

Risk /Area	Owner	Last Qtr	This Qtr	Likelihood	Impact	Possible Causes	Mitigating Actions	Action Owners	Target date
1. Organisational Sustainability	Chief Executive	M	H		<ul style="list-style-type: none"> • Inability to deliver services • Loss of local decision making 	<ul style="list-style-type: none"> • Scale of austerity measures • Level of funding from new income sources including business rates • Difficulty in succession planning in key roles across the organisation • High levels of expenditure due to escalating demand on services, • Inability to recruit key/critical roles across the council 	<ul style="list-style-type: none"> • Monitor savings from change programmes quarterly and adjust programme accordingly 	Interim Corporate Resources Director	On-going
							<ul style="list-style-type: none"> • Commission research into opportunities for revenue generating opportunities and drive forward a commercialisation programme 		Management scoping meeting October 2016
							<ul style="list-style-type: none"> • Continue to deliver a new business retention and expansion service 	Corporate Director Economy, Regeneration & Skills	Ongoing
							<ul style="list-style-type: none"> • Commission a business support service for businesses with the potential for high growth 		Start of project - Nov 2016
							<ul style="list-style-type: none"> • Hold meetings with CEO's of the top 20 businesses in the Borough • Use the existing Council Customer Relationship Management (CRM) system and work with the Swindon & Wiltshire LEP (SWLEP) to establish a wider county-wide CRM 		September 2016
							<ul style="list-style-type: none"> • Launch Place Marketing Board and branding 		August 2017
							<ul style="list-style-type: none"> • Implement new Adult social care structure • Continue to hold weekly exception panels to scrutinise learning disability packages • Put in place review teams for discharge to assess learning disability and domiciliary care packages. • Implement the findings of the LGA consultancy report on learning disability 	Director of Adult Services	October 2016
							<ul style="list-style-type: none"> • Use the JSNA which highlights inequalities to inform commissioning and development of preventative services to reduce future demand 		December 2016
								Director of Public Health	September 2016

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10. Achievement of Vision	Chief Executive	L	M	<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">• Quality of education and skills provision• Recruitment / retention of sufficient skilled staff• Inability to maximise geographic advantage• Lack of community capacity• Lack of infrastructure planning/ funding• Rate of growth and development• Poor skills growth• Lack of land for housing need• Lack of employment land• Poor health, increasing health inequalities.• Mismatch between resource and funding• Alignment of partners to the Vision	<ul style="list-style-type: none">• Ensure the Education Strategy Board monitors and takes action so that improvement plans are in place for schools causing concern.• Ensure Education Commissioners review school data and take action to support and challenge schools and work with teaching schools to address issues and improve attainment/OFSTED outcomes.• Work with the School Heads Associations to support and challenge schools to improve outcomes.• Secure Multi-Academy Trust status for schools graded Requires Improvement• Deliver conferences to target low aspirations and behaviour.	Head of Education	Five meetings to take place in 2016/17 Termly
						<ul style="list-style-type: none">• Launch Place Marketing Board and branding	Corporate Director Economy, Regeneration & Skills	Termly As required Conference in October 2016 on the subject of behaviour
						<ul style="list-style-type: none">• Map and baseline existing volunteering opportunities in Swindon• Set up and go live with the Volunteering Website and Database	Head of Localities, Community Involvement & Volunteering	October-December 2016 October-December 2016
						<ul style="list-style-type: none">• Work with FSL and monitor project progress so that we achieve Swindon town centre regeneration and increase levels of inward investment.• Use the Leader's membership of the LEP Board and the Chief Executive's membership of the LEP's Commissioning Group to ensure that we have a strong influence in the LEP's decision making.	Corporate Director Economy, Regeneration & Skills	Recruitment of key staff is ongoing. The new Director is expected to be in place by November/ December 2016 Regular meetings with FSL to monitor project progress
						<ul style="list-style-type: none">• Monitor performance against outcomes from the Health & Wellbeing Strategy and implement changes.	Director of Public Health	March 2017

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						<ul style="list-style-type: none">Set up monthly sessions of LAG and CMT to monitor progress in delivering the vision	Director of Law & Democratic Services	September 2016
3. Safeguarding Children	Director of Children’s Services	M	M	<ul style="list-style-type: none">Preventable Injury or deathStandard of care suffersReputational damageChallenge/change to delivery arrangementsPotential damagesLoss of public and member confidence	<ul style="list-style-type: none">Recruitment/retention of sufficient skilled staffInadequate processesErrorLimitations of case management systemInadequate supervisionInherently unpredictable client behaviourNational Policy/Guidance changes	<ul style="list-style-type: none">Implement an enhanced Quality Assurance Framework (QAF) and plan	Director of Children’s Services	Currently in place embedding the plan over next 12 months
						<ul style="list-style-type: none">Carry out a Multi-Agency Safeguarding Hub Threshold review		Ongoing via the Local Safeguarding Children Board Task and Finish Group
						<ul style="list-style-type: none">Deliver a targeted recruitment campaign.Review social work caseloads		September 2016
						<ul style="list-style-type: none">Ensure that there is constant review of the OFSTED Action Plan and targeting of key areas which require improvement.		September 2016
						<ul style="list-style-type: none">Identify improvements to the Integrated Children’s Services (ICS) and Early Help CAPITA One Solution to meet future business needs	Head of Customer & Business Services/Chief Information Officer	March 2017
						<ul style="list-style-type: none">Deliver workshops and training to promote improved performance with a focus on practice gaps.	Director of Children’s Services	September to December 2016
4. Failure/unavailability of business critical IT system	Corporate Director Resources	M	M	<ul style="list-style-type: none">Service disruptionSerious safeguarding issueFinancial costReputational damage with loss of public and member confidence	<ul style="list-style-type: none">Inadequate systems and processesUnstable platforms	<ul style="list-style-type: none">Replace telephony system with a more resilient solutionImplement new backup solutionIncrease DR covered systems at WatersideMigrate failing systems off CPCAdopt Public Cloud infrastructure to add high availability	Chief Information Officer	June 2017
6.Major unplanned expenditure	Corporate Director Resources	M	M	<ul style="list-style-type: none">Depletion of reservesConsequential impact on other areas to mitigate impact	<ul style="list-style-type: none">Sudden unpredicted increase in demand for servicesGovernment initiative/national budgetary changes	<ul style="list-style-type: none">Plan and agree a robust financial plan and budget supported by effective budgetary control arrangements	Interim Corporate Resources Director	February 2017 Cabinet
						<ul style="list-style-type: none">Monitor and report on how the change programme delivers progress and		Regular reporting to

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					<ul style="list-style-type: none"> • Delay in implementing change programmes • Partner or subsidiary financial difficulties 	benefits.		CMT
						<ul style="list-style-type: none"> • Review governance arrangements for wholly owned subsidiaries 	Director of Law and Democratic Services	September 2016
7. Health and Safety	Chief Executive	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"> • Managerial Accountability and Responsibility • Condition of the site infrastructure at Waterside • Site suitability for current portfolio of activity at Waterside • Gaps in compliance management 	<ul style="list-style-type: none"> • Deliver H&S Training for: <ul style="list-style-type: none"> ○ New Starters ○ Managers/Supervisors ○ Staff ○ Lone Workers 	Head of Customer & Business Services	Annual Training Programme on the Intranet
						<ul style="list-style-type: none"> • Hold meetings of the Joint Safety Committee and Waterside Depot Safety Committee 		October 2016
						<ul style="list-style-type: none"> • Deliver the Waterside integration programme and depot improvements 	Corporate Director Communities & Place	In line with programme milestones
						<ul style="list-style-type: none"> • Support the culture of performance management and compliance through: <ul style="list-style-type: none"> ○ Training ○ Audit ○ Policy 	Head of Customer & Business Services	Annual Training Programme on the Intranet Audit & Policy review Nov2016
9. Governance	Director of Law & Democratic Services	M	M	<ul style="list-style-type: none"> • Non-compliance 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 • Court sanctions 	<ul style="list-style-type: none"> • Legislative changes • Lack of timely / appropriate legal 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"> • Maintain level of staff with appropriate qualifications and training 	Director of Law & Democratic Services	September 2016
						<ul style="list-style-type: none"> • Deliver regular training sessions for Members and Officers focussing on key issues such as their role in arm's length bodies. 		6 September 2016 – Charing Skills
						<ul style="list-style-type: none"> • Take part in an LGA Peer Review of Corporate Performance. 		September 2016

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11. Safeguarding Adults	Director of Adult Services	M	M	<ul style="list-style-type: none"> Adults in need for care and support are harmed Reputational damage Loss of public and member confidence Challenge/change to delivery arrangements 	<ul style="list-style-type: none"> Recruitment/retention of skilled staff Lack of timely compliance with adults safeguarding processes Inadequate processes Human Error IT limitations Inadequate supervision Inherently unpredictable client behaviour Lack of identification of adults at risk by some agencies Insufficient capacity to meet statutory needs in appropriate timescales 	<ul style="list-style-type: none"> Address recruitment and retention of skilled staff by reviewing staff workloads and recruiting social workers within SEQOL. 	Director of Adult Services	From August 2016
						<ul style="list-style-type: none"> Deliver workshops and training to promote improved performance amongst social care and partner agency staff 		Bi-monthly from September 2016
						<ul style="list-style-type: none"> Monitor demand and implement robust performance management and improved systems. Monitor performance information monthly through consideration with Managers/Joint Care Management Team 		September 2016
						<ul style="list-style-type: none"> Upgrade SWIFT 		December 2016
12. Insufficient Capacity or Capability	Chief Executive	M	M	<ul style="list-style-type: none"> Change not delivered Essential work not carried out Need to use high cost agency staff/ consultants Serious practice error/ accident Reputational damage 	<ul style="list-style-type: none"> Effective and knowledgeable staff leave Lack of succession planning in key roles across the organisation Poor performance management culture Difficulties in recruitment to key roles Levels of staff absence Lack of development opportunities Financial pressures on staffing/ training budgets Capacity of partnership/ commissioned services 	<ul style="list-style-type: none"> Hold quarterly review s of Corporate Health measures and targets and implement plans for measures which need improvement Develop Extended and Wider management Team meetings across the organisation to help galvanise awareness and capacity. 	Head of Performance, People & Engagement	Next review in September 2016
						<ul style="list-style-type: none"> Implement a recruitment and retention strategy, including approach to identifying and promoting talent and succession planning. 		Draft produced. To be considered by Senior Management in September 2016

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						<ul style="list-style-type: none">Put in place an effective Learning & Development plan and a range of training and other solutions to address identified and future needs		Dates are available on the intranet
13. Community Governance Review	Director of Law & Democratic Services	M	M	<ul style="list-style-type: none">Reputational damageSavings not realisedGaps in service / dip in service standardsRedundancies	<ul style="list-style-type: none">Different political pressuresParish councils are unable to take on services / can't take them on in timeParish Councils are not sustainable in the long termLack of business contributions lead to higher charges for residentsNature and location of the current workforce	<ul style="list-style-type: none">Ensure that there is robust and effective engagement & communication with members	Director of Law & Democratic Services	
						<ul style="list-style-type: none">Ensure that there is robust and effective engagement with residents , parish and town councillorsEnsure that there is good support for parish councils including delivery and budgetary support and transfer of assetsEnsure that there is good engagement with existing staff and opportunities to broaden skills.Ensure transfer of staff and/or TUPE arrangements are well communicated and robustSet up shadow councils using the skills and experience of existing ward councillors	Corporate Director Resources Corporate Director Communities and Place	
14. Sustainable Delivery of Adult Social Care Services	Director of Adult Services	M	M	<ul style="list-style-type: none">Gaps in ServiceStandards in Care suffersReputational DamageFinancial liabilities to the Council	<ul style="list-style-type: none">Workforce instability and recruitment challengesFinancial pressures	<ul style="list-style-type: none">Implement weekly transition board with CCG, SBC, GWH and Seqol to ensure safe transfer of services	Director of Adult Services	September 2016
						<ul style="list-style-type: none">Oversee TUPE of staff into Swindon Borough CouncilDevelop and deliver a comms strategy to inform staff		End of September 2016
						<ul style="list-style-type: none">Monitor service performance through monthly reports		Monthly management meetings.
						<ul style="list-style-type: none">Implement management arrangements for insourced services to ensure safe and well performing services		

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15. Wichelstowe development	Board Director Resources	M	M	<ul style="list-style-type: none"> Increased costs Debt does not start to be repaid / impacts on revenue budget Programme delays Borough-wide benefits not delivered Reputational damage Loss of public and member confidence Development not of desired quality 	<ul style="list-style-type: none"> Insufficient delivery capability and capacity to progress new strategy Competing priorities for key staff Strength of housing market Additional infrastructure burden on SBC Delivery of houses beyond district centre 	<ul style="list-style-type: none"> Develop detailed business cases for each phase Recruitment of new staff Monitor and adjust programme delivery and progress through the programme board Set out quality aspirations in the approach to market Ensure that Wichelstowe is intrinsic in the place marketing work. Continue discussions with major employers Ensure that the JV sets out the detail of the economic development expected, based on demographic and economic analysis Maintain positive relationship with BDW 	Wichelstowe Programme Director	December 2016
2. Political Climate	Chief Executive	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"> Competing political pressures Lack of good communication between officers and members Actions of individual or group have negative impact National policy changes Wide range of challenging issues being taken forward Roll-out- out of Community Governance Review implementations 	<ul style="list-style-type: none"> Ensure that there are regular meetings of LAG focussing on key issues 	Chief Executive	Weekly
						<ul style="list-style-type: none"> Arrange regular cross party briefings focussed on key issues 	Chief Executive	20 September 2016
						<ul style="list-style-type: none"> Provide Members with regular communications via <ul style="list-style-type: none"> A daily media round up The weekly Members' bulletin Dissemination of reports and meeting documentation 	Director of Law & Democratic Services/ Head of Performance, People & Engagement	Daily/Weekly and as required in advance of meetings
						<ul style="list-style-type: none"> Arrange regular training sessions for Members and Officers focussing on key issues. 	Director of Law & Democratic Services	17 October 2016 – subject to be agreed
						<ul style="list-style-type: none"> Provide Members with relevant policy information and bulletins focussing on key issues 	Head of Performance, People & Engagement	September 2016

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5. Disclosure or loss of personal data	Corporate Director Resources	L	L	<ul style="list-style-type: none"> ICO Prosecution (and fine) Damages Reputational damage with loss of public and member confidence 	<ul style="list-style-type: none"> Human Error Malicious action 	<ul style="list-style-type: none"> Implement new firewalls to address the appropriate threat levels Deploy policy management solution to guarantee staff compliance on mandatory training 		December 2016
8. Emergency management, business continuity and disaster recovery	Chief Executive	L	L	<ul style="list-style-type: none"> Inability to maintain services to customers Disjointed response Financial consequences Reputational damage Loss of public confidence 	<ul style="list-style-type: none"> Lack of clear roles and responsibilities for planning & implementation to manage during and after an incident Lack of up to date business continuity plans in key service areas 	<ul style="list-style-type: none"> Undertake regular reviews of guidance and amending of Business Continuity plans, guides and procedures. 	Head of Customer & Business Services	Ongoing with Services – last reviews were in July 2016
						<ul style="list-style-type: none"> Work with business areas to test and refine Business Continuity plans. 		September 2016
						<ul style="list-style-type: none"> Deliver training/updates on resilience response 		Dates TBC
						<ul style="list-style-type: none"> Practice Council Command and Control and Recovery Procedures including training/exercising in line with existing Local Resilience Forum (LRF) and Local Health Resilience plans. 	Director of Public Health and Head Customer & Business Services	Dates TBC Waterside exercise completed July 2016