

RISK ASSESSMENT – Remedy

AGENDA ITEM 4 – APPENDIX 2

Risk No.	Risk Barriers	Assessment of Risk			Risk Control Measures	Assessment of Risk				
		Impact	Likelihood	Lead		Impact	Likelihood		Impact	Likelihood
		Original Risk				Current Risk			Residual Risk	
Category Title		Reporting & Data								
1	Delayed timeframes for central policy and guidance development to inform way forward for CFB (Possible consequences: of uncertainty over timeframes for members, difficulty developing communication and local implementation strategies)	4	4		<ul style="list-style-type: none">Up to date communication from LGA/ SAB and attendance from CFB at relevant meetings – On-goingSubsequent communication to CFB members and Unions as appropriate – On-going	4	4		2	2
		16 High				16 High			4 Low	
2	Knowingly working without relevant legislation, policy and guidance and out with the central decision making process (Possible consequences: errors in calculations leading to overpayments/ underpayments and possible complaints from members, duplication in workload revisiting past or cases processed with errors)	4	4		<ul style="list-style-type: none">Central waiver in place – PendingCFB to obtain assurance that XPS develop robust procedures for processing and recording cases - PendingScheme Manager has clear, documented making process in situ - PendingPotential risks communicated to Unions and Members and acknowledged in waiver for individuals where required - Pending	4	4		3	2
		16 High				16 High			6 Moderate	

3	Acting without appropriate software (Possible consequences: increase in manual calculations therefore more capacity required and greater scope of error, incorrect calculations leading to underpayments/ over payments and possible complaints from members, duplication of workload revisiting past cases)	4	3		<ul style="list-style-type: none"> Ensuring XPS have robust process and procedure in place to undertake manual calculations and record cases – Pending Ensure central waiver is in place – Pending 	4	3		2	2
		9 High				12 High			4 Low	
4	Ineffective governance and monitoring (Possible consequences: failure to implement remedy effectively therefore reputational damage)	4	3		<ul style="list-style-type: none"> Key links with LGA/ SAB – On-going Defined roles and responsibilities and ToR for LPB – Complete Defined roles and responsibilities for PMT – Complete Robust Contract Management in place with XPS – On-going Relevant Training from LGA to ensure scrutiny and monitor local delivery – Complete 	4	3		2	2
		12 High				12 High			4 Low	
5	Insufficient resource from CFB to implement the remedy in addition to BAU (with the potential addition of the Mathew's implementation)	3	3		<ul style="list-style-type: none"> Analysis of capacity from HR as and when required – On-going Communication with XPS to identify and regularly review capacity through Contract Management – On-going 	3	3		2	2
		9 High				9 High			4 Low	

6	Insufficient resource from XPS to implement the remedy in addition to BAU (with the potential addition of the Mathew's implementation)	3	3		<ul style="list-style-type: none">Analysis of Capacity through Contract Management with XPS – On-going	3	3		2	2
		9 High				9 High			4 Low	
7	Incorrect information with regards to financial options to member and incorrect calculation to member leading to financial liability transferring to CFB	3	3		<ul style="list-style-type: none">Ensure robust process for calculation and waiver is in situ before any cases are accepted and payments made – PendingEnsure communication clear to members about risk of manual calculations – On-going	3	3		2	2
		9 High				9 High			4 Low	
8	Timely and accurate communication with members about remedy and immediate detriment	3	3		<ul style="list-style-type: none">Regular updates from LGA – On-goingRegular updates for Unions – On-goingUtilisation of Comms Forum – On-goingMore formal communication put in place as and when required – As requiredOnline information sessions – On-going	3	3		2	2
		9 High				9 High			4 Low	
9	Failure to deal with immediate cases	4	3		<ul style="list-style-type: none">Ensure CFB clear on position and communication has taken place with XPS and employees – On-goingEnsure procedure and waiver provided from XPS - PendingEnsure robust CFB procedure in place to deal with immediate cases -PendingContract management with XPS – On-going	4	3		2	2
		12 High				12 High			4 Low	

10	Failure to move members into FPS 2015	4	3		<ul style="list-style-type: none">• Ensure CFB clear on position and communication has taken place with XPS and employees – On-going• Ensure procedure and waiver provided from XPS - Pending• Ensure robust CFB procedure in place - Pending• Contract management with XPS – On-going	4	3		2	2
		12 High				12 High			4 Low	
11	Failure to deal with retrospective cases	4	3		<ul style="list-style-type: none">• Ensure CFB clear on position and communication has taken place with XPS and employees – On-going• Ensure procedure and waiver provided from XPS - Pending• Ensure robust CFB procedure in place - Pending• Contract management with XPS – On-going	4	3		2	2
		12 High				12 High			4 Low	