

West Suffolk Strategic Risk Register 2014/15 - April 2015

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.	Head of Resources & Performance	On-going	On-going	
							2) Business rate retention income and localising of Council tax being monitored monthly by Finance and ARP	Head of Resources & Performance	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 LT 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	Head of Resources & Performance	Apr-15	Dec-15	
							6) Strengthen the overall Performance Management Framework	Head of Resources & Performance	Apr-15	Mar-16	
							7) Monitoring of investment decisions and original business cases targets/outcomes through an Officer group with representatives from Finance and Performance, Legal, Policy, Commercial and Programme Management	Head of Resources & Performance	Feb-15	on-going	
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, localising Council Tax, 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>		1) Budget preparation for 2016/17 - 2018/19 continues to challenge all six MTFS themes. Proposals include reference to such themes so that scrutiny can take place by LT	LT	On-going	Mar-16	
							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) Medium Term Financial Strategy update - including review of assumptions, sensitivity analysis and review of reserve and balance levels	Head of Resources and Performance	On-going	On-going	
							4) Scrutiny of financial reports by LT and Members through Performance and Audit Scrutiny Committee	LT	On-going	On-going	
							5) Monitor Government statements on future of local government funding	LT	On-going	On-going	
WS2	10-Jul-14	Customer	Head of Families & Communities	Maintain and promote our public image, maintain effective communications	<p>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.).</p> <p>This could also potentially impact on our ability to recruit staff in competitive market.</p>		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 focuses on proactive communications.	Comms Team	On-going	On-going	

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WS3	10-Jul-14	Customer	Head of 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) Continue to develop new web presence with full digital by default capability.	Head of Families & Communities	Oct-14	On-going	
							2) Clear and consistent public communications to explain changes to services and establish realistic expectations of service levels.	Service Manager (Corporate Communications)	On-going	On-going	
							3) Continuing development to ensure web site remains fit for purpose.	Head of Families & Communities	Nov-14	On-going	
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.		1) Corporate training programme in place (including induction) for staff and members.	HR Business Partner	On-going	On-going	
							2) Identification of workforce needs through effective Workforce Development Planning.	HR Business Partner	On-going	On-going	
							3) Regular cycle of staff reviews (as and when needed) and follow up action plans.	Head of HR, Legal and Democratic Services	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	Head of HR, Legal and Democratic Services	On-going	On-going	
							5) Consistent and regular communication to staff, including opportunities for feedback. New intranet now rolled out to facilitate this objective.	Service Manager (Corporate Communications)	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.	Head of HR, Legal & Democratic Services / HR Business Partner	On-going	On-going	
							7) Salary bench-marking being undertaken	Head of HR, Legal and Democratic Services	On-going	On-going	
							8) More outreach to Careers Fairs, Colleges and schools	Head of HR, Legal and Democratic Services	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 strategic plan	LT	On-going	On-going	
							4) Review and align service and skilled resources available to the strategic plan including communicate resources.	LT	On-going	On-going	
							5) Regular monitoring and update discussions with portfolio holders on the corporate project plan progress	Programme Manager	On-going	On-going	
							6) Delivery comprehensive member induction plan	LT	May-15	Jul-15	

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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 programme 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. 5) Better understanding of Corporate capacity / priorities 6) Maintain a proactive communications strategy	Programme Manager Programme Manager L&D team LT LT Head of Families & Communities	On-going Jun-14 On-going On-going On-going On-going	On-going On-going On-going On-going 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 Information Strategy and links to the wider public sector integration agenda (Transformation Challenge Award)	Infrastructure Support Manager Service Manager (ICT) Programme Manager/ LT Service Manager (ICT) Infrastructure Support Manager Service Manager (ICT)	On-going On-going On-going On-going On-going May-15	On-going Mar-16 On-going On-going On-going Jan-16	
WS8	10-Jul-14	Political Social									
	(a)		Head of 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) Continue to develop the Locality Officers role 3) Locality budgets available. 4) Develop new ways of working with councillors and the Families & Communities team 5) Implementation of the new approach to grants	Service Manager (Families & Communities) Service Manager (Families & Communities) Service Manager (Families & Communities) Service Manager (Families & Communities) Service Manager (Families & Communities)	Oct-13 Apr-15 Oct-13 Oct-13 Apr-15	On-going Mar-15 On-going On-going Dec-15	

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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: (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. Deliver 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.	Head of Planning & Growth	On-going	On-going	
	(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, regular reviews taking place as legislation changes introduced. Retendering of sub-regional system to be completed by June 2015, with new system fully operational by April 2016. 8) Expansion of West Suffolk Lettings Partnership co-ordinates work with private sector landlords, help given to applicants to access private rented sector. 9) Disabled Facilities Grants process and Home Improvement Agency contract being reviewed with partners in order to introduce a more co-ordinated and integrated service across agencies - tender process to be completed July 2015. 10) Supported Housing register project to improve allocation and management of specialist housing needs countywide. Phase 1 to be completed Sept 15, with Phase 2 completed April 16	Head of Housing	Oct-14	Apr-18	

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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 4) Keeping a watching brief on the new/changing National policies following May 2015 Elections	Policy Team Chief Executive and Directors LT LT	On-going On-going 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 Parcs, 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) Further development of the six point jobs and growth plan	Head of Planning & Growth Head of Planning & Growth Head of Planning & Growth Head of Planning & Growth Head of Planning & Growth	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, including fortnightly Suffolk CEO meetings to discuss impact and potential response of the Suffolk wide system. 4) Ensure effective engagement in the Transformation Challenge Award	All HoS All HoS All HoS CEO and LT	On-going On-going 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.	<p>Probability</p> <p>Impact</p>	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 and member communication on good practices and data security 6) Information Security e-learning - 1st phase, existing officers, completed. All new staff and members to complete module as part of induction programme.	Director Director Service Manager (Internal Audit) Service Manager (Property Services) Service Manager (Corporate Communications) Director	On-going On-going On-going Aug-14 On-going Apr-14	On-going On-going On-going Aug-15 On-going On-going	<p>Probability</p> <p>Impact</p>
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.	<p>Probability</p> <p>Impact</p>	1) Performance and Audit Scrutiny Committee (PASC) receive comprehensive performance monitoring report 2) Early identification, reporting and monitoring of potential problem areas. 3) Strengthen the overall Performance Management Framework	Head of Resources & Performance / R&P Business Service Managers / Business Partners / Advisers Head of Resources & Performance	On-going On-going Apr-15	On-going On-going Mar-16	<p>Probability</p> <p>Impact</p>
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.	<p>Probability</p> <p>Impact</p>	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 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.	Head of Housing/ Planning & Growth/Operations Policy Team Policy Team	On-going On-going On-going	On-going On-going On-going	<p>Probability</p> <p>Impact</p>

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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 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 and members to complete appropriate H&S induction programme. 5) Communications to staff. 6) Appropriate insurances in place and regularly reviewed. 7) Continue a programme of health and safety audits according to H&S Risk	Service Manager (Health & Safety) Service Manager (Health & Safety) Service Manager (Health & Safety) Service Manager (Health & Safety) Service Manager (Corporate Communications) Service Manager (Health & Safety) Service Manager (Health & Safety)	On-going On-going 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 an improper manner and not in accordance with legislation.		1) Working in Countywide safeguarding partnership. 2) Safe recruitment procedures are adopted for all staff recruitment. 3) Regular staff and member training and briefing sessions taking place - 88 key staff completed training introduction of an e-learning module on safeguarding being reconsidered. Introduction to safeguarding now included as part of both staff and member induction programme.	Head of Housing Head of HR, Legal & Dem Services Head of Housing / HR. Legal & Dem Services	On-going Jul-09 On-going	On-going On-going On-going	
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		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 2) Co-ordinate and lead the Forest Heath member-led local Mildenhall and Lakenheath Airbases Group 3) Commission an impact study to measure the impact of the USAFE on West Suffolk and the surrounding areas	Chief Executive Chief Executive Head of Planning and Growth	Feb-15 Mar-15 Apr-15	On-going On-going On-going	

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							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	On-going	On-going	
							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	Mar-15	