Appendix 3 - Disabled Facilities Grants risk register June 2018 (V4)

	Identifying the risk or issue					Managing the risk or issue								Closing the risk or issue		
ID	Issue (i.e.: Threat to the Project)	Risk / Consequence	Current assessment			Already in place	Who is managing	Not in place / in progress	Who will manage	Implementation date	Residual risk level			Review date	Closure date	Signed off by
			I	L	O						I	L	O			
1	**Management oversight of DFG cases and programme needs strengthening**	Potential for non-compliance with systems Poor case management leading to delays Lower value for money Lower customer satisfaction	H	M	H	New manual spreadsheet created to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	Management sampling of case files	Niall Waller	Jul 18	M	L	L			
								Monthly monitoring of system compliance, case progress and timescales using spreadsheet	Joe Muxlow	Jul 18						
								New IT system with case management dashboard functionality to facilitate monthly manager review of process compliance and progress	Niall Waller	Jul 19						
								Clear desk instructions for each stage in the process	Joe Muxlow	Jul 18						
								Restructure of wider service to reinstate operational manager function over the service	Neal Cockerton	Jul 18						
2	**New adaptation framework may not deliver anticipated benefits – timeliness, VFM and customer service**	Lower value for money Lower customer satisfaction	H	M	H	Gather data on costs and timeliness for each contractor Introduce new customer satisfaction survey to include contractor service	Joe Muxlow	Monitor the costs and timeliness for each contractor	Joe Muxlow	Aug 18	M	L	M			

#	Risk	Consequence				Existing controls	Owner	Action	Owner	Date								
								Review the implementation of the framework at quarterly intervals to establish effectiveness	Niall Waller	Jul 18								
3	**Land charges process inadequate to ensure charges are placed in a timely manner to protect public investment**	The Council placed at risk of not being repaid grant owed to it	M	M	M	New manual spreadsheet created to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	Management sampling of case files	Niall Waller	Jul 19	L	L	L					
								New manual spreadsheet to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	Jul 18								
								New IT system with case management dashboard functionality to facilitate monthly manager review of process compliance and progress	Niall Waller	Jul 19								
4	**Mismatch between current published policy and practice for top up loans and grants and relocation grants**	Lack of transparency of decision-making leading to criticism and challenge	M	L	M			New programme schedule to be created to set out criteria for each	Niall Waller	Jul 18	L	L	L					
								Management sampling of case files	Niall Waller	Jul 18								
								New manual spreadsheet to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	Jul 18								
5	**Systems and paperwork not GDPR compliant**	Legal action against the action and potential fines.	H	L	M	Forms reviewed for GDPR compliance	Joe Muxlow	All systems to be checked and signed off by Information Governance	Joe Muxlow	Aug 18	L	L	L					
								The Civica system needs review as its ability to meet GDPR requirements is uncertain	Niall Waller	Mar 19								
6	**Overall DFG timescale too long to meet published targets**	Reputational damage Customer frustration	M	H	M	New manual spreadsheet to summarise Civica record – compliance with each process	Joe Muxlow	Review evidence base generated to identify pinch points in the process and identify options to reduce them	Niall Waller	Aug 18	L	M	M					

#	Risk	Description				Controls		Actions	Owner	Date								
						stage and timescales for each Review all cases that fail to meet 247 day target to document reasons why												
								Lean review of the overall DFG process including the OT elements	Niall Waller	Sep 18								
								Learn from high-performing Council areas	Joe Muxlow	Sep 18								
7	**Lifting equipment contract out of date**	Failure to meet CPRs	L	M	L			New procurement arrangement being put in place through national framework	Joe Muxlow	Jul 18	L	L	L					
8	**Whole systems approach to adaptations not in place in County**	Lower value for money – opportunities for economies of scale and reduced administration Services not customer focussed leading to worse outcomes	M	M	M	Monthly panel meetings bring together OTs, DFG (private) team, C&R and Housing Options	Niall Waller	Need wider dialogue to start with Health Board and with RSLs	Niall Waller	Oct 18	M	M	M					
								Develop common systems across providers	Niall Waller	Dec 18								