

Appendix 3 – Cherwell District and South Northants Councils – Latest Leadership Risk Register as at 16/07/2018

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<b>Contingency Plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
<b>Low Risk</b> (1 – 9)	<b>Good Housekeeping</b> - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks						
		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic					
	4 - Major		L04, L11		L05	
	3 - Moderate			L01, L02, L03 L10, L12, L14	L06, L07, L08	L09, L13a, L13b
	2 - Minor					
	1 - Insignificant					

Risk Definition	
Leadership	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
Operational	Risks to systems or processes that underpin the organisation’s governance, operation and ability to deliver services

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
L01	<b>Financial resilience</b> – Failure to react to external financial shocks, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability Reduction in services to customers Continued reliance on central govt (RSG) and therefore reduced opportunity for independent decision making Reduced financial returns (or losses) on investments/assets Inability to deliver financial efficiencies Inability to deliver commercial objectives (increased income) Poor customer service and satisfaction Increased complexity in governance arrangements Lack of officer capacity to meet service demand	4	4	16	Medium Term Revenue Plan reported regularly to members. Efficiency plan in place and balanced medium term Highly professional, competent, qualified staff Good networks established locally, regionally and nationally National guidance interpreting legislation available and used regularly Members aware and are briefed regularly Participate in Northamptonshire Finance Officers and Oxfordshire Treasurers' Association's work streams Programme management approach being taken Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place Regular bulletins and advice received from advisers Property portfolio income monitored through financial management arrangements on a regular basis Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future	Fully Fully Partially Fully Partially Partially Fully Fully Partially Fully Partially Partially	Councillor Tony Illot Councillor Peter Rawlinson	Adele Taylor	Kelly Watson	3	3	9	↔	AD Finance and Performance recruited. Overall Finance and Procurement resource being reviewed. Investment strategy approach agreed for 18/19 and all potential investments to now be taken through the working groups prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes. Timeliness and quality of budget monitoring particularly property income and capital to be improved. Project with Civica is ongoing. Asset Management Strategy to be reviewed and refreshed in the new year. Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme. Finance support and engagement with programme management processes being established. Integration and development of Performance, Finance and Risk reporting during 18/19. Regular involvement and engagement with senior management across Counties as well as involvement in Regional and National finance forums. Regular member meetings, training and support in place and regularly reviewed. Financial support and capacity being developed during 18/19 through development programme. Regular utilisation of advisors. Internal Audits being undertaken for core financial activity and capital.		04/07/18 - Mitigation actions updated
L02	<b>Statutory functions</b> – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy/legislation Financial penalties Reduced service to customers	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed Clear accountability for horizon scanning, risk identification/categorisation/escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues Senior Members aware and briefed regularly in 1:1s by Directors	Partially Fully Fully Partially Partially Partially Fully Partially	Councillor Barry Wood Councillor Ian McCord	Yvonne Rees	Claire Taylor	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes Review Directorate/Service risk registers Ensure Committee forward plans are reviewed regularly by senior officers Ensure Internal Audit plan focusses on key leadership risks Develop stakeholder map, with Director responsibility allocated for managing key relationships Standardise agendas for Director/PFH 1:1s New NPPF published 05/03/18 will guide revised approach to planning policy and development management. Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR	Service risk registers being reviewed as part of service planning. Internal Audit Plan aligned to Leadership Risk Register and agreed at Audit Committees in March.	Risk reviewed 08/06/18 - Comments updated
L03	<b>Lack of Management Capacity</b> - Increased workload relating to local government reorganisation and changes to joint working between SNC and CDC impact on the capacity of management.	Financial impact due to use of agency staff, possible impact on customers and frontline service delivery if capacity risks are not managed. Inability to deliver council's plans Inability to realise commercial opportunities or efficiencies Reduced resilience and business continuity Reduced staff morale and uncertainty may lead to loss of good people	3	4	12	Use of interims / fixed term and project roles to support senior capacity as required. Arrangements in place to source appropriate interim resource if needed Delegations to Chief Exec agreed to ensure timely decisions HR/Specialist resource in place to support recruitment process and manage implications Ongoing programme of internal communication	Fully Fully Fully Fully Fully	Councillor Barry Wood Councillor Ian McCord	Yvonne Rees	Claire Taylor	3	3	9	↔	Risk review underway to consider the impact of local government reorganisation and changes to joint working arrangements between CDC and SNC. Measures will be developed as the project plans for re-organisation and the cessation of joint working. Project planning for separation to be completed by September 2018. AD HR/OD briefed and leading the process Communications to be delivered by CEO	All Director positions filled on either permanent or interim (pending permanent) basis. Induction and support for interims. Additional resource in place to support the Northants Local Govt Re-organisation project (LGR). Additional communications resource in place to support LGR work. Additional requirements to support LGR impacts on both SNC and CDC have resulted in the risk being slightly escalated to 9 for a second month. Regular comms being provided by CEX	16/07/18 - Risk fundamentally reviewed in the context of local government reorganisation. Managerial restructure now complete.

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L04	<b>CDC &amp; SNC Local Plans</b> - Failure to ensure sound local plans are submitted on time for each District.	Inappropriate growth in inappropriate places  Negative (or failure to optimise) economic, social, community and environmental gain  Negative impact on each council's ability to deliver its strategic objectives  Increased costs in planning appeals  Possible financial penalties through not delivering forecasted New Homes Bonus	3	5	15	Local Development Schemes are in place at each Council which detail the timeframes and deliverables to underpin the work  Resources are in place to support delivery including QC support for each Local Plan.  For issues which are solely within the control of SNC or CDC policies, plans and resources are in place Work is at Reg 19 on Cherwell Partial Review, preparing submission plan for Feb 2018 sign off and to re-commence in 2018 on Local Plan part 2. Work is advancing to Reg 19 stage On South Northants Local Plan part 2 on issues for reps, policies and development control policies. Statements of Community Involvement are in place.	Fully  Partially  Fully  Fully	Councillor Colin Clarke  Councillor Roger Clarke	Adrian Colwell	Andy Darcy (SNC)  David Peckford (CDC)	2	4	8	↔	Regular review meetings on progress and critical path review at each Council  Regular Portfolio briefings and political review  LDS updated as required  Additional evidence commissioned as required  Need to review resources at CDC to speed up Local Plan part 2.  Submission of the CDC partial review took place on 05/03/18.	• CDC –Dates are currently awaited for the Examination of the Partial Review. Preparation work continues to prepare for the Examination with Topic Papers. Initial work on Oxfordshire Joint Spatial Plan has commenced with workshop held in Didcot on 25th April 2018 to review key issues.  • SNC – Joint Core Strategy Review has commenced with preparation of proposed timetable, resources and scope underway. Work has commenced with Milton Keynes and Aylesbury for new Joint Spatial Framework to address impact of proposed growth of Milton Keynes on its neighbours. Next stage of Local Plan part 2 will be focused technical consultation on Local Green Space designations from Council meeting in May 2018, followed by Reg 19 full draft Local Plan consultation due to commence in July 2018. Aim remains to submit in December 2018.	Risk reviewed 09/06/18 - No change
L05	<b>Business Continuity</b> - Failure to ensure that critical services can be maintained in the event of an incident	Inability to deliver key services to customers/residents  Financial loss	4	4	16	Business continuity strategy in place  Services prioritised and recovery plans reflect the requirements of critical services  ICT disaster recovery arrangements in place  Incident management team identified in Business Continuity Strategy  All services undertake annual business impact assessments and update plans	Partially  Partially  Partially  Partially	Councillor Dermot Bambridge  Councillor Andrew McHugh	Graeme Kane	Richard Webb	4	4	16	↔	All individual service BC Plans recently updated  Corporate BC Plan to be reviewed  Testing to be programmed  BC solutions between both councils to be further developed  Corporate ownership and governance to sit at senior officer level  Draft Business Continuity Strategy and Policy completed to report and sign off at future senior officer meetings	There has been some delay in updating the business continuity plans owing to the departure of the Emergency Planning Officer. Additional resource has been identified and a plan has been developed to work with service teams to update their business continuity plans. The Leadership Team have recently agreed this plan and timescales are now being developed.	Risk reviewed 05/06/18 - comments updated & Risk owner & manager updated
L06	<b>Partnering</b> - Financial failure of a public sector partner organisation  Failure to build the necessary partnership relationships to deliver our strategic plan.  Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers)	Potential reduction in service areas funded by the County Council resulting in an unplanned increase in demand on district functions leading to service difficulties. Impact on the future viability of the organisation causing uncertainty for service delivery.  Threat to existing joint working partnership initiatives if alternative delivery modes are imposed.  Poor service delivery  Inability to deliver council's plans and outcomes for communities  Legal challenge  Financial loss  Inability to partner in the future  Reduced opportunity for inward investment in the future	4	4	16	Leader and CEO engaging at National and county level to mitigate impacts of potential service reductions for residents  Stakeholder Map, allocating responsibility for key relationships at Director/PFH level  Regular review and sharing of partnership activity/engagement at senior officer meetings  Robust governance/contract management framework in place for key third party relationships  Training and development of senior officers/members to fulfil their responsibilities with partner organisations	Partially  Partially  Partially  Partially	Councillor Barry Wood  Councillor Ian McCord	Yvonne Rees	Richard Ellis/Jane Carr	4	3	12	↔	Develop stakeholder Map  Standard agenda item at senior officer meetings  Develop governance guidelines for all key third party relationships  Review existing arrangements/ contracts to ensure appropriate governance  Continue Institute of Directors training for Officers and Members	Third party governance review underway. Cllr and Officer appointments to Council owned companies to be reviewed.  This risk will be reviewed over the next month as some of its parts fit better with	Risk reviewed 03/07/18 - Comments updated
L07	<b>Emergency Planning (EP)</b> Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency  Unnecessary hardship to residents and/or communities  Risk to human welfare and the environment  Legal challenge  Potential financial loss through compensation claims  Ineffective Cat 1 partnership relationships	4	4	16	Key contact lists updated monthly.  Dedicated Emergency Planning Officer in post to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from cover between shared Public Protection Team as officers with appropriate skill Senior management attend Civil Emergency training Twice yearly mock emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co- coordinators  Full participation in LRF activities	Fully  Partially  Fully  Fully  Fully	Councillor Dermot Bambridge  Councillor Andrew McHugh	Graeme Kane	Graeme Kane	3	4	12	↔	Director for Environment is reviewing the Emergency Planning arrangements and forming relationships with key partners.  Both Councils have cover arrangements in place to account for the vacancy in the Emergency Planning post. New call out arrangements are being established.  Training for senior officers was completed in June. Senior managers have attended multi-agency exercises. Through the Inter Agency Group, plans are in place for Silverstone. Both authorities are represented at the Local Resilience Forum	Both authorities have active plans in place to ensure they are prepared for an emergency. These have recently been activated successfully. Further improvements are being made as a result of a review of these plans. Options are being explored to fill the vacant Emergency Planning post.	Risk reviewed 03/07/18 - Mitigating actions updated. No change in score.

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L08	<b>Health and safety</b> - Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	Fatality, serious injury & ill health to employees or members of the public  Criminal prosecution for failings  Financial loss due to compensation claims  Enforcement action – cost of regulator (HSE) time  Increased sickness absence  Increased agency costs  Reduction in capacity impacts service delivery	5	4	20	Robust Health & Safety policies and Corporate H&S arrangements in place as part of an Integrated H&S Management System  Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation Corporate H&S Manager & H&S Officer in post to formalise the H&S Management System & provide competent H&S advice & assistance to managers & employees  Proactive monitoring of Health & Safety performance management internally  Proactive monitoring of Health & Safety performance management externally  Effective induction and training regime in place for all staff  Positive Health & Safety risk aware culture  Corporate Health & Safety meeting structure in place for co-ordination and consultation  Corporate body & Member overview of Health & Safety performance via appropriate committee  Assurance that third party organisations subscribe to and follow Council Health & Safety guidelines and are performance managed where required	Partially  Not effective  Fully  Partially  Fully  Partially  Fully  Fully  Partially	Councillor Lynn Pratt  Councillor Peter Rawlinson	Adele Taylor	Mark Willis	4	3	12	↔	Corporate H&S Policy being developed & finalised, which will then be implemented across the organisation to ensure that roles & responsibilities at all levels are discharged effectively. Policy developed following restructure, this will clearly identify accountability and responsibility for Health and Safety at all levels throughout the organisation. Update Corporate H&S arrangements which are out-of-date.  Directorate H&S Improvement Plans to be produced.  Recently approved Internal Audit plan for 18/19 includes an audit of our overall H&S management system and will commence in Quarter 1 with a follow up planned prior to the end of 18/19. The H&S team also conduct reviews internally across all services and teams, the current scope will be expanded from topic-based themes to cover all elements of our overall H&S management system to ensure compliance with our standards.  Management of H&S training programme to be developed and rolled out. Robust training already in place in Environmental Services Good awareness in higher risk areas of the business, e.g. Environmental Services. However other areas need improved awareness of risk assessment process Reviews of leases and performance monitoring to be reviewed to satisfy the Councils providers/ contractors are managing significant risks.	OHSAS 18001 Health & Safety Management System accreditation achieved through Exova BM Trada.  Senior Officer Meeting receives quarterly updates from Corporate H&S Manager. Relevant updates taken to appropriate committee.	05/06/18 Mitigating Actions & Comments updated
L09	<b>Cyber Security</b> - If there is insufficient security with regards to the data held and IT systems used by the councils and insufficient protection against malicious attacks on council's systems then there is a risk of: a data breach, a loss of service, cyber- ransom.	Service disruption  Financial loss / fine  Prosecution – penalties imposed  Individuals could be placed at risk of harm  Reduced capability to deliver customer facing services  Unlawful disclosure of sensitive information  Inability to share services or work with partners  Loss of reputation	4	5	20	File and Data encryption on computer devices  Managing access permissions and privileged users through AD and individual applications  Consistent approach to information and data management and security across the councils  Effective information management and security training and awareness programme for staff  Password security controls in place  Robust information and data related incident management procedures in place  Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services Appropriate plans in place to ensure ongoing PSN compliance  Adequate preventative measures in place to mitigate insider threat, including physical and system security  Insider threat mitigated through recruitment and line management processes	Fully  Fully  Partially  Partially  Fully  Partially  Fully  Partially  Partially	Councillor Ian Corkin  Councillor Phil Bignell	Claire Taylor	Tim Spiers	3	5	15	↔	We are working with a security company to review our cyber security status and achieve the cyber essentials + accreditation. A pre-audit report has been undertaken and we are addressing findings ahead of full review.  The IT service are addressing the areas identified and will be ready for full audit in July 2018. This is a slight delay but should not cause concern. Cyber-security was reviewed by Internal Audit in May 2017 and will be reviewed again during the current quarter. Meeting held with Internal Audit and review booked for August..  HR also have actions to complete regarding recruitment and processes identified by Internal Audit. The IT Transformation Programme includes migrating server rooms to external an data centre which will increase physical security. As part of this work improved monitoring solutions will also be implemented. The data centre has successfully completed provisioning phase and good progress is being made with applications migration.  The Councils have completed the annual independent IT security health check as planned. We've received the formal reports. The high level finding is in-line with our expectations and the IT service will now follow through on actions. The Councils' annual return has now been submitted.	Cyber security incidents are inevitable. The only way to manage this risk is to have effective controls and mitigations in place including audit and review. Staff and member briefings covered phishing March 2018.	Risk reviewed 29/06/18 - Mitigating Actions Updated
L10	<b>Safeguarding the vulnerable (adults and children)</b> - Failure to follow our policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare	Increased harm and distress caused to vulnerable individuals and their families Council could face criminal prosecution Criminal investigations potentially compromised  Potential financial liability if council deemed to be negligent	3	4	12	Safeguarding lead in place and clear lines of responsibility established  Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern  Staff training - new whole staff shared approach being launched last year and mandatory training introduced Safer recruitment practices and DBS checks for staff with direct contact  Action plan developed by CSE Prevention group as part of the Community Safety Partnership Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds Data sharing agreement with other partners Attendance at Children and Young People Partnership Board (CYPPB) Annual Section 11 return compiled for each council Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group  Engagement at an operational and tactical level with relevant external agencies and networks	Fully  Fully  Partially  Partially  Partially  Fully  Partially  Fully  Fully  Fully  Partially	Councillor Barry Wood  Councillor Ian McCord	Jane Carr	Nicola Riley	2	4	8	↔	Ongoing internal awareness campaigns  Ongoing external awareness campaigns Annual refresher and new training programmes including training for new members Training monitoring to be developed through new HR/Payroll system Continue to attend Child exploitation groups in both Counties	Continued focus in this area with ongoing programme of training and awareness raising.	06/07/18 - Risk reviewed - No change
L11	<b>Income Generation through council owned companies</b>	Through failure of governance or robust financial / business planning the councils fail to generate expected income.	3	4	12	Annual business planning  Financial planning  Corporate governance mechanisms  Due diligence Business casing	Partially  Partially  Partially  Partially Partially	Councillor Tony Illot  Councillor Peter Rawlinson	Adele Taylor	Kelly Watson	2	4	8	↔	Recruiting to support shareholder and client side capacity. Relevant training being provided. Resilience and support being developed across business to monitor and deliver projects. Skills and experience being enhanced to deliver and support development, challenge and oversight.	Resources in place. Relevant training being provided to support resource provision.	Risk reviewed 04/07/18 - No further changes

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L12	Financial sustainability of third party suppliers	The financial failure of a third party supplier results in the inability or reduced ability to deliver a service to customers.	3	4	12	Contracts in place to cover default.	Partially	Councillor Tony Illot Councillor Peter Rawlinson	Adele Taylor	Kelly Watson	2	4	8	↔	Meetings planned with suppliers to review higher risk areas.	Risk recently escalated due to external environment whereby suppliers have financial difficulties which could result in loss of service. Meeting held with supplier of main Revs & Bens and other systems (Capita) to review recent share issue and potential financial mitigate their financial risks concerns. Reassurance given by suppliers about the proactive action being taken. Awaiting detailed letter with actions Capita taken to mitigate their financial risks Current work investigating impact across other contracts.	Risk reviewed 04/07/18 - No further changes
		Business continuity planning				Partially											
L13a	Local Government Reorganisation CDC - Proposals for local government reorganisation impacts on the provision of services to residents and communities.	Inability to deliver Council priorities and plans, impacting on quality of services delivered to residents and communities.	5	4	20	Leader and CEO engaging at national and county level to define steps and mitigate impacts of potential service reductions for residents.	Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	5	3	15	↔	Standing item at senior officer meetings - regular review of risk and control measures.	Risk separated to reflect the position of both Councils. Risk scores have increased to reflect the increased probability of Local Government Reorganisation and the impact on the Council. Risk will be fundamentally reviewed as part of the preparation to end the partnership with SNC. This work will take place in July with a plan to deliver the end of the joint working arrangements prepared by the end of September 2018.	Risk reviewed 29/06/18 - Comments updated
		Planning for the impact of separation of joint working arrangements between CDC and SNC is underway.				Partially											
L13b	Local Government Reorganisation SNC - Proposals for local government reorganisation impacts on the provision of services to residents and communities.	Inability to deliver Council priorities and plans, impacting on quality of services delivered to residents and communities.	5	4	20	Leader and CEO engaging at national and county level to mitigate impacts of potential service reductions for residents.	Partially	Councillor Ian McCord	Yvonne Rees	Claire Taylor	5	3	15	↔	Standing item at senior officer meetings - regular review of risk and control measures.	Risk separated to reflect the position of both Councils. Risk scores have increased to reflect the increased probability of Local Government Reorganisation and the impact on the Council. A detailed LGR risk register considering the impact on SNC has been developed and reviewed as part of the preparation for the unitary proposals. This register will be owned and updated by the project team.	Risk reviewed 29/06/18 - Comments updated
		Planning for the impact of separation of joint working arrangements between CDC and SNC is underway. Additional senior leadership resources are planned for SNC.				Partially	Additional communications resources have been put into place to support the agenda.										
L14	Corporate Governance - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to. Risk of ultra vires activity or lack of legal compliance Risk of fraud or corruption Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control. Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Partially	Councillor Barry Wood Councillor Ian McCord	Adele Taylor	James Doble	3	3	9	↔	Standing item at senior officer meetings - regular review of risk and control measures Review of constitution to take place 2018/19	Risk added to register following senior management discussion.	12/06/18 - No change
		Integrated budget, performance and risk reporting framework.				Partially	Implementation of corporate programme office - May 2018										
		Corporate programme office and project management framework. Includes project and programme governance.	Partially	Full review of HR policy to be undertaken during 2018/19													
		Internal audit programme aligned to leadership risk register.	Partially	Monitoring Officer to attend management team meetings													
		Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially														
		HR policy framework.	Partially														
		Annual governance statements	Partially														