

STRATEGIC RISK REGISTER - DECEMBER 2008

APPENDIX 2

Risk No	RISK & CONSEQUENCES Threat to achievement of business objectives and the consequences of this happening, scope of the problem	Gross Risk Score	Risk Control Measures in Place	Residual Risk Score	Actions Planned	Timescale	Risk Owner	Target Score	Progress/Comments	
1	Corporate Governance systems, processes and values are not fully embedded in the organisation	20		9			Director of Governance	6		
	Employees and Members are not held accountable for their actions and the consequences. Lack of ownership.		Constitution - document itself and awareness training							
	Lack of understanding and application of internal rules		Fin Regs & CPRs		Update CPR and then undertake periodic review;	Mar-09	Legal & Democratic Services Manager		The review of the CPR has been deferred until March 2009	
	Excessive referrals to external regulators eg Ombudsman, Standards Board, MPs		Code of Conduct - Employees and Members		Awareness training for employees	See comments	Director of Governance		To be deferred pending the outcome of the consultation on the new National Code of Conduct	
	Adverse reports by Inspectors		Internal & External Audit							
	Persistent damage to the Council's reputation		Inspections		Ensure implementation of action plans developed as a result of inspections and regular progress updates	Ongoing	Chief Executive and Head of Governance & VFM		Action Plans from Inspections are reported to the appropriate committee, generally the Performance & Partnerships Scrutiny Sub-Cttee. A corporate improvement plan is also being developed, which will include common issues from inspection reports	
	Low staff morale		Disciplinary Procedure		Review & update disciplinary policy	Mar-09	HR Manager		Will be reviewed when changes to the Statutory Dispute Resolution Procedures are finalised - revised target date of March 2009	
			Capability Procedure							
			Standards Committee							
			Policies and Procedures							
			Clear management structure, roles and responsibilities							
			Code of Governance and Framework							
			Governance Assurance Statement							
			Member/Officer Relations Protocol - training for Members and Officers	2009-10	Director of Governance	Training was planned for September 2008 but this has been postponed. Options are being explored for 2009.				
			Statement of Values			Values to be reviewed and relaunched	Apr-09	Head of Governance & VFM		
2	Inability of the Council to respond to a major incident and/or to operate in full or in part in the event of an unforeseen disaster/emergency	15		15			Director of Governance	10		
	Full or partial loss of services		IT Disaster Recovery Plan		Need to ensure linkages to corporate and service BCPs	Oct-08	ICT Manager / Head of Governance & VFM		This is being addressed as part of the BCM project plan. Work is in progress	
	Disruption of essential services				BCM Project Plan	Feb-09	Head of Governance & VFM		The first phase ie undertaking a Business Impact Assessment is complete and work on phase 2 is nearing completion. Plans are in place to commence Phase 3 - development of operational BCPs. Aim to have operational BCPs in place in April and corporate BCP in June 2009	
	Over reliance on ICT systems for service delivery		Major Incident Plan							
	Negative PR									

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	Member & Customer dissatisfaction								
3	Decisions are taken without considering all the options and consequences	20		12			Director of Governance	8	
	Politically difficult decisions perpetually delayed		Induction & Training						
	Decision making can be stifled/undermined due to non-involvement of all relevant Members		DMT						
	Judicial review		Reports - include legal and financial implications		(i) Review of reporting mechanism; (ii) training on report writing for officers; (iii) training for Members	May-08	Director of Governance		The new reporting mechanism came into effect in September 2008 and guidance has been issued
	Appeals		Statutory Officers						
	Reputation								
	Complaints to Ombudsman								
4	Inadequate physical assets available to deliver Council objectives	20		16			Deputy Chief Executive	12	
	Inadequate maintenance		Leisure Strategy		Prepare an Asset Management Strategy	Mar-09	Head of Planning & Regen		A project plan is being prepared to deliver an asset management strategy and plan. Work on delivery of project plan to commence in April once new senior management structure is in place. Roles and responsibilities are being clarified and bought together under one post
	Health & Safety Issues		Town Centre Regeneration		Develop an Asset Management Plan	Mar-09	Head of Planning & Regen		
	Reputation		Property Officer						
	Staff Morale		Equality of Access Strategy						
	Costs higher in the long term		IT Strategy						
	Low demand for facilities				Homeworking / Flexible working / Shift working	Mar-09	HR Manager		A homeworking policy is being drafted
5	Failure to meet statutory obligations/delivery deadlines	20		8			Director of Governance	8	
	Not meeting customer expectations		Statutory Obligations and Standards of Services defined for some but not all services		see risk 17 for actions				
	Not meeting regulators expectations		Professional Officers						
	Complaints		Legal Section						
	Poor reputation		Internal Audit						
	Criticism from regulators, inspectors etc		Legal implications in committee reports						
	Prosecutions		Risk Management implications in committee reports						
	Legal Challenge		Business Plans						
	Ineffective governance and enforcement		Delivering Change						
			Performance management information						
			Risk Assessments						

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			Audit Commission & Inspectors						
6	Capacity issues - significant degree of reliance on key personnel; and insufficient human resources to deliver council services through capacity, sickness, vacancies	15		12			Deputy Chief Executive	8	
	Stress		Business Plans		Improve workforce planning element of business planning process	For 2009-10 Business Plans	HR Manager		A workforce development strategy/plan is being prepared and the first draft is due in April 2009. It is estimated that there will be a 3 year delivery/improvement plan to support the strategy.
	Sickness levels				Workforce Development Planning - development of a corporate framework document	Mar-09	HR Manager		
	Non-achievement of objectives		Use of interim managers and agency staff						
	Poor CPA score		Shared Services and Partnership working						
	Service delivery		Personal Development Review Process						
	Staff Morale		Attendance Management Policy						
	Bad PR		Stress Audit and Stress Awareness Training		(i) Undertake stress audits at regular intervals; (ii) Develop stress policy	Oct-08	Workfit Group		A stress policy has been drafted and is being consulted on
	Market Factors eg skill shortages		Delivering Change						
	Loss of staff to neighbouring authorities		Use of Honoraria and upgrades						
			Competency Framework for Managers		Development of Competency framework for all posts	For 2010-11 PDRs	HR Manager		A meeting has been arranged for 4 February to commence work on the development of the competency framework for all employees
			Delivering Change						
7	Poor data management ie quality of data on which to base decisions and monitor performance and security of data (compliance with DPA and FOI)	16		12			Chief Executive	8	
	Poor decisions		Internal Audit - specific checks undertaken as part of routine audit work on data quality re						
	Censure by Audit Commission		Monitoring, supervision & review						
	Legal Action		Analytical review		Managers to be encouraged to use analytical review as part of supervisory review/checks - link to performance management (data quality) strategy	Mar-09	Performance Manager		
			Performance Management Strategy		To be reviewed to give an emphasis on data quality - develop a data quality strategy	Mar-09	Performance Manager		A data quality policy, strategy and action plan has been drafted and is out to consultation
			Corvu		Raise the profile/use of Corvu and provide training	Mar-09	Performance Manager		
			Performance Manager		Clarification of responsibility for checking data quality	Mar-09	Performance Manager		Roles and responsibilities for data quality are outlined in the data quality policy & strategy
					Awareness raising session for Managers on data quality, why it is important and actions to take	Mar-09	Performance Manager		
			Computer Security		(i) review effectiveness of IT Security Policy and (ii) assess need for refresher training	Mar-09	ICT Manager		Review in progress - to be completed by March 2009

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			DPA and FOI Guidelines and training		Review current data protection and FOI guidelines and arrange refresher training	Sep-08	Information Manager		Training was undertaken in November 2008

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8	Senior Officers may be prosecuted as a result of shortcomings in Health & Safety risk assessments	20		12			Deputy Chief Executive	9	
	Prosecutions		HSE - enforcement action						
	Insurance Claims		Health & Safety Officer						
	Individual Liabilities		Health & Safety Manual						
	Injuries to staff, the public, etc		Job Descriptions						
			Training/Inductions						
			H&S half-yearly audits		Review the process	Sep-08	Health & Safety Officer		Audits are on-going. Has been modified to reflect changes to Health & Safety Regulations
		Resolve Landlord/Tenant Issues	Mar-09	Director of Service Improvement/Director of Governance	A report has been considered by DMT. Roles and responsibilities to be clarified as part of senior management restructure and bought together under one post.				
9	Inadequate financial resources to deliver the council's vision and objectives	25		9			Director of Governance	9	
	Inadequate RSG		Judicial Review re LABGI						
	Vision & objectives not met		Lobbying						
	Policy options adopted fail to achieve anticipated savings		Financial Plan/Budget						
	Poor CPA / CAA score		Project plans						
	Poor PR		Delivering Change						
			Business Plans						
	VFM Methodology	see risk 19							
10	No planned/co-ordinated approach to bidding for grants/funding and planning for on-going funding when external funding ends	25		9			Director of Organisational Improvement	9	
	Vision & objectives not met		10 year budget		Strategy for bidding	Oct-08	Chief Executive		A bidding strategy has been approved by Cabinet
	Lost business opportunities		5 year financial projection						
	Staff morale		Delivering change						
	Uncertainty		Business Plans						
	Recruitment & Retention problems		Bidding for external funding						
	Missed opportunities/dead lines for obtaining funding and grant monies		Working in Partnership						
	loss of grants/funding		Corporate Financial Monitoring						
	Resources used on things which may not fit with the Council's objectives		Budgetary Control						
	Job losses								
Poor PR									

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	Reduction or loss of services								
11	Poor performance management; inadequate early warning/monitoring systems to identify shortfalls in performance	20		12			Chief Executive	8	
	Vision & objectives not met		Performance Management Strategy & use of Corvu		Review the Performance Management Strategy and use of Corvu	Jun-08	Performance Manager		The new Performance Manager is reviewing the approach to performance management and this includes use of the Corvu system to capture and report on performance management information.
	Poor CPA / CAA score		Partnerships & Performance Select Committee		Establish appropriate processes to collect data from partners	Jun-09	Performance Manager		
	Poor PR		Prioritisation of BVPI's						
			DMT Performance Monitoring						
12	The Council's vision & objectives may not accord with priorities identified by the local community.	20		9			Chief Executive	9	
	Not addressing customer needs		Corporate and performance plan						
	Not engaging customers effectively		Focus groups						
	Failure to identify and meet the needs of minority groups		Citizens Panel						
	Unrealistic customer expectations		BVPIs						
	Miss-match between council headline objectives and basic customer aspirations for service provision		State of Cannock Chase - research into the needs of the area (demographics)						
	Corporate priorities do not address the needs of the community		Employee Survey						
			Communications Strategy						
			Community Forums						
13	The purpose of partnership working is not clearly understood and governance arrangements are inadequate.	12		9			Director of Governance	6	
	Doubts over roles		LSP		Prepare governance for partnerships framework	Apr-09	Partnerships Manager		Working group established to develop a framework. Aim to have first draft of the framework by 30 April 2009
	Joint goals & responsibilities in partnership agreements		Reporting						
	Lack of accountability / differing priorities in Joint Partnership groups		Decision making protocols						
	No exit strategy		LAA Governance Model						
			LGA 2007						

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14	Insufficient planning or poor management of the impact of major projects on the Council's objectives eg Leisure Strategy, Town Centre Regeneration	20		12			Director of Organisational Improvement	8	
	Financial Consequences / instability		Budget Planning						
	Projects not delivered on time		PATs and reporting framework						
	Objectives not achieved		Project management skills & training (Prince2)		Improve project management skills across the Council as appropriate	Sep-08	Director of Organisational Improvement		The short-term future of the Strategic Projects Team has now been agreed for 12 months. Work will commence on reviewing the corporate project management methodology and providing training
	Resources not used effectively		Dedicated projects team						
	Member & Customer Complaints		Project Management Methodology		Refine project management methodology	Sep-08	Director of Organisational Improvement		See comment above
	Low morale								
15	Key areas of service delivery and projects are not underpinned by a policy and strategy / not aligned to corporate objectives	15		9			Chief Executive	6	
	Lack of clear focus and direction		Policies and strategies in place for most service areas		Audit of all policies & strategies to identify any key policies which may be missing	Apr-09	Executive Assistant & Policy Officer		Work is due to commence on the audit of policies and strategies in March and should be completed by May 2009
	Criticism by Audit Commission								
	Poor VFM								
16	Failure to achieve national standards for equality & diversity	20		16			Deputy Chief Executive	6	
	Equal Pay claims		JE Scheme						
	Financial Consequences		Single Status Agreement		Review of annual leave protection	31-Mar-08	Deputy Chief Executive		Completed - report considered by Council on 20 October.
	Staff morale		Base Pay Protection						
	Industrial Action		Single Status Reserve						
	Discrimination		JCC and other Trade Union forums						
			Various Policies re Equality & Diversity						
			Access to Legal Advice						
					Craft Workers - terms & conditions negotiations	31-Mar-08	Deputy Chief Executive		Negotiations are ongoing with UCATT
		Equal Pay Claims process	Ongoing	Deputy Chief Executive	Tribunal papers have been received and responded to. Advice has been sought from counsel to defend the claims through the courts. A preliminary hearing was held in November and a further meeting is scheduled for May. The actual case hearings are due in September				

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17	Misalignment between customers' perception and reputation of the Council as a whole compared to customer satisfaction with specific services	20		16			Director of Service Improvement	9		
	Negative PR		Customer Surveys - BVPIs and other service specific		PAT to be set up to look at customer satisfaction	Dec-08	Director of Service Improvement		See comment below	
	CPA Score				Customer Strategy and delivery action plan	Dec-08	Customer Services Manager		A delivery action is being developed to understand the issues and from this strategies will be developed. Work on this is being co-ordinated by the Customer Satisfaction PAT.	
	Poor VFM		Standards of Services defined for some but not all services		Define clear service standards for all services, including statutory obligations - links to risk 5	Oct-08	All DMT		Work is in progress on defining clear service standards, including statutory obligations.	
18	Fragmented approach to the protection of vulnerable people (ie children and adults) in receipt of Council services	25		15			Deputy Chief Executive	8		
	Complaints		Some policies and procedures in place but approach is fragmented		Overarching Policy for the Protection of Vulnerable People is currently being drafted	Mar-09	HR Manager		Policy has been out to consultation and comments received. Has been presented at Children and Young People Select committee for consultation purposes. Will be finalised by May 2009.	
	Injury/death		CRB Policy							
	Poor PR		CRB Checks							
	Criticism from regulators/inspectors									
19	Inadequate policies and procedures to ensure Value for Money in the delivery of Council services	20		12			Director of Governance	6		
	Poor Use of Resources Score		VFM Methodology/Toolkit		Develop programme of VFM reviews	Mar-09	Head of Governance & VFM		A VFM review programme is being developed for 2009-10. Services are to be scored this year to help to determine the review programme	
	Complaints				VFM Strategy	Mar-09	Head of Governance & VFM		VFM Strategy prepared and agreed by DMT. To go to Cabinet Feb/March 2009 together with VFM review programme	
	Poor PR		Financial Regulations, Contract Procedure Rules							
	Increase in Fees & Charges and Council Tax									
20	Risk removed - see below									
21	Economic downturn may have an impact on the Council's ability to deliver services to residents.	15		15			Chief Executive	10		
	Regeneration projects may be slow/difficult to progress				Identify impact on the local area, review the Council's priorities and allocate resources accordingly	Dec-08	Chief Executive		All LAA delivery plans are being reviewed to take account of the economic downturn and PDPs will be reviewed accordingly	
	Council Tax collection rates may decrease									

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	Housing Benefit applications may increase								

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RISKS REMOVED FROM THE RISK REGISTER

20	Delay in sale and/or failure to sell the Sports Stadium for the anticipated value	20		20			Chief Executive	20	This is no longer a risk but a reality as there has been a delay in the sale of stadium site. The impact of this has been built into the budget proposals for 2009-10 onwards
	1. Financial impact on the council's budget		Project plan in place for sale of the Stadium		Impact to be assessed as part of risk assessment and preparation of budget for 2009-10 onwards	Jun-08	Head of Financial Management		Provisional assessment undertaken as part of interim financial projections and to be reviewed on an ongoing basis as part of Delivering Change and Budget Process.
	2. Impact on delivery of the leisure strategy - delay and or reduction in what can be achieved		Date fixed for Planning Inquiry		Leisure Strategy to be reviewed and options to be identified and evaluated	Oct-08	Director of Organisational Improvement		Deferred to March 09 pending the outcome of the Planning Enquiry
	Negative PR								
	Council policy not delivered								