

## West Suffolk Strategic Risk Register 2016/17 - September 2016

| Type: A = Action, C = Control |                             |           |                                   |                           |   |                  |      |  |   |            |                                     |                  | Appendix 1 |
|-------------------------------|-----------------------------|-----------|-----------------------------------|---------------------------|---|------------------|------|--|---|------------|-------------------------------------|------------------|------------|
| RISK ID NUMBER                | Date risk added to register | Type      | Current Owner                     | Title                     | Description - What are we trying to avoid?  | WS Inherent Risk | Type | Summary of Controls / Actions - What we are doing / need to do to prevent it.  | Who is responsible for the actions              | Start date | Target completion date/ Complete    | WS Residual Risk |            |
| WS1 A                         | 10-Jul-14                   | Financial | Head of Resources and Performance | Poor financial management | Failure in specific areas to achieve projected income, or expenditure exceeds the approved budgets (revenue or capital).  |                  | C    | 1) Monthly monitoring reports (revenue and capital) to budget holders. Quarterly revenue and capital monitoring reports to PASC.   | Head of Resources & Performance                 | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 2) Business rate retention income and localising of Council tax being monitored monthly by Finance and ARP   | Head of Resources & Performance                 | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 3) Regular meetings between budget holders and Resources and Performance business advisors/partners  | Service Managers / Business Partners / Advisers | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 4) Scrutiny of financial reports by LT and Members through Performance and Audit Scrutiny Committee  | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | A    | 5) New joint financial management system now in place, development of more comprehensive budget planning, monitoring and reporting processes including training for budget holders                       | Head of Resources & Performance                 | Apr-15     | Dec-15 Completed                    |                  |            |
|                               |                             |           |                                   |                           |   |                  | A    | 6) Strengthen the overall Performance Management Framework. E.g. Balanced Scorecards, PDRs, (also see WS18).   | Head of Resources & Performance                 | Apr-15     | 01/03/2016 Completed                |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 7) Regular updates of projects, assessment of any additional risks associated with new projects.   | LT  | Sep-16     | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 8) Monitoring of investment decisions and original business cases targets/outcomes through an Officer group.   | Head of Resources & Performance                 | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 9) 2017/18 Budget now focusing on bridging budget gaps across the MTFS, rather than addressing one year at a time.   | Head of Resources & Performance                 | Sep-16     | N/A                                 |                  |            |
| WS1 B                         | 10-Jul-14                   | Financial | Head of Resources and Performance | Poor financial planning   | <p>Failure to deliver a sustainable Medium Term Financial Strategy, especially in view of continued financial uncertainty around areas such as Comprehensive Spending Review, localisation of Business Rates, increased service demand, and use of reserves.</p> <p>Over reliance on any one particular MTFS theme such as behaving more commercially or being an investing authority</p> |                  | A    | 1) Budget preparation for 2017/18 - 2019/20 ,re-focus on MTFS, and uncertainty regarding Business Rate Retention in 2020 continues to challenge all six MTFS themes. Proposals include LT peer scrutiny. | LT  | N/A        | 31/03/2016 Completed                |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 2) Demand trends and financial implications validated as part of budget setting. Using monitoring reports to identify trends.  | Service Managers / Business Partners / Advisers | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 3) Medium Term Financial Strategy update - including review of assumptions, sensitivity analysis and review of reserve and balance levels  | Head of Resources and Performance               | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 4) Scrutiny of financial reports by LT and Members through Performance and Audit Scrutiny Committee  | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 5) Monitor Government statements on future of local government funding   | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 6) New investment proposals to be considered through the Councils governance and decision making process including challenge by the Officer programme and investment groups.                             | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 7) Use of data and intelligence in forecasting future scenarios.   | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | C    | 8) Keep a careful eye on Brexit implications re European funding and service delivery  | LT  | N/A        | N/A                                 |                  |            |
|                               |                             |           |                                   |                           |   |                  | A    | 9) Project resources review  | LT  | Sep-16     | Initial review Dec 16 then on-going |                  |            |

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| WS2                           | 10-Jul-14                   | Customer | Head of Families & Communities | Maintain and promote our public image, maintain effective communications | <p>Councils being portrayed in the media (including social media) in a way which undermines public trust and confidence. Councils' poor reputation preventing them from entering into positive partnerships with others, or securing funding. Lack of public trust and confidence in the councils that could affect their ability to work WITH communities in achieving the strategic priorities and to achieve behaviour change (e.g. around recycling, channel shift etc.).</p> <p>This could also potentially impact on our ability to recruit staff in competitive market.</p> | <p style="text-align: center;">Probability<br/>5<br/>4<br/>3<br/>2<br/>1<br/>1 2 3 4 5<br/>Impact</p> | C    | 1) Monitor media coverage through daily media alerts and, where appropriate, provide a robust response.  | Comms Team                         | N/A        | N/A                              | <p style="text-align: center;">Probability<br/>5<br/>4<br/>3<br/>2<br/>1<br/>1 2 3 4 5<br/>Impact</p> |
|                               |                             |          |                                |  |  |   | C    | 2) Proactively engage with news and social media to disseminate information about West Suffolk services, engage local communities, and address errors or           | Comms Team                         | N/A        | N/A                              |   |
|                               |                             |          |                                |  |  |   | C    | 3) Train and support staff and Members in proactive communications and dealing with media.   | Comms Team                         | N/A        | N/A                              |   |
|                               |                             |          |                                |  |  |   | C    | 4) Deliver a communications work programme which focuses on proactive communications.  | Comms Team                         | N/A        | On-going                         |   |
|                               |                             |          |                                |  |  |   | A    | 5) Ensure that appropriate communications planning and support are identified for strategic projects as per individual project plans                               | Comms Team                         | Aug-14     | On-going                         |   |
|                               |                             |          |                                |  |  |   | C    | 6) Carry out timely and proportionate consultation that is available in an accessible format for everyone who wants to give us their views on a particular matter. | Policy Team                        | N/A        | N/A                              |   |

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| WS3                           | 10-Jul-14                   | Customer     | Head of Families & Communities                       | Failure to deliver channel shift (Customer Access Strategy)                               | Service delivery methods do not meet customer needs or expectations with potential to damage Councils' reputation; customer expectations may need to be more carefully managed in new financial climate; services fail to deliver savings in required time scale or maintain quality; excessive demands on staff time. |                  | C    | 1) Continue to develop new web presence with full digital by default capability.  | Head of Families & Communities                                    | N/A        | N/A                              |                  |            |
|                               |                             |              |  |   |  |                  | C    | 2) Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels.  | Service Manager (Corporate Communications)                        | N/A        | N/A                              |                  |            |
|                               |                             |              |  |   |  |                  | C    | 3) Continuing development to ensure web site remains fit for purpose.   | Head of Families & Communities                                    | N/A        | N/A                              |                  |            |
|                               |                             |              |  |   |  |                  | C    | 4) Anglia Revenues Partnership, (ARP), project to rewrite and redesign website now underway. Customer service support to be provided to ensure there is an effective customer journey.  | Head of Families & Communities, Head of Resources and Performance | N/A        | Completed                        |                  |            |
|                               |                             |              |  |   |  |                  | A    | 5) Anglia Revenues Partnership, (ARP), Strategic (Transformation) Plan outlining the future role of ARP to be developed.  | Director (JC)   | Jul-16     | Mar-17                           |                  |            |
| WS4                           | 10-Jul-14                   | Professional | Head of Human Resources, Legal & Democratic Services | Staff retention (professional staff / technical staff). Staff trust and goodwill (morale) | Lack of staff skills, experience and capacity could prevent delivery of services and high levels of performance. Failure to have motivated staff with appropriate workload.  |                  | A    | 1) Review of induction programme completed. Continue to develop the corporate induction and training programme for staff and members to ensure content remains up to date and relevant.   | HR Business Partner   | Jun-14     | On-going                         |                  |            |
|                               |                             |              |  |   |  |                  | A    | 2) OD strategy now in plan encompassing recruitment; succession planning; talent management and pay & reward scheme. Talent management now linked to PDR programme.   | HR Business Partner   | Jun-14     | On-going                         |                  |            |
|                               |                             |              |  |   |  |                  | C    | 3) Regularly evaluate outcome of Performance Reviews to identify talent management to inform succession planning.   | Head of HR, Legal and Democratic Services                         | N/A        | N/A                              |                  |            |
|                               |                             |              |  |   |  |                  | C    | 4) New intranet facilities providing consistent and regular communication to officers and members, with the opportunity to provide feedback now in place.   | Service Manager (Corporate Communications)                        | N/A        | Sep-16                           |                  |            |
|                               |                             |              |  |   |  |                  | A    | 5) Annual workforce monitoring data presented to the West Suffolk Joint Staff Consultative Panel; no significant issues raised.   | Head of HR, Legal & Democratic Services / HR Business Partner     | Jun-14     | On-going                         |                  |            |
|                               |                             |              |  |   |  |                  | A    | 6) Salary benchmarking has been undertaken and remains under review. Recruitment monitoring has highlighted some challenging areas which we are working on to address. Maintain focus on strong employer brand. Monitoring/review of payline and structure may need to be considered. National work commencing on the NJC/Job Evaluation/Reward work linked to the National Living Wage and the changing roles of the 21C Public Servant. | Head of HR, Legal and Democratic Services                         | Jun-14     | Mar-17                           |                  |            |
|                               |                             |              |  |   |  |                  | A    | 7) Review of skills and structures to ensure successful delivery of MTFS and associated growth projects   | Heads of Service and Service Managers                             | Dec-16     | On-going                         |                  |            |
| WS6                           | 10-Jul-14                   | Political    | Chief Executive                                      | Managing public / councillor expectations with less resources                             | Falling short of providing the level of service that the public and councillors expect and demand.   |                  | C    | 1) Understand and communicate priorities and expectations through Strategic Plan and MTFS   | LT  | N/A        | Oct-17                           |                  |            |
|                               |                             |              |  |   |  |                  | C    | 2) Assign dedicated corporate project resources to support new projects as they arise.  | LT  | N/A        | N/A                              |                  |            |

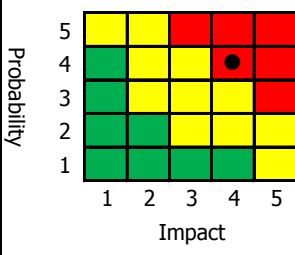
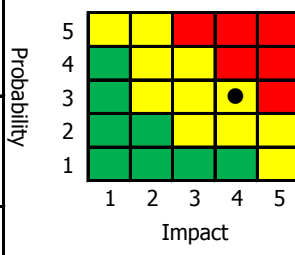
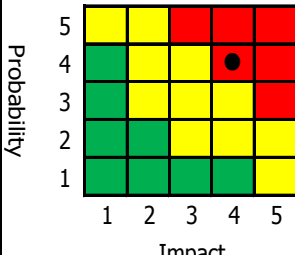
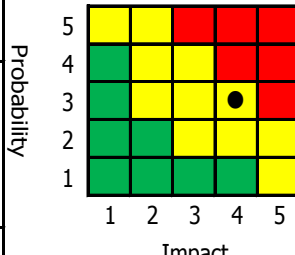
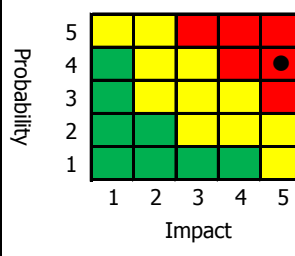
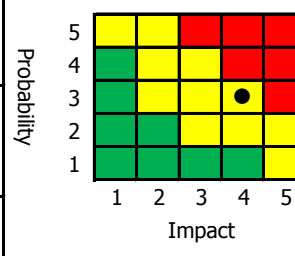
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|                               |                             |      |               |       |  | <p>Ability<br/>5<br/>2<br/>1<br/>1 2 3 4 5<br/>Impact</p> | A    | 3) Review and align service and skilled resources available to the strategic plan including communicate resources. | LT                                 | Jun-14     | On-going                         | <p>Ability<br/>5<br/>2<br/>1<br/>1 2 3 4 5<br/>Impact</p> |
|                               |                             |      |               |       |  |   | C    | 4) Regular monitoring and update discussions with portfolio holders on the corporate project plan progress         | LT                                 | N/A        | N/A                              |   |

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|                               |                             |  |                                       |   |   |   |      |  |   |            |   |   |
|                               |                             |  |                                       |   |   |   |      | C  | 5) Regular monitoring of Balanced Scorecards to include complaints, compliments and trends. |            |   |   |
| WS7                           | 10-Jul-14                   | Technological<br>Financial<br>Customer | Corporate Programme Manager / All HoS | Poor project management                           | Key strategic outcomes not being delivered due to projects failing to be completed on time. Budgets are overspent due to delays. Peaks and troughs in resource demands for support services are not managed, resulting in unmanageable workloads for e.g. IT team, exacerbating the delays. |    | A    | 1) Maintain and develop an efficient programme and project management framework and team (led by Service Manager Corporate Policy).  | Service Manager Corporate Policy  | Jun-14     | On-going  |    |
|                               |                             |  |                                       |   |   |   | A    | 2) Maintain oversight of corporate project plan, to avoid concurrent demands on support services   | Service Manager Corporate Policy  | Jun-14     | On-going  |   |
|                               |                             |  |                                       |   |   |   | A    | 3) Training of all staff involved in project work in core project management skills  | L&D team  | Jun-14     | On-going  |   |
|                               |                             |  |                                       |   |   |   | C    | 4) Project support and resources to be included in future Project Initiation Documents and project business cases, including ICT support and other support services  | LT  | N/A        | N/A   |   |
|                               |                             |  |                                       |   |   |   | C    | 5) Early identification of Corporate capacity / priorities as part of business plan / project initiation. Review of project workstream to assist with prioritisation.  | LT  | N/A        | N/A   |   |
|                               |                             |  |                                       |   |   |   | C    | 6) Carry out Project Health Checks.  | LT  | N/A        | N/A   |   |
| WS7a                          | 10-Jul-14                   | Technological                          | Head of Resources and Performance     | ICT integration                                   | Integration of ICT across services and systems not being achieved. Failure to keep Business Applications aligned.   |   | A    | 1) Maintain alignment of ICT infrastructure and corporate systems through corporate project plan   | Infrastructure Support Manager  | Jun-14     | On-going  |   |
|                               |                             |  |                                       |   |   |   | A    | 2) Continued Business Applications integration / alignment – including, Customer Access solution, Waste Management, GIS system, Agresso Financial Management System (phase 2), Planning Idox System - through corporate project plan | Project Managers & Service Manager (ICT)  | Jun-14     | System updates and improvements continue to be made |   |
|                               |                             |  |                                       |   |   |   | C    | 3) Regular review of both integration programmes through corporate projects plan.  | Service Manager Corporate Policy/ LT  | N/A        | N/A   |   |
|                               |                             |  |                                       |   |   |   | C    | 4) Monthly testing of the Council PSN compliance including the checking and monitoring of new and existing staff. No tolerance approach adopted.   | Infrastructure Support Manager  | N/A        | N/A   |   |
|                               |                             |  |                                       |   |   |   | A    | 5) Development of a West Suffolk Information Strategy and links to the wider public sector integration agenda (Transformation Challenge Award). Recruitment of ICT Manager.  | Service Manager (ICT)   | Jun-14     | Dec-16  |   |
| WS8                           | 10-Jul-14                   | Political<br>Social                    | Head of Families & Communities        | Failure to deliver; Families & Communities agenda | Opportunities being missed to create or influence the provision of:   |  | C    | 1) Initial Families & Community Strategy now complete. Continuous development and review of strategy to ensure that it remains fit for purpose.  | Service Manager (Families & Communities)  | N/A        | N/A   |  |
|                               |                             |  |                                       |   |   |   | C    | 2) Continue to develop the Families and Communities Officers role and new ways of working with councillors and the wider team.   | Service Manager (Families & Communities)  | N/A        | N/A   |   |
|                               |                             |  |                                       |   |   |   | A    | 3) Locality budgets and Community Chest funds available. Ensure both are used effectively and as intended.   | Service Manager (Families & Communities)  | Oct-13     | On-going  |   |
|                               |                             |  |                                       |   |   |   |      |  |   |            |   |   |
|                               |                             |  |                                       |   |   |   |      |  |   |            |   |   |

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|                               | (b)                         |      | Head of Planning & Growth                   | Failure to deliver; Growth Agenda inc coping with growth and increase in demand   | Opportunities being missed to create or influence the provision of: |                  |      | 1) Developing engagement with the two Local Enterprise Partnerships. Deliver Six Point Plan for Jobs and Growth. Monitoring the local economy.   | Head of Planning & Growth           | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (i) beneficial growth that enhances prosperity and quality of life  |   |                  | C    | 2) Small budget to support businesses with grants. Business rate income being closely monitored from April 2013 by ARP. Developing Inward Investment strategy. Increase Business engagement  | Head of Planning & Growth           | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (ii) existing businesses that are thriving and new businesses brought to the area   |   |                  | C    | 3) Support to WSC, SCC, UCS and other agencies involved with skills development. Monitoring attainment levels.   | Head of Planning & Growth           | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (iii) people with the educational attainment and skills needed in our local economy   |   |                  | C    | 4) Continue to develop close working relationships with Whitehall, Norfolk partners, LEPS to influence the design of any devolution agreements and business rates retention schemes.   | Head of Planning & Growth           | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (iv) vibrant, attractive and clean high streets, village centres and markets  |   |                  | A    | 5) Development and delivery of Local Plans   | Head of Planning & Growth           | Dec-15     | On-going                                |                  |            |
|                               |                             |      |   |   |   |                  | A    | 6) Continued development of enterprise zones. Development of a joint plan for 2020/21.   |                                     |            | Feb-17                                  |                  |            |
|                               | (c)                         |      | Head of Housing / Head of Planning & Growth | Failure to deliver; Housing Agenda  | Opportunities being missed to create or influence the provision of: |                  |      | 1) West Suffolk Housing strategy adopted, implementation of agreed Action Plan, with annual monitoring   | Head of Housing                     | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (i) sufficient housing for current and future generations, including more affordable homes and improvements to existing housing       |   |                  | C    | 2) Cambridge Sub-regional Strategic Housing Market Assessment completed 2008 to identify levels of need, with annual updates and reviews.  | Head of Housing                     | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (ii) new developments that are fit for the future, properly supported by infrastructure, and that build communities, not just housing |   |                  | C    | 3) Local Investment Plan 2014-18 approved by HCA, now working with RP partners to deliver. Quarterly monitoring of plan and annual review.   | Head of Housing                     | N/A        | N/A                                     |                  |            |
|                               |                             |      |   | (iii) homes that are flexible for people's changing needs   |   |                  | C    | 4) West Suffolk Choice Based Lettings Scheme regularly reviewed to reflect changes in legislation. Scheme re-tendered June 2015, with new system fully operational by June 2016, operation of scheme monitored through CBL Management Board.   | Service Manager (Housing Options)   | N/A        | N/A                                     |                  |            |
|                               |                             |      |   |   |   |                  | A    | 5) Review of the West Suffolk Lettings Partnership scheme commenced to assess whether scheme should continue or not.   | Service Manager (Housing Options)   | Sep-14     | Mar-17                                  |                  |            |
|                               |                             |      |   |   |   |                  | A    | 6) Disabled Facilities Grants process and Home Improvement Agency contract reviewed with partners in order to introduce a more co-ordinated and integrated service across agencies. New service introduced in May 2016, regular monitoring being undertaken following some operational difficulties with the new scheme. | Service Manager (Housing Standards) | Apr-14     | Sep-16                                  |                  |            |
|                               |                             |      |   |   |   |                  | A    | 7) Establishment of commercial Housing Development Company in partnership with Suffolk County Council to build open market, private rented and affordable housing, Company incorporation 15 March 2016. Initial Business and Delivery Plan to be presented to the Councils for approval Dec 2016.                        | Head of Housing                     | Apr-15     | See action 7 text for details of dates. |                  |            |
|                               |                             |      |   |   |   |                  | A    | 8) Monitor implications of new Housing & Planning Bill proposals - a watching brief. Briefing note on housing aspects of Bill circulated to senior officers and members in March 16. Still awaiting publication by DCLG of details on how the details of the Bill will be enacted."                                      | Head of Housing                     | Apr-16     | See action 8 text for details of dates. |                  |            |

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| WS11                          | 10-Jul-14                   | Economic Financial Competitive | Chief Executive / Directors | Failure to adapt to new public sector models, explore opportunities with partners  | West Suffolk fails to deliver better services for public sector customers (regardless of the organisation), fails to close its budget gap due to missing opportunities for new sources of funding and opportunities for savings through economies of scale and better integration; or fails to take account of wider changes in national and local government legislation and policy (including EU). |                  | C    | 1) Keep a watching brief on, and disseminate information on new policies, funding models and opportunities through DCLG, RSN, LGA, EELGA etc.   | Policy Team                        | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | C    | 2) Maintain good relationships with public sector partners, e.g. CCG, SCOLT, SCEG, ARP authorities to hear of, and take opportunities arising from opportunities for partnership working.   | Chief Executive and Directors      | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | C    | 3) Robust business cases for identified opportunities.  | LT                                 | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | C    | 4) Keeping a watching brief on the new/changing National policies with Suffolk colleagues, including Brexit and local government funding changes and play an active part in the Devolution process for Norfolk, Suffolk and the wider East Anglia area, (also see WS8(b) 4).  | Chief Executive and Directors      | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | A    | 5) Lead the integration and rationalisation of the public estate through membership, and local leadership, of the Government's One Public Estate Programme.   | Director                           | Jul-14     | On-going                         |                  |
|                               |                             |                                |                             |  |  |                  | A    | 6) LT document "West Suffolk: Promoting Physical Activity"  |                                    |            | Completed                        |                  |
|                               |                             |                                |                             |  |  |                  | A    | Explore shared services opportunities with other Local Authorities  | LT                                 | Apr-15     | On-going                         |                  |
| WS12                          | 10-Jul-14                   | Partnership                    | Head of Planning & Growth   | Loss of a key employer (for example USAFE, Racing Industry, Greene King, WS Hospital, Centre Parcs, British Sugar) Please see Risk WS22 for USAFE. | Failure to retain major employers in the area and the economic impact that it would have   |                  | A    | 1) Liaison with the key employers to understand issues and opportunities by: coordinating and attending the West Suffolk Business Forum; organising the West Suffolk Business Festival (which provides opportunities for engagement with key employers); arranging visits to key employers for Leadership Team; promoting the ED team as a key point of contact for businesses and as a result responding to concerns and issues raised; and meeting and supporting business leaders in conjunction with the New Anglia Local Enterprise Partnership Growth Hub advisors. | Head of Planning & Growth          | Jun-14     | On-going                         |                  |
|                               |                             |                                |                             |  |  |                  | C    | 2) Ensuring there is sufficient employment land / premises for expansion.   | Head of Planning & Growth          | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | C    | 3) Understand skills shortage and requirements by linking business to education providers and encourage businesses to take on apprentices.  | Head of Planning & Growth          | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | A    | 4) Help businesses access third party funding.  | Head of Planning & Growth          | Jun-14     | On-going                         |                  |
|                               |                             |                                |                             |  |  |                  | A    | 5) Further development of the six point jobs and growth plan.   | Head of Planning & Growth          | Jun-14     | On-going                         |                  |
|                               |                             |                                |                             |  |  |                  | A    | 6) In the worst case scenario (actions 1 - 5 ineffective) the ED team liaises with key partners such as Job Centre Plus and West Suffolk College to mitigate the impact of downsizing/restructuring.  | Head of Planning & Growth          |            |                                  |                  |
| WS13                          | 10-Jul-14                   | Partnership Financial          | Directors                   | Partner / Public Sector failure  | Partners or partnerships failing; cost shunting (transfer of costs between partners); partnerships not achieving desired outcomes.   |                  | C    | 1) Ensure robust SLA (Service Level Agreement) & Joint Venture arrangements are in place. Ensure good due diligence procedures are used.  | All HoS                            | N/A        | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | C    | 2) Regular monitoring of arrangements / outcomes.   | All HoS                            | Jun-14     | N/A                              |                  |
|                               |                             |                                |                             |  |  |                  | A    | 3) Regular meetings with key partners, including fortnightly Suffolk CEO meetings to discuss impact and potential response of the Suffolk wide system. Ensure effective engagement in the Transformation Challenge Award.   | All HoS                            | Jun-14     | On-going                         |                  |



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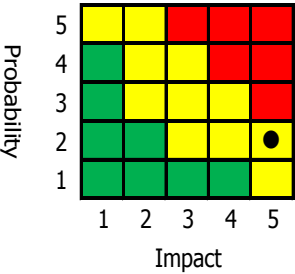
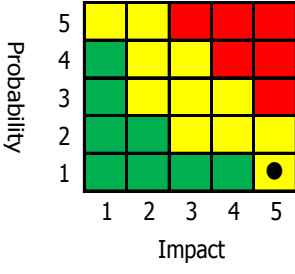
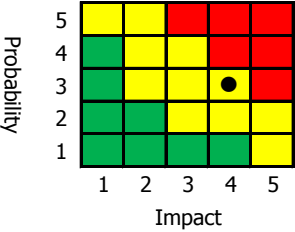
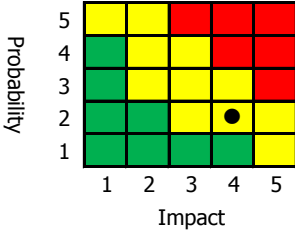
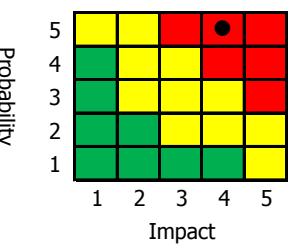
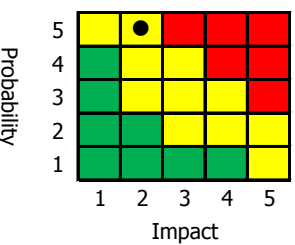
**Appendix 1**

| Type: A = Action, C = Control |                             |                             |               |  |  |                  |      |   |                                       |            |                                  |                  |
|-------------------------------|-----------------------------|-----------------------------|---------------|--|--|------------------|------|---|---------------------------------------|------------|----------------------------------|------------------|
| RISK ID NUMBER                | Date risk added to register | Type                        | Current Owner | Title                                    | Description - What are we trying to avoid?   | WS Inherent Risk | Type | Summary of Controls / Actions - What we are doing / need to do to prevent it.   | Who is responsible for the actions    | Start date | Target completion date/ Complete | WS Residual Risk |
|                               |                             |                             |               |  |  | Impact           | A    | 4) Ensure effective engagement in the Transformation Challenge Award.   | CEO and LT                            | Jun-14     | On-going                         | Impact           |
|                               |                             |                             |               |  |  |                  | C    | 5) Understand the cumulative impact of complex partnership delivery arrangements.   | CEO and LT                            | Dec-15     | N/A                              |                  |
| WS14                          | 10-Jul-14                   | Physical<br>Social<br>Legal | Director      | Service failure through unplanned events | Reduced level or failure to deliver services to both internal and external clients due to unforeseen events. |                  | A    | 1) Services must have a workable Business Continuity Plan in place.   | Heads of Service/All staff            | Aug-14     | On-going                         |                  |
|                               |                             |                             |               |  |  |                  | C    | 2) Combined West Suffolk Business Continuity Plan is in place for major identified threats, regularly reviewed and practised. | LT                                    | N/A        | N/A                              |                  |
|                               |                             |                             |               |  |  |                  | C    | 3) Appointed officers within each service to be responsible for the continuity plans.   | Heads of Service / Appointed Officers | N/A        | N/A                              |                  |

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| RISK ID NUMBER                | Date risk added to register | Type                            | Current Owner                   | Title  | Description - What are we trying to avoid?  | WS Inherent Risk | Type | Summary of Controls / Actions - What we are doing / need to do to prevent it.   | Who is responsible for the actions              | Start date | Target completion date/ Complete            | WS Residual Risk |            |
| WS16                          | 10-Jul-14                   | Legal                           | Director                        | Breach of data protection and information security | Failure to ensure the accuracy and control of data. Not using good practice when handling data. Damage to council's reputation. Avoid legal challenge. Prevent potential claims for compensation. |                  | C    | 1) Information governance group coordinates councils' approach to risks.  | Director  | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | C    | 2) Records Management Working Group to coordinate councils' approach to records management.   | Director  | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | C    | 3) Regular buildings checks to ensure information is held securely.   | Service Manager (Internal Audit)                | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 4) Entrance barriers to staff entrance at WSH now installed. Barriers to other entry points to be kept under review with partners at SCC.   | Service Manager (Property Services)             | Aug-14     | Nov-15 Barriers to staff entrance completed |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 5) Improve staff and member communication on good practices and data security.  | Service Manager (Corporate Communications)      | Apr-14     | On-going                                    |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 6) Information Security e-learning - 1st phase, existing officers, completed. All new staff and members to complete module as part of induction programme.  | Director  | Apr-14     | On-going                                    |                  |            |
| WS18                          | 10-Jul-14                   | Customer Financial Professional | Head of Resources & Performance | Poor Performance Management                        | Risk of individual services having below par performance levels and possible dips in performance while establishing new service models.   |                  | C    | 1) Performance and Audit Scrutiny Committee (PASC) receive comprehensive performance monitoring report.   | Head of Resources & Performance / R&P Business  | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 2) Early identification, reporting and monitoring of potential problem areas.   | Service Managers / Business Partners / Advisers | Aug-14     | On-going                                    |                  |            |
|                               |                             |                                 |                                 |  |   |                  | C    | 3) Strengthen the overall Performance Management Framework- review of the Balanced Scorecard as a performance management tool.  | Head of Resources & Performance                 | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | C    | 4) Use PDR's to aid early identification of potential problem areas.  | Line Managers                                   | N/A        | N/A   |                  |            |
| WS19                          | 10-Jul-14                   | Economic Social                 | All HoS                         | 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.            |                  | C    | 1) Key services (planning, housing and waste) use forecasting models (e.g. East of England forecasting model, POPGROUP) to build population change into future service planning.  | Head of Housing/ Planning & Growth/Operations   | N/A        | N/A   |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 2) Monitor, research and analysis around demographics through DCLG, ONS, LGA, LGC and other sources and share key findings with relevant services.  | Policy Team                                     | Jun-14     | On-going                                    |                  |            |
|                               |                             |                                 |                                 |  |   |                  | A    | 3) Attend meetings of Suffolk Information Forum and Transformation Challenge Award Data and Intelligence work stream to share best practice around population monitoring and forecasting. NB particular attention needs to be paid to Forest Heath due to population forecasts not being able to deal accurately with USAFE population. | Policy Team                                     | Jun-14     | On-going                                    |                  |            |

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| RISK ID NUMBER                | Date risk added to register | Type                | Current Owner  | Title  | Description - What are we trying to avoid?   | WS Inherent Risk  | Type | Summary of Controls / Actions - What we are doing / need to do to prevent it.  | Who is responsible for the actions         | Start date | Target completion date/ Complete                                       | WS Residual Risk  |            |
| WS20                          | 10-Jul-14                   | Physical            | Head of Human Resources, Legal & Democratic Services | Implementation of the Corporate Health and 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 HSE (Health & Safety Executive) prosecutions. |    | C    | 1) Corporate Health and Safety strategy, objectives and implementation plans in place for all internal and external functions performed by the Council.  | Health & Safety Manager                    | N/A        | N/A  |    |            |
|                               |                             |                     |  |  |  |   | A    | 2) Well being programme in place.  | Health & Safety Manager                    | Jun-14     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | C    | 3) Requirement for all staff to complete online H&S training and members to complete appropriate H&S induction programme.  | Health & Safety Manager                    | N/A        | N/A  |   |            |
|                               |                             |                     |  |  |  |   | A    | 4) Communications to staff.  | Health & Safety Manager                    | Jun-14     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | A    | 5) Appropriate insurances in place and regularly reviewed.   | Health & Safety Manager                    | Jun-14     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | C    | 6) Continue a programme of health and safety audits according to H&S Risk.   | Health & Safety Manager                    | N/A        | N/A  |   |            |
| WS21                          | 10-Jul-14                   | Social Legal        | Head of Housing                                      | Safeguarding children and vulnerable adults              | Children and vulnerable adults being treated in an improper manner and not in accordance with legislation.   |   | A    | 1) Working in Countywide safeguarding partnership.   | Head of Housing                            | Jul-09     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | C    | 2) Safe recruitment procedures are adopted for all staff recruitment.  | Head of HR, Legal & Dem Services           | Jul-09     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | A    | 3) Regular staff and member training and briefing sessions taking place included as part of induction and training programme.  | Head of Housing / HR, Legal & Dem Services | Jun-14     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | C    | 4) Operational links into the MASH (Multi Agency Safeguarding Hub) to be reviewed to ensure appropriate referrals are being made.  | Head of Housing                            | N/A        | N/A  |   |            |
|                               |                             |                     |  |  |  |   | A    | 5) Ensure appropriate training is provided to front-line staff.  | Head of Families & Communities             | Nov-15     | 01/04/2016 Initial training completed - continued ongoing development. |   |            |
| WS22                          | 21-Apr-15                   | Economic and social | Chief Executive                                      | Effects of the closure of RAF Mildenhall                 | Negative impact on the local economy, families and community or the housing market   |  | A    | 1) Attend and play an active role in meetings of the Government-led Mildenhall, Alconbury and Molesworth Working Group as representatives of the community and local businesses.   | Chief Executive                            | Feb-15     | On-going   |  |            |
|                               |                             |                     |  |  |  |   | A    | 2) Co-ordinate and lead the Forest Heath member-led local Mildenhall and Lakenheath Airbases Group   | Chief Executive                            | Mar-15     | On-going   |   |            |
|                               |                             |                     |  |  |  |   | A    | 3) Commission an impact study to measure the impact of the USAFE on West Suffolk and the surrounding areas. Submission of prospectus to Central Government on future delivery of site by Mid November 16. Working closely with Cabinet Office, Treasury & HCA to influence Government thinking.            | Head of Planning and Growth                | Apr-15     | Mar - 16 Completed. Working with Cabinet Office etc. on-going          |   |            |
|                               |                             |                     |  |  |  |   | A    | 4) Work with external partners (including USAFE and UK Military) and internal departments to consider the actions to mitigate the impact of the net loss in USAFE personnel and also to consider opportunities for the RAF Mildenhall site in the context of the Government's One Public Estate Programme. | Chief Executive                            | Feb-15     | On-going   |   |            |

**West Suffolk Strategic Risk Register 2016/17 - September 2016**

**Appendix 1**

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|-------------------------------|-----------------------------|------|---------------|-------|--|------------------|------|--|------------------------------------|------------|----------------------------------|------------------|
| RISK ID NUMBER                | Date risk added to register | Type | Current Owner | Title | Description - What are we trying to avoid? | WS Inherent Risk | Type | Summary of Controls / Actions - What we are doing / need to do to prevent it.  | Who is responsible for the actions | Start date | Target completion date/ Complete | WS Residual Risk |
|                               |                             |      |               |       |  |                  | A    | 5) Hold engagement sessions with representatives from local businesses, housing organisations and the community to discuss the effects of the closure of RAF Mildenhall. Communicate with these groups throughout the project. | Chief Executive                    | Feb-15     | On-going                         |                  |
|                               |                             |      |               |       |  |                  |      |  |                                    |            |                                  |                  |
|                               |                             |      |               |       |  |                  |      |  |                                    |            |                                  |                  |
|                               |                             |      |               |       |  |                  |      |  |                                    |            |                                  |                  |