

Risk Register: Corporate Risks

Appendix 1

Quarterly

Periods -->	01/04/2015 to 30/06/2015	01/07/2015 to 30/09/2015
R.14 Equal pay settlements <i>Owner: Philip Tart</i> Implications of Equal Pay settlements.	MODERATE (8)	MODERATE (8)
	Corporate Board reviewed, 16th June 2015, no changes made at this time. Audit and Standards reviewed 7th July 2015, no changes made	Corporate Board reviewed 17/11/2015, no changes made at this time.
A.863 Specialist legal advice and support. <i>Owner: Phillip Tart</i>		
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.	MAJOR (20)	MAJOR (25)
	Corporate Board reviewed 16th June 2015, no changes made at this time. Audit & Standards Committee reviewed 7th July 2015, no changes made	Iain Newman reviewed, increased rating from 20 to 25. Corporate Board reviewed on 17/11/2015, controls amended where appropriate.
A.864 Financial intelligence <i>Owner: Rachel Cooper</i>		
A.865 Financial monitoring meetings <i>Owner: Rachel Cooper</i>		
A.866 Monitoring and forecasting of council tax and business rates <i>Owner: Ian Wollaston</i>		
A.868 Budget and business planning processes including delivery of savings plans, budget challenge teams and budget summit meetings. <i>Owner: Iain Newman</i>		
A.869 Reports to Cabinet, Audit and		

Standards Committee, Scrutiny and Council on budgets <i>Owner: Iain Newman</i>		
A.870 Reports to Council on the robustness and adequacy of financial reserves (Section 25 Reports) <i>Owner: Iain Newman</i>		
A.871 Corporate Transformation Programme <i>Owner: Sarah Norman</i>		
A.947 Strategy to manage numbers of Looked After Children through partnership and improved early intervention <i>Owner: Tony Oakman</i>		
R.18 Information Governance <i>Owner: Iain Newman</i>	MAJOR (16)	MAJOR (16)
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.	Corporate Board reviewed 16th June 2015, no changes made at this time. Audit & Standards Committee reviewed 7th July 2015, no changes made	Corporate Board reviewed on 17/11/2015, no changes made at this time
A.907 Information Governance Board <i>Owner: Iain Newman</i>		
A.908 Information Governance Unit <i>Owner: Iain Newman</i>		
A.909 On line Data Protection <i>Owner: Lewis Bourne</i>		

<p>A.910 Escalation of Information Governance issues <i>Owner: Iain Newman</i></p>		
<p>A.911 Action plan for compliance <i>Owner: To be revised</i></p>		
<p>R.19 Better Care Fund <i>Owner: Tony Oakman</i> If the Council and its partners fail to deliver 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>SIGNIFICANT (12) Corporate Board reviewed 16th June 2015, no changes made at this time. Audit & Standards Committee scheduled to scrutinise this risk at its meeting on 7th July 2015. Scrutiny and presentation undertaken as planned at Audit & Standards Committee on 7th July 2015</p>	<p>SIGNIFICANT (12) Corporate Board reviewed 17/11/2015. Comment - Ongoing dialogue monitoring between CCG and DMBC. Partners have agreed to look at developing strategic approaches around integrated provision and commissioning of services for Adults with LTC. DTOC performance improved and additional no recurrent funds £1.6 transferred to the L.A.</p>
<p>A.741 Performance framework: Clear performance framework for each team as a sub-set of Better Care Fund measures <i>Owner: Matt Bowsher</i></p>		
<p>A.742 Active role of rapid response service <i>Owner: Matt Bowsher</i></p>		
<p>A.743 Management of public expectations, provision of alternatives to institutional care and improved operational effectiveness of preventative services <i>Owner: Matt Bowsher</i></p>		
<p>A.744 Contract management process in relation to planned levels of activity and waiting time performance</p>		

Owner: Matt Bowsher		
A.949 Health and Wellbeing Board oversight of programme. Owner: Matt Bowsher		
R.20 Welfare Reform Owner: Philip Tart There is a risk that various changes to welfare and benefits systems could place people at risk and increase pressures on statutory services.	SIGNIFICANT (15) Corporate Board reviewed 16th June 2015, no changes made at this time. Audit and Standards Committee reviewed 7th July 2015, no changes made.	SIGNIFICANT (15) Corporate Board reviewed 17/11/2015, no changes made at this time
A.752 Corporate Welfare Reform Board in place to take a strategic approach Owner: Mike Williams		
A.753 Increased provision for bad debt (Housing Services) Owner: Robert Murray, Catherine Ludwig	The bad debt provision is regularly reviewed. At the end of 2014/15, while the increase in the bad debt provision was greater than the previous year, it was lower than the budgeted value. We are continuing to review the provision, particularly in the context of the rollout of universal credit and the future reduction in the benefit cap.	Bad debt provision reviewed and adjusted in line with latest collection forecasts. Increased bad debt provision has been built into future budget projections and will continue to review.
A.754 Joint working with third sector and other partners to identify & support people affected by Welfare Reforms Owner: Robert Murray, Catherine Ludwig	We continue to work closely with CAB and refer tenants to appropriate internal and external support providers where appropriate.	We continue to work closely with CAB and other agencies as required. We are developing pre-tenancy training including financial support which may include the support of volunteers. As numbers on universal credit increase, albeit slowly, we are looking at the role of staff in the Libraries and elsewhere to provide support.
A.755 Increase & diversify housing stock to mitigate effects of spare room subsidy Owner: Robert Murray, Catherine Ludwig	Our proposed new build schemes concentrate on providing smaller / larger / specialist housing to address our needs	Our proposed new build schemes focus on larger / smaller homes to meet our needs.

A.950 Interim Welfare Reform Post <i>Owner: Mike Williams</i>		
R.21 Corporate Fraud <i>Owner: Iain Newman</i> 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 (12) Corporate Board reviewed 16th June 2015, no changes made at this time. Audit & Standards Committee reviewed on 7th July 2015, no changes made.	SIGNIFICANT (12) Corporate Board reviewed 17/11/2015, no changes made at this time.
A.901 Detailed fraud risk register <i>Owner: Les Bradshaw</i>		
A.902 Data matching <i>Owner: Les Bradshaw</i>		
A.903 Audit Services detailed work programme <i>Owner: Les Bradshaw</i>		
A.904 Fraud Strategy in place <i>Owner: Les Bradshaw</i>		
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.	MAJOR (20) Corporate Board reviewed on 16th June 2015, no changes made at this time. Audit & Standards Committee reviewed on 7th July 2015 and elected this risk for scrutiny at a forthcoming A & S session.	MAJOR (20) Corporate Board Reviewed 17/11/2015. Controls reviewed and amended where appropriate.
A.862 Development of the Early Help Hub for Children <i>Owner: Merlin Joseph</i>		Family solutions structure now in place to realign all early help and preventative support services under one leadership to ensure more effective coordination. Work is ongoing with partners to sign off and implement early help strategy which will deliver a more integrated approach with the right thresholds and levels of support

<p>A.899 Options appraisal and potential implementation of a Multi Agency Safeguarding Hub (MASH) <i>Owner: Merlin Joseph</i></p>		<p>Partners signed up to a MASH development board meeting monthly. Planning for to go live April 2016. Interim approach SPA (Single Point of Access) late November 2015</p>
<p>A.900 Targeted support via the Troubled Families Initiative <i>Owner: Merlin Joseph</i></p>		<p>Review ongoing of Troubled Families linked to redesign of Early help model. Linked to this significant improvement on help for Twos target which is about helping families and children get the right start in life they need</p>
<p>A.953 Improved usage of data and intelligence to identify and address patterns of abuse <i>Owner: Merlin Joseph</i></p>		<p>As a consequence of audit and evaluation suite of management information has been redesigned to improve front line grip and management oversight. This approach has led to a more robust oversight of vulnerable children in the system. E.g. timeliness of assessments and unallocated cases are far more effectively managed.</p>
<p>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.</p>	<p>MODERATE (9)</p>	<p>MODERATE (9)</p>
	<p>Corporate Board reviewed 16th June 2015, no changes made at this time. Audit & Standards Committee reviewed 7th July 2015, no changes made.</p>	<p>Corporate Board reviewed 17/11/2015, no changes made at this time.</p>
<p>A.951 Staff engagement and culture change programme <i>Owner: Teresa Reilly</i></p>		
<p>A.952 Project management of corporate organisational restructure <i>Owner: Teresa Reilly</i></p>		