



Performance and Audit Scrutiny Committee 30 January 2012

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.

There have been **no new risks** added this quarter.

Three risks have **closed**:

- Risk 10 – **The Apex Capital** – the capital works on this project have now been completed and the final account settled.
- Risk 23 – **Anticipation and implementation of new Legislation** – this risk was around the flurry of new legislation launched by the Coalition Government.
- Risk 46 - **West Suffolk House (Building)** – as with the Apex, the capital works on this project have been completed. Any remaining issues are purely day-to-day operational ones.

Risk 14 (**Local Authority Leadership Role**) and Risk 53 (**Localism Bill and Public Sector Reform Bill**) have been merged, since there was considerable duplication in them both.

3 residual risk colours have changed:

- **Risk 47**: Maintenance of Leisure Assets; a reserve has now been set up (as part of the 12/13 budget setting process) in order to fund these assets on an ongoing basis. The residual risk has therefore **reduced from red to amber**.
- **Risk 49**: Public Sector Spending Cuts; the 12/13 budget has been prepared and we have already planned in excess of 70% of the savings required for 13/14. Therefore this risk has **reduced from red to amber**.
- **Risk 52**: Suffolk CC budget savings; in light of the changes to the approach which the County is making to divesting some of its services, this risk has **reduced from red to amber**.

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@stedsbc.gov.uk

Chief Finance Officer

Liz Watts

01284 757252

liz.watts@stedsbc.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	Target completion date/ Complete	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 2) Embedded monitoring and performance management culture and processes. 3) Improving performance central to Corporate Plan, running from Corporate Priorities down through Service Plans to PDR's for individual members of staff. 4) Consistent and regular communications to staff as performance management, PDR etc 5) Performance Management Group established at a corporate level 6) Implementation of the Covalent Performance Management System in partnership with FHDC.	Davina Howes Louise Hammond CEO/CDs Marianne Hlland Louise Hammond Davina Howes	ongoing ongoing ongoing ongoing Sep-09 Sep-10	ongoing ongoing ongoing ongoing ongoing complete	1	3	3
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. 2) Ensure that where changes are proposed robust plans are in place for implementation 3) Equality assessments are always undertaken. 4) All changes are financially appraised to ensure that they are deliverable. 5) Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels. 6) Joint working with Suffolk CC on some areas of service integration 7) Preferred partner status established with Forest Heath and Project Manager and project structures and processes now in place. 8) Business cases being developed in a number of areas. 9) Significant HR piece of work around salary consistency between SEBC and FH being undertaken. 10) Single Chief Executive and Management Structure now approved by both Councils	CEO/CDs CEO/CDs Davina Howes CEO/CDs Marianne Hlland CEO/CDs CEO CEO/CDs Ruth Littlechild/L Hammond Louise Hammond	ongoing ongoing ongoing ongoing ongoing ongoing Dec-09 Mar-10 Jan-11 Dec-11	ongoing ongoing ongoing ongoing ongoing ongoing complete complete	3	4	12
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. 2) Integrated ICT operational in West Suffolk House. 3) Continue to work to maximise the investment in ICT. 4) Migration to full electronic payment system, including direct debits online	CEO/CDs Chris Woodhouse Chris Woodhouse Chris Woodhouse	ongoing ongoing ongoing ongoing	complete complete ongoing tbc	1	2	2

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									5) Connection to Government Secure Network complete	Chris Woodhouse	Apr-09	complete			
									6) e-learning module rolled out to staff to increase awareness of ICT security issues.	Chris Woodhouse	Jun-09	complete			
									7) External communication to raise awareness of transactions available on the website	Marianne Hlland	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 (TuO) programme across St Edmundsbury.	Davina Howes	Oct-11	complete			
									10) Working with SCC to consider the potential 'post-CSD' delivery of back office services for the county and possible collaboration	Liz Watts	Nov-11	Apr-13			
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	complete	2	4	8
									2) Possible Arbitration	Ivan Sams	Sep-09	Mar-12			
7	10/10/05	Strategic, Missed opportunity	G Rivers	Community priorities	3	3	9	Possible failure to deliver on the Council's vision due to lack of clarity around priorities. Missing the opportunities to influence the work of partners to take on board council priorities.	1) Ensure that administration have clear set of priorities - Corporate Plan work underway.	Geoff Rivers	ongoing	Apr-12	2	4	8
									2) Strong links between commitments, Corporate Plan and Community Strategy and Vision 2031.	Geoff Rivers	ongoing	ongoing			
									3) 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			
									4) Ensure effective consultation and engagement is undertaken to help identify corporate priorities	Davina Howes	ongoing	ongoing			
									5) Management Restructure - moved resources into Neighbourhood Development to support community process.	Cathy Manning	Jul-09	Sep-09			
									6) The Council is responding positively to the Localism Act see risk 14.	Geoff Rivers	Jan-11	ongoing			
									7) 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 regular review 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 mirrors the work of the Bury and Haverhill Working Parties.	Alex Wilson	Oct-09	ongoing			
									4) Regular communication to rural areas on relevant issues.	Kirsty Pitwood / Alex Wilson	ongoing	ongoing			
									5) Rural Masterplan to run alongside masterplans for BSE and HH.	Nicola Baker	Dec-10	ongoing			

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									6) Prince's Foundation Work with staff and members	Nicola Baker	Aug-11	complete			
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) Haverhill One now established. 8) Town Centre Management role now covered by Economic Development Unit. 9) Neighbourhood Level Community Budget pilot awarded - see risk 25.	Geoff Rivers Geoff Rivers Anne Gower Ivan Sams Nicola George Marianne Hlland Geoff Rivers Andrea Mayley Geoff Rivers	ongoing ongoing Oct-09 ongoing ongoing ongoing Dec-10 Jul-11 Dec-11	May Annual Council complete ongoing complete complete ongoing ongoing ongoing Mar-14	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 and implementing all relevant areas of the Localism Act and, when it becomes legislation, the Public Sector Reform Bill	1) Active role in, and support of West Suffolk Local Strategic Partnership. 2) Development of masterplans for BSE, HH and rural areas; see risk 26 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) Use of community and youth engagement. 6) External scrutiny activity. 7) Lives we Lead public sector leadership programme/Suffolk Collaborative. 8) The West Suffolk Local Strategic Partnership (WLSLP) is reshaping and becoming the West Suffolk Strategic Partnership (WSSP) with board level strategic leaders' meetings and a network for all interested local bodies (VCS, Parish Councils, etc) 9) Internal and external communications at appropriate times to engage public and staff. 10) Ensuring emerging policy on the Big Society is supported through local communities	Cathy Manning Davina Howes / Nicola Baker / Cathy Manning CEO/CDs CEO/CDs Davina Howes / Simon Pickering Adriana Stapleton Geoff Rivers Cathy Manning Marianne Hlland All Managers	ongoing Mar-10 ongoing ongoing ongoing ongoing Jun-08 Sep-09 ongoing ongoing	ongoing ongoing ongoing ongoing complete ongoing ongoing ongoing	3	3	9

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									11) Briefings to members on Localism and Community Leadership in line with Localism Act	Cathy Manning	Apr-12	May-12			
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 in view of current economic downturn and extremely tight budgets.	1) Reflection of economic situation taken into account when setting 12/13 budget. 2) Clear responsibilities for monitoring and control of budgets. 3) DR-IVE programme being prepared. 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. 8) Local Government Finance Bill introduced to House of Commons in December 2011; work across Suffolk and with LEPs to respond to localisation of business rates and council tax.	L Watts Heads of Service Heads of Service L Watts L Watts L Watts L Watts	Sep-08 ongoing ongoing ongoing ongoing Dec-10 Dec-11	complete ongoing ongoing complete ongoing complete Apr-13	2	4	8
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 delivery 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 9) Engagement with LEPs. 10) Business Festival to become annual event after successful launch in 2011	Andrea Mayley Andrea Mayley / Marianne Hlland Marianne Hlland Andrea Mayley Chris Barber Louise Hammond Andrea Mayley Andrea Mayley Andrea Mayley	Dec-08 Dec-08 Dec-08 Dec-08 Dec-08 Sep-09 Dec-09 Nov-09 Sep-11 Sep-11	ongoing ongoing ongoing ongoing ongoing ongoing complete complete ongoing ongoing	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

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18	10/10/05	Financial, Reputational	G Rivers	Efficient and transparent 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. 2) Annual review of Annual Governance statement. 3) Data quality management strategy, with training programme and action plan, in place. 4) Performance Group Benchmarking 5) Publishing of transparency information, including payments over £500, senior staff salaries, members' allowances etc., in line with Coalition Government requirements. 6) Open Data consultation being reviewed.	L Watts, D Howes, J Snares J Snares Davina Howes Davina Howes Davina Howes Davina Howes	Dec-08 Dec-07 Feb-09 Jul-09 Dec-10 Aug-11	complete annual complete ongoing ongoing ongoing	1	3	3
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 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 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 January 2012 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.	Carole Herries Carole Herries Carole Herries/Nicola Baker Nicola Baker Carole Herries	Sep-09 2005 ongoing ongoing Feb-08	Sep-11 ongoing ongoing ongoing complete	4	4	16

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									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.	Nicola Baker	ongoing	ongoing			
									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			
									14) 'Access' scheme implemented to help applicants access private rented sector.	Carole Herries	Oct-11	ongoing			
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.	1) Masterplans need to capture long term changes and demands of society and feed into Vision 2031, and Corporate Plan Review.	Geoff Rivers	ongoing	ongoing	2	4	8
									2) Infrastructure capacity studies undertaken.	Nicola Baker	2008	complete			
									3) Issues being picked up in Vision 2031	Nicola Baker	Jan-11	ongoing			
									4) SEBC champions the WSLSP work on changing needs of communities and community engagement.	Cathy Manning	ongoing	complete			
									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			
24	10/10/05	Strategic	A Wilson	Community Safety	2	4	8	Failure to deliver the Local Authority responsibilities in providing a safe environment.	1) Chairman of West Suffolk Community Safety Partnership working with all agencies to make SEBC a safe place.	Cathy Manning	ongoing	ongoing	1	4	4
									2) Crime and Disorder Strategic Assessment carried out annually and action plan developed for Community Safety Partnership.	Cathy Manning	July annually	Plan agreed by end of March			
									3) Embedding Crime and Disorder reduction in corporate activities and service planning	Heads of Service	ongoing	ongoing			
									4) Participation in LSP project to tackle alcohol misuse.	Cathy Manning	Nov-06	complete			
									5) New Licensing Statement of Policy adopted. Reviewed in December 2010	Carole Herries	Dec-10	complete			
									6) Introduced Haverhill alcohol free zone.	Cathy Manning	2008	ongoing			

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									7) Consultation on reinstatement of Special area licensing for historic core in Bury St Edmunds. Review	Carole Herries	Jun-09	complete			
									8) Countywide multi agency system to record anti social behaviour to be rolled out	Cathy Manning	Jan-12	ongoing			
									9) Public communications re: the Community Safety Partnership activities and outcomes.	Marianne Hlland	Dec-09	ongoing			
									10) Participating in county-wide review of current Community Safety arrangements.	Cathy Manning	Jan-10	Complete			
									11) Preparing for streamlined CSP function with Mid Suffolk, Babergh and Forest Heath, and removal of government grant.	Cathy Manning	Apr-11	Mar-12			
									12) SEBC involved in group setting up Police and Crime Panel	Cathy Manning	Dec-11	ongoing			
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.	CEO/CDs, Heads of Service	ongoing	ongoing	4	3	12
									2) Project boards monitor work plans and risk assessments to ensure gateways are met.	CEO/CDs, Heads of Service	ongoing	ongoing			
									3) Partnership arrangements to be explicitly defined in legal or binding agreements with clearly defined responsibilities and monitored performance targets.	CEO/CDs, Heads of Service	ongoing	ongoing			
									4) Partnership Strategy approved and toolkits now being undertaken, including risk registers.	MT	ongoing	complete			
									5) Development of partnership working policy in line with Annual Governance Statement	Davina Howes	ongoing	ongoing			
									6) Forest Heath/St Edmundsbury review of shared services to be complete by end August 2011.	Geoff Rivers	Jun-11	complete			
									7) The Health Bill is still winding its way through parliament after the 'pause' was announced. Suffolk Wellbeing Board established. SEBC and FH have joint member and officer representatives.	Geoff Rivers	ongoing	ongoing			
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
									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			
									4) 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			
									5) Work with Prince's Foundation	Nicola Baker	Sep-11	complete			
									6) Draft Vision 2031 documents prepared for public consultation in Spring 2012	Nicola Baker	Jan-11	May-12			

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									5) Community Development Team, Economic Development team and others working with specific forums. 6) Parish Council Conferences. 7) Community engagement strategy revised, joint with Forest Heath: approved by SEBC. 8) New post of Neighbourhood Development Manager established to respond to increasing demands for LAs to play a central role in engagement 9) Members attend parish and town council meetings and residents' groups. 10) Ward walks undertaken in early 2010, and further member development session planned for Autumn 2010. 11) Watching brief on forthcoming Decentralisation and Localism Act. see risk 14. 12) Explore, with colleagues across the county, opportunities for a widescale survey to replace the Place Survey. 13) Use of new forms of social media, eg. Twitter, Facebook 14) Budget Consultation, with specific focus on hard to reach groups.	Cathy Manning, Andrea Mayley Cathy Manning Davina Howes Cathy Manning Members Members Heads of Service Davina Howes Marianne Hullah Liz Watts/ Davina Howes	ongoing 2005 Sep-09 Jul-09 ongoing Jan-10 Oct-10 Dec-10 Sep-10 Aug-11	ongoing ongoing complete complete ongoing complete ongoing complete			
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. 2) Anti-fraud and anti-corruption strategy revised in accordance with current best practice. Approved by Full Council. 3) Whistle blowing guide 4) Participation in National Fraud Initiative (NFI) 5) Regular staff awareness updates 6) Specialist team in Revenue and Benefit teams. 7) e-learning package launched for all staff. 8) Fraud Intranet page set up for staff and members. 9) Member training in Anti-Fraud 10) Action being taken to deter break-ins at Haverhill Depot 11) Implementing necessary changes resulting from the Bribery Act July 2011.	J Snares J Snares Joy Bowes N Parrish J Snares Lucy Birt (ARP) J Snares J Snares N Parrish M Walsh J Snares	annual Feb-09 Feb-06 ongoing ongoing ongoing Dec-09 Dec-09 Oct-09 Dec-10 Jan-11	ongoing complete complete ongoing ongoing ongoing complete ongoing complete ongoing	1	3	3
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. 2) Full-time H & S Manager leading this work. 3) Well being programme. 4) Requirement for all staff to complete online H&S training. 5) Communications to staff.	Martin Hosker Martin Hosker Martin Hosker Heads of Service Marianne Hullah	ongoing ongoing ongoing Apr-08 ongoing	ongoing ongoing ongoing ongoing ongoing	2	4	8

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									6) Recent internal audit review of H&S arrangements at WSH	Jon Snares	Jul-09	complete			
									7) Drug and Alcohol testing at work policy in place.	Martin Hosker	Dec-09	complete			
									8) Issue of H&S within a shared service being addressed to ensure there are clear organisational responsibilities.	Martin Hosker	Jan-11	Sep-11			
									9) Appropriate insurances in place and regularly reviewed.	Heads of Service	ongoing	ongoing			
									10) Joint H&S Policies between FH and SEBC approved.	Martin Hosker	Jul-11	Feb-12			
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.	Alex Wilson	ongoing	ongoing	1	4	4
									2) Workforce and member training/ Workforce Development Plan.	Louise Hammond	ongoing	ongoing			
									3) Working towards consultation with hard to reach groups and equality monitoring.	Davina Howes	ongoing	ongoing			
									4) Stress and disability surveys and KPI/BVPI monitoring.	Louise Hammond	ongoing	ongoing			
									5) Support of county-wide initiatives.	CEO/CDs	ongoing	ongoing			
									6) Equality impact assessments.	Davina Howes	ongoing	ongoing			
									7) On line compulsory training part of PDR	Heads of Service	Sep-08	ongoing			
									8) Peer review completed; working towards 'achieving authority' requirements.	Alex Wilson	Nov-09	complete			
									9) Joint Member / Staff Diversity Group working effectively and considering a range of individual issues, now being considered with FH.	Alex Wilson / Davina Howes	ongoing	ongoing			
									10) Internal Communications support	Marianne Hullah	ongoing	ongoing			
									11) Approval of new Equality Scheme.	Davina Howes	2009	complete			
									12) New Members induction on Diversity Awareness completed.	Adriana Stapleton	Jun-11	complete			
									13) EqIA training planned for MT.	Davina Howes	Sep-11	complete			
									14) Equality training for managers planned for 12/13.	Davina Howes	Apr-12	Mar-13			
									15) Equality information published by 31 Jan 2012 and equality objective published by 1 April 2012.	Davina Howes	Jan/Apr 12	ongoing			
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 Plan, linked to risk register and service plans and supported by a proper project management framework.	CEO/CDs, Heads of Service	ongoing	complete	3	4	12
									2) DR-IVE and Budgeting by project and policy-based budgeting.	CEO/CDs, Heads of Service	annual	ongoing			
									3) Whole-life costing of projects and capital expenditure.	Heads of Service	ongoing	ongoing			
									4) Staff stress survey and action plan implemented.	Martin Hosker	2008	ongoing			

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									5) Good member/officer understanding of shared priorities.	CEO/CDs, Heads of Service	ongoing	ongoing			
									6) Performance Management Group	Louise Hammond	Oct-09	ongoing			
									7) Effective use of partners to increase capacity.	CEO/CDs, Heads of Service	ongoing	ongoing			
									8) Optimise use of capacity within organisation e.g. internal secondments and trainee opportunities	Louise Hammond / Heads of Service/CDs	ongoing	ongoing			
									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.	Alan Points	ongoing	ongoing	2	4	8
									3) Partnership with Suffolk local authorities through JEPU (Joint Emergency Planning Unit).	Alan Points	ongoing	ongoing			
									4) Business Continuity Plan adopted and included in Emergency Plan.	Liz Watts	ongoing	complete			
									5) Work with partner organisations.	Heads of Service	ongoing	ongoing			
									6) Major exercise carried out in Jan 2010 and Autumn 2010	Alan Points	Jan-10	complete			
									7) Full ICT disaster recovery test successfully completed during August 2009.	Chris Woodhouse	Aug-09	complete			
									8) Council responding in full to the recommendations of the Pitt Review	S Pell	Jun-09	complete			
									9) Exercise Atropos completed (Loss of Fuel countywide, multi-agency exercise)	L Watts	Nov-10	complete			
									10) Business Continuity Forum established and meeting quarterly.	L Watts	Sep-10	ongoing			
									11) ARP Business Continuity plans being reviewed.	L Watts	Jan-11	Apr-12			
									12) Regular sessions of exercise and training set up by JEPU.	Alan Points	ongoing	ongoing			
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.	Peter Gudde	ongoing	ongoing	3	4	12
									2) High priority given to sustainable development and travel.	CEO/CDs	ongoing	ongoing			
									3) WSH and Apex designed for low carbon emission.	CEO/CDs	2005	complete			
									4) Promote issue through green partnerships.	Sandra Pell	ongoing	ongoing			

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									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. Early reduction in Feed-in Tariffs possible but taken into account in financial costings. West Stow scheme cancelled on the basis of these costings. 10) Annual Environmental Management Report showed good progress in most cases.	Cathy Manning Peter Gudde Marianne Hullah Louise Hammond Peter Gudde Peter Gudde	ongoing ongoing ongoing Jul-10 Aug-10 ongoing	complete ongoing ongoing ongoing quarterly ongoing ongoing				
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. 2) All staff have undertaken the e-learning climate change package. 3) Sustainability Impact Assessments now embedded.	Peter Gudde Peter Gudde Heads of Service	ongoing Apr-09 ongoing	ongoing ongoing ongoing	3	4	12	
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 9) Officers completed a county-wide Safeguarding Self Assessment on 8 September, satisfactory.	Carole Herries Carole Herries Carole Herries Louise Hammond L Hammond J Snares Carole Herries Carole Herries Carole Herries	ongoing 2006 Jul-12 ongoing Jul-09 Apr-09 Jul/ague 11 ongoing Sep-11	ongoing ongoing ongoing complete ongoing ongoing complete	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 jointly with FH. 2) Improve staff communication on good practices and data security.	Davina Howes Marianne Hullah	Jul-11 ongoing	complete ongoing	2	3	6	

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									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	Steven Lincoln Heads of Service Chris Woodhouse Chris Woodhouse J Snares Joy Bowes Joy Bowes	ongoing ongoing ongoing Apr-09 Apr-08 Jan-11 Sep-10	ongoing ongoing ongoing complete ongoing Jul-11 complete			
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.	Majority of funds now allocated, and larger allocations are provided as loans on a rolling programme.	Nicola Baker	ongoing	ongoing	1	1	1
41	24/9/07	Operational	S Pell	Waste Handling	4	4	16	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. 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 Mark Walsh	ongoing ongoing	ongoing ongoing	4	3	12
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, resulting in illegal encampments.	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. Approved by Planning Inspectorate Dec 2011. 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 finalised. Implementation being developed through Vision 2031.	Carole Herries/Nicola Baker Carole Herries Nicola Baker Marianne Hullah Carole Herries Carole Herries	ongoing Mar-09 May-09 Apr-10 Nov-10 Nov-10	ongoing Summer 2012 complete ongoing complete complete	4	3	12
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 drawn up; Reserve of £300k annual contribution established in MTFs as part of 12/13 budget setting process.	Neil Anthony	Jan-10	ongoing	3	3	9
48	01/04/2010	Financial, Reputational	A Wilson	Community Centre Transfer	3	3	9	Transfer of community centres to local communities is unsuccessful.	1) Southgate transfer complete in September 2011.	Cathy Manning	Jan-10	ongoing	3	2	6

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									2) Cabinet has set timetable for remaining centres to be transferred by April 2014.	Cathy Manning	Jan-10	ongoing			
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 100% complete for 12/13 and 74% complete for 13/14. 2) Budget consultation complete and used to inform decision-making around 12-13 and 13-14 budgets.	CEO/CDS Liz Watts	Mar-10 Aug-11	ongoing Oct-11	2	3	6
50	06/09/2010	Strategic, Operational, Reputational	Alex Wilson	Apex Operations	2	4	8	Apex fails to achieve and maintain its aspiration of being a leading music venue in the East of England.	1) Business plan being implemented. New vision adopted by Cabinet in September 2011. 2) Marketing Strategy in place. 3) Continue to maintain ongoing relationship with ARC centre management for benefit of both parties. 4) Implementing modifications to the building in the light of operational feedback. 5) Catering tender to secure high quality catering function and partner to develop business.	Tony Doherty Tony Doherty Neil Anthony Alex Wilson Alex Wilson	ongoing ongoing Mar-09 Jan-11 Aug-11	ongoing ongoing ongoing Jan-12 Jan-12	2	3	6
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. 9) Business Festival from 13 September to 23 September. 10) Bury Town Centre Summit outcomes being reviewed by Cabinet/CMT with a view to it becoming an annual event.	Andrea Mayley/Sharon Fairweather Andrea Mayley Sandra Pell Andrea Mayley Ivan Sams Nicola Baker Ivan Sams Hilary Workman Andrea Mayley Andrea Mayley	ongoing Apr-10 ongoing ongoing ongoing ongoing Jul-11 Jun-11 Sep-11 Oct-11	ongoing ongoing complete ongoing ongoing ongoing ongoing Sep-11 Dec-11 ongoing	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. (e.g. Waste Inter Authority agreement).	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 'Our Place' proposals by SCC.	Geoff Rivers Heads of Service/Corporate Directors Heads of Service	Jan-11 Dec-10 Apr-11	complete ongoing ongoing	3	3	9

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							9		4) Change of leadership at SCC; details of new way forward awaited.	Heads of Service/CMT	May-11	ongoing			
54	16/08/2011	Operational, Financial	G Rivers	Haverhill Office Refurbishment	3	3	9	Fails to deliver the savings identified and / or service delivery is negatively impacted.	1) a project plan has been agreed with work commencing early September. 2) Work being phased to minimise disruption. 3) Governance structure established with workstreams and project board, reporting to Shared Offices Joint Committee. 4) Liaison between SCC and SEBC and the voluntary agencies is co-ordinated. 5) Communications workstream co-ordinating messages to users / visitors to the building to help manage the impact of the works.	Betty Albon Betty Albon Betty Albon Cathy Manning and Sally Easton Sally Easton	Jul-11 Sep-11 Jul-11 Apr-11 Aug-11	May-12 May-12 May-12 May-12 Apr-12	2	3	6