

West Suffolk Strategic Risk Register 2014/15 - September 2014

APPENDIX 1

RISK ID NUMBER	Date risk added to register	Type	Current Owner	Title	Description - What are we trying to avoid?	WS Inherent Risk	Summary of 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).		1) Monthly monitoring reports (revenue and capital) to budget holders.	Rachael Mann	On-going	On-going	
							2) Business rate retention income and localising of Council tax being monitored monthly by Finance and ARP	Rachael Mann	On-going	On-going	
							3) Regular meetings between budget holders and Resources and Performance business advisors/partners	Service Managers / Business Partners / Advisers	On-going	On-going	
							4) Scrutiny of financial reports by JLT and Members through Performance and Audit Scrutiny Committee	LT	On-going	On-going	
							5) New joint financial management system now in place, development of more comprehensive budget planning, monitoring and reporting processes including training for budget holders	Rachael Mann	Apr-14	Mar-15	
							6) Strengthen links to KPI monitoring	Rachael Mann	Apr-14	Mar-15	
WS1 B	10-Jul-14	Financial	Head of Resources and Performance	Poor financial planning	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, localising Council Tax, increased service demand, and use of reserves. Over reliance on any one particular MTFS theme such as behaving more commercially or being an investing authority		1) Budget preparation for 2015/16 continues to challenge all six MTFS themes. Proposals include reference to such themes so that scrutiny can take place by JLT	LT	On-going	Mar-15	
							2) Demand trends and financial implications validated as part of budget setting. Using monitoring reports to identify trends.	Service Managers / Business Partners / Advisers	On-going	On-going	
							3) Review being undertaken of approach to setting fees and charges	Rachael Mann	Apr-14	Mar-15	
							3) Medium Term Financial Strategy update - including review of assumptions, sensitivity analysis and review of reserve and balance levels	Rachael Mann	On-going	On-going	
							4) Scrutiny of financial reports by JLT and Members through Performance and Audit Scrutiny Committee	LT	On-going	On-going	
							5) Implement Behaving more commercially task and finish group actions	LT	Apr-14	Mar-15	
6) Monitor Government statements on future of local government funding	LT	On-going	On-going								
WS2	10-Jul-14	Customer	Head of Customers, Policy, Comms, Families & Communities	Maintain and promote our public image, maintain effective communications	Councils being portrayed negatively in the media (including social media) 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.)		1) Monitor media coverage through daily media alerts and, where appropriate, provide a robust response.	Comms Team	On-going	On-going	
							2) Positively engage with social media to disseminate positive stories about West Suffolk and address errors or misrepresentation	Comms Team	On-going	On-going	
							3) Train and support staff and Members in proactive communications and dealing with media.	Comms Team	On-going	On-going	
							4) Deliver a communications work programme which focusses on proactive communications.	Comms Team	On-going	On-going	
							5) 100% rewrite to content for new West Suffolk web site.	Comms Team / D Howes	Jun-14	Nov-14	

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WS3	10-Jul-14	Customer	Head of Customers, Policy, Comms, Families & Communities	Failure to deliver channel shift	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.		1) Appoint web design team to create new web presence for SEBC & FHDC.	Davina Howes	May-14	Completed	
							2) Ensure sufficient resource to support the provision of web content - rewrite and not a shift of existing / old content, (100% re-write of content required, now going live in November with all new content).	Davina Howes	Jun-14	Nov-14	
							3) Complete new web presence with full digital by default capability. (Planned completion date dependant on loading of planning policy docs, new committee system etc).	Davina Howes	Oct-14	On-going	
							4) Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels.	Marianne Hullah	On-going	On-going	
							5) Continuing development to ensure web site remains fit for purpose.	Davina Howes	Nov-14	On-going	
WS4	10-Jul-14	Professional	Head of Corporate Services (HR, Legal & Members)	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.		1) Corporate training programme in place (including induction) for staff and members.	Juliette Maguire	On-going	On-going	
							2) Identification of workforce needs through effective Workforce Development Planning.	Juliette Maguire	On-going	On-going	
							3) Regular cycle of staff reviews (as and when needed) and follow up action plans.	Karen Points	On-going	On-going	
							4) A development and support programme is continuously being reviewed to support staff and managers through the change agenda in the public sector, this includes staff resilience and capacity management	Karen Points	On-going	On-going	
							5) Consistent and regular communication to staff, including opportunities for feedback.	Marianne Hullah	On-going	On-going	
							6) Annual workforce monitoring data presented to the West Suffolk Joint Staff Consultative Panel; no significant issues raised. Monitoring period has been realigned to April - March.	Karen Points / Wendy Canham	On-going	On-going	
							7) Salary bench-marking to be undertaken	Karen Points	On-going	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.		1) Understand priorities and expectations through Strategic Plan and MTFS	LT	On-going	On-going	
							2) Develop corporate project plan and assign lead officers and members to the key council projects.	LT	On-going	On-going	
							3) Assign dedicated corporate project resources to lead on the monitoring of the corporate plan	LT	On-going	On-going	
							4) Review and align service and skilled resources available to the corporate plan including communicate resources.	LT	On-going	On-going	
							5) Regular monitoring and update discussions with portfolio holders on the corporate project plan progress	Corporate Programme Manager	On-going	On-going	

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WS7	10-Jul-14	Technological Financial 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.		1) Creation of efficient project management framework (led by corporate project manager). 2) Development and ongoing oversight of corporate project plan, to avoid concurrent demands on support services 3) Training of all staff involved in project work in core project management skills 4) Project support and resources to be included in further project business cases.	Corporate Programme Manager	On-going	On-going	
WS7a	10-Jul-14	Technological	Head of Resources and Performance	ICT integration	Integration of ICT across services and systems not being achieved.		1) Planned alignment of ICT infrastructure and corporate systems through corporate project plan 2) Planned Business Applications alignment – including, Customer Access solution, Waste Management, GIS system - through corporate project plan 3) Regular review of both integration programmes through corporate projects plan. 4) Implementation of Integration Tool kit. 5) Monthly testing of the Council PSN compliance including the checking and monitoring of new and existing staff. No tolerance approach adopted. 6) Development of a West Suffolk ICT Statement of Direction and review of ICT Business Partner role.	James Wager	On-going	On-going	
WS8	10-Jul-14	Political Social									
	(a)		Head of Customers, Policy, Comms, Families & Communities	Failure to deliver; Families & Communities agenda	Opportunities being missed to create or influence the provision of: (i) a thriving voluntary sector and active communities who take the initiative to help the most vulnerable (ii) people playing a greater role in determining the future of their communities (iii). improved wellbeing, physical and mental health (iv) accessible countryside and green spaces		1) Initial Families & Community Strategy now complete. Continuous development and review of strategy to ensure that it remains fit for purpose. 2) Locality Officers established. 3) Locality budgets available. 4) New way of working for councillors.	Families & Communities Manager	Oct-13	On-going	
	(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: (i) beneficial growth that enhances prosperity and quality of life (ii) existing businesses that are thriving and new businesses brought to the area (iii) people with the educational attainment and skills needed in our local economy (iv) vibrant, attractive and clean high streets, village centres and markets		1) Developing engagement with the two Local Enterprise Partnerships. New Six Point Plan for Jobs and Growth. Monitoring the local economy. 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 3) Support to WSC, SCC, UCS and other agencies involved with skills development. Monitoring attainment levels. 4) New Markets Development Officer post. Developing market towns action plan. Supporting and developing Business Improvement Districts.	Steven Wood	On-going	On-going	

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	(c)		Head of Housing / Head of Planning & Growth	Failure to deliver; Housing Agenda	Opportunities being missed to create or influence the provision of: (i) sufficient housing for current and future generations, including more affordable homes and improvements to existing housing (ii) new developments that are fit for the future, properly supported by infrastructure, and that build communities, not just housing (iii) homes that are flexible for people's changing needs		1) West Suffolk Housing strategy adopted, implementation of agreed Action Plan. 2) Sub-regional Strategic Housing Market Assessment completed 2008 to identify levels of need, with annual updates and reviews. 3) Implement revised targets for Affordable Housing for new developments over a certain size. Continue to implement Local Plans. 4) Adopted PPS3 Housing proposals for developing affordable housing, particularly in rural areas. 5) 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. 6) Local Investment Plan 2014-18 approved by HCA, now working with RP partners to deliver. Quarterly monitoring of plan and annual review. 7) West Suffolk Choice Based Lettings Scheme reviewed April 2013 to reflect changes in legislation - retendering of sub-regional system to be completed by March 2015. 8) Expansion of West Suffolk Lettings Partnership co-ordinates work with private sector landlords, help given to applicants to access private rented sector. 9) Empty homes strategy approved by Cabinet Sept. 2013, a revised policy will be included as part of the new comprehensive West Suffolk Strategy to be approved in Oct 2014. 10) Disabled Facilities Grants process and Home Improvement Agency contract to be reviewed in order to introduce a more co-ordinated and integrated service across agencies.	Simon Phelan Simon Phelan Simon Phelan / Steven Wood Simon Phelan / Steven Wood Steven Wood Simon Phelan Tony Hobby Julia Vernon Simon Phelan Andy Newman	Oct-14 On-going On-going On-going On-going On-going Apr-14 On-going ongoing Apr-14	Apr-18 On-going On-going On-going On-going On-going Mar-15 On-going ongoing Mar-15	
WS9	10-Jul-14	Legal	Head of Corporate Services (HR, Legal, & Members)	Ineffective governance that doesn't take into account the rapidly ever changing external environment.	The Constitution not fully reflecting and enabling new ways of working within West Suffolk, including the ability to behave more commercially, and ultimately may therefore not support the delivery of good quality and improved services that meet the local community's needs.		1) Review of the Constitutions commenced in 2013-14 and is currently in progress 2) Task and Finish Group established to agree new constitution principles	Karen Points / Fiona Osman Karen Points/ Fiona Osman	On-going Jul-14	Before May 2015 elections Before May 2015 elections	

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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.		1) Keep a watching brief on, and disseminate information on new funding models and opportunities through DCLG, RSN, LGA, EELGA etc. 2) Maintain good relationships with public sector partners, e.g. CCG, SCEG, ARP authorities to hear of, and take opportunities arising from opportunities for partnership working. 3) Robust business cases for identified opportunities	Policy Team Chief Executive and Directors LT	On-going On-going On-going	On-going On-going 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 Parks, British Sugar)	Failure to retain major employers in the area and the economic impact that it would have		1) Awareness of and engagement with the top 100 employers in the area. 2) Ensuring there is sufficient employment land / premises for expansion. 3) Understand skills shortage and requirements by linking business to education providers and encourage business to take on apprentices. 4) Help businesses access third party funding. 5) Six point jobs and growth plan 6) Resilience planning	Steven Wood Steven Wood Steven Wood Steven Wood Steven Wood	On-going On-going On-going On-going On-going	On-going On-going On-going On-going On-going	
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.		1) Robust SLA arrangements in place. 2) Regular monitoring of arrangements / outcomes. 3) Regular meetings with key partners	All HoS All HoS All HoS	On-going On-going On-going	On-going On-going On-going	
WS14	10-Jul-14	Physical Social Legal	Director	Service failure through unplanned events	Reduced level or failure to deliver services to both internal and external clients due to unforeseen events.		1) Each service needs to have sufficient cross-trained staff to be able to continue essential services delivery in the event of an unexpected staff shortage. 2) Services must have a workable Business Continuity Plan arrangements in place. 3) Combined West Suffolk Business Continuity Plan is in place for major identified threats, regularly reviewed and practised. 4) Appointed officers within each service to be responsible for the continuity plans.	Heads of Service / Service Managers Heads of Service/All staff LT Heads of Service / Appointed Officers	On-going On-going On-going On-going	On-going On-going On-going On-going	

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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.		1) Information governance group coordinates councils' approach to risks 2) Records Management Working Group to coordinate councils' approach to records management 3) Regular buildings checks to ensure information is held securely. 4) Review of building access arrangements and implement new arrangements. 5) Improve staff communication on good practices and data security 6) Information Security e-learning - 1st phase, existing officers, completed. All new staff to complete module as part of induction programme.	Alex Wilson Alex Wilson Jon Snares Chris Beckley Marianne Hullah Alex Wilson	On-going On-going On-going Aug-14 On-going Apr-14	On-going On-going On-going Aug-15 On-going 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.		1) Performance and Audit Scrutiny Committee (PASC) receive comprehensive performance monitoring report 2) Early identification, reporting and monitoring of potential problem areas. 3) Reporting of KPI's to be integrated with Financial Performance reporting.	Rachael Mann / P&R Business Partners Service Managers / Business Partners / Advisers Business Partners / Advisers	On-going On-going On-going	On-going On-going Mar-15	
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.		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 2) Monitor, research and analysis around demographics through DCLG, ONS, LGA, LGC and other sources and share key findings with relevant services. 3) Attend meetings of Suffolk Information Forum 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.	Simon Phelan, Stephen Wood, Mark Walsh Policy Team Policy Team	On-going On-going On-going	On-going On-going On-going	

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WS20	10-Jul-14	Physical	Director / Head of Corporate Services (HR, Legal & Members)	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 corporate manslaughter charges.		1) Corporate Health and Safety strategy, objectives and implementation plans 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 in place. 4) Requirement for all staff to complete online H&S training. 5) Communications to staff. 6) Appropriate insurances in place and regularly reviewed.	Martin Hosker Martin Hosker Martin Hosker Marianne Hlland Martin Hosker	On-going On-going On-going On-going On-going	On-going On-going On-going On-going On-going	
WS21	10-Jul-14	Social Legal	Head of Housing	Safeguarding children and vulnerable adults	Children and vulnerable adults being treated in a improper manner and not in accordance with legislation.		1) Working in Countywide safeguarding partnership. 2) Joint Vulnerable Adults Safeguarding policy to be developed April 15. 3) Safe recruitment procedures are adopted for all staff. 4) Council's self-assessment of safeguarding arrangements confirmed by Safeguarding Board as complying with the responsibilities under the Children's Act. 5) Regular staff and member training and briefing sessions - introducing an e-learning module on safeguarding. Investigate possibility of introducing subject into Corporate Induction Training Programme.	Simon Phelan Simon Phelan Karen Points Simon Phelan Simon Phelan / Karen Points	On-going Oct-14 Jul-09 On-going On-going	On-going On-going On-going On-going On-going	