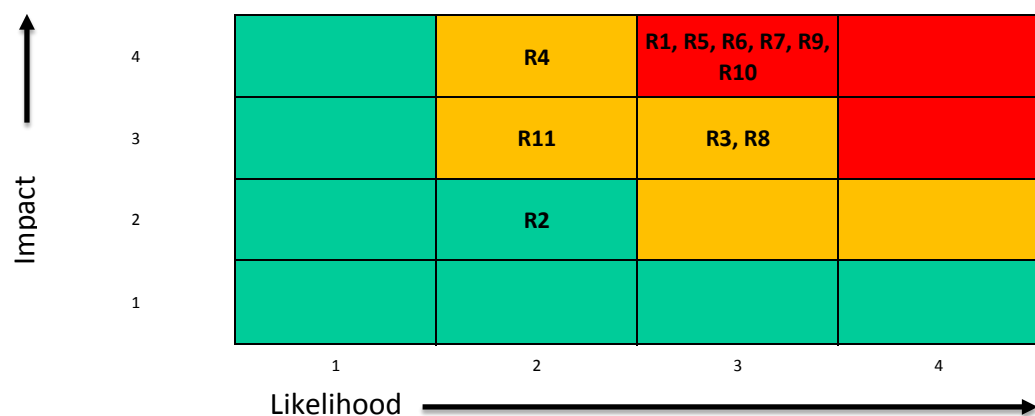


## Strategic Risk Register

Period: 2018/19 Q3 (31 Dec 2018)



- New risk added
- Risk has improved compared to the previous quarter
- Risk has remained the same from last quarter
- Risk has deteriorated compared to last quarter

Risk Ref	Risk Description	Inherent Risk Rating	Q2 Risk Rating	Q3 Risk Rating	DoT Status	Comments
Strategic R1 / CR 1	Staffing - capacity, skills, knowledge	12	12	12		Risk Rating remains the same. There is an employee survey scheduled for February 2019, which will inform further our targeted work, in line with any hot spot analysis. Managers continue to be trained on Health & Wellbeing approaches and Stress Management.
StrategicR2 / CR2	Senior Management Restructure	12	4	4		Risk Rating remains the same. Permanent recruitment to the remaining interim arrangements is planned to be on a phased timeline to Summer 2019. Risk is to be removed from the Strategic Risk Register.
Strategic R3 / CR3	Cyber Security	12	9	9		Risk Rating remains the same. IT Security Officer recruitment has been successful and budget has been identified for cyber protection priorities.
Strategic R4 / CR4	MTPF	12	12	8		Significant progress has been made during quarter 3 to reach a balanced position for 19/20 with ongoing dialogue between CLT and DMTs to continue to identify solutions for future years.
Strategic R5 / CR5	Statutory compliance and property health and safety	16	12	12		Risk Rating remains the same. Property Compliance Improvement Plan has been developed to refocus responsibility and resources within the newly Integrated Property Department. The risk is expected to improve as the plan gets "embedded" into the Service Operations - with the 5 key actions on the plan now added to the register.
Strategic R6 / C&P R1	Managing major capital projects	16	12	12		Risk Rating remains the same. Review of projects has been completed, and review of project roles and responsibilities is to be completed by the end of quarter 4.
Strategic R7 / CR6	Procurement and contract management	16	12	12		Risk Rating remains the same. Recruitment is progressing and once vacancies are filled in, the mitigating action on training staff can be actioned. Contract Procedure rules have been changed to enable greater focus on high value contracts / category management.
Strategic R8 / CR7	Data and records management	9	6	9		Council continues to encourage usage of OpenText but reliance on shared drives continues. The implementation plan that will be developed on the back of the findings review of the "Inform/Consult" workshops will aim at addressing this issue.
Strategic R9 / CR8	Health and well-being - stress levels	12	8	12		Risk has increased due to the high sickness levels, stress being the main indicator. Poor Return To Work (RTW) interview completion rates, with ongoing discussions at CLT.
Strategic Risk 10 / People R1	Managing demands - Ability to manage demands to avoid budget overspends	16	12	12		Risk Rating remains the same. Work continues to be led by the Strategic Director of People Services to review demand and manage pressures on the budget.
Strategic Risk 11 / CR16	Risk of impact of No-Deal Brexit at a local level	8		6		New risk informed by a completed Brexit Impact Assessment.

RISK DEFINITION					MITIGATING CONTROLS			FURTHER ACTIONS REQUIRED			RISK RATING									
RISK REF	RISK TITLE & DESCRIPTION	RISK THEME - LOCAL ANALYSIS	RISK CAUSE	RISK EFFECT	CONTROLS IN PLACE TO MITIGATE THE RISK	Quarter 3 2018/19 Review		FURTHER ACTION REQUIRED	Quarter 3 2018/19 Review		Q2 2018/19 Risk Rating			Q3 2018/19 Risk Rating			Reason for change in Risk Rating (compared with Q2)	TARGET Risk Rating		
						Is this control still in place?	Supporting Comments		Progress with action	Commentary on progress	LIKELI HOOD	IMPACT	RISK RATING	LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING
Strategic R1 / CR 1	Staffing – capacity, skills and knowledge Increasing demands on existing resources	STAFF	Budget restrictions have seen services workforce shrink without proportional reduction in demands, increases expectation on remaining staff with more responsibilities and reliance on good will of staff.	Increased stress levels, increased staff sickness, reliance on temporary staff, increased costs, increased mistakes, reduction in morale, service delivery failure (including statutory responsibilities), external sanctions and fines.	Management controls across the organisation to review staff stress levels and identify concerns prior to sickness becoming apparent.	Yes	Managers continue to be encouraged to complete stress risk assessments at least annually.	Strategic decision making through MTFP recognising pressures where appropriate with greater consideration to understand effects of decisions.	On Track	Discussions regarding budgets and pressures continue to be addressed by DMTs and CLT as part of the Council's Medium Term Financial Strategy	3	4	12	3	4	12	Risk Rating remains the same. There is an employee survey scheduled for February 2019, which will inform further our targeted work, in line with any hot spot analysis. Managers continue to be trained on Health & Wellbeing approaches and Stress Management.	1	4	4
							Analysis of "hot spots" with high absence rates identified as due to stress	Major slippage	The analysis of the resilience will follow from the target setting meetings with directors and the analysis of absence data for specific services.											
					Ability to recruit temporary staff in the event of high demand, subject to funding availability.	Yes	Market rate supplement policy is still in operation. Ability to recruit temporary staff, however, remains subject to funding availability.	Targeted work to address resilience hotspots including market supplements, workforce development	Major slippage	Employee survey is due in February 2019, in Q4, and will include a focus on employee resilience and morale. Targeted work is undertaken to address resilience hotspots as they arise (as identified by managers). More proactive identification of hotspots is yet to be implemented and remains outstanding.										
					HR continue to play an advisory role in supporting the organisation when there are planned changes to senior management roles.	Yes	Directors proactively consider the potential impact on service delivery of changes to senior management, and have plans in place to address the issue.	Targeted work on Succession Planning	Some slippage	This action is independent of work on resilience hotspot analysis and has been separated from the relevant action.										
							Training for all managers on health and well-being approaches and stress management.	On Track	"Mop up" training sessions for new managers will continue to be offered.											
StrategicR2 / CR2	Senior Management Structure - Changes in structure lead to uncertainty	LEADERSHIP	Significant number of management positions either vacant or covered on interim basis leads to uncertainty of direction of travel or decision making.	Reduced morale and motivation amongst staff, lack of clarity and uncertainty over long term position and direction of authority.	Interim post holders in place.	Yes	3 Interim post holders are still in place. Control will come off once these posts have been filled with permanent staff.	Permanent recruitment to the remaining interim arrangements	On Track	Permanent recruitment to the remaining interim arrangements is planned to be on a phased timeline to summer 2019	2	2	4	2	2	4	Risk Rating remains the same. Permanent recruitment to the remaining interim arrangements is planned to be on a phased timeline to Summer 2019. Risk is to be removed from the Strategic Risk Register.	1	2	2
					Clear and consistent messages continue to be shared with staff and structure changes.	Yes	Messages are shared via emails to affected staffing groups and via Keeping In Touch bulletins.													
					New structure being implemented with increased pace, maintaining BAU where possible with key decisions taken by Chief Officer Group position holders as appropriate	Yes	Final permanent Service Director recruitment is nearing completion. BAU is maintained where possible with COG continuing to take key decisions as appropriate.													
Strategic R3 / CR3	Cyber security - Risk of serious service disruption across the Council's entire IT estate. Potential for extended IT outages and significant data loss.	SYSTEMS	Historic lack of investment in IT; failure and/or unwillingness to maintain systems at most current release and constantly changing threat landscape.	Increased potential of cyber incident leading to significant business disruption and potential data corruption. Potential fines from the ICO and reputational damage.	Perimeter security - firewalls etc. Anti-malware software. PC patching programme. Incident response procedures. Prioritising system upgrades where budget available. IT Security Office in place. Cyber Security eLearning.	Yes	Patching programmes and response to emerging risks is ongoing. A new cross functional Cyber Security group has been established to manage incident response procedures. Work is ongoing to identify new toolset to assist in software patching and enhanced auditing capabilities - the new improvements are being delivered as part of the Windows 10 and Office 365 upgrades in 2019.	To support the cyber security agenda, a continued push for GDPR and Cyber Security eLearning completion is required from all services.	Some slippage	GDPR eLearning is 80% completed. Addressing pending trainings by enforcing via the Heads of Service, as well as planning stronger measures such as withdrawing system access.  <b><i>This action has been re-classified from "On Track" at the end of Q2 to "Some Slippage" at the end of Q3.</i></b>	3	3	9	3	3	9	Risk Rating remains the same. IT Security Officer recruitment has been successful and budget has been identified for cyber protection priorities.	3	2	6
							Recruitment of an IT Security Officer	Completed	The post has now been filled. The action can be removed for next quarter.											
					Continual monitoring and refinement of defences and response arrangement	Yes	Monitoring and refining continues by the Cyber Security Group that has been established to manage the council's response to cyber security threats.	Strategic involvement in budget priorities for cyber protection.	Completed	Service was involved in setting priorities - budget has now been set.										

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Strategic R4 / CR4	MTFP - Delivering the Medium Term Financial Plan for the authority	BUDGET	Budget restrictions require proportionate consideration of future allocations to ensure delivery of services or a reduction or cessation of non-statutory services.	Failure to strategically plan long term finances exposes potential for unidentified expenditure adding additional pressure on financial structure and jeopardising the financial sustainability of the council.	Senior officers taking ownership of MTFS and understanding implications for Council	Yes	The MTFP position was presented to Cabinet on 12 December with a balanced position for Year 1. This was approved by Cabinet and is currently out to consultation. CLT are continuing to focus on future years budget planning to ensure a sustainable position in the medium term.	Continued monitoring of plan development and changing circumstances and effect on budget and timely feedback	On Track	We will continue to work on the MTFP up to end of the budget consultation and identify any appropriate savings / pressures to include (also in light of the budget settlement).  <i>The classification of this action has improved from 'amber' at the end of Q2 to green'.</i>	3	4	12	2	4	8	Significant progress has been made during quarter 3 to reach a balanced position for 19/20 with ongoing dialogue between CLT and DMTs to continue to identify solutions for future years.	1	4	4
			Financial plans are too short sighted with limited consideration for longer term impacts of decisions being made with primary focus on election cycle within Derby and supporting projects with perceived greater impact for the city.		Working with departments to fully understand budget position to ensure complete planning and ongoing monitoring.	Yes	Significant progress has been made during quarter 3 to reach a balanced position for 19/20 with ongoing dialogue between CLT and DMTs to continue to identify solutions for future years. We continue to horizon scan for future funding opportunities following the budget settlement.	The Chief Executive has asked all directors to put forward further proposals to meet the £9m savings target. This will be reviewed by CLT and Cabinet before the end of October.	Completed	This has been addressed for 19/20.										
Strategic R5 / CR5	Statutory Compliance and Property Health & Safety	HEALTH AND SAFETY	Lack of capacity and resources to maintain and manage our land, building and facilities	Council will be in breach of statutory obligations and duty of care by compromising health and safety of people.	Health & Safety / compliance assurance now firmly embedded as a key objective in Property Team's Business Plan.	Yes	This objective continues to be part of the Property Team's business plan. It will be carried over to the 2019/20 business plan.	A Property Compliance Improvement Plan will be developed by September 2018 to refocus responsibility and resources within the newly integrated Property Department	Completed	Action was completed in Q2 2018/19 and will be archived in the risk register logs.	3	4	12	3	4	12	Risk Rating remains the same. Property Compliance Improvement Plan has been developed to refocus responsibility and resources within the newly Integrated Property Department. The risk is expected to improve as the plan gets “embedded” into the Service Operations - with the 5 key actions on the plan now added to the register.	2	4	8
								Property Design & Maintenance Service to lead on the development of a Good Stewardship Guide for all Council operational properties (as part of the delivery of the Property Compliance Improvement Plan)	NEW ACTION - monitoring to commence from Q4	N/A										
			Property Design & Maintenance Service to lead on Policy Development on key areas – Fire, Water Hygiene, Asbestos, Electricity And Gas (as part of the delivery of the Property Compliance Improvement Plan)	NEW ACTION - monitoring to commence from Q4	N/A															
			Corporate H&S lead to develop policies and approach for the following service areas: Dangerous substance, explosive atmospheric regulations (DSEAR), working regulations, and working at heights (as part of the delivery of the Property Compliance Improvement Plan)	NEW ACTION - monitoring to commence from Q4	N/A															
			Strategic Asset Management & Estates Service to lead on further development of the approach around Vacant Properties (as part of the delivery of the Property Compliance Improvement Plan)	NEW ACTION - monitoring to commence from Q4	N/A															
			Strategic Asset Management & Estates Service to lead on Compliance of leased-out Properties (as part of the delivery of the Property Compliance Improvement Plan)	NEW ACTION - monitoring to commence from Q4	N/A															
			Failure to operate safe systems for the use and occupation of buildings, including management of events	May result in injuries/loss of life, disruption to service provision and damage to property assets.	A Buildings maintenance programme is in place supported by asset surveys to limit likelihood and potential of incidents occurring as a result of unidentified H&S issues.	Yes	Risks arising from the maintenance programme have been identified and are ready to be put onto the forward plan and to seek capital funding where appropriate. Mitigation plans for the intervening period to be put in place.													

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Strategic R6 / C&P R1	Managing Major Capital Projects: Managing major capital projects effectively to ensure delivery of agreed objectives and budgets	PROJECTS	Variable approaches across the Council in managing projects. High number of projects currently underway requires significant management and governance resource. Resources and timescales associated with bids for project funding can lead to insufficient due diligence leaving the project vulnerable to cost overruns and programme delays.	Delay to delivery of projects, overspend and increasing pressure on council reserves, reputational damage for failure to deliver projects, political pressure from members	Projects allocated to staff with experience and knowledge of Prince management techniques, all projects sponsored by senior director and regular updates with members to ensure accurate and complete position of project delivery is understood and monitored	No	Considerable work has been undertaken by the PMO during quarter 3 to further develop the project register and establish a priority list of over 40 projects. This involved a review of accountabilities including SRO, project manager, budget, governance arrangements, progress and overall deliverability. This identified that a number of officers have several major projects within their portfolio and there are some inconsistent processes and variable understanding of roles and responsibilities. This has prompted a wider review of project roles / responsibilities which will be completed during quarter 4.	Review of projects currently being undertaken with agreement of criteria for major projects.	Completed	Initial review of projects completed and a list of 44 high priority projects have been identified for regular monitoring and review. The list will remain dynamic to ensure that projects / risks are identified and mitigated where appropriate.							Risk Rating remains the same. Review of projects has been completed, and review of project roles and responsibilities is to be completed by the end of quarter 4.			
					Monitoring of capital projects by the Capital Programmes Boards.	Yes	Corporate capital programme board monitors spend against all capital projects with particular emphasis on the 'top ten' projects. This has recently been reviewed by External Audit as part of their VFM work.	Implementation of Gateway process across all major capital projects	Some slippage	The Gateway process has been agreed in principle by CLT (Dec 2018) but this needs to be reinforced via a new PMO Board. A further paper will be presented to CLT by end of Jan / start of Feb 2019.	3	4	12	3	4	12		2	4	8
					Programme Management Office in place	Yes	As above, considerable progress has been made in developing a project register, priority project dashboard and engaging with project managers to understand current governance and process arrangements. A successful network event was held in December 2018 which included risk management training. A report was presented to CLT on 11 December to commence more rigorous oversight and monitoring of significant programmes and projects.	Review lessons from A52 scheme and address recommendations from A52 scheme investigation (once it is concluded).	On track	Once the investigation is concluded, lessons learnt will be evaluated and recommendations taken forward.										
								Improved monitoring of projects with escalation of issues where appropriate.	On track	Initial monitoring report presented to CLT on 11 December. Quarterly monitoring has been built into the CLT Forward Plan and will commence from January 2019.										
								Review risk registers of all high priority projects to ensure project risks are reflected in appropriate strategic / directorate risk registers.	On track	Planned action by PMO										
Strategic R7 / CR6	Procurement and ongoing management of service delivery contracts	PROCUREMENT AND COMMISSIONING	Lack of training and capacity to ensure those responsible for contract scoping and management are suitably confident and experienced to proactively manage / monitor delivery. Vacant posts within Procurement prevent active Category Management by senior procurement officers.	Reputational damage if service standard drops, inability to ensure performance by contractors if regular contract management and performance reviews not undertaken, failure to recover sums due for poor performance against performance standards, increased stress / sickness of staff, failure of statutory duties, council placed in special measures and adverse effect on Council's Value for Money rating	All major contracts are issued with support and assistance from procurement team	Yes	Major contracts continue to be issued as part of the support and assistance provided by Procurement team.	Training staff in contract management skills	Major slippage	Recruitment to existing vacancies is underway and should address current workload issues and support the development of the contract management training with assistance from the Organisational Development Team.							Risk Rating remains the same. Recruitment is progressing and once vacancies are filled in, the mitigating action on training staff can be actioned. Contract Procedure rules have been changed to enable greater focus on high value contracts / category management.			
					Regular review of the Directorate Contracts Register by DMTs	Yes	Category Managers attend Directorate DMT's to present the Directorate Contract Register and highlight non-compliant contracts and contracts in need of Procurement or action.	Regular review of strategic contracts by Corporate Leadership Team	Some slippage	First strategic contracts report will go out to the CLT in February. This Report will highlight the highest risk/most significant non-compliant contracts held by the Council.	3	4	12	3	4	12		2	2	4
					Procurement eLearning available on the DCC intranet	Yes	This course covers the procurement process and also some elements of contract management.	Recruitment to fill Procurement vacancies or to resource new structure if approved.	On Track	Interviews taking place w/c 28 January 2019										
								Change to contract procedure rules to enable greater focus on high value contracts / category management.	Completed	Changes to the contract procedure rules are completed.										

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Strategic CR8 / CR7	Data and records management - Risk of error or wrong decisions due to poor, or incomplete, records	DATA	No corporate records management framework. Poorly defined processes. Historic lack of investment in system controls including user access.	Inefficiencies from time taken finding material. Incomplete records. Data from systems used to support decision making may not be robust. High levels of data breaches. Potential fines from the ICO and reputational damage.	Audits of key systems.	Yes	Information Governance work with services to identify process issues and improvements when inaccurate information is identified through either a breach or a rectification requests.	"Inform/Consult" consultation workshops are being scheduled between 19 October 2018 and the end of November 2018 and will need representatives from each department to attend	Completed	The workshops have now taken place.	2	3	6	3	3	9	Council continues to encourage usage of OpenText but reliance on shared drives continues. The implementation plan that will be developed on the back of the findings review of the "Inform/Consult" workshops will aim at addressing this issue.	2	2	4
					Management and data quality groups in place for nominated systems. New security posts in IT division.	Yes	Information asset owners (1 from each service) form the wider Information Governance working group and report directly to the Information Governance board. IT Security Officer has been recruited.		On Track	The reviews are now taking place. Once these have been completed, an Implementation plan will be created and tied into the Office 365 rollout during 2019.										
					Robust data breach reporting and follow through.	Yes	Reporting is still in place and follow up work is undertaken as needed.													
					Strategic R9 / CR8	Health and Wellbeing Ongoing impact of high levels of sickness absence across the organisation	STAFF	Increased pressures on staff as a result of budget cuts, loss of workforce and retained levels of expected delivery	Increased sickness levels (including stress), failure to deliver service, statutory duty, decreased staff morale, potential for EL claims - potential pay-out	Health and Well-Being Strategy implemented										
Regular monitoring of sickness absence levels by CLT and DMTs.	Yes	Attendance management update is also a standing item on Personnel Committee agenda. Attendance Management project group now has directorate senior management representation.	Major slippage	End of Nov Sickness absence data shows a reduction, with 11.78 FTE days lost, against a current Council target of 11.5 FTE days. 11 services currently have absence levels greater than the Council target. A review will be carried out with the service, supported by Health and Wellbeing and HR colleagues - to include: Absence data trends, Absence Management practices, policy/procedural issues, training/support needs, quality checking of Return to Work's, Occupational Health referrals and Stress Risk Assessments. The classification of this action has changed from 'amber' at the end of Q2 to 'red'.																
			Some slippage	This action will be included in the discussions with Service Directors for target setting																
			On Track	Meetings are taking place with Service Directors to set service targets by 28 February and services will be responsible for achieving the targets from April 2019 onwards																

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Strategic Risk 10 / People R1	Ability to manage demand to avoid significant overspends in budget. Short term focus on financial prioritisation.	BUDGET	Social and economic factors such as increased migration and asylum, longer life expectancy, higher levels of disability, greater levels of need.	Higher number of placements required beyond LA capacity leading to major budget overspends	Discussions at Strategic level with services outlining justification for budget structure	Yes	Ongoing and focussed fortnightly budget meetings take place and span across a range of priorities within CYP services (particularly focussing on placements and demand pressures).	Work with partners through DSCB Demand Meetings to support local decision making and a city-wide understanding of demand	On Track	Meetings continue to take place, and recently there have been reviews on key themes that impact on multiple partners (i.e. large families). This forum is proving a strategic partnership overview of 'demand in the system' and seeking ways to suitably and appropriately support families	3	4	12	3	4	12	Risk Rating remains the same. Work continues to be led by the Strategic Director of People Services to review demand and manage pressures on the budget.	2	4	8
					Close liaison with responsible Cabinet member to ensure Social Care given appropriate focus when reviewing MTFP	Yes	Established the proposals for the 19/20 MTFP position in agreement with CLT and the Cabinet. It will be part of the budget proposals which will be agreed by the Council in Feb 2019.													
					Close working relationship with Service Managers, Directors, Finance and BI colleagues with a view to share information on demand levels, accurately account for spend, account for the services already being delivered, and ensure future budgets reflect the current position.	Yes	Existing action moved to controls in Q3 as it is a control and in place.													
					Established Learning and Improvement Framework, with monthly audit activity to make sure thresholds are correct and interventions are in line with children, young people and family's needs	Yes	The SIF Improvement Board considers monthly reports on quality assurance activity and there have been multiple quality assurance visits during 2018/19	Undertake 'deep dive' performance reviews, in linked areas, to support strategic understanding and on-going management of demand and the impact of this on our budgets	On Track	The SIF Improvement Board commissions targeted work; in line with demand and implications (including budget). Over the last quarter the Board have discussed the CIN cohort and caseloads and associated implications										
					Regular senior management scrutiny on spend and commissioned placements	Yes	The scrutiny happens at the fortnightly meetings. Only Strategic Directors can approve high cost placements.													
					Review placement approval authorisations levels for certain needs	Yes	Only Service Director can approve placements for certain needs. This control will remain in place until the budget is back in a manageable position.													
					Weekly budget monitoring on the high risk budget	Yes	Control added during Q3 review													
						Staffing Establishment Control - No automatic recruitment of vacant posts without Strategic Director's approval	Yes	Control added during Q3 review												
Strategic Risk 11 / CR16	Risk of impact of No-Deal Brexit at a local level	LEGAL	Uncertainty over national decision making process and expected exit from the EU.	Risk of increased community tensions and possible disruption to services and access to some goods / services. Financial risk due to increased demand for services due to recession and loss of EU funding. Risk to recruitment and retention of EU nationals in some services following transition period. Risk of failure to deliver statutory requirements in light of changing regulatory laws and processes. Risk of failure to communicate effectively with those affected by Brexit in the local area.	Brexit working group in place and meeting weekly to assess any new intelligence / guidance. Ongoing participation in the Local Resilience Form.	Yes	All controls in place and subject to regular review. A decision will be taken regarding further actions needed following the vote in Parliament.	BREXIT Impact Assessment	Completed	Brexit impact assessment has been completed and is being updated on a regular basis.				2	3	6	New risk informed by a completed Brexit Impact Assessment.	1	3	3