

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:	Feb-10
Date of Next Review	May-10

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=L)	Mitigation Action(s)	Owner of Action	Target Date	Impact	Likelihood	Residual Rating (R=L)
CR01	Delivering the Medium Term Priorities	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 Impending reduction in public expenditure will necessitate reprioritisation and disinvestment from some services Is governance fit for purpose to deliver priorities Transformation programmes do not deliver	Failure to secure focus on agreed organisational objectives Limited resources are spent on non-priorities and available budgets are insufficient to meet demand Transformation benefits not realised (financial, customer, service, performance) and improved outcomes not delivered	Gavin Jones	Preliminary discussions with Cabinet on future priorities Ongoing assessment of future financial position in MTRP Preliminary discussions with partners on aligning resources to shared priorities Partnership governance in place with partners through the SSP Detailed engagement with Adults underway to define programme; change is already happening and buy-in to next steps is apparent NWOW stakeholder engagement delivering first stage change in affected teams, including defining charter for Corporate Board operating in a changed way	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 Council and partners engaged in developing Destination Swindon to agree priorities for 2010-2014 to guide resource allocation. Acceleration of 2010/11 budget process including agreement to implement savings proposals with immediate effect Partnership governance review undertaken and recommendations actioned Ongoing use of programme management disciplines to be followed to ensure change is a key component in major programmes and projects across the organisation Business change team to take change to the next level once nnow office move complete - real opportunity to drive change in the way business is undertaken; eg process change; improved customer focus & maximising ICT enablement	Jack Markiewicz James Griffin Stuart McKellar James Griffin Patrick Weir/Karen McMahon Patrick Weir/Karen McMahon	31st March 2010 Plan agreed by June 2010 Ongoing realisation of intent 2010-2014 Ongoing from June 2009 30th June 2010 Ongoing 31st July 2010	4	2	Medium
CR02	Achieving In-Year Budgets	Unable to achieve in year budgets including Dedicated Schools Budget, Housing Review Account, Capital Programme and General Fund	Ambitious agenda requires investment and swift delivery of efficiency savings, including through transformation programme External cost pressures (demographics / growth / impact of economic downturn) Budget pressures carried forward from 2008/09 Impact of Equal Pay and Single Status still unknown Estimates for capital spend impacted on by external economic circumstances e.g. steel price increases Transformation programmes do not deliver anticipated efficiencies or cashable savings	Offsetting savings required to cover the cost not met by increased Council Tax & Govt. Grant Reduction in reserves or further pressure on 2010/11 budget if 2009/10 budget is overspent Erodes capacity within the organisation Increase in capital expenditure Budgeted savings are not realised	Stuart McKellar	Risk assessment undertaken to identify scale of potential budget deficit Dialogue and communications within directorates and service areas to produce detailed proposals to mitigate projected overspend. Detailed and extensive internal communications ongoing to highlight current challenges, in particular Manager's Bulletin. Capital spend review report monthly to Corporate Board and quarterly to Cabinet Monthly performance report to AMG on overall delivery and project budget for capital projects and finance report giving in year spend New Bid Form implemented by Finance to ensure visibility of bidding for funding and possible start of a project or development of an asset	4	3	High	Actions agreed to help balance current year's budget Acceleration of 2010/11 budget process including agreement to implement savings proposals with immediate effect Use of one-off moneys to support initiatives with the potential to realise efficiency savings or additional income in the short to medium-term Corporate Board and Cabinet to look at mitigating plans to ensure robustness Targeted training sessions for project manager planned through the year including Finance	Stuart McKellar Stuart McKellar Stuart McKellar Mark Hopkins	Ongoing through 2009 Ongoing from June 2009 Ongoing through 2009 30th September 2009 Ongoing through 2010	4	2	Medium

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CR07	Readiness to Respond to Major Incidents / Emergencies	Response to major incidents / emergencies 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, Gavin Calthrop	Processes, Procedures and Plans are in place and are regularly reviewed	4	2	Medium	Continuous improvement of plans & procedures in light of good practice	Gavin Calthrop	Ongoing	4	2	Medium
			Senior managers do not have the tools they need to ensure a robust response	Critical services are not delivered		Business Continuity Team and Plans in place				Circulation and consultation of new draft Business Continuity Strategy & Policy	Alistair Ireland	31st March 2010			
			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			
			Lack of engagement in and understanding of Major Incident Planning within SBC and partners	Bad publicity/Loss of reputation and public confidence		Active involvement with LRF				Joint working with LRF including Health Partners to align plans and procedures	Sam Weller/Alistair Ireland	Ongoing			
			Robustness of joint pandemic flu plans	Financial implications		Joint pandemic flu planning in place with PCT				Joint Pandemic Flu planning exercises SBC/PCT	Sam Weller/Alistair Ireland	Ongoing through pandemic			
			Schools awareness and understanding of their roles and the need for response plans							Regular discussions through key Head Teacher consultative groups, including the Cross-Phase Group and the Education Joint Safety Committee	Ian Bickerton	30th July 2009 and ongoing			
										Support to schools on business continuity planning, including provision of template and 121 training sessions	Ian Bickerton	Ongoing			
										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	Ian Bickerton/All CS Directors	Ongoing			
										Clear communication strategy and defined 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.	Ian Bickerton	Ongoing			
			Insufficient resources to deal with the consequences of severe weather	Loss of life		Extreme Weather Guide				Awareness, Training, Exercising & updating Schedule to include internal business areas, partner agencies, LRF partners, Parishes and the Third Sector	Sam Weller/Alistair Ireland	Ongoing			
CR09	Health, Safety and Wellbeing	Failure to satisfy duty of care and statutory obligations	Lack of clarity on health and safety responsibilities and accountabilities within the organisation.	Criminal Prosecution, corporate manslaughter charges and imprisonment	Hitesh Patel	Health and Safety policy and guidance with supporting training	4	3	High	Corporate H&S training plan in place	Amanda Woodhead	31st March 2010	3	2	Medium
			Failure to work with strategic partners on shared risk	Reputation damaged		Risk Assessments and safe systems of work at local levels				Ensure ownership and awareness of H&S issues through review of reporting, monitoring and escalation arrangements.	Amanda Woodhead	Annual review			
			Failure to respond to changes in legislation	Financial cost from civil litigation, increased insurance premiums, damage to equipment and property		Dedicated team of externally accredited Health & Safety Professionals who undertake audit programme.				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	Jack Markiewicz	31st March 2010			
			Lack of capacity to ensure legal compliance	Increase in staff absence/sickness, impact on staff morale		Health, Safety & Wellbeing Management Board held quarterly with report to Joint Safety Committee				Review joint working with key stakeholders to ensure SBC legal responsibilities are met.	Amanda Woodhead	6 monthly review			
				Injuries to staff or other site users						Policy and guidance continues to be updated as required	Amanda Woodhead	31st March 2010			
										Clear accountabilities framework submitted to Directors Team and Corporate Board	Jack Markiewicz	31st March 2010			
			Schools awareness, understanding and implementation of their responsibilities			Health and safety included in head teacher induction									
			Foundation schools not receiving relevant advice			Foundation schools buy in Health & Safety service from SBC or other relevant provider									
			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			

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CR10	Single Status Implementation	Implementation of Single Status	Ineffective engagement of key stakeholders e.g. staff, managers, schools.	Legal challenge with large potential for costs to be awarded Expectations with various stakeholders is not managed and creates confusion	Hitesh Patel and Jack Markiewicz	Stakeholder and Communication strategy in place to be triggered by various milestones within the project	4	3	High	Clear communications with all stakeholders through implementation of stakeholder and communication strategy including management training	Jack Markiewicz	Ongoing to April 2010	4	2	Medium
			Communications sent outside of the appropriate channels with messages not agreed collectively by the Board.	This is further elevated by policies i.e. allowances and processes i.e. pay progression not being finalised by the Board.						All messages will be collectively agreed at Board and will follow through the appropriate communication channels	Hitesh Patel and Kathryn Langdown	Ongoing to April 2010			
			Job Descriptions included in the pay grade review outcome are out of date and do not reflect the role conducted by the employee	Significant / Additional Support Resource required to support the volume of Job Re-evaluations & Appeals		Helpdesk, Appeals and Job Evaluation Teams in place				Resolve issues as they arise. Employees also asked to follow the job re-evaluation or appeals process if concerns have not been raised via helpdesk.	Jack Markiewicz	28th February 2010			
			High risk that in addition, the evaluations conducted without TU moderation will be included in this process			Issues monitored via Helpdesk, where queries are logged				Ongoing review of support model to ensure relevant resources within the Appeals and Job Evaluation Team to manage these changes	Jack Markiewicz	Ongoing to April 2010			
			Additional resources required to manage support activity including the finalisation of the allowance policy, the management of issue resolutions, pay progression policy etc.	Shortage of resources lead to backlogs which lead to delays in project plan		Weekly meetings with relevant teams to review workload and resources				Management of resources through target orientated activities, through clear work packages to ensure that deadlines are understood and are monitored effectively on a week by week basis	Jack Markiewicz	1st April 2010			
			Failure to finalise Pay Grade outcome due to volume of issues raised prior to the end of February	Delay in any technical updates/configuration that needs to be done to the HR system for 1st April 2010 implementation Additional administration costs from Capita until the end of June (and potentially beyond)		Monitoring of all issues raised and time taken to resolve				Additional risk analysis requested from Technology workstream to clarify extent of risk. Weekly monitoring of issues underway through Helpdesk reports This activity co-insides with year end and will need to be carefully managed together with duplicate/ parallel running of payrolls.	Jack Markiewicz	28th February 2010			
CR13	Benefits Service	Benefits Service does not achieve step change improvement in terms of service, performance, accuracy and take up	Unprecedented demand due to recession - huge increase in case and document volume	Needs of Swindon people not met	Hitesh Patel	Benefits Action Plan, Project Team and Board is in place to drive performance and behaviours Capita training programme for Benefits staff linked to performance	3	3	Medium	Delivery and monitoring of Benefits Action Plan	Andrea Pritchard and Project Team and Board	Monthly review through 2010	3	2	Medium
			Client and Capita team not aligned on objectives, priorities and deliverables	Reputation damaged		One Benefits Team - joint working to drive best outcomes for Swindon people				Continue to improve joint working e.g. through joint meetings. Head of Benefits empowered to take operational decisions	Andrea Pritchard	31st March 2010			
			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 March 2010			
			Benefits Improvement plan is not robust, deliverables are not quality assured & all parties not bought-in	No real performance improvement on the ground						Increase in amount of and scrutiny of performance information to ensure improvements being sustainably achieved	Andrea Pritchard	31st March 2010			
CR14	Information management and security	Significant Information management and/or security incident occurs	Lack of risk based approach to information management and security	Reputation of the Council damaged	Hitesh Patel	Information Security Forum set up with Terms of Reference	3	3	Medium	Management of the delivery of the Activity plan for ISF	Jack Markiewicz	30th April 2010	3	3	Medium
			Lack of corporate strategy or procedures	Unable to meet service delivery expectations		Data Protection and FOI procedures and officers in place				Review of policies and procedures across services	Stephen Taylor / Jack Markiewicz	30th April 2010			
			Awareness and understanding of issues among staff	Potential legal issues		ICT security systems				Development of communication and staff development plan	Jack Markiewicz	30th April 2010			
			Moves to different ways of working	Increased inspection around information		Activity plan for ISF drawn up and actions allocated to group members for implementation									
CR12	Safeguarding Vulnerable People (Children and Adults)	Vulnerable people are not safeguarded from significant harm	Unable to recruit and retain key staff in all agencies who can provide care and support to a high standard	Standard of care suffers & vulnerable people receiving care could be ill treated when it was avoidable	John Gilbert and Heather Mitchell	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			

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			Lack of powers and/or resources (e.g. lack of capacity and vacancies) to address concerns	Social and emotional health suffers Reputational impact on the Council Inspection implications		Inspection regime Performance management and monitoring systems in place Launch of quality assurance processes across Children Services, building on safeguarding and corporate parenting				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	Sue Wald Jean Pollard John Gilbert/Jean Pollard	Ongoing 1st April 2010 Quarterly			
			Ineffective partnership working with agencies required in managing procedures giving this area of work a low priority	Procedures may be applied ineffectively putting people at risk		Strong leadership with the Local Safeguarding Adults Board				Local Safeguarding Adults Board to develop its role and ensure consistent buy-in from partners. Action taken by chair with CE from partner agencies when ownership & actions become inconsistent or ineffective (NB. There is the possibility that the Governme	Heather Mitchell	Ongoing Potential Autumn 2010			
			Potential for cases where abuse has been alleged not properly investigated and managed			Head of Service for Safeguarding Adults in post. Robust policy and procedures.				Head of service to maintain links with key officers in partner agencies. Joint training targeting specific staff in agencies to continue or to be set up. Discuss commissioning arrangements with AWP Trust	Doug Bale	Ongoing			
			Individuals may be at risk and procedures not implemented to minimise risk			Some committed, dedicated teams respond appropriately and quickly to concerns irrespective of current workloads				Work with Commissioners to ensure contract compliance where such arrangements are in place.	Doug Bale Angela Plummer	Ongoing			
			Ability to maintain the governance structure			Head of Safeguarding monitors cases and reports concerns				Improve monitoring of progress of cases	Doug Bale	From 1st April 2010			
			Difficulties in developing Safeguarding adults strategies further			Contracts monitoring, application of procedures, liaison with Care Quality Commission				New contract monitoring toolkits to be implemented to include focussing on this area. Development of policy around Zero rated providers	Angela Plummer	July 2010			
			Lack of funding available for Safeguarding Vulnerable Adults	Quality of information & data may be inconsistent		Head of Safeguarding appoints within Council/PCT cash limits				Continue to seek contributions from partners	Heather Mitchell	Ongoing			
			Lack of focus on information sharing across universal and targeted services	Inability to recruit staff		Partners asked for contributions (either financial or in kind)				Highlight spending requirements at the Local Safeguarding Adults Board	Doug Bale	February 2010			
			Unable to address "wider issue of Safeguarding.Those considered vulnerable by partners, do not meet criteria for social care services or incidents of concern do not come under Safeguarding Vulnerable Adults Policy & Procedures	Partner agencies & individuals feel unsupported. People who fall outside eligibility criteria may be at risk of harm.		Head of Safeguarding maintains information				Liase with all teams and Safeguarding Leads in the Mental Health Trust to ensure information is gathered	Doug Bale	Ongoing from 1st March 2010			
			Safeguarding adults has little statutory footing	Inconsistent high level buy-in from partners		Some admin support provided from the CE of NHS Swindon Links with Community Safety Team and other agencies				LSAB and Operational Group to consider how best to address this area of work and assess the impact on issues of resourcing and highlight service deficits or identify a more appropriate route to deal with such issues.	Heather Mitchell / Doug Bale	July 2010			
						Knowledge base of key workers - ability to signpost				Continue to reinforce the actual priorities of the LSAB (i.e. Safeguarding Vulnerable Adults from Abuse)	Heather Mitchell / Doug Bale	Ongoing			

RISK PROFILE

Risk Profile Current Actions				
Impact on Business Objectives	Significant (4)	M	M CR07, CR10, CR12, CR15a	H CR01, CR02, CR09, CR11, CR15b
	Moderate (3)	M	M	M CR08, CR14 H CR04, CR13
	Minor (2)	L	L	M
	Insignificant (1)	L	L	L
		Rare(1)	Unlikely (2)	Possible (3) Probable (4)
Likelihood of Occurrence				

High Risk CR01 Clarity on future strategic priorities CR02 Achieving in year budget CR04 Capital programme CR09 Health and Safety CR11 Growth - strategic framework CR13 Benefits Service CR15b Impact of swine flu on service delivery
Medium Risk CR07 Response to unforeseen major incidents/events CR08 Cultural readiness of the organisation for transformation CR10 Implementation of Single Status CR12 Safeguarding vulnerable children and young people CR14 Information management and security CR15a Effectiveness of joint response to swine flu
Low Risk

Risk Profile Mitigation Actions				
Impact on Business Objectives	Significant (4)	M	M CR01, CR02, CR07, CR10, CR11, CR12, CR15a, CR15b	H
	Moderate (3)	M	M CR09	M CR04, CR08, CR13, CR14 H
	Minor (2)	L	L	M
	Insignificant (1)	L	L	L
		Rare(1)	Unlikely (2)	Possible (3) Probable (4)
Likelihood of Occurrence				

High Risk CR01 Clarity on future strategic priorities CR02 Achieving in year budget CR04 Capital programme CR07 Response to unforeseen major incidents/event CR08 Cultural readiness of the organisation for transformation CR09 Health and Safety CR10 Implementation of Single Status CR11 Growth - strategic framework CR12 Safeguarding vulnerable children and young people CR13 Benefits Service CR14 Information management and security CR15a Effectiveness of joint response to swine flu CR15b Impact of swine flu on service delivery
Medium Risk
Low Risk

High Risk	Significant Risks to be addressed and monitored
Medium Risk	Major Risks to be addressed and monitored
Low Risk	Minor / Moderate risks to be considered and monitored