

## RISK(S) AND ISSUE(S) LOG 2013/14

PERIOD	9
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DIRECTORATE		RISK RATING			TOTAL
		HIGH	MEDIUM	LOW	
ESCW	ISSUES COUNT	2	8	1	11
	AMOUNT	£1,895k	£1,268k	£100k	£3,263k
D&R	ISSUES COUNT	0	2	0	2
	AMOUNT	£0k	£220k	£0k	£220k
CHEX	ISSUES COUNT	0	0	0	0
	AMOUNT	£0k	£0k	£0k	£0k
RES	ISSUES COUNT	0	0	1	1
	AMOUNT	£0k	£0k	£202k	£202k
CLC	ISSUES COUNT	0	1	1	2
	AMOUNT	£0k	£495k	£600k	£1,095k
CORP	ISSUES COUNT	0	0	1	1
	AMOUNT	£0k	£0k	£150k	£150k
GRAND TOTAL	ISSUES COUNT	2	11	4	17
	AMOUNT	£1,895k	£1,983k	£1,052k	£4,930k

Probability Key	Severity Key
High (H) – 66%+ Probability of risk being realised.	High (H) - NO Savings achieved and there are no cover off options available.
Medium (M) – 34-65% Probability of risk being realised.	Medium (M) - Savings will be achieved but with a slippage to original target date OR Partial Savings achieved with remainder covered off.
Low (L) – <33% Probability of risk being realised.	Low (L) – Savings will be fully achieved, however there may be a slight slippage (should still achieve savings in financial year)

Issue Type Key
F = Financial T = Time L = Legal/Regulatory M = Member/Mayoral Decision O = Other (enter details into comment field)

## RISKS AND ISSUES LOG - Education Social Care and Wellbeing (ESCW)

Probability Key	Severity Key
High (H) – 66%+ Probability of risk being realised. (Risk Factor: 3)	High (H) - NO Savings achieved and there are no cover off options available. (Risk Factor: 3)
Medium (M) – 34-65% Probability of risk being realised. (Risk Factor: 2)	Medium (M) - Savings will be achieved but with a slippage to original target date OR Partial Savings achieved with remainder covered off. (Risk Factor: 2)
Low (L) – <33% Probability of risk being realised. (Risk Factor: 1)	Low (L) – Savings will be fully achieved, however there may be a slight slippage (should still achieve savings in financial year). (Risk Factor: 1)

  

Issue Type Key
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Log No	Prog. Ref	Programme Description	Issue Type	Mitigation Strategy	Probability	Severity	RATING	Slippage Amount (£000s)	% Slippage	Owner	Date Identified	Target Resolution Date	Status	Comment(s)
2	AHWB/3	LD day services	F	Negotiation with providers	H	M	6	369	100	Barbara Disney	01/03/2013	15/10/2013	UNRESOLVED	Decision to keep existing clients with providers not on new framework agreement, who have not agreed to lower rates. Negotiations have concluded resulting in these providers being moved onto spot purchase arrangements. This should reduce expenditure as we will not be paying for non-attendance but current estimates are that this reduction will be relatively small representing a risk to £369k of savings. Spend is currently being monitored closely and the directorate is identifying alternative ways of covering this risk in 2013-14.
3	AHWB/1	reablement	O	Robust monitoring of care package costs. Cautious estimate of savings based on Fwi report rather than higher figure from reablement service. Triangulated with information on home care costs.	M	M	4	400	80	Christine Oates	01/03/2013	30/06/2013	UNRESOLVED	Risk that reablement is unable to realise a saving. Costs of care packages before and after reablement are being monitored. Currently directorate is assuming no savings will accrue and alternative savings have been identified. Work has now identified £100k savings which are captured on tracker.
4	AHWB/2	MH resettlement	M	Close monitoring of commissioning budget	M	M	4	200	31	Richard Fradgley	01/03/2013		UNRESOLVED	in borough supported schemes have slipped from planned go live October 2013. Slippage is being met from supporting people reserves. Remainder coming from negotiated reduction in costs of new placements, and work to reduce the number of new residential placements. Budget projections currently suggest that target will be met.
5	AHWB/2	LD resettlement	L	Close monitoring of progress with ordinary residence cases. Early involvement of Legal Services where appropriate.	M	M	4	73	15	Barbara Disney	01/03/2013	31/10/2013	UNRESOLVED	Risk that ordinary residence transfers are not achieved following legal challenge from receiving boroughs. As at December 13 there are 2 transfers pending final confirmation of transfer. These cases are expected to be resolved in January 2014.
6	SSP/7	Dom. Care recommissioning	O	Action being taken to resolve issues with EHCM. Budget contingency identified in the event that saving is not achieved.	H	H	9	495	100	Keith Burns	01/03/2013	31/10/2013	UNRESOLVED	Risk that issues with electronic homecare monitoring (EHCM) compromises ability to realise savings that were due to come from reducing spend on non-delivered hours. As at 2/10/13 EHCM is now up and running but a full payment cycle has not yet been achieved. There is a risk of a failure to track savings being achieved. This is being closely monitored.
7	Lean 1/2/3	Mgt and admin; review of commissioning functions; topslice gap	T	Project in place with robust governance structure; identification of cover-offs via CEB	H	M	6	226	27	Anthony Walters	01/03/2013	31/10/2013	UNRESOLVED	Risk that saving will not be achieved in 2013-14 due to delays in phase 2 directorate integration support services review. Permanent savings have been found for all but £226k of this saving. Proposals to contribute to the remaining savings are being made to DMT in January 2014.
8	Lean 1/2/3	Mgt and admin; review of commissioning functions; topslice gap	O	Project in place with robust governance structure; identification of cover-offs via CEB; no compulsory redundancy guarantee	H	M	6			Anthony Walters	01/03/2013	31/10/2013	UNRESOLVED	Savings are dependent on post reduction from Phase 2 Integration. This will be challenging without redundancy
10	AHWB2(2013); CSF2(2013)	Vacancy management	O	close monitoring of vacancy rate and action to reduce agency usage	H	H	9	1400	39	Kate Bingham	30/04/2013	31/10/2013	UNRESOLVED	There is a risk that the level of vacancies after agency cover is taken into account is too low for the saving to be realised. Regular monitoring of vacancy and agency usage rates and scrutiny/ challenge to budget managers is in place via CEB
13	CSF4(2012)	Single view of the child	O	Project governance (in place)	M	M	4	0	100	Iqbal Vaza	30/04/2013	31/12/2013	UNRESOLVED	There have been delays in identifying a technical solution and there is a risk that no feasible solution may be found; as a result the savings may not be realised (minimal 2013-14 but more in 2014/15). As at 2/10/13 OBC has now been agreed, and project is progressing to full business case. It is anticipated that this will be completed by end December 2013 at which point it will be clear how much of the savings target for 2014-15 will be achieved.
15	IO/1	Income from school support services	F	Income monitoring via new SLA Online system	L	L	1	100	100	Anthony Walters	30/04/2013	20/07/2013	UNRESOLVED	There is a risk that income from trading activity does not increase sufficiently to meet this target. Our new online trading system has improved monitoring of income and figures so far suggest that income has increased. However much of this income will be offset by increased costs. The directorate is currently assuming that no additional savings will be made this year and alternative measures are in place.
16	Lean 1/2/3	Mgt and admin; review of commissioning functions; topslice gap	F	Monitoring of corporate review of Public Health function	M	M	4			Anthony Walters	13/06/2013	31/10/2013	UNRESOLVED	Due to the ongoing corporate review of the Public Health function and its location, there is a risk that the plan to gain efficiencies of scale by absorbing Public Health support requirements in the new support services design may be compromised.

## RISKS AND ISSUES LOG - DEVELOPMENT & RENEWAL (D&R)

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1	BAM/1	Reduction in maintenance costs resulting from surplus asset disposals	M	Alternative savings from Asset portfolio will be investigated to cover off	H	M	6	95	95	Dave Clarke	01/04/2013	Q4	UNRESOLVED	Off Track - in Hand. Pending final agreements with Members.
2	BAM/1	Asset Rationalisation/co-location	O		M	M	4	125	125	Dave Clarke	01/04/2013	Q4	UNRESOLVED	This is pending the finalisation of the corporate landlord model. Expected by Q4 of 2013/14
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							0							

## RISKS AND ISSUES LOG - RESOURCES (RES)

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1	RES 4 (2012)	Rationalisation of One Stop Shops	O	Alternative opportunities being investigated	L	M	3	202	202		01/04/013	Q4	UNRESOLVED	Proposals to achieve this through closure of one stop shops currently not going ahead. An alternative proposal was presented to MAB SARP in September and was rejected. Resources DMT to consider alternative savings options. Will currently be mitigated through one-off vacancy management
							0							

## RISKS AND ISSUES LOG - COMMUNITIES LOCALITIES & CULTURE (CLC)

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1	SSP 10	Leisure Service Efficiencies	F	Any underachievement will be covered off from alternative budgets	M	M	4	495	495	Stephen Adams	01/04/2013	31/03/2014	UNRESOLVED	Risk remains unknown until the second half of the year when the extent of the surplus can be identified.
4	CLC 8 (2012)	Advertising Opportunity	T	Any underachievement will be covered off from alternative budgets	H	L	3	600	600	Stephen Adams	01/04/2013	01/01/2014	UNRESOLVED	Project plan in place but has been delayed, resulting in saving slipping into 2014/15. Alternative budgets will be identified to cover off slippage in 2013/14
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							0							

## RISKS AND ISSUES LOG - CORPORATE (CORP)

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1	CORP 4 (2013)	Treasury Management Investment Income	F	Alternative proposals around utilisation of overall budget slippages are being evaluated	L	M	2	150	150	Paul Thorogood	31/07/2013	31/08/2013	RESOLVED	Alternative proposals around utilisation of overall budget slippages are being evaluated
2							0							

### RISKS AND ISSUES LOG - CHIEF EXECUTIVE'S (CHEX)

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1							0							
2							0							
							0							

2

0

