

Forest Heath District Council Strategic Risk Register 2013 /14

Report Type: Risks Report
30 SEPT 2013

Low
up to 4



Medium
5-12



High
15+



| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|--|--|---------------|----------|---------------------|-----------|--------------------|--|
| RSK STR 003 Community Engagement and Communications | Failure to engage with all sections of the community | Davina Howes | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • Updated website • Regular contact with local media • Annual consultation programme includes consultation on specific projects and strategies. • Community Development Team, Economic Development team and others working with specific forums. • Regular programme of Parish Forums • Members attend parish and town council meetings and residents' groups. • Currently exploring, with colleagues across the county, via the Suffolk Speaks Group options for Suffolk Panel of residents for consultation. • Use of new forms of social media, e.g. Twitter and Facebook. • Limited internal resources now available to support consultations run by services. • Carry out consultation training for staff to ensure compliance with the law (several high profile cases at court due to ineffective consultation). Liaising with legal and HR to source suitable training. • New structure on schedule to be finalised by October / November 2013, providing a more focused team to deliver required results. |

Appendix 1

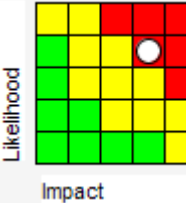
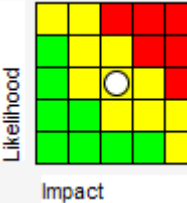
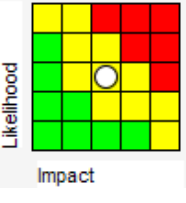
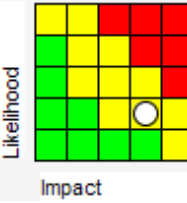
| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---|--|---------------|----------|---------------------|-----------|--------------------|--|
| RSK STR 005 Service Delivery Method including the move towards Shared Services | 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. | Ian Gallin | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Restructure business cases now approved. New teams to be in place by 1 November 2013. On target to transition services into new customer services team. Business cases for restructures clearly identify savings, impact on service, and cost of change Customer Access strategy in place, including Target Operating Model. Procurement of Customer Access software on target. Business case being drafted to improve website and provide customers with access to services online Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels. Joint working with St Edmundsbury BC is well on track to join up all services by Oct 2013, delivering savings in excess of £2.3m across both councils. Other partnerships are being developed on a case by case basis, with clear strategic guidance from Cabinet around partnership priorities. Move to a single platform for FHDC and SEBC websites and intranet to ensure the functionality of the sites are fit for purpose and easy to update. A programme of Staff Surveys to be introduced following shared services. |
| RSK STR 008 Financial Management | Failure in specific areas to achieve projected income, or expenditure exceeds the approved budgets (revenue or capital). Failure to deliver a | Rachael Mann | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Monthly monitoring reports (revenue and capital) to budget holders. Scrutiny of financial reports by JLT and Members. Regular review of local and shared service savings through monitoring reports as above and through SSSG (for shared services savings). Medium Term Financial Plan (MTFS) update - |

Appendix 1

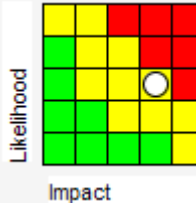
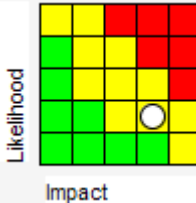
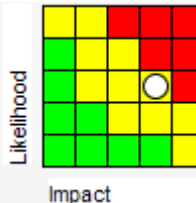
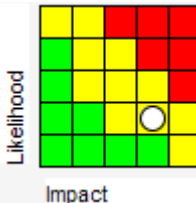
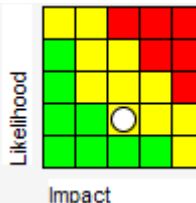
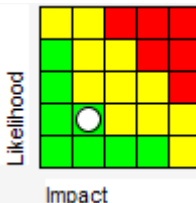
| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---|--|---------------|----------|---------------------|-----------|--------------------|---|
| | sustainable Medium Term Financial Strategy, especially in view of continued financial uncertainty around areas such as Comprehensive Spending Review, localisation of Business Rates, localising Council Tax, increased service demand, and use of reserves. | | | | | | including review of assumptions, sensitivity analysis and review of reserve and balance levels. <ul style="list-style-type: none"> • Business rate income and localising of Council tax being monitored closely from April 2013 by ARP. • Monitor Government statements on future of local government funding. • Introduction of a new joint financial management system will provide more comprehensive budget planning and monitoring across both FHDC and SEBC. The introduction of a common platform will also enable officers to work more easily within the shared services environment. |
| RSK STR 016 Vibrancy of the Local Economy | Weakened town and rural economies | Andrea Mayley | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • New Economic Development + Tourism Strategy adopted mid 2010, following extensive external consultation. • Strategic priorities 2012-16 include Econ. Growth • Developing engagement with the two regional LEPs • Small budget to support business with grants • Monitoring of empty shops in existing town centres • Business rate income being monitored closely from April 2013 by ARP |
| RSK STR 018 Asset Management programme (AMP) | 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 | Mark Walsh | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • Updated and approved AMP with funded action plan linked to MTFS • AMP includes asset rationalisation • Progress monitored including annual review. • Officers and portfolio holder monitor any disposals • Only remaining unfunded assets are some Community Play areas and street lighting |

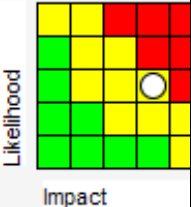
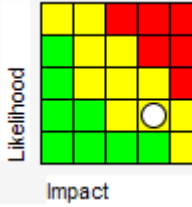
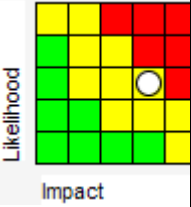
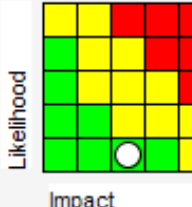
| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|--|---|---------------|----------|---------------------|-----------|--------------------|---|
| | could cause assets to lose value. | | | | | | |
| RSK STR 019 Climate Change | Failure to adapt to the impact which climate changes may have on residents/services in Forest Heath. | Peter Gudde | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Identify and manage Council's policies, practices and infrastructure to ensure that they become resilient to climate change. Sustainability Impact Assessments now embedded. |
| RSK STR 022 Provision of affordable housing | Lack of new affordable housing delivery exacerbated by economic recession, declining housing market and weak construction industry. Reduction in HCA grant for affordable house building and introduction of Affordable Rent regime. Unclear of HCA funding programme post 2015. Impact of Welfare Reforms still unknown - likely increase in households seeking housing advice and numbers presenting as homeless. | Simon Phelan | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Interim Empty homes strategy to Cabinet Sept. 2013. New West Suffolk Housing Strategy to be approved in early 2014. Initial Sub-regional Strategic Housing Market Assessment completed 2008, with annual updates Implement revised targets for Affordable Housing for new developments over a certain size, once LDF Core Strategy adopted. Continue to implement Local Plans. Adopted PPS3 Housing proposals for developing affordable housing, particularly in rural areas. Local Investment Plan 2010-15 with HCA completed and approved July 2010. Quarterly monitoring of plan and annual review. Housing and Homeless strategies reviewed with development and adoption of West Suffolk Strategy. New West Suffolk letting partnership launched Sept 2012 - to co-ordinate work with private sector landlords Council responding to government social housing reform proposals and working with RPs partners and HCA to maximise delivery of affordable housing in future. 'Access' scheme implemented to help applicants |

Appendix 1

| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---|--|---------------|----------|--|-----------|---|---|
| RSK STR 023 Skilled, Flexible Workforce | Lack of staff skills and experience could prevent delivery of services and high levels of performance. Failure to have motivated staff with appropriate workload | Karen Points | Treat |  | Sept 2013 |  | <p>access private rented sector.</p> <ul style="list-style-type: none"> • Pilot Rural profiling project to identify housing and community needs in rural areas especially with regard to older people's housing. • Shared services aims to deliver more resilient teams across two councils, for less cost • Corporate training programme in place (including induction) for staff and members. • Identification of workforce needs undertaken through a new PDR process to be developed in autumn 2013 • Identification of workforce needs through effective Workforce Development Planning. • Regular cycle of staff surveys (as and when needed) and follow up action plans • Programme of development and support developed to support staff and managers through change agenda in the public sector. • Consistent and regular communication to staff, including opportunities for feedback. • Annual workforce monitoring data presented to the Joint Staff Consultative Panel; no significant issues raised. |
| RSK STR 024 Emergency Situations & LA response | Not having the ability to react to external events, e.g. flood, storm, drought, fuel shortage, major incident, internal effect e.g. flu pandemic. | Alex Wilson | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> • Maintain Emergency Plan, train and test. • Partnership with Suffolk local authorities through JEPU (Joint Emergency Planning Unit). • Business Continuity Forum established and meeting quarterly. • ARP Business Continuity plans being reviewed. • Regular sessions of exercise and training set up by JEPU. • Exercise Rebound - multi agency county wide exercise re flooding completed; debriefs in |

Appendix 1

| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|--------------------------------------|--|---------------|----------|--|-----------|---|---|
| | | | | | | | <p>progress.</p> <ul style="list-style-type: none"> A joint West Suffolk BCP has been issued. Amendments and updates will be undertaken as services complete their restructures and ICT infrastructure changes are implemented. |
| RSK STR 025 Project Management | Projects not being delivered to budget and / or within an agreed timetable | Ian Gallin | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> Business cases reported to Members and senior management for approval Programme Management Board monitors progress focussing on timetable, budget on lessons learned Project management training provided to all staff involved or likely to be involved in managing or delivering projects Project management resource allocated to major projects |
| RSK STR 026 Effective procurement | Not meeting EU procurement law and / or failing to adopt sound procurement practices | Rachael Mann | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> Joint (with SEBC) revised Procurement strategy, policy and procedures being developed. Strategic Procurement Manager operating shared service across FHDC and SEBC Training and awareness of new policy and procedures planned |
| RSK STR 037 Community priorities | 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. | Ian Gallin | Tolerate |  | Sept 2013 |  | <ul style="list-style-type: none"> Work underway to align the existing Strategic Plan (FHDC) with SEBC's Corporate Plan For the longer term extensive community and partner involvement in the development of services and implementation of site specific developments and settlements. Consultation with public and partners on strategies and projects. Ensure effective consultation and engagement is undertaken to help identify corporate priorities Positively responding to the Localism Act |

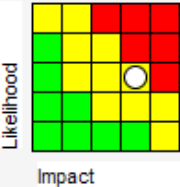
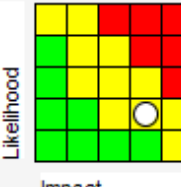
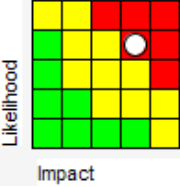
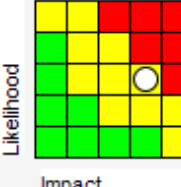
| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|--|---|---------------|----------|---|-----------|--|--|
| RSK STR 039 Data Management | Failure to ensure the accuracy and control of data. Not using good practice when handling data. | Joy Bowes | Tolerate |  | Sept 2013 |  | <ul style="list-style-type: none"> • Active role in the West Suffolk Partnership • Keeping a watching brief on partnerships and changes to partnerships - in a constantly changing environment. • Information governance group coordinates council's approach to risks • Improve staff communication on good practices and data security. • Review data handling strategy in Council's constitution. • Input to new work style arrangements. • Training delivered on data security. • Internal Audit inform Data Quality Manager of any issues arising from internal audits regarding data quality. • Update relevant policies (data protection, FOI, ICT security) • Information sharing protocol between SEBC and FH complete. |
| RSK STR 040 Safeguarding of Council's financial and physical assets | Misappropriation of Council's money or physical assets | Rachael Mann | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> • Risk based internal audit plan. • Participation in National Fraud Initiative (NFI) • Regular staff awareness updates • Specialist team in Revenue and Benefit teams. • Fraud Intranet page set up for staff and members. • Implementing necessary changes resulting from the Bribery Act July 2011. • Control environment core part of all specifications for any changes in software/systems. |

Appendix 1

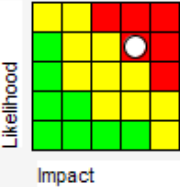
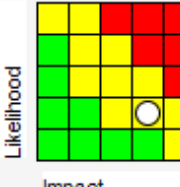
| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---------------------------------------|---|---------------|----------|---------------------|-----------|--------------------|---|
| RSK STR 041 Performance Management | 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. | Ian Gallin | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • Performance and Audit Scrutiny Committee (PASC) receive comprehensive performance monitoring report • Development and implementation of an integrated performance management framework across FHDC and SEBC. Joint KPIs in place and project plan for aligning of corporate plans across both authorities. • Shared service restructures will create single source of data management information, and more capacity to deliver high performance |
| RSK STR 042 Demographic Changes | 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. | Ian Gallin | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • Masterplans need to capture long term changes and demands of society and feed into the Core Strategy Single Issue Review (SIR) • Issues being picked up in Core Strategy SIR • Lobby for more national/Cambridge sub-region and County funding to meet changing needs. • Equality impact assessments carried out to assess impact of policies/activities on our communities. • Census data still being released. Information and analysis has been uploaded onto the GOLD website. Suffolk Observatory has live links to all new data. Suffolk-wide 'research' group is investigating areas for further research and analysis based on census findings. |
| RSK STR 043 Community Safety | Failure to deliver the Local Authority responsibilities in providing a safe environment. | Neil Anthony | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • West Suffolk Community Safety Partnership (CSP) working with all agencies to make Forest Heath a safe place. • Crime and Disorder Strategic Assessment carried out annually and action plan developed for CSP. • Embedding Crime and Disorder reduction in corporate activities and service planning. • Brandon alcohol free zone established. Now |

Appendix 1

| Code and Risk | Description – to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---|--|------------------|----------|---------------------|-----------|--------------------|--|
| | | | | | | | <p>progressing a Newmarket zone with the Town Council</p> <ul style="list-style-type: none"> • Countywide multi agency system to record anti social behaviour rolled out. • Public communications re: the Community Safety Partnership activities and outcomes. • Police Operational Partnership Teams now in place and developing links with local authorities. |
| RSK STR 044 Local Plan | Council fails to produce an up to date Local Plan which meets the future needs of the borough. Public reflection of specific growth proposals (housing and/or other infrastructure). | Head of Planning | Treat | | Sept 2013 | | <ul style="list-style-type: none"> • Core Strategy in place. • Joint working with adjoining councils on evidence base and studies delivering savings. • Extensive consultation undertaken with the public as part of the Core Strategy Single Issue Review process • Core Strategy documents for district wide, site specific. Ensuring resources are available to deliver all local development plan documents. • Consultation results now being fed into the Core Strategy Single Issue Review. |
| RSK STR 045 Implementation of Corporate Health & Safety Policy | 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. | Ian Gallin | Tolerate | | Sept 2013 | | <ul style="list-style-type: none"> • 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. • Full-time H & S Manager leading this work. • Well-being programme. • Requirement for all staff to complete online H&S training. • Communications to staff. • Appropriate insurances in place and regularly reviewed. |

| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|--|---|---------------|----------|--|-----------|---|--|
| RSK STR 046 Diversity Awareness | Inadequate Member and Officer awareness and development in diversity | Davina Howes | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> • Member and officer champion appointed. • Workforce and member training/ Workforce Development Plan. • Working towards consultation with hard to reach groups and equality monitoring. • Stress and disability surveys • Support of county-wide initiatives. • Equality impact assessments undertaken. • Diversity Working Group for West Suffolk reporting to both Cabinets established. • Internal Communications support |
| RSK STR 047 Environmental Sustainability / Carbon Emissions | Need to reduce carbon footprint of both direct and indirect Council functions | Peter Gudde | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> • Climate change action being incorporated into the West Suffolk Sustainable Development Strategy • High priority given to sustainable development and travel. • Promote issue through green partnerships. To include support and participation in the Suffolk Climate Change Partnership and work through the New Anglia LEP • External funds sought for new initiatives. Work undertaken within the Suffolk Climate Change Partnership • Watching brief on Carbon Reduction Commitment. • Communications as appropriate to publicise carbon reduction initiatives. • Follow-up work in response to Top Energy / Water users review. • Capital investment in Council green energy schemes, and support for homeowner improvements through national schemes. • Merger of pre-existing Environmental Management Groups across both Councils to form a West Suffolk EMG to drive environmental performance |

| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|---|---|---------------|----------|---------------------|-----------|--------------------|--|
| | | | | | | | across the two LAs. |
| RSK STR 048 Safeguarding of Children and vulnerable adults | Ensure that children and vulnerable adults are treated in a proper manner and in accordance with legislation. | Simon Phelan | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Working in countywide safeguarding partnership Joint updated Young Persons and Child Safeguarding policy approved by Cabinet in Dec 2012. Joint Vulnerable Adults Safeguarding policy to be developed. Safe recruitment procedures are adopted for all staff. Council's self-assessment of safeguarding arrangements confirmed by Safeguarding Board as complying with the responsibilities under the Children's Act. Regular staff and member training and briefing sessions - introducing an e-learning module on safeguarding. |
| RSK STR 049 Waste Handling | Failure to reach agreement between authorities on collection and disposal of waste and to achieve targets and the potential impact of implementing new major waste contracts due to start 2014 to 2016. | Mark Walsh | Treat | | Sept 2013 | | <ul style="list-style-type: none"> Continue working with other Waste Collection Authorities (WCA's) and the Waste Disposal Authority (WDA) on future treatment of residual waste, recyclable waste and organic waste including transfer station infrastructure and potential future impacts to waste collection services. Working to redefine and strengthen the work of the Suffolk Waste Partnership including the new Joint Municipal Joint Waste Management Strategy for Suffolk. |

| Code and Risk | Description - to avoid | Current Owner | Approach | Current Risk Matrix | Reviewed | Target Risk Matrix | Controls and actions |
|-------------------------------|--|---------------|----------|--|-----------|---|--|
| RSK STR 050 IT Integration | Integration of ICT across SEBC and FHDC creates delays or failure in services. | Rachael Mann | Treat |  | Sept 2013 |  | <ul style="list-style-type: none"> • Alignment of ICT infrastructure and corporate systems • Planned Business Applications alignment – including planning Idox system, Customer Access solution, finance system, • Regular review of integration progress through corporate projects timeline. Including regular review of horizon business application projects • ICT Resilience Team budget approved as part of shared service business case • Additional Project Management and ICT support considered as part of each shared services business case • Monthly testing of the Council PSN compliance including the checking and monitoring of new and existing officers. No tolerance approach adopted. • Transformation Project Board to be established to manage the risk of integrating and remodelling services going through restructuring. |