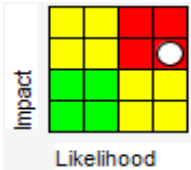
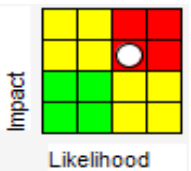
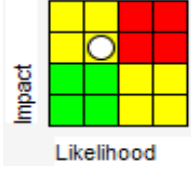
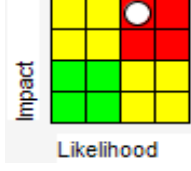
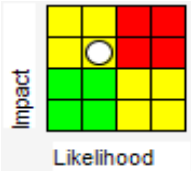
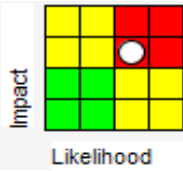
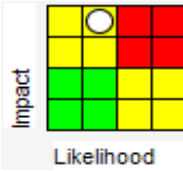
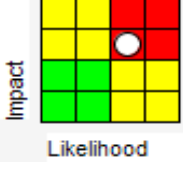


Strategic Risk Register October to December 2014

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	October to December 2014: Finance settlement for 2015/16 and the impact on the budget and Medium Term Financial Plan have now been modelled. This will be considered by Joint Scrutiny Committee, The Executive and Council from January to February 2015. Significant risk remains for 2016/17 onwards given uncertainty around funding.
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	George A Robertson	October to December 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	October to December 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	October to December 2014: Current shared services are delivering expected benefits. Governance arrangements in place to measure performance.

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	October to December 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, and its impact on local government.	Risk of being unable to long term strategically plan.		3	3	Simon Drinkwater	October to December 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	Adele Taylor	October to December 2014: The review and update of policies is continuing with policies being regularly presented for decision at HRC. Appropriate training is being provided for new and existing policies.
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	October to December 2014: The core infrastructure is now more resilient. Roll out of the system is ongoing, with Revenues & Benefits being the largest service remaining outstanding but will go live in early 2015. All key systems with the exception of Finance are now operating from the new data centres and are protected by the new business continuity arrangements.
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	October to December 2014: Additional training to further assist staff in application of Data Protection principles to working environment has commenced. Data protection risk assessments revisited within service planning process.

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	October to December 2014: Uncertainty on timetable remains but relevant officers are ensuring that they attend briefings and learning events to prepare for changes as they come in.
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	October to December 2014: Two property funds have been selected to invest money in to and the Council is currently on the waiting list. Investment adheres to updated Treasury Management Strategy. New Principal Accountant starting early 2015 will review other aspects of investment strategy.
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	October to December 2014: Progress continues to be made on the production of the District Plan. It is clear that detailed scrutiny of the infrastructure that can be provided to support delivery is necessary. Consultants appointed by the Council have undertaken significant work to review the evidence and identify gaps which will need to be filled before the District Plan can move forward to an amendments consultation version. The result of this work will have an impact on the timetable. In December 2014 SIAS reviewed the District Plan Consultation Process and reported full assurance.