

Report of:	Head of Governance
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Portfolio Leader:	Corporate Improvement
Key Decision:	No
Report Track:	Audit & Governance Committee Only

AUDIT & GOVERNANCE COMMITTEE

25 JUNE 2013

STRATEGIC RISK REGISTER

1 Purpose of Report

- 1.1 To set out details of the Council's Risk Management arrangements for managing the Strategic Risks facing the Council in delivering its objectives.

2 Recommendations

- 2.1 That the Committee consider the effectiveness of the Council's Risk Management arrangements during the 2012/2013 financial year.

3 Key Issues and Reasons for Recommendation

- 3.1 At the end of the year, the Council's risk profile has been reviewed and is summarised in the table below:

Risk Colour	Number of Risks at 1st April 2012	Number of Risks at 31 March 2013
Red	1	0
Amber	11	8
Green	0	4
TOTAL	12	12

4 Relationship to Corporate Priorities

4.1 This report supports the Council's Corporate Priorities as follows:

- (i) Risk management is a systematic process by which key business risks / opportunities are identified, prioritised and controlled so as to contribute towards the achievement of Council aims and objectives.
- (ii) The strategic risks set out in the Appendices have been categorised against the Council's priorities.

5 Report Detail

5.1 At the end of Quarter 4 the number of strategic risks remains at 12. All risk scores have been reviewed and:

- 9 risks remain as they were when last reported to the Audit & Governance Committee; and
- 3 risks have reduced from medium (Amber) to low (Green)
 - Risk No 5 Decision making is not evidence based;
 - Risk No 8 Budget Assumptions does not deliver required savings; and
 - Risk No 12 Disabled Facilities Grant (DFG) / Adaptions.

The current risk profile is summarised in the table at 3.1. Full details, including the direction of travel for the period 1st April 2012 to 31st March 2013, can also be found attached at Appendix 1.




5.2 Overall, this has meant that over the last year the following 4 potential risks have been managed to below the tolerance level of Green:-

- Shared Services with Stafford Borough Council;
- Decision making is not evidence based;
- Budget Assumptions do not deliver required savings; and
- DFG / Adaptations

Some of the above risks will be deleted as part of the annual review of strategic risks and development of the 2013/14 Strategic Risk Register as they are now operational risks or are no longer considered to be strategic risks.

5.3 Actions have been identified to contain or reduce the risk for the Medium categories however; it is accepted that by their very nature some risks will always be present and it may not be possible to reduce them. They will however continue to be monitored for any changes in the risk score.

- 5.4 A progress update for those actions due up to March 2013 is included in the full strategic risk register attached at Appendix 2. Those actions that have been completed are shaded grey and will be removed when the risk register is next reported to the Audit & Governance Committee.
- 5.5 Additional information can be found in the Strategic Risk Register (Appendix 2) in the form of an ‘Overall Progress Summary’ for each risk, this is accompanied by a symbol to indicate whether progress is on target or otherwise. The following table outlines the overall progress made in reducing risks since 1st April 2012:

Progress Indicator		Current position
	No progress made in reducing the risk	0 Risks
	Some progress made is managing the risk	6 Risks
	Risk on target to be reduced	6 Risks

6 Implications

6.1 Financial

None

6.2 Legal

None

6.3 Human Resources

None

6.4 Section 17 (Crime Prevention)

None

6.5 Human Rights Act

None

6.6 Data Protection

None

6.7 Risk Management

The Risk Management implications are included within the body of the report

6.8 Equality & Diversity

None

6.9 Best Value

None

7 Appendices to the Report

Appendix 1 – Summary of Strategic Risks 2012-13

Appendix 2 – Strategic Risk Register – Detailed

Previous Consideration

None

Background Papers

File of papers kept in the Risk & Resilience Manager's office.

SUMMARY OF STRATEGIC RISKS FOR 2012-13
AS AT MARCH 2013

Risk No	Potential Risks	Risk Owner	Date Added to Risk Register	Score at 1 April 2012	Score at 31 Mar 2013	Direction of Travel
4	Commissioning and management of services	Corporate Director	Jun-11	MEDIUM	12	↔
13	Refurbishment of Chase Leisure Centre	Head of Commissioning	Jun-11	MEDIUM	12	↔
15	Failure to agree a Local Plan for the District	Head of Planning & Regeneration	Jun-11	MEDIUM	12	↔
1	Insufficient Capacity	Chief Executive	Feb-08	MEDIUM	9	↔
2	Lack of Staff Wellbeing/Low Morale	Chief Executive	Jun-11	MEDIUM	9	↔
11	Additional burial space	Head of Environmental Services	Jun-11	MEDIUM	9	↔
3	District's needs not recognised by external stakeholders	Chief Executive	Jun-11	MEDIUM	8	↔
10	Regeneration strategy for Moss Estate, Chads Moor	Head of Housing	Jun-11	MEDIUM	8	↔
5	Decision making is not evidence based	Head of Policy	Jun-11	MEDIUM	6	↓
7	Shared Services with Stafford Borough Council	Head of Governance	Jun-11	MEDIUM	6	↓
8	Budget Assumptions do not deliver required savings	Head of Finance	Mar-11	MEDIUM	4	↓
12	Adaptations (DFGs)	Head of Environmental Health	Jun-11	HIGH	4	↓

Key to Direction of Travel

↓ Risk has decreased

↔ Risk level unchanged


↑ Risk has increased

STRATEGIC RISKS REGISTER

Ref No: 1	Risk: Insufficient Capacity (Strategic Management, Operational and new projects)	Score: 3 x 3 = 9
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Priority outcomes not achieved • Lack of Horizon scanning/ Lost opportunities/ Opportunities for savings or service improvements missed/ New legislation not implement / not keeping an eye on emerging issues • Operational failure • Potential to take advantage of synergies with other organisations lost to District • Lack of contingency to deal with the unexpected • Customer dissatisfaction – injury to reputation/customer services/communications through inability to maintain prompt & effective service to the public • Financial management compromised - Projects not delivered to time and within budget 		
Risk Owner: Chief Executive		Portfolio: Corporate Improvement
<p>Links To Priority for: Transformation:</p> <ul style="list-style-type: none"> • Provide services which meet the needs of the community 		
<p>Controls in Place:</p> <ul style="list-style-type: none"> • Budget Setting Process (Delivering Change) – The internal process by which CCDC reviews and agrees its corporate priorities and service priorities which underpin the formal budget process. Outcomes from this process include public consultation, agreed Priority Delivery Plans, policy options and a Cabinet proposed Budget for determination by Council. • Sharing of Management with Stafford BC - CCDC and SBC share a range of predominantly back-office services. (Finance, ICT, HR, Building Control, Audit, Risk and Resilience & Legal) arrangements are based on a lead authority model with a broadly even share of services between the two Councils • Partnerships with other organisations • Priority Delivery Plan's and Monitoring 		

Appendix 2

Actions Planned	Timescale/Person Responsible	Progress/Comments
Leadership Team and Wider Management Team are encouraged to work creatively to re-design service delivery as appropriate.	Ongoing Chief Executive	Sessions with Leadership Team and Wider Management Team were undertaken (July 2012) to encourage creativity in transformation and to enable services to be delivered in cost effective ways.
<p>A Sustainable Community Strategy has been produced and agreed by the Local Strategic Partnership that aims to promote and improve the social, economic and environmental well-being of Cannock Chase District.</p> <p>Delivery plans are required by the Local Strategic Partnership to deliver cost effective joined up services where appropriate to deliver against those identified priorities</p>	Ongoing Head of Policy	<p>A delivery plan for Crime and Community Safety has been developed that identifies actions and resources the partnership will deploy to achieve the priority.</p> <p>Daily briefings with Partners take place to ensure information is shared in a timely manner.</p> <p>Work is being undertaken by newly developed partnership groups on delivery plans for Health & Wellbeing and Enterprise & Skills respectively.</p>
Council agreed PDP's that define actions and resources the Council will deploy to deliver against a defined programme of known works/actions to be delivered within the financial year	Ongoing CEO and Corporate Director - manage expectations PDP Lead Officers and Cabinet Portfolio Leaders	<p>Performance reports monitoring progress on actions identified in PDP's are considered by Leadership Team, Cabinet, Scrutiny on a quarterly basis and to full Council in the annual report.</p> <p>PDP's for 13/14 were agreed at Council in February 2013.</p> <p>Council agreed a balanced budget for 2013/14 to 2015/16 in February 2013.</p>

<p>Overall Progress Summary: This will remain an ongoing issue and officers are undertaking a number of activities and implementing controls that will enable the Council to monitor this. At present the controls in place and actions identified are progressing well and will be continuously monitored.</p>	<p>AMBER</p>
	

Ref No: 2	Risk: Lack of Staff Wellbeing, low morale and motivation, which impacts on service delivery	Score: 3 x 3 = 9
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Reduction in staff numbers – may lead to specific knowledge & skills leaving organisation, knowledge not transferred and retained • Re-population of the organisation – may lead to not having the right people available with the right skills in the right place at the right time to fulfil commitments of the Council • High levels of staff turnover, absenteeism, inability to recruit and retain qualified staff • Unable to fulfil service delivery, services not aligned to needs of customers • Staff dissatisfaction - effects on productivity, inefficiency, lack of focus, waste of resources • Breakdown of relationships with recognised Trade Unions – potential for industrial action • Savings in required change programmes not delivered • Safeguarding not satisfactorily managed 		
Risk Owner: Chief Executive		Portfolio: Corporate Improvement
<p>Links To Priority for Transformation:</p> <ul style="list-style-type: none"> • Provide services which meet the needs of the community • To provide services that are good value for money 		
<p>Controls in Place</p> <ul style="list-style-type: none"> • Attendance Management and monitoring • Other HR policies • Personal Development Reviews • Wider Management Team Sessions • Internal Communications • Leisure Facility Corporate Membership 		

Appendix 2

Actions Planned	Timescale/Person Responsible	Progress/Comments
Staff Working Group looking at proposals for a revised Policy as part of the HR sharing services transformation work programme; to include a review of Occupational Health provider – looking at wellbeing / counselling / support offered to assist earlier return to work	Head of HR	Leadership Team receive monthly monitoring reports and determine actions for consideration at dates to be determined. A paper is being submitted to Leadership Team in April 13 about sickness statistics, in particular this focuses on periods of significant organisational change and increased levels of sickness absence.
As part of HR sharing services transformation work programme opportunities are to be maximised to review and align HR policies inc. Discipline & Grievance, Flexible working, Home working	Head of HR in consultation with Wider Management Team and recognised Trade Unions	Final policies were approved by Leadership Team in December 2012 and issued in January 2013.
Staff facilities and working environment currently being reviewed.	Chief Executive	Following the Mouchel report a Business Plan is being developed and a cross partnership Accommodation Working Group has been established to progress work in respect of this.


Overall Progress Summary: As capacity has been identified as a risk this will inevitably have an impact on staff wellbeing and moral. Services continue to be delivered at the highest possible standard by the Council's employees. The Chief Executive and Leadership Team have identified a number of controls that are being progressed and are regularly monitored and where further action is required it is acted upon appropriately.

AMBER



Ref No: 3	Risk: Districts needs not recognised by external stakeholders locally and nationally	Score: 2 x 4 = 8
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Lack of access to external resources both locally and nationally • Reduced potential to address County need • Reduced potential to narrow disadvantage and inequality within the District and also between District and County regions 		
Risk Owner: Chief Executive		Portfolio: Economic Development & Planning
<p>Links To Priority for Prosperity:</p> <ul style="list-style-type: none"> • Facilitate economic growth through job creation • Deliver Community regeneration and development 		
<p>Controls in Place</p> <ul style="list-style-type: none"> • Participation and network within District and County Local Strategic Partnerships • Membership and involvement of regional bodies i.e. Birmingham Local Enterprise Partnership, HCA • Membership of National and Regional District Chief Executives Network and West Midlands Councils • Maximising opportunities presented by memberships and involvement in District Council's Network (i.e. collective consultation responses nationally) • Maximising opportunities presented by involvement in Staffordshire's Chief Executive and Leaders network. 		


Actions Planned	Timescale/Person Responsible	Progress/Comments
Identify strategic gaps in funding opportunities externally	QTR 3 Head of Planning & Regeneration	The Council was successful in securing Growing Places Funds and are still waiting to hear on European funding

<p>Overall Progress Summary: A Cabinet decision was taken in September 2012 to pool Business Rates with the Greater Birmingham & Solihull LEP and the Council are actively involved and represented on the Board. The Council is also now represented on the Stoke & Staffordshire LEP Board. The Chief Executive regularly attends a number of high profile networks and partnerships that are vital if issues facing Cannock Chase are to be flagged up at a national level.</p>	AMBER
	

Ref No: 4	Risk: Failure to ensure services are effectively commissioned, managed and deliver value for money	Score: 3 x 4 = 12
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Poor service • Complaints • Negative press • Lack of understanding of costs and/or performance • Expensive services • Poor performing services • Financial Loss • Not meeting identified needs of the district population 		
Risk Owner: Corporate Director		Portfolio: Culture & Sport / Environment
<p>Links To Priority for People, Place & Transformation:</p> <ul style="list-style-type: none"> • Promote health and wellbeing (with a focus on health lifestyle choices) • Increase participation in physical activity • Improve and protect our parks, green spaces and living environment • To provide services that are good value for money 		
<p>Controls in Place:</p> <ul style="list-style-type: none"> • Head of Commissioning post • Contract monitoring meetings • Contract Terms & Conditions • Specifications / outcomes • Benchmarking for some services • Performance information for some services • SLA with Chase Advice Centre 		

Appendix 2


Actions Planned	Timescale/Person Responsible	Progress/Comments
Contract Management Handbook and training	2013-14 Head of Governance	This will form part of the Procurement Shared Service Transformation work but isn't scheduled until 2013-14. A Contract Management handbook has been developed to manage the contract with Wigan Leisure & Culture Trust.
Review of in house Grounds Maintenance & Street Scene services within 18 months.	4 th QTR Head of Environmental Services	A report will be submitted to Cabinet in Quarter 1 2013/14 containing the detail of an external review of the services by the Association of Public Services Excellence.
Commissioning Strategy	Mar 13 Head of Commissioning	Further work is required to develop a Corporate Commissioning Strategy including incorporating a revised Procurement Strategy which at this stage is still under review. When this is completed the Commissioning Strategy will be progressed during 2013/14.
Pilot scheme to be set up to test VFM methodology	QTR 4 Head of Governance	VFM methodology has been revised and discussed at Leadership Team. The pilot has been included in the Transformation PDP for 2012-13. No further progress has been made on this.
Wider Review of Voluntary Sector Commissioning	QTR 4 Head of Commissioning	Following completion of the Chase Leisure Centre project work is now to be progressed during 2013/14.

<p>Overall Progress Summary: The new commissioning arrangements for the Council's leisure services have been established with a clear framework for managing the relationship and service delivery by WLCT. Progress is being made to strengthen the commissioning arrangements for voluntary sector services. The review of the future options for provision of grounds maintenance and street scene services is underway, completion is anticipated in April 2013. Overall, current management capacity is delivering progress and developing controls to manage these risks.</p>	<p>AMBER</p>
	

Ref No: 5	Risk: Decision making is not evidence based	Score: 2 x 3 = 6
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Unable to achieve Council priority outcomes, Community need will not be met • Inequality between Cannock Chase and Staffordshire would increase • External funding opportunities would be missed • State dependency within Cannock Chase would increase • Customer satisfaction will decline and the Council's reputation would be damaged 		
Risk Owner: Head of Policy		Portfolio: Corporate Improvement
<p>Links To Priority for Transformation:</p> <ul style="list-style-type: none"> • Provide services which meet the needs of the community • Improve the effectiveness of communications with our residents • Involve residents in shaping and improving our services 		
<p>Controls in Place</p> <ul style="list-style-type: none"> • Annual needs analysis prepared and provided for consideration to Cabinet for the policy/budget setting process, corporate plan and community strategy • Report template which includes details of needs/evidence to support the recommendation • 2011-14 Communications Strategy and Improvement Plan were informed by evidence collated in the annual Communications survey both internally & externally and hence all Corporate communications activities are evidence based. • Horizon scanning is conducted annually by Leadership Team to identify forthcoming changes to legislation, service requirements and financial planning. 		


Appendix 2

Actions Planned	Timescale/Person Responsible	Progress/Comments
Priority Delivery Plans for 2013-2014	QTR 4 Head of Policy	The delivering change process has commenced with Horizon Scanning (15 May 2012) and Cabinet Conference (31 May 2012) PDP's have been redesigned as high level 'portfolio delivery plans' to enhance the alignment between council priority outcomes and operational service delivery. These received Cabinet recommendation and ultimately Council approval in 2013.

<p>Overall Progress Summary: The evidence base for informing the decision making process is provided for Members and Officers. There is a Needs Analysis for the district and ward profiles are now available for each of the 15 wards, to be updated annually. Further analysis and communication of Census 2011 data is on-going and will be provided to decision makers. Work is also on-going to produce a District Enhanced Strategic Needs Assessment to inform multi-agency Public Health commissioning.</p> <p>PDPs have now been redesigned as Portfolio Delivery Plans with the focus on services' delivery of actions to deliver strategic outcomes based on evidenced needs.</p> <p>The Equality Impact Assessment process introduced in 2012/13 is intended to focus strategic decision making on the potential effects of Council actions and services on individuals and communities.</p>	GREEN 
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Ref No: 7	Risk: Shared Services with Stafford Borough Council (savings not delivered, service standards not maintained)	Score: 2 X 3 = 6
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Negative public relations • Impact on reputation • Employee dissatisfaction • Customer dissatisfaction 		
Risk Owner: Head of Governance		Portfolio: Corporate Improvement
<p>Links To Priority for Transformation:</p> <ul style="list-style-type: none"> • To provide services that are good value for money 		
<p>Controls in Place</p> <ul style="list-style-type: none"> • Strategic Board • Programme Board • Service Level Agreements • Client meetings • Trade Union meetings • Transformation Plans 		

Actions Planned	Timescale/Person Responsible	Progress/Comments
Scrutiny Committee to monitor on-going delivery of Shared Services (including the transformation plans)	½ yearly Head of Governance	Scrutiny Committee noted the outcome of the review of shared services undertaken by the Members Working Group (12 July 2012). Scrutiny Committee to receive further progress reports at six monthly intervals, which will include delivery of savings, performance levels etc

<p>Overall Progress Summary: The majority of the financial savings have been delivered. No issues have been identified with service standards. Progress for 2012/13 to be reported to the Scrutiny Committee in July 2013.</p>	GREEN
	


Ref No: 8	Risk: Budget Assumptions, including funding arrangements, do not deliver required savings and deliver a balanced budget.	Score: 1 x 4 = 4
Consequences Of Risk: <ul style="list-style-type: none"> • Compensatory savings to be identified e.g. reductions/cuts in service 		
Risk Owner: Head of Finance		Portfolio: Corporate Improvement
Links To Priority for Transformation: <ul style="list-style-type: none"> • To provide services that are good value for money 		
Controls in Place <ul style="list-style-type: none"> • Clear Accountability • Performance management • Project management • Working balances • Priority Delivery Plans • Reality assessments for delivery • Financial Planning • Pooling of Business Rates 		

Actions Planned	Timescale/Person Responsible	Progress/Comments
Evaluation of Business Rates Retention/Funding streams	QTR3 Head of Finance	Information received in December 2012 was reviewed and considered as part of budget process.
Membership of Business Rates pool	QTR 2 Head of Finance	Membership implemented January 2013.

Overall Progress Summary: A balanced budget has been achieved.	GREEN
	


Ref No: 10	Risk: Failure to implement a regeneration strategy for the Moss Estate, Chadsmoor	Score: 2 x 4 = 8
Consequences Of Risk: <ul style="list-style-type: none"> • Reema houses on the estate will deteriorate further and require more extensive structural reinstatement works • Estate and environment will deteriorate 		
Risk Owner: Head of Housing		Portfolio: Housing
Links to Priority for Place: <ul style="list-style-type: none"> • Maintain and improve the facilities and energy efficiency of the Councils housing stock. 		
Controls in Place <ul style="list-style-type: none"> • Agreed Regeneration Strategy • Initial regeneration timetable in place • Funding in the HRA Business Plan • Approved reinstatement scheme • Re-Housing & Compensation (homeless & disturbance) policies • Approved Reinstatement Scheme for Reema Houses • Agreed Development Brief for Reema Flats 		

Actions Planned	Timescale/Person Responsible	Progress/Comments
Structural Reinstatement of Reema Houses:		
Start on Site	QTR 3 Housing Property Services Manager	Report to Cabinet December 2012 with approval being given, contractors commenced on site February 2013.
Re-Development of Reema Flats:		
Final Development Brief	QTR 4 Strategic Housing Manager	Final development brief agreed by Cabinet February 2013.

Overall Progress Summary: Structural reinstatement work in respect of the 63 Reema houses commenced in February 2013 and is programmed for completion in February 2014. A development brief for the redevelopment of the 170 Reema flats was agreed in February and the procurement process to select a development partner from the HCA's Partner Delivery Panel is programmed for completion in December 2014. In the meantime the existing Reema flats tenants are being rehoused and 112 are now vacant.	GREEN
	

Ref No: 11	Risk: Lack of suitable land to create additional burial space within the district	Score: 3 x 3 = 9
Consequences Of Risk: <ul style="list-style-type: none"> Negative Public Relations Criticism 		
Risk Owner: Head of Environmental Services		Portfolio: Health / Transformation
Links To Priority for Transformation <ul style="list-style-type: none"> Provide services which meet the needs of the community 		
Controls in Place <ul style="list-style-type: none"> Identified 1 suitable site within district (subject to test holes) Members have given approval to look for alternative sites outside of the district 		

Actions Planned	Timescale/Person Responsible	Progress/Comments
Evaluation test holes during winter 2012/13	QTR 4 Parks & Open Spaces Manager	Test holes have been sunk at the selected site and monitoring of these has commenced and has been extended into the new year. A Report was due to go to Cabinet in early 2013 but due to the wet year and recent snow the test results proved inconclusive and further tests are planned for this summer. It is expected that test results will be ready for interpretation before the end of the summer 2013.
Discuss with Members commencing search for alternative sites outside of the district	QTR 4 Parks & Open Spaces Manager	This will commence only if selected site is found to be unsuitable,


Overall Progress Summary: Progress has been hampered by the extremely wet weather conditions experienced throughout the summer and autumn of 2012 which has necessitated monitoring of the selected site being extended well into 2013. A consultant has been appointed to produce a Tier 2 Sur vey which will then be submitted to the EA for their approval.	AMBER
	

Ref No: 12	Risk: Failure to secure adequate funding to fully meet the needs of all vulnerable people who require adaptations to remain in their own homes	Score: 2 X 2 = 4
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Unable to meet demand for Disabled Facilities Grants • Legal challenge for failure to deliver statutory duty • Reduction in Government funding for 2013-14 due to reduced spend in 2012-13 • Criticism • Poor public relations • Customer dissatisfaction 		
Risk Owner: Head of Environmental Health		Portfolio: Health & Wellbeing
<p>Links To Priority for People:</p> <ul style="list-style-type: none"> • Support people to live independently in their own homes 		
<p>Controls in Place;</p> <ul style="list-style-type: none"> • In the 2013 – 2016 budget approved by Council sufficient funding has been identified for each of the 3 years. Provided tha there is no surge in demand or reduction in Government funding then the Council will have the necessary funds to meet its obligations in respect of providing disabled adaptations in privately owned dwellings; • Continued work to identify alternative funding 		

Actions Planned	Timescale/Person Responsible	Progress/Comments
Looking at alternative funding	On-going Head of Environmental Health	Alternative funding mechanisms are currently being explored.
There is a need to submit a bid to CCG Governing Body.	On-going Head of Environmental Health	The bid to the CCG will require provision of evidence to back up request for funding. The Staffordshire & Stoke-on-Trent Partnership Trust is carrying out analysis in Rugeley which will be used when completed. The CCG does not become fully operational until 1 April 2013. Subject to the required evidence being available a bid will be submitted in quarter 1 of 2013/14.

Appendix 2


Actions Planned	Timescale/Person Responsible	Progress/Comments
Information to be provided to Members on the outcome of discussions with the Healthcare providers on alternative funding as part of 2012/13 budget preparation	QTR 3 / 4 Head of Environmental Health	This will be dependent on the outcome of the above bid.

Overall Progress Summary: During 2012/2013 the risk was effectively managed and the target numbers of adaptations were delivered within budget.	GREEN
	

Ref No: 13	Risk: Chase Leisure Centre Refurbishment Project: budget overspent, contractor goes into administration, potential legal dispute with Contractor. (Risk Description revised in Quarter 3)	Score: 3 x 4 = 12
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Impact on contract with WLCT • Impact on budget 		
Risk Owner: Head of Commissioning		Portfolio: Culture & Sport
<p>Links To Priority for People:</p> <ul style="list-style-type: none"> • Promote health and wellbeing (with a focus on health lifestyle choices) • Increase participation in physical activity: 		
<p>Controls in Place</p> <ul style="list-style-type: none"> • Contract in place which includes clauses for non/delayed completion • Leisure Project Board • Independent Technical/ legal advisors • Contingencies and reserves provide for cover of key risks 		

Appendix 2

Actions Planned	Timescale/Person Responsible	Progress/Comments
Cost reports being prepared and considered by Project Board	Ongoing Head of Commissioning	Cost reports continue to be monitored regularly by Project Team including Finance representative
Frequent meetings with contractor and technical advisors	Ongoing Head of Commissioning	Fortnightly technical meetings and monthly site meetings are held with contractors and the Council's professional advisors.
Manage completion of Phase 3	QTR 2 Head of Commissioning	Project achieved practical completion on 28 th February and was opened to the Public on 8 th March 2013. The Council is currently taking legal and professional advice to finalise its position with regard to damages claims from the contractor resulting from the delay of the project.

Overall Progress Summary: Although the project is completed the score remains the same due to the potential for a legal dispute.	AMBER
	

Ref No: 15	Risk: Failure to agree a Local Plan for the District	Score: 3 x 4 = 12
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<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Planning by appeal • Reduced ability to secure funding for infrastructure • Inability to deliver a planned spatial strategy for development of the district • Additional costs incurred from evidence base becoming obsolete

Risk Owner: Head of Planning & Regeneration	Portfolio: Economic Development & Planning
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The Local Plan, as part of the Council's Strategic Policy Framework, contributes across all priorities.

<p>Controls in Place</p> <ul style="list-style-type: none"> • Process for consultation with the public, developers, stakeholders and partners • Process for engagement with members through Policy Development Committee • Process to secure Cabinet endorsement of Local Plan drafts

Actions Planned	Timescale/Person Responsible	Progress/Comments
Publication Version of Local Plan	QTR 4 Head of Planning & Regeneration	Version of Local Plan was considered and approved by Council January 2013. A further period of public consultation is underway.

Overall Progress Summary: Progress is currently on track for Local Plan being submitted for examination in 2013.	GREEN
	