

## Risk Register: Appendix one – Corporate Risks

Periods -->	01/01/2015 to 31/03/2015
R.14 Equal pay settlements <i>Owner: Philip Tart</i> Implications of Equal Pay settlements.	<b>MODERATE (8)</b> Corporate Board reviewed 10th March 2015, no changes made
A.863 Specialist legal advice and support.	
R.15 The Council budget <i>Owner: Iain Newman</i> The Council may be unable to set and/or manage its budget so as to meet its statutory obligations within the resources available.	<b>MAJOR (20)</b> Corporate Board reviewed 10th March 2015. 3 new controls were identified and 1 existing control was revised.
A.864 Financial intelligence	
A.865 Financial monitoring meetings	
A.866 Monitoring and forecasting of council tax and business rates	
A.867 Reporting to Cabinet & Audit & Standards Committee	
A.868 Budget and business planning processes including delivery of savings plans, budget challenge teams and budget summit meetings.	Risk control reviewed and revised by Corporate Board on 10th March 2015
A.869 Reports to Cabinet, Scrutiny and Council on budgets	
A.870 Reports to Council on the robustness and adequacy of financial reserves	
A.871 Corporate Board to operate as a programme board for delivery of actions to address budget challenges.	
A.874 Transformation of social care	
A.946 Develop strategy to reduce dependence on government grant.	New control identified by Corporate Board 10th March 2015
A.947 Strategy to manage numbers of Looked After Children through partnership and improved early intervention	New control identified by Corporate Board 10th March 2015
A.948 Corporate Property Review	New control identified by Corporate Board 10th March 2015

<p>R.16 Energy Management &amp; Carbon Reduction  <i>Owner: Philip Tart</i>            Failure to reduce energy and water consumption, resulting in financial savings being unrealised, along with a negative impact on the environment.</p>	<p><b>SIGNIFICANT (12)</b>            Corporate Board reviewed 10th March 2015, no changes made at this time.</p>
<p>A.875 Reporting obligations met in accordance with requirements of Carbon Reduction Commitment Scheme</p>	
<p>A.876 Creation of new Energy and Water Management Plan</p>	
<p>A.905 Spend to save initiatives to reduce energy and water consumption</p>	
<p>A.906 Full time Energy Manager</p>	
<p>R.18 Information Governance  <i>Owner: Iain Newman</i>            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.</p>	<p><b>MAJOR (16)</b>            Corporate Board reviewed 10th March 2015, no changes made at this time</p>
<p>A.907 Information Governance Board</p>	
<p>A.908 Information Governance Unit</p>	
<p>A.909 On line Data Protection</p>	
<p>A.910 Escalation of Information Governance issues</p>	
<p>A.911 Action plan for compliance</p>	
<p>R.19 Better Care Fund  <i>Owner: Tony Oakman</i>            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.</p>	<p><b>SIGNIFICANT (12)</b>            Corporate Board reviewed 10th March 2015. New control added at this time see number A.949, assigned to Matt Bowsher</p>
<p>A.741 Performance framework: Clear performance framework for each team as a sub-set of Better Care Fund measures</p>	

A.742 Active role of rapid response service	
A.743 Management of public expectations, provision of alternatives to institutional care and improved operational effectiveness of preventative services	
A.744 Contract management process in relation to planned levels of activity and waiting time performance	
A.949 Health and Wellbeing Board oversight of programme.	Control identified by Corporate Board on 10th March 2015 and assigned to Matt Bowsher
R.20 Welfare Reform <i>Owner: Philip Tart</i>	<b>SIGNIFICANT (15)</b>
There is a risk that various changes to welfare and benefits systems could place people at risk and increase pressures on statutory services.	Corporate Board reviewed 10th March 2015, new control added at this time and assigned to Mike Williams see control number A.950
A.752 Corporate Welfare Reform Board in place to take a strategic approach	
A.753 Increased provision for bad debt (Housing Services)	
A.754 Joint working with third sector and other partners to identify & support people affected	
A.755 Increase & diversify housing stock to mitigate effects of spare room subsidy	
A.950 Interim Welfare Reform Post	Corporate Board identified this control on 10th March 2015
R.21 Corporate Fraud <i>Owner: Iain Newman</i>	<b>SIGNIFICANT (12)</b>
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.	Board reviewed 10th March 2015, no changes made at this time.
A.901 Detailed fraud risk register	
A.902 Data matching	
A.903 Audit Services detailed work programme	

A.904 Fraud Strategy in place	
R.22 Vulnerable People. <i>Owner: Tony Oakman</i> Risk of failure to protect children and/or adults in positions of vulnerability, due to increasing demand, changing patterns of abuse (e.g. child exploitation) and reducing resources.	<b>MAJOR (20)</b> Corporate Board reviewed this risk on the 10th March 2015. The risk description was refined, 3 controls were revised and an additional, new control was identified (A.953)
A.862 Development of the Early Help Hub for Children	This control was revised as requested by Corporate Board on 10th March 2015
A.899 Options appraisal and potential implementation of a Multi Agency Safeguarding Hub (MASH)	This control was revised as requested by Corporate Board on 10th March 2015
A.900 Targeted support via the Troubled Families Initiative	This control was revised as requested by Corporate Board on 10th March 2015
A.953 Improved usage of data and intelligence to identify and address patterns of abuse	Following Corporate Board of 10th March 2015, this control was identified and added
R.82 Corporate organisational restructure <i>Owner: Sarah Norman</i> The Council aims through its corporate organisational restructure to improve the quality of services to local people, but acknowledges that during the transition of the new structure, there is a short term risk of detrimental effects on service delivery.	<b>MODERATE (9)</b> Corporate Board identified this risk at its meeting of 10th March 2015 i.e. first appearing on the risk register
A.951 Staff engagement and culture change programme	
A.952 Project management of corporate organisational restructure	