

Report to Audit Committee
 24 November 2020
Report of Interim Audit Manager
Subject Risk Management Update

Item

6

Purpose

To provide an update on progress in relation to risk management.

Recommendation

To note the risk management report.

Corporate and service priorities

The report helps to meet support corporate priorities through supporting a healthy organisation.

Ward/s: All wards

Cabinet member: Councillor Kendrick – Resources

Contact officers

Gavin Jones, Interim Audit Manager

Background documents

None.

Introduction

1. The purpose of this report is to provide an update on the progress made so far on the refresh of the risk management process and a revised corporate risk register.
2. The council has identified a need to reconstitute its arrangements for managing risk as a priority action included in the 2020 Annual Governance Statement. Whilst the council has in place an established strategy and policy that conforms to best practice, the need to improve the application of these processes was identified to ensure that risk management is operating effectively at every level of its operations.

Action Taken

3. To facilitate a full refresh of the risk management process and corporate risk register, internal audit has worked with directors and the Corporate Leadership Team (CLT) through a mix of discussion and workshops to reset risk registers from scratch.
4. The grace risk management system previously used by LGSS to record and manage risks has been replaced by a new manual format with a view to making presentation clearer to all interested parties. The revised corporate register is shown in Appendix A.
5. The corporate register will be reviewed each quarter by the CLT as part of its quarterly performance review. It is intended to provide a risk management report to the audit committee twice yearly at the request of the audit committee chair so that the committee can fulfill its oversight function.
6. A review of risk management also identified that there were no effective arrangements operating at directorate and service level. Work is near completion to ensure that each directorate operates a service risk register in the same format as the corporate register with the intention that these are reviewed by the lead officer for risk to highlight any emerging risks that CLT need to be aware of and to ensure a systematic and fluid process exists to feed risks up to the corporate risk register where warranted.
7. The risks shown in Appendix A reflect the considerable challenges and risks associated with covid-19 and its impacts on the financial resilience of the council and its ability to support the community through continuing times of uncertainty.


Role of Audit Committee

8. CIPFA's Position Statement on Audit Committees in Local Authorities and Police identifies the following core functions in relation to oversight of risk management arrangements:
 - ensuring there is assurance over the governance of risk and top level ownership and accountability
 - keeping up to date with the organisation's risk profile and the effectiveness of risk management actions
 - monitoring the effectiveness of risk management arrangements and supporting the development of good risk management practice.


Summary

9. In summary, revised processes are in their infancy and there is still more work needed to ensure that risk management is truly embedded across all operations.
10. Arrangements will continue to be monitored closely by CLT and a full internal audit review will be included as part of the 2021-22 audit plan.


Appendix A: Corporate Risk Register

Risk: 1. Council Funding Short Term (covid-19 related)			Owner: Interim Director of Resources				Category: Finance & Resources	Risk Direction:		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk		
				Consequence	Likelihood	Score		Consequence	Likelihood	Score
<ul style="list-style-type: none">• Council's financial position goes into significant deficit resulting in reserves falling below the prudent minimum level• Insufficient general and earmarked reserves to address shortfall• Or use of earmarked reserves impacts on ability to deliver other council projects (invest to save funded)• Non-delivery of in-year saving to mitigate financial deficit	<ul style="list-style-type: none">• Initial indications is that in 20-21 the general fund will overspend by £7.2 million without further action.• Relying solely on the general fund reserve to offset this would leave the reserve at an unsustainable level and below the £4.3m prudent minimum level.• Without significant action and consideration of reserves the council will be at serious risk of being in a S114 position.• Without a clear plan of action the council will have to begin engaging with CIPFA and the MHCLG.	<ul style="list-style-type: none">• £3.9m unallocated reserves available to offset deficit whilst maintaining prudent level of reserve.• To date (22/10/20), awarded £2.8m of Covid-19 funding from government	Jun 20	4	2	8	Manage	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Continue to lobby Government to fully compensate Norwich against the financial impacts of C19'		Chief Executive		Ongoing	<ul style="list-style-type: none">• The Leader of the Council has written to the Prime Minister and Chancellor asking for the council to be fully compensated• The Leader has also lobbied the local MPs• Both the Leader and CEO are in regular discussion with other Norfolk Leaders and CEOs to lobby on this point, and are active members of the Key Cities network and are lobbying through that route• The CEO has been in touch directly with the Chief Executive of the LGA to lobby for a fair settlement for Norwich and the wider sector.• The CEO has also published articles in the MJ to lobby Government on this point• The s151 officer ensures that all financial returns setting out the impact of Covid on the council's budget are sent to MHCLG in a timely manner.		
			Review the capital programme to ensure that the schemes still reflect the council's current priorities and that these are affordable in the new financial landscape.		Interim Director of Resources		Dec 20	Services have reviewed the programme and submitted opening briefs for options for the revised programme to be approved Feb 2021. Projects have been prioritised for review		
Conduct a corporate review of all 2020-21 revenue budgets to identify areas for immediately reducing in-year expenditure through additional controls on non-essential spend and recruitment.		Interim Director of Resources		Jul 20	Completed					

Appendix A: Corporate Risk Register

Risk: 2. Council Funding Medium- Long Term			Owner: Interim Director of Resources				Category: Finance & Resources	Risk Direction:		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk		
				Consequence	Likelihood	Score		Consequence	Likelihood	Score
<ul style="list-style-type: none"> Council fails to identify and plan for enough savings over the medium term. Non-delivery of identified savings New national funding arrangements reduce government funding (Fairer Funding, Business Rates Retention, New Homes Bonus) Economic uncertainty increase volatility on business rates and council tax Risk of inflation on costs and pension deficit increases. Lack of capital resources to fund the council's asset base – implications 	<ul style="list-style-type: none"> Councils financial position goes into deficit, reducing confidence in financial strength and governance Unplanned use of reserves reducing capacity and flexibility and compromising stability. Section 114 notice Government intervention Failure to deliver Council Plan Adverse comments by poorer perception of Council by stakeholders. Overspends arising from activity not in service plans. 	<ul style="list-style-type: none"> Review all the assumptions within the MTFS Corporate budget planning guidance issued CLT review of budget options and MTFS refresh Cabinet give due consideration to latest forecasts and options to close any gap identified during the review of MTFS assumptions. Consultation launched if required prior to budget approval in Feb 2021 Restructure senior management team to improve service delivery and drive forward transformation programme. Started process of service reviews to generate efficiencies Utilising invest to save reserve to deliver transformation programme 	Jun 20	5	2	10	Manage	5	3	15
			Risk Control Action							
			Action		Owner		Target Date		Update	
			Update the council's Medium-Term Financial Strategy, to understand the short to medium implications for savings requirements and use of reserves.		Interim Director of Resources		Sep 20		Complete	
			Commence the process for setting the budget for 2021/22 and provide further detail to Cabinet in July on the approach and timeline.		Strategic Finance Business Partner		Jul 20		Complete	
			Cabinet briefed on the MTFS refresh		Interim Director of Resources		Nov 20		Leader and Portfolio holder briefings complete prior to publication of report.	
			Cabinet approve the revised MTFS at Full Council		Interim Director of Resources		Feb 20			
			Comments: The Council is working towards a sustainable budget that does not utilise reserves. Current plans incorporate the use of reserves to bring the general fund reserve back to the risk assessed minimum requirement.							


Appendix A: Corporate Risk Register

Risk: 3. Commercialisation (investment property, NRL, other commercial income sources)			Owner: Interim Director of Resources				Category: Finance & Resources		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Lack of depth of skills and knowledge to manage commercial activities (reliance on several key staff)• Uncertainty over the future government direction on commercial activity (PWLB consultation ongoing)	<ul style="list-style-type: none">• NRL – losses in the company result in additional revenue costs to the General Fund• Non-delivery of budgeted income levels to support general fund• Ineffective management of the property portfolio leads to reducing income and poor use of assets	<ul style="list-style-type: none">• Asset Management Strategy• Commercial Strategy	Jun 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner	Target Date	Update			
			Address recommendations from the internal audit review of NRL governance.		Director of Resources	Aug 20	Actioned			
			Complete a thorough review of the Council's approach to housing commissioning and look to establish and revise structures as agreed. A report to be taken to Cabinet to agree the principle of the approach.		Director of Place	Nov 20				
			Following Cabinet approval, new and revised structures will be put in place.		Director of Place	Mar 21				
			Produce a new asset management strategy.		Director of Place	Mar 21				
			Comments:							


Appendix A: Corporate Risk Register

Risk: 4. Health & safety in the workplace			Owner: Director of People & Neighbourhoods				Category:		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none"> Covid-19 and risk of spreading infection across the workplace. 	<ul style="list-style-type: none"> New way of working has the potential to change the council's culture and make it a more modern organisation which supports a flexible approach to work/life balance for staff. Impact of Covid-19 and duties to ensure social distancing and requirements to ensure safety in the workplace are addressed 	<ul style="list-style-type: none"> Improved IT capabilities to allow more staff to work from home were developed and rolled out quickly, which has enabled the majority of staff to work from home since March. Virtual council meetings are being held in order to limit the risk of spreading the disease through close contact, although the organisation will revert to 'face to face' meetings in the council chamber and committee rooms when it is appropriate to do so. Hand sanitiser dispensers introduced across workplace. Desk policy to ensure limited capacity adhered to & 2m social distancing observed. Mandatory e-learning modules for staff. 	May 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner		Target Date		Update	
			Implement changes to the internal layout and other safety measures within city hall to support social distancing as more staff return to the office when it is appropriate to do so, with a risk assessment of the building carried out and unions engaged.		Director of Resources		Jun 20		Actioned	
			Develop greater employee wellbeing and resilience including the formation of a mental health working group		Director of People & Neighbourhoods		Aug 20		Actioned	
			Continue to allow staff to work from home where possible, striking a balance between home and office-based working and allowing flexibility for staff.		Director of People & Neighbourhoods		Ongoing		Actioned	
Comments:										

Appendix A: Corporate Risk Register

Risk: 5. Second wave of Covid-19:			Owner: Chief Executive				Category: Customer		Risk Direction:			
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk				
				Consequence	Likelihood	Score		Consequence	Likelihood	Score		
<ul style="list-style-type: none">Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services	<ul style="list-style-type: none">Lack of government funding to support local businesses resulting in local business failuresEconomic uncertainty increase volatility on business rates and council taxInsufficient government funding to local authorities to support the delivery of additional Covid - 19 related activitiesFinancial pressure due to down turn in income leading to financial instabilityIncrease in unemploymentIncrease in claims for benefits and consequential impact on staff workloads	<ul style="list-style-type: none">Delivery of business support grants.Ongoing work with the Norwich BID and Norfolk Chambers of CommerceNorfolk wide response being managed through Norfolk Resilience Forum (NRF) attend by leader of the council and Chief ExecutiveCovid operational group continues to oversee response and actions deployed to reduce the number of cases.A gold command structure was put in place with the chief executive chairing daily meetings and the director of strategy and culture leading the responseC-19 Support Officer provided in the city to give and advice and support to businesses and the publicSilver command group:<ul style="list-style-type: none">Promote and disseminate information and toolkits to local businessesProvide advice & engagement with track and traceDeployment of covid-19 support officersCollaboration with police on enforcement actions	Jun 20	4	3	12	Manage	5	4	20		
			Risk Control Action									
			Action		Owner		Target Date	Update				
			Work with the Norwich BID, Norfolk Chambers of Commerce, police and Norfolk County Council to review and implement physical measures and signage in the city centre to support social distancing.		Director of People & Neighbourhoods		Ongoing					
			Use its licensing powers to support businesses – particularly those in the hospitality sector – where appropriate to vary the use of outside space, whilst ensuring that people with disabilities can move around the city safely.		Director of People & Neighbourhoods		Ongoing					
			Continue to deliver grants and wider support to businesses.		Interim Director of Resources		Ongoing					
			To work effectively with partners through effective networks to minimise spread of virus, provide clarity of local message and for us to provide an effective local track and trace service		Chief Executive		Ongoing	Operational Group convened with key stakeholders including County Council Director of Public Health, East Anglia University. Action plan in place including deployment of Covid safe advisors, more visible communications e.g. regular press conferences, continued review of data to identify hotspots and continued local contact tracing system.				
Comments: Scoring takes account of growing threat/spread of Covid 19 nationally												


Appendix A: Corporate Risk Register

Risk: 6. Impact of Brexit			Owner: Stephen Evans				Category: Customer		Risk Direction:	
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Continued uncertainty over the nature of the UK's exit from European Union.Risks associated with potential no deal scenario	<ul style="list-style-type: none">Public disorder eventsFood availability (panic buying/ stockpiling) - Increased prices for food and fuelPossible disruption to fuel suppliesStaffing issues (EU nationals)Inclement weather may have increased impactsFlood season September – April (impacts on Coastal Districts – provision of mutual aid)Staffing resilience managing concurrent events (e.g. Covid, Brexit, severe weather)Potential political developments (elections/referen dums) – these would place increased pressure on some district councils.Increases in environmental crimes i.e. fly tipping etc., as advised by the Environment Agency	<ul style="list-style-type: none">Membership & participation in Norfolk Resilience Forum (NRF)NRF multi-agency plans to deal with significant eventsNRF Brexit StrategyBusiness Continuity PlansBrexit Communications PlanNational guidance/ toolkits	Apr 20	3	5	15	Manage	3	5	15
			Risk Control Action							
			Action		Owner	Target Date	Update			
			Monitor the situation, awaiting further government guidance		Emergency Planning Manager/ Environmental Health & Protection Manager	Oct 20				
			Information sharing through NRF structures		Emergency Planning Manager	Unknown				
			Participation in NRF Brexit planning meetings		Emergency Planning Manager	Unknown				
			Nominate strategic Brexit Lead Officer		CLT					
Comments: Impacts from NRF Brexit Strategy										
Currently lots of unknowns. The country is in a transition year during which the future terms for the relationship between the UK and EU is to be decided. These negotiations will need to conclude in their entirety by 31 December 2021 or the UK will leave with No Deal.										


Appendix A: Corporate Risk Register

Risk: 7. Failure to respond to a critical, business continuity or emergency planning event			Owner: Director of People & Neighbourhoods				Category: Processes & Systems		Risk Direction:				
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk					
				Consequence	Likelihood	Score		Consequence	Likelihood	Score			
<ul style="list-style-type: none">• Occurrence of a significant event:<ul style="list-style-type: none">○ Loss city hall○ ICT failure○ Contractor collapse○ Severe weather events○ Sea level rise○ Fuel shortages○ Communications failure○ Pandemic○ Loss of power• The Council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term.	<ul style="list-style-type: none">• Council unable to function.• Increase in demand on Council services• Vulnerable Service Users unable to access services• Reputational Damage	<ul style="list-style-type: none">• Draft Corporate Business Continuity Plan• Service areas Business Impact Analysis and Business Continuity Plans• Work Area Recovery location for Customer Contact• ICT Disaster Recovery Plan• Incident Management Team response to business continuity incidents.• BMG TTX - Exercise Appleyard 1 (14/12/16)• BMG TTX - Exercise Appleyard 2 (26/7/17)• Service area business continuity exercises• Insurance policies• Asset register• Emergency Management Strategy• Incident specific response plans• Rest centre and community centre plans• Full participation in Norfolk Resilience Forum meetings• Review of NRF risk assessments and Norfolk Community Risk Register• Norfolk Emergency Response Guidance NRF multi-agency plans for specific risks• Participation in training and exercises• Services areas to raise at supplier engagement meetings potential risk of contractor for early warning.	Apr 20	4	3	12	Manage	4	3	12			
			Risk Control Action										
			Action		Owner		Target Date	Update					
			Completion of audit review (20/2/18) actions		CLT to determine lead officers		TBA						
			Consider reinstating Business Continuity Steering Group for effective business continuity management to provide a mechanism for monitoring and implementing measures to enhance business resilience		CLT to consider		TBA						
			Completion of outstanding recommendations/actions from previous EP and BC exercises		CLT to consider and determine way forward		TBA						
			Work with emergency planning team in respect to plans for elections in May 2021 and include in plans specific covid-19 planning		Democratic & Elections Manager		May 21						
			Flag with contract managers risk of supplier collapse due to Covid or issues with supply change due to Brexit		Business Relationship & Procurement Manager		Nov 20						
			Comments :										

Appendix A: Corporate Risk Register

Risk: 8. Sustained increase in homelessness and temporary accommodation			Owner: Director of People & Neighbourhoods				Category: Customer		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Failing to fulfil statutory responsibility to assess people who present as homeless or at risk and to develop an appropriate way forward to prevent their being homeless.• With the developing economic downturn there will be more families living in poverty, with the risk of homelessness once the 3 months ban on evictions is lifted.• Failing to fulfil responsibility to clients presenting at risk of domestic abuse	<ul style="list-style-type: none">• Increase in costs to council.• Increase in social issues for the city.• Legal action against the council for not fulfilling statutory obligations• Increase in domestic abuse	<ul style="list-style-type: none">• Greater Norwich homelessness strategy 2020 – 25• Norwich tackling rough sleeping strategy 2017-22• The council worked quickly to ensure that accommodation was – and continues to be - available to all rough sleepers in Norwich.• Additional accommodation is continuing to be sourced where it is required.• The Pathways partnership programme continues to provide outreach support to those who need it, drawing on a wide range of expertise.• From August 20 a specialist tenancy relations adviser is employed from government funding to deal with PRS tenants threatened by homelessness• The council is recognised as a 'gold standard' authority in dealing with the prevention and relief of homelessness• Government funding has been used to increase the 'homelessness prevention fund'.• The council employs a specialist domestic abuse housing adviser to deal with DA victims threatened with homelessness	Jun 20	3	3	9	Manage	4	4	16
			Risk Control Action							
			Action		Owner		Target Date		Update	
			Work proactively with partners through the Pathways programme to develop a sustainable approach to tackling homelessness in the city.		Head of Neighbourhood Housing		Ongoing		CLT to consider recommendations to re commission of service. Next steps fusing in excess of £1m secured to increase supply and support functions for 'people who would eb sleeping rough.	
			Over the longer-term, work with Pathways and the voluntary and community sector to look at pathways out of poverty for the most vulnerable. This will include training and skills opportunities and measures to move people closer to the labour market and into employment.		Head of Neighbourhood Housing		On going			
Given increased volumes of presentation and workload, it may be necessary to use government homelessness funding held in existing budgets to take on additional resource in the homelessness relief team. This to be monitored.		Housing Options Manager		On going		Watching brief. Change to winter provision being developed.				
Comments:										


Appendix A: Corporate Risk Register

Risk: 9. Cyber Security & GDPR compliance			Owner: Director of Strategy, Communications & Culture			Category: Processes & Systems		Risk Direction:		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk		
				Consequence	Likelihood	Score		Consequence	Likelihood	Score
<ul style="list-style-type: none">• Old and unsupported operating systems,• lack of staff awareness and training,• Cyber-attack etc.• Non-compliance with GDPR legislation	<ul style="list-style-type: none">• Data breaches and fines from the Information Commissioners Office (ICO) Mishandling sensitive information• IT systems don't meet service transformational expectations.• data loss or loss of systems for a period of time.• Customer services disrupted• Financial impact of prolonged IT shutdown• Political & reputational risk	<ul style="list-style-type: none">• Mandatory e-learning modules on systems security & GDPR• Corporate Information Group – monitor data breaches GDPR related issues.	Jun 20	4	3	12	Manage	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Address recommendations from the internal audit review of GDPR -.including Information asset register		Data Protection & Security Team Leader		Dec 20	Action Taken: Sent out 89 review requests to officers within the council – one request for each team. Asset owners will be prompted for outstanding returns and progress will be reported and reviewed at the next Corporate Information & Assurance Group (CIAG).		
			Programme to replace legacy IT systems		Head of Customers, IT & Digital		Sep 23	An extensive programme of work is in place to replace and refresh legacy systems.		
			Internal audit of cyber security		Interim Audit Manager		Dec 20	In progress		
			Procure new electoral management system		Democratic & Elections Manager		May 21	Started procurement of new electoral management system as current system not providing adequate support to elections		
Comments:										

Appendix A: Corporate Risk Register

Risk: 10. Joint Venture contracts			Owner: Director of People & Neighbourhoods				Category: Customer		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none"> Ending the joint venture contracts with Norse group for environmental services (April 2021); property management and general fund and housing repairs & maintenance (April 2022) and avoiding significant impacts on services. Poor relationship management Joint ventures not managed effectively, and key service outcomes not achieved. Contracts not managed effectively. Joint venture arrangements do not run to term or budget 	<ul style="list-style-type: none"> Key services not delivered The Council does not get VFM Benefits of partner and contract management not realised. Specification not adhered to. Services not provided at an acceptable level Customer and staff complaints 	<ul style="list-style-type: none"> Place project – multi officer project team and board in place to implement insourcing projects Business as usual workstream to oversee delivery and performance Revised key performance indicators for property and building maintenance contracts agreed Regular review of performance 	Jun 20	3	3	9	Manage	3	4	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Recommendations from the internal audit review of the housing repairs & maintenance contract reviewed and action plan agreed		Director of People & Neighbourhoods		Mar 21	Update report to be reviewed by Audit Committee in November 20		
			Safe transfer of environmental services to Norwich City Services Limited by 1.4.21		Chief Executive		Apr 21			
			Safe transfer of property and building maintenance services to Norwich City Services Limited by 1.4.22		Chief Executive		Apr 22			
			Comments:							

Appendix A: Corporate Risk Register

Risk: 11. Failure to fulfil statutory or legislative responsibilities, including safeguarding.			Owner: Director of People & Neighbourhoods				Category: Customer		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none"> Lack of understanding the statutory and legislative responsibilities. Lack of awareness of legislative changes and new legislation. Failure to implement statutory duties and responsibilities. Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities. Insufficient organisational capacity. Ineffective procedures and processes. Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc.). Delegation of responsibilities where services are with a contractor. 	<ul style="list-style-type: none"> Financial costs in compensation & fines Intervention if complete failure Acting illegally Negative impact on the Council's reputation Wrong decision being made Harm, abuse, accident or death linked to failure of the Council to act within safeguarding arrangements Being held to account by overseeing organisations (e.g. children safeguarding) maybe included in reputation 	<ul style="list-style-type: none"> Communication Strategy to ensure implementation Corporate Governance Group in place to oversee compliance Legal Services in place to provide support Positive approach to checking compliance with legislation Professional leads identify legal requirements Quality assurance processes in place for contracted services Suitably trained and qualified staff and mandatory reading of key documents for all officers 	Apr 20	4	3	12	Manage	5	3	15
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Increase officer confidence in information sharing and understanding of when and how to do so appropriately		Early Intervention & Community Safety Manager		Mar 21	Home office guide on information sharing for professionals re-circulated to safeguarding champions Sept 2020 to discuss at team meetings. Corporate training programme in development; due for agreement Nov 2020.		
			Safeguarding policy and risk embedded into contractors' and sub contractors' policy and practice		Early Intervention & Community Safety Manager		Mar 21	Contractors to be included in relevant elements of corporate training programme; due for agreement Nov 2020.		
			Maintain safeguarding champion knowledge, understanding, confidence		Early Intervention & Community Safety Manager		Mar 21	Safeguarding meetings maintained. Training knowledge shared amongst safeguarding champions.		
			Embed learning across council teams		Early Intervention & Community Safety Manager		Mar 21	Safeguarding issues logs reviews to be undertaken by all council team leaders and managers – and discussed with officers at supervision meetings – scheduled from end of November 2020. Training programme to be introduced across the council from early 2021.		
			Comments:							

Risk Scoring matrix

Impact	Very High	5	5	10	15	20	25
	High	4	4	8	12	16	20
	Medium	3	3	6	9	12	15
	Low	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5
			1	2	3	4	5
			Very rare	Unlikely	Possible	Likely	Very Likely
			Likelihood				