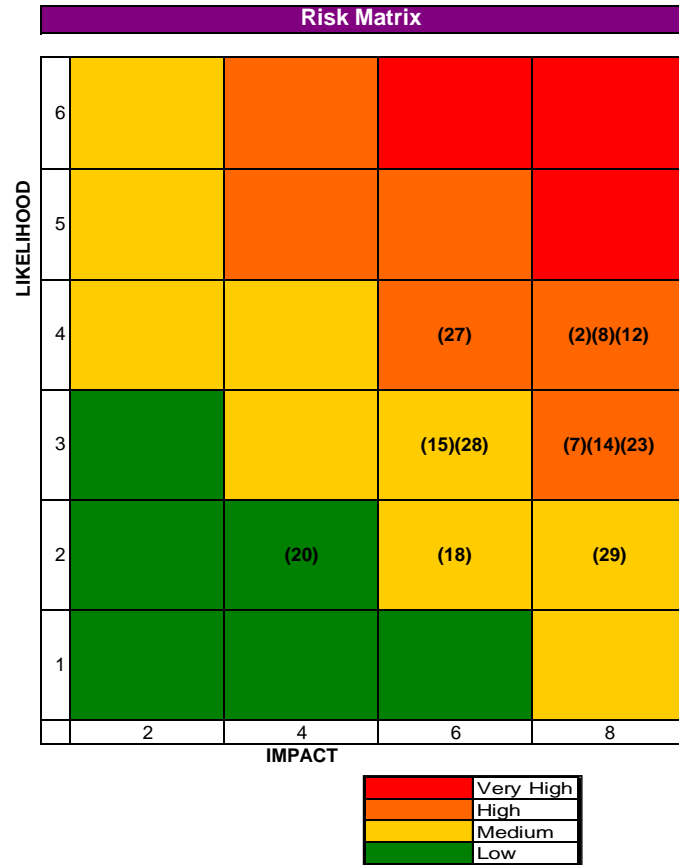


CORPORATE RISK REGISTER

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Risk No	Risk Description	Date of Entry
(1)	Risk of the organisation not buying into a shared agenda	Removed - May 12
(2)	Risk of inability to match supply and demand for school places	Nov-09
(3)	Risk that decisions are made on inaccurate/ incomplete information	Removed - Sep 11
(4)	Risk of Partnership working stagnating due to changes at a national level	Removed - Jun 12
(5)	Risk of delivering a tight budget in a sustainable way	Removed - Sep 11
(6)	Risk that the savings element of Transformation does not deliver	Removed - Mar 12
(7)	Risk of serious or significant harm to a vulnerable child or young person with whom the council is working	Apr-10
(8)	Risk of serious harm or death of a vulnerable adult for whom the Borough has a responsibility for	Apr-10
(9)	Risk of Transformation drawing focus and resource away from the 'day job'	Removed - Mar 12
(10)	Risk that a business continuity incident occurs and the organisation fails to respond effectively	Removed - Jan 13
(11)	Risk of the loss of critical data and the impact on service delivery	Removed - Sep 11
(12)	Risk that essential transport infrastructure needs a significant short term investment for repairs	Nov-09
(13)	Risk that the benefits and outcomes of the transformed organisation are not understood by key stakeholders	Removed - Mar 12
(14)	Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning	Aug-14
(15)	Risk of proposed changes to services, policies or contracts becoming subject to Judicial Review	Mar-11
(16)	Risk of potential loss of economies of scale from the use of alternative delivery vehicles	Removed - Sep 12
(17)	Risk of a residential care home provider failing leading to potential harm/ death of residents	Removed - Jan 12
(18)	Risk of a significant fine and reputational damage due to loss of confidential/ sensitive data	Sep-11
(19)	Risk that infrastructure requested by the council will not be provided	Removed - May 15
(20)	Risk that the council does not have buy-in to successfully implement the corporate vision and priorities	May-12
(21)	Risk that changes to the Standards regime cause confusion over statutory requirements	Removed - Jan 13
(22)	Risk that the public health transition fails	Removed - Jan 13
(23)	Risk of Health and Safety Failure Leading to Death or Serious Injury	Sep-12
(24)	Risk of challenge regarding delegated Executive decisions	Removed - Jun 13
(25)	Risk that a decision regarding the changes to decision making is not reached	Removed - Jul 14
(26)	Risk that Change and Improvement does not deliver intended outcomes	Removed - Sep 14
(27)	Risk of failure of Health and/or Social Care system	Sep-13
(28)	Risk that Council is unable to cope with increased burdens associated with the Social Care Act	Sep-14
(29)	Risk of a disruption to services and internal business	May-15

Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(7)	WBC has a duty to care for the needs of, and to provide safeguarding services for the most vulnerable children and young people in the Borough. The changing economic circumstance needs careful consideration and monitoring in order to ensure that there is minimal impact on the management of this risk.	Avoidable harm to a vulnerable child, Damage to reputation, Litigation, Low staff morale - loss of staff, unstable workforce - poor outcome for children, unmanageable budget., Recruitment and retention problems, Removal of senior managers and impact on continuity of delivery for children and families, Impact of being judged inadequate by Ofsted could lead to statutory/government intervention.	Officer Lead	Executive Lead	H	Ongoing improvements to internal quality assurance activity.
	JR		CHT	Further and ongoing improvements to Governance of Local Safeguarding Children Board (LSCB).		
	<i>A failure to follow procedures, equip the workforce with the right skills and training, or to deliver appropriate resources or services in a timely way raises a risk of serious or significant harm to a vulnerable child or young person with whom the council is working.</i>		Risk Appetite	Direction of Travel		
			L	—		
(8)	WBC has a duty to care for the needs of, and to provide safeguarding services for the most vulnerable adults in the Borough. It is vital to ensure continued focus on safeguarding systems (duty, response, QA of provider sector, procedure and strategy - Safeguarding Adults Partnership Board and interagency working, workforce training) The ongoing public sector finance constraints when set against continued demographic pressures requires careful judgement to ensure essential services remain sustainable - continued pressure to hold fees may result in workforce recruitment problems and/or provider failure.	Damage to reputation, possible external intervention, litigation, low staff morale, recruitment and retention problems, removal of senior managers.	Officer Lead	Executive Lead	H	Review of Quality Assurance and professional standards commenced, led by the Director
	SR		JMS	Risk and impact assessment will be central to the Department's Service Planning		
	<i>There is a risk of failure to safeguard vulnerable adults, either through systematic failure of duty of care, or an individual failure leading to the serious harm or death of a vulnerable adult.</i>		Risk Appetite	Direction of Travel		
			L	—		

Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(12)	Programmed and proactive investment and maintenance in infrastructure has been deferred and affected by the current financial situation. This is potentially a risk with regard to highways infrastructure.	Impact on transport infrastructure, possible health and safety issues, traffic Problems, adverse publicity / reputation damage, serious injuries or death's, significant financial cost, financial impact on other areas of council.	Officer Lead	Executive Lead	H	Works planned for Loddon Flyover.
	HT		JK	Advanced protection of parapets at railway crossings to be reviewed.		
		Risk Appetite	Direction of Travel	Formalised program of inspections		
	<i>Risk that repair on bridge / road needs a significant short term investment.</i>	M	—	Forward plan of capital works		
(14)	The Council has significant investment aspirations including Strategic Development Locations (SDL's), Town Centre Regeneration, school rebuilds and housing provision. This is in the context of limited resources and a complex funding source. The Council needs to ensure it guards against any unmet critical needs and prioritise its aspirations over the long term.	Insufficient school places, Financial shortfall, Negative PR, Loss of rental income, Scheme slippage / downsizing,	Officer Lead	Executive Lead	H	A project planned to make best use of Council's assets.
	GE		AP	Meeting the Council's strategic capital requirement, incorporating Strategic Development Locations (SDL) in the medium term financial plan.		
		Risk Appetite	Direction of Travel	Resource planning for Strategic Development Locations (SDL) infrastructure needs.		
	<i>Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning</i>	H	—			

Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(15)	Proposed changes to council service delivery, policies or contracts become subject to Judicial Review by interest groups such as parish councils, county councils, residents groups, developers and landowners etc.	The degree of influence that the council can exert over corporate proposals is reduced leading to poor quality & undesirable outcomes, financial cost and staff time required to defend actions becomes unsustainable, reputational damage, delays in the implementation of change.	Officer Lead	Executive Lead	M	Improved communication and joint working with Parish and Town councils. Town and Parish working group, Clerks Forum and Neighbourhood Plan support Strategic Development Partnership - WBC, SDL developers, HCA meets quarterly - forward planning and problem solving Improved community engagement - SDL Forums regularly meeting - interest groups, residents and developers.
	AC		KB			
	<i>Proposed changes to services, policies or contracts are quashed or set aside which reduces the influence the council can exert over corporately important projects.</i>		Risk Appetite	Direction of Travel		
			L	—		
(18)	The Council holds information of a confidential and sensitive nature. There have been past breaches of information security and it is an area under intensive scrutiny from the Information Commissioner. The primary risk is likely to concern paper based documents.	Imposition of a substantial fine, reputational damage/ bad media coverage, breach of contract and payment of damages, loss of future business, increased number of complaints, loss of trust from partner organisations/contractors.,	Officer Lead	Executive Lead	M	Continuing IGG programme of work & SIRO updates to CLT
	GE		PJ			
	<i>Loss of confidential or sensitive data, leading to a significant fine and reputational damage for the council, with a potentially damaging impact on the resident/ customer to which the information relates.</i>		Risk Appetite	Direction of Travel		
			L	—		

Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(20)	There needs to be clarity and agreement on how the vision and priorities will be interpreted and delivered. The vision and priorities need to be articulated through the corporate and service plans. The service and resource planning is being redesigned so it will align to the vision and priorities of the council enabling us to deliver on our priorities.	Organisational dissonance, disharmony across organisation, lack of clarity, different objectives / targets, delivery affected, fall behind neighbours, non-compliance with legislation.	Officer Lead	Executive Lead	L	Following Council approval of the Council Plan this will inform Service Plans for each area.
	AC		KB	Development of monitoring of the Council Plan Delivery (formerly Balanced Scorecard), linking specific performance indicators against the priorities listed in the Council Plan		
	<i>The council does not deliver its vision and priorities.</i>		Risk Appetite	Direction of Travel		
			L	—		
(23)	If the council fails to protect the health and safety of its employees and other persons who come into contact with the services provided by the authority there is a risk of serious injury or death.	Unlimited fine, Custodial Sentence, Publicity Order (Corporate Manslaughter only), Remedial Order (Corporate Manslaughter and HSWA), Removal of key staff, Reputational damage, Service delivery loss due to depleted resources, Damage to individuals wellbeing, An avoidable death or injury.	Officer Lead	Executive Lead	H	Annual historical benchmarking review of all Corporate Manslaughter and relevant Health and Safety cases in order to identify the key risk areas
	AC		KB	Health and Safety staff to attend the Risk Management Group in order to strengthen the link between both practices		
			Risk Appetite	Direction of Travel		Risk Champions to facilitate the creation of Health and Safety risks on all Service Risk Registers
			L	—		Health and Safety training to be included in the Management Induction Programme for all new managers
	<i>There is a risk that a health and safety failing could result in an intervention by a relevant enforcement agency and potential enforcement action or conviction.</i>					Training for managers and staff who procure and manage contracts to ensure that the Council as a client discharges its H&S duties.
						Amendment of the Seeking Assurance CLT briefing document, to include the rationale behind decisions to include and exclude high risk service areas from the review

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Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(27)	Degree and scale of change to the health and social care system will destabilise or cause wholesale system failure. Health and social care integration requires complex changes to pathways, accountabilities and funding - risk to governance and systems in the migration (e.g. patient/client information, lack of clarity as to case management responsibility and agency response). Changes to Better Care Fund performance criteria could lead to unfunded liabilities for the council. Push to shift health care to community base and be less dependent on in-patient acute care could lead to additional pressure on social care budgets that might not be adequately compensated by savings, either because savings are targeted to community health services, acute services, or not realised.	Poor service in health and social care systems, negative impact on population health, more costly interventions required, failure to meet legal responsibilities, reputational damage.	Officer Lead	Executive Lead	H	Local health and care integration project.
	SR		JMS			
	Risk Appetite		Direction of Travel			
	L		—			
	<i>Risk of failure of local health and/or social care system such that residents receive inadequate or unsafe response.</i>					
	<i>Unsustainable additional financial pressure on adult social care budgets</i>					
(28)	The Care Act 2014 introduces profound and far reaching new duties on Local Authorities with regard to the wellbeing of the whole resident population, including from April 2015: - - information, advice and practical support to all residents regardless of means - assessing all qualifying need, whether or not currently met through informal care - assessing carer need within a much broader definition of 'carer' and making arrangements to meet qualifying need From April 2016: - - funding support to any person who has expended £72000 on his/her care arrangements regardless of means - Eligibility assessment and setting up of Individual Care Accounts to determine when any individual reaches the £72k care cap	Failure to meet new duties/demand, Unsustainable budget pressure, Reputational damage., Inability to recruit/retain assessment staff.	Officer Lead	Executive Lead	M	Local Care Act implementation programme
	SR		JMS			Challenge to DoH funding determination
	Risk Appetite		Direction of Travel			15/16 funding gap met from additional contribution via BCF, adult social care baseline growth and reserves
	L		—			
	<i>The scale of the new duties and the systems required to support them pose a risk that the council will fail to meet demand. The uncertainty with regard to the cost of the reforms and the degree to which government will fund them places the council at risk of unsustainable budgetary pressures</i>					

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Ref	Risk (Cause & Consequence)	Potential Impacts	Risk Score		Further Actions to Mitigate Risk	
(29)	<p>The Council ICT is provided by Northgate Information Systems and the contract reaches a break point in Dec 2015. The Council intention is to have a new solution for ICT supply, a mix of private sector providers and in house provision. The plans for this Mixed Economy solution are well advanced and are of good quality but it is not possible to absolutely gurantee implementation without some consequences at this stage.</p> <p><i>If plans fail then the Council risks severe disruption to services and internal business.</i></p>	<p>Interruption of services, Inability to complete internal functions such as payments, Need to expend resources to carry out remedial action, Need to pay suppliers for emergency ICT services, Damage to reputation.</p>	Officer Lead	Executive Lead	M	Contained with project plans
			GE	PJ		
			Risk Appetite	Direction of Travel		
			L	—		