

Risk Ref	Risk Description	Agreed Risk Owner	Cabinet Member Strategic Lead	Gross Score (without controls)			Existing Controls & Evidence	Net Score (as it is now)			Direction of Travel for Residual Risk	Planned Actions	Future Issues	Expected Score (after actions & issues)		
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				L	I	LxI		L	I	LxI				L	I	LxI
1	<b>Service Delivery Prioritisation:</b> Risk that poor management of service prioritisation causes ineffective and inefficient delivery of services such that we fail to achieve our key priorities and corporate objectives.	Erika Wenzel, Chief Executive	Cllr Wesley Fitzgerald	3	4	12	A robust business planning process which has started for the planning cycle for 2011-2014. There is an efficiency / challenge process with senior members and officers reviewing the efficiency of service delivery areas. Weekly business planning group meeting with key Council staff members from Finance, Policy and Performance and Corporate Improvement. A documented service planning process making the links between services and the overall corporate plan. Quarterly performance reporting to Cabinet and CMT and a suite of mostly national indicators. Quarterly reporting to the PACE Executive on key performance outcomes. Reports include updates on mitigating actions. There are a series of external inspections and assessments which help ensure that resource and service delivery is effective (for example, OFSTED, CQC, Audit Commission). The sustainable community strategy was developed through major consultation and in conjunction with other key strategies for example the transport strategy and the local development framework. The 7 key priorities of the SCS are being used by the LAPS and all Strategic Partner O We have a comprehensive financial planning process which is now aligned The Corporate Scrutiny Committee scrutinised the budget setting process	3	4	12	↕	An improved service planning process, which includes a review of previous service delivery and is better linked to the financial planning process for the 2011/12 year. This will be reviewed after quarter 1 in 2011. Establishing more robust performance management across all service areas including implementing a new ICT system and periodic Portfolio Holder Challenge meetings. Improved business intelligence through the Joint Strategic Needs Assessment and individual research analysis through MOSIAC. Undertake and utilise the findings of the Quality of Life Survey of Cheshire East residents. Use the priorities within the SCS to continually develop the LAP delivery plans and report to the PACE Board.	Extent of political changes in relation to priorities The culture in relation to performance indicators Embedding the culture of performance management within the organisation.	3	4	12
2	<b>Financial Control :</b> Risk that the Council fails to manage expenditure within budget and maintain an adequate level of reserves, thereby threatening financial stability and service continuity and preventing the achievement of corporate objectives.	Lisa Quinn, Borough Treasurer	Cllr Wesley Fitzgerald	4	4	16	CFO is professionally qualified, report directly to the Chief Executive and is a member of the Corporate Management Team. Experienced, dedicated Finance Team with significant complement of professionally qualified and part qualified staff. Clearly defined financial roles, responsibilities and decision making processes, set out in the Council's Constitution, Finance & Contract Procedure Rules and local Schemes of Delegation. Standard templates for Member level decisions require financial implications and risks to be clearly set out. Fully integrated financial management system (Oracle), with comprehensive system access and security controls. Well developed suite of financial reporting tools providing scheduled and ad-hoc reports for management and monitoring purposes. These have recently been upgraded and access to Financial reports will be improved through extension of the existing Dashboard. Robust medium term financial planning linked to service performance and corporate objectives, as part of the corporate Business Planning process. Permanent impact of out-turn issues/experience addressed as pa Budget risk assessment framework now developed and is to be implement Reserves Strategy incorporating specific analysis of financial risks, forward Quarterly financial updates, incorporating variance analysis and out-turn p On-going review by Internal and External Audit teams, of the adequacy and Robust anti-fraud and corruption framework comprising :- Anti Fraud & Co Some financial training undertaken – 'Understanding Local Government Fi Business Management model now agreed and work on developing support Oracle R12 upgrade has been undertaken, including financial reporting ent	3	4	12	↕	Further develop financial training programme to ensure clear understanding of roles and responsibilities and promote financial literacy at officer and member level. Ongoing work on identifying key cost drivers for significant service activities and develop appropriate monitoring arrangements to allow for early identification of out-turn issues. Support managers to make best use of on-line and self-serve reporting tools, including financial 'dashboards'. Implement the budget risk assessment framework and realign to ensure resources are focussed on high risk budgets and issues. Provide financial support to a range of transformation and improvement projects and initiatives with a view to securing long term financial sustainability. Review service fees & charges and identify new income generation opportunities.	Further changes in local government funding regime. Failings of other providers, financial collapse leaving Cheshire East to deal with the economic impact etc. New service responsibilities – e.g. public health will need to be balanced against resources made available through funding transfers. Changes to service delivery models nationally and locally e.g. welfare reform, outsourcing, academies, shared services, will require significant changes to operational and budget management arrangements.	3	4	12

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3	<b>Community Safety:</b> Risk that ineffective management of community safety causes poor perception and poor provision of safety, leading to an increase in crime and anti-social behaviour and impacting on our ability to enhance the Cheshire East environment and improve opportunities for all.	John Nicolson, Strategic Director Places	Cllr Rachel Bailey	4	3	12	Dedicated Senior Management Post and Team for the development and monitoring of safer and stronger communities. Safer Cheshire East Partnership (SCEP) established made up of all 6 statutory partners i.e. Cheshire East Council, Police, Police Authority, Fire Service, Primary Care Trust and Probation Service. There are 6 thematic working groups within the SCEP for each priority area, for example, groups may look at town centre problems or anti-social behaviour in a specific area. There are monthly meetings on joint tasking and co-ordination around many areas where the partners share information and statistics and agree on specific actions for issues (e.g. Halloween / bonfire night advice, events etc.) National Indicators are presently used to measure how well Safer Cheshire East Partnership is performing which are collected quarterly and are reviewed at SCEP meetings. If any indicators give cause for concern then action plans are agreed and taken forward through a thematic group. SCEP may give funding for intervention on particular theme problems such as Domestic Abuse, Road Safety etc. 2011/12 Grants now mainstream Evidence of the controls is through the organisation structures, partnership Sub-national Community Safety & Justice Commission established to take Agreed new local partnership structures such that the focus is on delivery	2	2	4	↓↓	Following demise of NI set, SCEP looking at developing better local performance measures and to review how effective previous interventions have proved in impacting on key outcomes. Police Reform and Social Responsibility Bill may require further development of the sub-national partnership infrastructure and local delivery. Sub-national business cases being developed for joint working on IOM (integrated offender management), Community Safety, Domestic Abuse and Emergency Planning. Development of neighbourhood delivery model for road safety.	Police Reform Bill impact (appointment of Police and Crime Commissioners) Effectiveness of the SCEP structure. Future budget reductions.	2	2	4

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4	<b>Vulnerable Children:</b> Failure to recognise and act accordingly to safeguard and mitigate the risks of significant harm to all children, resulting in an inability to ensure better outcomes in life and possible death.	Lorraine Butcher, Director of Children & Families	Cllr Hilda Gaddum	4	4	16	A robustly chaired and managed Local Safeguarding Children Board (LSCB) (includes partners) Appropriately skilled and trained workforce in Children's Services Principle Manager Safeguarding in post. Initial supervision file audits Introduction of Locality Panels to identify 'stuck' CAF cases Triaging of Children and Vulnerable Adults (CAVA) referrals to ensure that there is a process to make an informed assessment of the level of risk for a child, this is done through a multi-agency complex needs panel. Implementation of a safeguarding training programme for early years settings (informed by the Plymouth Review and subsequent cases). Provision of single and multi-agency safeguarding training. There are a set of safeguarding policy and procedures endorsed by the Local Safeguarding Children's Board and complimentary internal policies and procedures. Multi agencies and public referrals where children at risk, make contact with Children's Services. There are documented flowcharts for referrals – under working together to safeguard children which is statutory guidance. Professional standards. There are clear thresholds for agencies to recognise risks of significant harm The Chair of LSCB sits on the Children's Trust so that the Trust can hold the Children's Trust setting multi-agency strategic direction and objectives for There is a serious case review process and all agencies and services are held to account Regular review process for all children with complex and specialist needs. Raised awareness by all partners of their responsibility to take action, education and training A common assessment framework (CAF) an early assessment toolkit where appropriate A Children's Assessment Team (Single Front Door) has been implemented Established specialist long-term teams of Child Protection, Child in Need and Child of Concern Corporate Parenting Board has been established and a Corporate Parenting Plan is in place	3	4	12	↑	Recruitment of two quality assurance managers in Children's Services Implementation of integrated model for targeting early intervention and prevention. New Head of Early intervention and prevention now in post Continuing to improve the quality of s47 enquiries, initial and core assessments. Strengthen the 'Front-Door' processes for contact and referrals into appropriate services. Strengthening monitoring review of all early years settings (such that providers meet required standards) Reviewing the safer recruitment process to ensure that we meet high recruitment standards. Reviewing advice to schools re safeguarding duties – in particular before and after school care Review safeguarding practice in relation to children with complex disabilities. Launch of Levels of Need guidance through multi-agency workshops. Desire to develop a risk register for LSCB. Early intervention strategies to tackle the cause and reduce the number of children at risk of significant harm. A robust information and response system for identifying and responding to children missing from home / school / care etc. – multi-agency requirement Carrying out Equality Impact Assessments. To capture the 'voice' of the children and then utilise this information for improvement To fully embed a quality assurance process of safeguarding activity. To embed locality panels to identify 'stuck' CAF cases. Development of the child death over-view panel (CDOP) in partnership with the police Implementation of the actions arising from the most recent SCR to safeguard children Progression of an improved methodology for learning from SCR's	Expect to see fewer serious case reviews Reduction/appropriate contact and referrals to statutory services due to the comprehensive assessment level. Ofsted Inspection Outcome could have an impact. Professor Monroe's major government review outcomes may have an impact. Funding pressures. High staff vacancy/turnover resulting in a loss of key skills and expertise.	3	4	12

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5	<b>Vulnerable Adults:</b> Failure to recognise and act accordingly to safeguard and mitigate the risks to vulnerable adults, resulting in an inability to ensure better outcomes in life for the most vulnerable , undermining the reputation of the Council and possibly resulting in significant legal and financial consequences.	Phil Lloyd, Director of Adult, Community Health & Wellbeing Services	Cllr Roland Domleo	4	4	16	Local Safeguarding Adults Board (LSAB), Local Safeguarding Childrens Board, Cheshire East Domestic Abuse Partnership and Domestic Abuse Family Safety Unit, MARAC – Multi-Agency Risk Assessment Conference as the Police lead on potentially dangerous persons, MAPA – Multi-Agency Protection Arrangements (for those in the criminal justice system). Local Safeguarding Adults Board has a risk register that is reviewed by Partners and the Board formally twice a year, Board members are responsible for alerting Board of any changes to risks at each meeting. Safeguarding Services undertake quality monitoring with the Council and other external providers. Contract section undertakes contract compliance checks with providers. Critical review of practice. Meet with Care Quality Commission. Training is undertaken by all stakeholders including basic safeguarding awareness. Where concerns are identified the LSAB has multi disciplinary meetings are used to co-ordinate interventions to attempt to reduce the risks faced. Risk assessment is used to assist with this as well as information giving to facilitate the persons understanding of the risks they pose to them. Electronic system PARIS captures referrals and investigation reports. Work Recruitment checks for people working in children and adult care including Risk assessments undertaken and reviewed through local independent living 'Critical Few' List most vulnerable individuals reviewed at Director level the Emergency Duty Team in place across both Children's and Adults Services. Approved mental health professionals and best interest assessors to ensure LSAB has a prevention sub group with terms of reference in place and co-ordinated. The LSAB has a Dementia Strategy in place with an Ageing Well Strategy in	3	4	12	↑↑	Prevention activity - raising awareness within Cheshire East on adult abuse and adult protection and related information. How to report concerns to professionals to access help. Work with LINKS to connect safeguarding monitoring activity via enter and view checks within provider settings. LSAB to develop the expertise of partner organisations engaged with providers and explore the viability of volunteers visiting those who have no family support in formal care settings. This will ensure a broader view of care provided to our most vulnerable citizens. Board to commission, through its sub group structure, an Adult Safeguarding Concern Process to provide enhanced reporting arrangements. Near Miss Group to review safeguarding matters that don't meet the SCR criteria but importantly requires agencies to review how they work collaboratively together.	Funding issues with Local safeguarding Board as partner contributions may be at risk. Training grant funding could be at risk. Recession impact means that unemployed increases / benefits reduced conditions for abuse are more common.  Risk of providers failing to deliver services [financially, reduced staffing] lack of awareness as staff not undertaking training or refreshers.	3	4	12

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6	<b>Equality Gap:</b> Risk that we fail to accurately recognise community needs and/or address those needs by taking the most appropriate action to close the equality gap across Cheshire East, thus preventing us from improving life opportunities and health for all.	Phil Lloyd, Director of Adult, Community Health & Wellbeing Services / Lorraine Butcher, Director of Children & Families	Cllr Roland Domleo / Cllr Hilda Gaddum / Cllr David Brown	4	3	12	Target resources to meet needs of community, targeted local delivery. Targeting initiatives re closing the equality gap, e.g. free school meals. Targeted drive around education attainment for children in care. Targeted approach to reduce teenage conceptions. Targeted support for transition into work for cared for children. Sustainable strategy identified as a key priority and is addressing health priorities e.g. Drive at the causes of poor health. Recession mitigation working group aims to mitigate the impact of the recession on business and residents of Cheshire East. Cabinet approved Equalities Action Plan. We commission an interpretation service for assessments as part of the commissioning strategy. Quality impact assessment on commissioning strategies. Personalisation offers a more tailored approach to meeting people's needs. Discussion with key agencies re travellers so that we can undertake a bespoke approach to support. Corporate Equalities Group and Equalities Group for Adults, specific post re Quality Impact Assessments until end of March. Joint strategic needs assessment tells us about the needs of our population based on demograp	3	3	9	↕	Need to maintain a sphere of influence Embedding targeted work at a locality level Strengthening the advocacy for vulnerable children who are living at the margins (White Paper will clarify LA role and responsibilities in respect of holding schools to account)	Housing allocations (JN's area) will affect this Funding delivery model – pupil premium allocations may be lower ( - issues with rural schools)	3	3	9
7	<b>Partnerships:</b> Risk that we fail to effectively engage with partners (third parties/private sector/voluntary sector) and/or lack the ability to fund partnerships, resulting in lack of service delivery affecting service users, poor reputation, and damage to future engagement opportunities and our ability to be an excellent council, working with others to deliver for Cheshire East.	Vivienne Quayle, Head of Policy & Performance	Cllr David Brown	4	4	16	Strong partnerships between LA and education providers Strong volunteering and faith sector in Cheshire East Governance structure with Partnership Agreement to support this approved by Audit & Governance and adopted by Local Strategic Partnership Executive Board. Partnerships management group which is an operational group to catch-up and ensure that aims are working in practice and that delivery has taken place. Regular meetings with Cheshire CVS (Council Voluntary Services) which is an umbrella organisation to ensure effective engagement. Cross working group with the community and voluntary sector to look at how we engage and fund activity at a strategic level. There are key staff across the organisation to work and facilitate actions with key partners. We work at a sub-regional level and are included in sub regional structures such as the Leaders Group which includes the 3 Council Leaders for Cheshire East, Cheshire West and Warrington and the Chief Executives for the Fire Service and Police Authority. There is a management group below that and we are working through the Director of We work with 160 voluntary groups and each has a separate agreement with Presently continue to review performance against Local Area Assessment (LAA) Work undertaken to ensure that we understand priorities and needs of the community We have identified key partnerships across the Council and key contacts for We have a PACE newsletter to promote partnerships on a bi-monthly basis There are regular press releases on the Local Area Partnerships and work carried out There are articles included about partnership work in Cheshire East News.	2	3	6	↕	Threat of reduced financial capacity but also opportunity that we might be able to achieve same or better – more focused commissioning. Reviewing our service delivery against reduced funding may lead to more effective targeting. Joint commissioning with partners through Children's Trust. Best value principles Working more effectively with parents. Ensure each service looks at how we facilitate effective partnership working. Partnerships Business Manager will review significant operational risks in relation to Partnership themes from services and directorates. Continual review of new and emerging governance arrangements re partnerships to ensure they are robust and fit to deliver. Will review the performance management framework and key indicators post LAA. Member and staff training to be given on the Localism Bill	May be lack of high quality providers Localism Bill may be an opportunity Risks through reduced funding but opportunities through increased volunteering Ability to continue to commission appropriate service delivery through external partners Ability to establish robust new partnerships (here we are also referring to schools as partners) Reduced funding may lead to loss of key posts which facilitate partnership working.	2	3	6

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8	<b>Health Partnerships:</b> Risk that we fail to integrate with Health partners, resulting in fewer opportunities to maximise health benefits and reduced efficiency gains, and affecting our ability to meet our corporate objectives to work with others to improve health.	Phil Lloyd, Director of Adult, Community Health & Wellbeing Services / Lorraine Butcher, Director of Children & Families	Clr Andrew Knowles	4	4	16	Through Children's Trust have coordinated activity – e.g. reduce teenage pregnancies, improving immunisation rates – reducing childhood obesity and prioritising childrens mental health Working on joint commissioning with progress report due in new year. Devolved to GPs discussion whether GPs wish to retain commissioning or for this to be done across the Borough. Set up partnership arrangements with GP Consortia – this has been received well. Transition Plan for transition element of PCT to Cheshire East. Transition Board has been set-up and meets regularly. Commitment from CMT to strengthen the Joint Strategic Needs Assessment (JSNA) and work is now underway in order to meet the challenges of the future health arrangements. Establishment of a dedicated post within Childrens Services to drive improvements and work across the Agencies to childrens health priorities. Growing awareness and knowledge of health landscape and changes internally (weekly briefings to Chief Executive) Senior post oversight of health agenda. Work already going on in Adults Directorate to integrate the Commissioning Portfolio Holder responsible for Health Portfolio. Have a comprehensive public health transition programme which has a start date. Report went to CMT recently identifying the various other elements of the transition. Cheshire East has been accepted as an Early Implementer of the Health and Wellbeing Green Paper. Health Oversight Group meets with Chief Exec and Portfolio Holder on fortnightly basis.	3	4	12	↑	Development of Health and Wellbeing Board Public Health transferring to LA Targeted locality work around early intervention Integrated commissioning Establishing working with GP consortia and health professional Health and Wellbeing Board to come into being from Apr 13 but will be in shadow form beforehand from Apr 12 although planned to do this before then. LSP and thematic groups will require a review. Considering integrating continuing healthcare with local authority e.g. assessment warrants full healthcare such as residential care or nursing care Cheshire East intends to apply for Early Implementer status of 'Healthwatch' which is a government proposed learning opportunity from feedback from consumers. To clarify schools responsibilities for health & well being for children Planned integrated delivery of services at the front line for childrens services e.g. health visiting, school nurses Future consideration of the implications of the SEN and Disability Green Paper	Increasing numbers of teenager with mental health difficulties Focus on healthy schools initiatives to improve health and wellbeing School meals guidance Substance misuse support Mental health initiatives (TAMS) Continued support PHSCE PCT will disappear. PCT clusters will come into existence from June 11 which may cause additional risks and opportunities in transition. Radical approach – more White Papers on the Horizon.	3	4	12



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9	<b>Education:</b> Risk that we fail to manage and maintain effective working relationships with all educational settings, resulting in potentially increasing an inability to maintain educational standards or to intervene where necessary. This will impact on our ability to improve life opportunities for children and young people in Cheshire East.	Lorraine Butcher, Director of Children & Families	Cllr Hilda Gaddum	4	3	12	Existing good relationships with Schools Existing good relationships with Education Improvement Partners – clusters of schools and settings Small take up of Academy status but good relationship maintained through effective communication Continue to provide services for schools through a buy-back option – relationships with schools provides a unique selling point Effective Governance arrangements in place with meetings with core groups – e.g. Director reports to Schools, Governor Forums, Schools Forum, Focus Groups, Head Teacher Associations and through local authority representation of governing bodies. Effective communication – e.g. Schools Bulletin. Consultation with schools provides evidence that they want to maintain their relationship with the Authority. School Improving Outcomes Programme which sets out clearly our responsibilities towards schools causing concern Close working relationship with the Diocese which enhances relationships with Faith Schools. We have robust data set about standards, attendance, special needs which informs the targeted support that schools receive. Head of Virtual School ensures education provision for cared for children is Children's Service employs consultants with educational expertise to deliver School Improvement Partner visits for all schools which ensures that each The local authority attends OFSTED feedback following inspections. The LA Data sharing protocols – schools and settings performance Internal Ofsted inspections in all Children's Centres Development of Local Leaders of Education which provide leadership support	2	2	4	↕	C+F service will maintain a number of existing measures Education Strategy in draft which sets out the future relationship with schools – involvement of Head Teachers in the process. Clarity about which services will continue to be delivered by the LA maintains consistency and quality Greater transparency about the LA's role in intervening in failing schools will secure better relationships with schools as Children's Service budget for intervention and prevention strategy for schools which don't meet expected standards Improved website and school bulletin will maintain and improve communication with schools Establish a new Professional Development Partnership which will secure through effective governance learning and development opportunities for school based staff Strategic dialogue around structural solutions for schools and settings Further delegation of designated schools grant will ensure the schools have clarity about what functions and resources have been retained by the LA and which have been passported to schools	The number of schools converting to academy status has the potential to reduce the influence we have with schools and may impact negatively on the LAs ability to intervene and prevent schools falling below expected standards	3	3	9

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10	<b>Workforce:</b> Risk that we fail to retain and motivate an effective and engaged workforce, such that the staffing infrastructure fails to support the Council in being excellent and achieving the corporate objectives.	Paul Bradshaw, Head of HR & Organisational Development	Cllr Peter Mason	4	3	12	Workforce Planning / Workforce Development Planning – Document owned by Organisational Development. Bespoke CEC People Strategy in place – Available on Intranet (owned by HR Strategy), progress to be reported to Staffing Committee annually. Harmonisation & Equal Pay / Job Evaluation – to be completed in 2011. Positive relations with Trade Unions – ongoing. Evident at Corporate TU meetings and through Staffing committee. Learning & Development – Corporate Training Programme now in place for all staff. Health & Safety – Corporate H&S team that work closely with service to minimise risk and identify H&S risks. Equalities & Diversity – Single Equality Scheme Action plan. Modern apprenticeships - opportunities to recruit and develop young people. Exit interviews – to better understand why people leave the organisation and what we can learn from that (to improve retention of key members of staff). Staff Survey and follow up ‘People’ focus groups – Assess staff motivation and engagement levels through the staff survey and follow up actions/improvements through the focus groups. Recognition Scheme (based on ASPIRE) – Corporate recognition scheme th Appraisals – opportunity to review performance, address skills gaps, discus	4	3	12	↑↑	Further develop workforce plans and workforce development plans at service level. Succession planning Framework to be designed and implemented. Implement Oracle Learning Management to better enable the Council to manage development resources and identify skills gaps in key areas. Development of a Stress Management Toolkit jointly with HR, H&S and OHU to further support employees. We are currently out to consultation with all staff about a review of terms and conditions of employment. This will result in changes to the Council's terms and conditions and any such changes will need to be considered in terms of the impact on retention, motivation and engagement.		3	3	9
11	<b>Opportunities:</b> Risk that we fail to position the Authority to maximise opportunity, resulting in an inability to build up potential, capability and resource to respond to future needs and a sustainable Cheshire East.	Erika Wenzel, Chief Executive	Cllr Wesley Fitzgerald	4	3	12	Sub-regional partnership working and group architecture. Leader and Chief executive meet regularly with their equivalents across the sub-region to ensure joint working and maximising opportunities of working together. We are heavily involved in work to establish a Local Enterprise Partnership (LEP). LEP has been established and will commence operation from February. We have joined the AGMA – Association of Greater Manchester Authorities and are able to make connections and realise benefits of working with the Manchester region. Presently undertaking work on Shared Services and have conducted a workshop with Cheshire West & Chester and four other local authorities to get people to buy into the shared services model. In light of increased freedom for local authorities through localism, we are looking to identify opportunities as well as efficiencies through the Local Strategic Partnerships.	3	3	9	↕	Joint working with health partners to integrate public health activity and maximise opportunities for improving health outcomes and reduce inefficiencies. As part of Service Planning process and review, maximising external opportunities will be an integral aspect. Total Place Activity sponsored through PACE Board will assist in maximising opportunities across all partner aims.		3	3	9



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12	<b>Long-Term Planning:</b> Risk that we fail to plan effectively for long term success, threatening the future viability and sustainability of Cheshire East.	Erika Wenzel, Chief Executive	Cllr Wesley Fitzgerald	3	4	12	Sustainable Community Strategy has a 15 year vision with priorities. Local transport plan and local development framework all have 15 year time horizons. Regeneration strategy work underway for Crewe and Macclesfield which is key for long-term planning for a sustainable Cheshire East. Monthly meeting of Place Shaping Group – this is cross-directorate and ensures joined up thinking of services such as transport, housing, health and well being, local development framework and economic development. Ageing Well Strategy is a 5 year plan from April (includes Dementia Strategy), on the Adult, Community and Wellbeing side there are plans to shift resource in the long-term from reaction to prevention. There is a 'Lifestyle Concept' to integrate health and well being in adults to create a healthier population to reduce the demand on health and well care services. A robust business planning process (including financial planning, staffing and organisational structure planning) which has started for the planning cycle for 2011-2014. There is an efficiency / challenge process with senior members and officers. Weekly business planning group meeting with key Council staff members for. A documented service planning process making the links between services. The authority is statutorily required to have a budget and strategic financial. The Council has a reserves strategy.	3	3	9	↑↓	Make better link with Ageing Well Strategy. Need to look at demographic changes and resulting expectations of services provided. Integration of NHS activities. Keeping an eye on regional and national issues, developments and initiatives (e.g. localism bill). Working with strategic partners to link all organisations to 7 priorities in the SCS Targeted activities through the LAPS based on 'Total Place' concept. Joint planning with the LEP. Formal process to escalate issues to MPs and lobby where appropriate. Implementation of the Transformation programme. Production of core strategy and local development framework (due Oct 11 and end 2012)	Many unknowns due to extent and uncertainty of political and policy changes. Influencing relevant influencing bodies e.g. LGA	3	2	6
13	<b>Transformation:</b> Risk that we fail to manage the scale of change of transformation projects to effectively and efficiently shape our services, deliver essential benefits and savings, resulting in a possible loss of continual improvement and a possible inability to deliver our key corporate objectives.	Ceri Harrison, Head of Corporate Improvement	Cllr Wesley Fitzgerald	4	4	16	Dedicated post and team reporting directly to Chief Executive and member of Corporate Management Team, responsible for the development and monitoring of the corporate improvement programme. A revised transformation programme for the whole Council has been produced and presented to CMT. Some external consultancy and advice currently employed to assist with transformation. Service specific resources dedicated to the delivery of major improvement and transformation projects with individual governance arrangements, supplemented by significant input from Account Managers within the Corporate Improvement Service Some programme management methodology in place. Purchased Project Management Module within CorVu and agreed the implementation of this as the key project management system for the Authority by CMT. In the process of populating CorVu system with the key projects in partnership with Directors and Heads of Service. Produced and agreed a Benefits Realisation Plan which identifies specific actions and timescales to deliver the £31m savings target in the 2011-12 budget. The savings target is contingent upon the delivery of the Transformation Agreement by Cabinet and CMT to carry out monthly monitoring of the Benefits Realisation Plan. The Council has agreed to consider progress against the Transformation Programme.	3	4	12	↑↓	The Team in partnership with CMT will develop the cultural aspect of transformational leadership and corporate improvement and ensure there is a comprehensive training programme for project and service managers involved in delivering the transformation programme There are plans to initiate a 'virtual network' with key contacts for projects and big change jobs in different service areas and periodic meetings to report on progress.	Ownership and buy in across the organisation. Leadership on difficult decisions. Resource and capacity is an issue, talent required, capable staff. Culture. Political considerations e.g. elections. Effective team working – no silos. Relationship between Corporate Improvement Service and Directorates	2	4	8

Risk Ref	Risk Description	Agreed Risk Owner	Cabinet Member Strategic Lead	Gross Score (without controls)			Existing Controls & Evidence	Net Score (as it is now)			Direction of Travel for Residual Risk	Planned Actions	Future Issues	Expected Score (after actions & issues)		
				Likelihood	Impact	Total Score		Likelihood	Impact	Total Score				Likelihood	Impact	Total Score
				L	I	LxI		L	I	LxI				L	I	LxI
14	<b>Information, Research &amp; Business Intelligence:</b> Risk that we fail to invest in / make effective use of information / business intelligence, which leads to poor decision making, and undermines our ability to effectively and efficiently deliver the corporate objectives.	Vivienne Quayle, Head of Policy & Performance	Cllr David Brown	4	4	16	There is a dedicated business intelligence team and there are Service Planners within Adult and Childrens Services who use data to influence future planning. There is a core data set contained with the Joint Strategic Needs Assessment (JSNA) which is used to influence commissioning of health provision and adult social care. New performance management system – CorVu has been purchased and is currently being implemented (phase 1 underway). We have set of performance indicators that are regularly reported on to Cabinet, Scrutiny and CMT. Working at sub-regional levels ‘DORIC’ about efficiency savings and developing sub-regional links with Cheshire West and Warrington. Research team tools such as Mosaic to profile and plan where services are best aimed and delivered. Use of the PARIS system by both Childrens Services and Adult Services to ensure future service planning. Supporting the census to improve the comprehensiveness of intelligence to understand the people and demographics for Cheshire East. Economic forecasting providing information particularly to Regeneration Team. Undertaking the Quality of Life Survey. We have an Equality and Diversity Policy and Action Plan based on current Use of inspection outcomes and reports to improve delivery and ensure co	3	4	12	↑↓	Using the 2011 census to improve the comprehensiveness of intelligence to understand the people and demographics to influence service planning for Cheshire East. Disaggregating information from all sources (e.g. census, previous surveys, economic analysis) by people and LAP areas. Implementing the Action Plan from the Quality of Life Survey. Implementing the Action Plan for Equality & Diversity. Developing improvement actions against the performance indicators. Adapting the performance indicators to the localism agenda and the single data set. Implement the findings of the JSNA peer review to better use the data to influence commissioning. Develop culture and raise awareness of better use of business intelligence to make decisions. Review the action taken as a result of the mosaic reports. Data Quality Policies and Procedures to be revisited.	Impact of Shared Service proposals for the sub-region for Business Intelligence. Changing the requirements of the JSNA as a result of the health reforms	3	4	12
15	<b>Reputation:</b> Risk that consideration is not given and management action is not taken, to effectively maintain the reputation of the Council, leading to a loss of public confidence, threatening the stability of the Council and our ability to deliver the corporate objectives.	Vivienne Quayle, Head of Policy & Performance	Cllr David Brown	4	4	16	The democratic process and the constitution ensures the openness and authorisation of decision making. Media Relations Protocol agreed by Cabinet and published on Centranet Media Relations Training in place in Members Training programme Members of Communications Team attend Directorate DMT's Member of Media Relations Team on call 24/7 Media monitoring service that reports on positive, negative and neutral coverage which is used to influence Cabinet members on informing the Communications Team and Senior Managers about issues earlier. Communications Team have a slot on the Induction Session – will cover what is reputation management, why it is so important, when it goes wrong and when it goes right, how measure on collective basis – tips and hints. We have Customer Services standards and a Customer Services Strategy We have a Customer Complaints Process. Children Services and Adult Services maintain high quality standards of performance. We have a corporate objective “Being an excellent Council and working wi We did a Quality of Life Survey to gain customer feedback on a variety of is We did a ‘mystery shopping’ survey on customer outlets to assess the effe Strong quality control within the Contact Centre, we record every call and	3	4	12	↑↓	Reputational Management Strategy to be drafted. Wider training on reputational management based on the strategy. Ownership and awareness of customer service standards. Learning from Customer Complaints Setting performance measures for customer standards for individuals. Measure output of service plans to ensure that we achieve the individual and corporate objectives (obj 5). Producing an Action Plan as a result of the Quality of Life Survey. Further developing the Mystery Shopper Survey across other areas. To include a prompt within the decision making process about Reputation Risk. To further utilise the media monitoring service that reports on positive, negative and neutral coverage to inform and develop future strategies. Review of national performance indicators.	The election may impact on reputation Grant settlement and budget settlement may impact due to the extent of the savings. NHS reform will impact on the reputation. Difficulty in changing the culture. Harmonisation and workforce changes.	3	4	12

Risk Ref	Risk Description	Agreed Risk Owner	Cabinet Member Strategic Lead	Gross Score (without controls)			Existing Controls & Evidence	Net Score (as it is now)			Direction of Travel for Residual Risk	Planned Actions	Future Issues	Expected Score (after actions & issues)		
				Likelihood	Impact	Total Score		Likelihood	Impact	Total Score				Likelihood	Impact	Total Score
				L	I	LxI		L	I	LxI				L	I	LxI
16	<b>External Environment:</b> That development and changes as a result of government policy and reviews, such as the comprehensive spending review and the abolition of some quangos, compromise the Council's ability to deliver its key strategic aims.	Erika Wenzel, Chief Executive	Cllr Wesley Fitzgerald	4	4	16	The Council subscribes to a number of national research and analysis networks/services to obtain up to date information on the latest policy and financial developments, so that key changes can be reflected in planning assumptions , policy reviews and financial modelling. The Council participates in national consultation exercises, surveys etc, and briefs local MPs and MEPs, with a view to influencing and informing national policy thinking and ensuring CEC's position is fully represented regionally and nationally. Members and CMT are regularly briefed on finance and policy developments, so that decision making can take into account key issues and changes for CEC. The Council works through research and lobby groups, and through professional associations to promote national debate on issues of key local interest e.g. balances of funding review. Round table discussions are had through the LSP to undertake horizon scanning and raise topics that may impact on other partners. Director of Adult, Community and Wellbeing Services is a member of the Association of Directors of Adult Services, this is a powerful body that negotiates. Regular internal policy briefings issued to Senior Staff and Members. Transition Plan for public health transfer.	4	3	12	↑ ↓	To improve joint working with policy to pool thinking. Tailoring the Policy Briefings specifically to Cheshire East and ensuring actions are taken.	Health Reform Schools Policy Localism Policies Impact of benefits changes Child Welfare Increasingly ageing population Continuing pace of policy change and the detailed understanding of impacts	4	3	12

	1	2	3	4
11 x i1 = 1 Low	1	2	3	4
11 x i2 = 2 Low	1	2	3	4
11 x i3 = 3 Low	1	2	3	4
11 x i4 = 4 Low	1	2	3	4
12 x i1 = 2 Low	1	2	3	4
12 x i2 = 4 Low	1	2	3	4
12 x i3 = 6 Med	1	2	3	4
12 x i4 = 8 Med	1	2	3	4
13 x i1 = 3 Low	1	2	3	4
13 x i2 = 6 Med	1	2	3	4
13 x i3 = 9 Med	1	2	3	4
13 x i4 = 12 High	1	2	3	4
14 x i1 = 4 Low	1	2	3	4
14 x i2 = 8 Med	1	2	3	4
14 x i3 = 12 High	1	2	3	4
14 x i4 = 16 High	1	2	3	4

SCORING CHART FOR IMPACT						
	Factor	Score	Effect on Service/Project	Embarrassment/reputation	Personal Safety	Financial Implications
THREATS	Major	4	<b>Service</b> - Major loss of several important areas. Disruption 5+ Days <b>Project</b> - Complete failure or extreme delay (3 months or more)	Adverse and persistent national media coverage Adverse central government response	Death	> £1m Or >£5m for corporate risks
	Serious	3	<b>Service</b> - Complete loss of an important area. Major effect to services in one or more areas for a period of weeks Disruption 3-5 Days <b>Project</b> - Significant impact on project or expected benefits fail/ major delay (2-3 months)	Adverse local publicity of a major and persistent nature Adverse publicity in professional/municipal press arena	Major injury	Between £1m and £500,000
	Significant	2	<b>Service</b> - Major effect to an important area or adverse effect in one or more areas for a period of weeks Disruption 2-3 Days <b>Project</b> - Adverse effect on project/ significant slippage (3 weeks–2 months)	Adverse local publicity /local public opinion aware	Severe injury	Between £500,000 and £100,000
	Minor	1	<b>Service</b> - Brief disruption of important area Significant effect to non-crucial service area Disruption 1Day <b>Project</b> - Minimal impact to project/ slight delay less than 2 weeks	Complaint from individual/small group	Minor injury or discomfort	Less than £100,000
OPPORTUNITIES	Exceptional	4	Major improvement to services, generally or across a broad range	Positive national press National award or recognition by national government	Major improvement in health, welfare & safety	Producing more than £50,000
	Significant	3	Major improvement to service or significant improvement to critical service area	Recognition of successful initiative Sustained recognition and support from local press	Significant improvement in health, welfare & safety	Producing up to £50,000

SCORING CHART FOR LIKELIHOOD					
Factor	Score	THREATS - Description	Indicators	OPPORTUNITIES (Favourable Outcome) Description	Indicators
Very likely	4	>75% chance of occurrence	Regular occurrence Frequently encountered - daily/weekly/monthly	>75% chance of occurrence or achieved in one year.	Clear opportunity, can be relied on with reasonable certainty, to be achieved in the short term.
Likely	3	40% - 75% chance of occurrence	Within next 1-2 yrs Occasionally encountered (few times a year)	40% to 75% chance of occurrence. Reasonable prospects of favourable results in one year.	May be achievable but requires careful management. Opportunities that arise over and above the plan.
Unlikely	2	10% - 40% chance of occurrence	Only likely to happen 3 or more years	<40% chance of occurrence or some chance of favourable outcome in the medium term.	Possible opportunity which has yet to be fully investigated by management.
Very Unlikely	1	<10% chance of occurrence	Rarely/never before	<10% chance of occurrence	Has happened rarely/never before