

Audit Committee

Tuesday, 23 February 2016

Additional Information

Agenda Item No. 5 – Corporate Risk Management Update

Revised Corporate Risk Summary

Contact: Steve Jones (01793 463602),
email: stevejones@swindon.gov.uk

This page is intentionally left blank

Corporate Risk Summary

Dated: 16 February 2016

Page 3

	Risk Area	Owner	Last Qtr	This Qtr	Change	Why the change?	Impact	Possible Causes	Plans to reduce likelihood
			Likelihood						
1	Organisational Sustainability	JG	M	M	↔		<ul style="list-style-type: none"> Abolition Loss of local decision making Excessive and unaffordable expenditure due to demand on services 	<ul style="list-style-type: none"> Inability to manage scale of austerity measures Lack of anticipated funding from new income sources including business rates Lack of succession planning in key roles across the organisation Poor performance management culture Incorrect care model devised and/or implemented Additional demand from Poor health , increasing health inequalities 	<ul style="list-style-type: none"> Change programmes Investment in range of revenue generating activities Clarity of narrative in position and response Determination and implementation of the optimal care model Engagement work with businesses and partners Devolution proposals
2	Political Climate	JG	L	L	↔		<ul style="list-style-type: none"> Variations to priorities Ambitions not realised Financial impact of change Destabilising relationship between members and officers Reputational damage 	<ul style="list-style-type: none"> Elections Relationships Actions of individual or group have negative impact National policy changes Wide range of contentious issues being taken forward 	<ul style="list-style-type: none"> Leaders Advisory Group Regular joint meetings Communication and engagement with members Leadership development of officers and members Encouragement of more cross party working
3	Safeguarding Children	KR	M	M	↔		<ul style="list-style-type: none"> Preventable Injury or death Standard of care suffers Reputational damage Challenge/change to delivery arrangements Potential damages Loss of public and member confidence 	<ul style="list-style-type: none"> Recruitment/retention of skilled staff Inadequate processes Error IT limitations Inadequate supervision Inherently unpredictable client behaviour 	<ul style="list-style-type: none"> Workforce development Audit and evaluation Cross council work on CSE Increased supervision/oversight Service Improvement plans
4	Failure/unavailability of business critical IT system / Disclosure of personal data / Loss of data	SM	M	H	↑	Recent system failures have led to inefficient or less secure practices being followed	<ul style="list-style-type: none"> Service disruption Serious safeguarding issue Financial cost / damages ICO Prosecution (and fine) Reputational damage with loss 	<ul style="list-style-type: none"> Inadequate processes Error Malicious action Transition from Capita Unstable platforms 	<ul style="list-style-type: none"> Data/system inventory System maintenance Preventative controls Data back-up regime and testing

Agenda Item 5

	Risk Area	Owner	Likelihood		Change	Why the change?	Impact	Possible Causes	Plans to reduce likelihood
			Last Qtr	This Qtr					
							of public and member confidence	•	<ul style="list-style-type: none"> • Proposal to change E-mail platform • Training / guidance • Personnel procedures
5	Major Unplanned expenditure	SM	L	L	↔	•	<ul style="list-style-type: none"> • Financial cost • Consequential impact on other areas 	<ul style="list-style-type: none"> • Emergency • Government initiative • Delay in implementing change programmes • Migration 	<ul style="list-style-type: none"> • Budget contingency • Reserves • Governance around change
6	Health & Safety	JG	M	M	↔	•	<ul style="list-style-type: none"> • Injury or death • HSE prosecution • Financial impact (damages/costs) • Reputational damage 	<ul style="list-style-type: none"> • Lack of awareness • Lack of care • Inadequate training • Equipment failure 	<ul style="list-style-type: none"> • Address OHSAS inspection • Training • Increase near miss reporting – culture change
7	Emergency management Business continuity Disaster recovery	JG	L	M	↑	• Lack of up to date business continuity plans	<ul style="list-style-type: none"> • Loss of key systems/services • Disjointed response • Financial consequences • Reputational damage • Loss of public confidence 	<ul style="list-style-type: none"> • Inadequate training • Poor planning or implementation 	<ul style="list-style-type: none"> • Updated EPRR plan • Improved response capability • Regular training/updates on Resilience Response
8	Governance	ST	L	L	↔	•	<ul style="list-style-type: none"> • Non-compliant with legislative and statutory obligations • Successful legal challenge • Financial consequences / additional costs • Loss of public and member confidence / Reputational damage • Partnership / Commissioned service collapse leading to service disruption / critical service not delivered 	<ul style="list-style-type: none"> • Legislative changes • Poor advice • Inability to transfer risk • Lack of oversight/visibility • Staff not understanding impact of devolved delivery • Financial and demand pressures / Resource constraints 	<ul style="list-style-type: none"> • Retention of skilled staff • Staff training • Staff deployment • Robust contracting system • Peer review • Governance review
9	Highways and Transport	BB	M	M	↔	•	<ul style="list-style-type: none"> • Real or perceived unacceptable levels of congestion • Complaints • Loss of public confidence • Pressure from members 	<ul style="list-style-type: none"> • Upgrading infrastructure • Improving capacity 	<ul style="list-style-type: none"> • Recognising conflicts • Improved communications to users • Traffic monitoring

	Risk Area	Owner	Last Qtr	This Qtr	Change	Why the change?	Impact	Possible Causes	Plans to reduce likelihood
			Likelihood	Likelihood					
10	Achievement of Vision	JG	L	L	↔	•	<ul style="list-style-type: none"> • Loss of key businesses • Inability to attract inward investment • Reduced income from business rate • Needs of community and stakeholders not met • Increased demand on fewer resources • Loss of valued local services • Unwanted development 	<ul style="list-style-type: none"> • Inadequate schools • Results at KS4 and Levels 2 and 3 and Higher Education levels • Recruiting difficulties • Inability to maximise geographic advantage • Lack of community capacity • Lack of infrastructure planning • Rate of growth • Poor skills growth • Lack of land for housing need • Lack of employment land • Poor health , increasing health inequalities . • Mismatch between resource and funding 	<ul style="list-style-type: none"> • Improvement plans for failing schools • Targeted interventions • Contribute to SWLEP plan • Partnership with Teaching Schools Alliance • New Eastern Villages (NEV) • Major Projects Team • Implementation of the Health and Wellbeing Strategy • Devolution proposal

This page is intentionally left blank