

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	Targeted training sessions for project managers planned through the year covering Communication, Change, Risk, Finance, Legal, Planning Process, and Land Registry	Mark Hopkins	31st March 2010	3	3	Medium
						Head of Programme and Projects appointed lead officer on capital programme				Working with SWREIP on their offering/support	Mark Hopkins	30th November 2009			
						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									
			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			
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			
				Critical services are not delivered		Business Continuity Team and Plans in place				Redrafting of Business Continuity Strategy & Policy	Alistair Ireland	31st December 2009			
			Lack of commitment to exercising and training opportunities so plans cannot be invoked effectively	Statutory duties are not met		Exercise and awareness raising programme is in place and is implemented				Awareness, Training, Exercising & updating Schedule to include internal business areas and external businesses, Parishes and the Third Sector	Sam Weller/Alistair Ireland	Ongoing			

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			<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>Bad publicity/Loss of reputation and public confidence</p> <p>Financial implications</p>		<p>Active involvement with LRF</p> <p>Joint pandemic flu planning in place with PCT</p>	4	2	Medium	<p>Joint working with LRF including 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>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>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	<p>Culture of the organisation is not ready for the step change needed to transform</p>	<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 - intervention plans to be developed - change implementation plan for New Ways of Working in place and being delivered + Comms plan for Single Status in place to support implementation from Jan 2010</p> <p>Ongoing implementation of capability building programme - refreshed change capability strategy and plan for Corporate Board discussion Nov / Dec 2009</p>	<p>Patrick Weir / Karen McMahon</p> <p>Patrick Weir / Nick Vat / Jack Markiewicz</p>	<p>Ongoing</p> <p>31st December 2009</p>	3	3	Medium
CR09	Health, Safety and Wellbeing	Failure to satisfy duty of care and statutory obligations	<p>Lack of clarity on health and safety responsibilities and accountabilities within the organisation.</p> <p>Failure to work with strategic partners on shared risk</p> <p>Failure to respond to changes in legislation</p> <p>Lack of capacity to ensure legal compliance</p> <p>Schools awareness, understanding and implementation of their responsibilities</p> <p>Foundation schools not receiving relevant advice</p>	<p>Criminal Prosecution, corporate manslaughter charges and imprisonment</p> <p>Reputation damaged</p> <p>Financial cost from civil litigation, increased insurance premiums, damage to equipment and property</p> <p>Increase in staff absence/sickness, impact on staff morale</p> <p>Injuries to staff or other site users</p>	Hitesh Patel	<p>Health and Safety policy and guidance with supporting training</p> <p>Risk Assessments and safe systems of work at local levels</p> <p>Dedicated team of externally accredited Health & Safety Professionals who undertake audit programme.</p> <p>Health, Safety & Wellbeing Management Board held quarterly with report to Joint Safety Committee</p> <p>Health and safety included in head teacher induction</p> <p>Foundation schools buy in Health & Safety service from SBC or other relevant provider</p>	4	3	High	<p>Corporate H&S training plan in place</p> <p>Ensure ownership and awareness of H&S issues through review of reporting, monitoring and escalation arrangements.</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 joint working with key stakeholders to ensure SBC legal responsibilities are met.</p> <p>Policy and guidance continues to be updated as required</p> <p>Clear accountabilities framework submitted to Directors Team and Corporate Board</p>	<p>Amanda Woodhead</p> <p>Amanda Woodhead</p> <p>Jack Markiewicz</p> <p>Amanda Woodhead</p> <p>Amanda Woodhead</p> <p>Jack Markiewicz</p>	<p>31st March 2010</p> <p>31st March 2010</p> <p>31st December 2009</p> <p>6 monthly review</p> <p>31st March 2010</p> <p>31st December 2009</p>	3	2	Medium

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			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 Pay and grading structure not fit for purpose Lack of capacity of key members of the project team Approximately 600 + Job Evaluations conducted without TU moderation and more without Employee Sign-off Final sign-off/validation of PGS is not conducted within the timeframe/schedule dictated by the Project Volume of Queries/Issues received from final sign-off/validation cannot be transacted within the time available within the project schedule	Legal challenge with large potential for costs to be awarded Future equal pay liability mounts up if not tackled now Failure to reach agreement leading to delay of project and increase of costs Staff morale falls Financial and organisational pressures Significant / Additional Support Resource required to support the volume of Job Re-evaluations & Appeals expected Reduction in the time available to the Workforce modernisation team to take corrective action Staff letters may need to be modified post submission prior to implementation during the Jan - April Timeframe - significant reliance on resource to support administration process Industrial action	Hitesh Patel and Jack Markiewicz	Signing events to buy out liability currently suspended due to change in case law. Appeal awaited. All posts re-evaluated New pay lines devised and implemented Project realigned and resourced and new timeline in place TU invited on an number of occasions to participate in evaluations. Regular Review set up to monitor progress Stakeholders have been engaged to support approach with queries Stakeholder management with Trade Unions			Medium	New performance management system in place Clear communications with all stakeholders through implementation of communication plan including management training Robust project management of the project to implementation including decision making processes External /independent reviewer TMS appointed to review structure and provide guidance Review Support Model and clarify assumptions made in determining the final shape of resource required to support implementation of PGS Cost Envelope, once known, will be discussed with Corporate Board Escalate if Directorates are non-compliant Agree cut-off point. Queries received post cut-off to be resolved during January. Review and monitor feedback Continue to monitor (Project Board agreed to tolerate risk in current climate)	Jack Markiewicz Jack Markiewicz Jack Markiewicz Jack Markiewicz Jack Markiewicz Jack Markiewicz Jack Markiewicz Jack Markiewicz	30th September 2009 Ongoing to April 2010 Ongoing to April 2010 30th November 2009 30th November 2009 31st January 2010 Ongoing to April 2010 Ongoing to April 2010		2	Medium
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 Absence of Strategic Framework	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 EDA Masterplan produced Transport Strategy approved Car parking charges in town centre and Old Town reduced.	4	3	High	Review of town centre approach undertaken with Lead Member and Leader of the Council. Plans to reconfigure the New Swindon Company in hand. "Swindon Can" commission drawing to a close. It is helping to inform "Destination Swindon". Recession Task Force continuing to address recession impact.	Celia Carrington Bill Cotton Bill Cotton	1st April 2010 30th November 2009 Ongoing	4	2	Medium
CR12	Safeguarding children	Vulnerable children and young people are not safeguarded effectively	Ability to recruit and retain key staff in all agencies Lack of capacity and vacancies in social care, health visiting Ineffective partnership working Lack of focus on information sharing across universal and targeted services	Child in community comes to harm when it was avoidable Social and emotional health suffers Reputation damaged Inability to recruit staff Inspection implications Council seen as failing	John Gilbert	Clear management procedures and processes in place Inspection regime Performance management and monitoring systems in place Launch of quality assurance processes across Children Services, building on safeguarding and corporate parenting	4	2	Medium	Recruitment and appropriate remuneration of social care staff and training of trainee health visitors is continually reviewed Ongoing information sharing training and information distribution Section 11 Audit reviewed annually across multi-agencies through the Local Safeguarding Children Board (LSCB) Regular review and update of the multi-agency Safeguarding Action Plan via the LSCB	Jean Pollard Sue Wald Jean Pollard John Gilbert/Jean Pollard	31st March 2010 Ongoing September 2009 and ongoing Ongoing	4	2	Medium

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CR13	Benefits Service	Performance of the Benefits Service does achieve step change improvement in terms of time taken to process and accuracy	Unprecedented demand due to recession - huge increase in case and document volume Insufficient skilled resource within Capita to meet escalating case load Client and Capita team not aligned on measures and priorities related to processing Speed & Quality Benefits IT systems not reliable or slow Benefits Recovery plan is not robust, deliverables are not quality assured & all parties not bought-in	Needs of Swindon people not met Targets not achieved Reputation damaged Critical inspection reports and ratings - time wasted No real performance improvement on the ground	Hitesh Patel	Benefits Recovery Plan, Project and Board is in place to drive performance and behaviours Capita training programme for Benefits staff linked to performance One Benefits Team - joint working to drive best outcomes for Swindon people Systems monitoring process in place	3	4	High	Scoping of next phase of Benefits improvement Scrunity of Capita training programme, training linked heavily to accuracy Continue to improve joint working e.g. through joint meetings. Head of Benefits empowered to take operational decisions Anite performance issues raised directly with Capita IT. Plan in place to remedy, this now needs close monitoring Increase in amount of and scrutiny of performance information to ensure improvements being sustainably achieved	Andrea Pritchard Lynn Kemp Andrea Pritchard Hitesh Patel Hitesh Patel	30th November 2009 31st December 2009 31st December 2009 31st December 2009 31st December 2009	3	3	Medium
CR14	Information management and security	Significant Information management and/or security incident occurs	Lack of risk based approach to information management and security Lack of corporate strategy or procedures Awareness and understanding of issues among staff Moves to different ways of working	Reputation of the Council damaged Unable to meet service delivery expectations Potential legal issues Increased inspection around information	Hitesh Patel	Information Security Forum set up with Terms of Reference Data Protection and FOI procedures and officers in place ICT security systems Activity plan for ISF drawn up and actions allocated to group members for implementation	3	3	Medium	Management of the delivery of the Activity plan for ISF Review of policies and procedures across services Development of communication and staff development plan	Jack Markiewicz Jack Markiewicz Jack Markiewicz	31st December 2009 31st December 2009 31st December 2009	3	3	Medium
CR15a	Pandemic Flu outbreak	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 Identification of critical sercvies across the Council Joint ACP meetings held BCT meeting weekly and sending update to Corporate Board Linked plans across LRF including hospital and PCT improved	4	2	Medium	Ongoing testing, exercising and strengthening of joint plans at all command levels Ongoing review of critical services across the Council and Swindon PCT Continuous monitoring of local and regional disease incidence	Alistair Ireland/Sam Weller Bernie Branna/Alistair Ireland Jenny Harries	Ongoing Updated on an ongoing basis Ongoing	4	2	Medium
CR15b	Pandemic Flu outbreak	Service delivery is significantly impacted by swine flu	Robustness of 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	4	3	High	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	Ongoing Ongoing	4	2	Medium