongoing By June 2016 TBC by April 2017	20
2&11	Failure to engage and communicate with all stakeholders (internal & external) effectively resulting in resistance to change, lack of buy in and support. Failure to undertake Community Development and reshaping of the voluntary sector in order for these sectors to respond to the changing financial environment facing the County Council.	<ul style="list-style-type: none"> CVS contract currently under review & will be re-let wef June 2016. New Communities Directorate responsible for Community Development. SLT ownership of key stakeholder relationships Member engagement TSU processes and TPM creates visibility for SLT and accountable leads of key stakeholder issues TSU staff are qualified and experienced strategy, project and change professionals. TSU work with OD to manage change appropriately 	16	To embed the delivery of effective stakeholder analysis and targeted engagement planning within projects and business planning activity, evaluate and then revise as required. Work has commenced on this project and is being supported by the TSU and the Commercial Services Unit.	Ongoing Initially June 2016	16
7&9	Failure to develop the Commercial Services Capacity within the Council's Operating Model and to make the most of its procurement and contract management resource, to ensure: <ul style="list-style-type: none"> Commissioning/contracting arrangements achieve Value for Money and create savings Sufficient procurement expertise is available to support projects Supplier re-engagement "Right sourcing" Commercial Contract Management through the lifetime of the contract Market development SCC being a Customer of Choice 	<ul style="list-style-type: none"> Strategic Plan Business Delivery Plan Organisational Structure Procurement Strategy Procurement Regulations Training and Development Management Information Performance Management 	15	To develop and fully implement the Commercial Service Unit to ensure that sufficient commercial oversight is exercised across all contracts/ procurement activity to deliver VFM for all commissioning activity. Revise Procurement Regulations. Revise Procurement Strategy.	March 2016 March 2016 March 2016	12
2	Failure to respond to and recover from a major incident within (or impacting upon) the County and including service provider failure.	<ul style="list-style-type: none"> Civil Contingencies Unit – Pan Staffordshire approach Business Continuity Plans Critical Suppliers identified Regular testing of Plans Regular training of key staff 	15	Exercise Aurora	May 2016	15
7&9	Failure to undertake effective in year budget monitoring (i.e. income and expenditure is contained within budget and is correctly accounted for), ensuring the delivery of savings leading to a balanced budget. <ul style="list-style-type: none"> Spending exceeding budgets and/or income falling short of budgets Savings options identified and assumed in the MTFs not being achieved Plans not being delivered and outcomes not achieved The impact of the current economic climate, including increased inflationary pressures, interest rate changes, reduced levels of income from fees and charges for council services Increased demand for council services above estimates, including the impact of welfare benefit changes Impact of any cost shunting from other agencies to the County Council Expected income from other agencies not materialising 	<ul style="list-style-type: none"> Budget Monitoring and Financial Reporting Financial Regulations and Associated Documents Management Information System Schools Financial Framework Corporate Review Scrutiny Accountability Arrangements including MPC process Professionally qualified Finance function External Audit view & Scrutiny Committee evaluations 	15	The general assessment is that the controls mitigate these risks as much as is reasonably possible so no significant improvement activity is highlighted at this stage albeit existing (internal) policies and procedures (in particular the performance and planning framework) will continue to be reviewed.	N/A	15
3&8	Failure to ensure effective information security is in place resulting in lost and/or corrupt data, reputation, external censure and significant financial penalties	<ul style="list-style-type: none"> Corporate IT Security Policy, Information Sharing Protocols, Records Management Policy, Information Governance Framework, Freedom of Information Publication Scheme, Protective Marking Scheme, Whistle Blowing Policy, Information Governance Unit Encryption Software Annual Information Governance report presented to Audit & Standards Committee 	15	Further work is needed to ensure information security, and particularly the need for confidentiality is embedded in the culture of the Council.	Ongoing	12

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2	Failure to address the service risks within the Independent Futures service	<ul style="list-style-type: none"> Regular reporting to SLT/Cabinet Oversight by TSU SLT leadership confirmed Families' First support to IF. 	15	Following the recent SLT restructure it has been confirmed that the Director for Families and Communities will retain responsibility for the service as part of the Communities agenda. In addition the Families First leadership team will provide day to day support to the service as it addresses its financial challenges.	On going	15
2	Failure to address and redefine the role of the County Council in relation to Education and School Improvement.	<ul style="list-style-type: none"> Regular reporting to SLT/Cabinet TSU support 	15	Work has commenced on this project and is being supported by the TSU	On going	12
2	Failure to exploit Digital technology developments as part of service redesign.	<ul style="list-style-type: none"> Working party led by Andy Burns 	15	The working party group is currently being set up to oversee the work in this area to ensure that the County Council fully exploits technology advances within its service offers. Initial stages at present. Service MTFS plans will need to reflect the potential service & financial benefits from	On going	12
2	Failure to complete the service redesign of the Children's System.	<ul style="list-style-type: none"> Part of the 2016/17 MTFS budget setting review to identify areas for cost reduction and seeking new ways of delivery/operation. TSU support 	15	System being used at present is currently being reviewed as part of the MTFS savings exercise. The proposed system will then be reported to SLT/Cabinet to gain approval for implementation.	On going	12
7&9	Failure to procure a replacement for the SAP system which provides effective financial management for the County Council as it continues on its transition to a Commissioning Authority, whilst demonstrating best value for money.	<ul style="list-style-type: none"> Core + Board SLT/Cabinet approval route Project Management Support including Project Manager Specialists VFM evaluation assessment Legal Services advice 	15	Define, procure and commence implementation of a new Financial Management Information & HR/Payroll System	June 2015 on-going	8
1	Failure to develop, implement and embed a performance/planning framework that establishes a commissioning culture. The TPM framework will ensure managers are accountable for their service areas planning and performance and that they focus on the delivery of priorities as set out in the Strategic Plan.	<ul style="list-style-type: none"> Performance and Planning Framework Evidence of actions taken as a result of the production of the Total Performance Management Reports and their presentation to SLT and Informal Cabinet Challenge sessions by DoF&R/CEO/Cabinet Members regarding content of Business Plans. Core Support Group and Well Run Council Delivery Board. 	15	TPM framework needs to evolve this year to include not only the impact on outcomes but also the impact of activity captured within the Business Plan and a clear link through to the resources being used to achieve that. Further work is required to clarify the process of performance management across the organisation from Operational Performance Management to Strategic Insight. This will form part of the review of the CDH and Procurement. The new performance management process has highlighted some duplication in performance monitoring and reporting. Work is being undertaken to identify areas of duplication and to put in place actions to resolve. There also needs to be a stronger link with the content and evaluation of My Performance Conversation.	June 2015 for new TPM reports	12
3&8	Failure to have an up to date and accurate Scheme of Delegation which ensures that Services take decisions in-accordance with its approved Governance Framework.	<ul style="list-style-type: none"> Corporate Governance Working Group annual review Annual Governance Statement compliance Internal Audit review 	15	<ul style="list-style-type: none"> Current Scheme of Delegation to be updated by Member & Democratic Services including sub schemes of delegation by April 2016. The updated documentation will be uploaded to The Constitution web page and communicated to all staff within the Authority. 	1 st April 2016	8
13	Failure to ensure that all landlord responsibilities relating to leases for academy schools properties have been identified and clearly communicated to the academy and enforced/monitored by SCC (i.e. The risk associated with potential litigation arising from a fatality associated with building neglect).	<ul style="list-style-type: none"> Academy Project Board Academy Working Group Staffordshire Learning & Infrastructure Board (SLIB) 	15	Legal advice has been sort and it is considered that the length of the lease obligates all H&S issues and H&S compliance to the Academies. This theory however as yet to be tested in court so precedent has yet to be set. SCC needs to determine what actions it will take to ensure that it has discharged its duties with regard to its landlord obligations once case law has been determined.	Ongoing ASAP	15
13	Failure to provide sufficient resources within the Strategic Property Unit/ increased complexity within the Entrust commissioning arrangements, to ensure that adequate levels of statutory monitoring and compliance are undertaken as required. This may lead to increased exposure to legal action and reputational damage. The main areas of concern are as follows: <ul style="list-style-type: none"> Condition Surveys and Backlog Maintenance Data Residual Commissioning and Landlord liabilities for Academy and Trust Schools Trespass Accessible Roofing Premise Management of County Council owned Carparks Regulatory Reform Fire Risk Assessments Equalities Act Legislation Fuel Storage Glazing Safety Roof Light Condition and Safety Working at Height Equipment None Highways Tree Safety Japanese Knotweed – identification & treatment 	<ul style="list-style-type: none"> Premise Manager Regime Partial Programme of Condition Surveys Capital Programme Property Maintenance 24 hr hotline Insurance Programme 	15	<ul style="list-style-type: none"> Corporate Review of Property Investment v Property Risk Review of Strategic Property Structure Review of scope - Entrust Commissions 	Annual Sept/Oct 2015 August 2015/On going	8
6	Failure by senior managers/headteachers to take a corporate approach to Health, Safety and Wellbeing and to ensure that they have the right level of understanding, knowledge and skills to meet H&S requirements and their personal accountabilities. Leading to accidents, incidents, financial and reputational risks and risk of legal HSE prosecution.	<ul style="list-style-type: none"> Health & Safety Welfare Policy and supporting Policies and Guidance Occupational Health Integrated Health and Safety Service Training and Education Programme 99% school buy back H&S Service & 25% buy back additional SLA on H&S. Occupational Health 75% buy back, D&T buy back 80%. 	15	New risk profile approach to audits of core council services launched February 2015 and to be embedded during 2016 Launch core, consider and complex application to H&S policies and management arrangements to make process clearer for managers to see which apply to their risk profile.	Ongoing 2015/16	10

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		<ul style="list-style-type: none"> • Termly Headteacher briefings and corporate H&S co-ordinators meetings • Corporate H&S audit process • Comprehensive risk assessment process and training • Annual Management standards survey • Single Intranet site for all health and information. • Health and Safety Newsletter • Control of Contractors arrangements • Input into partnership and large tendering of services. • H&S Forum and H&S Committee • Accident and Incident investigation process • Annual and Quarterly Health and Safety Performance Reporting • Inspection of High risk sites • Average H&S Audit maturity score of Level 3 – “Established” which is equivalent to minimum legal compliance. • Continue Health and Safety Audit Programme during 2015/16 to ensure each service has an improvement plan 		Complete targeting interventions with services that have persistent low maturity score (levels 1 & 2 less than minimum legal compliance) in H&S Audit process.		
6	Failure to have suitable fire precautions in SCC owned or controlled premises not in line with the Fire Order, resulting in fire, leading to property damage, injury or loss of life.	<ul style="list-style-type: none"> • Single Intranet site for all health and information. • Fire Safety Policy and Fire Risk Assessment Process • Personal Evacuation Plans Process • Fire Risk assessment Training • Access to Fire Safety Advice (HSW Service and Entrust Property) • HSW have advisors with BS PAS79 Fire Risk assessment Training and regular CPD • Corporate H&S audit process • Premise manager annual survey. • Fire Risk assessment KPI in annual report. • Insurance checklist - empty buildings management • Fire Warden training • Fire Compartmentation and Fire Precautions property assessment completed for high risk and sleeping accommodation. Funding ceased and limited funding available to complete program of work for Medium and Low risk SCC Premises 	15	HSW Service training update to Fire Risk Assessment Service BS PAS 79 Standards.	Dec 2015	12
12	Failure to plan/resource for potential single points of failure within the staff base arising from loss of key staff with specialist knowledge, which may lead to a compromised position in being able to support or develop existing services to the Business.	<ul style="list-style-type: none"> • Skills matrices • Knowledge Transfer • Training Budget 	15	<ul style="list-style-type: none"> • Reduce where practical the reliance on bespoke solutions. • Adherence to standards across all areas of ICT • 3rd party support contracts where practical • Addressing skill gaps through maintenance of skills matrices and alignment of training and mentoring to maintain sustainability of services. 	Ongoing	10
7&9	Failure to establish an appropriate investment policy for the County Council and thereby safeguard County Council cash.	<ul style="list-style-type: none"> • Prudential Code and Treasury Management Strategies • Treasury Management Practices • Performance Management • Internal Treasury Management Panel 	15	The general assessment is that the controls mitigate these risks as much as is reasonably possible so no significant improvement activity is highlighted.	N/A	15
7&9	Failure to maintain an effective Exchequer (Shared Service Centre) function to include: <ul style="list-style-type: none"> • Maintenance and security of records • Accurate and timely payments to employees and members • Accurate and timely payments to suppliers of works, goods and services • Accurate and timely collection of income due to the Council • Accurate and timely payments of taxation to the national exchequer (to include Income Tax / National Insurance / VAT • Use of a Management Information System appropriate to the needs of a Commissioning Council 	<ul style="list-style-type: none"> • Credit Management Strategy • Validation Checking and Reconciliation before release of payment • Duplicate Payments Checking • Defined Pay Dates • IT Security (excluding ICT responsibilities) • Performance Management • Management Information System (Payroll/Creditors/Income) 	15	The Shared Services Division will need to undergo significant structural change as a consequence of the planned loss of a large customer base (Entrust / Schools).	March 2016	12
7&9 & 11	Failure to set a Strategic Business Plan for the Council setting out the priorities for the organisation, which include the financial consequences of the decisions and assumptions included within it.	<ul style="list-style-type: none"> • 5 year strategic plan annually refreshed • Core Support Group • MTFS challenge sessions inc Members/SLT • Clear accountability for business planning process through SLT and Outcome Leads. • Annual business planning and MTFS process clear and in place including Member Scrutiny/approval. • TSU support to drive and challenge business planning process • Effective My Performance Conversations 	15	The general assessment is that the controls mitigate these risks as much as is reasonably possible so no significant improvement activity is highlighted at this stage albeit existing (internal) policies and procedures (in particular the performance and planning framework) will continue to be reviewed	N/A	15
7&9	Failure to produce a good and balanced budget over the period covered by the MTFS including the following vulnerabilities: <ul style="list-style-type: none"> • Failure to identify new options to deliver the required level of MTFS savings and/or strategic outcomes • Uncertainty about how much funding will be received from Government • Risks around social care including the Better Care Fund and the Care Act, plus the renegotiation of the contract with the Staffordshire and Stoke on Trent Partnership Trust • The income from Business Rates in the current economic climate • The potential impact of Borough and District Councils being unable to collect all council tax owed from those affected by the government’s decision to localise council tax benefit support 	<ul style="list-style-type: none"> • Medium Term Financial Strategy (MTFS) • Provisions, Reserves and Balances • Budget Monitoring and Financial Reporting • Financial Regulations and Associated Documents • Management Information System Schools Financial Framework • VFM Profiles • Challenge sessions including member attendance • Corporate Review Scrutiny • Accountability Arrangements • Professionally qualified support function • External Audit View & Scrutiny Committee evaluations 	15	<p>The financial environment facing Local Government is particular challenging and the Council awaits the outcome of the spending review outcomes which will be announced at the end of November 2015.</p> <p>The general assessment is that the controls mitigate these risks as much as is reasonably possible so no significant improvement activity is highlighted.</p>	N/A	15

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7&9&11	Failure to review and monitor actual delivery and transformational requirements against the Strategic Business Plan including Business As Usual (BAU) projects. <ul style="list-style-type: none"> • Failure to predict adequate specialist, operational and support service change capacity and capability requirements • Failure to effectively lead / manage the necessary pace and scale of change to implement the Business Plan / Delivery Plan. 	<ul style="list-style-type: none"> • Cabinet Leads, SLT Leads, Accountable Leads and TSU Leads are allocated to each project. • Core Support Group • TSU staff are qualified and experienced strategy, project and change professionals. • TPM system and reporting 	15	To establish an effective delivery assurance process for the elements of the Business Plan which do not have allocated TSU project management resource.	Ongoing	10
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