

# Risk Register Report

## Risk Register - Corporate Risk Register

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>2</b>	<b>Red</b>	<b>2</b>	<b>Total</b>	<b>5</b>	0	0	0
Net Risk Level Changes		1	7	↑	1	5	↑	3	7	↑
								0	0	0
								0	0	0
								0	0	0


Editor: Jahnvi Jagadish

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
Risks to the MTFS delivery ( 2024/25 - 2026/27) due to pressures in Children's Services, pressures in Social Care and inflationary pressures	SMBCC0133	Andrew Felton	<div style="width: 64%; background-color: yellow;"></div> 64 % complete	06/01/2011	16/07/2024	16/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Significant demand in Children's services - JTAI (joint targeted area inspection) of Children's Services leading to improvement plan - Adult Social care demand - High Inflation Levels - Higher than budgeted pay award - Cost of living impact	- Council may not be able to deliver all its priorities. - Reductions in services - The Council may not be able to pursue investment opportunities.	Red  25	• Use of Business Rates Windfall <i>Andrew Felton</i>	In Place		100	Red	
			• Strict monitoring of Budget Delivery by CLT <i>Andrew Felton</i>	In Place		100	5. Very High	
			• Use of Budget Strategy Reserve <i>Andrew Felton</i>	In Place		100	5. Very High	
			• Regular lobbying of government for further funding <i>Andrew Felton</i>	In Place		100		
			• Some service specific reserves are in place <i>Andrew Felton</i>	In Place		100		
			• Financial Sustainability Board formed which will develop a workplan for identification of savings/ mitigations required <i>Andrew Felton</i>	In Place		100		
			• Short-term spending controls and identification of further one-off measures to manage budgets. <i>Andrew Felton</i>	In progress	24/02/2025	50		
			• Explore transformation options and income generating opportunities <i>Andrew Felton</i>	In progress	24/02/2025	50		
• Fundamental review of the level of services affordable <i>Andrew Felton</i>	Planned	30/09/2024	0					

		<ul style="list-style-type: none"> <li>• Commit to the delivery of savings agreed by the FSB through the formal budget setting process from September 2024- January 2025 <i>Andrew Felton</i></li> <li>• Potential, further use of capital receipts flexibility rules to use capital receipts to fund revenue expenditure <i>Andrew Felton</i></li> </ul>	Planned	30/09/2024	0	
			Proposed	24/02/2025	0	

**Review Comments** Risk score has been increased to a red 9. The Chief Executive has formed a Financial Sustainability Board as a subset of CLT which will develop a workplan for identification of savings / mitigations required for 2024/25-2026/27.  
16/07/2024

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review		
Failure to achieve a balanced budget in the context of unprecedented pressures, which could significantly limit the delivery of other services for Children	SMBCC0147	Beate Wagner	98 % complete	23/05/2018	23/07/2024	23/08/2024		
Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- Unprecedented demand for Children Social Care Services at national level</li> <li>- Unpredictable demand for looked after children placements</li> <li>- Increased demand for special school places which through necessity is typically met with out of borough placements causing additional costs on the SEND transport budget</li> </ul>	<ul style="list-style-type: none"> <li>- Impact on outcomes for children and young people</li> <li>- Reduction in other areas of service delivery in order to cover cost of acute services</li> <li>- Financial implications</li> <li>- Legal implications</li> <li>- Reputational damage</li> </ul>	Red 25	<ul style="list-style-type: none"> <li>• Financial Recovery Plan overseen by the Director of Children's Services &amp; reporting to the Chief Exec &amp; Leader of the council <i>Beate Wagner</i></li> </ul>	In Place		100	Red 20	15  5
			<ul style="list-style-type: none"> <li>• Ensure robust commissioning and procurement of appropriate cost effective education placements to meet children's needs <i>Tim Browne</i></li> </ul>	In Place	100	5. Very High		
			<ul style="list-style-type: none"> <li>• SEND Improvement Board established <i>Tim Browne</i></li> </ul>	In Place	100			
			<ul style="list-style-type: none"> <li>• Development of workforce Strategy <i>Beate Wagner</i></li> </ul>	In Place	100			
			<ul style="list-style-type: none"> <li>• Monthly Children's Social Care financial modelling <i>Beate Wagner</i></li> </ul>	Complete	100			
			<ul style="list-style-type: none"> <li>• Review of Sufficiency Strategy completed <i>Aimee Wright</i></li> </ul>	Complete	100			
			<ul style="list-style-type: none"> <li>• Use of budget strategy reserve approved by full council. <i>Beate Wagner</i></li> </ul>	Complete	100			
			<ul style="list-style-type: none"> <li>• Joint Additional Needs Strategy and delivery plan in place <i>Beate Wagner</i></li> </ul>	In Place	100			
			<ul style="list-style-type: none"> <li>• Reshaping of Education services – completed <i>Tim Browne</i></li> </ul>	Complete	100			
			<ul style="list-style-type: none"> <li>• Graduated approach for children and young people with additional needs <i>Tim Browne</i></li> </ul>	In progress	31/08/2024	70		
<ul style="list-style-type: none"> <li>• Review of Specialist Commissioning Strategy <i>Tim Browne</i></li> </ul>	Complete	100						

		<ul style="list-style-type: none"> <li>• Future Funding agreed as part of MTFS (as at 24.02.22) <i>Tim Browne</i></li> <li>• Development of the Edge of Care Service linked to Social Care Improvement Plan <i>Beate Wagner</i></li> <li>• Childrens Improvement Plan regularly updated and progressed <i>Beate Wagner</i></li> </ul>	Complete		100	
			In Place		100	
			In Place		100	




**Review Comments** Period 3 Quarter 1 shows a significant overspend currently forecast. We continue to robustly tackle this including review of Home to School Transport , Social Care e.g. use of taxi's, staffing, placements as well as the impact of other key BAU improvement programmes.  
23/07/2024

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review		
Failure to secure sufficient funding to deliver the UK Central Programme	SMBCC0144	Mary Morrissey	<div style="width: 91%; background-color: yellow;"></div> 91 % complete	08/06/2017	18/07/2024	18/10/2024		
Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Lack of funding in the West Midlands Combined Authority (WMCA) Investment Programme - Pace at which the UK Central Programme needs to progress compared to when funding might be available - Date by which funding commitments need to be given to HS2 Limited for them to change their base scheme.	- The full economic growth potential of UK Central is not realised. - Infrastructure and wider projects in the UK Central programme do not get funded. - Muse/Arden Cross do not progress with development.	Red	<ul style="list-style-type: none"> <li>Regular communication with WMCA Finance Director and Investment Director on funding position of the CA Investment Programme. <i>Andrew Felton</i></li> </ul>	In Place		100	Amber	
		25	<ul style="list-style-type: none"> <li>Quarterly funding claims are made to WMCA <i>Mary Morrissey</i></li> </ul>	In Place		100	3. Medium	
			<ul style="list-style-type: none"> <li>Regular dialogue with stakeholders about funding requirements for the UKC hub site. <i>Mary Morrissey</i></li> </ul>	In Place		100	5. Very High	
			<ul style="list-style-type: none"> <li>Updated MUSE Masterplan being developed for the Arden Cross site <i>Mary Morrissey</i></li> </ul>	In progress	30/09/2024	50		
			<ul style="list-style-type: none"> <li>Submit change requests to reallocate WMCA funding secured by the UGC to UK Central priorities <i>Mary Morrissey</i></li> </ul>	In Place		100		
			<ul style="list-style-type: none"> <li>Rigorous project and financial management arrangements in place <i>Mary Morrissey</i></li> </ul>	In Place		100		
			<ul style="list-style-type: none"> <li>Governance of former UGC activity to be consolidated into UKC PMO to approve/monitor project progress &amp; financial commitments <i>Mary Morrissey</i></li> </ul>	In Place		100		
			<ul style="list-style-type: none"> <li>Contributions from other funding bodies &amp; partner contributions being pursued as an alternative source inc EBNS LUZ &amp; HE <i>Mary Morrissey</i></li> </ul>	In progress	30/06/2025	55		
	<ul style="list-style-type: none"> <li>Live pipeline of projects maintained to access grant funding for wider UKC objectives <i>Perry Wardle</i></li> </ul>	In Place		100				

			<ul style="list-style-type: none"> <li>• Build strong business cases, incl securing resources for delivery &amp; resilience. <i>Mary Morrissey</i></li> </ul>	In Place		100	
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**Review Comments** Updated to reflect current position of Arden Cross Development. July 2024.  
18/07/2024

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review		
Employee or relevant contractor harmed due to lack of awareness of warning markers when dealing with a person, property or location	SMBCC0171	Andrew Felton	<div style="width: 77%; background-color: yellow;"></div> 77 % complete	14/03/2024	19/07/2024	19/10/2024		
Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Insufficient use of the Corporate Warning Marker Register for checking markers before visits - Absence of technology to link addresses/ calendars and send emails before visits - Absence of systems for sharing information with extended SMBC employee base e.g schools - Lack of system for receiving markers from other agencies	- Serious injury or harm to employee impact staff wellbeing and morale - Failure to demonstrate we meet our statutory duty to keep employees safe Significant fines / prosecution for non-compliance of health and safety and data protection legislation - Unintended escalation of a situation in the absence of background data - Risks to customers themselves	<b>Red</b>  25	• Lone working survey feedback to inform Corporate Warning Marker Board actions <i>Lizzie Edwards</i>	In progress	30/07/2024	50	Amber	5  7
			• Manager induction checklist to include sharing information on warning markers <i>Mark Wills</i>	In progress	31/07/2024	50	3. Medium	
			• Employee handbook updated to include information of the need to use the Warning Marker System <i>Mark Wills</i>	In progress	31/07/2024	50	4. High	
			• ICT colleagues exploring options on system enhancements to integrate staff workflow with warning marker database <i>Lizzie Edwards</i>	In progress	30/09/2024	50		
			• Focussed discussions with Information Governance and Legal teams on mechanics of information sharing with external agencies <i>Mark Wills</i>	In progress	31/12/2024	50		
			• Monthly usage reports marked against expected use to show where to concentrate our efforts <i>Lizzie Edwards</i>	In Place		100		
			• Ongoing Communications through the communications team. Communications plan refreshed annually <i>Lizzie Edwards</i>	In Place		100		
			• New member induction to include information on Warning Marker system to increase councillor awareness <i>Mark Wills</i>	In Place		100		
• Processes in place for sharing information with relevant contractors <i>Lizzie Edwards</i>	In Place		100					

		<ul style="list-style-type: none"> <li>• Procedures developed to assist employees understand how to search and raise markers <i>Lizzie Edwards</i></li> <li>• Corporate Warning Marker Board has representation from all directorates and SCH and robust governance and reporting arrangements <i>Lizzie Edwards</i></li> <li>• System in place to reconcile data held on Warning Marker system with other databases <i>Lizzie Edwards</i></li> <li>• Data shared at DLTs on comparative performance (usage) with actions to focus on to improve usage <i>Lizzie Edwards</i></li> <li>• Updated Corporate Warning Marker policy approved by Governance Committee <i>Lizzie Edwards</i></li> </ul>	In Place		100	
			In Place		100	
			In Place		100	
			Proposed	31/07/2024	33	
			Complete		100	

**Review Comments** Risk has been updated by the Warning Marker Board in July , all mitigations are progressing as expected.  
19/07/2024



Risk Title		Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review	
Failure of the Council as landlord to keep residents safe in SCH managed homes.		SMBCC0168	Mary Morrissey	<div style="width: 83%; background-color: yellow;"></div> 83 % complete	06/09/2023	16/07/2024	16/10/2024	
Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- Incorrect interpretation of and compliance with current legislation, particularly the Building Safety and Fire Safety Acts and Regulations.</li> <li>- Not preparing for emerging and future legislation and regulation.</li> <li>- Not designating roles and accountability in line with the legislation.</li> <li>- Not having robust action and delivery plans in place.</li> <li>- Lack of effective assurance, oversight and challenge of the action and delivery plans.</li> <li>- Lack of robust governance arrangements in SMBC and SCH.</li> <li>- Non compliant building materials</li> </ul>	<ul style="list-style-type: none"> <li>- Injury and fatality (residents and workforce)</li> <li>- Building Safety Regulator intervention and enforcement.</li> <li>- Prosecution, including individual and corporate action.</li> <li>- Financial loss.</li> <li>- Reputational damage.</li> </ul>	Amber  15	<ul style="list-style-type: none"> <li>• Expert interpretation of the legislation and provision of advice to the Principal Accountable Person. <i>Mark Willis</i></li> <li>• Designation of the Principal Accountable Person required by the Building Safety Act. <i>Mary Morrissey</i></li> <li>• A robust Building Safety Operational Plan for in scope SCH high rise/risk buildings. <i>Fiona Hughes</i></li> <li>• A Building Safety Assurance Board chaired by the PAP with representation from SCH and relevant SMBC functions. <i>Mary Morrissey</i></li> <li>• Scrutiny and challenge of building safety information by the Building Safety Assurance Board. <i>Mary Morrissey</i></li> <li>• Regular reports to the Cabinet Member for Housing, relevant scrutiny boards and CLT. <i>Mary Morrissey</i></li> <li>• Mandatory reporting of fires, fire related incidents and structural issues to Building Safety Assurance Board. <i>Fiona Hughes</i></li> <li>• Registration of the 37 high rise/risk buildings with the Building Safety Regulator and submission of key building information. <i>Darren Baggs</i></li> <li>• Preparation of Building Safety Cases for the 37 high rise/risk buildings. <i>Darren Baggs</i></li> </ul>	<ul style="list-style-type: none"> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In Place</li> <li>In progress</li> </ul>	<ul style="list-style-type: none"> <li></li> <li></li> <li></li> <li></li> <li></li> <li></li> <li></li> <li></li> <li>30/06/2024</li> </ul>	<ul style="list-style-type: none"> <li>100</li> <li>100</li> <li>100</li> <li>100</li> <li>100</li> <li>100</li> <li>100</li> <li>100</li> <li>50</li> </ul>	<ul style="list-style-type: none"> <li>Yellow</li> <li>10</li> <li>2. Low</li> <li>5. Very High</li> </ul>	<ul style="list-style-type: none"> <li>15 </li> <li>-5</li> </ul>

		<ul style="list-style-type: none"> <li>• Commissioning and completion of structural and other surveys and findings reported via gov framework. <i>Darren Baggs</i></li> </ul>	In progress	30/06/2024	50	
		<ul style="list-style-type: none"> <li>• Ensure all relevant SMBC staff have the necessary building safety training and qualifications. <i>Mary Morrissey</i></li> </ul>	In progress	30/06/2024	50	
		<ul style="list-style-type: none"> <li>• Appointment of the AD for Housing at SMBC to lead and manage assurance processes. <i>Mary Morrissey</i></li> </ul>	In Place		100	
		<ul style="list-style-type: none"> <li>• Regular reports to the SMBC Strategic Housing Board. <i>Mary Morrissey</i></li> </ul>	In Place		100	
		<ul style="list-style-type: none"> <li>• Establishment of and reporting through robust governance arrangements at SMBC &amp; SCH. <i>Mary Morrissey</i></li> </ul>	In Place		100	
		<ul style="list-style-type: none"> <li>• Remediation of non compliant spandrel panels <i>Fiona Hughes</i></li> </ul>	In progress	08/07/2024	0	

**Review Comments** Risk will form part of a combined corporate risk. New risk has been added to JCAD but is still in draft form as of July 2024. Combine risk was agreed at the Building Safety Assurance Board on the 26/06/24. MW to contact officers when live.  
16/07/2024

Registers : 1

**Children and Education Services**

Risk Register - Children's Residential Homes

Editor

Anna Stephens

**Risk Register - Children's Residential Homes**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>0</b>	<b>Red</b>	<b>1</b>	<b>Total</b>	<b>1</b>
Net Risk Level Changes							

0	0	0
0	0	0
0	0	0

Editor Anna Stephens

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
Significant cost increase in build, therefore increasing project capital cost to the council.	CYSM0012	Chantelle Bevan	<div style="width: 100%; background-color: green;"></div> 100 % complete	29/11/2023	29/02/2024	19/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
<ul style="list-style-type: none"> <li>- The buildings have been left empty and poorly maintained for a significant period of time.</li> <li>- Age of buildings.</li> <li>- Rat infestation has caused significant issues.</li> <li>- Core building survey's such as the structural survey's were unable to be completed due to bat inhabitation in all three buildings, which resulted in them taking place as enabling works once ecological licences were received for works to place with bats present.</li> <li>- Damp has caused significant damage to all plaster.</li> <li>- Structural concerns have been defined in one home.</li> <li>- All floors do not have the correct ventilation, this is due to their original instillation coupled with the no heating in the homes.</li> <li>- Further asbestoses was located which had to be removed, these works have consumed a significant portion of the contingency budget.</li> </ul>	<ul style="list-style-type: none"> <li>- All of the above defects will lead to an increase in costs. The original plan was for the DfE grant to cover the full cost of the refurbishment. We have already applied for a further uplift which was successful, however given the new developments this will likely not be enough.</li> </ul>	Red  25	<ul style="list-style-type: none"> <li>• Complete Paper advising and requesting the additional capital funds for the project. <i>Chantelle Bevan</i></li> <li>• Value Engineering <i>Chantelle Bevan</i></li> <li>• Council has confirmed excess funds via borrowing on the premises an uplift application form sent to the DfE for 50% of the costs <i>Chantelle Bevan</i></li> </ul>	Complete		100	Red  25  5. Very High  5. Very High	

**Review Comments** Review by Risk Management on behalf of Chantelle Bevan. Additional mitigation action has been added to illustrate measures been taken to deal with cost increase.  
29/02/2024



**Risk Register - High Needs Block**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>0</b>	<b>Red</b>	<b>1</b>	<b>Total</b>	<b>1</b>
Net Risk Level Changes							

0	0	0
0	0	0
0	0	0

Editor Charlotte Jones

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
High needs block budget stabilization not achieved in planned timescales	HNBP0004	Tim Browne	<div style="width: 86%; background-color: yellow;"></div> 86 % complete	14/03/2022	24/05/2024	19/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Demand for placements exceeds forecasts - Cost of meeting demand exceeds forecasts - Realise income in terms of assumptions - Poor monitoring of data and information - Failure of inclusion developments	- Failure to contain HNB spend within HNB grant, rising accumulated deficit.	<b>Red</b>  25	• Delivering Better Value Project (DBV) <i>Charlotte Jones</i>	In progress	31/03/2025	30	<b>Red</b>  25  5. Very High  5. Very High	
			• Careful monitoring and financial evaluation of various SEND action plans <i>Charlotte Jones</i>	In Place		100		
			• Continued efforts to maintain quality of data in systems - Liquid Logic <i>Charlotte Jones</i>	In Place	31/01/2024	100		
			• Development of updated DSG Management Plan 2024/25 to reflect outturn and demographic/demand changes <i>Tim Browne</i>	Planned	31/01/2025	20		
			• Refine forecasting model <i>Steve Fenton</i>	Complete	01/09/2023	100		
			• Commissioning framework - Annual refresh each September <i>Steve Fenton</i>	Complete		100		
			• Robust commissioning and contract processes <i>Aimee Wright</i>	Complete	31/08/2023	100		
			• Robust post 16/post 19 placements <i>Charlotte Jones</i>	Complete		100		
			• Maintain quality of data in Education database <i>Steve Fenton</i>	Complete	31/01/2024	100		
• Develop DSG Management Plan <i>Steve Fenton</i>	Complete	22/01/2024	100					

**Children and Education Services**

**Risk Register - High Needs Block**

Editor

Charlotte Jones

			<ul style="list-style-type: none"><li>• New forecasting model for DSG HNB <i>Donna Wright</i></li></ul>	Complete	01/05/2024	100	
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**Review Comments** DSG management Plan being reset in the light of changing demographics  
Rollout of DBV continues, however this will not bring the HNB back into an in-year balance or address the cumulative deficit.  
24/05/2024





**Risk Register - SEND 0-25**

Net Risk Level Summary

<b>Green</b>	<b>0</b>	<b>Amber</b>	<b>0</b>	<b>Red</b>	<b>1</b>	<b>Total</b>	<b>1</b>
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Net Risk Level Changes

0	0	0
0	0	0
0	0	0

Editor Charlotte Jones

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
Pressure on the SEND Transport budget	SENDS0004	Tim Browne	<div style="width: 100%; background-color: green;"></div> 100 % complete	06/05/2022	22/04/2024	19/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
- Increased demand for the service - Inflation of costs due to fuel price increase - Driver shortages - High cost of transport for out of borough pupils - Increased pressure caused by Post -19 transport demand	- Projected overspend of £1.3 million	<b>Red</b>  25	<ul style="list-style-type: none"> <li>We only provide statutory transport, no further scope for cuts to service <i>Steve Fenton</i></li> <li>Purchase and use of specialist route planning software <i>Steve Fenton</i></li> <li>Review and reduce the use of guides based on needs <i>Steve Fenton</i></li> <li>Increased use of Social care transport vehicles ( Adult Social Care) <i>Steve Fenton</i></li> <li>Identification of savings within Children's Services or Corporately to offset the overspend <i>Tim Browne</i></li> <li>Need to monitor change in Post-19 transport that could put additional pressures on the budget <i>Steve Fenton</i></li> </ul>	Complete	28/06/2022	100	<b>Red</b>  25 5. Very High 5. Very High	

**Review Comments** to be reviewed 22/04/2024

**Children and Education Services**

Registers : 3

**Risk Register - Benefits**

Net Risk Level Summary

<b>Green</b>	0	<b>Amber</b>	0	<b>Red</b>	1	<b>Total</b>	1
				1	1	↑	1 1 ↑

0	0	0
0	0	0
0	0	0

Net Risk Level Changes

Editor Jane Smith

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
Housing benefit expenditure for temporary accommodation not reducing or actually increasing.	IAB0006	Joanne Robinson	<div style="width: 88%; background-color: yellow;"></div> 88 % complete	10/10/2023	05/04/2024	11/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
-Continued or increased use of temporary accommodation specifically the use of B&B's and hotels.	- Considerable cost to the general fund as housing benefit expenditure for temporary accommodation does not attract 100% subsidy. - No formal budget for the cost to the general fund, spend is currently within the Resources directorate leading to an overspend.	<b>Red</b>  25	• Regular monitoring of housing benefit expenditure and subsidy for Non-HRA benefit (temporary accommodation) <i>Joanne Robinson</i>	In Place		100	<b>Red</b>  16 4. High 4. High	15 ↑ 1
			• Accurate forecasting of likely expenditure and subsidy for temp accommodation included in DWP estimate claims <i>Joanne Robinson</i>	In Place		100		
			• Collaborative working with colleagues in SMBC to identify alternative options to temp accommodation <i>Joanne Robinson</i>	In Place		100		
			• Regular reporting of issues and potential solutions to the Strategic Housing Board <i>Hannah Buckley</i>	In progress	31/05/2024	75		
			• Explore alternative options to temp accommodation through preventative and more subsidy friendly options <i>Joanne Robinson</i>	In progress	02/09/2024	50		
			• Increased Local Housing Allowance rates with effect from 1 April 2024 <i>Joanne Robinson</i>	Complete		100		

**Review Comments** Risk reviewed. 05/04/2024



Risk Register - Financial Inclusion

Net Risk Level Summary

<b>Green</b>	0	<b>Amber</b>	0	<b>Red</b>	1	<b>Total</b>	1
				1	1	↗	
				1	1	↗	

0	0	0
0	0	0
0	0	0

Net Risk Level Changes

Editor Jane Smith

Risk Title	Risk Ref	Assigned To	Action Progress	Created	Last Review	Next Review
Insufficient funds to administer our Discretionary Crisis Fund	IAFI0003	Jane Smith	<div style="width: 88%; background-color: yellow;"></div> 88 % complete	17/06/2020	02/07/2024	02/08/2024

Caused by	Leading to	Gross Risk Level	Mitigating Actions	Action Status	Target Date	Action Progress	Net Risk	Previous Net Risk
Failure to apply qualifying criteria Failure to review qualifying criteria Failure to monitor spend against budget No alternative organisations to refer to for support General uptake in demand due to external factors and more residents potentially meeting the criteria. Unable to rely on partner organisations due lack of funding & consequently referring customers to the DCF. Reduction in additional funding as a result of household support fund stopping in March 2024.	Hardship for customers (unable to access from us fuel top up payments, food parcels, white goods/furniture to enable and sustain tenancies)	<b>Red</b>  20	• Council policy drawn up to set out qualifying criteria <i>Jane Smith</i>	In Place		100	<b>Red</b>	15 ↗ 1
			• Separation of duties for award recommendation and payment authorisation <i>Jane Smith</i>	In Place		100	4. High	
			• Separation of duties for authorisation and budget monitoring <i>Jane Smith</i>	In Place		100	4. High	
			• Bi-annual review of DCF policy by HoS <i>Jane Smith</i>	Proposed	30/09/2024	0		
			• We organise the Financial Inclusion group with external partners and keep up to date with support from the VCS <i>Jane Smith</i>	In Place		100		
			• HSF being utilised by other partnership organisations to help with demand and costs until September 2024. <i>Jane Smith</i>	In Place		100		
			• Here2Help Webpages monitored and kept up to date to help signpost to partners to help with demand. <i>Jane Smith</i>	In Place		100		
			• Utilising available HSF to preserve the DCF until September 24. <i>Jane Smith</i>	In Place		100		

**Review Comments** Risk reviewed - no change required. HSF still in place. Unless this is extended further we will revert to our DCF Scheme.  
02/07/2024

Resources Directorate

Registers : 2

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**Risk Totals 10**

**Total Registers 6**

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