

## STRATEGIC RISKS REGISTER

Ref No: 1

**Risk: Insufficient Capacity (Strategic Management, Operational and new projects)**

Score: **3 x 3 = 9**

**Consequences Of Risk:**

- 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

**Links To Priority for: Transformation:**

- Provide services which meet the needs of the community

**Controls in Place:**

- 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

Actions Planned	Timescale/Person Responsible	Progress/Comments
<p>Heads of Service will report to Leadership Team where there is insufficient capacity to ensure planning through Delivery Change process and Horizon Scanning for resources to be provided or services cut.</p> <p>A timetable of events are scheduled throughout the year to meet final budget setting date (February 2013)</p>	<p>Delivering Change Panel/Leadership Team</p> <p>Timetable of events throughout financial year) inc.</p> <ul style="list-style-type: none"> <li>• Review of process and recommend timetable (March 2012)</li> <li>• Horizon Scanning (May 2012)</li> <li>• Cabinet Conference - a series of dates have been determined</li> <li>• Public Consultation (Nov 2012)</li> </ul>	<p>Timetable developed and agreed by the Strategic Leadership Team (15 May 2012)</p> <p>The delivering change process has commenced –</p> <p>Horizon Scanning took place 15 May 2012</p> <p>Initial Cabinet Conference took place 31 May 2012 – priorities determined and agreed</p> <p>Delivering Change Panel established chaired by the Chief Executive with clear terms of reference</p>
<p>Ongoing review of Shared Services – to be undertaken by Scrutiny Committee</p>	<p>Ongoing Head of Governance</p>	<p>Scrutiny Committee noted the outcome of the review of shared services (12 July 2012)</p> <p>Tabled review for Scrutiny consideration at six monthly intervals to inc. delivery of savings performance levels and progress on transformation</p> <p>Audit Commission have also prepared a report on shared services</p> <p>Potential of Sharing other services is not currently being explored.</p>

Actions Planned	Timescale/Person Responsible	Progress/Comments
<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> <p>Leadership Team and Wider Management Team are encouraged to work creatively to re-design service delivery as appropriate.</p>	<p>Ongoing Head of Policy</p>	<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 to promote and improve social, economic and environmental priorities a the Well-being agenda in the Cannock Chase District</p> <p>Ongoing sessions with Leadership Team and Wider management Team are being undertaken (July 2012) to encourage creativity in transformation and to enable services to be delivered in cost effective ways</p>
<p>Council agreed PDP's that define actions and resources the Council will deploy to deliver against defined A programme of known works/actions to be delivered within the financial year</p>	<p>CEO and Corporate Director - manage expectations</p> <p>PDP – Lead Officers and Cabinet Portfolio Leaders</p>	<p>Performance reports monitoring progress on actions identified in PDP's are considered by Leadership Team, Cabinet, Scrutiny and full Council on a quarterly basis.</p>

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

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
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	Proposed revisions are currently under consultation with Leadership Team and represented Trade Unions
An annual undertaking of Personal Development Reviews is programmed between October and February of each financial year	Head of HR	<p>The annual process of reviews is started with the CEO participating in an independent facilitated appraisal with Member involvement. The appraisal for which took place August 2012. Reports and findings from which will be made available to all political group leaders as appropriate.</p> <p>Management are appraised against an agreed competency framework, Learning and Development requirements are identified throughout this process and arrangements made for training, coaching to be undertaken within the year</p> <p>All staff learning and development requirements are identified through this process and arrangements made as appropriate for training, coaching etc.</p>
Wider Management Team meet on a monthly basis	Wider Management Team Steering Group	Facilitated sessions have commenced with all Wider Management Team, feedback and a programme of future works to be undertaken will be discussed with both Leadership Team and the wider management team

Actions Planned	Timescale/Person Responsible	Progress/Comments
<p>An improvement plan is in place with specified actions to be undertaken throughout the year</p>	<p>Head of Policy/Identified Officers as determined in improvement plan</p> <p>Dates as determined in the improvement plan</p>	<p>Internal and External Communications survey currently being undertaken (August 2012)</p> <p>Chief Executive's staff briefings undertaken at several venues (June 2012) with a timetable of future dates determined as November 2012 and March 2013.</p> <p>The Chief Executive prepares a fortnightly "blog" to inform staff of news and feedback from key meetings</p> <p>A monthly Core Brief is made available to all staff that include good news stories and information</p>

Ref No: 3	<b>Risk: Districts needs not recognised by external stakeholders locally and nationally</b>		Score: <b>2 x 4 = 8</b>
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> <li>• Lack of access to external resources both locally and nationally</li> <li>• Reduced potential to address County need</li> <li>• Reduced potential to narrow disadvantage and inequality within the District and also between District and County regions</li> </ul>			
Risk Owner: Chief Executive		Portfolio: Economic Development & Planning	
<p>Links To Priority for Prosperity:</p> <ul style="list-style-type: none"> <li>• Facilitate economic growth through job creation</li> <li>• Deliver Community regeneration and development</li> </ul>			
<p>Controls in Place</p> <ul style="list-style-type: none"> <li>• Participation and network within District and County Local Strategic Partnerships</li> <li>• Membership and involvement of regional bodies i.e. Birmingham Local Enterprise Partnership, HCA</li> <li>• Membership of National and Regional District Chief Executives Network and West Midlands Councils</li> <li>• Maximising opportunities presented by memberships and involvement in District Council's Network (i.e. collective consultation responses nationally)</li> <li>• Maximising opportunities presented by involvement in Staffordshire's Chief Executive and Leaders network.</li> </ul>			
Actions Planned	Timescale/Person Responsible	Progress/Comments	
Regular programme of liaison meetings between Chief Executive and MP	Quarterly Chief Executive	Dates for 2012 have been agreed	
Increased engagement with Stoke and Staffordshire Local Enterprise Partnership	Monthly Head of Planning & Regeneration	Head of Planning & Regeneration and the Leader of the Council (or substitute) attend Stoke-on-Trent Staffordshire Local Enterprise Partnership meetings in accordance with schedule of meetings.	
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	

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



Actions Planned	Timescale/Person Responsible	Progress/Comments
Review of in house Grounds Maintenance & Street Scene services within 18 months.	4 <sup>th</sup> QTR Head of Environmental Services	In progress
Commissioning Strategy	Mar 13 Head of Commissioning	This has been included in the Transformation PDP for 2012-13. The direction of travel to be determined prior to commencement in conjunction with the CEO.
Pilot scheme to be set up to test VFM methodology	Dec 11 to Mar 12 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.
Develop SLA arrangements with CAB	QTR 1 Head of Commissioning	The SLA was completed in June 12 and signed by both parties on July 19
Develop SLA arrangements with Chase Advice Centre	QTR 2 Head of Commissioning	Preliminary meeting with Chase Advice Centre was held of August 6
Wider Review of Voluntary Sector Commissioning	QTR 4 Head of Commissioning	Will commence on completion of the Chase Advice SLA Review

Ref No: 5	<b>Risk: Decision making is not evidence based</b>		Score: <b>4 x 3 = 12</b>
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> <li>• Unable to achieve Council priority outcomes, Community need will not be met</li> <li>• Inequality between Cannock Chase and Staffordshire would increase</li> <li>• External funding opportunities would be missed</li> <li>• State dependency within Cannock Chase would increase</li> <li>• Customer satisfaction will decline and the Council's reputation would be damaged</li> </ul>			
Risk Owner: Head of Policy		Portfolio: Corporate Improvement	
<p>Links To Priority for Transformation:</p> <ul style="list-style-type: none"> <li>• Provide services which meet the needs of the community</li> <li>• Improve the effectiveness of communications with our residents</li> <li>• Involve residents in shaping and improving our services</li> </ul>			
<p>Controls in Place</p> <ul style="list-style-type: none"> <li>• Annual needs analysis prepared and provided for consideration to Cabinet for the policy/budget setting process, corporate plan and community strategy</li> <li>• Horizon scanning guidance has been refreshed, aligned to the requirements of medium term Financial Strategy and is outcome focused in its approach.</li> <li>• Report template which includes details of needs/evidence to support the recommendation</li> <li>• 2011-14 Communications Strategy and Improvement Plan were informed by evidence collated in the annual Communications survey both internally &amp; externally and hence all Corporate communications activities are evidence based.</li> </ul>			
Actions Planned	Timescale/Person Responsible	Progress/Comments	
Customer insight analysis and implementation	QTR 2 Head of Policy	In Progress	

Actions Planned	Timescale/Person Responsible	Progress/Comments
Priority Delivery Plans for 2013-2104	QTR 4 Head of Policy	<p>The delivery change process has commenced with Horizon Scanning (15 May 2012) and Cabinet Conference (31 May 2012)</p> <p>PDP's are being drafted with the agreement of Leadership Team as high level 'portfolio delivery plans' to enhance the alignment between council priority outcomes and operational service delivery</p> <p>Delivering Change Panel established to oversee process, Chaired by CEO. Terms of Reference and a timetable for delivery have been agreed by Leadership Team</p>
Equality Impact Assessments are corporately required from report authors to ensure compliance with Equality Act 2010 (the outcome of completed E.I.A's should be incorporated within the E & D implications section of Committee reports)	QTR 2 Head of Policy	WMT training session and launch of new assessments carried out June/July 2012
CEO to determine how "Corporate Services" will collectively achieve a 'high level service plan' for the Transformation priority.	QTR 3 Chief Executive	

Ref No: 7	<b>Risk: Shared Services with Stafford Borough Council (savings not delivered, service standards not maintained)</b>	Score: <b>3 X 3 = 9</b>
Consequences Of Risk: <ul style="list-style-type: none"> <li>• Negative public relations</li> <li>• Impact on reputation</li> <li>• Employee dissatisfaction</li> <li>• Customer dissatisfaction</li> </ul>		
Risk Owner: Head of Governance		Portfolio: Corporate Improvement
Links To Priority for Transformation: <ul style="list-style-type: none"> <li>• To provide services that are good value for money</li> </ul>		
Controls in Place <ul style="list-style-type: none"> <li>• Strategic Board</li> <li>• Programme Board</li> <li>• Service Level Agreements</li> <li>• Client meetings</li> <li>• Trade Union meetings</li> <li>• Transformation Plans</li> </ul>		
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	Report on 1 <sup>st</sup> year of Shared Services going to Scrutiny on 12 July 2012

Ref No: 8	<b>Risk: Budget Assumptions, including funding arrangements, do not deliver required savings and deliver a balanced budget.</b>		Score: <b>3 x 4 = 12</b>
Consequences Of Risk: <ul style="list-style-type: none"> <li>• Compensatory savings to be identified e.g. reductions/cuts in service</li> </ul>			
Risk Owner: Head of Finance		Portfolio: Corporate Improvement	
Links To Priority for Transformation: <ul style="list-style-type: none"> <li>• To provide services that are good value for money</li> </ul>			
Controls in Place <ul style="list-style-type: none"> <li>• Clear Accountability</li> <li>• Performance management</li> <li>• Project management</li> <li>• Working balances</li> <li>• Priority Delivery Plans</li> <li>• Reality assessments for delivery</li> <li>• Financial Planning</li> <li>• Pooling of Business Rates</li> </ul>			
Actions Planned	Timescale/Person Responsible	Progress/Comments	
Evaluation of Business Rates Retention/Funding streams	QTR3 Head of Finance	Evaluation of Government Consultation document is being undertaken.	
Membership of Business Rates pool	QTR 2 Head of Finance	Two pools being planned	

Ref No: 10	Risk: Failure to implement a regeneration strategy for the Moss Estate, Chadsmoor	Score: <b>2 x 4 = 8</b>
<p>Consequences Of Risk:  Reema houses on the estate will deteriorate further and require more extensive structural reinstatement works  Estate and environment will deteriorate</p>		
Risk Owner: Head of Housing		Portfolio: Housing
<p>Links to Priority for Place:</p> <ul style="list-style-type: none"> <li>Improve and protect our parks, green spaces and living environment</li> </ul>		
<p>Controls in Place</p> <ul style="list-style-type: none"> <li>Agreed Regeneration Strategy</li> <li>Initial regeneration timetable in place</li> <li>Funding for reinstatement of Reema houses and rehousing of households from the Reema flats included in the "initial" HRA</li> <li>Approved reinstatement scheme</li> <li>Re-Housing &amp; Compensation (homeless &amp; disturbance) polices</li> </ul>		
Actions Planned	Timescale/Person Responsible	Progress/Comments
<b>Structural Reinstatement of Reema Houses:</b>		
Approve Reinstatement Scheme	QTR 1 Head of Housing	Going to Cabinet June 2012
Start on Site	QTR 3 Housing Property Services Manger	Reinstatement Scheme approved by Cabinet in June. Commencement on site is on target.
<b>Re-Development of Reema Flats:</b>		
Agree draft Development Brief	QTR 2 Strategic Housing Manager	Due to go to Cabinet July 2012

Actions Planned	Timescale/Person Responsible	Progress/Comments
Consultation on draft Development Brief	QTR 3 Strategic Housing Manager	
Final Development Brief	QTR3 Strategic Housing Manager	Due to go to Cabinet Nov 12

Ref No: 11	<b>Risk: Lack of suitable land to create additional burial space within the district</b>	Score: <b>3 x 3 = 9</b>
Consequences Of Risk: <ul style="list-style-type: none"> <li>Negative Public Relations</li> <li>Criticism</li> </ul>		
Risk Owner: Head of Environmental Services		Portfolio: Health / Transformation
Links To Priority for Transformation <ul style="list-style-type: none"> <li>Provide services which meet the needs of the community</li> </ul>		
Controls in Place <ul style="list-style-type: none"> <li>Identified 1 suitable site within district (subject to test holes)</li> <li>Members have given approval to look for alternative sites outside of the district</li> </ul>		
Actions Planned	Timescale/Person Responsible	Progress/Comments
Evaluation test holes during winter 2012/13	QTR 4 Parks & Open Spaces Manager	At least 1 site has been identified and meetings set up with two landowners. Test holes have been sunk and the Council will be monitoring these over the winter of 2012-13
Discuss with members commencing search for alternative sites outside of the district	QTR 4 Parks & Open Spaces Manager	



Ref No: 12	<b>Risk: Failure to secure adequate funding to fully meet the needs of all vulnerable people who require adaptations to remain in their own homes</b>		Score: <b>4 X 4 = 16</b>
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> <li>• Unable to meet demand for Disabled Facilities Grants</li> <li>• Legal challenge for failure to deliver statutory duty</li> <li>• Reduction in Government funding for 2013-14 due to reduced spend in 2012-13</li> <li>• Criticism</li> <li>• Poor public relations</li> <li>• Customer dissatisfaction</li> </ul>			
Risk Owner: Head of Environmental Health		Portfolio: Health & Wellbeing	
<p>Links To Priority for People:</p> <ul style="list-style-type: none"> <li>• Support people to live independently in their own homes</li> </ul>			
Controls in Place			
Actions Planned	Timescale/Person Responsible	Progress/Comments	
Working with the Primary Care Trust	QTR 3 Head of Environmental Health	A working group has been meeting and evidence of the savings in primary healthcare costs identified. A meeting to discuss funding is being arranged with the Clinical Commissioning Group.	
Looking at alternative funding	QTR 3 Head of Environmental Health	Alternative funding mechanisms are currently being explored as part of the above	
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		

Ref No: 13	<b>Risk: Chase Leisure Centre Refurbishment Project: completion date delayed, budget overspent, contractor goes into administration</b>		Score: <b>3 x 4 = 12</b>
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> <li>• Loss if income</li> <li>• Customer dissatisfaction</li> <li>• Negative public relations</li> <li>• Impact on leisure outsourcing</li> <li>• Impact on contract with WLCT</li> </ul>			
Risk Owner: Head of Commissioning		Portfolio: Culture & Sport	
<p>Links To Priority for People:</p> <ul style="list-style-type: none"> <li>• Promote health and wellbeing (with a focus on health lifestyle choices)</li> <li>• Increase participation in physical activity:</li> </ul>			
<p>Controls in Place</p> <ul style="list-style-type: none"> <li>• Contract in place which includes clauses for non/delayed completion</li> <li>• Leisure Project Board</li> <li>• Independent Technical Advisors to monitor and support project delivery</li> <li>• Contingencies and reserves provide for cover of key risks</li> <li>• Client and contractor have active risk management processes in place</li> <li>• Financial check undertaken on contractor</li> <li>• Performance Bond for contractor</li> </ul>			
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	

Actions Planned	Timescale/Person Responsible	Progress/Comments
Manage completion of Phase 2	QTR 1 Head of Commissioning	Phase 2 is complete
Manage completion of Phase 3	QTR 2 Head of Commissioning	Frequency of meetings has increased to weekly. Progress is being monitored and where appropriate corrective actions plans are developed.

Ref No: 15	<b>Risk: Failure to agree a Local Plan for the District</b>		Score: <b>3 x 4 = 12</b>
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> <li>• Planning by appeal</li> <li>• Reduced ability to secure funding for infrastructure</li> <li>• Inability to deliver a planned spatial strategy for development of the district</li> <li>• Additional costs incurred from evidence base becoming obsolete</li> </ul>			
Risk Owner: Head of Planning & Regeneration		Portfolio: Economic Development & Planning	
<p>The Local Plan, as part of the Council's Strategic Policy Framework, contributes across all priorities.</p>			
<p>Controls in Place</p> <ul style="list-style-type: none"> <li>• Process for consultation with the public, developers, stakeholders and partners</li> <li>• Process for engagement with members through Policy Development Committee</li> <li>• Process to secure Cabinet endorsement of Local Plan drafts</li> </ul>			
Actions Planned	Timescale/Person Responsible	Progress/Comments	
Draft Local Plan	QTR 2 Head of Planning & Regeneration	Draft plan to be agreed by Cabinet on 19 <sup>th</sup> July and proposed for consultation.	