









Corporate Risks as reviewed and amended by Corporate Board 4th November 2014

Risk Ref	The Risk	Risk Rating	Risk Owner	Mitigating Controls and owners	Status since last report May 2014
ORG0001	Implications of Equal Pay settlements.	Moderate	Philip Tart	Specialist legal advice and support in relation to equal Pay litigation. Philip Tart	
ORG0002	The Council may be unable to set and/or manage its budget so as to meet its statutory obligations within the resources available.	Major	Iain Newman	<p>Financial monitoring meetings with budget holders and directorate management teams. Jan Szczechowski</p> <p>Financial intelligence networking, e.g.: Monitoring and forecasting of government grants, announcements and briefings from Department of Communities and Local Government, Local Government Association, Special Interest Group of Municipal Authorities and other relevant commentators. Jan Szczechowski</p> <p>Monitoring and forecasting of council tax and the local share of business rates (in conjunction with Accountancy and the Valuation Office Agency). Ian Wollaston</p> <p>Reporting to Cabinet and Audit and Standards Committee on spending and income and at outturn (including the Statement of Accounts). Iain Newman</p> <p>Budget and business planning processes agreed with Informal Cabinet and Corporate Board. Processes will consider budget pressures and develop savings proposals, including efficiency, transformation, alternative service delivery models and service prioritisation. Iain Newman</p>	

ORG0002	Continued			<p>Reports to Cabinet, Scrutiny Committees and Council on budget proposals. Iain Newman</p> <p>Reports to Council on the robustness and the adequacy of financial reserves (Section 25 of the Local Government Act 2003). Iain Newman</p> <p>Corporate Board to operate as a programme board for the delivery of actions to address the budget challenge. John Polychronakis</p> <p>Monitoring of the ring-fenced Public Health grant and health outcome trends to ensure evidence of high return on investment (recognising that the Council's allocation of this grant is above target). Karen Jackson</p> <p>Transformation of social care and work with health partners to ensure delivery of the Better Care Fund and the requirements of the Care Bill (recognising their significance in the Medium Term Financial Strategy). Andrea Pope-Smith</p>	
ORG0003	Energy & Carbon reduction targets not achieved resulting in increased energy costs, increased carbon emissions and financial penalties under the Environment Agency CRC Scheme.	Significant	Phillip Tart	<p>All reporting obligations met in accordance with requirements of the Carbon Reduction Commitment Scheme. Christopher Jenkins Energy Manager</p> <p>Creation & mtce of a new Corporate Energy and Carbon Reduction Strategy. Christopher Jenkins Energy Manager</p> <p>Ongoing programme of energy and carbon reduction activities, planned, coordinated and delivered. Christopher Jenkins Energy Manager</p> <p>Head of centralised property function (proposed) to have responsibilities in relation to energy management T.B.A.</p>	

ORG0007	Corporate Property Review There is a risk that the Council fails to vacate sites in a timely manner and is unable to release sites to the LLP for disposal in accordance with the development agreement, resulting in detrimental financial consequences.	Moderate	Phillip Tart	Detail project/partnership underway incorporating Corporate Property and the LLP. Steve Cooper	
ORG0013	Information Governance: The Council may fail to; assess the importance of information to the business and may be unaware of the potential impact on the organisation should the confidentiality, integrity or availability of information be compromised.	Major	Iain Newman	<p>An Information Governance Board headed by the Senior Information Risk Officer (SIRO) with an Information Risk Officer (IRO) for each directorate to oversee development of and compliance with information governance policies. Iain Newman</p> <p>An Information Governance Unit to maintain and advise on policies, coordinate responses to Freedom of Information requests and Data Protection breaches and perform other duties to support the Information Governance Board. Lewis Bourne</p> <p>Online Data Protection, Freedom of Information and Information Security training for all staff. Lewis Bourne</p> <p>Escalation of Information Governance issues to Corporate Board as required. Iain Newman</p> <p>Action Plan to ensure compliance with a Statement of Undertaking given to the Information Commissioner." John Polychronakis</p>	

ORG0017	Welfare reform/s - There is a risk that various changes to welfare and benefits could place people at risk and increase pressures on statutory services	Significant	Philip Tart	<p>Corporate Welfare Reform Project Board in place to monitor actions and outcome. Diane Channings</p> <p>Increased provision for bad debt (housing) subject to regular review. Diane Channings</p> <p>Reviewing use of Discretionary Housing Payments in line with new guidance. Mike N Williams</p> <p>Local Welfare Assistance/Members Steering Group in place a replacement scheme for DWP Social Fund. Mike N Williams</p> <p>Joint working with third sector and other external internal partners to identify and support people affected by changes. Mike N Williams</p> <p>Increase & diversify housing stock to mitigate effects of spare room subsidy Ron Sims</p>	
ORG0019	The Council acknowledges that there is a risk of fraud across all areas of its operations and is working both internally and with external partners to prevent and reduce this risk.	Significant	Iain Newman	<p>Detailed fraud risk register is held within Audit Services which is reviewed on a quarterly basis. Les Bradshaw</p> <p>Data matching exercises undertaken. Les Bradshaw</p> <p>Audit Services has detailed work programme where areas of fraud on the fraud risk register are reviewed with relevant staff / departments to examine controls in place to prevent and detect fraud. Les Bradshaw</p> <p>Fraud strategy action plan in place, monitored by Divisional Management Teams on a quarterly basis. Les Bradshaw</p>	

ORG0021	It is becoming increasingly difficult for the Council to mitigate against the risks to children and young people who are vulnerable to harm due to a rising demand and contracting budgets.	Major	Ian McGuff	<p>Protecting critical services for the most vulnerable and developing our early help offer. Ian McGuff</p> <p>Working with partners to increased their contribution early help and critical services. Ian McGuff</p> <p>Working directly with families to improve the quality of parenting in the borough. Ian McGuff</p>	
	If the Council (and its partners) fail to deliver the improved outcomes required by the Better Care Fund, the demand on acute services will not be reduced and consequently the performance related funding will not be received	Significant	Andrea Pope-Smith	<p>Clear performance framework for each team as a sub set of <i>Better Care Fund</i> measure. Owner TBC</p> <p>Active role of rapid response service. Owner TBC</p> <p>Management of public expectations, provision of alternatives to institutional care and improved operational effectiveness of preventative services. Owner TBC</p> <p>Contract management process in relation to planned levels of activity and waiting time performance. Owner TBC</p>	New Risk

Risk rating is a combination of impact and likelihood

Status reflects risk history since last report (July 2014 in this instance)

Status key:  **Worsening**  **Stable**  **Improving**