

Corporate Risk Register - Update September 2018

No.	Risk Description	Description of Impact	Controls in Place to Mitigate Risk	Evaluation of Controls	Impact score	Likelihood score	Risk Rating (Impact x Likelihood)	Direction of Travel	Risk Owner (Executive Director)	Responsible AED/SUM	Proposed Actions - include resulting benefit and costs	Responsible Officer	Target Date for Proposed Action
1	The supporting ICT provision for Council services is not resilient, it does not keep pace with organisational priorities and change and does not assure the basic requirements in terms of operational functionality and data security. Major ICT failure or lack of system integrity - Loss of all ICT systems due to an incident which affects the server room/data centre or system failure isolated to a specific system.	Loss or disruption of services internally and to the community. Loss or corruption of data, which could generate financial implication for reconstitution or additional staff hours to re-establish backups. Whilst systems not functioning fully it provides an opportunity for malicious or criminal abuse of data or systems. Reduction in morale by staff due to inability to carry out role effectively. Reputational damage with the Community as unable to deliver services as required.	Security policy and procedures, physical secure data centre with regular access review, managed, resilient and secure network infrastructure, back up and restore systems, appropriately experienced and qualified technical staff. Work on a new purpose built Data Centre in Ashton Old Baths is underway. The facility will co-locate Council and NHS systems. A DR facility in the hospital Data Centre is also under way. Work is also underway to put in place a new high speed high resilience network based on the Councils dark fibre infrastructure. As part of the transition from the current Update LAN/WAN service to the new network the support and management of LAN/WAN security will be taken back in-house. As part of this project all the council cyber security and resilient hardware and software is being updated.	Effective	5	4	20	↔	Kathy Roe	Tim Rainey	The provision of ICT is being reviewed as part of the transition to the ICO with the Hospital and the CCG. A Cyber Security Audit is underway in partnership with Salford Computer Audit Services.	Tim Rainey Nicola Smith Julie Hayes	Ongoing
2	Following the liquidation of Carillion on Jan 15 2018, the new shared services centre is not completed within time and budget.	Increased costs and delays to the building completion. Reputational risks and impact on key partners e.g. Wilkinson's, College and DWP.	Executive Cabinet approved the completion plan on 20 June 2018 with additional £9.4 million funding. Project Board overseeing delivery with Director of Growth as SRO. Additional project assurance provided by Cushman & Wakefield (Independent Client Adviser) and Saffer Cooper (Critical Friend). Final programme and Cost to Complete subject to completion of variation to contract anticipated on 28 Sep 2018.	Effective	5	4	20	↓	David Moore	Ade Alao	Series of meetings; Project Board; Member engagement; Strategic Planning & Capital Monitoring Panel; Executive Board & Cabinet	David Moore	2018
32 NEW	Despite funding for the new Ashton Old Baths Data Centre being approved in Dec 17 delays to the associated phase 3 annex redevelopment means the construction of the new Data Centre in Ashton Old Baths has been delayed. This means that all the Council's key computer systems are still being hosted in Rochdale's Data Centre. There is only a single high speed BT link between Tameside's new Core LAN/WAN network and Rochdale and any failure will result in a loss of access to all systems.	Loss of access to key councils business systems for the duration of the link being unavailable.	The need for a secondary (backup resilient link) to Rochdale never envisaged as being needed based on earlier timetable for the new DC being completed and becoming operational. The estimated time for the new DC being available is April 2019 and the lead-time for a diverse resilient link is 4-6 months and £30k so this has not been ordered.	Partially Effective	5	4	20	NEW	Kath Roe	Tim Rainey	Report to finalise the funding for phase 3 annex redevelopment due to go to Cabinet for approval in October 18.	Tim Rainey Nicola Smith Julie Hayes	
3	Failure to manage the local home care market to deliver appropriate and timely care packages.	Market management is a requirement of the Care Act. Failure to ensure sufficient supply of good quality home care services could place individuals at risk. There is also a significant impact on the whole health economy if individuals remain in hospital beds because a care package cannot be commissioned. There is financial impact for the economy and reputational risk for the authority.	Tender has been undertaken and new contract/providers are now in place. New model is being rolled out and is expected to improve outcomes and reduce demand on services. TMBC resources are being used to support where there is insufficient capacity to meet demand - Reablement and Homemaker Service.	Partially Effective	4	4	16	↔	Stephanie Butterworth	Sandra Whitehead	Service retendered in 2016 - six zoned providers working well but the number of domiciliary providers in Tameside on the approved list has reduced. Advert to be placed on the Chest to try and attract more providers onto the list to meet unmet need. Training and OD development programme to improve skills of the workforce continues - all support to people living at home will be delivered under the new model from Feb/March 2019. With the enhanced role and career opportunities it is expected that more people will be attracted to the role as an entry into social care and nursing careers. New model has provoked discussion instigated initially by providers to consider adopting single handed care (to replace double cover wherever appropriate for some moving and handling tasks) - successful introduction of this initiative will put significant capacity into the market and contribute significantly to savings to support the additional costs of the new model. Hourly fee to providers has been increased to enable an hourly rate of £9 per hour to staff. Early indications were that this was attracting new staff to the market. Continued efforts are ongoing in relation to incorporating support from District Nursing in relation to delivering low-level healthcare tasks, links to digital health and future plans around working with community physios to again improve support at home rather than care in residential or acute settings.	Trevor Tench	Ongoing through 2019
4	Insufficient care home capacity in the local market to provide appropriate placements for people requiring long term care.	Market management is a new requirement of the Care Act. Failure to ensure sufficient supply of good quality care home places could place individuals at risk. There is also a significant impact on the whole health economy if individuals remain in hospital beds because a place at a home of choice is not available. There is financial impact for the economy and reputational risk for the authority.	Discussions are in place with local providers about the level of capacity required in the local economy. At present vacancy level of 8% so manageable, but there is a risk of people not being able to find a bed at their preferred home. Process and documentation in place at the hospital should an individual and/or their family insist on a specific placement - this may mean moving to an alternative home as an interim arrangement.	Partially Effective	4	4	16	↔	Stephanie Butterworth	Sandra Whitehead	The shape of the market will change over the coming years and there is an ambition across GM to reduce the number of residential beds as we move to supporting more people to live at home. Work is slowly progressing in relation to four new extra care schemes to build the capacity to support the reduction in the number of residential beds required. There will also be a need for an increase in the volume of nursing and dementia beds, which will need an increase in the numbers of nurses working across the nursing home sector.	Trevor Tench	Ongoing through 2019
6	Failing to protect vulnerable children - Vulnerable children are put at risk due to poor systems/processes and reduced service provision.	Service disruption, litigation, loss of public confidence and reputational damage. Negative impact on the service user's life and wellbeing.	Tameside's Safeguarding Children's Board operating effectively. Procedures and guidance in place. Partnership arrangements, information sharing protocols etc. in place. Risk Assessments carried out. Internal and external inspections of services (including schools and private providers) DBS Checks on staff, staff supervision record keeping and training in place. Partnership working with GMP and schools with Project Phoenix (CSE).	Effective	5	3	15	↔	Richard Hancock	Gani Martins (Tracy Morris from 5th Nov 18)	Improvement Plan wholly revised in December 2017 and progress reported to the independently chaired Improvement Board, members, CEX, DfE and Ofsted as providing the right focus to drive improvement in response to our current Ofsted rating of Inadequate. External scrutiny provided by Stockport and other commissioned external peer reviews.	Richard Hancock	Ongoing

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7	Failure to reduce demand upon Children's Social Care, leaving an unsustainable financial pressure on the Council.	Financial and reputational implications - impact on the whole Council's budget if demand cannot be reduced over time.	Demand reduction is a top priority of the Improvement Plan, with a particular focus upon the numbers and costs of LAC. New systems, services and practice focus being introduced to deliver the required reductions.	Effective	5	3	15	↔	Richard Hancock	Gani Martins (Tracy Morris from 5th Nov 18)	Set of detailed actions within the Improvement Plan, itself monitored by the Improvement Board. "Successful Families" strategy to reduce LAC drawn up in May 18 and reported to SLT.	Richard Hancock	Ongoing
8	Failure to deliver council duties to improve the health and wellbeing of Tameside residents.	Poor health outcomes, healthy life expectancy, increasing health inequalities and increased demand on health and social care services.	The Strategic Commission provides a clear strategic commitment to address this risk. Population health plans and evidence based work programmes and commissioned services aim to improve healthy life expectancy and address health inequalities by rebalancing local investments in prevention. A Public Health Investment Fund has been agreed to achieve this ambition. Public Health team members are members/leads in strategic partnerships such as Health and Wellbeing Board, Children's Improvement Board and Strategic Commissioning Board. Public Health also have a role in leadership and influencing agendas beyond health and social care commissioning to ensure responsibility for this issue amongst partners and other departments within TMBC and across the whole system is understood, shared and acted upon.	Effective	5	3	15	↔	Dr Jeanelle de Gruchy	Debbie Watson Gideon Smith Anna Moloney	Annual Public Health business plan and commissioning intentions complying with mandatory guidance and aligned to local priorities. Transformation funding secured from GM Health and Social Care Partnership support implementation of key elements of Care Together Programme including system wide self care programme/ social prescribing and building strengths . Public Health Investment Fund implemented over the next 3 years.	Debbie Watson Gideon Smith Anna Moloney	2016-20
9	The Council fails to benefit from the opportunities generated from the increased central government devolution to the Greater Manchester Region.	The Council's influence at a regional level is not sufficient for it to maximise the benefits which accrue from devolution such as increased economic growth. Failure to secure funding for the Tameside area including Health Transformational Funding.	The Council is supportive of the current devolution role and is playing a prominent role in shaping the present agreement with Central Government for Greater Manchester. Members and Officers attend meetings of the Combined Authority including the Wider Leadership Team. Lead roles have been allocated to Leaders and Chief Executives to drive the transformation programme forward. The Chief Executive is the lead for Health and Social Care and the Executive Leader leads on investment. With regards to TfGM bids are put in as AGMA collectively so that GM gets it share.	Effective	5	3	15	↔	Single Leadership Team	Senior Management Group	The Council will deploy adequate resources to ensure that it is able to maximise the benefits.	Senior Management Group	Ongoing
5	The specification of the new shared services centre is not in line with future service delivery plans.	The identified savings will not be realised. Reputational damage with partners and the Community. Staff and service delivery will be affected.	Updated reports provided to ET, Board and Cabinet. Project Plan/Risk Register in place. External specialist being used to design the new building. Joint Project Board with the College. Internal Project Group chaired by Director of Growth.	Effective	4	3	12	↓	David Moore	Ade Alao	Series of meetings; Project Board; Member engagement; Strategic Planning & Capital Monitoring Panel; Executive Board & Cabinet	David Moore	2018
10	Vulnerable adults are put at risk due to poor systems/processes and reduced service provision. Impacting the balance of safeguarding vulnerable people alongside the allocation of Individual Cash Budgets and developing new ways of working to promote independence.	Service disruption, litigations, loss of public confidence and reputational damage. Personal liability of members and / or officers. Negative impact on the service user's life and wellbeing.	Manuals and protocols, Health and Safety training, risk assessments, robust records and systems of inspection, Internal Audit review processes. Full evaluation of changes to service provision undertaken including consultation where appropriate and EIA's. Effective multi-agency Safeguarding Partnership now statutory Board under Care Act legislation.	Effective	4	3	12	↔	Stephanie Buttenworth	Sandra Whitehead	SCF - joined up approach across TMBC, CCG and ICFT. Review of systems/processes with Safeguarding Adults Managers across the service. Safeguarding Adult Policy is being updated in November 2018. Ongoing safeguarding training for all staff and managers within Adult Social Care to ensure consist application of the policy.	Carol Abrams	Ongoing through 2019
11	Increased demand for services due to demographic changes - Tameside is unable to meet the needs of its ageing population and young people with increasingly complex needs transitioning into Adult Services requiring significant savings to be made, or reductions in levels of dependency, to manage rising levels of demand.	Overspending and overstretching of staff due to increased demand, following cuts in other service areas. Changes to eligibility criteria to 'ration' services may result in reduction of care and support for some, which may have a detrimental effect on health and wellbeing of service users.	Regular review of eligibility criteria, development of prevention strategy to support more people at a lower level of need to prevent dependency on services. Care Together programme, including the development of the ICO is the primary vehicle to develop self-managing and sustaining communities, delivering the right care at the right time to maintain people at home wherever possible.	Effective	4	3	12	↔	Stephanie Buttenworth	Sandra Whitehead	Development of the Integrated Care Organisation. Development of asset based schemes involving the voluntary and community centre are at the heart of this approach - Oxford Park, , 4C, Together Centre. Demand prediction for Children and Young People with complex needs coming through to Adult Services - looking to mitigate through Oxford Park initiative. Expansion of Shared Lives scheme, to include young people 16+ and those with more complex needs.	Carol Abrams / Mark Whitehead	Ongoing through 2019

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12	Ineffective procurement and contract monitoring - Procurement does not deliver value for money and is not conducted in line with best practice, PSOs and European legislation. The strategic focus on commissioning is less effective due to a lack of skills and capacity to drive the change in culture.	Poor service delivery and increased costs. Legal challenges to contracts awarded would generate financial implications and potential service disruption. Reputational damage amongst suppliers and partners could impact on subsequent tenders and relationships.	New shared service arrangement with STAR procurement, bringing professionally qualified procurement staff into the organisation. Procurement Standing Orders and guidance notes. Training. Internal Audit. Waivers Reports have to be approved by Finance and Legal. Development and maintenance of contracts register, detailed spend analysis pointing to supplier efficiency and relevant market development. Strategic Commissioning Function established with TMBC and CCG.	Effective	4	3	12	↔	Kathy Roe	Tom Wilkinson	New procurement service went live from 1 September 2018. Next phase is to conduct in depth spend analysis across the Council and within Directorates. Contracts register has expanded four fold with amnesty in place to pick up more contracts.	Tom Wilkinson	March 2019
13	The inconsistent application of information standards and controls could result in a significant, unauthorised disclosure of personal and/or sensitive data. Indicating a failure to protect the Council's data and information. With potential for multiple breaches of the Data Protection Act and the Freedom of Information Act.	Disruption to service delivery. Reputational damage both regionally and nationally. Financial implications due to compensation claims and costs of putting right damaged caused. Investigation by Information Commissioner, with potential for monetary penalties and enforcement action and the financial impact that goes with these.	Guidance on Intranet. Standard incident reporting forms introduced. Advice from legal. Publicity, reminders via SLT, corporate screensavers and the Wire. Information Governance Framework developed and implemented. Information Asset Audits undertaken in accordance with GDPR and a Record of Processing Activities has been produced. Information Governance Group and Champions Group in place to keep controls under review. E Tutorials and training and awareness sessions delivered and ongoing support provided. Only encrypted removable devices can be connected to the network. Email and Files Electronic Retention Policy in place. Paperless Policy approved and work ongoing to engage with services to implement.	Effective	4	3	12	↔	Sandra Stewart Kathy Roe	Aileen Johnson Tim Rainey Wendy Poole	Work on going in relation to GDPR/Data Protection Act 2018. Awareness and training to be delivered and a GDPR E-Tutorial was launched in July via Me Learning for completion by 30 September 2018. Engagement with Information Champions Information Asset Audits undertaken, Register of Processing Activities produced, Privacy Notices published on the Council's Website.	Wendy Poole Information Governance Group Information Champions Group	Dec 2018
14	The Council is unable to deliver the Medium Term Financial Strategy - Failure to deliver services within reduced budgets and provide for future financial stability.	The corporate savings requirements are not fully understood by the services and the planned service redesigns and savings are not achieved. The full implications of reduced service provision needs to be understood to ensure that a reduction in one area does not cause a cost pressure in another. Staffing cuts, overspends, complaints and reputational damage. Failure to achieve savings targets within timescales will push future years cost pressures up, impacting on future budget reductions.	Budget report presented to Council in February. From 2018/19 the MTFP will be refreshed 3 times a year as part of the financial update reports that include the monitoring of the revenue budget position. Both the revenue financial update and capital monitoring will be reported to SLT, Board and Executive Cabinet. In year budget variances will be categorised between savings plans not being delivered and additional pressures, so full visibility is given as to the origin of any problems. Recovery plans will be put in place. All managers issued with a budget book which sets out their approved budgets and associated resources. Budget cycle for 2019/20 starts in June 2018 where, Corporate projects and priorities will be affirmed, with regular update reports throughout the year for SLT and Board. CDT sessions to ensure managers aware of the financial outlook and importance of achieving savings targets. Board Business Day covers the financial savings needed.	Effective	4	3	12	↔	Kathy Roe	Tom Wilkinson	Work is on going with the CCG and Tameside and Glossop Integrated Care NHS Foundation Trust to review the health economy financial position to put plans in place to close the identified gap. Transitional Funding of £23.2m spread over four year has been approved. Different delivery models are being reviewed including a review of support services. Council service budgets are being reviewed and savings identified/challenged to ensure robust delivery plans are in place. Proposed changes to Business Rates need to be monitored and the impact fully evaluated.	Tom Wilkinson	2018-22
15	Ineffective use of data and intelligence to support the decision making process.	Services not fully taking advantage of the information collated by the council to properly inform project appraisals and decision making. Decisions could be challenged if not evidence based. Inefficient and ineffective service delivery to the Community.	Training on Safe and Sound Decisions. Reports reviewed by Legal and Finance to ensure legal and financial implications have been considered fully. Making use of the available insight and intelligence work that the Policy Team coordinate. Information Governance Framework is in place to provide guidance on information use and sharing to ensure the lawful use of Council information and advice can be obtained from Legal and Finance. Information Asset Audits completed for most directorates.	Effective	4	3	12	↔	Sandra Stewart Kathy Roe	Sarah Dobson Wendy Poole	Information Champions Group established to work with the Information Governance Group to ensure that data is shared across the Council where appropriate to drive process efficiencies. Information Assets Audits undertaken to identify the information we hold, why we hold it, what we do with it and who we share it with. GDPR enhances the need for transparency and the rights of individuals. The information asset audit outcomes have been used to populate the Register of Processing Activities and Privacy notices. Sharing/Processing agreements are reviewed by Risk Management and Audit to ensure they meet the required standards. A Data Protection Impact Assessment (DPIA) drafted by the AGMA IG Group is being piloted ahead of approval by SLT. Work is ongoing with Policy, Performance and Communications to ensure that the Data Protection Impact Assessment (DPIA) is build into existing processes, to ensure data is protected at the outset in the design process when new systems/changes are being considered.	Wendy Poole	Ongoing
16	Impact on the Council in relation to the changing landscape for schools including; Free Schools, Academisation and linked issues relating to BSF/PFI.	Loss of Land. Reputational damage for the Council if Free Schools/Academies do not perform to acceptable standards. Potential financial impact on the council if schools transfer to an academy with a deficit in place. Funding/legal implications for BSF/PFI schools. Impact on support services within the Council. Loss of capital receipts available to fund wider Council investment programme.	Deficit recovery planning support in place. The Council is only liable for a deficit if the school becomes a sponsored academy because it is deemed to be failing. Support services to schools will be reviewed during 2018/19, including the FM and catering contracts. A clear strategy is in place to support schools which is regularly monitored by the Council's Education Attainment Improvement Board.	Effective	4	3	12	↔	Richard Hancock Kathy Roe	Tim Bowman Tom Wilkinson	Review of support services to schools has been undertaken, financial services to schools has been bolstered. Independent review of the LEP has been commissioned to provide strategic direction to the future of the LEP arrangements and delivery of this service provision. this will initially report back by December 2018, with a view of having a long term strategy in place by summer 2019.	Support Services Tom Wilkinson/ Tracy Brennan PFI/BSF Tom Wilkinson	Support Services April 2019 PFI/BSF July 2019
17	Tameside is unable to exploit growth opportunities and this has a detriment to residents, local businesses and the borough's future prosperity.	Reduced income due to reduction in CT and NNDR payments. Increased potential for fraud. Less grant money available. Increased claims for benefit and debt/housing assistance. Businesses fold and Tameside becomes less attractive to potential investors. Reduced capital receipts. Brexit could affect the ability for us to be a thriving, prosperous economy.	Robust monitoring and implementation of appropriate measures led by the Growth Directorate. Attendance at Greater Manchester Combined Authority Meetings.	Effective	4	3	12	↔	David Moore	Ade Alao	New Vibrant Economy Strategy, 20-Year Investment Framework and Asset Management Strategy being developed.GM Spatial Framework being developed. Revised draft in Oct 2018.	Ade Alao Peter Taylor	2018

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21	The property portfolio rationalisation necessary for the delivery of appropriate council wide services is not delivered and consequently savings are not achieved.	The Council will have an unnecessary financial burden in respect of unoccupied or under used properties. Impact on the overall funds for the Council and compliance with the MTFS.	Programme of asset disposals by value. Regular sales at auction. Progressing major sites to outline planning and approved by Cabinet.	Effective	4	3	12	↑	David Moore	David Absolon	New asset disposal strategy to be considered by elected members in October 2018. Capital Officer Working Group set up by Finance.	David Absolon Tom Wilkinson	2018
30	Increase of illegal dumping of waste on both public and private land within the borough.	The council is unable to remediate the cost of monitoring and clearing illegal waste. Reputational damage both regionally and nationally. Potential risk to health for residents and increased dissatisfaction and tensions within the community. Investigations are resource intensive. Prosecutions can take a long time to conclude and then clear. This is a real and ongoing threat, and requires complex multi agency resources to resolve.	Controls are in place to monitor sites through regulatory services. Notices are served and perpetrators pursued through the criminal justice system. Established partnerships with the Environment Agency and the Police. Testing and monitoring of suspected unlicensed sites.	Effective	3	4	12	↑	Ian Saxon	Emma Varnam	Illegal dumping of waste will be monitored through the Enforcement Panel to ensure an appropriate strategic oversight. Additional measures are being developed to ensure multi agency plans are coordinated.	Emma Varnam	Ongoing
18	Failure to provide an appropriate Civil Contingencies response to an incident or emergency affecting the community or the Council, including extreme weather conditions due to climate change.	Loss of accommodation, key staff, IT services, records/information, equipment. Unable to supply the legally required and identified emergency level of service to customers and service users. Loss of reputation regionally and nationally. Care in the Community overstretched and potential impacts on other front facing services depending on the nature of the incident. Public fear and concern along with potential accommodation problems. Service failure. Drains and sewers unable to cope with volume of rainfall. Community safety implications with heat stroke. Increase potential for Infrastructure and property damage, with fires, settlement and storm damage. Reputational impact. Possibility of an increase in the number of insurance claims. Accommodation problems. Public concern.	Emergency Plan, Community Risk Register, Statutory Duties. Director on Call and Forward Incident Officers in place. Regular meetings and forums with Blue Light services and other LAs. Central GM Civil Contingencies Team in place. Plans are tested. Flood plan in place. Business Continuity Plans in place. Following Operation Ferranti in November, a report was presented to SLT in July and an action plan is now in place to refresh/improve business continuity across the Council. Moorland Fires and other incidents/extreme weather events have demonstrated the effectiveness of the plans.	Partially Effective	5	2	10	↔	Kathy Roe Ian Saxon	Mike Gurney Wendy Poole	Following a report to SLT in July an action plan is now in place. The templates obtained from the GM Civil Contingency and Resilience Unit have been reviewed and the new format will be piloted in Operations and Neighbourhoods.	Wendy Poole	Dec 2018
19	Failure to support schools effectively to achieve a judgement of good/outstanding by Ofsted.	If schools are unable to make the level of progress required to assure Ofsted that all children are receiving a good standard of education, the Council could attract a full inspection of its school Improvement Support Services by Ofsted. A worst case scenario would result in this function being removed from the Council. The reputational damage to the Council would be very significant.	A clear strategy is in place to support schools which is regularly monitored by the Council's Education Attainment Improvement Board. Failure to recruit a HOS for school improvement will result in a temporary lack of leadership in this area and mitigating actions are in place.	Effective	5	2	10	↔	Richard Hancock	Tim Bowman	A more systematic review of schools causing concern now established.	Tim Bowman	Ongoing
20	Failure to ensure sufficient school places for all school-age children.	It is a core statutory requirement to provide sufficient school places, but with limited powers to make this happen as the council cannot open a new school so depends upon either school expansions or free school applications.	Detailed pupil planning projections from officers indicate a 'bulge' year for secondary places in 2018. This data also indicates the geographical location of where projected gaps in provision are. All necessary legal and funding requirements are in place to ensure that the new school in Littlemoss will open for Y7 in September 2018. The collapse of Carillion has presented challenges for the projects to increase capacity in other secondary schools.	Effective	3	3	9	↔	Richard Hancock	Tim Bowman	Planning is on track with EFA, RSC, Laurus Trust, and council officers.	Tim Bowman	Sept 2018
22	Requirements of the Care Act on service provision and associated financial implications.	Additional demands on assessed care provision and associated additional cost.	Ongoing review of Adult Social Care service delivery alongside Care Act and MCA requirements. This includes reduced dependency on residential care and increased independent living at home at lower cost.	Effective	4	2	8	↔	Stephanie Buttenworth	Sandra Whitehead	Introducing a new approach to home care that considers community based support as an additional factor to support people to live well at home.	Trevor Tench	Ongoing through 2019

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23	Insurance purchased inappropriate or inadequate to provide necessary cover for the Council's risks.	Increased costs, service interruption, potential litigation/fines, complaints and reputational damage. Financial impact on budgets if inadequate cover in place. Risk Management processes need to be continually addressed to mitigate actual claims received.	Annual Renewal Process undertaken in conjunction with Insurance Brokers (AON). Insurance contract let every 5/7 years in conjunction with our Insurance Brokers. Regular review meetings take place with Brokers/Insurers/Claims Handlers to monitor performance and to discuss changes in the insurance market and keep abreast of new claim trends and discuss any litigation issues or court rulings that could have impact. Members of the North West Insurance Officers Group.	Effective	4	2	8	↔	Kathy Roe	Tom Wilkinson Wendy Poole	Review meetings organised for October 2018 with our Insurance Brokers to discuss the renewal process for 2019/2020, ahead of launching the full procurement process later next year which will be done in conjunction with Brokers and STAR Procurement.	Wendy Poole	Ongoing
24	Inability to appropriately store and retrieve digital records and media in a future proof format.	Loss of data. Unable to retrieve digital records. Staff encouraged to use centralised storage and not removable drives. Financial implications with the cost of paper storage increasing. Financial and time implications of reconstructing data/information. Potential for litigation or fines from the ICO.	IT Back-Up system in place. Daily and weekly back ups taken. Back ups are stored off site. The Data Centre is now located in Rochdale MBC's Server room located at 1 Waterside Rochdale. Horizon scanning for future developments and improvements. Information Governance Framework in place, all staff should be reviewing the files they have in line with the Retention and Disposal Guidance. Information Asset Registers in place. Retention Policy for emails/files in place and project to put in place EDRMS and case management for all services underway.	Effective	4	2	8	↔	Kathy Roe	Tim Rainey	Paperless Policy now in place and service areas are being encouraged to engage with ICT Services (Janet Etchells) to work towards implementation.	Tim Rainey Julie Hayes	Ongoing
25	Pension Fund investments do not provide the appropriate/anticipated level of assets to meet liabilities.	Increased employer costs. Reputational damage to the Fund and overall stakeholder concern.	Investments are placed with different fund managers diversified across different asset classes and countries. Markets are monitored daily with the Fund's performance being a major item at each quarterly meeting of the Pension Fund Management Panel. The Funds operations are subject to both internal and external audit. There is also a statutory valuation of the Fund every three years, part of which is to compare assets to liabilities.	Effective	4	2	8	↔	Sandra Stewart	Tom Harrington Paddy Dowdall			
26	Local Government Pension Scheme asset pooling requirements not met.	Government uses its powers to direct the Fund as set out in the new Investment Regulations. Reputational damage to the Fund and overall stakeholder concern.	Fund has chosen pooling partners and submitted a response to Government. Professional advice will be sought throughout process.	Effective	4	2	8	↔	Sandra Stewart	Euan Miller	Continued development of pooling arrangements including implementation of new Fund custodian. Successful pooling outcomes will result in improved net investment returns and lower employer contribution rates.	Euan Miller	Ongoing
27	Alignment of partnership working - Inability to ensure that partnership arrangements deliver agreed outcomes. Increased pressures and reduced capacity on external providers to develop and provide services.	Failure to deliver planned outcomes, loss of credibility and reputational damage. Damage to morale, financial and resource implications. Possible litigation. Partners not being in the same place as the Council. Reduced market capacity and choice of consumers.	Corporate Plan is monitored regularly by Single Leadership Team and Board. The governance arrangements regarding the Care Together Programme are now in place and decisions are made by a Joint Commissioning Board and the Executive Cabinet depending on the nature of the decision.	Effective	4	2	8	↔	Single Leadership Team	Senior Management Group			
28	Failure to prevent or detect acts of significant fraud or corruption with consequent financial or reputational damage to the Council.	Financial loss to the Council and reputational damage. Adverse publicity both locally and nationally. Investigations are resource intensive. Prosecutions can take a long time to conclude.	Fraud risk assessment carried out by Internal Audit. Internal Audit review systems on a cyclical basis to provide assurance that effective controls are in place and working. Internal Audit provide advice and support to managers to ensure the control environment is considered when changes are being proposed. Anti Fraud, Bribery and Corruption - Statement of Intent in place. Fraud Response plan in place. Whistleblowing Policy in place. Management are responsible for the control environment and this is tested as part of the Annual Governance Statement process as Directors sign assurance letters. All ongoing investigations are reported to the Standards Panel and summary data is presented to the Audit Panel as part of regular progress reports by the Head of Risk Management and Audit Services.	Effective	3	2	6	↔	Kathy Roe	Tom Wilkinson Wendy Poole	Investigation process and fraud documents are currently being reviewed to ensure they adhere to best practice and will be presented to a future meeting of SLT and the Audit panel for approval .	Wendy Poole	Dec 2018

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29	In-effective community cohesion. The community cohesion activities undertaken do not have the required results, of raising awareness, integration and acceptance within the community.	Unrest, riots and vandalism. Inequalities within the community becoming more prevalent and raising community tension. Potential to lead to an increase in crime and disorder. Failure to comply with Equality Legislation could lead to reputational damage and litigation.	The new Community Safety Partnership and sub groups are established. With regular tension and performance monitoring through THIP group, plus Prevent and Channel Groups. An action plan to improve cohesion has been written and is being enacted. A high level intervention group has been identified for when tensions arise, threat analysis forms part of service planning.	Effective	3	2	6	↔	Ian Saxon	Emma Varnam	Community Safety structure is being reviewed to ensure the ability to respond to cohesion issues.	Emma Varnam	Ongoing
31	Failure to reconcile Guaranteed Minimum Pension (GMP) data prior to the HMRC deadline of 2018.	Loss of reputation. Incorrect amounts of pension may be paid. Risk of not being compliant with The Pensions Regulator's Code of Practice.	A project plan and project team is in place and progress against targets are being monitored by the Fund's Management Team and the Pension Administration Working Group. Working processes have also been reviewed by Internal Audit.	Effective	4	1	4	↔	Sandra Stewart	Emma Mayall	Fortnightly progress review meetings continue to take place to ensure progress is in line with expectations. Reports are presented to the Working Group every quarter.	Emma Mayall	Ongoing (up to expected project end date of December 2018)
33 NEW	Failure to comply with, or evidence compliance with, the Pension Regulator Code of Practice.	Potential for fines to be issued by the Pensions Regulator, loss of reputation for the Fund and resource demand in corresponding with the Regulator.	Fund undertakes an annual review of its compliance with the Pension Regulator's Code of Practice #14. Reports on work undertaken to demonstrate continued compliance are taken to each meeting of the Local Pensions Board.	Effective	2	2	4	NEW	Sandra Stewart	Euan Miller Emma Mayall	Continued development of contribution monitoring system and escalation policy. Move to monthly data postings. Regular training for Management Panel, Local Board and GMPF Officers	Euan Miller Emma Mayall	Ongoing