

**To the Chair and Members of the
AUDIT COMMITTEE**

STRATEGIC RISK REPORT MAPPING

Relevant Cabinet Member(s)	Wards Affected	Key Decision
Mayor Ros Jones	N/a	No

EXECUTIVE SUMMARY

1. The Audit Committee has a key responsibility for ensuring the Council has effective risk management arrangements in place. Following a self-assessment exercise completed by the Audit Committee in earlier this year and subsequent discussions at Audit Committee meetings, the Audit Committee decided to look more deeply into the management of the Council's strategic risks.
2. To facilitate its decisions on which strategic risks to carry out 'deep-dive' reviews on, the Audit Committee requested information on where progress in relation to the Council's strategic risks are currently reported, with a view to providing additional assurance through its own 'deep-dive' reviews, for example where there are no other Member reviews of the management of the risks. **Appendix A** lists the Council's strategic risks and highlights the reports that are scheduled to be produced during the year for each of the risks.

RECOMMENDATIONS

3. **The Audit Committee is asked to:**
 - a) **Note and comment on the report.**
 - b) **Nominate the strategic risks it wishes to carry out 'deep dive' reviews on, to provide a more in-depth picture of how the risks are managed reviewed and reported.**

EXEMPT REPORT

4. Not Applicable

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

5. The embedding of robust risk management arrangements within the Council incorporating the management of strategic risks creates an environment in which we can successfully meet our objectives to deliver Doncaster's priorities and the Mayoral Priorities Outcome Framework.

IMPACT ON THE COUNCIL'S KEY PRIORITIES

6.

Priority	Implications
All people in Doncaster benefit from a thriving and resilient economy.	The embedding of robust risk management arrangements within the Council will contribute to the effective delivery of all the Council's key priorities
People live safe, healthy, active and independent lives.	
People in Doncaster benefit from a high quality built and natural environment.	
All families thrive.	
Council services are modern and value for money.	
Working with our partners we will provide strong leadership and governance.	

RISKS AND ASSUMPTIONS

7. The Risk Management Policy includes a requirement to review strategic risks on a quarterly basis and this is a matter of good management and good governance.

LEGAL IMPLICATIONS

8. Any specific implications will be reported separately and in the context of any initiative proposed to be taken in relation to the management of strategic risk.

FINANCIAL IMPLICATIONS

9. Should any specific initiatives be required, in response to the management of strategic risks, any cost implications will be reported and addressed as and when they arise.

HUMAN RESOURCES IMPLICATIONS

10. There are no direct human resources implications resulting from this report

TECHNOLOGY IMPLICATIONS

11. There are no direct technology implications resulting from this report.

EQUALITY IMPLICATIONS

12. There are no specific equality implications arising from this report. However, any activities arising from the management of strategic risks will need to be the subject of separate

'due regard' assessments.

CONSULTATION

13. Consultation has taken place with strategic risk owners and Directorate Management Teams as part of the quarterly performance challenge process.

BACKGROUND PAPERS

Reports generated via Covalent for Directorate Q1 challenge meetings
Corporate Plan 2016/17
A range of relevant corporate reports

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Strategic Risks Report Map

Ref	Strategic Risk (Directorate and Director)	Reporting Schedule	Notes
SR02	(AH&W – Kim Curry) Health and social care services do not change fast enough , impacting on quality, accessibility and affordability of services for people who need them most Current Risk profile: 15 Target Risk profile: 15	Risk reports from Covalent AH&W DLT: Monthly	Additional linked reports/activity include: <ul style="list-style-type: none"> • LGA safeguarding peer review recommendations progress review (by LGA); • AHWB Transformation Programme progress report • Monitor and review via covalent in line with Risk Management Policy • PDR review forms and one to one forms
SR03	(F&CS – Simon Wiles) Failure to set robust assumptions on pensions deficit recovery and future contribution rate for the 2016 valuation Current Risk profile: 12 Target Risk profile: 4		Detailed information on the 2016 valuation, including assumptions, will be set out in the budget reports. Depending on the valuation report received in September a separate report may also be required for Executive Board, this be will determined following discussions based on the level of risk.
SR04	(F&CS – Simon Wiles) Current austerity measures result in increased poverty in Doncaster, causing deprivation for citizens and restricting the borough's ability to improve and grow <i>(wording to be reviewed as part of the Q1 challenge process)</i> Current Risk profile: 20 Target Risk profile: 12	A specific report to evidence the management of this risk. Directors: End of Q3 Exec Board: TBC Cabinet: TBC OSMC: TBC	Additional linked reports/activity include: <ul style="list-style-type: none"> • Annual partnership anti-poverty Strategy and Action Plan summit (held in June 2016); • Anti-Poverty Needs Assessment (presented at Anti-poverty Summit in June 2016)
SR05	(F&CS – Simon Wiles) Failure to deliver the actions identified in the Equality and Inclusion action plan may impact our ability to effectively embed and delivery the equality agenda which could result in the council being exposed to public 'due regard' challenge Current Risk profile: 12 Target Risk profile: 8	The Annual Report for 2015/16 and the Year 3 Action Plan Directors: September Exec Board: TBC Cabinet: TBC A review of the council's approach to Equalities and Diversity to inform the next 4 year plan will be carried out and reported as	The elements of the Action Plan are assigned to the relevant Service Area and are managed by the Equality Portfolio Group and the Steering Group. The outcomes will inform the development of the Equality and Diversity Plan for 2017-2020.

		<p>follows:. Directors: January 2017 Exec Board: February 2017 Cabinet: February 2017</p>	
SR07	(F&CS – Simon Wiles) Failure to improve Data Quality will prevent us from ensuring that data relating to key Council and Borough priorities is robust and valid	<p>Development of a data quality strategy for the council Directors: 22nd August 2016 Exec Board: 13th September 2016</p>	Targeted dates for completion of development of strategy 30/9/16, followed by roll out of action plan.
	Current Risk profile: 16 Target Risk profile: 8		
SR08	(F&CS – Simon Wiles) Failure to achieve the budget targets for 2016/17 and 17/18	<p>It is scheduled to produce a number of reports on progress leading to approval of the Budget at Full Council on 2nd March 2017</p> <p>Medium Term Financial Plan and draft 2017/18 budget proposals Cabinet: November 2016</p> <p>Draft Budget Proposals Cabinet: 17th January 2017 14th February 2017 Full Council: 2nd March 2017</p> <p>School examination results Provisional examination / school results CYP scrutiny panel – Sept 2016; Directors: Nov 2017; Executive Board: Nov 2017</p> <p>Validated examination results - CYP scrutiny panel - Feb 2017;</p> <p>Education and Skills Commission report Council – Sept 2016 CYP scrutiny panel – Sept 2016;</p>	<p>The reports will go to numerous Directors, EB, Cabinet and Scrutiny meetings during the period September 2016 to March 2017</p> <p>Launched on the 17th January, approved on the 14th February</p> <p>The revised school improvement strategy gives details of the ongoing approaches to manage the risks to underachievement in all key stages. Ongoing LA plans for the services and partners concerned are in place and monitored regularly, reported to the Education Improvement Board, governing bodies and Overview and Scrutiny. A number of time limited projects are being actioned to improve standards in the areas at greatest risk of not reaching National averages.</p>
	Current Risk profile: 20 Target Risk profile: 9		
SR09	(L&O:CYP – Damien Allen) Children and Young People do not achieve in line with national expectation		
	Current Risk profile: 16 Target Risk profile: 12		

<p>SR10 (L&O;CYPS – Damien Allen) Failure to adequately implement effective joint working arrangements which could lead to ineffective delivery of children's services across the wider partnership system</p> <p>Current Risk profile: 12 Target Risk profile: TBC</p>	<p>JSNA Children and families Partnership Board Sept 2016; Health & Wellbeing Board – Oct 2016;</p> <p>Children and Young People's Plan. Children and families Partnership Board – Jan 2017(approval) ; Directors – Jan 2017 (for info) Executive Board – Jan 2017; Cabinet - Feb 2017;(for info) Council – March 2017 (for info)</p> <p>DMBC / DCST Annual contract review report Quarterly performance monitoring meeting Nov 2016; Performance Accountability Board – Dec 2016 Directors- Dec 2016; Executive Board – Dec 2016; Children' scrutiny panel – Jan 2017; (<i>submitted for approval to DfE Dec</i></p>	<p>The Children and Families Partnership Board is responsible for discharging the overall S10 statutory duty which is overseen and monitored by Team Doncaster and reviewed by the Doncaster Children's Safeguarding Board and Health and Wellbeing Board.</p>
<p>SR13 (L&O;CYPS – Damien Allen) Failure by the Council and the Trust to agree and set a realistic annual budget target</p> <p>Current Risk profile: 15 Target Risk profile: TBC</p>	<p>In addition to the activity set out under SR08 above the Trust's budget will be considered under the Annual Review as set out in the service contract with the Trust. The Annual Review report is required to be submitted to the SoS for Education around December 2016 and will be reported to Cabinet, in line with reporting set out in SR08 above It is scheduled to produce a number of reports on progress leading to approval of the Budget at Full Council</p>	<p>A number of meetings will be held as part of the Council's budget setting process and Trust's Annual Review process from September 2016 to January 2017 and updates will go to the meetings identified in SR08 above.</p> <p>Financial performance is challenged at the officer performance monitoring meetings with the Trust and issues escalated as required to the Joint DMBC / DCST quarterly monitoring meeting and Performance Accountability Board.</p>

on 2nd March 2017

Medium Term Financial Plan and draft 2017/18 budget proposals

Cabinet: November 2016

Draft Budget Proposals

Cabinet: 17th January 2017

14th February 2017

Full Council: 2nd March 2017

SR14 (L&O;CYPS – Damien Allen) Failure to meet children's safeguarding performance requirements which could lead to an 'inadequate' inspection judgement by Ofsted

Current Risk profile: 15 Target Risk profile: 15

LGA peer review

Quarterly performance monitoring meeting - Sept 2016;
Directors - Sept 2016

Ofsted monitoring visits – August November 2016; February 2017
Quarterly performance monitoring meetings and Performance Accountability Board

DCST quarterly report - Children's scrutiny panel - Oct 2016; Feb 2017.

DMBC / DCST Annual contract review report

Quarterly performance monitoring meeting Nov 2016;
Performance Accountability Board – Dec 2016
Directors- Dec 2016;
Executive Board – Dec 2016;
Children' scrutiny panel – Jan 2017;
(submitted for approval to DfE Dec 2016;)

Performance is challenged at the officer performance monitoring meetings with the Trust and issues escalated as required to the Joint DMBC / DCST quarterly monitoring meeting and Performance Accountability Board.

The following strategic risks profiles are 10 or less

SR01	(AH&W – Kim Curry) The agreed standards and policies are not adequately understood and implemented by practitioners who work with vulnerable adults increasing the risk of vulnerable people experiencing harm or abuse	Current Risk profile: 10	Target Risk profile: 10
SR06	(F&CS – Simon Wiles) Failure to implement the Council's key borough objectives in partnership	Current Risk profile: 6	Target Risk profile: 6
SR11	(L&O;CYPS – Damien Allen) Failure of partnership to engage in effective early intervention leading to inappropriate referrals to statutory services and unnecessary escalation of need and risk	Current Risk profile: 9	Target Risk profile: TBC
SR12	(L&O;CYPS – Damien Allen) Failure to adequately address a sufficient number of Children's Trust PIs (as defined in the service delivery contract)	Current Risk profile: 9	Target Risk profile: TBC
SR15	(R&E – Peter Dale) Failure to respond adequately to borough emergencies or mitigate effectively against the effects of extreme weather conditions e.g. flooding	Current Risk profile: 8	Target Risk profile: 15
SR16	(R&E – Peter Dale) Without effective influence and engagement with the Sheffield City Region, there is a threat that Doncaster does not achieve economic benefit from the devolution deal	Current Risk profile: 9	Target Risk profile: 9
SR17	(R&E – Peter Dale) Failure to identify and manage Health and Safety risks	Current Risk profile: 8	Target Risk profile: 8

In addition to the reports listed above Strategic Risks are reviewed as part of the quarterly Finance and Performance challenge process. The timetable for 2016/17 is as follows:

	Q1	Q2	Q3	Q4
Directors	10 th August 2016	31 st October 2016	1 st February 2017	TBC
Exec Board	16 th August 2016	8 th November 2016	7 th February 2017	TBC
Cabinet	6 th September 2016	29 th November 2016	28 th February 2017	TBC
OSMC	6 th October 2016	15 th December 2016	23 rd March 2017	TBC
Audit Committee (Risk section only)	TBC	TBC	TBC	TBC