

## Appendix 5(a)

Extract from People's Department Risk Register 2016/17 Q3  
High net risks

No.	Description of Risk	Impacts / Consequences	Opportunity	Gross Risk Score			Controls and Mitigation	Net Risk Score			Further Actions to Reduce Risk	BCM Risk? Y/N?	Risk Owner / Risk Manager	Actions to be Addressed by:	Cross-ref to Strategic Risk Register
				I	L	GS		I	L	NS					
Adult Services - Care and Support															
5	Finance: Withdrawal of service funding due to loss of custom, Commissioning Review, or budget constraints	There may be implications around Compulsory redundancies/requests for VR, however, this may not necessarily occur where the The budget implication of withdrawal of service has a greater timescale than that of any contract notice	To establish the ability to predict and understand the market by being pro-active in having benchmarking knowledge of competitors	5	4	20	Ensure performance information is accurate, complete, and up to date to ensure comprehensive view of actual performance  To develop a cohesive relationship with Commissioners  Ensure robust plans for reducing / withdrawing from service to meet revised requirements whilst safeguarding service users and meeting staffing and compliance obligations  Project groups in place where action required on more than one level  Service Managers to report to Director any particular issues  Service manager attends regular budget meetings to update senior management	4	4	16		N	Owner: Karen Smith  Manager: Nick Henson; Kate Aldridge	Ongoing Vigilance	3a. Insufficient funding to deliver services
Children's Services - Children's Social Care / Children's Safeguarding / Early Help / YOT															
1	Failure to keep people safe	Death or serious injury to child and vulnerable young person  death or injury to a member of staff and public***  Inspection failure Ofsted / JTAI/SiF  Trauma for family of the victim.  Potential criminal charges for staff involved.  Poor risk assessment of safeguarding case  Increased and unmanageable level of insurance claims relating to historic abuse/negligence  Significant liability claim received.	Explore and address new ways of working  Addition of health and safety roles and responsibilities in job descriptions.  Support and assistance from CLT to embed the monitoring process***  Training to be provided on how to mitigate the risks going forward  Commissioning and Contracting to review all service specifications of commissioned providers services in order to reduce any liability**	5	5	25	Tight and robust managment oversight.  Regular audit of safeguarding cases.  Robust supervision and training and personal development for social workers and managers.  QA System in place  risk assessments  Full suite of health and safety arrangements and guidance notes available on the Hub  Programme of health and safety management system audits in place***	5	3	15	Review all safeguarding processes and constant auditing.  Review of insurance coverage and excess on this type of claim  Managers to enforce review of all risk assessments with regard to lone working  Build Personal Safety into Departmental induction	N	Owner: Deputy Director Amanda Hatton  Manager: All Children's Senior and Service Managers  Commissioning and Contracting Team**  Chief Internal Auditor***	Immediate action  01/12/2016  Director of Resources***	4. Failure to keep people safe

## Key to scoring

I = Impact (5=Catastrophic, 4=Major, 3=moderate, 2=Minor, 1=Insignificant)

L=Likelihood (5=Almost Certain, 4=Likely, 3=More Than Even, 2=Less Than Even, 1=Improbable)

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		Corporate manslaughter changes, prosecution with unlimited fines and potential prison sentences for those in control.					Suite of health and safety training available for all employees.						Owner: Deputy Director Amanda Hatton  Manager: All Children's Senior and Service Managers				
		Civil compensation claims***					Team of qualified health and safety professionals.										
		Reputational damage.					EDT Out of Hours service										
		Threats to staff from dissatisfied members of the public					Team Risk Assessments										
		Intimidation/physical harm of staff leading to fear/injury/sickness					Completion of electronic canendars with whereabouts and buddying system										
		Serious case reviews					Ways of working to be promoted to staff via Friday Round up										
							Staff to be reminded to be Vigilant at all times										
							Senior officers to endorse the use of the Corporate Warning Register										
							Discussions with staff in supervision regarding personal safety										
Children's Services - Children's Social Care / Children's Safeguarding																	
5	Significant financial cuts for statutory services at time of pressures	Unplanned overspends such as Increased and unmanagable level of insurance claims relating to historic abuse/negligence	Income generation opportunities and application of bids/funding streams	5	4	20	Robust budgetary control mechanisms	5	4	20	Participate in financial modelling exercises	Y	Owner: Deputy Director Manager: Senior and Service Managers	Ongoing	3a. Insufficient funding to deliver services		
		Further devolution of services	Increase partnership to achieve one public service offer				Downsizing non statutory service provision				Review of insurance coverage and excess on this type of claim; training to be provided on how to						
		Inability to balance budget	Consider options for shared services and opportunities for flexible use of funding streams				Effective relationships with key stakeholders										
		Inability to meet statutory duties					External legal advice sourced to ensure appropriate expertise										
		External placement market becomes unsustainable															
		Increased financial risk															
Children's Services - Children's Safeguarding																	
5	Increasing number of LAC and child protection cases	Impacting on demand to the service		5	5	25	Careful monitoring of LAC and child protection statistics	5	4	20	To work with the DeputyDirector of Children's Services in relation to strategies to manage LAC and CP numbers To engage with external providers to look at other models of working Awaiting the outcomes of the development of The Hub and Crashpad	N	Owner: Deputy Director Manager: Service Manager for Safeguarding and PSW	Ongoing	Does not currently feature		
							Monitoring of IRO and CP chair case loads										

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