



Performance and Audit Scrutiny Committee 27 July 2011

Corporate Risk Register Quarterly Monitoring Report

SUMMARY

The quarterly risk register is updated by the Strategic Risk Management Group, and reviewed by Management Team and Corporate Management Team.

No new risks have been added to the register in this quarter.

No risks have been closed.

One residual risk colour has changed:

- **Risk 25:** Partnership working, which has **increased from amber to red**, to reflect the uncertainty around the outcome of our partnership with Forest Heath.

Risks closed at or before the previous meeting of this Committee have been removed from the current version of the Strategic Risk Register, but are maintained on previous versions, in order to ensure a complete audit trail of risk management within the authority.

PURPOSE OF THE REPORT

Members are invited to scrutinise this quarterly update of the Council's Corporate Risk Register, and to refer any major issues requiring attention to the Cabinet.

Contact Details

Name

Telephone

E-mail

Chairman

John Hale

01359 221141

john.hale@stedsbcc.gov.uk

Chief Finance Officer

Liz Watts

01284 757252

liz.watts@stedsbcc.gov.uk

St Edmundsbury Borough Council Risk Register 2011/12

ID	Date risk was added to register	Type	Current Owner	Title	P	I	Inherent Risk	Description - What are we trying to avoid?	Summary of Actions - What we are doing to prevent it.	Who	Start date	Completion date	P	I	Residual Risk
1	10/10/05	Operational	G Rivers	Performance Management	4	3	12	Risk of individual services having below par performance levels.	1) Performance and Audit Scrutiny Committee (P&AS) receive details of variances in performance through Performance Indicator reports	Davina Howes	ongoing	ongoing	1	3	3
									2) Embedded monitoring and performance management culture and processes.	Louise Hammond	ongoing	ongoing			
									3) Improving performance central to Corporate Plan, running from Corporate Priorities down through Service Plans to PDR's for individual members of staff.	CEO/CDs	ongoing	ongoing			
									4) Consistent and regular communications to staff as performance management, PDR etc	Marianne Hullah	ongoing	ongoing			
									5) Performance Management Group established at a corporate level	Louise Hammond	Sep-09	ongoing			
									6) Implementation of the Covalent Performance Management System in partnership with FHDC.	Davina Howes	Sep-10	ongoing			
2	10/10/05	Operational	G Rivers	Service Delivery Method, including the move towards Shared Services	3	4	12	Service delivery methods do not meet customer needs or expectations with potential to damage Council's reputation; customer expectations may need to be more carefully managed in new financial climate; new shared services fail to deliver savings in required time scale or maintain quality; excessive demands on staff time; morale impact on staff going through change.	1) All services changes to be driven from a customer perspective and based on a true understanding of the nature of demand and way of meeting customers needs.	CEO/CDs	ongoing	ongoing	3	4	12
									2) Ensure that where changes are proposed robust plans are in place for implementation	CEO/CDs	ongoing	ongoing			
									3) Equality assessments are always undertaken.	Davina Howes	ongoing	ongoing			
									4) All changes are financially appraised to ensure that they are deliverable.	CEO/CDs	ongoing	ongoing			
									5) Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels.	Marianne Hullah	ongoing	ongoing			
									6) Joint working with Suffolk CC on some areas of service integration	CEO/CDs	ongoing	ongoing			
									7) Preferred partner status established with Forest Heath and Project Manager and project structures and processes now in place.	CEO	Dec-09	ongoing			
									8) Business cases being developed in a number of areas.	CEO/CDs	Mar-10	ongoing			
									9) Significant HR piece of work around salary consistency between SEBC and FH being undertaken.	Ruth Littlechild/L Hammond	Jan-11	Oct-11			
5	10/10/05	Operational, information	L Watts	Transformational government, electronic customer transactions and communication.	3	2	6	Risk of non delivery of customer services by new or different methods, e.g. access on line and transformational government. Risk that departments and public do not buy into changes and ICT investment is not fully utilised.	1) Progress monitoring by Project Board.	CEO/CDs	ongoing	Dec-09	1	2	2
									2) Integrated ICT operational in West Suffolk House.	Chris Woodhouse	ongoing	Jun-09			
									3) Continue to work to maximise the investment in ICT.	Chris Woodhouse	ongoing	ongoing			
									4) Migration to full electronic payment system, including direct debits online	Chris Woodhouse	ongoing	tbc			
									5) Connection to Government Secure Network complete	Chris Woodhouse	Apr-09	Oct-09			
									6) e-learning module rolled out to staff to increase awareness of ICT security issues.	Chris Woodhouse	Jun-09	Sep-09			

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									7) External communication to raise awareness of transactions available on the website	Marianne Hulland	ongoing	ongoing			
									8) Customer Access cross cutting piece of work as part of shared service agenda, to ensure that a holistic approach is taken to customer access to services.	Louise Hammond	Apr-11	Mar-12			
									9) Implementation of Tell us Once (ToU) programme across St Edmundsbury.	Davina Howes	Jun-11	ongoing			
6	10/10/05	Financial	S Pell	Refurbishment of BSE Leisure centre	3	4	12	Ensure that closure is brought to the BSE Leisure Centre rebuild and that the final account is finalised	1) Snagging issues completed and reconciliation of final account ongoing.	Ivan Sams	ongoing	Sep-11	2	4	8
									2) Possible Arbitration	Ivan Sams	Sep-09	Sep-11			
7	10/10/05	Strategic, Missed opportunity	G Rivers	Community priorities	3	3	9	Possible failure to deliver on Cabinet commitments due to lack of clarity around priorities. Missing the opportunities to influence the work of partners to take on board cabinet priorities.	1) Ensure that administration have clear set of priorities	Geoff Rivers	ongoing	ongoing	2	4	8
									2) Focused set of Cabinet Commitments (immediate priorities)	Geoff Rivers	ongoing	ongoing			
									3) Strong links between commitments, Corporate Plan and Community Strategy.	Geoff Rivers	ongoing	ongoing			
									4) For the longer term extensive community and partner involvement in the development of services and implementation of masterplans for BSE, HH and Rural areas. Consultation with public and partners on strategies and projects.	Heads of Service	ongoing	ongoing			
									5) Ensure effective consultation and engagement is undertaken to help identify corporate priorities	Davina Howes	ongoing	ongoing			
									6) Ensure SEBC has appropriate representation on delivery and partnership boards.	Geoff Rivers	ongoing	ongoing			
									7) Management Restructure - moved resources into Neighbourhood Development to support community process.	Cathy Manning	Jul-09	Sep-09			
									8) The Council is responding positively to the Localism Bill see risk 53.	Geoff Rivers	Jan-11	ongoing			
									9) Keeping a watching brief on partnerships and changes to partnerships - in a very fluid and uncertain environment.	CEO/Corporate Directors/Heads of Service	Jan-11	Ongoing			
8	14/6/07	Strategic, Operational, Reputational	A Wilson	Commitment to Rural areas	2	4	8	Failure to deliver on political and public commitments in rural areas as promised by administration.	1) 2008/11 Rural Action Plan complete. New 3-year plan has started in April 2011, and will be subject to scrutiny by Rural Area Working Party	Kirsty Pitwood	ongoing	ongoing	1	4	4
									2) Capital and Revenue allocation, to promote grant aid for minor works.	Liz Watts	ongoing	ongoing			
									3) Rural Area Working Party established to mirror the work of the Bury and Haverhill Working Parties.	Alex Wilson	Oct-09	ongoing			
									4) Regular communication to rural areas on relevant issues.	Marianne Hulland / Alex Wilson	ongoing	ongoing			
									5) Rural Masterplan to run alongside masterplans for BSE and HH.	Nicola Baker	Jan-11	ongoing			
10	26/9/08	Reputational Operational, Financial	S Pell/A Wilson	The Apex (Capital)	4	4	16	Risks associated with increased costs and time delay, or failure to deliver a successful operational public building to satisfy the needs of residents and users.	1) 12 month defect period is being monitored under the contract	Mark Walsh	Feb-10	Oct-10	2	3	6
									2) Snagging issues and reconciliation of final account being completed.	Mark Walsh	ongoing	Oct-11			

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12	10/10/05	Strategic, Operational, Reputational	G Rivers	Commitment to Haverhill	2	3	6	Failure to co-ordinate the delivery of the remaining political and public commitments in Haverhill.	1) Specific Cabinet Commitments with key activities reviewed annually. 2) Haverhill priorities specified in Capital Programme - £5.8m for Leisure Centre, £1.2m for Community Football and £0.4m for environmental improvements. 3) Designated Portfolio Holder working with a cross-party Cabinet Working Party which has close links with the local community and partners. 4) Refurbishment of Leisure Centre Queens Street area 5) Working with Primary Care Trust (PCT) following Planning approval to facilitate site for temporary surgery. 6) Maintain regular communication between partners in Haverhill and with public. 7) HH office colocation with SCC and voluntary sector to improve the use of this asset and provide a more joined up service for customers. 8) Haverhill One now established.	Geoff Rivers Geoff Rivers Anne Gower Ivan Sams Nicola Baker Marianne Hullahnd Ivan Sams Geoff Rivers	ongoing ongoing Oct-09 ongoing ongoing ongoing Sep-09 Jan-11	May Annual Council complete ongoing complete complete ongoing Jan-12 ongoing	1	3	3
14	10/10/05	Community	G Rivers	Local Authority Leadership Role	4	3	12	Failure to perform the new community leadership role for Local Authorities, promoting the 'Big Society' locally	1) Active role in, and support of West Suffolk Local Strategic Partnership. 2) Development of masterplans for BSE, HH and rural areas, which identify who we need to work with to deliver the aspirations of community and access to funding. Link to the LDF development work and development of corporate priorities. 3) Development of Key Strategies, e.g. masterplans, Housing Strategy etc. 4) Close working with partners on joint projects, e.g. waste management, WSH. 5) Equalities framework and commitment to diversity. 6) Use of community and youth engagement. 7) External scrutiny activity. 8) Lives we Lead public sector leadership programme/Suffolk Collaborative starting to produce tangible results. Regional funding for leadership. 9) The WSLSP updated its strategic objectives and priority outcomes in May 10. 10) Internal and external communications at appropriate times to engage public and staff. 11) Ensuring emerging policy on the Big Society is supported through local communities 12) Localism Bill published in December 2010 is being analysed and appropriate responses across the authority are being developed. See risk 53.	Cathy Manning Davina Howes / Nicola Baker / Cathy Manning CEO/CDs CEO/CDs Alex Wilson Davina Howes / Simon Pickering Adriana Stapleton Geoff Rivers Cathy Manning Marianne Hullahnd All Managers Heads of Service	ongoing Mar-10 ongoing ongoing ongoing ongoing ongoing Jun-08 Sep-09 ongoing ongoing Dec-10	ongoing ongoing ongoing ongoing ongoing ongoing Jan-11 ongoing ongoing ongoing	3	3	9
15	10/10/05	Financial	L Watts	Revenue Budget Management	3	4	12	Failure in specific areas to achieve projected income or expenditure exceeds the approved budgets, especially	1) Reflection of economic situation taken into account when setting 11/12 budget.	L Watts	Sep-08	complete	2	4	8

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								in view of current economic downturn and extremely tight budgets.	2) Clear responsibilities for monitoring and control of budgets. 3) DR-IVE programme in place. 4) Improved budget monitoring reports to Performance and Audit Scrutiny Committee, Cabinet and MT. 5) Updated Financial Management system which includes electronic commitment accounting. 6) Ongoing improvements to MTFS, to capture longer term implications of revenue budget 7) Local Government Finance Settlement announced for 2011/12 and 2012/13, allowing more precise projection of MTFS.	Heads of Service Heads of Service L Watts L Watts L Watts L Watts	ongoing ongoing ongoing ongoing Dec-10	ongoing ongoing ongoing complete ongoing complete			
16	19/12/08	Community	G Rivers	Economic Downturn	4	3	12	Detrimental effect on local communities (e.g. Businesses).	1) Targeting of schemes to boost local businesses 2) Establishment of and publicity for support mechanisms. 3) Information on Council Web site suggesting help available. 4) Development of partnership opportunities with private, public and volunteer sectors to provide a support framework. 5) Commitment to processing local supplier invoices in 20 days 6) SEBC involvement with development of WSLSP apprenticeship scheme. 7) Economic Assessment of the borough approved. 8) Successful BID process in Bury St Edmunds town centre has created more financial resources for BID members to spend on their agreed priorities.	Andrea Mayley Andrea Mayley / Marianne Hulland Marianne Hulland Andrea Mayley Chris Barber Louise Hammond Andrea Mayley Andrea Mayley	Dec-08 Dec-08 Dec-08 Dec-08 Dec-08 Sep-09 Dec-09 Dec-09	ongoing ongoing ongoing ongoing ongoing ongoing complete closed	3	3	9
17	10/10/05	Financial	G Rivers	Delivery of Capital Programme	3	3	9	Implementation of capital programme being delayed and not properly controlled. Effect of full implications of VAT relating to land transactions. Economic downturn causes delays in disposal and lower returns.	1) Realistic projection of revenue costs of Capital Schemes. 2) Account is taken of loss of income in Medium Term Financial Strategy. 3) Additional revenue demands are funded by DR-IVE savings. 4) Project Management Board in place with monthly red flag reporting to CMT on monthly basis.	Heads of Service L Watts Heads of Service CEO/CDs, Heads of Service	Oct-05 Oct-05 Oct-05 Oct-05	ongoing ongoing ongoing ongoing	3	1	3
18	10/10/05	Financial, Reputational	G Rivers	Efficient use of resources	3	3	9	Failure to achieve value for money, financial control/standing and data quality to citizens, politicians, CLG due to increasing and changing requirements	1) Use of Resources (UofR) programme team established to deliver annual self-assessments, comprising Strategic Policy Unit, Finance, Property, Audit and Procurement officers. Achieved Level 3 overall for 08/09 2) Annual review of Annual Governance statement. 3) Data quality management strategy, with training programme, in place. 4) Action plan for data quality in place and reviewed 5) Performance Group Benchmarking	L Watts, D Howes, J Snares J Snares Davina Howes Davina Howes Davina Howes	Dec-08 Jan-08 Mar-09 Apr-09 Aug-09	complete annual complete complete ongoing	1	3	3

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									6) Publishing of transparency information, including payments over £500, senior staff salaries, members' allowances etc., in line with Coalition Government requirements.	Davina Howes	Jan-11	ongoing			
									7) New Data Quality policy being developed jointly with Forest Heath.	Davina Howes	Jan-11	Jul-11			
19	10/10/05	Financial	CEO/CDS	Maximising Income	4	4	16	Income streams, in particular, Car Parks, Industrial Land/Property Land Charges, Planning, Building Control and Waste Management, under pressure due to external factors including market forces and current economic downturn.	1) DR-IVE programme places emphasis on increasing income. 2) Monthly monitoring of Income. 3) Annual review of charges, using corporate 'Fees and Charges' policy. 4) Preparation for the introduction of the Community Infrastructure Levy and monitoring of Section 106 agreements and review as necessary. 5) New income generation opportunities being developed into business cases by Heads of Service 6) New Homes Bonus being carefully assessed to ensure that the risks of losing grant are monitored as well as the possible increase in income in Year 1 of the scheme.	Heads of Service Heads of Service Heads of Service Nicola Baker Heads of Service Nicola Baker	ongoing monthly annual ongoing ongoing Dec-10	ongoing ongoing ongoing ongoing ongoing	4	3	12
20	10/10/05	Financial	S Pell	Asset Management Programme (AMP)	4	4	16	Decline in projected income due to economic downturn. Planned disposals income not in line with Medium Term Financial Strategy creating shortfall in available capital. Inadequate maintenance provisions could cause assets to lose value.	1) Fully resourced AMP 2) Major asset disposal plan developed and approved annually in June. 3) 5 year medium term financial model updated with disposal plan and reviewed on a monthly basis in line with the latest actual income. 4) Progress monitored including annual review. 5) Officer team and portfolio holder to monitor disposal programme. 6) Realign Capital/revenue budget to give higher priorities to replacement of Capital assets.	Betty Albon Betty Albon Sarah Nunn Betty Albon, Sarah Nunn Betty Albon CEO/CDS	ongoing ongoing monthly ongoing ongoing Sep-09	ongoing ongoing ongoing ongoing ongoing	3	4	12
21	10/10/05	Strategic, Operational	A Wilson, S Pell	Provision of affordable Housing	4	4	16	Lack of affordable housing exacerbated by declining in housing market and construction industry. Reduction in future grant availability for affordable house building. Likely increase in homelessness. Impact of 'affordable rent' (which is set at 80% of market rent) is as yet unknown, but may be significant.	1) Empty homes strategy updated and reviewed by PD in Sept 2010 and resourced with £75k. 2) Housing Market Assessment completed 2005, updated 2010 3) Implement revised targets for Affordable Housing for new developments over a certain size, once LDF Core Strategy adopted. Continue to implement Local Plans. 4) Implement PPS3 Housing proposals for developing affordable housing, particularly in rural areas. 5) Choice Based Lettings introduced. 6) Growth area status confirmed and funding received for infrastructure works for housing development and further funding approved. Continue to work on implementation of Community Area Funding Support. Growth area funds now allocated.	Carole Herries Carole Herries Carole Herries/Nicola Baker Nicola Baker Carole Herries Nicola Baker	Sep-09 2005 ongoing ongoing Feb-08 ongoing	ongoing ongoing ongoing ongoing	4	4	16

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									7) Local Investment Plan with HCA completed and approved July 2010. Quarterly monitoring of plan.	Carole Herries	ongoing	ongoing			
									8) Updated Housing and Homeless Strategy approved.	Carole Herries	2008	review 2013			
									9) Private sector leasing scheme implemented.	Carole Herries	Feb-11	ongoing			
									10) Housing Needs surveys completed in several rural parishes, and new housing sites identified for rural housing.	Carole Herries	ongoing	ongoing			
									11) Regular reviews of the housing register now being undertaken	Carole Herries	Dec-09	ongoing			
									12) Council responding to government social housing reform proposals and working with RSL partners and HCA to maximise delivery of affordable housing in future.	Carole Herries	May-11	ongoing			
									13) Working with partners to develop new 'Tenancy Strategy'.	Carole Herries	Jan-11	Apr-12			
22	10/10/05	Strategic	G Rivers	Demographic Changes	4	4	16	Unable to meet the demands created by population changes (caused by growth, ageing, diversity, employment) including the impact on infrastructure and other related service provision. Issues being picked up in Vision 2031.	1) Masterplans need to capture long term changes and demands of society and feed into Vision 2031	Geoff Rivers	ongoing	ongoing	2	4	8
									2) Infrastructure capacity studies undertaken.	Nicola Baker	2008	complete			
									3) Suffolk Strategic Partnership have adopted this issue as a cross cutting initiative for its Community Strategy.	Geoff Rivers					
									4) SEBC champions the WSLSP work on changing needs of communities and community engagement.	Cathy Manning	ongoing	ongoing			
									5) Lobby for more national/regional and County funding to meet changing needs.	Heads of Service	ongoing	ongoing			
									6) Workforce Planning integral part of service planning.	Davina Howes	ongoing	ongoing			
									7) Equality impact assessments carried out to assess impact of policies/activities on our communities.	Davina Howes	ongoing	ongoing			
23	10/10/05	Regulatory	G Rivers / CDs	Anticipation and implementation of Legislation	4	4	16	Lack of detail around the government's plans for key legislative and policy changes, and the degree of localism, delegation to local authorities etc.	1) Central unit in CEO's Department to monitor and analyse new developments at corporate level, mirrored by same in specific service areas to keep abreast of developments.	CEO/CDs	weekly	ongoing	4	4	16
									2) Council taking an active part in consultations and pilots (hence anticipating changes)	CEO/CDs, Heads of Service	ongoing	ongoing			
									3) Taking a lead role in county-wide, regional and national professional groups and associations.	CEO/CDs, Heads of Service	ongoing	ongoing			
									4) Early commitment of resource requirements through Policy based budgeting.	Heads of Service	ongoing	ongoing			
									5) Strong focus on learning and development and workforce planning in Service Plans.	Heads of Service	ongoing	ongoing			
									7) MT review forthcoming legislation on weekly basis.	Heads of Service	weekly	ongoing			
									8) Seminar for members and partners to keep them informed about changes in police/health, etc.	CEO	Sep-10	complete			
									9) Localism Bill published in Dec 10 - see risk 53	CEO	Dec-10	Dec-10			

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24	10/10/05	Strategic	A Wilson	Community Safety	2	4	8	Failure to deliver the Local Authority responsibilities in providing a safe environment.	10) Sharing briefings and intelligence with other councils especially Forest Heath 1) Chairman of West Suffolk Community Safety Partnership working with all agencies to make SEBC a safe place. 2) Crime and Disorder Strategic Assessment carried out annually and action plan developed for Community Safety Partnership. 3) Embedding Crime and Disorder reduction in corporate activities and service planning 4) Participation in LSP project to tackle alcohol misuse. 5) New Licensing Statement of Policy adopted. Reviewed in December 2010 6) Introduced Haverhill alcohol free zone. 7) Consultation on reinstatement of Special area licensing for historic core in Bury St Edmunds. Review 8) Working with police to address issues around anti-social behaviour and how it is dealt with and reported by within the Council. 9) Public communications re: the Community Safety Partnership activities and outcomes. 10) Participating in county-wide review of current Community Safety arrangements. 11) Preparing for streamlined CSP function with Mid Suffolk, Babergh and Forest Heath, and removal of government grant.	Davina Howes Cathy Manning Cathy Manning Heads of Service Cathy Manning Carole Herries Cathy Manning Carole Herries Cathy Manning Marianne Hullah Cathy Manning Cathy Manning	Sep-10 ongoing July annually ongoing Nov-06 Dec-10 2008 Jun-09 Dec-09 Dec-09 Jan-10 Apr-11	ongoing ongoing Plan agreed by end of March ongoing complete complete ongoing ongoing Dec-10 Mar-12	1	4	4
25	10/10/05	Community	G Rivers	Partnership working	4	3	12	Partnership working, including shared services, not producing expected or planned result, including other parties failing to deliver their elements of the work plans and outcomes and multiple partner approaches.	1) Use of SEBC project management process ensures that all deliverables are aligned to project gateways and those responsible understand their commitments. 2) Project boards monitor work plans and risk assessments to ensure gateways are met. 3) Partnership arrangements to be explicitly defined in legal or binding agreements with clearly defined responsibilities and monitored performance targets. 4) Partnership Audit with Forest Heath to establish which are our significant partnerships. List of significant partnerships now approved. Further work to review governance and risk arrangements with each partnership. 5) Partnership Strategy approved and toolkits now being undertaken, including risk registers. 6) Development of partnership working policy in line with Annual Governance Statement 7) Forest Heath and Edmundsbury review of shared services to be complete by end July 2011.	CEO/CDs, Heads of Service CEO/CDs, Heads of Service CEO/CDs, Heads of Service Davina Howes MT Davina Howes Geoff Rivers	ongoing ongoing ongoing ongoing ongoing ongoing Jun-11	ongoing ongoing ongoing ongoing complete ongoing Jun-11	4	3	12
26	10/10/05	Legislation	S Pell	Local Development Framework	2	4	8	Council fails to produce an up to date Local Development Plan which meets the future needs of the borough.	1) Core Strategy endorsed as sound by Planning Inspector (with minor changes), and adopted by Full Council in December.	Nicola Baker	Jan-10	complete	2	4	8

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									2) Joint working with adjoining councils on evidence base and studies delivering savings.	Nicola Baker	ongoing	ongoing			
									3) Extensive consultation undertaken with the public as part of the LDF process	Nicola Baker	ongoing	ongoing			
									5) Master plans for BSE, HH and Rural areas. Ensuring resources are available to deliver all local development plan documents.	CEO/CDs/Heads of Service	Jan-11	ongoing			
27	1/10/05	People	G Rivers	Skilled, Flexible Work force	2	4	8	Lack of staff skills and experience could prevent delivery of services and high levels of performance. Failure to have motivated staff. Management structure and uncertainty over shared services likely to have impact on day-to-day operations.	1) Workforce Development Plan reviewed annually.	Louise Hammond / Heads of Service	ongoing	ongoing	1	4	4
									2) Training budgets aligned to WFDP to fund actions identified.	Louise Hammond	ongoing	ongoing			
									3) Leadership and management development training programme in place.	Louise Hammond	ongoing	ongoing			
									4) Corporate training programme in place (including induction) for staff and members.	Louise Hammond	ongoing	ongoing			
									5) Identification of workforce needs.	Louise Hammond / Heads of Service/CDs	ongoing	ongoing			
									6) Two year cycle of staff stress surveys and follow up action plans	Martin Hosker	ongoing	ongoing			
									7) Feed back mechanism/PDR scheme.	Louise Hammond	ongoing	ongoing			
									8) Action plan in place following 2007 staff survey.	Louise Hammond	2008	complete			
									9) Skills audit review linked to shared services.	Louise Hammond	ongoing	ongoing			
									10) Encouragement of modern apprenticeships through corporate scheme or WSLSP flexible apprenticeship scheme.	Louise Hammond	ongoing	ongoing			
									11) Organisation and development teams progressing actions in response to staff survey.	Louise Hammond / Heads of Service	ongoing	complete			
									12) Programme of development and support developed to support staff and managers through change agenda in the public sector.	Louise Hammond	Jun-08	ongoing			
									13) New staff structure in place.	Geoff Rivers	Sep-09	complete			
									14) Consistent and regular communication to staff, including opportunities for feedback.	Marianne Hullah	ongoing	ongoing			
									15) Work underway on countywide workforce development plan.	Louise Hammond	Apr-10	ongoing			
									16) Annual workforce monitoring data presented to the Joint Staff Consultative Panel; no significant issues raised.	Louise Hammond	annually	Jun-11			
									17) Joint delivery of Learning & Development Plan with Forest Heath.	Louise Hammond	Jun-10	ongoing			
28	10/10/05	Operational, Reputational	G Rivers / A Wilson	Community Engagement and Communications	3	4	12	Failure to engage with all sections of the community, particularly hard to reach groups to ensure their aspirations are known and action taken to ensure they	1) Communications Team with Communications Strategy	Marianne Hullah	ongoing	ongoing	2	4	8

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								are either delivered or satisfactory responses provided.	2) Council Newspaper and service specific publications.	Marianne Hullah	ongoing	ongoing			
									3) Updated website	Marianne Hullah	ongoing	ongoing			
									4) Consultation for specific projects and strategies.	Davina Howes	ongoing	ongoing			
									5) Community Development Team, Economic Development team and others working with specific forums.	Cathy Manning, Andrea Mayley	ongoing	ongoing			
									6) Parish Council Conferences.	Cathy Manning	2005	ongoing			
									7) Community engagement strategy approved. Revision with Forest Heath is being looked at.	Davina Howes	Sep-09	ongoing			
									8) New post of Neighbourhood Development Manager established to respond to increasing demands for LAs to play a central role in engagement	Cathy Manning	Jul-09	complete			
									9) Members attend parish and town council meetings and residents' groups.	Members	ongoing	ongoing			
									10) Ward walks undertaken in early 2010, and further member development session planned for Autumn 2010.	Members	Jan-10	complete			
									11) Watching brief on forthcoming Decentralisation and Localism Bill. See Risk 53.	Heads of Service	Oct-10	Dec-10			
									12) Explore, with colleagues across the county, opportunities for a widescale survey to replace the Place Survey.	Davina Howes	Dec-10	ongoing			
									13) Use of new forms of social media, eg. Twitter, Facebook	Marianne Hullah	Oct-10	ongoing			
30	25/3/09	People, Financial, Reputational	L Watts	Safeguarding of Council's financial and physical assets	3	3	9	Misappropriation of Council's money or physical assets	1) Risk based internal audit plan.	J Snares	annual	ongoing	1	3	3
									2) Anti-fraud and anti-corruption strategy revised in accordance with current best practice. Approved by Full Council.	J Snares	Feb-09	complete			
									3) Whistle blowing guide	Joy Bowes	Feb-06	complete			
									4) Participation in National Fraud Initiative (NFI)	N Parrish	ongoing	ongoing			
									5) Regular staff awareness updates	J Snares	ongoing	ongoing			
									6) Specialist team in Revenue and Benefit teams.	Lucy Birt (ARP)	ongoing	ongoing			
									7) e-learning package launched for all staff.	J Snares	Dec-09	complete			
									8) Fraud Intranet page set up for staff and members.	J Snares	Dec-09	ongoing			
									9) Member training in Anti-Fraud	N Parrish	Oct-09	complete			
									10) Action being taken to deter break-ins at Haverhill Depot	M Walsh	Dec-10	ongoing			
									11) Implementing necessary changes resulting from the Bribery Act July 2011.	J Snares	Jan-11	ongoing			
31	19/10/05	Operational	G Rivers	Implementation of Corporate Health and Safety Policy	2	4	8	Failure to ensure the safety and well being of staff. Failure to provide safe and healthy environment for visitors and the general public. Risk of corporate manslaughter charges.	1) Corporate Health and Safety strategy, objectives and implementation plans, including full risk assessments in place for all internal and external functions performed by the Council.	Martin Hosker	ongoing	ongoing	2	4	8
									2) Full-time H & S Manager leading this work.	Martin Hosker	ongoing	ongoing			
									3) Well being programme.	Martin Hosker	ongoing	ongoing			

St Edmundsbury Borough Council Risk Register 2011/12

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									4) Requirement for all staff to complete online H&S training. 5) Communications to staff. 6) Recent internal audit review of H&S arrangements at WSH 7) Drug and Alcohol testing at work policy in place. 8) Issue of H&S within a shared service being addressed to ensure there are clear organisational 9) Appropriate insurances in place and regularly reviewed.	Heads of Service Marianne Hulland Jon Snares Martin Hosker Martin Hosker Heads of Service	Apr-08 ongoing Jul-09 Dec-09 Jan-11 ongoing	ongoing ongoing complete ongoing Sep-11 ongoing			
32	10/10/05	People	G Rivers/ A Wilson	Diversity Awareness	3	4	12	Inadequate Member and Officer awareness and development in diversity.	1) Member and officer champion appointed. 2) Adopted Single Equality Scheme. 3) Workforce and member training/ Workforce Development Plan. 4) Working towards consultation with hard to reach groups and equality monitoring. 5) Stress and disability surveys and KPI/BVPI monitoring. 6) Support of county-wide initiatives. 7) Equality impact assessments. 8) On line compulsory training part of PDR requirements. 9) Peer review completed; working towards 'achieving authority' requirements. 10) Joint Member / Staff Diversity Group working effectively and considering a range of individual issues. 11) Internal Communications support 12) Approval of new Equality Scheme. 13) New Members induction on Diversity Awareness planned.	Alex Wilson Davina Howes Louise Hammond Davina Howes Louise Hammond CEO/CDs Davina Howes Heads of Service Alex Wilson Alex Wilson / Davina Howes Marianne Hulland Davina Howes Adriana Stapleton	ongoing ongoing ongoing ongoing ongoing ongoing ongoing Oct-08 Dec-09 ongoing ongoing 2010 Jun-11	ongoing complete ongoing ongoing ongoing ongoing complete ongoing ongoing ongoing Jul-11 Jul-11	1	4	4
33	10/10/05	People	G Rivers	Unsustainable Workload	4	4	16	Workload overload caused by too many projects or initiatives and reducing head count, resulting in failure to function in line with expectations and potential loss of staff including potential partnership working across multiple agencies.	1) Prioritise work through a Corporate Work Programme, linked to risk register and service plans and supported by a proper project management framework. 2) DR-IVE and Budgeting by project and policy-based budgeting. 3) Whole-life costing of projects and capital expenditure. 4) Staff stress survey and action plan implemented. 5) Good member/officer understanding of shared priorities. 6) Performance Management Group 7) Effective use of partners to increase capacity. 8) Optimise use of capacity within organisation e.g. internal secondments and trainee opportunities	CEO/CDs, Heads of Service CEO/CDs, Heads of Service Heads of Service Martin Hosker CEO/CDs, Heads of Service Louise Hammond CEO/CDs, Heads of Service Louise Hammond / Heads of Service/CDs	ongoing annual ongoing 2008 ongoing Oct-09 ongoing ongoing	ongoing ongoing ongoing ongoing ongoing ongoing ongoing	3	4	12

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									9) Identification of external funding to support delivery of projects (including RIEP funding for shared services).	MT	ongoing	ongoing			
									10) Capacity is being reviewed through the shared services agenda, and additional capacity created where necessary.	Louise Hammond	ongoing	ongoing			
									11) Development of a new Corporate Plan and priorities from April 2012 onwards. Priorities will help provide a focus for activities and work, including possible need to reduce activity or withdraw from projects/initiatives. Plan development from May 2011 with new plan in place by April 2012.	Geoff Rivers	May-11	Apr-12			
34	10/10/05	Strategic, Operational	G Rivers	Emergency Situations & LA Response	2	4	8	Council must have ability to react to external events, e.g. flood, storm, major incident, internal effect e.g. flu pandemic.	1) Maintain Emergency Plan, train and test. 3) Partnership with Suffolk local authorities through JEPU (Joint Emergency Planning Unit). 4) Business Continuity Plan adopted and included in Emergency Plan. 5) Work with partner organisations. 6) Major exercise carried out in Jan 2010 and Autumn 2010 7) Full ICT disaster recovery test successfully completed during August 2009. 8) Council responding in full to the recommendations of the Pitt Review 9) Exercise Atropos completed (Loss of Fuel countywide, multi-agency exercise) 10) Business Continuity Forum established and meeting quarterly. 11) ARP Business Continuity plans being reviewed.	Alan Points Alan Points Liz Watts Heads of Service Alan Points Chris Woodhouse S Pell L Watts L Watts L Watts	ongoing ongoing ongoing ongoing Jan-10 Aug-09 Jun-09 Nov-10 Sep-10 Jan-11	ongoing ongoing complete ongoing Autumn 10 complete complete complete ongoing Sep-11	2	4	8
35	10/10/05	Strategic, Operational	G Rivers/ CDs	Environmental Sustainability/Carbon Emissions	4	4	16	Need to reduce carbon footprint of both direct and indirect Borough Functions.	1) Climate change action plan. 2) High priority given to sustainable development and travel. 3) WSH and Apex designed for low carbon emission. 4) Promote issue through green partnerships. 5) External funds and LSP involvement for new initiatives. 6) Watching brief on Carbon Reduction Commitment. 7) Communications as appropriate to publicise carbon reduction initiatives. 8) Management information produced on monitoring of grey fleet travel. 10% corporate target for 2011 for reduction of business miles. 9) Capital investment in borough green energy schemes, and support for homeowner improvements through national schemes.	Peter Gudde CEO/CDs CEO/CDs Sandra Pell Cathy Manning Peter Gudde Marianne Hullah Louise Hammond Peter Gudde	ongoing ongoing 2005 ongoing ongoing ongoing ongoing Jul-10 Sep-10	ongoing ongoing complete ongoing ongoing ongoing ongoing quarterly ongoing	3	4	12
36	19/12/08	Environmental	A Wilson/S Pell	Climate Change	4	4	16	Failure to adapt to the impact which climate changes may have on residents/services in St Edmundsbury.	1) Identify and manage Council's policies, practices and infrastructure to ensure that they become resilient to climate change.	Peter Gudde	ongoing	ongoing	3	4	12

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							12		2) All staff have undertaken the e-learning climate change package. 3) Sustainability Impact Assessments now embedded.	Peter Gudde Heads of Service	Apr-09 ongoing	ongoing ongoing			8
37	10/11/05	People, Reputational	A Wilson	Child Protection	3	4	12	Ensure that children are treated in a proper manner and in accordance with legislation.	1) Working in Countywide partnership. 2) Updated Safeguarding policy approved by Full Council in 2011. 3) Internal staff trained to deliver awareness training in house. Annual awareness training to be implemented. 4) Safe recruitment procedures are adopted for all staff. 5) CRB checks are undertaken for all individuals with access to young persons or their records (including staff who were formally checked under the previous system of police checks). 6) Internal Audit of safeguarding completed in September, with 'substantial assurance' opinion given. 7) Self assessment of safeguarding to be undertaken in line with safeguarding responsibilities. 8) Regular staff and member briefings	Carole Herries Carole Herries Carole Herries Louise Hammond L Hammond J Snares Carole Herries Carole Herries	ongoing 2006 Jul-12 ongoing ongoing Jul-09 Apr-09 Jul/aug 11 ongoing	ongoing ongoing ongoing complete ongoing ongoing	2	4	8
39	21/9/07	Resources	G Rivers	Data Management	2	4	8	Failure to ensure the accuracy and control of data. Not using good practice when handling data.	1) Data quality strategy approved. 2) Improve staff communication on good practices and data security. 3) Review data handling strategy in Council's constitution. 4) Input to new work style arrangements. 5) Training delivered on data security. 6) Government Connect in place. 7) Internal Audit inform Data Quality Manager of any issues arising from internal audits regarding data quality. 8) Information sharing protocol between SEBC and FH complete. 9) Data Protection Officer appointed as a result of internal audit advice	Davina Howes Marianne Hulland Steven Lincoln Heads of Service Chris Woodhouse Chris Woodhouse J Snares Joy Bowes Joy Bowes	2008 ongoing ongoing ongoing ongoing Apr-09 Apr-08 Jan-11 Jul-11 Sep-10	complete ongoing ongoing ongoing complete complete ongoing Jul-11 complete	2	3	6
40	5/1/07	Strategic, Financial	S Pell	Manage Growth Agenda	4	3	12	Loss of initial growth area funding allocation, and failure to recycle allocations in future.	1) Sufficient resources and planning arising from capital revenue split - being addressed by a combination of internal secondments and consultancy support 2) Growth Area Partnership Board set up to manage governance and programme. 3) Working with Partners (EEDA, SCC and SDA) on delivery partnership. 4) CLG consultations on proposed reallocation of Community Area Funding due to housing construction slowing down. St Edmundsbury has lost c. £800,000 from initial allocation of £5.8m.	Nicola Baker Nicola Baker Nicola Baker Nicola Baker	ongoing 2008 ongoing ongoing	ongoing ongoing ongoing ongoing	2	2	4

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41	24/9/07	Operational	S Pell	Waste Handling	3	3	9	Failure to reach agreement between authorities on collection and disposal of waste and to achieve targets.	1) Continue working with other Waste Collection Authorities (WCA's) and the Waste Disposal Authority (WDA) on treatment of residual waste. The Inter Authority Agreement (IAA) which sets-out how authorities will work together to minimise and treat residual waste is awaiting approval. 2) Working to redefine and strengthen the work of the Suffolk Waste Partnership including a new Joint Municipal Joint Waste Management Strategy for Suffolk.	Mark Walsh	ongoing	ongoing	2	3	6
44	01/10/2009	Financial	CEO/CDs	Supply chain risk	3	4	12	Suppliers or tenants of the council are unable to meet their contractual arrangements due to the economic downturn	1) Clear procedures in place to reduce level of financial risk to which the council is exposed, including prosecution/forfeiture proceedings where necessary	Ivan Sams/Joy Bowes	Oct-09	ongoing	1	3	3
45	01/10/2009	Strategic	A Wilson / S Pell	Provision of sites for gypsy and traveller communities	4	3	12	Council fails to provide appropriate sites for gypsy and traveller communities	1) Identification and delivery of Gypsy and Traveller sites as required. 2) Funding secured for site at Depden. Planning permission refused at DC Committee Feb 2011. Awaiting outcome of appeal. 3) Support provided to mediation process, to ensure that all interested parties' views are carefully and sensitively taken into account 4) Communications plans to be developed for any identified sites. 5) Countywide protocol for unauthorised encampments being updated, including agreed actions if Dale Farm residents arrive unexpectedly in the borough. 6) Subregional Gypsy and Traveller needs assessment being finalised.	Carole Herries/Nicola Baker Carole Herries Nicola Baker Marianne Hulland Carole Herries Carole Herries	ongoing Mar-09 May-09 Apr-10 Nov-10 Nov-10	ongoing Autumn 11 complete ongoing complete Jul-11	4	3	12
46	01/10/2009	Operational, People	S Pell	West Suffolk House (Building)	3	4	12	Ongoing issues relating to some elements of the BMS and work environment.	1) Property team and H&S Manager working closely to resolve all issues.	Ivan Sams	Apr-09	ongoing	3	3	9
47	01/04/2010	Financial	A Wilson	Maintenance of Leisure Assets	4	4	16	Lack of maintenance fund to replace ageing leisure assets (such as playgrounds).	1) Asset Management Plan for Leisure being drawn up.	Neil Anthony	Jan-10	ongoing	3	4	12
48	01/04/2010	Financial, Reputational	A Wilson	Community Centre Transfer	3	3	9	Transfer of community centres to local communities is unsuccessful.	1) Principle of transferring of Southgate agreed May 10 and report to Cabinet on progress in Sep 10. Delegated authority given to officers in April 2011 to proceed. 2) Council committed to continuing work to support other Community Associations in developing their skills and expertise.	Cathy Manning Cathy Manning	Jan-10 Jan-10	ongoing ongoing	3	2	6
49	26/07/2010	Financial	Geoff Rivers	Public Sector Spending cuts	4	4	16	Impact of Local Government Settlement for 2011/12 and 2012/13, which cuts the Council's government grant by 29% over the two years. Future beyond is uncertain in terms of grant.	1) DR-IVE process well established and early action already taken during 2010 to prepare for 2011/12 and beyond 2) Developing further actions in 2011 to identify savings and income growth to prepare 2012/13 budget, taking into account Government funding cuts.	CEO/CDs CEO/CDs	Mar-10 ongoing	ongoing ongoing	3	4	12
50	06/09/2010	Strategic,	Alex Wilson	Apex Operations	4	4	16	Apex fails to achieve its aspiration of being a leading	1) Business plan being implemented	Neil Anthony	ongoing	ongoing	3	3	9

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		Operational, Reputational						music venue in the East of England.	2) Staffing structure and operational procedures being finalised and staff becoming familiar with the building (which is highly technical); Internal Audit have carried out some consultancy support on processes and procedures. 3) Venues Director recruited and in post. 4) Marketing Strategy in place to promote The Apex. Box Office launched on 6 September. 5) Continue to maintain ongoing relationship with ARC centre management for benefit of both parties. 6) Developing modifications to the building in the light of operational feedback.	Neil Anthony Neil Anthony Tony Doherty Neil Anthony Alex Wilson	Aug-09 May-09 ongoing May-09 Jan-11	complete complete ongoing ongoing Jan-12			
51	06/09/2010	Strategic, Reputational	S Pell	Vibrancy of Bury Town Centre	3	4	12	Perceived potential threat to existing historic town centre.	1) Support for Bid4Bury to promote the whole of Bury St Edmunds town centre at local, regional and national levels. 2) Support to Bury Business Improvement District in place. 3) Review of car parking and working with Suffolk County Council on potential park and ride facilities now complete and further investigations into provision of extra town centre car parking. 4) Monitoring of empty shops in existing town centre as result of opening of Arc and economic downturn. 5) Temporary park and ride provided when necessary. 6) Close working with St John's Street Traders 7) Following review of markets in Bury and Haverhill, Market development officer appointed to work with traders and markets forum established. 8) Development of a street trading Policy.	Andrea Mayley/Sharon Fairweather Andrea Mayley Sandra Pell Andrea Mayley Ivan Sams Nicola Baker Ivan Sams Hilary Workman	ongoing Apr-10 ongoing ongoing ongoing ongoing Jul-11 Jun-11	ongoing ongoing complete ongoing ongoing ongoing ongoing Sep-11	2	3	6
52	15/12/2010	Operational, Financial	G Rivers	Suffolk CC budget savings	4	4	16	SCC close/stop services without adequate provision for SEBC residents. Unexpected consequences of budgetary savings which may include 'cost-shunting' into SEBC and other budgets and gaps in service.	1) 31 Jan 2011 meeting with key partners and SCC CEO and Leader. 2) All Heads of Service working in partnership with SCC counterparts. 3) Awareness of 'Your Place' divestments by SCC. 4) Change of leadership at SCC; details of new way forward awaited.	Geoff Rivers Heads of Service/Corporate Directors Heads of Service Heads of Service/CMT	Dec-10 Apr-11 May-11	ongoing ongoing ongoing	4	4	16
53	05/04/2011	Strategic, Operational, Reputational, Financial, People	G Rivers	Localism Bill and Public Sector Reform Bill	4	4	16	Failure to foresee and plan appropriately for impact of these bills, which could have far reaching impact on SEBC.	1) Monitor progress against ongoing developments of bills. 2) Early briefings to members, eg on Planning and Housing changes and impacts. 3) Watching brief on legislation as it progresses through parliament.	Heads of Service Heads of Service Heads of Service.	Sep-10 Sep-10 Sep-10	Dec-11 Dec-11 Dec-11			