



North Tyneside Council

Corporate Risk Management Summary Report

March 2012



1 Risk Management

- 1.1 Risk management is a tool to enable the planning and management of issues that may affect the achievement of objectives. Such issues can be either negative (a risk) or positive (an opportunity).
- 1.2 Undertaking a risk assessment makes it possible for **potential** risks and opportunities to be identified and therefore allows informed decisions to be made. It can aid in the setting of corporate objectives and help in the planning of how they will be accomplished. Planning for these risks / opportunities and putting effective controls in place helps increase the likelihood of objectives being achieved.

2 Purpose of Report

- 2.1 Reporting to Cabinet gives assurance that key corporate risks to the achievement of the Council's objectives are being identified and effectively managed by the Senior Leadership Team (SLT).
- 2.2 The purpose of this report is to inform Cabinet of the latest identification and review of corporate risks, for consideration and endorsement.

3 Corporate Risks

- 3.1 An established system of risk management is in place within the Council, and risks are managed at corporate, directorate and operational level on a continuous rolling basis.
- 3.2 Corporate risks are those risks which either have a substantial impact on the entire organisation and the breadth of its operations; or which, although originating in one specific area are significant, exceptional and strategic in nature and therefore merit management at the most senior level in the organisation.

- 3.3 The current corporate risks identified are as follows:

- Spending Review
- Regeneration
- Working with Partners
- Workforce, Planning and Performance
- Health Inequalities

Full details of these risks, including control and management information are attached at Annex 2.

- 3.4 None of the above risk categories are unique to North Tyneside; similar risks can be found on Local Authority risk registers throughout the country. Public services are currently facing unprecedented change, the impact of which is felt nationally.
-

3.5 Each corporate risk is 'owned' by an officer from SLT, for the purpose of overall management, monitoring and controlling of these risks. Risks are continuously reviewed in conjunction with the Risk Management Team, using a risk scoring system which assesses each risk for likelihood and impact (see Annex 1), and how the risk is being controlled. Updated risk information is considered by SLT twice yearly, who review the most up to date position, challenge as appropriate and ultimately agree an assessment of risk and control.

4 Corporate Risks for 2012/13

4.1 As we move forward into 2012/13, the Council will continue to focus on the successful delivery of the Change, Efficiency and Improvement (CEI) programme. This includes plans for new methods of delivering services, such as a Community Based Trust, and the transfer of some service provision to alternative providers in a Business Package and a Technical Package of services as part of service delivery partnerships.

4.2 As part of the project governance arrangements established within the Council for these major projects, risks are regularly reviewed and reported to the relevant CEI Theme Board. A dedicated Special Projects Officer is supporting each theme board ensuring that risk registers for each project are reviewed and monitored.

4.3 There is potentially a significant risk to the organisation's plans if the CEI programme is not successfully delivered and implemented. As part of this latest review of the corporate risks it has therefore been agreed that the following risks will be considered for addition to the Corporate Risk Register to be reviewed and managed by SLT. The progress of these risks will then be reported to Cabinet as part of the normal risk management process.

- Business Package (Service Delivery Partnerships)
- Technical Package (Service Delivery Partnerships)
- Community Based Trust

5 Other Risk Arrangements

5.1 In addition to the corporate risks each Directorate within the Council holds risk registers for strategic and operational risks.

5.2 The strategic risks affect the key objectives of the Directorate and are 'owned' by Heads of Service. These risks are reviewed by Directorate Management Teams on a quarterly basis. The last review of Directorate strategic risks took place in March 2012 and will be reviewed again in June 2012.

5.3 The operational risks affect day to day business and are 'owned' by Managers within service areas, these risks are reviewed on a quarterly basis by each Directorate's Operational Risk Management Group. The last review of operational risks took place in February 2012 and will be reviewed again in May 2012.

5.4 As part of the development of the Council Strategic Plan for 2012/2015 the Risk Management Team has liaised with Heads of Service and Senior Managers to ensure that any risks that may prevent the successful delivery of the actions held within the plan have been captured. These risks have been added to the relevant Directorate risk register as appropriate to ensure their management and review.

6 Audit Committee

6.1 The Council's Audit Committee plays a major role in overseeing the organisation's governance arrangements, including arrangements for risk management.

6.2 The Audit Committee's Terms of Reference state that:

"The Audit Committee will consider the effectiveness of the authority's risk management arrangements, the control environment... and seek assurance... that action is being taken on risk related issues within the organisation".

6.3 Further to Cabinet's consideration of the risk review this report will be presented to the next meeting of the Audit Committee in line with the Terms of Reference set out above.

AHM/VS

Strategic Risk Scorecard

IMPACTS				
	4	3	2	1
	Minor	Moderate	Significant	Major
Financial Impact	£100K - £500K	£500k - £1M	£1M - £10M	>£10M
Service Provision	Minor service delay	Short term service delay	Service Suspended / Medium term delay	Service Suspended Long Term Statutory duties not delivered
Project	Minor delay - days	A few milestones missed	A major milestone missed	Project does not achieve objectives and misses majority of milestones
Health & Safety	Sticking Plaster / first aider	Broken bones/Illness	Loss of Life/Major illness	Major loss of life/Large scale major illness
Objectives	Minor impact on objectives	Objectives of one section not met	Directorate Objectives not met	Corporate objectives not met
Morale	Mild impact on morale	Some hostile relationship and minor non cooperation	Industrial action	Mass staff leaving/Unable to attract staff
Reputation	No media attention / minor letters	Adverse Local media	Adverse National publicity	Remembered for years
Government relations	Minor local service issues	Poor Assessment(s)	Service taken over temporarily	Service taken over permanently

	LIKELIHOOD – 3 to 5 year period	PROBABILITY
A	Very High / Certain	85% to 100%
B	Highly Likely	60% to 85%
C	Medium / Likely	30% to 60%
D	Low / Possible	15% to 30%
E	Very Low / Rare	5% to 15%
F	Negligible / Almost Impossible	0% to 5%

North Tyneside Risk Matrix

A	Blue (Medium)	Red (High)	Red (High)	Red (High)
B	Blue (Medium)	Blue (Medium)	Red (High)	Red (High)
C	Green (Low)	Blue (Medium)	Red (High)	Red (High)
D	Green (Low)	Green (Low)	Blue (Medium)	Red (High)
E	Green (Low)	Green (Low)	Blue (Medium)	Blue (Medium)
F	Green (Low)	Green (Low)	Green (Low)	Blue (Medium)
	4	3	2	1

Impact:

- 1 Major
- 2 Significant
- 3 Moderate
- 4 Minor

Likelihood:

- A Very high / Certain
- B Highly Likely
- C Medium / Likely
- D Low / Possible
- E Very low / Rare

Red risks are to be managed down as a matter of urgency – reviewed every 3 months

Blue risks are to be managed down in the medium term and monitored – reviewed every 6 months

Green risks considered low priority but are also monitored – reviewed every 12 months





North Tyneside Council

Corporate Risks

Risk Subject:	Spending Review	Risk Owner	Fiona Rooney and Chief Executive
Risk Detail:			
Following the Government's spending review and the announcement of financial settlements to local authorities (2010), there is a risk that if the Council does not reform its services it may not deliver its statutory responsibilities and fulfil public expectations.			
Opportunity:			
<ul style="list-style-type: none"> • Opportunity to deliver shared services or deliver services through different means. • Reduction of overheads. • Reduce potential workloads. • Improve customer satisfaction. • Potential for Resilience. 			
Link to Current Council Strategic Plan 2011 -15:		Link to proposed Council Strategic Plan 2012-15:	
<p>Our Place - to encourage residents in North Tyneside to have a greater say and take responsibility in their communities through a Big Society approach.</p> <p>Our Resources - to respond to the level of reduction in public expenditure by changing what we do and how we do it to reduce costs, drive out inefficiencies and ensure services give the best added value.</p> <p>Our People - to give every family the opportunity to have an excellent quality of life and all our children achieve their potential.</p>		<p>Priority 7: Making change happen, improving customer service and facing up to our financial challenges – we must set a new direction to live within reduced financial resources and make our taxpayers' money go as far as it can to create a sustainable future. This will mean providing public services in a very different way – with fewer services being directly delivered by the Council and more delivered in partnership with others as well as people taking more responsibility themselves. This priority is also about interacting with our customers in a more efficient and positive way making it easier for people to access the Council's services.</p>	
Cause of risk:			
The latest Spending Review was an in depth review of all public expenditure, following which the Government detailed its approach to how decisions on public spending would be made. It has resulted in financial settlements to Councils and most other public sector bodies which are, and will continue to be, fundamentally reduced year on year. It affects the whole Council and the services we deliver. We therefore need to ensure that we can live within our means, while at the same time meeting the targets set by the efficiency agenda and spending review.			

Consequences of risk, if this were to materialise:		
Financial:	<ul style="list-style-type: none"> Do not deliver on budget. Potential to jeopardise future grant bids or inward investment. 	
Reputation:	<ul style="list-style-type: none"> Negative impact on customer satisfaction. Adverse impact on the Council's reputation. Not achieving statutory responsibilities or delivering expectations e.g. Leisure and Library facilities. 	
Council Plan Objectives:	<ul style="list-style-type: none"> Do not deliver on plans. 	
Health & Safety:		
Staff Morale:	<ul style="list-style-type: none"> Adverse impact on staff morale. 	
Assessments of the Council:	<ul style="list-style-type: none"> Potential to jeopardise improvement of service through the loss of key skills. 	
Any other consequences not covered:		
Existing Controls:	How does it reduce the risk	Responsible Officer
1. Change, Efficiency and Improvement Programme (CEI).	Plans and proposals to deliver our services in a different way to achieve the annual efficiencies targets. A Strategic Director has responsibility for the management of each CEI Theme.	Relevant Strategic Directors
2. New Governance & Structure of the Change Efficiency Improvement Programme.	The new Governance Structure is in place. There is now the CEI Corporate Governance Board which consists of the Elected Mayor, Cabinet Members, Chief Executive and Strategic Directors. Each Theme is managed by a Strategic Director. They receive update reports, identify gaps and agree packages.	Chief Executive
3. Bi Monthly Budget Reporting to Cabinet.	Publicly reporting to Cabinet on each Theme as part of the Financial Plan ensures challenge on the financial benefits of the CEI.	Fiona Rooney
4. Reporting to the Overview & Scrutiny Committee.	Ensures checks and challenge for each Theme on performance and non financial benefits of the CEI. A report went to Overview & Scrutiny Committee in October. Monthly progress reports are now submitted to Overview & Scrutiny.	Fiona Rooney
5. Major Projects Group.	Monitors and manages the Capital Plan receiving reports on exceptions. Outcomes are reported to Cabinet, Finance sub-committee and relevant scrutiny sub-committees if part of agreed work programmes. Capital Projects have been built into the CEI Business Plans; our local Prudential Code provides clear parameters on affordability.	Fiona Rooney

Current score of risk (as at update received on 19 January 2012):			
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
C	1	C1 (H)	The monitoring of reports is showing that we are on track to deliver the majority of savings (92% on track for 11/12). However further work is being undertaken to ensure delivery of savings for the following 3 years. Therefore the risk score remains as C1.
New Controls:		How will it reduce the risk	Responsible Officer
			Date that the new control will be in place
Target score of risk:			
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
E	2	E2 (M)	It is expected that the likelihood of risk will reduce to D (15% - 30%) once more plans are put in place, the impact will reduce to 2 (Critical). This will mean that the overall score of the risk will reduce from a high to medium risk. Over time the risk should reduce to a very low likelihood (5% - 15%).

Unique Risk Identifier - 852

Last updated 19 January 2012

Update provided by: Fiona Rooney, Strategic Director of Finance and Resources

Agreed by SLT 31 January 2012

Risk Subject:	Regeneration	Risk Owner	Ken Wilson
Risk Detail:			
There is a risk that North Tyneside may suffer from a lack of investment impacting on jobs, skills and the ability to stimulate economic growth.			
Opportunity:			
<ul style="list-style-type: none"> • There is an opportunity for partnership between businesses and the Council to work together. • There is an opportunity for a one river approach to establish the River Tyne as a hub for offshore and renewable energy investment. • There is an opportunity for Local Authorities to work with wider Business Partners via the Local Enterprise Partnership. 			
Link to Current Council Strategic Plan 2011 -15:		Link to proposed Council Strategic Plan 2012-15:	
<p>Our Business - to create a strong framework to support all businesses and enterprise in North Tyneside to flourish and to improve economic opportunities.</p> <p>Our People - to give every family the opportunity to have an excellent quality of life and all our children achieve their potential.</p> <p>Our Environment - to make living and/or visiting North Tyneside a great experience; where the quality of life is good, communities are safe and our neighbourhoods are clean and green.</p>		<p>Priority 1: Delivering sustainable growth – ensuring that the right infrastructure is in place to enable businesses to grow and thrive and for residents and visitors to enjoy a good quality of life with access to cultural and leisure facilities – encouraging innovation and enterprise; creating the conditions for long-term investment in jobs, homes and infrastructure; expanding the local economy in a new direction and driving forward the regeneration of the North Bank of the Tyne and other parts of the borough.</p>	
Cause of risk:			
This is due to the current economic challenges, market conditions and potential attractiveness of alternative locations.			
Consequences of risk, it this were to materialise:			
Financial:	<ul style="list-style-type: none"> • Increase in dependency on benefits. • Loss of resources e.g. business tax, planning application fees amongst others. 		
Reputation:	<ul style="list-style-type: none"> • Expectations of partners and residents may not be met. • Negative image and loss of reputation. 		
Council Plan Objectives:	<ul style="list-style-type: none"> • Unemployment rates increase. • Reduced investment in infrastructure. 		
Health & Safety:			
Staff Morale:	<ul style="list-style-type: none"> • Adverse impact on staff morale. 		
Assessments of the Council:			
Any other consequences not covered:			

Existing Controls:	How does it reduce the risk	Responsible Officer
1. Highly effective engagement with businesses.	Facilitate Business to Business support, increase the resilience of business facilities and access to public funds where appropriate.	Ken Wilson
2. Continued development of appropriate Skills Pathway e.g. via the Learning Village.	Makes available to employers suitably qualified, trained and skilled workforce to meet current and emerging demands.	Ken Wilson
3. Development of business sites including the maximising of incentives to occupy council buildings.	This will help ensure that our local small and medium sized businesses continue to be supported, both in new growing and more established sectors.	Sean Collier
4. Infrastructure e.g. transport links and communication network.	This works towards ensuring that the Borough is an attractive place for business by making certain that the right framework and infrastructure in place. An efficient transport system is essential to help grow the economy of North Tyneside. To deliver this we will continue to work as part of the Tyne and Wear Integrated Transport Authority.	Ken Wilson
5. Marketing and promotion of the area.	Through the use of appropriate media raises awareness of the opportunities available in North Tyneside and the availability of skills. Additionally we are also working with agencies such as United Kingdom Trade & Investment (UKTI).	Ken Wilson
6. Explore alternative funding arrangements e.g. collaborative bids for the regional growth fund.	Alternative methods of funding have been identified e.g. via the Regional Growth Fund. This is increasing investment in the borough and increasing opportunities for training and skills.	Ken Wilson
7. Successful bid for two separate sites (Port of Tyne and Swan Hunters) with Enterprise Zone Status.	The benefits attached to the Enterprise Zone sites should encourage business to invest in the area e.g. reduced planning requirements, incentivised tax regime and superfast broadband.	Ken Wilson

Current score of risk (as at update received on 9 January 2012):				
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons	
C	1	C1 (H)	The likelihood score for the risk has reduced from B1 to C1 due to the judicial review of the Enterprise Zone being dropped. The review of current structures for inward investment which could lead to the Council being unable to capture inward investment opportunities is reflected in this score.	
New Controls:		How will it reduce the risk	Responsible Officer	Date that the new control will be in place
1. Collaborate with the LEP and subsets of partners within the LEP.		If the current structure for inward investment is changed collaboration with our partners within the LEP may identify alternative viable solutions.	Ken Wilson	April 2012
Target score of risk:				
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons	
C	1	C1 (H)	It is not expected that the target score will reduce in the near future. This is due to the current UK economic position and that previous enterprise zones, which offer tax incentives to businesses, came to an end in March 2011. This will impact upon business parks in the region, potentially reducing the incentive for businesses to invest.	

Unique Risk Identifier - 853

Last updated 9 January 2012

Update provided by Ken Wilson, Head of Regeneration, Development and Regulatory Services

Agreed by SLT 31 January 2012

Risk Subject:	Working with Partners	Risk Owner	Julia Veall and Chief Executive
Risk Detail:			
<p>Part 1a - NTSP: Within North Tyneside there is a risk that those partners engaged in the Local Strategic Partnership and working with the Council may not engage successfully in the delivery of the Sustainable Community Strategy and at an operational level may not engage with the Council in terms of performance, service delivery and efficiencies.</p> <p>Part1b – LEP: If the Council does not contribute fully to the development and implementation of the LEP strategic priorities it may result in NTC not fulfilling its responsibilities in respect of the Enterprise Zone locations which fall within the borough.</p> <p>Part 2 – North East: Within the North East specific partnerships there is a risk that they may not engage on particular sub-national arrangements in order to achieve better outcomes more effectively.</p> <p>Part 3 – Shared Services: Risk attached to working in partnerships with other local authorities / shared services i.e. the Change, Efficiency and Improvement Programme and neighbouring authorities not wanting to participate – this could potentially be linked to Part 2.</p>			
Opportunity:			
To explore alternative methods of delivery resulting in a better more efficient service to our residents.			
Link to Current Council Strategic Plan 2011 -15:	Link to proposed Council Strategic Plan 2012-15:		
<p>Our people – to give every family the opportunity to have an excellent quality of life and all our children achieve their potential.</p> <p>Our business – to create a strong framework to support all businesses and enterprise in North Tyneside to flourish and to improve economic opportunities.</p> <p>Our resources – to respond to the level of reduction in public expenditure by changing what we do and how we do it to reduce costs, drive out inefficiencies and ensure services give the best added value.</p> <p>Our environment – to make living and/or visiting North Tyneside a great experience; where the quality of life is good, communities are safe and our neighbourhoods are clean and green.</p> <p>Our place – to encourage residents in North Tyneside to have a greater say and take responsibility in their communities through a Big Society approach.</p>	<p>Priority 1: Delivering sustainable growth – ensuring that the right infrastructure is in place to enable businesses to grow and thrive and for residents and visitors to enjoy a good quality of life with access to cultural and leisure facilities – encouraging innovation and enterprise; creating the conditions for long-term investment in jobs, homes and infrastructure; expanding the local economy in a new direction and driving forward the regeneration of the North Bank of the Tyne and other parts of the borough.</p> <p>Priority 4: Creating safe and secure communities – ensuring that people are protected from harm and feel safe and secure in their community and their homes.</p> <p>Priority 5: Protecting and enhancing the environment – enabling people to enjoy a quality environment because we manage our waste, use energy in a sustainable way and protect our physical assets.</p> <p>Priority 6: Helping people to make a positive contribution – championing, supporting and encouraging personal and community responsibility to enable people to feel a sense of belonging to their community, have more say and make a positive contribution to community life.</p>		

	<p>Priority 7: Making change happen, improving customer service and facing up to our financial challenges – we must set a new direction to live within reduced financial resources and make our taxpayers’ money go as far as it can to create a sustainable future. This will mean providing public services in a very different way - with fewer services being directly delivered by the Council and more delivered in partnership with others as well as people taking more responsibility themselves. This priority is also about interacting with our customers in a more efficient and positive way and make it easier for people to access the Council’s services.</p>	
<p>Cause of risk:</p>		
<p>As we place more reliance on working with our partners to deliver essential services we need to ensure that they are in a position to fulfil their responsibilities. The latest Spending Review and government policy may have an impact on our partners resulting in them being unable or unwilling to undertake responsibilities already agreed.</p>		
<p>Consequences of risk, if this were to materialise:</p>		
Financial:	<ul style="list-style-type: none"> • Resources are wasted. • Additional, unnecessary pressure on an already tight budget. 	
Reputation:	<ul style="list-style-type: none"> • Adverse impact to the Council and our partners. • Adverse reputation to the Council. 	
Council Plan Objectives:	<ul style="list-style-type: none"> • Fail to deliver the Sustainable Community Strategy or aspects thereof. • Poor service delivery. 	
Health & Safety:		
Staff Morale:	<ul style="list-style-type: none"> • Adverse impact on staff morale. 	
Assessments of the Council:		
Any other consequences not covered:	<ul style="list-style-type: none"> • Missed opportunities. 	
Existing Controls:	How does it reduce the risk	Responsible Officer
1. Local Strategic Partnership and its sub structures.	NTSP Partners agreed new way of working and the new performance management framework. They will continue to monitor against changes in government legislation and policy to ensure the Community Strategy is delivered. The Community Strategy has been reviewed by officers to ensure it is still relevant and does not need refreshed at this stage.	Julia Veall

2. Statutory Arrangements e.g. Crime & Disorder, Health & Wellbeing.	Partners have a duty to come together to discuss and agree priorities on these key areas. In 2013 the Health & Wellbeing Theme Partnership will become a committee of the Council.	Julia Veall
3. Additional arrangements for LEP and Health & Wellbeing.	The LEP is now properly constituted they are meeting as a group and are working on the development of workstreams. Through taking a proactive approach (Mayor sits on the LEP Board and a Strategic Director sits on the LEP Executive Group) it will enable NTC to influence the strategic priorities and take advantage / compete for opportunities that will improve the economic well being and growth of the borough e.g. we are part of an Enterprise Zone.	Julia Veall

Current score of risk (as at update received on 12 January 2012):

Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
C	1	C1 (H)	If the risks associated with managing our partners are not managed it may result in statutory duties and corporate objectives not being met. The likelihood has been rated between 30% & 60% due to structural changes and difficulties in ensuring all relevant partnerships are established. There may also be financial implications as the shared approach / pooled budgets may not be used to tackle shared risks.

New Controls:	How will it reduce the risk	Responsible Officer	Date that the new control will be in place

Target score of risk:

Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
C	2	C2 (H)	Through the further embedding of the identified controls it is expected that the impact of the risk should reduce.

Unique Risk Identifier - 855
 Last updated: 12 January 2012
 Update provided by Julia Veall, Interim Strategic Director
 Agreed by SLT 31 January 2012

Risk Subject:	Workforce Planning & Performance	Risk Owner	Julia Veall
Risk Detail:			
The Council has agreed a Workforce Strategy which reflects the current climate and challenges facing the authority. If we are unable to deliver this strategy, there is a risk that we will not achieve the identified workforce outcomes, with a subsequent impact on service to our customers and achievement of related corporate objectives.			
Opportunity:			
<ul style="list-style-type: none"> To improve the way in which we gather data, ensuring Senior Managers receive prompt and accurate information allowing them to make the right decisions for the council. Understand our workforce through the capture of information e.g. age, skills, qualifications and working patterns, to enable appropriate planning for the future. To effectively plan our workforce going forward linked to the Change, Efficiency and Improvement programme, service reform and rationalisation options and overall ensuring we effectively deploy people going forward. 			
Link to Current Council Strategic Plan 2011-15:		Link to proposed Council Strategic Plan 2012-15:	
<p>Our People - to give every family the opportunity to have an excellent quality of life and all our children achieve their potential.</p> <p>Our Resources - to respond to the level of reduction in public expenditure by changing what we do and how we do it to reduce costs, drive out inefficiencies and ensure services give the best added value.</p>		<p>Priority 7: Making change happen, improving customer service and facing up to our financial challenges – we must set a new direction to live within reduced financial resources and make our taxpayers’ money go as far as it can to create a sustainable future. This will mean providing public services in a very different way - with fewer services being directly delivered by the Council and more delivered in partnership with others as well as people taking more responsibility themselves. This priority is also about interacting with our customers in a more efficient and positive way and making it easier for people to access Council’s services.</p>	
Cause of risk:			
The risk is that the Council may be unable to deliver the workforce strategy; this could be down to not having accurate workforce data to plan effectively. Effective workforce planning will underpin the Council’s ability to have the right structure in place, with staff with the right skills and knowledge to deliver what’s required.			
Consequences of risk, if this were to materialise:			
Financial:	<ul style="list-style-type: none"> Adverse effect on VFM. Costly workforce. Costly models of service. 		
Reputation:	<ul style="list-style-type: none"> Reputation would be affected due to staffing resources. 		
Council Plan Objectives:	<ul style="list-style-type: none"> Unable to deliver objectives due to staffing resources. 		
Health & Safety:	<ul style="list-style-type: none"> Unable to effectively plan taking into account H&S responsibilities. 		
Staff Morale:	<ul style="list-style-type: none"> This will be affected if we are unable to effectively deploy and manage the workforce, meaning that we are not 		

	competitive in the delivery of services due to the ongoing costs of the workforce.		
Assessments of the Council:	<ul style="list-style-type: none"> Inaccurate data e.g. sickness, skills of the workforce, assets and people performance. Due to inaccurate performance information key tasks and projects may not be completed on time and to sufficient quality. 		
Any other consequences not covered:	<ul style="list-style-type: none"> Management unable to fulfil their role. Senior Leadership Team unaware of issues concerning the workforce and performance. 		
Existing Controls:	How does it reduce the risk		Responsible Officer
1. Workforce Strategy and action plan.	Provides a framework and priorities and actions for improving workforce planning.		Alison Lazazzera
2. Reporting to Overview and Scrutiny Committee which flags up any issues.	Scrutiny from elected members in relation to how we are effectively deploying the workforce and progress with initiatives and actions.		Alison Lazazzera
3. Change, Efficiency & Improvement Programme projects linked to releasing the potential of the workforce.	Clear projects and work plans linking the workforce issues to the rest of the Change, Improvement and Efficiency Programme.		Alison Lazazzera
4. BMS.	System now in place to produce reliable workforce data.		Alison Lazazzera
5. Reporting to the Finance sub committee (as and when required).	This ensures elected members are kept informed of progress and receive reports on relevant issues e.g. a report on the Cost of Absenteeism.		Alison Lazazzera
6. Establishment Controls System.	These systems monitor the cost and staffing levels of the workforce.		Alison Lazazzera
7. Controls in place to monitor the costs of the workforce.	This will enable us to drive the costs down (including work on the Terms and Conditions).		Alison Lazazzera
Current score of risk (as at update received on 12 January 2012):			
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
C	2	C2 (H)	The Workforce Strategy and associated workstreams are supporting the Change, Efficiency and Improvement Programme. The strategy is currently in the process of being redrafted. The score takes into account the financial impact and implications for the cost of the work following the expected efficiencies from the amended Terms & Conditions not being realised.

New Controls:	How will it reduce the risk	Responsible Officer	Date that the new control will be in place
1. Integration of the Workforce Strategy and the Change Efficiency Strategy.	The Workforce Planning Strategy will be central in the Council's ability to drive and manage the change agenda. This includes delivery of the efficiency agenda and maintaining the right staff with the right skills.	Allison Lazazzera	January 2012

Target score of risk:			
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
D	2	E2 (M)	With the implementation and continual review of the Workforce Strategy the risk should reduce over time.

Unique Risk Identifier - 857

Last updated; 12 January 2012, (amended 29 February 2012)

Update provided by: Julia Veall, Interim Strategic Director

Agreed by SLT 31 January 2012

Risk Subject:	Health Inequalities	Risk Owner	Marietta Evans
Risk Detail:			
There is a risk that joint action across the Partnership does not have an impact on health and wellbeing of the people of North Tyneside or increases health inequality.			
Opportunity:			
<ul style="list-style-type: none"> • Strong Joint Needs Assessment. • Coordinated actions. • Target investment. • More efficient services. 			
Link to Current Council Strategic Plan 2011 -15:		Link to proposed Council Strategic Plan 2012-15:	
Our people – to give every family the opportunity to have an excellent quality of life and all our children achieve their potential.		Priority 3: Supporting people to be healthy and independent and protecting the vulnerable – Providing help for those who need it most, ensuring that people are able to take control of their lifestyles and access the support and care they need at critical and vulnerable points in their lives.	
Cause of risk:			
There are existing health and wellbeing and health inequalities in the more deprived areas of the Borough.			
Consequences of risk, if this were to materialise:			
Financial:	<ul style="list-style-type: none"> • Inappropriate investment. 		
Reputation:	<ul style="list-style-type: none"> • Adverse impact on the reputation of the Council. 		
Council Plan Objectives:	<ul style="list-style-type: none"> • Poor service planning and delivery. 		
Health & Safety:	<ul style="list-style-type: none"> • Divergent health across the borough. • Failure to address the health needs of staff. 		
Staff Morale:	<ul style="list-style-type: none"> • Poor performance would have a negative impact on staff. 		
Assessments of the Council:	<ul style="list-style-type: none"> • Potential damage to the reputation of the Council and potential loss of health premium. 		
Any other consequences not covered:			
Existing Controls:	How does it reduce the risk	Responsible Officer	
1. NTSP has a Health & Wellbeing Board involving all of the partners ie - North Tyneside Council, Northumbria NHS Foundation Trust, North Tyneside PCT and Clinical Commissioning Groups.	This is still evolving; it identifies the shared priorities across the borough that link specifically to improving health & wellbeing and health inequalities. These priorities directly inform commissioning decisions.	Marietta Evans	

2. The NTSP has a Joint Strategic Needs Assessment (JSNA) in place that informs Partnership planning on Health Inequality.	This informs commissioning decisions and ensures resources are targeted appropriately to reduce health inequalities; however, the JSNA needs to be reviewed and updated.	Marietta Evans
3. Revised set of commissioning arrangements based on priorities and JSNA.	Integrated commissioning arrangements have been agreed in relation to Health, Social Care and Children, to ensure joint actions across the partnership to improve health and wellbeing and reduce health inequalities.	Marietta Evans

Current score of risk (as at update received on 10 January 2012):

Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons
C	3	C3 (M)	The score of the risk has increased from D3 to C3 due to the shift in responsibility from PCT to the Clinical Commissioning Group, the shift in Public Health Responsibility to the Council and uncertainty around funding.

New Controls:	How will it reduce the risk	Responsible Officer	Date that the new control will be in place
1. Review and update the Joint Strategic Needs Assessment to ensure it helps inform commissioning decisions. The revised JSNA will be signed off by the Health & Wellbeing Board.	Informs Commissioning decisions and ensures resources are targeted appropriately to reduce health inequalities.	Marietta Evans	September 2012
2. The Health Improvement and Prevention Partnership are now working on the Commissioning Plan for Health & Wellbeing.	The plan aims to ensure the best health and wellbeing outcomes for the population.	Marietta Evans	March 2012
3. The arrangements for Community Engagement in relation to Health & Wellbeing in the borough are under development. – March 2012.	Joined up approach for health and wellbeing in the borough with an aim to develop a joint community engagement plan.	Paul Hanson	March 2012
4. A review of the Council's responsibilities with regards to Public Health will be undertaken – March 2012.	To maximise opportunities for the Council to promote health and wellbeing in the borough.	Marietta Evans	March 2012

5. Developing a Health & Wellbeing Strategy.		Will secure commitment for the Partnership to improving Health & Wellbeing in the borough.	Marietta Evans	Sept 2012 (draft strategy)
Target score of risk:				
Likelihood: (A,B,C,D, E or F)	Impact: (1,2,3, or 4)	Overall	Reasons	
E	4	E4 (L)	As the shift in responsibility becomes more established and the identified controls are put in place and implemented the score of the risk should reduce.	

Unique Risk Identifier - 821

Last updated: 10 January 2012

Update provided by: Marietta Evans, Director of Public Health

Agreed by SLT 31 January 2012