



Performance and Audit Scrutiny Committee 30 July 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. No risks have **closed**:

3 residual risk colours have changed.

Risks which have changed during the period:

- **Risk 20:** Asset Management Programme. The risk has **reduced from red to amber**, in light of the recovery of the capital disposals programme in 11/12 and projections for 12/13.
- **Risk 41:** Waste Handling. This risk has **increased from amber to red**, reflecting the increased budgetary pressures both for SEBC and SCC.
- **Risk 49:** Public Sector Spending Cuts. In light of recent indications that the next Comprehensive Spending Review could produce an even worse outcome for local authority funding than the previous one, the risk level has been **raised from amber to red**.

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.

Whilst the impact of our shared services programme with Forest Heath District Council penetrates the entire risk register to one degree or another, a shared risk register has not yet been compiled. It is anticipated that this will be considered once there is a single Head of Service responsible for risk across both authorities.

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.

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St Edmundsbury Borough Council Risk Register 2012/13

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	Ian Gallin	Performance Management	4	3	12	Risk of individual services having below par performance levels, particularly in light of shared service impact and possible dips in performance while establishing new service models.	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. 7) Development and implementation of an integrated performance management framework across FHDC and SEBC	Davina Howes Louise Hammond CEO/CDs Marianne Hulland Louise Hammond Davina Howes Davina Howes	ongoing ongoing ongoing ongoing Sep-09 Sep-10 Jun-12	ongoing ongoing ongoing ongoing complete Apr-13	1	3	3
2	10/10/05	Operational	Ian Gallin	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, including assessment of Finance, ICT, HR as part of the 'Future Back Office Requirements' countywide project. 7) Joint working with Forest Heath DC is well on track to join up all services by April 2012, delivering savings in excess of £2.3m across both councils. 8) Significant HR project around salary consistency between SEBC and FH being undertaken. 10) Single Chief Executive and move to single Management Structure now approved by both Councils. CEO in post.	CEO/CDs CEO/CDs Davina Howes CEO/CDs Marianne Hulland CEO/CDs CEO Ruth Littlechild/L Hammond Ian Gallin	ongoing ongoing ongoing ongoing ongoing ongoing Dec-09 Jan-11 Dec-11	ongoing ongoing ongoing complete Sep-12	3	4	12
5	10/10/05	Operational, information	L Watts	Transformational government, electronic customer transactions and communication.	3	3	9	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.	CEO/CDs Chris Woodhouse Chris Woodhouse	ongoing ongoing ongoing	complete complete ongoing	2	3	6

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							12		4) Migration to full electronic payment system, including direct debits online 5) Connection to Government Secure Network complete 6) e-learning module rolled out to staff to increase awareness of ICT security issues. 7) External communication to raise awareness of transactions available on the website 8) Draft Customer Access Strategy approved by SSSG and Cabinet April 2012. Further work underway to develop an outline Business Case 9) Implementation of Tell us Once (ToU) programme across St Edmundsbury. 10) Working with SCC and districts to consider the potential 'post-CSD' delivery of public access services for the county and possible collaboration.	Chris Woodhouse Chris Woodhouse Chris Woodhouse Marianne Hlland Louise Hammond Davina Howes Liz Watts	ongoing Apr-09 Jun-09 ongoing Sep-11 Oct-11 Nov-11	tbc complete complete ongoing Dec-12 complete Apr-13			8
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. 2) Possible Arbitration	Ivan Sams Ivan Sams	ongoing Sep-09	complete Mar-12	2	4	8
7	10/10/05	Strategic, Missed opportunity	Ian Gallin	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) Work underway to align the existing Corporate Plan (SEBC) and Strategic Plan (FHDC). 2) Strong links between commitments, Corporate Plan and Vision 2031. 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. 4) Ensure effective consultation and engagement is undertaken to help identify corporate priorities 5) Management Restructure - moved resources into Neighbourhood Development to support community process. 6) The Council is responding positively to the Localism Act see risk 14. 7) Keeping a watching brief on partnerships and changes to partnerships - in a very fluid and uncertain environment.	Ian Gallin Ian Gallin Heads of Service Davina Howes Cathy Manning Ian Gallin CEO/Corporate Directors/Heads of Service	ongoing ongoing ongoing ongoing Jul-09 Jan-11 Jan-11	Apr-13 ongoing ongoing complete ongoing Ongoing	2	4	8
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 2) Capital and Revenue allocation, to promote grant aid for minor works. 3) Rural Area Working Party mirrors the work of the Bury and Haverhill Working Parties. 4) Regular communication to rural areas on relevant issues.	Kirsty Pitwood Liz Watts Alex Wilson Kirsty Pitwood / Alex Wilson	ongoing ongoing Oct-09 ongoing	ongoing ongoing ongoing ongoing	1	4	4

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									5) Rural Vision 2031 launched. Supported by drop-in sessions, focus groups and discussion events for smaller villages, alongside masterplans for BSE and HH. Consultation results now being fed into new version of <u>Rural 2031 document</u>	Nicola Baker	Dec-10	ongoing			
									6) Prince's Foundation Work with staff and members	Nicola Baker	Aug-11	complete			
12	10/10/05	Strategic, Operational, Reputational	Ian Gallin	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.	Ian Gallin Cathy Manning Anne Gower Ivan Sams Nicola Baker Marianne Hulland Cathy Manning Andrea Mayley Cathy Manning	ongoing ongoing Oct-09 ongoing ongoing Dec-10 Jul-11 Dec-11	May Annual Council complete ongoing complete complete ongoing ongoing	1	3	3
14	10/10/05	Community	Ian Gallin	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. Impact of significant changes in senior management structure/staff on existing partnership relationships.	1) Active role in, and support of West Suffolk 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 (WSLSP) has become the West Suffolk Strategic Partnership (WSSP) with board level strategic leaders' meetings and a network for all interested local bodies (VCS, Parish Councils, etc)	Cathy Manning Davina Howes / Nicola Baker / Cathy Manning CEO/CDS CEO/CDS Davina Howes / Simon Pickering Adriana Stapleton Ian Gallin Cathy Manning	ongoing Mar-10 ongoing ongoing ongoing ongoing Jun-08 Sep-09	ongoing ongoing ongoing ongoing complete ongoing	3	3	9

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									9) Internal and external communications at appropriate times to engage public and staff.	Marianne Hulland	ongoing	ongoing			
									10) Ensuring emerging policy on the Big Society is supported through local communities	All Managers	ongoing	ongoing			
									11) Briefings to members on Localism and Community Leadership in line with Localism Act	Cathy Manning	Apr-12	May-12			
									12) Joint policies with FHDC developed to respond to Community Rights (eg to bid/challenge).	Cathy Manning/Liz Barnard	Jun-21	Dec-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.	L Watts	Sep-08	complete	2	4	8
									2) Clear responsibilities for monitoring and control of budgets.	Heads of Service	ongoing	ongoing			
									3) DR-IVE programme being prepared.	Heads of Service	ongoing	ongoing			
									4) Improved budget monitoring reports to Performance and Audit Scrutiny Committee, Cabinet and MT.	L Watts	ongoing	ongoing			
									5) Updated Financial Management system which includes electronic commitment accounting.	L Watts	ongoing	complete			
									6) Ongoing improvements to MTFS, to capture longer term implications of revenue budget	L Watts	ongoing	ongoing			
									7) Local Government Finance Settlement announced for 2011/12 and 2012/13, allowing more precise projection of MTFS.	L Watts	Dec-10	complete			
16	19/12/08	Community	Ian Gallin	Economic Downturn	4	3	12	Detrimental effect on local communities (e.g. Businesses).	1) Targeting of schemes to boost local businesses	Andrea Mayley	Dec-08	ongoing	3	3	9
									2) Establishment of and publicity for support mechanisms.	Andrea Mayley / Marianne Hulland	Dec-08	ongoing			
									3) Information on Council Web site suggesting help available.	Marianne Hulland	Dec-08	ongoing			
									4) Development of partnership opportunities with private, public and volunteer sectors to provide a support framework.	Andrea Mayley	Dec-08	ongoing			
									5) Commitment to processing local supplier invoices in 20 days	Chris Barber	Dec-08	ongoing			
									6) SEBC involvement with delivery of WSLSP apprenticeship scheme.	Louise Hammond	Sep-09	complete			
									7) Economic Assessment of the borough approved.	Andrea Mayley	Dec-09	complete			
									8) Successful BID process in Bury St Edmunds town centre has created more financial resources for BID	Andrea Mayley	Nov-09	complete			
									9) Engagement with LEPS.	Andrea Mayley	Sep-11	ongoing			
									10) Business Festival to become annual event after successful launch in 2011	Andrea Mayley	Sep-11	ongoing			
17	10/10/05	Financial	Ian Gallin	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.	Heads of Service	Oct-05	ongoing	3	1	3
									2) Account is taken of loss of income in Medium Term Financial Strategy.	L Watts	Oct-05	ongoing			
									3) Additional revenue demands are funded by DR-IVE savings.	Heads of Service	Oct-05	ongoing			

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									4) Project Management Board in place with monthly red flag reporting to CMT on monthly basis.	CEO/CDs, Heads of Service	Oct-05	ongoing			
18	10/10/05	Financial, Reputational	Ian Gallin	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 pay policy, 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	Dec-08 Dec-07 Feb-09 Jul-09 Dec-10 Aug-11	complete annual complete ongoing ongoing complete	1	3	3
19	10/10/05	Financial, Reputational	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. Reputational risk around some of the new car park charges.	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. 7) Communications team working actively to mitigate negative press around new car park charges.	Heads of Service Heads of Service Heads of Service Nicola Baker Heads of Service Nicola Baker Maro Hulland	ongoing monthly annual ongoing ongoing Dec-10 Mar-12	ongoing ongoing ongoing ongoing ongoing complete	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	2	4	8
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	1) Empty homes strategy updated and reviewed by PD in Sept 2010 and reviewed with £75k. Will be reviewed in 2012/13 2) Housing Market Assessment completed 2005, updated January 2012	Carole Herries Carole Herries	Sep-09 2005	Oct-12 ongoing	4	4	16

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								unknown, but may be significant.	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. 7) Local Investment Plan with HCA completed and approved July 2010. Quarterly monitoring of plan. 8) Housing and Homeless strategies to be reviewed 2012/13. 9) New Private sector leasing scheme in development. 10) Housing Needs surveys completed in several rural parishes, and new housing sites identified for rural housing. 11) Regular reviews of the housing register now being undertaken 12) Council responding to government social housing reform proposals and working with RSL partners and HCA to maximise delivery of affordable housing in future. 13) New 'Tenancy Strategy' completed and approved. 14) 'Access' scheme implemented to help applicants access private rented sector. 15) Rural profiling project to identify needs in rural areas especially with regard to older people's housing.	Carole Herries/Nicola Baker Nicola Baker Carole Herries Nicola Baker Carole Herries Carole Herries Carole Herries Carole Herries Carole Herries Carole Herries Carole Herries Carole Herries Carole Herries	ongoing ongoing Feb-08 ongoing ongoing 2008 Feb-11 ongoing Dec-09 May-11 Jan-11 Oct-11 Apr-12	ongoing ongoing complete ongoing ongoing review 2013 ongoing ongoing ongoing ongoing complete ongoing Nov-12			
22	10/10/05	Strategic	Ian Gallin	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. 2) Infrastructure capacity studies undertaken. 3) Issues being picked up in Vision 2031 4) SEBC champions the WSLSP work on changing needs of communities and community engagement. 5) Lobby for more national/regional and County funding to meet changing needs. 6) Workforce Planning integral part of service planning. 7) Equality impact assessments carried out to assess impact of policies/activities on our communities. 8) Early census figures now available, which will be followed by internal workshops/briefings in Summer 2012.	Ian Gallin Nicola Baker Nicola Baker Cathy Manning Heads of Service Davina Howes Davina Howes Davina Howes	ongoing 2008 Jan-11 ongoing ongoing ongoing ongoing Apr-12	ongoing complete ongoing complete ongoing ongoing ongoing	2	4	8

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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.	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) Countywide multi agency system to record anti social behaviour to be rolled out 9) Public communications re: the Community Safety Partnership activities and outcomes. 10) Participating in county-wide review of current Community Safety arrangements. 11) Enlarged Western Suffolk CSP formed with Mid Suffolk, Babergh and Forest Heath, in readiness for election of Police and Crime Commissioner (PCC) and withdrawal of direct funding for CSPs. 12) SEBC involved in group setting up Police and Crime Panel 13) WSCSP will provide a prospectus of past achievements to inform work of new PCC.	Cathy Manning Cathy Manning Heads of Service Cathy Manning Carole Herries Cathy Manning Carole Herries Cathy Manning Marianne Hlland Cathy Manning Cathy Manning	ongoing July annually ongoing Nov-06 Dec-10 2008 Jun-09 Jan-12 Dec-09 Jan-10 Apr-11 Dec-11 Jun-12	ongoing Plan agreed by end of March ongoing complete complete ongoing ongoing complete complete Nov-12	1	4	4
25	10/10/05	Community	Ian Gallin	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 Strategy approved and toolkits now being undertaken, including risk registers. 5) Development of partnership working policy in line with Annual Governance Statement 6) Forest Heath/St Edmundsbury review of shared services to be complete by end August 2011. 7) Health Act passed. Shadow Suffolk Wellbeing Board established. SEBC and FH have joint member and officer representatives.	CEO/CDs, Heads of Service CEO/CDs, Heads of Service CEO/CDs, Heads of Service MT Davina Howes Geoff Rivers Cathy Manning	ongoing ongoing ongoing ongoing ongoing Jun-11 ongoing	ongoing ongoing ongoing complete complete complete complete	4	3	12

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									8) Staff actively engaging with the development of the Joint Health and Wellbeing Strategy for Suffolk	Cathy Manning	Jun-12	ongoing			
26	10/10/05	Legislation, Reputational	S Pell	Local Plan	3	4	12	Council fails to produce an up to date Local Plan which meets the future needs of the borough. Public refectation of specific growth proposals (housing and/or other infrastructure).	1) Core Strategy endorsed as sound by Planning Inspector (with minor changes), and adopted by Full Council in December. 2) Joint working with adjoining councils on evidence base and studies delivering savings. 3) Extensive consultation undertaken with the public as part of the LDF process 4) Master plans for BSE, HH and Rural areas. Ensuring resources are available to deliver all local development plan documents. 5) Work with Prince's Foundation 6) Draft Vision 2031 documents out for public consultation during March and April 2012. 7) Consultation results now being fed into new versions of Bury St Edmunds and Haverhill 2031 documents.	Nicola Baker Nicola Baker Nicola Baker CEO/CDs/Heads of Service Nicola Baker Nicola Baker Nicola Baker	Jan-10 ongoing ongoing Jan-11 Sep-11 Jan-11 Jul-12	complete ongoing ongoing ongoing complete complete Oct-12	3	4	12
27	1/10/05	People	Ian Gallin	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. 2) Training budgets aligned to WFDP to fund actions identified. 3) Leadership and management development training programme in place. 4) Corporate training programme in place (including induction) for staff and members. 5) Identification of workforce needs. 6) Regular cycle of staff surveys (as and when needed) and follow up action plans 7) Feed back mechanism/PDR scheme. 8) Action plan in place following 2007 staff survey. 9) Skills audit review linked to shared services. 10) Encouragement of modern apprenticeships through corporate scheme or WSLSP flexible apprenticeship scheme. 11) Organisation and development teams progressing actions in response to staff survey. 12) Programme of development and support developed to support staff and managers through change agenda in the public sector. 13) New staff structure in place.	Louise Hammond / Heads of Service Louise Hammond Louise Hammond Louise Hammond Louise Hammond / Heads of Service/CDs Martin Hosker Louise Hammond Louise Hammond Louise Hammond Louise Hammond Louise Hammond / Heads of Service Louise Hammond Geoff Rivers	ongoing ongoing ongoing ongoing ongoing ongoing 2008 ongoing ongoing ongoing Jun-08 Sep-09	ongoing ongoing complete ongoing ongoing complete ongoing complete	1	4	4

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							12		14) Consistent and regular communication to staff, including opportunities for feedback. 15) Work underway on countywide workforce development plan. 16) Annual workforce monitoring data presented to the Joint Staff Consultative Panel; no significant issues raised. 17) Joint delivery of Learning & Development Plan with Forest Heath, through shared L&D team.	Marianne Hulland Louise Hammond Louise Hammond Louise Hammond	ongoing Apr-10 annually Jun-10	ongoing ongoing ongoing ongoing			
28	10/10/05	Operational, Reputational	Ian Gallin / 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 are either delivered or satisfactory responses provided.	1) Communications Team with Communications Strategy 2) Council Newspaper and service specific publications. 3) Updated website 4) Consultation for specific projects and strategies. 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. 15) Limited internal resources now available to support consultations run by services.	Marianne Hulland Marianne Hulland Marianne Hulland Davina Howes Cathy Manning, Andrea Mayley Cathy Manning Davina Howes Cathy Manning Members Members Heads of Service Davina Howes Marianne Hulland Liz Watts/ Davina Howes Davina Howes	ongoing ongoing ongoing ongoing ongoing 2005 Sep-09 Jul-09 ongoing Jan-10 Oct-10 Dec-10 Sep-10 Aug-11 Apr-12	ongoing ongoing ongoing ongoing complete complete complete ongoing complete complete complete ongoing	2	4	8
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.	J Snares J Snares Joy Bowes Jon Snares J Snares Lucy Birt (ARP)	annual Feb-09 Feb-06 ongoing ongoing ongoing	complete complete complete ongoing ongoing ongoing	1	3	3

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									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			
									12) Security measures being implemented for bunkered fuel stocks.	M Walsh	Apr-12	May-12			
31	19/10/05	Operational	Ian Gallin	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. 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 responsibilities. 9) Appropriate insurances in place and regularly reviewed. 10) Joint H&S Policies and Committee between FH and SEBC approved. 11) New H&S event guidance in place, with expertise and support available through the countywide group.	Martin Hosker	ongoing	ongoing	2	4	8
32	10/10/05	People	Ian Gallin/ A Wilson	Diversity Awareness	3	4	12	Inadequate Member and Officer awareness and development in diversity.	1) Member and officer champion appointed. 2) Workforce and member training/ Workforce Development Plan. 3) Working towards consultation with hard to reach groups and equality monitoring. 4) Stress and disability surveys and KPI/BVPI monitoring. 5) Support of county-wide initiatives. 6) Equality impact assessments. 7) On line compulsory training part of PDR 8) Peer review completed; working towards 'achieving authority' requirements.	Alex Wilson	ongoing	ongoing	1	4	4

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									9) Joint Member / Staff Diversity Group working effectively and considering a range of individual issues, now being considered with FH. 10) Internal Communications support 11) Approval of new Equality Scheme. 12) New Members induction on Diversity Awareness completed. 13) EqIA training planned for MT. 14) Equality training for managers planned for 12/13. 15) Equality information published by 31 Jan 2012 and equality objective published by 1 April 2012.	Alex Wilson / Davina Howes Marianne Hulland Davina Howes Adriana Stapleton Davina Howes Davina Howes Davina Howes	ongoing ongoing 2009 Jun-11 Sep-11 Apr-12 Jan/Apr 12	ongoing ongoing complete complete complete Mar-13 complete			
33	10/10/05	People	Ian Gallin	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. 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 9) Identification of external funding to support delivery of projects (including RIEP funding for shared services). 10) Capacity is being reviewed through the shared services agenda, and additional capacity created where necessary. 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.	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 MT Louise Hammond Geoff Rivers	ongoing annual ongoing 2008 ongoing Oct-09 ongoing ongoing ongoing ongoing ongoing complete	complete ongoing ongoing ongoing ongoing ongoing ongoing complete	3	4	12
34	10/10/05	Strategic, Operational	Ian Gallin	Emergency Situations & LA Response	2	4	8	Council must have ability to react to external events, e.g. flood, storm, drought, fuel shortage, 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).	Alan Points Alan Points	ongoing ongoing	ongoing ongoing	2	4	8

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									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. 12) Regular sessions of exercise and training set up by JEPU. 13) Exercise Rebound - multi agency county wide exercise re flooding completed; debriefs in progress. 14) Cupola House Fire offered a real opportunity for the council's emergency response plan to be tested, and excellent feedback was received about the council's response to the fire.	Liz Watts Heads of Service Alan Points Chris Woodhouse S Pell L Watts L Watts Alan Points Ian Gallin	ongoing ongoing Jan-10 Aug-09 Jun-09 Nov-10 Sep-10 Jan-11 ongoing ongoing Feb-12 Jun-12	complete ongoing complete complete complete ongoing ongoing May-12 complete			
35	10/10/05	Strategic, Operational	Ian Gallin/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 sought 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 2010/11 and 2011/12 for reduction of business miles achieved. 9) Capital investment in borough green energy schemes, and support for homeowner improvements through national schemes. 10) Publishing Annual Environmental Management Report.	Peter Gudde CEO/CDs CEO/CDs Sandra Pell/Peter Gudde Peter Gudde Peter Gudde Marianne Hulland Louise Hammond Peter Gudde Peter Gudde	ongoing ongoing 2005 ongoing ongoing ongoing ongoing Jul-10 Aug-10 ongoing ongoing	ongoing ongoing complete ongoing ongoing ongoing ongoing quarterly ongoing 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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									2) All staff have undertaken the e-learning climate change package. This is now embedded into the induction.	Peter Gudde	Apr-09	complete			
									3) Sustainability Impact Assessments now embedded.	Heads of Service	ongoing	ongoing			
									4) Investigation into alternative sources of supply for parks and hanging baskets watering, eg boreholes, use of grey water.	Damien Parker	Mar-12	ongoing			
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.	Carole Herries	ongoing	ongoing	2	4	8
									2) Updated Safeguarding policy approved by Full Council in 2011. Joint review underway with FHDC.	Carole Herries	2006	ongoing			
									3) Internal staff trained to deliver awareness training in house. Annual awareness training implemented.	Carole Herries	Jul-12	complete			
									4) Safe recruitment procedures are adopted for all staff.	Louise Hammond	ongoing	ongoing			
									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).	L Hammond	Jul-09	ongoing			
									6) Internal Audit of safeguarding completed in September, with 'substantial assurance' opinion given.	J Snares	Apr-09	complete			
									7) Self assessment of safeguarding undertaken in line with safeguarding responsibilities and reported to Safeguarding Board.	Carole Herries	Mar-12	ongoing			
									8) Regular staff and member briefings	Carole Herries	ongoing	ongoing			
									9) Officers completed a county-wide Safeguarding Self Assessment on 8 September, satisfactorily.	Carole Herries	Sep-11	complete			
39	21/9/07	Resources	Ian Gallin	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.	Davina Howes	Jul-11	complete	2	3	6
									2) Improve staff communication on good practices and data security.	Marianne Hulland	ongoing	ongoing			
									3) Review data handling strategy in Council's constitution.	Steven Lincoln	ongoing	ongoing			
									4) Input to new work style arrangements.	Heads of Service	ongoing	ongoing			
									5) Training delivered on data security.	Chris Woodhouse	ongoing	ongoing			
									6) Government Connect in place.	Chris Woodhouse	Apr-09	complete			
									7) Internal Audit inform Data Quality Manager of any issues arising from internal audits regarding data quality.	J Snares	Apr-08	ongoing			
									8) Information sharing protocol between SEBC and FH complete.	Joy Bowes	Jan-11	Jul-11			
									9) Data Protection Officer appointed as a result of internal audit advice	Joy Bowes	Sep-10	complete			
40	5/1/07	Strategic, Financial	S Pell	Manage Growth Area Funding	3	2	6	Loss of initial growth area funding allocation, and failure to recycle allocations in future.	1) Majority of funds now allocated, and larger allocations are provided as loans on a rolling programme.	Nicola Baker	ongoing	ongoing	1	1	1

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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, approved in March 2012.	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. Start on site anticipated Aug/Sep 2012 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 Hulland Carole Herries Carole Herries	ongoing Mar-09 May-09 Apr-10 Nov-10 Nov-10	ongoing Dec-12 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 strategic assets such as the leisure centres.	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	2	2	4
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. 2) Cabinet has set timetable for remaining centres to be transferred by April 2014. 3) Independent external admin for community associations sourced at no cost to Council.	Cathy Manning Cathy Manning Cathy Manning	Jan-10 Jan-10 Feb-12	complete ongoing ongoing	3	2	6
49	26/07/2010	Financial	Ian Gallin	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. 3) Budget announcement re 16/17 and 17/18 further grant cuts; impact on MTFs.	CEO/CDs Liz Watts Liz Watts	Mar-10 Aug-11 Apr-12	ongoing Oct-11 ongoing	4	4	16
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. Two year review to be carried out by July 2012, working with other arts partners. 2) Marketing Strategy in place.	Tony Doherty/Neil Anthony Tony Doherty	ongoing ongoing	ongoing ongoing	2	3	6

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									3) Continue to maintain ongoing relationship with ARC centre management for benefit of both parties.	Neil Anthony	Mar-09	ongoing			
									4) Implementing modifications to the building in the light of operational feedback.	Alex Wilson	Jan-11	Jan-12			
									5) Caterer appointed, to secure high quality catering function and partner to develop business.	Alex Wilson	Aug-11	Nov-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) Car park charging review to be considered at O&S in July 2012 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. 11) Extensive response plan to Cupola House in place	Andrea Mayley/Sharon Fairweather Andrea Mayley Sandra Pell Andrea Mayley Ivan Sams Nicola Baker Ivan Sams Hilary Workman Andrea Mayley Andrea Mayley Andrea Mayley	ongoing Apr-10 Jul-12 ongoing ongoing ongoing Jul-11 Jun-11 Sep-11 Oct-11 Jun-12	ongoing ongoing Oct-12 ongoing ongoing ongoing ongoing ongoing ongoing	2	3	6
52	15/12/2010	Operational, Financial	Ian Gallin	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) All Heads of Service working in partnership with SCC counterparts. 2) Active involvement in 'Our Place' proposals by SCC.	Heads of Service/Corporat Heads of Service	Dec-10 Apr-11	ongoing ongoing	3	3	9
54	16/08/2011	Operational, Financial	Ian Gallin	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 Salley 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

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							16		6) SEBC office complete and staff back working in new office. 7) Delivery of overall project, to include voluntary sector and SCC office accommodation	Betty Albon Betty Albon/Cathy Manning	Jan-11 Jan-11	complete Jul-12			16
55	29/03/2012	Operational, Reputational Financial	Liz Watts	Localisation of Business Rates and Council Tax Benefits	4	4	16	Financial loss and reputational damage through these major legislation changes, due to be implemented in 2013.	1) Regular briefings to Cabinet and other members. 2) County wide member discussions around implementation of appropriate Council Tax Benefit scheme, and pooling of NNDR.	Liz Watts Liz Watts	Oct-11 Apr-12	ongoing ongoing	4	4	16