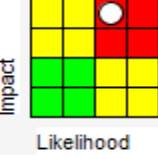
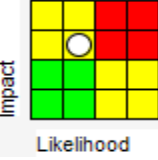


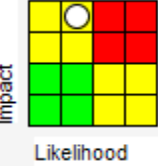
Strategic Risk Register April to June 2014

Code	Title	Description	Current Risk Matrix	Impact	Likelihood	Managed By	Latest Note
14-SR1	Risk of significant reduction in funding above that planned for, in particular localisation of Council Tax Support, localisation of business rates and New Homes Bonus.	There is uncertainty around future funding, both from Government and other areas such as income from commodities markets for recycled materials. There are cost pressures combined with an increased awareness and scrutiny of financial position.		3	3	Adele Taylor	April to June 2014: The Council will be refreshing its Medium Term Financial Plan in August / September 2014 and will consider the risks around future funding, using the latest available information and consideration of how the Council could respond to further shocks. The Council underspent in 2013/14 and used some of the resources to mitigate against risks around future expenditure either through setting aside earmarked reserves, paying off £1m against the pension deficit to reduce future contributions against past expenditure etc.
14-SR2	Risk of not having capacity / capability and flexibility to continue to deliver service levels over time.	There are challenges around workforce planning to ensure the Council is fit for the future, in terms of workforce skills, capacity and flexibility. Also about being fleet of foot and responsiveness		3	3	Adele Taylor	April to June 2014: Here to Help is considering all aspects of how staff work together, deploy resources and consider to build on the good practice within the authority to continue to improve how we do things. The outcomes of this work will feed into the refreshed Workforce Development and Planning work co-ordinated by the Head of People & Property.
14-SR3	Risk that supplier / contractor or key third sector partner fails or fails to deliver.	A number of key external and internal services are delivered through major contracts, both directly and in consortia. This is both through private sector supply chains and in conjunction with the voluntary and third sector.		3	2	George A Robertson	April to June 2014: The council has robust contract management processes and procedures in place to ensure any concerns are flagged up early.

14-SR4	Risk that investment and effort does not deliver benefits and returns in Shared Services.	Moving more towards shared services with other public sector partners. Potential for lack of consistent political buy-in by all partners resulting in considerable effort without benefit. There is also a challenging skill set for managers due to the complexity.		3	3	Adele Taylor	April to June 2014: Those Shared Services already in place are delivering expected benefits. Continued investigation of other appropriate sharing arrangements are considered on a case by case basis.
14-SR5a	There is short term uncertainty around government policy and a number of changes required without accompanying resource.	Risk of policy changes by decree which we do not comply with or implement		3	4	Simon Drinkwater	April to June 2014: The Council's ability to respond promptly and efficiently to changes in legislation poses risks for delivery of service. Software changes are not always reliable or easy to implement.
14-SR5b	There is long term uncertainty on overall future government policy and direction.	Risk of being unable to long term strategically plan.		3	3	Simon Drinkwater	April to June 2014: The Council has responded well to changes in welfare legislation. The risk remains that future changes to housing benefit and housing rules may be more difficult to manage particularly if they are accompanied by funding reductions.
14-SR6	HR and Workforce management policies are being brought up to date. These will need to be applied across the Council in a coherent and consistent way.	There could be a lack of consistency and cohesion at senior management levels of applying policies.		3	2	Simon Drinkwater	April to June 2014: Policies are being updated and approved by CMT and HR Committee. Training will be provided to ensure managers apply policies correctly. There remains a risk that there will not always be a consistent approach despite revised policies and training.

14-SR7	Availability and performance of IT systems and resources impacting on service delivery.	Reduced levels of service across the Authority. Targets may not be achieved. Staff morale and reputation of Council may suffer. Influence of ITSG should reduce risks		4	3	Adele Taylor	April to June 2014: Continued roll-out of the new ICT desktop and movement of servers to shared data centre is improving resilience. Still further work before all systems are transferred to the new environment. Monitoring of performance is undertaken at ITSG and any major incidents are reported and lessons learnt considered. Process around this has been strengthened.
14-SR8	Data Protection: Failure to comply with the data protection principles. The potential disclosure of personal data inappropriately.	Action may be taken by the ICO. Individuals may suffer if their personal data, particularly sensitive personal data is disclosed.		3	2	George A Robertson	April to June 2014: Report and action plan for 2014/15 presented and endorsed by CMT in March 2014. Three key aspects will be focussed on for further enhancement: application of the document retention and disposal policy in services, use of fair processing notices, data sharing. Shared IT services have high priority policy development regarding use of portable IT equipment, home working and email security to deliver. The Operational Risk Management Group will take oversight of the corporate actions. The Information Management team will spot check service based actions.

14-SR9	Impact of welfare reform changes, specifically Universal Credit.	New legislation will have an adverse financial impact on a significant number of residents. Residents will require more support from services across the Council affecting staffing levels, finances, and a risk of increased aggression. There may also be difficulties in implementing Government policy, with uncertainty on timetable.		3	3	Adele Taylor	April to June 2014: The Council has responded well to changes in Welfare reform although this has resulted in an increased number of contacts from affected residents. The impact of this increased contact is monitored through appropriate management teams and partnership boards. The timetable for implementation of Universal Credit remains uncertain but relevant officers are actively keeping up to date on latest information released via Central Government.
14-SR10	Development of an Investment Strategy with sufficient levels of governance and due diligence.	A need to find the optimum position of balancing risk and return and having financial strength to contribute to the local economy. Risk of failing to undertake and implement effective due diligence and governance meaning potential consequences of: Incurring significant costs, Challenge, Qualification of accounts, Scrutiny Publicity, Loss of reputation		4	2	Adele Taylor	April to June 2014: Investigative work underway to consider all aspects of the Investment Strategy that was agreed in November 2013. Refresh of the Treasury Management Strategy to allow the investment of Council resources into Property Funds is underway and will be brought before Audit Committee and Council in July 2014.
14-SR11	Development of a District Plan that is acceptable to the community and the planning inspectorate.	Risk of not being able to agree plan in timeframe meaning: Increased costs, Lack of effective development control, Cannot bid for funding for infrastructure, Lost opportunity, Open to challenge in meantime, Legal / Reputational / political issues		3	3	Simon Drinkwater	April to June 2014: The plan has been out to consultation and results are being analysed. Further work on deliverability has been commissioned. The plan is proceeding in accordance with the timetable.
14-SR12	Increased levels of demand from residents and businesses.	We are seeing increased requests from the public, both residents and businesses. There is some risk of failing to resource increased volume of contact from public and business.		4	2	George A Robertson	April to June 2014: The Here to Help activities are providing a platform for organisation development while the development of a more focused Customer Services Strategy will help us develop capacity in the medium term.

14-SR13	Here to Help: Failure to develop the changes sought and the increased capacity that the Council has to find.	There are challenges around this scheme, particularly engagement, communication, and supporting / resourcing it adequately. Risk that scheme does not deliver as intended / planned. Meaning: Fail to bring about improvement / remove barriers, Staff become distrustful of SMG motives, Doesn't deliver changes, Don't deliver increased capacity.		4	2	George A Robertson	April to June 2014: A project management resource has been added to our establishment and the Head of Personnel is providing lead and support for the development of the action plans corporately.
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