

Disabled Facilities Grants risk register (v7 January 2019)

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	Implement date	Revised 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	July 2018		M	L	L			
								Monthly monitoring of system compliance, case progress and timescales using spreadsheet	Joe Muxlow	July 2018							
								Clear desk instructions for each stage in the process	Joe Muxlow	July 2018	October 2018						
								Restructure of wider service to reinstate operational manager function over the	Neal Cockerton	July 2018	April 2019						
								Review findings from customer satisfaction surveys every 6 months	Joe Muxlow	September 2018							
								New IT system with case management dashboard functionality to facilitate monthly manager review of process compliance	Niall Waller	July 2019							
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	August 2018		M	L	M			
								Review the implementation of the framework at quarterly intervals to establish effectiveness	Niall Waller	July 2018							
2a	Implementation of adaptations framework not transparent in allocation of work to	Lower value for money Reputational risk	L	L	L	Record officers allocating work.	Joe Muxlow	Operate framework in accordance with rotation of contractors. Review work allocation quarterly to ensure rotation being used effectively and	Joe Muxlow	August 2018		L	L	L			
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	July 2018		L	L	L			
								New manual spreadsheet to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	July 2018							
								New IT system with case management dashboard functionality to facilitate monthly manager review of process compliance	Niall Waller	July 2019							
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	July 2018		L	L	L			
								Management sampling of case files on monthly basis	Niall Waller	July 2018							
								New manual spreadsheet to summarise Civica record – compliance with each process stage and timescales for each	Joe Muxlow	July 2018							
5	Systems and paperwork not GDPR compliant	Legal action against the Council and potential fines	H	L	M	Forms reviewed for GDPR compliance	Joe Muxlow	All systems to be checked and signed off by Information Governance The Civica system needs review as its ability to meet GDPR requirements is	Joe Muxlow Niall Waller	August 2018 March 2018	November 2018	L	L	L			
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 stage and timescales for each Review all cases that fail to meet 247 day targets	Joe Muxlow	Review evidence base generated to identify pinch points in the process and identify actions to reduce them	Niall Waller	August 2018		L	M	M			
								Lean review of the overall DFG process including the OT elements	Niall Waller	September 2018							
								Learn from high-performing Council areas	Joe Muxlow	September 2018							
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	July 2018	October 2018	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	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	November 2018		M	M	M			
								Develop common systems across providers	Niall Waller	June 2019							