

Risk No	Risk Description	Risk Owner	Risk Impact	Risk Strategy	Target Risk			Risk Control/Action	Action Owner	Action Target Date	Risk Update	Current Risk			Next Risk Review Date	
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CR1	The impact of a no deal Brexit may result in service delivery issues in Council services.	Chief Executive	1. Uncertainty on staff available to deliver council services i.e. care workers.	Tolerate	4	4	16	Brexit implications across all current corporate risks is being carried out. The Resilience and Emergency Team is engaged in planning across the South east.	Chief Executive	ongoing	Gather data to inform impact of negotiations; liaise with network to share information; work with businesses to show ongoing commitment. Directorates to collate data to be used for analysis once Brexit is fully understood. Risk re-assessed 6 monthly or in event of significant Brexit statements.	4	4	16	Jul-20	
			2. Uncertainty on local businesses.													
			3. Impact of growth projections.													
			4. Supply chain uncertainty in contracts.													
			5. Potential demand on resilience teams.													
CR7	There are governance systems which inhibit effective performance and a culture of non-compliance and also a lack of standardisation in some systems and processes . Skills and knowledge of systems inadequate and excessive effort required for sound decisions and outcomes.	Director of Law & Assurance	1. Delayed decisions impede service delivery.	Treat	2	2	4	Module on political management and systems for CLT and CMT to be developed and provided.	Director of Law & Assurance	Mar-20	In train	4	4	16	Jun-20	
			2. Service improvement effort impeded.					Data on areas of non-compliance used to inform Directors to enforce compliance with standards.	Director of Law & Assurance	Ongoing	AGS to March RAAC					
			3. Resources misapplied - poor VFM.					Systems and processes to be simplified and guidance for specific procedures to be refreshed with output from Governance review (CR65).	Head of Democratic Services	Mar-20	Planned on output of Governance review					
			4. Complaints and claims.					Regular compliance monitoring and active corporate support when non-compliance happens to establish better practice.	Head of Audit	Ongoing	Discussed as part of Audit planning. Review of information generated. TK to engage audit to determine output.					
			5. Censure by external inspection.					Audit plan focussing reviews on key corporate support systems to identify key areas in need of improvement.	Head of Audit	Ongoing	Discussed as part of Audit planning. Review of information generated. TK to engage audit to determine output.					
CR11	Due to recent reports into service operations and senior leadership instability, there is a risk that the Council will not be seen as an attractive place to work by current and potential employees. This will result in problems recruiting and retaining staff in key skills areas.	Director of Human Resources & Org Change	1. Over-reliance on interim and agency staff.	Treat	4	3	12	Simplifying processes for recruiting and engaging with potential applicants for hard to fill posts.	Head of Res Org Dev & Talent	Apr-20	Partially completed. Recruiter licences for Linked-in and Reed purchased and being used to source candidates/reach out to candidates directly. "Engage" module to go live by Mar 20.	4	4	16	May-20	
			2. Lack of corporate memory.					Provision of clear financial support for recruitment and retention policy and provisions procedures.	Head of Specialist HR Services	May-20	Social workers recruitment and retention package in place for 2019. 2020 offer currently under review. Corporate recruitment and retention package drafted and waiting for ELT sign off.					
			3. Inadequate pace/speed of delivery.					Application of policy and provisions for various hard to fill posts.	Head of HR Bus Ptr & Org Change	Ongoing						
			4. Low staff morale and performance.					Produce Directorate Workforce Strategies to identify skills, capacity and capability requirements.	Head of HR Bus Ptr & Org Change	Sep-20						
								Development of comprehensive employee value proposition.	Head of Res Org Dev & Talent	Sep-20						
								Longer term strategies for addressing recruitment issues e.g. apprenticeships, growing our own.	Head of Res Org Dev & Talent	Ongoing	3 year plans in place for apprenticeships (currently being refreshed). LGA consultancy engaged with; recommendations received. Continuing programme of marketing and awareness raising.					

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CR22	The financial sustainability of council services is at risk due to uncertain funding from central government and/or failure to make the required decisions to ensure the budget is balanced. This has been compounded further with the recent Ofsted and HMIC FRS reports.	Director of Finance & Support Services	1. Insufficient government funding to deliver services.	Treat	4	3	12	Pursue additional savings options to help close the budget gap.	Director of Finance & Support Services	Ongoing		4	4	16	Jun-20
			2. Adverse effect on reserves/balanced budget.					Request additional funding from the relevant government departments to help deal with service improvement in Children's and Fire and Rescue.	Director of Finance & Support Services	Ongoing					
			3. Reputational impact through reduction of service quality					Monitor the use of additional funds made available to improve service delivery.	Director of Finance & Support Services	Ongoing					
			4. Increased liability of service delivery, transferred by external partners due to funding restrictions i.e. supporting homelessness.					To continue to lobby government groups to influence funding decisions.	Chief Executive	Ongoing					
CR39a	As a result of staff accessing unsafe links from external sources and unauthorised/insecure website browsing, the Council's systems will be subjected to a Cyber-Security attack leading to a loss of data or system failure,	Director of Finance & Support Services	1. The Council suffers significant financial loss or cost.	Treat	4	4	16	Improve staff awareness of personal & business information security practices & identification of cyber-security issues. Continued actions due to evolving threats.	Head of IT	Ongoing	Role specific training delivered to children's services due to analysis of breach data received. Regular comms distributed to all staff. Included as annual refresher. Interim course to communicate essential/key information as soon as possible. Password review completed. Phishing emails sent out and responses evaluated. Follow up exercise completed April '19. New awareness campaign being developed.	4	5	20	Apr-20
			2. The Council's reputation is damaged.					Maintain IG Toolkit (NHS) & Public Service Network security accreditations.	Head of IT	Ongoing	Joint submission to NHS Digital in the 2019 assessment by the Data Protection Team; to cover ensure IGTK incorporates Information Security, along with Info Governance. PSN accreditation submitted.				
			3. Resident's trust in the Council is undermined.					Conduct tests including penetration, DR and social engineering. (conducted 6 monthly)	Head of IT	Ongoing	Password review completed. Phishing emails sent out and responses evaluated. Follow up exercise completed April '19. New awareness campaign being developed. IT Health check undertaken with observations to be addressed.				
			4. Partners will not share data or information with the Council.					Ensure that cyber-attack is identified early, that reporting & monitoring is effective, and recovery can be prompt.	Head of IT	Ongoing	Full audit not carried out by IA 2019. Instead a full review took place in May 2019 of progress against actions from the 2018 audit. Ethical Hacker training being carried out. Review of advanced threat management solution.				
			5. Punitive penalties are made on the Council.					Provide capacity & capability to align with National Cyber-Security centre recommendations.	Head of IT	Ongoing	Maintain watching brief for updated guidance notes. WSCC has formally joined SE Warning Advice and Reporting Point (WARP).				
								Test the effectiveness of DPIA for software systems deployed after 25 May 2018.	Head of IT	Ongoing	To be conducted annually				
	Adopt ISO27001 (Information Security Management) aligned process & practices.	Head of IT	Ongoing												

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CR39b	New data protection legislation now in force which imposes additional obligation on the council. The Council is a Data Controller and has obligations and responsibilities arising from that role. Council needs resources, skills, knowledge, systems and procedures to ensure obligations are met.	Director of Law & Assurance	1. Individuals or groups come to harm.	Treat	3	3	9	Test the effectiveness of DPIA	Head of IT	Ongoing	To be conducted annually	4	3	12	Jun-20			
			2. The Council's reputation is damaged.					Maintain IG Toolkit (NHS) & Public Service Network security accreditations.								Head of IT	Ongoing	Joint submission to NHS Digital in 2019 assessment by the Data Protection Team; to ensure IGTK incorporates Information Security, with Information Governance. PSN accreditation submitted.
			3. Resident's trust in the Council is undermined.					Undertake Data Privacy Impact Assessments (DPIA) when systems or processes change and carry out resulting actions.								Director of Law & Assurance	Ongoing	Processes settled. Most impact assessments completed. DPIA to be conducted annually.
			4. Partners will not share data or information with the Council.					Enable safe data sharing, including using appropriate data standards & appropriate anonymization techniques.								Head of IT	Ongoing	As part of GDPR reviews of existing arrangements.
			5. Punitive penalties are made on the Council.					Ensure the skills and knowledge is available to support Caldicott Guardian in ASC.								Head of Data Protection	Ongoing	
								Adopt ISO27001 (Information Security Management) aligned process & practices.								Head of IT	Ongoing	
								Review IT systems implemented prior to 25 May 2018 to confirm compliance with updated regulations.								Director of Law & Assurance	Ongoing	IT to identify applicable systems and provide support in resolving any risks of non-compliance.
CR50	WSCC are responsible for ensuring the HS&W of its staff and residents. There is a risk that if there is a lack of H&S awareness and accountability by directorates to capture and communicate in accordance with Council governance arrangements, will lead to a serious health & safety incident occurring.	Director of Human Resources & Org Change	1. Increase risk of harm to employees, public and contractors.	Treat	4	3	12	Purchase, develop and introduce an interactive online H&S service led audit tool.	Health and Safety Manager	Apr-20		4	4	16	Jun-20			
			2. Increase number of claims and premiums.					Conduct a training needs analysis, produce gap analysis to understand requirements and produce suitable courses as a consequence.								Health and Safety Manager	Mar-20	Partially completed. Fire Warden training and H&S eLearning included in annual refresher training from 1 Feb 19. TNA produced with suite of courses required identified. Courses to be commissioned include bespoke modules for induction & asbestos awareness.
			3. Adverse reputational impact to Council.					Incorporate HS&W information into current performance dashboard.								Health and Safety Manager	Apr-20	Dashboard to capture details on sickness, absence and H&S. H&S data currently collated relates to RIDDOR and NON-RIDDOR incidents.
			4. Increase in staff absence.					Carry out a Health at Work needs assessment.								Health and Safety Manager	Ongoing	Strategic Health & Wellbeing Strategy and Action Plan being developed. (led by Public Health)
								Regular engagement with other LA's on best practice and lessons learned.								Health and Safety Manager	Ongoing	
								Develop and introduce a more comprehensive risk profile approach and front line service based audits.								Health and Safety Manager	Ongoing	

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CR58	If there were to be a failure of social care provisions there is a risk that both WSCC funded residents and self-funding residents are not being properly cared for; which may result in death or injury to individuals and significant reputational harm to the council.	Executive Director of Adults and Health	1. Potential that people will come to harm and Council will be unable to ensure statutory safeguarding duty.	Treat	3	3	9	Consideration of opportunities to provide services in house to enable contingency for provider failure.	Cx Lead	Apr-20	Initial business case completed. Further analysis indicating delivery will involve higher cost. Requires appetite check of costs prior to completing full business case.	5	4	20	Apr-20
			2. CQC action against service provider which could lead to establishment closure at short notice					Collection of market information on Firefly. Analysis of information and appropriate level of quality assurance response.	Head of Contracts & Performance	ongoing	Information used to support emergency planning and inform quality processes.				
			3. Financial implication of cost of reprovision following closure of services.					Scoping and implementation of a multi agency failure prevention team.	Joint Strategic Director of Cx	ongoing	Agreement was made in October 2019 with the CCG Chief Nurse to proceed with the joint programme. Workshop took place Dec 19 with agreement on the need for a joint residential/ nursing contract, exploration of income generation opportunities and potential of increased offer to providers who agree to managed rates.				
			4. Reduced capacity in the market as a result of failure of provision.					Financial analysis of high risk provision - due diligence checks.	Head of Contracts & Performance	ongoing	Working with strategic contracts to identify key providers for more regular financial checks.				
			5. Delayed Transfer of Care (DIOC)					Development and embedding of multi agency Quality, Safeguarding and Improvement Group, Strategic Provider Concerns meeting and mechanisms to focus on specific providers where concerns arise.	Head of Safeguarding and Quality	ongoing	QSIG established. Working towards embedding these mechanisms and confirming benefit in terms of preventative focus.				
			6. Non-compliance with Care Act.					In the event of an incident, ensure the consistent implementation of Emergency Response Plans, including a full de-brief and lessons learned.	Head of Adult Operations	ongoing	Emergency plans in place for residential services and Domiciliary Care provision. Continue to work with RET to ensure process is robust and reflects learning from incidences.				
			7. Reputational impact. Public perception of the council being willing to accept poor standards of care. Low public confidence in social care.					Capacity Action plans for residential and non residential services to focus on long and short term actions to improve capacity to support potential contingencies.	Cx Lead	ongoing	Progress on capacity action plans to be reported to senior managers weekly.				
CR59	Benefits from transformation are not realised within projected timescales because of a lack of robust and effective portfolio governance adversely impacting on in-year budget pressures.	Director of Finance & Support Services	1. Financial pressures through non-delivery of savings.	Treat	3	3	9	Review current programme to ensure robust project and programme plans are developed to implement changes and savings.	Director of Finance & Support Services	Jan-20		4	5	20	Apr-20
			2. Failure to improve customer services.					Develop effective benefits tracking process.	Director of Finance & Support Services	Mar-20					
			3. Inefficient and ineffective business processes.					Develop detailed programmes in collaboration with Directors to deliver required changes.	Director of Finance & Support Services	Mar-20					
			4. Failure to deliver required cultural changes.												

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CR60	There is a risk of failing to deliver the HMIC FRS improvement plan , leading to an adverse affect on service delivery; which may result in failing any subsequent inspection.	Chief Fire Officer	1. Reputational damage 2. Corporate Governance Inspection 3. Legal implications of not delivering statutory services 4. Increased risk harm	Treat	5	2	10	Ensure robust project and programme governance in place and monitor delivery.	Chief Fire Officer	ongoing	During the revisit, the HMIC FRS Advisory Board praised the project and programme plans, and PMO governance. They also reported tangible improvements of preventative and protective measures. Further praise was received regarding the accelerated pace of mitigating the risk to public safety.	5	3	15	May-20
CR61	A 'serious incident' occurs resulting in the death or serious injury of a child where the Council is found to have failed in their duty to safeguard, prevent or protect the child from harm.	Executive Director of Children, Young People and Learning	1. The Council would have let children down and as a result our reputation and credibility would be significantly damaged. 2. Subject to investigation and further legal action taken against the Council. 3. Immediate inspection and Government intervention.	Treat	5	2	10	Implement Practice Improvement Plan (PIP). Provide proactive improvement support to services to assure effective safeguarding practices.	Executive Director of Children, Young People and Learning Executive Director of Children, Young People and Learning	Ongoing ongoing	PIP currently being refreshed after 5 months progress of successful delivery. Specialist provider commissioned to support social workers in Children Looked After Service and Family, Support and Protection Service (in place by April 2020).	5	5	25	Jun-20
CR65	The review of corporate leadership, governance and culture recommended in the Children's Commissioner's report is not fully undertaken or effectively implemented leading to a lack of necessary improvement and further service failures or external intervention.	Chief Executive	1. Service failure 2. External intervention 3. Poor value for money	Treat	3	2	6	Completion of improvement plan scoping phase. Recruitment of senior DCS. Develop plan to stabilise senior leadership team. Engage with external partners (including LGA) to scope and deliver Leadership development for Cabinet and Senior Officers. Implementation of governance changes as approved by Council (17.12.19)	Chief Executive Chief Executive Director of Law & Assurance Director of Law & Assurance	Mar-20 Apr-20 Mar-20 Jan-21 Apr-21	(See CR7) Permanent role starts Apr 20. Identifying actions to reduce risk of senior leadership churn. Scoping underway with LGA and external partners. Plan due by end-Feb 20. Those for immediate implementation are complete. Others scheduled to meet Councils decision.	5	4	20	Jun-20
CR66	Due to a lack of suitably qualified and experienced Approved Mental Health Professionals (AMHP) there is a risk that the Council will not carry out their statutory role under the Mental Health Act 1983 (amended 2007) due to being unable to meet the demand for mental health assessments.	Executive Director of Adults and Health	1. Increased risk of death or serious injury. 2. WSCC subjected to legal action on behalf of customer or through employment tribunal. 3. Wider impact on health and social care system through delays in carrying out assessments.	Treat	5	2	10	Full policy and process review. Seek additional funding on a temporary basis to recruit more AMHP's while transformation work is ongoing. Review AMHP model to incorporate national best practice. Develop role profile and recruit dedicated AMHP lead post.	Head of Adult Operations Head of Adult Operations Abbie Murr Head of Adult Operations	Apr-20 ongoing Oct-20 Apr-20	Rapid Improvement Operational plan. Paper to Cabinet end-Jan 20 with recommendations. Role profile for locum completed and recruitment underway. Job Evaluation process required prior to commencement of permanent recruitment.	5	5	25	Apr-20
CR67	The project to set up a company (known as a Children's Trust) to provide children's services on behalf of WSCC significantly diverts council resources (capacity and capability) from core service delivery, to focussing on improving the quality of children's services.	Chief Executive	1. Progress of children's services improvement is slowed or limited by splitting of resources and energy. 2. Delivery of Council services interrupted/impacted. 3. Impact on Corporate improvement.	Treat	5	2	10	Appoint experienced external project management resource to deliver project. Backfill workstream leads with interim resource.	Senior Improvement Lead Director HR & OC	Apr-20 Apr-20	Interim appointment in place until end-Mar 20 To be discussed with HR&OC, initial approach has been agreed.	5	4	20	May-20

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CR68	Due to the recent Covid 19 outbreak and potential exposure/infection of employees, there is a risk to the delivery of WSCC's services due to staff shortages (WSCC and contractors) as a result of self-isolation, or staff remaining at home to care for dependant children due to school closures or illness.	Chief Executive	1. Failing to deliver statutory duties.	Treat	5	3	15	Review and initiate business continuity and degradation plans.	Executive Director of Adults and Health	ongoing	In progress	5	5	25	Apr-20
			2. Negative reputational impact.					Local Resilience Forum (LRF) and Local Health Resilience (LHRP) Partnerships engagement.	Director of Environment and Public Protection	ongoing					
			3. Litigation.					Review and activate Corporate Response Plan (CRP).	Chief Executive	ongoing	Strategic Management Group (SMG) and Tactical Management Group (TMG) tasked. Pandemic Response Plan to be activated.				
								Develop communications plan/process to disseminate information to the public.	Head of Communications	ongoing	Health advice and guidance.				
								Regular meetings to review current national and organisational status.	Director of Public Health	ongoing	Health Protection Team and Education Team to liaise weekly.				
CR69	If the council fail to make the necessary improvements to progress from the previous 'inadequate' rating, there is a risk that children's services will fail to deliver an acceptable provision to the community.	Executive Director of Children, Young People and Learning	1. A child is exposed to dangers which could cause harm.	Treat	5	4	20	Deliver Children First Improvement Plan.	Senior Improvement	ongoing		5	5	25	Jun-20
			2. Significant reputational damage.					Continue to work with Hants CC as a partner in practice to improve the breadth of children's service.	Executive Director of Children, Young People and Learning	ongoing	Steering group established to report progress of the 9 workstreams into Improvement Board.				
			3. Reduced confidence by residents in the Councils ability to run children's services.												
			4. Legal implications through non-compliance or negligence.												