

The Strategic Risk Management log for 2005/06 – Internal Audit Coverage

	Countywide Themes	Likelihood (4 = high)	Lead Coordinating Officer on behalf of COMT	Extent of Internal Audit Coverage
1	Failure to recruit and retain key staff in particular areas.	3	Andrew Ogden	<ul style="list-style-type: none"> Employee Appointment Review (Chief Executive's)
2	Capacity overload, in terms of necessary change initiatives, falling on a relatively small number of key staff across the Council but also impact on the maintenance of existing core deliverables (e.g. LAA, RP&R, CBOSS, Children's Agenda, ASC etc).	4	Andrew Ogden	<ul style="list-style-type: none"> No specific IA work in 06/07
3	Failure to maintain both the morale and improving motivation, of all staff, but also addressing key cultural barriers to Council-wide improvement.	2	Cheryl Miller	<ul style="list-style-type: none"> No specific IA work in 06/07
4	Failure to meet the challenge of reconciling and sustaining the all round improvement agenda and policy priorities with the future resource outlook and short term capping threat – and ensuring the maximum contribution from the efficiency agenda.	4	Sean Nolan	<ul style="list-style-type: none"> Budgetary Control (CRD)
5	Failure to maintain effective and robust resource management – including issues arising out of disaggregation/new departmental structures.	2	Sean Nolan	<ul style="list-style-type: none"> Budgetary Control (CRD)
6	Failure to avoid the almost generically risky and volatile budget areas (e.g. Social Care, special needs, home to school transport etc.) dominating, in financial terms, other service priorities	4	Sean Nolan	<ul style="list-style-type: none"> Budgetary Control (CRD) ASC Transformation Project (ASC) Passenger Transport (T&E)
7	Failure to achieve a general 'steady state' and successful 'schools' successful replacement core back office systems solution.	2	Sean Nolan	<ul style="list-style-type: none"> SAP Future Phases (CRD) SAP 'Managed Audit' Reviews (CRD) School's BuS Project (Children's Services)
8	<p>Reputational damage to the Council's sense of confidence and motivation from:</p> <ul style="list-style-type: none"> Failure to manage, effectively, communication of controversial areas. Single major avoidable incident/failure 	<p>2 1 2</p>	<p>Becky Shaw Cheryl Miller Cheryl Miller</p>	<ul style="list-style-type: none"> Corporate Governance (Chief Executive's)

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	<ul style="list-style-type: none"> • External assessments (e.g. CPA, CSCI) • Residents “sense” and “feel” improvements • Avoidable service mistakes 	2 2	Becky Shaw Cheryl Miller	
9	Failure to handle, successfully, the increasingly complex partnership agenda (e.g. LAA)	4	Becky Shaw	<ul style="list-style-type: none"> • Local Area Agreements (Chief Executive's) • Partnerships Follow Up (Chief Executive's) • Corporate Governance (Chief Executive's)
10	Failure to achieve expected standards in key service areas or deterioration in high performing areas	2	Andrew Ogden	<ul style="list-style-type: none"> • Corporate Governance (Chief Executive's) • Risk Management (CRD)
11	Failure to Manage massive organisation changes (e.g. Children's, Adult Social Care)	2	Andrew Ogden	<ul style="list-style-type: none"> • ASC Transformation Project (ASC) • School's BuS Project (Children's Services) • SAP Future Phases (CRD)
12	Failure to be truly customer focussed (including access and local presence)	3	Sean Nolan	<ul style="list-style-type: none"> • Contact Centres and Distributed Hubs (CRD ICT)
13.	Failure to work effectively at locality level.	3	Becky Shaw	<ul style="list-style-type: none"> • Partnerships Follow Up (Chief Executive's)
14	Failure to secure coherent “Age Well” PFI or PPP Scheme (ASC)	3	Keith Hinkley	<ul style="list-style-type: none"> • Agewell (ASC)
15	The risk of the current significant overspend in the local health economy resulting in cost shunting and other risks for Adult Social Care (ASC)	4	Keith Hinkley	<ul style="list-style-type: none"> • ASC Transformation (ASC) • Budgetary Control (CRD)
16	Risks to service continuity for ASC from the disaggregation of social services into new departments (ASC).	3	Keith Hinkley	<ul style="list-style-type: none"> • Overall ASC and Children's Services Coverage
17	Risk from managing significant budget savings against a backdrop of rising demand (ASC).	4	Keith Hinkley	<ul style="list-style-type: none"> • ASC Transformation (ASC) • Budgetary Control (CRD)
18	Failure to achieve a coherent approach to Delayed Discharges and the necessary partnership working (ASC).	4	Keith Hinkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
19	Failure to secure a successful post 16 Review – regardless of the decision.	3	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07

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20	Failure to ensure ‘owned’ governance arrangements, and ‘owned’ children and young people plans, for the developing Children’s Trust.	3	Matt Dunkley	<ul style="list-style-type: none"> • Children’s Trusts (Children’s Services)
21	Impact on PCT engagement, with core council policies, from their possible reorganisation (Children’s).	4	Keith Hinkley	<ul style="list-style-type: none"> • Joint Commissioning – Mental Health Services (ASC) • Health Authority Recharges (ASC) • Pooled Budget Arrangements (ASC)
22	Failure to properly establish new Children’s Department and ensure an appropriate balance between ‘twin pillars’ and change agenda.	3	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
23	Disruption of support and other services from the establishment of a new Children’s Department.	3	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
24	Coherence of developing Youth Services and Connexions agenda.	3	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
25	Risk of completing and contradictory school improvement leadership from “School Improvement Partners”.	4	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
26	Failure on major school build and design issues (e.g. Rye and Tideway).	2	Matt Dunkley	<ul style="list-style-type: none"> • Capital Project Management (CRD)
27	Failure to deliver, within the resource and time constraints, the Children’s Centre build programme.	4	Matt Dunkley	<ul style="list-style-type: none"> • Children’s Centres (Children’s Services)
28	Failure to secure government funding for the refurbishment of Lansdowne Secure Unit.	4	Matt Dunkley	<ul style="list-style-type: none"> • No specific IA work in 06/07
29	Waste – failure by the contractor to deliver necessary planning applications.	4	Bob Wilkins	<ul style="list-style-type: none"> • IWSMC (T&E)
30	Negative impact of the Landfill Allowance Trading Scheme (Waste)	4	Bob Wilkins	<ul style="list-style-type: none"> • No specific IA work in 06/07
31	Failure in Key Waste delivery plans and milestones.	4	Bob Wilkins	<ul style="list-style-type: none"> • IWSMC (T&E)
32	Failure to secure the Bexhill/Hastings link road scheme with proper funding.	4	Bob Wilkins	<ul style="list-style-type: none"> • Capital Project Management (CRD)
33	Failure to secure an effective scheme for the Southeram/Beddingham A27.	3	Bob Wilkins	<ul style="list-style-type: none"> • Capital Project Management (CRD)
34	Failure to ensure smooth and effective handover arrangements to the new Highways Contractor.	2	Bob Wilkins	<ul style="list-style-type: none"> • Renewal of Outsource Contracts (T&E)

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35	Failure to ensure adequate records storage capacity when current capacity is used up within 2 years.	4	Andrew Ogden	<ul style="list-style-type: none"> • Electronic Document Records Management Project (CRD ICT)
36	Failure to work effectively, internally or with partners, to manage the full range of travellers' issues.	3	Becky Shaw	<ul style="list-style-type: none"> • No specific IA work in 06/07
37	Failure of the Hastings and Bexhill Taxforce to ensure a coherent outcome for the area objectives and remain within legal constraints.	3	Cheryl Miller	<ul style="list-style-type: none"> • No specific IA work in 06/07