

Appendix Two - Actions due in September / Ongoing Actions

Risk /Area	Owner	Last Qtr	This Qtr	Likelihood	Impact	Possible Causes	Mitigating Actions	Action Owners	Target date	Progress
1. Organisational Sustainability	Chief Executive	M	H		<ul style="list-style-type: none"> Inability to deliver services Loss of local decision making 	<ul style="list-style-type: none"> Scale of austerity measures Level of funding from new income sources including business rates Difficulty in succession planning in key roles across the organisation High levels of expenditure due to escalating demand on services, Inability to recruit key/critical roles across the council 	<ul style="list-style-type: none"> Monitor savings from change programmes quarterly and adjust programme accordingly 	Head of Finance & Change	On-going	In place
							<ul style="list-style-type: none"> Hold meetings with CEO's of the top 20 businesses in the Borough 	Corporate Director Economy, Regeneration & Skills	September 2016	Work has started
							<ul style="list-style-type: none"> Use the JSNA which highlights inequalities to inform commissioning and development of preventative services to reduce future demand 	Director of Public Health	September 2016	<i>A number of JSNA reports have been produced over the last year and published on the JSNA website http://www.swindonjsna.co.uk/dna. These include Falls and Bone Health JSNA, the Swindon Inequalities report and the Oral health JSNA. These reports are discussed at the Swindon Health and Wellbeing Board (HWB) and at the Joint Commission Group to inform commissioners and service provision. The JSNA Steering group (Sub group of the HWB) has a forward workplan that identifies future JSNA development based on our local challenges and issues. Other JSNAs under development include the Diabetes JSNA and the Economic JSNA.</i>
2. Political Climate	Chief Executive	L	L		<ul style="list-style-type: none"> Variations to priorities Ambitions not realised Financial impact of change Destabilising relationship between members and officers Reputational damage 	<ul style="list-style-type: none"> Competing political pressures Lack of good communication between officers and members Actions of individual or group have negative impact National policy changes Wide range of challenging issues being taken forward Roll-out- out of Community Governance Review implementations 	<ul style="list-style-type: none"> Ensure that there are regular meetings of LAG focussing on key issues 	Chief Executive	Weekly	In place
							<ul style="list-style-type: none"> Arrange regular cross party briefings focussed on key issues 	Chief Executive	20 September 2016	In place
							<ul style="list-style-type: none"> Provide Members with regular communications via <ul style="list-style-type: none"> A daily media round up The weekly Members' bulletin Dissemination of reports and meeting documentation 	Director of Law & Democratic Services/ Head of Performance, People & Engagement	Daily/Weekly and as required in advance of meetings	Daily media briefing is happening, every day for about a month now
							<ul style="list-style-type: none"> Provide Members with relevant policy information and bulletins focussing on key issues 	Head of Performance, People & Engagement	September 2016	In place

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3. Safeguarding Children	Director of Children's Services	M	M	<ul style="list-style-type: none"> Preventable Injury or death Standard of care suffers Reputational damage Challenge/change to delivery arrangements Potential damages Loss of public and member confidence 	<ul style="list-style-type: none"> Recruitment/retention of sufficient skilled staff Inadequate processes Error Limitations of case management system Inadequate supervision Inherently unpredictable client behaviour National Policy/Guidance changes 	<ul style="list-style-type: none"> Implement an enhanced Quality Assurance Framework (QAF) and plan 	Director of Children's Services	Currently in place embedding the plan over next 12 months	A QA framework is embedded and remain to be built on – a QA Board is in place and analysis of all QA activity are reviewed and actions agreed on a quarterly basis
						<ul style="list-style-type: none"> Carry out a Multi-Agency Safeguarding Hub Threshold review 		Ongoing via the Local Safeguarding Children Board Task and Finish Group	LSCB has commenced with this review but has had little multi-agency support. Early Help and Social Care appear to be the consistent attendees and are working on revised threshold criteria
						<ul style="list-style-type: none"> Deliver a targeted recruitment campaign. Review social work caseloads 		September 2016	Vacancies have continued to reduce due to targeted recruitment of newly qualified social workers within an 'academy' supporting them for a 6 month period through an aspiring manager. This review has concluded and it was agreed for caseloads to be reduced to approximately 15 children per social worker. Caseloads are in the process of reducing due to the introduction of newly qualified social workers
						<ul style="list-style-type: none"> Ensure that there is constant review of the OFSTED Action Plan and targeting of key areas which require improvement. 		September 2016	The Ofsted Action Plan is incorporated within Team Improvement Plans and is reviewed on a bi-annual basis
						<ul style="list-style-type: none"> Deliver workshops and training to promote improved performance with a focus on practice gaps. 	Director of Children's Services	September to December 2016	Mandatory training has been identified and training has been quality assured to ensure they meet the identified learning needs.
6Major unplanned expenditure	Corporate Director Resources	M	M	<ul style="list-style-type: none"> Depletion of reserves Consequential impact on other areas to mitigate impact 	<ul style="list-style-type: none"> Sudden unpredicted increase in demand for services Government initiative/national budgetary changes Delay in implementing change programmes Partner or subsidiary financial 	<ul style="list-style-type: none"> Monitor and report on how the change programme delivers progress and benefits. 	Head of Finance & Change	Regular reporting to CMT	In place
						<ul style="list-style-type: none"> Review governance arrangements for wholly owned subsidiaries 	Director of Law and Democratic Services	September 2016	As part of response to external audit
7Health and Safety	Chief Executive	M	M	<ul style="list-style-type: none"> Injury or death HSE prosecution Financial impact (damages/costs) Reputational damage 	<ul style="list-style-type: none"> Managerial Accountability and Responsibility Condition of the site infrastructure at Waterside Site suitability for current portfolio of activity at Waterside Gaps in compliance management 	<ul style="list-style-type: none"> Deliver H&S Training for: <ul style="list-style-type: none"> New Starters Managers/Supervisors Staff Lone Workers 	Head of Customer & Business Services	Annual Training Programme on the <u>Intranet</u>	In place
						<ul style="list-style-type: none"> Deliver the Waterside integration programme and depot improvements 	Corporate Director Communities & Place	In line with programme milestones	Integration in place. Regular health and Safety meetings , team meetings , staff briefings and tool box talks.

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8Emergency management, business continuity and disaster recovery	Chief Executive	L	M	<ul style="list-style-type: none"> Inability to maintain services to customers Disjointed response Financial consequences Reputational damage Loss of public confidence 	<ul style="list-style-type: none"> Lack of clear roles and responsibilities for planning & implementation to manage during and after an incident Lack of up to date business continuity plans in key service areas 	<ul style="list-style-type: none"> Undertake regular reviews of guidance and amending of Business Continuity plans, guides and procedures. 	Head of Customer & Business Services	Ongoing with Services – last reviews were in July 2016	Reviews ongoing – annual review cycle in place and work underway to refresh the information on the Councils intranet. New Plan and Guide Repository developed and created in August
						<ul style="list-style-type: none"> Work with business areas to test and refine Business Continuity plans. 		September 2016	Work continuing – main focus area; Children’s & Adults Services (incl areas of SEQOL and Care Homes that have come to the Council, as well as Care Homes that are not Council run); and Waterside. New site Emergency Response Plans being developed for all Major SBC sites using the Template developed for Waterside.
						<ul style="list-style-type: none"> Deliver training/updates on resilience response 		Dates TBC	Loggist Training.Operation Griffin - Counter terrorism awareness training Defibrillator training Firearms awareness training (Feb 2016): Introduction to Integrated Emergency Management training materials updated and training course run September 2016. Four courses are run per year, for two at Tactical and two at Operational level.
						<ul style="list-style-type: none"> Practice Council Command and Control and Recovery Procedures including training/exercising in line with existing Local Resilience Forum (LRF) and Local Health Resilience plans. 	Director of Public Health and Head Customer & Business Services	Dates TBC Waterside exercise completed July 2016	Residential Care Home and Nursing Home Workshop and Exercise July. Exercises planned - further Exercise Bastille’s before January 2017 for Waterside targeting any Waterside managers that did not attend Exercise Bastille July 2016, and Exercises and Workshops for Care Homes – work continues to support ICT outages (internally & externally). An Exercise Day is being developed for young people & apprentices.
9. Governance	Director of Law & Democratic Services	M	L	<ul style="list-style-type: none"> Non-compliance with legislative and statutory obligations Successful legal challenge Financial consequences / additional costs Loss of public and member confidence / Reputational damage Partnership / Commissioned service collapse leading to service disruption / critical service not delivered Court sanctions 	<ul style="list-style-type: none"> Legislative changes Poor advice Inability to transfer risk Lack of oversight/visibility Staff not understanding impact of devolved delivery Financial and demand pressures / Resource constraints 	<ul style="list-style-type: none"> Maintain level of staff with appropriate qualifications and training 	Director of Law & Democratic Services	September 2016	In place
						<ul style="list-style-type: none"> Deliver regular training sessions for Members and Officers focussing on key issues such as their role in arm’s length bodies. 		6 September 2016 – Chairing Skills 17 October 2016 – subject to be agreed	In place
						<ul style="list-style-type: none"> Take part in an LGA Peer Review of Corporate Performance. 		September 2016	Completed

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10. Achievement of Vision	Chief Executive	L	M	<ul style="list-style-type: none"> Loss of key businesses Inability to attract inward investment Reduced income from business rate Needs of community and stakeholders not met Increased demand on fewer resources Loss of valued local services Unwanted development 	<ul style="list-style-type: none"> Quality of education and skills provision Recruitment / retention of sufficient skilled staff Inability to maximise geographic advantage Lack of community capacity Lack of infrastructure planning/ funding Rate of growth and development Poor skills growth Lack of land for housing need Lack of employment land Poor health, increasing health inequalities. Mismatch between resource and funding Alignment of partners to the Vision 	<ul style="list-style-type: none"> Ensure the Education Strategy Board monitors and takes action so that improvement plans are in place for schools causing concern. Ensure Education Commissioners review school data and take action to support and challenge schools and work with teaching schools to address issues and improve attainment/OFSTED outcomes. Work with the School Heads Associations to support and challenge schools to improve outcomes. Secure Multi-Academy Trust status for schools graded Requires Improvement Deliver conferences to target low aspirations and behaviour. 	Head of Education	Five meetings to take place in 2016/17 Termly	In place (for further details see performance report.)
								Termly	
								As required	
						<ul style="list-style-type: none"> Work with FSL and monitor project progress so that we achieve Swindon town centre regeneration and increase levels of inward investment. Use the Leader's membership of the LEP Board and the Chief Executive's membership of the LEP's Commissioning Group to ensure that we have a strong influence in the LEP's decision making. 	Corporate Director Economy, Regeneration & Skills	Recruitment of key staff is ongoing. The new Director is expected to be in place by November/ December 2016	In place
						<ul style="list-style-type: none"> Set up monthly sessions of LAG and CMT to monitor progress in delivering the vision 	Director of Law & Democratic Services	September 2016	In place

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11. Safeguarding Adults	Director of Adult Services	M	M	<ul style="list-style-type: none"> Adults in need for care and support are harmed Reputational damage Loss of public and member confidence Challenge/change to delivery arrangements 	<ul style="list-style-type: none"> Recruitment/retention of skilled staff Lack of timely compliance with adults safeguarding processes Inadequate processes Human Error IT limitations Inadequate supervision Inherently unpredictable client behaviour Lack of identification of adults at risk by some agencies Insufficient capacity to meet statutory needs in appropriate timescales 	<ul style="list-style-type: none"> Address recruitment and retention of skilled staff by reviewing staff workloads and recruiting social workers within SEQOL. 	Director of Adult Services	From August 2016	Ongoing work within the teams while addressing need for recruitment within social work teams. Supervision process for social workers amended to fall in line with Council Procedures (for staff returning from SEQOL). Contracts and Commissioning have a schedule of visits to provider services that includes monitoring staff training and monitoring progress with recruitment practices.
						<ul style="list-style-type: none"> Deliver workshops and training to promote improved performance amongst social care and partner agency staff 		Bi-monthly from September 2016	SBC still offers free basic awareness training. Attendance has improved after imposing non-attendance fees at training sessions. New training for provider managers is underway funded by the Care Skills Partnership.
						<ul style="list-style-type: none"> Monitor demand and implement robust performance management and improved systems. Monitor performance information monthly through consideration with Managers/Joint Care Management Team 		September 2016	Systems are being reviewed and amended data collection processes are being implemented. Data collection on other stages of the safeguarding procedures needs to be improved. There appears to be a slight decrease in the number of safeguarding concerns raised compared with the first six month of 15/16 Safeguarding continues to be a standing agenda item at these meetings. LSAB also receives 1/4ly information on safeguarding activity.
12. Insufficient Capacity or Capability	Chief Executive	M	M	<ul style="list-style-type: none"> Change not delivered Essential work not carried out Need to use high cost agency staff/ consultants Serious practice error/ accident Reputational damage 	<ul style="list-style-type: none"> Effective and knowledgeable staff leave Lack of succession planning in key roles across the organisation Poor performance management culture Difficulties in recruitment to key roles Levels of staff absence Lack of development opportunities Financial pressures on staffing/ training budgets Capacity of partnership/ commissioned services 	<ul style="list-style-type: none"> Hold quarterly review s of Corporate Health measures and targets and implement plans for measures which need improvement Develop Extended and Wider management Team meetings across the organisation to help galvanise awareness and capacity. 	Head of Performance, People & Engagement	Next review in September 2016	In place
						<ul style="list-style-type: none"> Implement a recruitment and retention strategy, including approach to identifying and promoting talent and succession planning. 		Draft produced. To be considered by Senior Management in September 2016	Work has started as part of the enabling programme

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						<ul style="list-style-type: none">Put in place an effective Learning & Development plan and a range of training and other solutions to address identified and future needs		Dates are available on the intranet	In place
13. Community Governance Review	Director of Law & Democratic Services	M	M	<ul style="list-style-type: none">Reputational damageSavings not realisedGaps in service / dip in service standardsRedundancies	<ul style="list-style-type: none">Different political pressuresParish councils are unable to take on services / can't take them on in timeParish Councils are not sustainable in the long termLack of business contributions lead to higher charges for residentsNature and location of the current workforce	<ul style="list-style-type: none">Ensure that there is robust and effective engagement & communication with members	Director of Law & Democratic Services		In place
						<ul style="list-style-type: none">Ensure that there is robust and effective engagement with residents , parish and town councillorsEnsure that there is good support for parish councils including delivery and budgetary support and transfer of assetsEnsure that there is good engagement with existing staff and opportunities to broaden skills.	Corporate Director Resources Corporate Director Communities and Place		In place
14. Sustainable Delivery of Adult Social Care Services	Director of Adult Services	M	M	<ul style="list-style-type: none">Gaps in ServiceStandards in Care suffersReputational DamageFinancial liabilities to the Council	<ul style="list-style-type: none">Workforce instability and recruitment challengesFinancial pressures	<ul style="list-style-type: none">Implement weekly transition board with CCG, SBC, GWH and Seqol to ensure safe transfer of services	Director of Adult Services	September 2016	Implement weekly transition board with CCG, SBC, GWH to deliver safe services following tupe Review all insourced services to ensure services are effective and efficient Implement induction programme Monitor service performance through monthly reports Implement management arrangements for insourced services to ensure safe and well performing services Implement LD care package review programme
						<ul style="list-style-type: none">Oversee TUPE of staff into Swindon Borough CouncilDevelop and deliver a comms strategy to inform staff		End of September 2016	
						<ul style="list-style-type: none">Monitor service performance through monthly reports		Monthly management meetings.	
						<ul style="list-style-type: none">Implement management arrangements for insourced services to ensure safe and well performing services			