

## Appendix One - Corporate Risk Register

### 1. Finance

Risk – Financial Sustainability. The Council’s major programmes and strategies do not deliver the expected financial and non-financial benefits and/or the Council’s Vision. The scale of change results in a lack of trust in the Council The Council cannot achieve its Medium Term Financial Plan and maintain the Council’s financial sustainability resulting in depletion of reserves , inability to deliver services and statutory obligations		Rating before mitigation	High	Rating after mitigation	High
Risk Owner – Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Evidence base for the interventions is not robust</li> <li>Unrealistic savings targets</li> <li>Change of direction locally/ nationally / partners</li> <li>Change is not sustained</li> <li>Major unplanned expenditure</li> <li>Central Government initiative / national budgetary changes</li> <li>Focus on the priorities and pledges is not clear</li> <li>Insufficient consistent focus on realising benefits</li> <li>Improvement is not prioritised</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Ensure that there is robust programme management and monitoring of the delivery and targets of the Swindon Programme plan	Sept 2017	Head of Corporate Programmes and Innovation	<ul style="list-style-type: none"> <li>Corporate Programme and innovation team structure agreed.</li> <li>Recruitment to Project Management roles prioritised and 2 new PMs starting in October 2017</li> <li>PMO governance roles interviewed Oct 2017. Decision awaiting.</li> </ul>		
Ensure ownership of the Swindon Programme is felt by the whole organisation and not seen as a solely corporate responsibility	Ongoing	Corporate Director Resources and Growth	<ul style="list-style-type: none"> <li>Full staff briefings delivered Sept 17</li> <li>Comms plan in plans to ensure staff engagement</li> <li>Intranet site created</li> <li>Programme created to include all savings</li> </ul>		
Use best practice research and local lessons to inform evidence based decision making with a particular emphasis on areas where there are performance challenges	Ongoing	Corporate Director Resources and Growth	<ul style="list-style-type: none"> <li>Research team included in ideas development process</li> <li>Yammer used to promote best practice</li> <li>Intranet used to promote best practice</li> </ul>		
Ensure key pieces of work , business plans , policies , strategies and commissioning / procurement is linked to delivery of the priorities	Dec 17		<ul style="list-style-type: none"> <li>All Gateway procurements are required to identify how they will help to deliver the Council priorities.</li> <li>Swindon Programme is designed to improve the ability of the Council to deliver against its priorities and pledges, through more efficient ways of working and delivering against our financial challenge in order to protect delivery of our priorities and pledges.</li> </ul>		

## 2. Empowering Communities

Risk: We do not empower communities and manage the expectations of residents and members. This potentially results in loss of trust in the Council damaging reputation and generating complaints and failure demand. We do not maximise opportunities to work with communities to support them to have more influence and responsibility in their own areas.		Rating before mitigation	Medium	Rating after mitigation	Medium
Risk Owner – Corporate Director Communities and Place					
Causes of risk					
<ul style="list-style-type: none"> <li>Insufficient engagement and communication</li> <li>High public expectation</li> <li>Increasing demand</li> <li>Ineffective use of capacity</li> <li>Insufficient support / buy in from parishes</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Build on our work with communities to create a true and sustainable partnership, in order to harness the energy of the community and voluntary sector in service of the Vision for Swindon	Dec 2017	Director of Public Health	The Volunteer Swindon website was launched in June. 21 organisations have signed up to use the website and the organisations had over 2222 hits during this quarter. Promotion has taken place through Your Swindon, Facebook and to Council staff. Ongoing support is provided to other areas of council services with over 19 teams so far receiving guidance and support on volunteering. A manager toolkit to support service areas to recruit, manage and develop volunteers has been developed and is due to go live on the intranet during Q3.		
Develop volunteering within the Council.					
Ensure that there is robust and effective engagement & communication with members, parish and town councillors	Ongoing	Director of Law and Democratic Services	Full range of briefings, training and regular communication in place, including cross party briefings on key issues and regular Leader's Advisory Group meetings and regular meetings with Town/Parish councillors, and Town/Parish clerks.		
Ensure that there is good support for parish councils including delivery and budgetary support and transfer of assets	Ongoing	Head of StreetSmart	Newly elected Parish Councils are now in place and being supported by experienced Locality Leads. Ongoing discussions with Parish Councils to complete the transfer of services and land		
Use research to design and deliver further communication and engagement activity for staff, residents and stakeholders around the Vision to celebrate achievements, share challenges and ensure consistent messaging. Find a way of understanding impact.	Dec 2017	Director of Performance, Organisational Improvement and Communications	The planned primary research to get an up to date understanding of how residents find out about what's going on in their local area and the work of the Council was put on hold after the introduction of the non-essential spend restrictions. A cost effective way of reintroducing a Resident Survey in 2017/18 have been sourced through the LGA.		
Refresh our consultation policy. Work with senior officers and members to ensure that engagement and consultation opportunities	Dec 2017		The policy has been refreshed and extended to cover engagement. A toolkit has been produced to up skill officers to ensure that consultation is embedded in decision making processes. Members and parish councils are being consulted about the draft policy.		

are factored into decision making.			
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### 3. Growing the Economy

Risk – Growing the Economy: The Council is unsuccessful in growing / sustaining the level of business activity necessary to provide sufficient employment for our residents and generate enough business rates income to pay for the services we need to provide.		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner – Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Capacity / capability of council staff and delivery agents</li> <li>Lack of focus – changing or unclear priorities</li> <li>Evidence base for strategies/plans is not robust</li> <li>Lack of focus on delivery</li> <li>Insufficient funding for projects</li> <li>Loss of control over housing land linked to 5 year land supply</li> <li>National and international economic climate / policy</li> <li>Competition from other LA's</li> <li>Opposition from residents / pressure groups</li> <li>Market uncertainty</li> <li>Insufficient suitable employment land</li> <li>Lack of skilled local workforce</li> <li>Lower than planned level of housing starts including delays developing Wichelstowe and NEV</li> <li>Negative perceptions of the borough</li> <li>Recruitment and retention problems in key sectors</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Develop/implement action plan to raise business rate income by strengthening /diversifying the business base, creating jobs that support innovation and exporting & focussing on supporting strategically important companies with high growth potential	Ongoing	Corporate Director Resources and Growth	Economic strategy approved by cabinet. Work in place with the LEP to offer business support and grant funding to encourage business growth. Place marketing through Switch on to Swindon. Strengthened relationship with Department for Industry and Trade leading to business growth opportunities		
Work with FSL and monitor project progress to regenerate Swindon's town centre.			Review of town centre regeneration including role & structure of FSL. Delivery structure for Kimmerfields reviewed -new governance is being put in place. Funding bids submitted		
Adoption of Local Plan with robust strategy and housing allocations	March 2021	Head of Planning	Strategic Housing Market Assessment and Functional Economic Market Area Assessment endorsed by the LEP and approved by Cabinet September 2017. Issues Consultation was authorised by Cabinet on 18 <sup>th</sup> October 2017.		
Allocate 60 hectares of employment land over the Local Plan period to 2036. Accelerate delivery of existing undeveloped employment land.	March 2021				
Ensure that delivery of work at Wichelstowe and New Eastern Villages is on target and meeting milestones	Ongoing	Corporate Director Resources and Growth	Planning application for road north of A420 and appeal re Lotmead - Nov. HIF bids for Southern Connector Rd & eastern access under railway. Southern Connector Rd landowner's forum Nov. Wichelstowe-secondary school started on site. Planning considering applications for pub & 85 houses. Progress with access road and canal works.		
Develop low carbon transport solutions. Support and encourage the development of business innovation in recycling technologies and low carbon	Ongoing		Proposals being developed for increasing charging infrastructure for electric vehicles and for developing energy/resource from waste. Working with Swindon Hydrogen Hub to promote use of ultra-low emission vehicles.		

Work with learning providers, partners and employers to develop skills training that meets the needs of businesses and improve access to HE	Ongoing	Strategic Commissioner Routes to Employment	Higher Futures Programme in place to ensure skills training is being developed .Work with schools/Oxford Brookes to increase HE take up. Preparing for a bid for an Institute of Technology. Developing ideas for a high level skills facility.
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4. Managing our environment. This risk considers aspects of our environment which if not managed could have a significant negative impact on the Council's effectiveness. They are Health and Safety, IT systems and the local, national and international context.

Risk - Health and Safety : A serious and avoidable accident occurs leading to serious injury, damage or death, financial penalties , HSE prosecution and reputational damage		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner –Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Lack of management accountability</li> <li>Condition of the site</li> <li>Site suitability</li> <li>Lack of staff compliance</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Deliver health and safety training and briefings to all staff with a particular focus on high risk groups	Ongoing	Head of Customer & Business Services	Annual plan drafted – close working between H & S and L & D to ensure all staff receive the appropriate training (main focus is operational staff at Waterside)		
Ensure continuation of all meetings in the governance structure [at operational and strategic level] with good attendance from all parties	Ongoing		Improved Management Information reporting at each level of governance meeting. New CMT sponsored working party set up to review organisational design to support compliance		
Deliver Waterside depot improvements	In line with programme milestones	Corporate Director Communities & Housing	Phases 1 & 2 of improvement plan complete. Phase 3 works started Oct 17 to complete drainage works, make safety improvements to the Materials Recycling Facility & resurface depot main road. Work expected to be complete spring 18 - overseen by the Waterside Improvement Board. Waterside Safety Committee meets monthly to monitor performance, compliance and risk.		
Develop a culture of health and safety compliance through information, audit and policy.	Ongoing	Head of Customer & Business Services	All policies updated and review cycle agreed		

Risk - The Local , National and International Context: Changes of policy at any level adversely impact on the Council's priorities or cause a change in priorities leading to difficulty in realising our ambitions, potential financial implications and reputational damage		Rating before mitigation	Medium	Rating after mitigation	Medium
Risk Owner –Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Insufficient awareness of policy changes ( Officers or</li> <li>Lack of a voice at national level</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Ensure that members are provide with regular information and discussion opportunities to support informed decision making	Ongoing	Director of Performance, Organisational Improvement and Communications	Regular briefings and policy updates in place focussing on key issues.		
Ensure that officers and					

members are regularly briefed on policy changes			
Continue to explore the opportunities for developing partnerships with other councils that share a common interest with SBC to improve our ability to influence national policy and decisions		Corporate Director Resources and Growth	Fast Growth City partners met DCLG to explore policies we might pilot to accelerate housing. Discussions with England's Economic Heartland alliance of authorities underway to discuss potential SBC links.

Risk - IT system: A business critical system fails or is unavailable to a significant number of staff for a significant period leading to service disruption, potential safeguarding issues , poor productivity and reputational damage		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner –Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Inadequate systems and processes</li> <li>Unstable platforms</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Replace telephony system with a more resilient solution	July 2018	Director of Digital Services & Corporate Programmes	Pilot of Skype for Business completed across Resources. Network testing shows the project will fail with current LAN and WAN so will follow the upgrade of WAN and LAN improvements. PBX system requires £300,000 investment to replace and will deliver little value so Support & Maintenance 3rd party contract will mitigate risk of failure.		
Increase disaster recovery systems at Waterside	Completed		Resilience improved with Wide Area Network capacity, Storage Area Network upgrade and Virtualised Computers investments. On premise infrastructure is now set up to failover to Waterside in the event of a major failure in the Civic based IT.		
Migrate failing systems off the Capita Private Cloud (CPC)	Continuing to end of 2018		Capita and SBC have started a joint project to extract SBC servers from CPC. Email has been moved to Azure (Microsoft's Cloud based infrastructure). Capita One has been migrated on premise; further infrastructure servers have been migrated. More follow over 2018.		
Adopt Public Cloud Infrastructure to add high availability	Completed		Azure resilience now in place for specific servers. Further work to identify which are the priority systems for SBC.		

## 5. Delivering Quality

This risk considers two areas of the Council's work where poor quality will pose significant risks to the Council. These are our work to safeguard vulnerable children and adults and adhering to our systems of governance so that we act within our powers.

Risk – Safeguarding Children: Avoidable failure through action or inaction leads to serious harm, death or a major impact on wellbeing, potentially leading to reputational damage for the Council, loss of staff confidence and morale, loss of public and member confidence, litigation and damages.		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner – Corporate Director Children's Services					
Causes of risk					
<ul style="list-style-type: none"> <li>Recruitment/ retention of sufficient skilled staff</li> <li>Error / data breach</li> <li>Unpredictable client behaviour</li> <li>Inadequate processes</li> <li>Limitations of case management system</li> <li>National policy/ guidance changes</li> <li>Insufficient in house placement capacity for children</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Implement improvement measures including QA framework, team improvement plans , and self- evaluation of the service	Ongoing	Corporate Director - Children's Services	A QA framework is embedded & will be built on. Analysis of all QA activity is reviewed & actions agreed quarterly. The Ofsted Action Plan is embedded within Team Improvement Plans. The CQC action plan is reviewed quarterly. Work started on a full self-evaluation of the service. The LSCB has started a working group to review the use of Early Help Records and Plans to promote early intervention. A revised 'Level of Need document has been drafted, for sign off at the LSCB December Board.		
Deliver a targeted recruitment campaign and review social work caseloads	Ongoing work		Vacancies remain challenging in social work. Some appointments have been made due to targeted recruitment of newly qualified social workers with extra support through an aspiring manager. Additional resource to recruit social workers was agreed by Cabinet to reduce caseloads to nationally expected levels. Analysis showed that caseloads were in the process of reducing, however, demand has increased & caseloads have risen. There are challenges in recruiting to more experienced social worker posts- further targeted recruitment is now needed.		
Identify improvements to the Integrated Children's Services and Early Help Capita One to meet future business needs	June 2018		The review of all ICS forms has been completed and maximised functionality. Management information has been improved. There are no further opportunities to improve as the product is reaching the end of its life. CAPITA One have notified us of their intention to replace ICS with a new application, & offered it at a discounted price, the implementation planned for Oct – Dec 2018. Recently there has been a change in contractual expectations -clarity is being sought		
Implement dedicated service improvement within the fostering team	Ongoing		A Dedicated Improvement Board monitors & supports the improvement of service delivery. Recruitment & retention strategy enacted. Performance scorecard		

			now developed & implemented which will measure impact. Dedicated Children's Care Commissioner appointed and commenced in post Jan2017. Payment Scheme is now live. In October a stock take is being undertaken to inform further improvement work
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Risk – Safeguarding Adults: Avoidable failure in Adult Social Care through action or inaction leads to serious harm, death or a major impact on wellbeing with potential impacts to the Council in terms of reputational damage, loss of staff confidence and morale, loss of public and member confidence litigation and damages.		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner – Corporate Director Adult's Services					
Causes of risk					
<ul style="list-style-type: none"> <li>Recruitment/ retention of sufficient skilled staff – staff capacity</li> <li>Human error</li> <li>Unpredictable client behaviour</li> <li>Lack of timely compliance with processes</li> <li>IT limitations</li> <li>Inadequate supervision</li> <li>Lack of timely identification of adults at risk by agencies</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Deliver training to staff and partner agencies to improve performance , including training on supervision and safeguarding	Ongoing	Corporate Director Adult's Services	The ASC transformation programme continues to make good progress. Reablement services are more accessible and effective, assessment and review processes have been re-designed to ensure they are timely & promote independence, & stronger links are being developed with the voluntary & third sector. New management structure is now in place to support the ongoing delivery of the programme. The weekly ASC finance & activity dashboard has enabled managers to have better oversight to pro-actively manage performance, & spend across services.		
Work with the Local Safeguarding Adults Board to monitor demand and implement robust performance management of safeguarding alerts and work with managers and the Joint Care Management Team to monitor performance information	Quarterly		Good progress underway in developing a multi-agency quality assurance process and reporting system for Safeguarding. Currently reviewing the structure of the safeguarding team and considering the option of having police representation co-located with the ASC Safeguarding Team.		
Upgrade SWIFT	July 2018		New system to replace SWIFT has been tendered and presentations from preferred bidders is planned for mid- October 2017.		



Risk – Governance: The council does not comply with legal or statutory obligations or acts outside its powers or our governance of information is not robust resulting in loss of protected data potentially leading to successful legal challenge, financial penalties, court sanctions safeguarding issues and reputational damage.		Rating before mitigation	Medium	Rating after mitigation	Low
Risk Owner – Monitoring Officer					
Causes of risk					
<ul style="list-style-type: none"> <li>Legislative changes</li> <li>Legal advice not followed</li> <li>Human error</li> <li>Lack of timely/ appropriate legal advice</li> <li>Financial and demand pressures ( resource constraints)</li> <li>Malicious action</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Maintain staff with appropriate qualifications and training	Ongoing	Monitoring Officer	In place		
Deliver regular training sessions for members and officers focussing on key issues such as their role in arms- length bodies	Ongoing		Regular sessions delivered		
Implement governance arrangements for wholly owned subsidiaries	Ongoing		Report was presented to Audit Committee on 4th April 2017 recommending the formation of a Cabinet Member Advisory Group to provide oversight of Council owned companies and setting up a shareholder board. CMT has oversight of the Commercial programme together with the newly formed Commercial Investment Strategy Board		
Ensure that key pieces of work, link to the delivery of the priorities.	Ongoing	Corporate Director Resources and Growth	Governance structure are aligned through Corporate Management Team who are accountable to members for the delivery of both the programme and the priorities and pledges		
Deploy policy management solution to guarantee staff awareness and compliance with Council security policies.	Dec 2018.	Director of Digital Services & Corporate Programmes	Corporate roll-out completed and staff compliance captured for overarching Acceptable Use Policy		



## 6. Realising Potential

Risk –we do not make the best use of all available capacity, either within our own staff or through strong and effective partnerships which restricts our ability to deliver our vision, priorities and pledges.		Rating before mitigation	Medium	Rating after mitigation	Medium
Risk Owner – Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Insufficient development opportunities</li> <li>Difficulty in recruitment to key roles</li> <li>Lack of succession planning in key roles</li> <li>Poor performance/ absence</li> <li>Capacity and sustainability of the supplier market</li> <li>Lack of alignment with key partners eg LEP/ CCG.</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Ensure that Swindon has a strong voice in SWLEP to maximise the opportunities of attracting funding for key Swindon projects	Quarterly	Corporate Director Resources and Growth	Leader is a member of the LEP Board. Officer representation on all relevant SWLEP groups and sub-groups.		
Ensure a strong partnership with the CCG and mutually beneficial use of funding through the development of the Better Care Fund Plan, financial negotiations, and setting out a framework for a pooled budget further integrated commissioning and development of an accountable care alliance	April 2018	Corporate Director Adult Services	Accountable Care Alliance Board established with Council representation June 2017 Development of joint commissioning business case December 2017 .		
Work with public sector partners through One Swindon Board to ensure a collaborative and co-ordinated response to issues of common concern.	Ongoing	Director of Performance Organisational Improvement and Comms	Three areas of focus have been agreed: homelessness and rough sleeping, domestic abuse and education, skills and employment.		
Improve productivity across the Council-	March 2020		This will be an intrinsic part of the organisational excellence programme.		
Develop and deliver a leadership programme and wider engagement activity for managers.	Ongoing	Director of HR & OD	The Leadership and Culture Programme contains two leadership programmes aimed at developing key skills, competencies and behaviours of future leaders. The Future Leaders' Programme was launched on May 25 <sup>th</sup> . Programmes started in Sept 17.		
Develop and implement a recruitment and people strategy	Dec 2018		Strategy delayed to allow sufficient time to understand our learning and development to deliver the Swindon Programme.		
Implement performance management of staff across the council including absence management and the rate of appraisals	Ongoing		Work is in place including new absence management posts. Focus on absence management at EMT and WMT and increased internal comms.		

## 7. Effective Prevention

Risk - our preventative and early intervention work is not successful in halting the rise in demand resulting in increasing spend on social care leading to challenges in balancing the budget and a potential loss of services which residents value.		Rating before mitigation	High	Rating after mitigation	High
Risk Owner – Corporate Director Adult Services					
Causes of risk					
<ul style="list-style-type: none"> <li>Ageing population</li> <li>Welfare Reform</li> <li>Unhealthy lifestyles</li> <li>Economic downturn</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Implement measures to reduce adult social care costs and demand	Ongoing	Director of Adult Services	Exceptions panels in place Review team in place Consultants' report received. Implementation in Q3/ 4.		
Commission preventative services to reduce future demand	Ongoing	Director of Public Health	Contracts in place include substance misuse, sexual health, health checks and smoking cessation. Substance misuse is currently being re-procured. All contracts monitored to ensure outcomes and KPI's are being achieved.		
Monitor performance of the delivery of the outcomes of the Health and Wellbeing Strategy and implement changes	Jan 2018	Director of Public Health	Annual review of the outcome measures scheduled. Regular monitoring of outcomes in place through multi agency forums. Documents available at <a href="http://www.swindonjsna.co.uk/">http://www.swindonjsna.co.uk/</a>		
Implement a revised model of multi-agency Early Help and intervention that enables all partners to work collaboratively to help children and families at the earliest point to reduce the need for higher level, more costly interventions.	April 2018	Corporate Director-Children's Services	Current model review completed. New model being planned including significant strategic and operational work with partners.		

## 8. Business Continuity

Risk: our arrangements to be able to continue to deliver essential services if things go wrong including our suppliers fail or don't perform are not sufficiently robust, leading to poor quality delivery of essential services, loss of public confidence and reputational damage		Rating before mitigation	High	Rating after mitigation	Medium
Risk Owner – Corporate Director Resources and Growth					
Causes of risk					
<ul style="list-style-type: none"> <li>Lack of robust and up to date business continuity plans in key service areas</li> <li>Lack of oversight of key suppliers</li> <li>Lack of clear roles and responsibilities for planning and implementation during and after an incident</li> <li>Lack of stability in the care market</li> </ul>					
Mitigating Actions	Due date	Action owner	Progress		
Undertake regular reviews of completion and content of business continuity plans , guides and procedures	Ongoing	Head of Customer and Business Services	External review of Business Continuity and Emergency Planning arrangements completed in September – recommendations now being reviewed. Business Continuity Plans being refreshed in most areas of the business - more work required to pull these together into overarching picture of priority and requirements		
Deliver training /updates on resilience response	Ongoing		Four courses are run per year, 2 tactical and 2 operational		
Practice Council command and control and recovery procedures in line with the Local Resilience Forum and Local Health Resilience plans	Ongoing	Director of Public Health and Head of Customer and Business Services	Exercises in Jan, Feb and July including a large recovery exercise which looked at the recovery from a high rise building fire, a strategic level major incident exercise and a seminar on recovery from a chemical , biological, radiation or nuclear incident.		
Carry out financial health checks on all suppliers to check their likely sustainability	Ongoing	Corporate Director Resources and Growth	Gateway procurements carry out financial checks either as part of the procurement process or through use of approved frameworks		