Corporate Risks following review by Corporate Board 8th October 2013

Risk Ref	The Risk	Risk Rating	Risk Owner	Mitigating Controls	Status since last report 9th July 2013
ORG0001	Single Status. Failure to complete appeals by end of September 2013 and potential cost implications of successful appeals and/or equal pay settlements	**Significant**	**John Millar**	Specialist legal advice and support in relation to equal Pay litigation **Philip Tart** Corporate Board to receive reports as each division Stage 3 is completed to review if additional resources needed **John Millar** Communications with employees to confirm need to prepare for Stage 3 hearing when appeal submitted **Teresa Reilly** Corporate Board release managers and union representatives as required for Panels **John Millar**	🔵

| 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** | Corporate Board. to operate as a programme board for the delivery of transformation including alternative service delivery models.
John Polychronakis

Business Rates Localisation - financial planning in conjunction with accountants
Ian Wollaston

FMMR meetings with budget holders and directorate management teams
Jan Szczechowski

Finance representation on working groups
Jan Szczechowski

General and working capital reserves
Jan Szczechowski

Budget review proformas for completion by directorates
Jan Szczechowski

Financial reporting to members
Budget, FMMR, Finance paragraphs in non-financial report
Jan Szczechowski

Longer term budget prioritisation
IN will advise on work being undertaken to prioritise spend areas and review in the context of statutory functions
Iain Newman | ▲ |
| ORG0003 | Carbon reduction targets not achieved
There is an absolute risk to the environment and the Council risks incurring fines for non compliance. | **Major** | **Phillip Tart** | CRC Operational Group (to ensure compliance in future years)
Steve Cooper

Low Carbon Management Plan (to deliver actions within plan)
Steve Cooper

CRC Performance Management Framework (to monitor and manage performance)
Steve Cooper | ● |

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 financial consequences detrimental to the Council	**Moderate**	**Phillip Tart**	Detail project/partnership underway incorporating Corporate Property and the LLP **Steve Cooper**	●
ORG0011	Community Cohesion There is a risk that high profile local issues may adversely affect community cohesion	**Moderate**	**Andrea Pope-Smith**	To understand and engage with local community dynamics and identify potential for actual tensions **Rosina Ottewell** Minimise potential negative effects of tension, prevent escalation and reduce conflict **Rosina Ottewell** Implementation of Hate Crime Strategy **Rosina Attwell**	●
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.	**Significant**	**Iain Newman**	Information asset owners identified /named for each information asset (CORA40020) Ongoing activity as part of Information Governance Strategy. **Lewis Bourne** Key information assets across the organisation identified and classified with Protective Marking System (CORA40020) Activity ongoing as part of the Corporate Information Governance Strategy. **Lewis Bourne** A structure consisting of a Board level Senior Information Risk Owner (SIRO) in place. (CORA40020) **Lewis Bourne** Information asset owners responsible for completion of a self assessment Data Protection Compliance checklist (CORA40020) Activity ongoing as part of Corporate Information Governance Strategy. **Lewis Bourne**	●

| ORG0017 | Welfare reform/s - There is a risk that various changes to welfare and benefits due in 2013 could place people at risk and increase pressures on statutory services | **Significant** | **Philip Tart** | Welfare Reform Project Board in place to monitor actions and outcome.
The existing 'officer' Project Board is to be replaced with a Board to include Members. The intention is to give more of a strategic lead as well as monitoring. The timescales for the introduction of universal credit are subject to change. The impact of Welfare Reform on housing has also been subject to scrutiny by the DACHs Scrutiny Committee.
Increased provision for bad debt (Housing related in this instance)
Diane Channings

Bad Debt Provision - review date 31/1/14 to coincide with budget report to Feb cabinet.
Mitigating factors:
Corporate TORCh project looking at location and nature of customer contact points in order to improve engagement with welfare customers, in particular those who are our tenants.
DHP (Discretionary Housing Payments) scheme.
Welfare Assistance scheme
Project team and specific task and finish groups, working to Project Board.
Work with other agencies - add work with Credit Union (Castle and Crystal) to develop jam jar accounts for rent payments when Universal Credit is introduced. Planning to
run a pilot for tenants on partial benefit from April 2014.
Diane Channings
Reviewing use of Discretional Housing Payments in line with new guidance
Mike N Williams

Local Welfare Assistance/Members Steering Group in place a replacement scheme for DWP Social Fund
Mike N Williams
Joint working with third sector and other external internal partners to identify and support people affected by changes.
Mike N Williams | ● |

				Increase & diversify housing stock to mitigate effects of spare room subsidy Ron Sims	
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**	Detailed fraud risk register is held within Audit Services which is reviewed on a quarterly basis. **Les Bradshaw** Data matching exercises undertaken. **Les Bradshaw** Audit Services has detailed work programme Audit Services have a programme of work where the 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**	●

| ORG0021 | There are several external factors, such as the economic climate, partner re-organisation and increasing complexity of abuse, which are impacting upon the Directorate of Children's Services ability to minimise, and militate against, the risks to children and young people, particularly those vulnerable to harm. At a time when the Directorate's budget is reducing, the level of need, and consequently demand for, the range of services from early help through to protecting children and young people who are being abused or neglected continues to rise. | **Major** | **Jane Porter** | Development of early intervention services
In managing budget reductions the senior leadership team of the Directorate are seeking to maintain services for children in need of help and protection, children looked after and care leavers. Furthermore we are seeking to develop services which will enable early help with families so that young people are not placed at risk. Where possible we have also sought to create more capacity within our management structure to maintain the momentum of service improvements including work with partners.
Ian McGuff

DSLT prioritises spend and manages budgets to ensure children are safe from harm and neglect
In managing budget reductions the senior leadership team of the Directorate are seeking to protect those services which are chiefly responsible for keeping children safe from harm and neglect.
Ian McGuff

Optimise management structures to ensure service improvements are maintained
In managing budget reductions the senior leadership team of the Directorate are seeking to protect those services which are chiefly responsible for keeping children safe from harm and neglect. Furthermore we are seeking to develop services which will enable early intervention with families so that young people are not placed at risk. Where possible we have also sought to create more capacity within our management structure to maintain momentum with service improvements.
Ian McGuff | ● |

| ORG0022 | Failure to achieve compliance with the Public Service Network | Significant | Iain Newman | Project Team is overseeing.
Lance Cartwright

Traffic Light progress monitoring system in place
Lance Cartwright

Regular reporting to Corporate Board and top priority
Lance Cartwright

Communication strategy to the business (Council wide)
Lance Cartwright

SOCITM - national working party involvement
Lance Cartwright | New |

Risk rating is a combination of impact and likelihood

Status should reflect risk history.

Status key: ▲ **Worsening** ● **Stable** ✱ **Improving**