

Group:	Corporate Board
Directorate / Business Unit:	
Specific Area of Being Risk Assessed:	Corporate Objectives / Promises
Risk Assessment Owner:	Chief Executive
Assessors:	Corporate Board
Date of Assessment:	Sep-08
Date of Review:	Aug-09
Date of Next Review	Sep-09

Type of Assessment	Mark a cross
Corporate Plan/Annual Operating Plan	x
Group	
Business Unit / Operational	
Partnership	
Procurement - Gateway 1	
Programme / Project	
External Funding	
Policy	
Other - please state:	

Risk Ref.	Link to Corporate Plan, Promise, Project or wider objective	Risk	Triggers/Causes	Consequences/Impact	Risk Owner(s)	Current controls	Impact	Likelihood	Current Rating (R=I*L)	Mitigation Action(s)	Owner of Action	Target Date	Impact	Likelihood	Residual Rating (R=I*L)
CR01	Delivering the Shared Vision for Swindon 2008-2030	Lack of clarity on future strategic priorities impacts on the ability to refocus the organisation's resources and secure partner involvement	Focus of Swindon 2010: 50 Promises passes in next 12 months	Failure to secure focus on agreed organisational objectives	Gavin Jones	Preliminary discussions with Cabinet on future priorities	4	3	High	Development and delivery of programme for senior officers and Members with a clear focus on developing clear priorities and non-priorities and partner engagement	Jack Markiewicz	31st October 2009	4	2	Medium
			Impending reduction in public expenditure will necessitate reprioritisation and disinvestment from some services	Limited resources are spent on non-priorities and available budgets are insufficient to meet demand		Ongoing assessment of future financial position in MTRP				Discussions at officer level on development of Swindon Delivery Plan (next Corporate Plan)	Matt Gott	Ongoing from May 2009 to February 2010			
						Acceleration of 2010/11 budget process including agreement to implement savings proposals with immediate effect					Stuart McKellar	Ongoing from June 2009			
CR02	Achieving in year budget	Unable to achieve in year budget for 2009/10	Ambitious agenda requires investment and swift delivery of efficiency savings, including through transformation programme	Offsetting savings required to cover the cost not met by increased Council Tax & Govt. Grant	Stuart McKellar	Risk assessment undertaken to identify scale of potential budget deficit	4	3	High	Actions agreed to help balance current year's budget	Stuart McKellar	Ongoing through 2009	4	2	Medium
			External cost pressures (demographics / growth / impact of economic downturn)	Reduction in reserves or further pressure on 2010/11 budget if 2009/10 budget is overspent		Dialogue and communications within directorates and service areas to produce detailed proposals to mitigate projected overspend.				Acceleration of 2010/11 budget process including agreement to implement savings proposals with immediate effect	Stuart McKellar	Ongoing from June 2009			
			Budget pressures carried forward from 2008/09	Erodes capacity within the organisation		Use of one-off moneys to support initiatives with the potential to realise efficiency savings or additional income in the short to medium-term					Stuart McKellar	Ongoing through 2009			
			Impact of Equal Pay and Single Status still unknown			Detailed and extensive internal communications ongoing to highlight current challenges, in particular Manager's Bulletin.				Corporate Board and Cabinet to look at mitigating plans to ensure robustness	Stuart McKellar	30th September 2009			
CR04	To deliver capital programme as approved by Council	Capital programme slips	Insufficient capacity in client team or technical delivery team	Impact on schools, communities, services etc.	Hitesh Patel	Monthly performance report in place to update AMG on the projects in the Capital Programme, based on overall delivery and project budget, as well as the finance report giving in-year spend	3	4	High	Strengthen clarity and understanding around roles within the client teams to improve pre contract awareness of issues and instructions.	Nic Newland Service leads Capita	31st August 2009	3	3	Medium
						Head of Programme and Projects appointed lead officer on capital programme									
						New Bid Form has been implemented by Finance to ensure visibility of bidding for funding and the possible start of a project or development of an asset									
			Estimates for capital spend impacted on by external economic circumstances e.g. steel price increases	Increase in capital expenditure		Capital spend review report monthly to Corporate Board and quarterly to Cabinet				PMO to improve capability and capacity of project personnel through series of initiatives	Mark Hopkins	30th September 2009			
			Unforeseen factors cause delays e.g. ecological	Impact on schools, communities, services etc.		Project governance with Asset Management Group				Active management of programme . Constant review of market conditions. Regular reporting via Members Asset Management Group	Rob Richards Stuart McKellar	Ongoing			
			Lack of visibility around schemes funded by S106 deposits in whole or in part	Impact on use of resources											
			Disposal programme doesn't realise receipts due to external economic circumstances			Dedicated resources applied to programme									
CR07	Readiness to respond to major incidents	Response to major incidents / events is not fully effective	Processes are in place but are not fully understood or followed by the majority	Needs of community and stakeholders are not met	Hitesh Patel	Processes, Procedures and Plans are in place and are regularly reviewed				Continuous improvement of plans & procedures in light of good practice	Sam Weller/Alistair Ireland	Ongoing			

Appendix 2 - Corporate Risk Register, August 2009

Risk Ref.	Link to Corporate Plan, Promise, Project or wider objective	Risk	Triggers/Causes	Consequences/Impact	Risk Owner(s)	Current controls	Impact	Likelihood	Current Rating (R=I*L)	Mitigation Action(s)	Owner of Action	Target Date	Impact	Likelihood	Residual Rating (R=I*L)
			<p></p> <p>Lack of commitment to exercising and training opportunities so plans cannot be invoked effectively</p> <p>Lack of engagement in and understanding of Major Incident Planning within SBC and partners</p> <p>Robustness of joint pandemic flu plans</p> <p>Schools awareness and understanding of their roles and the need for response plans</p>	<p>Critical services are not delivered</p> <p>Statutory duties are not met</p> <p>Bad publicity/Loss of reputation and public confidence</p> <p>Financial implications</p>		<p>Business Continuity Team and Plans in place</p> <p>Exercise and awareness raising programme is in place and is implemented</p> <p>Active involvement with LRF</p> <p>Joint pandemic flu planning in place with PCT</p>	4	2	Medium	<p>Redrafting of Business Continuity Strategy & Policy</p> <p>Awareness, Training, Exercising & updating Schedule.</p> <p>Joint working with Health Partners to align plans and procedures</p> <p>Joint Pandemic Flu planning exercises SBC/PCT</p> <p>Regular discussions through key Head Teacher consultative groups, including the Cross-Phase Group and the Education Joint Safety Committee</p> <p>Support to schools on business continuity planning, including provision of template</p> <p>All Children's Services Directors regularly reviewing Business Continuity and other Plans for all Children Services' buildings and sites that they manage, including Youth Centres, Children's Centres and offices</p> <p>Clear communication strategy work roles and responsibilities regarding schools.Regular reviews and re-issue of Emergency Planning Guidance for schools in line with current DCSF and other sources of guidance.</p>	<p>Alistair Ireland</p> <p>Sam Weller/Alistair Ireland</p> <p>Sam Weller/Alastair Ireland</p> <p>Sam Weller/Alistair Ireland</p> <p>Ian Bickerton</p> <p>Ian Bickerton</p> <p>Ian Bickerton</p> <p>Ian Bickerton</p>	<p>31st December 2009</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing through pandemic</p> <p>30th July 2009 and ongoing</p> <p>June 2009 and ongoing</p> <p>30th July 2009 and ongoing</p> <p>30th July 2009 and ongoing</p>	4	2	Medium
CR08	Whole Council Transformation	Culture of the organisation is not ready for the step change needed to transform	<p>Engagement of and between members and officers is not sufficiently developed</p> <p>Change capacity and capability building not resourced</p> <p>Extent of change underestimated</p> <p>Change solutions (process/systems/new ways of working) developed without stakeholder engagement</p> <p>Impact of Single status on staff</p>	<p>Fail to deliver real Change under the Change programme</p> <p>Transformation benefits not realised (financial, customer, service, performance)</p> <p>Improved outcomes not delivered</p> <p>Unsustainable change / Change does not become embedded</p> <p>Lost opportunities for more effective service delivery, improved value for money and reinvestment of human and financial resources</p>	Hitesh Patel	<p>Focus groups held with staff around key transformational projects</p> <p>Head of Change and Change team in place</p> <p>Capability building programme - phase 1 candidates (programme sponsors, lead directors, change practitioners and key project managers) identified & discovery phase to ascertain need is being implemented</p>	3	3	Medium	<p>Convert senior management buy-in into real momentum and action across the organisation - high level interventions plan to be developed</p> <p>Ongoing implementation of capability building programme</p>	<p>Patrick Weir / Karen McMahon</p> <p>Patrick Weir and Nick Vat</p>	<p>31st August 2009</p> <p>31st December 2009</p>	3	3	Medium
CR09	Health, Safety and Wellbeing	Failure to satisfy duty of care and statutory obligations	<p>Unclear responsibilities and accountabilities</p> <p>Failure to work with strategic partners on shared risk</p> <p>Failure to respond to changes in legislation</p> <p></p> <p>Schools awareness, understanding and implementation of their responsibilities</p> <p>Foundation schools not receiving relevant advice</p>	<p>Criminal Prosecution</p> <p>Reputation damaged</p> <p>Financial cost re damages and increased insurance premiums</p> <p>Increase in staff absence/sickness</p>	Hitesh Patel	<p>Health and Safety: Manuals, Procedure Guides, Codes of Practice - policies and procedures have been reviewed</p> <p>Risk Assessments</p> <p>Training for All staff in Health & Safety</p> <p>Pool of trained and experienced Health & Safety Professionals.</p> <p>Health, Safety & Wellbeing Management Board</p> <p>Foundation schools buy in Health & Safety service from SBC or other relevant provider</p>	4	3	High	<p>Corporate training plan inclusive of Managers Health and Safety Duties</p> <p>Continue completion of Risk Assessments when required and escalate issues to HS&W Management Board</p> <p>Enhance quality of dialogue and debate of Joint Safety Committee enabling it to play a more significant role in driving safety performance improvement and accountability</p> <p>Review of assessments and system controls with the objective of obtaining a singular or joint working procedure</p> <p>Codes of Practice continue to be updated as per working schedule</p> <p>Clear accountabilities framework submitted to Directors Team and Corporate Board</p> <p>Include health and safety in head teacher induction</p>	<p>Philip Harman</p> <p>Philip Harman</p> <p>Jack Markiewicz</p> <p>Philip Harman</p> <p>Philip Harman</p> <p>Jack Markiewicz</p> <p>Paddy Bradley</p>	<p>31st March 2010</p> <p>Annual review</p> <p>30th September 2009</p> <p>Annual review</p> <p>31st March 2010</p> <p>31st December 2009</p> <p>22nd September 2009</p>	3	2	Medium

Appendix 2 - Corporate Risk Register, August 2009

Risk Ref.	Link to Corporate Plan, Promise, Project or wider objective	Risk	Triggers/Causes	Consequences/Impact	Risk Owner(s)	Current controls	Impact	Likelihood	Current Rating (R=I*L)	Mitigation Action(s)	Owner of Action	Target Date	Impact	Likelihood	Residual Rating (R=I*L)	
			Lack of awareness/expertise within integrated services of all professional standards	Retention in quality of services		Performance Review of Section 75				Include health and safety across services	Sara Tough	30th September 2009				
CR10	Delivery of Single Status	Implementation of Single Status	Ineffective engagement of key stakeholders e.g. staff, managers, schools	Legal challenge with large potential for costs to be awarded	Hitesh Patel and Jack Markiewicz	Signing events to buy out liability currently suspended due to change in case law. Appeal awaited.				New performance management system in place	Jack Markiewicz	30th September 2009				
			Pay and grading structure not fit for purpose	Future equal pay liability mounts up if not tackled now		All posts re-evaluated				Robust project management of the project to implementation	Jack Markiewicz	Ongoing to April 2010				
			Lack of capacity of key members of the project team	Staff morale falls		New pay lines devised and implemented	4	2	Medium	Clear communications with all stakeholders	Jack Markiewicz	Ongoing to April 2010	4	2	Medium	
				Financial and organisational pressures		Project realigned and resourced and new timeline in place										
CR11	Growth	Failure to deliver Swindon's vision through absence of Strategic Framework to guide decisions in correct context	Impact of recession on Town Centre regeneration and development as a whole	Swindon does not develop in accordance with Community Strategy	Celia Carrington	Development Agreement in place for office led development in the Town Centre . Car parking charges reduced for run up to Christmas				Review of town centre approach undertaken with Lead Member and Leader of the Council. Plans to reconfigure the New Swindon Company in hand.	Celia Carrington	1st April 2010				
			Absence of Strategic Framework			EDA Masterplan produced	4	3	High	"Swindon Can" commission underway which will allow review of current long term growth plans as well as put in place framework for future decision making	Bill Cotton	30th September 2009	4	2	Medium	
						Transport Strategy approved				Cabinet Report for reduced car parking charges in town centre car parks to help stimulate visitor numbers in the town centre	Bill Cotton	1st September 2009				
CR12	Safeguarding children	Vulnerable children and young people are not safeguarded effectively	Ability to recruit and retain key staff in all agencies	Child in community comes to harm when it was avoidable	John Gilbert	Clear management procedures and processes in place				Recruitment and appropriate remuneration of social care staff and training of trainee health visitors is continually reviewed	Jean Pollard	31st March 2010				
			Lack of capacity and vacancies in social care, health visiting	Social and emotional health suffers		Inspection regime				Ongoing information sharing training and information distribution	Sue Wald	Ongoing				
			Ineffective partnership working	Reputation damaged		Performance management and monitoring systems in place				Section 11 Audit continually reviewed across multi-agencies through the Local Safeguarding Children Board (LSCB)	Jean Pollard	September 2009 and ongoing				
			Lack of focus on information sharing across universal and targeted services	Inability to recruit staff		Launch of quality assurance processes across Children Services, building on safeguarding and corporate parenting	4	2	Medium	Regular review and update of the multi-agency Safeguarding Action Plan via the LSCB	John Gilbert/Jean Pollard	Ongoing	4	2	Medium	
				Inspection implications												
				Council seen as failling												
CR13	Benefits Service	Performance of the Benefits Service does not improve in terms of accuracy and time taken to process new claims and change of circumstances	Unprecedented demand due to recession - huge increase in case and document volume	Needs of Swindon people not met	Hitesh Patel	Benefits Recovery Plan and Project is in place & effectively managed				Benefits Recovery Board set up , chaired by Group Director, increased board capacity - Audit , Risk , Policy etc .	Hitesh Patel	31st August 2009				
			Insufficient skilled resource within Capita to meet escalating case load	Targets not achieved		Capita training programme for Benefits staff				Capita programme scrutinsed, training linked heavily to accuracy	Lynn Kemp	31st August 2009				
			Client and Capita team not aligned on measures and priorities related to processing Speed & Quality	Reputation damaged		One Benefits Team - joint working to drive best outcomes for Swindon people	3	4	High	Team briefings, Head of Benefits empowered to take operational decisions	Andrea Pritchard	31st August 2009	3	3	Medium	
				Benefits IT systems not reliable or slow		Critical inspection reports and ratings - time wasted				Systems monitoring process in place	Anite performance issues raised directly with Capita IT. Plan in place to remedy, this now needs close monitoring	Hitesh Patel				31st August 2009
				Benefits Recovery plan is not robust, deliverables are not quality assured & all parties not bought-in		No real performance improvement on the ground				Benefits Recovery Board in place to drive performance and behaviours	See : Benefits Recovery Board, plus capacity increased .	Hitesh Patel				Ongoing
CR14	Information management and security	Significant Information management and/or security incident occurs	Not ready for Government Connect extended timeline	Benefits service unable to function	Hitesh Patel	Information Security Forum set up with Terms of Reference				Management of the delivery of the Activity plan for ISF	Jack Markiewicz	31st December 2009				
			Lack of risk based approach to information management and security	Unable to meet service delivery expectations		Data Protection and FOI procedures and officers in place				Development of communication and staff development plan	Jack Markiewicz	31st December 2009				
			Lack of corporate strategy or procedures	Potential legal issues		ICT security systems										
				Increased inspection around information		Activity plan for ISF drawn up and actions allocated to group members for implementation	3	3	Medium			3	3	Medium		

Appendix 2 - Corporate Risk Register, August 2009

Risk Ref.	Link to Corporate Plan, Promise, Project or wider objective	Risk	Triggers/Causes	Consequences/Impact	Risk Owner(s)	Current controls	Impact	Likelihood	Current Rating (R=I*L)	Mitigation Action(s)	Owner of Action	Target Date	Impact	Likelihood	Residual Rating (R=I*L)
				Reputation damaged											
CR15a	Swine Flu	Joint response to swine flu is not fully effective	Robustness of joint pandemic flu plans - exercising and testing Timescales, mapping hotspots and course of pandemic/epidemic Insufficient engagement from within organisations Resources are not aligned behind the plans and the situational needs	Council and PCT unable to maintain critical service delivery Swindon residents needs are not met	Jenny Harries	Joint pandemic flu planning in place with PCT Joint ACP meetings held BCT meeting weekly and sending update to Corporate Board Monitoring of situation				Ongoing testing, exercising and strengthening of joint plans Identification of critical services across the Council Continuous monitoring of local and regional disease incidence - current lull at end of first peak being utilised to improve linked plans across LRF including hospital and PCT	Alistair Ireland/Sam Weller Bernie Brannan/Alistair Ireland Jenny Harries	Ongoing 26th August 2009 Ongoing			
CR15b	Swine Flu	Service delivery is significantly impacted by swine flu	Business Continuity Plans Timescales, mapping hotspots and course of pandemic/epidemic	Council and PCT unable to maintain critical service delivery Swindon residents needs are not met Loss of income	Jenny Harries and Bernie Brannan	Monitoring of situation Critical services and resource requirements identified and mapped across the Council				Great Western Critical Care response plan being reviewed to assess possible impact on wider community services Priority services identified and resourced throughout outbreak. Appropriate staff seconded to priority areas when required.	Jenny Harries Bernie Brannan	30th September 2009 Ongoing			