

Risk Status with Controls

Risk Ref	Business Unit	Risk Details	Current Risk Rating				Target		Step 2. Planned Actions				
			08/14	11/14	02/15	05/15	Rating	Target Date	Not Started	In Progress	Implemented	Total	% Implemented
SR0035	Strategic Risks	Insufficient financial resources and viability of the council	16	16	16	16	9		0	0	22	22	100%
	Controls:	<ul style="list-style-type: none"> ● Framework: S151 Officer 100% Complete ● Framework: Medium Term Financial Strategy 100% Complete ● Framework: Medium Term Financial Plan 100% Complete ● Framework: Mini Service Boards 100% Complete ● Process: Budget Monitoring 100% Complete ● Process: Service & Budget Review Steering Group 100% Complete ● Process: Authorisation Panel 100% Complete ● Process: Quarterly Reporting 100% Complete ● Governance: Scrutiny Committee 100% Complete ● Governance: Audit Committee 100% Complete ● Improvement: Savings Plans and Planning 2014/15 100% Complete Target Date: 31/03/2014 ● Improvement: Procurement Strategy 100% Complete Target Date: 31/03/2013 ● Improvement: Strategic Asset Management Plan 100% Complete ● Governance: Executive 100% Complete ● Governance: Procurement Board 100% Complete ● Process: Delivery of the Savings Strategy for 2013/14 100% Complete ● Process: Six monthly capital challenge 100% Complete ● Process: Regular review of Reserves and Balances 100% Complete ● Savings Plans developed and implemented for 2014-17 100% Complete Target Date: 13/02/2015 ● Governance: Capital and Disposal Sub Committee 100% Complete ● Process: Monthly report to Corporate Management Team re budget position 100% Complete ● Governance: Scrutiny Committee review of budget position 100% Complete 											

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SR0037	Strategic Risks	Insufficient staffing capacity and skills to deliver wholesale organisational change - Organisational change - lack of expertise and ability to project manage - Loss of skills and expertise - Lack of clear direction for organisational design - New skills required - workforce planning/ talent management - Employee relations climate - Increased absence - Recruitment and selection - ICT capacity Controls: <ul style="list-style-type: none"> • Communicate with staff and managers 100% Complete • Control of authorised pay 100% Complete • Ensure business continuity plans are in place 100% Complete • Implement PDRs to ensure that all staff are aware of responsibilities 10% Complete Target Date: 01/04/2016 • Process: Consultation with Unions, Joint Consultative Meetings 100% Complete • Improvement: T&C Review 50% Complete • Effective Management of sickness absence 100% Complete • Effective Health and Safety Management 100% Complete • Develop a communications strategy 100% Complete • Budget Options Task Groups 100% Complete • Establish Organisational Change Team 100% Complete • Organisational change- Additional expert capacity 10% Complete • Organisational Change - workforce strategy and action plan 10% Complete • Organisational change 90% Complete • Strategic space & capacity 80% Complete • Organisational Change- Learning & Development 50% Complete Target Date: 27/02/2015 • Effective diversity management 67% Complete Target Date: 30/06/2015 • Organisational development - Support to workforce 80% Complete Target Date: 31/03/2015 	9	12	12	12	8	01/04/2016	0	9	9	18	50%

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SR0043	Strategic Risks	Failure to identify and effectively manage situations where vulnerable children are subject to abuse	13	9	9	9	5		0	6	14	20	70%
	Controls:	<ul style="list-style-type: none"> • Partnership working -strategy to risk assess serious offenders 100% Complete • Partnership working - locality working together and partnership relationships 100% Complete • Partnership working - Multi-agency LAC Strategy Group 100% Complete • Partnership working - Role of the LADO 100% Complete • Parnership working - Early Help Strategy 100% Complete • The Voice of the Child - participation strategy 100% Complete • The Voice of the Child -individual participation and feedback change service delivery 75% Complete • Leadership & Management - Establish structures and processes 100% Complete • Leadership & Management -Early Help 100% Complete • Leadership & Management - Key strategies 90% Complete • Social Work Practice - Establish quality assurance framework 75% Complete • Performance Management and Quality Assurance- Implement Performance Improvement Framework 100% Complete • Performance Management and Quality Assurance - Key Performance targets 50% Complete • Partnership Working - Establish Children's Trust Board 100% Complete • Partnership working - LSCB is re-established 100% Complete • Partnership working - Domestic Abuse Forum 100% Complete • The Voice of the child -influenced the planning of the service delivery 50% Complete • The Voice of the child - mentoring scheme for children in care 100% Complete • The Voice of the child - independent visitor and advocate service 50% Complete • The Voice of the child - Complaints process 100% Complete 											
SR0045	Strategic Risks	Failure to keep vulnerable adults safe.	n/i	12	12	12	6	30/06/2015	0	2	4	6	67%
	Controls:	<ul style="list-style-type: none"> • Improve strategic direction 100% Complete Target Date: 30/09/2015 • Ensure safeguarding is not done to people 15% Complete Target Date: 29/05/2015 • Review safeguarding practice and processes 100% Complete Target Date: 29/05/2015 • Review facilities 100% Complete Target Date: 29/05/2015 • Raise awareness of adult safeguarding 75% Complete Target Date: 30/06/2015 • Develop and embed outcomes based commissioning to ensure vulnerable adults are safeguarded 100% Complete Target Date: 30/04/2015 											
			4	38	49	49	49	28	0	17	49	66	74%