

Corporate Risk Register - May 2016

	Risk Description	Description of Impact	Controls in Place to Mitigate Risk	Evaluation of Controls	Impact score	Likelihood score	Risk Rating (Impact x Likelihood)	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 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.	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. Funding available to develop DR facility for key council systems, procedures and policies relating to virus infection reviewed and updated to reflect increased risk.	Effective	5	4	20	Robin Monk	Tim Rainey	ICT provision is being reviewed in response to the Decant from TAC.	Tim Rainey/Nicola Smith	Ongoing
2	The demolition of TAC and rebuilding of the service centre does not run to time or budget and the specification 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 ED - Place. Budget updates reported to Strategic Capital Panel.	Effective	4	4	16	Robin Monk	Damien Bourke			
3	Failure to deliver council duties to improve the health and wellbeing of Tameside residents.	Poor health outcomes, healthy life expectancy and increasing health inequalities.	Tameside and Glossop Care Together Programme provides a clear strategic commitment to address this risk. Emerging plans and work programmes aim to improve healthy life expectancy and address health inequalities by rebalancing local investments in health and social care. Public Health team members are members/leads in strategic partnerships such as Health and Wellbeing Board, Single Commissioning Management 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 is understood, shared and acted upon.	Effective	5	3	15	Angela Hardman	Debbie Watson/Gideon Smith/Anna Moloney			
4	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	Stephanie Butterworth	Dominic Tumelty			

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5 NR	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.	Effective	5	3	15	Executive Team	Senior Management Team	The Council will deploy adequate resources to ensure that it is able to maximise the benefits.	Senior Management Team	Ongoing
6	Collection rates for Council Tax, NNDR and Sundry Debtors are affected by the economic climate.	Insufficient monies to deliver services. MTFS not delivered. Increased resources required to recover monies.	Robust recovery process in place. Attachments of Benefit/earnings are undertaken wherever possible however there are many cases for which an attachment is not possible and Bailiff action would then be required.	Effective	4	3	12	Sandra Stewart	Ilys Cookson			
7	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 forms introduced. Advice from legal. Publicity, reminders via SMT, corporate screensavers and the Wire. Information Governance Framework developed and implemented. Information Asset Register in place. Information Governance 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 and autocomplete of email addresses has been disabled in high risk areas.	Effective	4	3	12	Sandra Stewart	Aileen Johnson/Tim Rainey/ Wendy Poole			
8	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.	Procurement Standing Orders and guidance notes. Training. Internal Audit. Waivers Reports have to be approved by Finance and Legal. Review of Authority spend analysis which highlights suppliers spend over PSO thresholds and aggregate spend for further investigation. Procurement Leads group established.	Effective	4	3	12	Sandra Stewart and Executive Team	Senior Management Team and Beverley Stephens			
9	Impact on service delivery of organisational restructuring and loss of staff. If the workforce continues to decrease in overall numbers there will be reduced opportunities to make appropriate skill matches to meet the changing needs of the organisation. Impacting capacity to deliver statutory or necessary services and service redesigns/transformation is impaired.	Reduction in service quality, along with an impact on morale. Knowledge leakage with loss of experienced staff. Increase in customer complaints. Lack of capacity to deliver service transformation could impact on revenue savings and reform working. Possible reputational damage and impact on the service users and community. Potential for increase in civil claims, e.g. reduced spend on highways could increase the number and cost of compensation claims and increased fraudulent activity. Weak Cost Benefit Analysis models used to support redesign could result in financial issues.	Ongoing structured service redesigns to deliver services within funding envelopes which is monitored by ET. The Big Conversation/Budget consultations with the Tameside Community to help identify how to shape the savings targets around service delivery. GEARS/Annual Development Reviews for staff development.	Effective	4	3	12	Executive Team	Senior Management Team			

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10	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. Implications of reduced service provision not fully understood which could cause cost pressures in other areas and a drain on reserves. Staffing cuts, overspends, complaints and reputational damage. Reputational damage for the Directorate, having to find savings elsewhere, potentially impacting on staff numbers, level of service would be reduced. Failure to achieve within timescales would push future years cost pressures up impacting on future budget reductions.	Budget report presented to Council in February. MTFS updated regularly. Revenue and capital monitoring reported to ET and Board. Recovery plans in place. Service redesigns ongoing to deliver affordable services within funding envelopes. Big Conversation allows the community to help shape the new Tameside. All managers issued with funding envelopes, savings reviewed by ET/SMT, regular budget monitoring and reporting. CDT sessions to ensure managers aware of importance of achieving savings targets. Work is being undertaken by SMT to redesign the shape and size of the council. Agreed corporate projects and priorities.	Effective	4	3	12	Sandra Stewart	Ian Duncan			
11	Impact of the recession on Tameside - The economic climate affects Tameside to the detriment of residents and local businesses.	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.	Significant investment in our Town Centres including Infrastructure improvements, Vision Tameside, assisting local businesses to access funding for investment. Programme of asset disposals drive economic growth. A programme of support for Employment and Skills.	Effective	4	3	12	Robin Monk	Damien Bourke			
12	The ICT development programme does not keep pace with organisational priorities and challenges facing Council services during the future changes to location and premises. Technical solutions and enhanced performance capacity are not available at the required pace to support major transformational change, budget savings and delivery of business as usual.	Loss or disruption of services. 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.	ICT Strategy being reviewed. Software and hardware being trialled and evaluated for effectiveness of use, so go live procedures work as required. Future planning in place for on going compliance with the PSN requirements. Ability to work without connection to network being reviewed.	Effective	4	3	12	Robin Monk	Tim Rainey			
13	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.	Effective	4	3	12	Sandra Stewart	Wendy Poole/ Sarah Dobson			
14	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 Butterworth	Sandra Whitehead			

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15	Increased demand for services due to demographic changes - Tameside is unable to meet the needs of its ageing population 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. POPP's project example of this. Working with key partners to examine options for integrated pathway working and efficiency delivery.	Effective	4	3	12	Stephanie Butterworth	Stephanie Butterworth	Development of the Integrated Care Organisation	Sandra Whitehead	April 2017
16	Work on public service reform does not deliver the expected savings and impact on the Community. The internal ability to deliver Public Sector Reform, the savings and transformation agenda is vulnerable to capacity constraints, financial restraints and external policy.	The partners' expectations and performance indicators are not met and could create lack of enthusiasm for working in this way. Potential for reputational damage if the Community does not understand why we are working this way and the benefits to them.	Multi - Agency Communities Teams in place from May 2016. Identification of risk in the community include mental health, ASB and domestic abuse. Key priorities to be addressed to create stronger communities include school readiness, transition into adult hood, worklessness and ageing.	Effective	4	3	12	Stephanie Butterworth	Emma Varnum			
17 NR	Adverse impact on the organisation due to the review of Employee Terms and Conditions.	Loss of staff, demotivated workforce. Non achievement of financial savings identified. Potential legal challenge.	Full consultation with staff and trade unions. Governance in place and feedback from the consultation reported to Cabinet. Update provided to Corporate Delivery Team for briefing to staff. Details provided in Chief Executive's Brief. Project Team working on the changes to contracts and Internal Audit will provide assurance that the changes are correct and that the Payroll system (iTrent) reflects the correct changes.	Effective	4	3	12	Sandra Stewart	Tracy Brennand	Proposed changes to contracts and iTrent are being reviewed, Internal Audit to undertake assurance work by end of May 2016.	Tracy Brennand/ Wendy Poole	May/June 2016
18 NR	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.	Deficit recovery planning support in place. The Council is only liable for a deficit if it instigates the associated Academy conversion. Local Partnerships are undertaking a review of the PFI contracts currently in place to determine the opportunities to reduce cost and ensure affordability over the contract duration. Support services to schools will be reviewed during 2016/17. 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	Sandra Stewart/ Robin Monk/ Stephanie Butterworth	Damien Bourke/ Bob Berry/ Ian Duncan	Review of support services to schools to be undertaken, new arrangements to be implemented by April 2017.	Ian Duncan/ Tracy Brennand	April 2017
19	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 requirements. This includes reduced dependency on residential care and increased independent living at home at lower cost.	Effective	4	3	12	Stephanie Butterworth	Sandra Whitehead			
20	More frequent extreme weather due to climate change - more frequent occurrences e.g. Flooding, Heat waves, heavy snow and wind damage due to storms.	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.	24/7 Civil Contingencies team supported by operational services that can react to any climate related event.	Effective	5	2	10	Robin Monk	Ian Saxon			

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21	Delivery of Services - Failure to provide an appropriate Civil Contingencies response to an incident or emergency affecting the community or the Council.	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.	Corporate Business Continuity Plans in place supported by Directorate BCP's, Executive/IMT Plan. Subsequent development is underway to review BC process, delivery and planning. Emergency Plan, Community Risk Register, Statutory Duties. Director on Call in place and a Forward Incident Officer. Regular meetings and forums with Blue Light services and other LAs.	Effective	5	2	10	Robin Monk/ Sandra Stewart	Ian Saxon/ Wendy Poole	Business Continuity system is under review to meet with the needs of the Council.	Wendy Poole	October 2016
22	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.	The Council has invested in the creation of a new School Performance and Standards Team as well as adding capacity in other areas of the education service which all support the school improvement agenda. A clear strategy is in place to support schools which is regularly monitored by the Council's Education Attainment Improvement Board.	Effective	5	2	10	Stephanie Butterworth	Bob Berry			
23	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. There is a strategy in place which is considered by Strategic Planning & Capital Monitoring Group & disposals approved by Cabinet. There is a process in place to delivery £45m over 3 years.	Effective	3	3	9	Robin Monk	Damien Bourke			
24	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 due to the uninsured claims having to be settled with none budgeted funds.	Annual renewal process. Insurance contract let every 5 years. Advisors assist in process. Experienced staff in place.	Effective	4	2	8	Sandra Stewart	Wendy Poole			
25	Pension Fund investments do not provide the appropriate/anticipated level of return/income, to support the development of the fund.	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	Steven Taylor/Paddy Dowdall			
26	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	IT Back-Up system in place. Daily and weekly back ups taken. Back ups are stored off site. Server room developed in Hyde. Horizon scanning for future developments and improvements. Information Governance Framework in place, all staff should be reviewing the files they have as part of the 'Decant Project'. Information Asset Registers in place. retention Policy for email in place and project to put in place EDRMS and case management for all services underway.	Effective	4	2	8	Robin Monk	Tim Rainey/Julie Hayes			

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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 Executive Team and Board.	Effective	4	2	8	Executive Team	Senior Management Team			
28	Failure to target resources at the right families with the right intervention across early years and worklessness settings.	Financial and reputational implication of work and contacts. Improvements not achieved in accordance with the government funded scheme.	Early Years is a key strategic priority, including new commissioning responsibilities for HV/FNP. Worklessness a key strategic priority for new Communities teams in operation from May 16.	Effective	4	2	8	Stephanie Butterworth	Dominic Tumelty/Emma Varnum			
29 NR	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 initial response to Government. Professional advice will be sought throughout process.	Effective	4	2	8	Sandra Stewart	Euan Miller	Final submission of pooling proposals to be submitted to Government by 15 July 2016 - Successful pooling outcome will result in improved net investment returns and lower employer contribution rates	Euan Miller	July 2016
30 NR	Failure to reconcile Guaranteed Minimum Pension (GMP) data prior to the HMRC notifying citizens in 2018 of their accrued GMPs and the authorities responsible for them.	A great deal of failure demand and loss of reputation. Incorrect amounts of pensions may be paid.	Quotes are to be sought regarding having the GMPF/HMRC data surveyed to assess the scale of the work that is going to be involved.	Effective	4	2	8	Sandra Stewart	Ged Dale	The results of the survey will inform future actions.	Ged Dale	September 2016
31	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 for corporate fraud. Whistleblowing policy in place. Management are responsible for the control environment and this is tested as part of the Annual Governance Statement process as Executive Directors sign assurance letters.	Effective	3	2	6	Sandra Stewart	Wendy Poole			
32	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.	A well established Strategic Neighbourhood Partnership and sub groups are established. With regular tension and performance monitoring through THAP group. 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	Stephanie Butterworth	Emma Varnam			