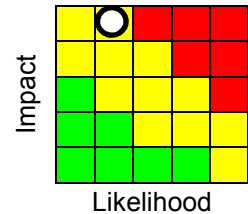
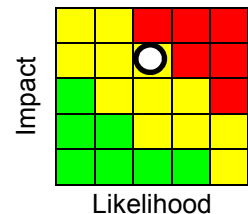
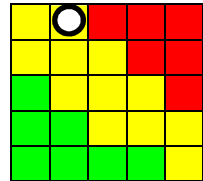


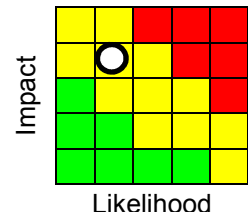
Significant Business Risk Register

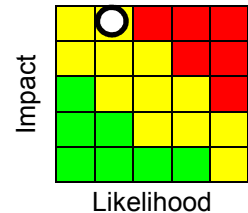
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks				
1. Fit for the Future Change Programme not managed appropriately/effectively	<p>Poor organisational communication.</p> <p>Conflicting priorities and priorities increasing in number.</p> <p>Unable to dedicate appropriate resources due to the impact on existing services.</p> <p>Poor management.</p> <p>Ineffective use of project management or systems thinking.</p> <p>Lack of funding.</p>	<p>Reduced service levels.</p> <p>Non or reduced achievement of objectives.</p> <p>Adverse financial impacts.</p> <p>Reputational damage.</p> <p>Demoralised and de-motivated staff.</p>	<p>New OD team in place. (HoC&CS) (CEO)</p> <p>Project prioritisation. (SMT)</p> <p>SMT are Programme Board. (SMT)</p> <p>Fit for the Future change programme and associated governance arrangements. (SMT)</p> <p>Budget monitoring process. (HoF)</p> <p>Clear communications, staff focus group. (SAMS)</p> <p>People Strategy Action plan. (SMT)</p> <p>Additional training for staff involved with project management. (HoC&CS) (CEO)</p> <p>Strong leadership to ensure priorities are managed to a deliverable level. (SAMS)</p> <p>Securing additional resources to support existing service provision. (CMT)</p> <p>Projects drawn up within RIBA framework.</p>	<p>Impact</p> <p>Likelihood</p>

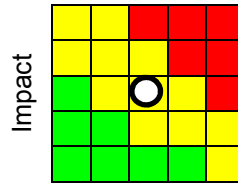
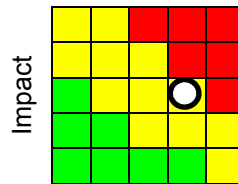
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks (Cont.)				
2. Risk of sustained service quality reduction.	<p>Shortage of staff resources and staff skills and knowledge.</p> <p>Staff skills and resources diverted to service redesign proposals as part of delivering Fit For the Future and other emerging corporate priorities.</p> <p>Cannot afford cost of maintaining service quality.</p> <p>Partners such as WCC make service cuts.</p> <p>Pandemic.</p> <p>Contractor failure.</p>	<p>Poor customer service and reductions in income.</p> <p>Lack of direction with critical projects and services being compromised</p> <p>Public lose confidence in Council's ability to deliver.</p> <p>Demoralised and de-motivated staff.</p>	<p>Effective Management of Change Programme. (CMT)</p> <p>Agreeing additional resources where service quality is reduced. (CMT)</p> <p>Strong leadership to manage priorities to a deliverable level. (SAMS)</p> <p>Effective vacancy control. (SAMS)</p> <p>Service Reviews. (SAMS)</p> <p>Workforce Planning. (SAMS)</p> <p>Enhanced Performance Management System (SMT)</p>	
3. Risk of major contractor going into administration.	<p>Poor procurement of contractor.</p> <p>Poor contract management.</p> <p>Poor management of company.</p> <p>External factors.</p> <p>State of economy.</p> <p>Introduction of Living Wage.</p>	<p>Reduced service levels.</p> <p>Non or reduced achievement of objectives.</p> <p>Adverse financial impacts.</p> <p>Reputational damage.</p>	<p>Properly procured contracts. (SAMS)</p> <p>Active contract management. (SAMS)</p> <p>Business Continuity Plan. (SAMS)</p>	

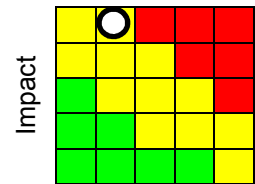
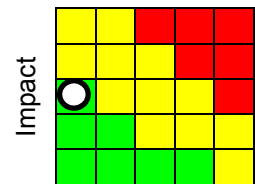
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Corporate Governance Risks				
4. Risk of corporate governance arrangements not maintained effectively.	<p>Ineffective political and senior management leadership.</p> <p>Complacent attitudes.</p> <p>Delays in making, or failure to make, key decisions by Council Members.</p> <p>Breakdown of member-officer relationships.</p> <p>Election of new members.</p>	Breakdown in internal controls leading to: non-achievement of objectives; high volumes of staff, customer, and contractor fraud; and loss of reputation.	<p>Council's constitution. (DCE(AJ))</p> <p>Council's strategies and policies, including Code of Financial Practice. (SMT)</p> <p>Strong scrutiny arrangements. (SMT)</p> <p>Effective internal audit function. (HoF)</p> <p>Annual Governance Statement. (DCE(AJ))</p> <p>Codes of Conduct. (Members)</p> <p>Effective Political Group discipline. (Group Leaders)</p> <p>Councillor training (CMT)</p> <p>New Member/Officer Protocol introduced.</p>	
Human Resources Risks				
5. Risk of staff not developed effectively.	<p>Ineffective workforce strategies.</p> <p>Not managing staffing resources efficiently and effectively.</p> <p>Possible insufficient training budget.</p>	<p>Disruption to Council services – staff cannot undertake level or volume of work to meet all priorities.</p> <p>Poor customer service.</p> <p>'Industrial' action.</p>	<p>People Strategy. (SMT)</p> <p>Management development programme. (HoC&CS)</p> <p>Succession planning. (SAMS)</p> <p>Prioritisation of work. (SAMS)</p> <p>Appropriate use of external resources. (SAMS)</p>	

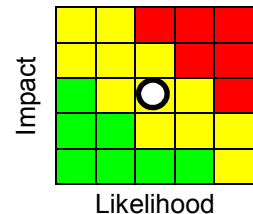
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks				
6. Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs).	<p>Poor financial planning.</p> <p>Unexpected loss of income and/ or increase in expenditure.</p> <p>FFF Projects do not achieve sufficient savings.</p> <p>Risk of poor Revenue Support Grant Settlement.</p> <p>Business Rate Retention.</p> <p>Council Tax income base reducing.</p> <p>National Economy declines.</p> <p>Local economy declines</p> <p>Tightening of Government fiscal policy.</p> <p>Changes to Government Policy.</p> <p>Reduced Government grants.</p> <p>Demographic changes.</p> <p>Focus on FFF priorities which compromise existing service delivery.</p> <p>Weak financial planning and forecasts.</p> <p>External competition.</p> <p>Member decision making.</p> <p>Council policy framework not conducive to enterprise development.</p> <p>Increased contract costs (from intro of LW)</p> <p>Housing and Planning Bill reducing the resources available to the Council to maintain its housing landlord service.</p>	<p>Forced to make large scale redundancies.</p> <p>Forced to make urgent decisions without appropriate planning.</p> <p>Forced to make service cuts.</p> <p>Increased costs.</p> <p>Fines/penalties imposed.</p> <p>Landlord service becomes unviable and/or the condition of the housing stock reduces its utility and value.</p>	<p>Codes of Financial Practice and Procurement Practice. (HoF)</p> <p>Effective internal audit function. (HoF)</p> <p>External audit of financial accounts. (HoF)</p> <p>Effective management of FFF Projects. (SAMS)</p> <p>All projects accompanied with robust financial appraisals and programme forecasts that allow the Council to understand projected funding requirements. (HoF)</p> <p>Council's constitution. (DCE(AJ))</p> <p>Financial training. (HoF)</p> <p>Robust financial planning and a Medium Term Financial Plan that can accurately forecast income and expenditure. (HoF)</p> <p>Regular review of Financial Strategy. (HoF/SMT)</p> <p>Prosperity Agenda prioritised within Sustainable Community Strategy aspirations and resources aligned to support delivery.</p> <p>Code of Financial Practice Training being provided.</p> <p>Deloitte's Fees & Charges Review Completed.</p> <p>Plan in place to fill the anticipated budget shortfall. (HoF/SMT)</p> <p>Complete Leisure Development Programme regarding investment and management arrangements. (HoCS/CMT)</p> <p>FFF Savings options agreed by Executive.</p> <p>Review of Housing Revenue Account Business Plan to balance expenditure with net income (after any payments due to government in support of national policy).</p> <p>Further review of FFF programme during 2016/17. (CMT)</p> <p>Ongoing monitoring and future reports of existing assumed savings – e.g. leisure programme, office move, terms & conditions review. (SMT)</p>	<p>Impact</p>  <p>Likelihood</p>

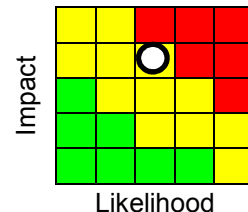
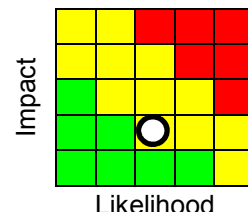
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks (Cont.)				
7. Risk of additional financial liabilities.	<p>Risk of revenue implications of capital schemes not being fully identified.</p> <p>Risk of loss or delay of capital receipts.</p> <p>Risk of increase in superannuation fund contributions.</p> <p>Uninsured loss.</p> <p>Risk of Medium Term Financial underestimating future revenue income and expenditure (including capital)</p> <p>Legal challenge e.g. relating to a planning development.</p>	<p>Greater level of savings to be sought.</p> <p>Forced to make sub-optimum and short term decision without proper planning.</p> <p>Reduced levels of service.</p> <p>Payment of compensation.</p> <p>Failure to deliver service.</p>	<p>Fit for the Future change programme. (CMT)</p> <p>Project Risk Registers. (SAMS)</p> <p>Project Management. (SAMS)</p> <p>Asset Management. (HoH&PS)</p> <p>More effective financial planning and scenario analysis. (HoF)</p> <p>Regular monitoring of Fit for the Future. (SMT)</p> <p>Legal advice on projects. (SAMS)</p> <p>Projects drawn up within RIBA framework.</p> <p>Reserves used to smooth impact of fluctuations in income.</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks (Cont.)				
8. Risk of not investigating potential income sources.	Ineffective management. Complacency. Lack of resources to investigate. Other priorities.	More loss making services. Reduced income for the Housing Revenue Account that could compromise banking covenants.	<p>FFF Programme. (SMT)</p> <p>Effective fees and charges schemes. (HoF)</p> <p>Communications & Marketing Strategy. (SAMS)</p> <p>Regular review of financial forecasts to ensure income projections are up to date. (HoF)</p> <p>Secure additional resources to ensure existing services are not impacted as a result of a focus on FFF/corporate priorities. (HoF)</p> <p>Ensure staffing and funding resources for delivery of the Prosperity agenda remain fit for purpose by reviewing economic development and project support functions (DCE(BH))</p> <p>Maintain and improve links with CW Growth Hub and Warwickshire Investment Partnership (HoDS)</p> <p>Re-design consultation underway for economic development, planning policy and project support functions to ensure resources available for the delivery of prosperity agenda are fit for purpose and effective relationships are maintained with external bodies such as the CW Growth Hub and Warwickshire Investment Partnership (DCE (BH/HoDS))</p> <p>Submission of Expressions of Interest to CWLEP SEP refresh process (DCE(BH))</p> <p>Submission of bids for external funding opportunities e.g. Expressions of Interest to CWLEP SEP refresh process for future LGF rounds, bids for Growing Places funding(DCE(BH))</p> <p>Adopt new Local Plan. (Members)</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Procurement Risks				
9. Risk of improper procurement practices and legislative requirements not being complied with.	Weak governance arrangements. Ineffective procurement. Poor procurement function.	Reduced levels of service provision. Increased costs. Fines/penalties imposed.	Codes of Financial Practice and Procurement Practice. (HoF) Training of staff. (HoF/SAMS) Monitoring of departmental procurement. (SMT) Procurement Strategy (incl. action plan). (HoF) Code of Procurement Practice and related documents updated.	 <p>Impact</p> <p>Likelihood</p>
Partnership Risks				
10. Risk of partnerships not delivering stated objectives.	Poor management. Failure to apply a robust process for entering into partnerships. Lack of framework governing partnerships. Possible repatriation of calls to Riverside House. Existing sub-regional partnerships disrupted or disbanded as a consequence of the regional focus resulting from the announcement of the West Midlands Combined Authority	Required outcomes not achieved. Increased costs. Reduced level of service or failure to deliver service. Worsening relationship with WCC.	Ongoing scrutiny of partnerships. (DCE(AJ)) Normal management arrangements. (SAMS) Partnership checklists. (DCE(AJ))/SAMS) Annual healthcheck completed by senior officers. (DCE(AJ))/SAMS) Scrutiny committee regular review. (DCE(AJ)) Audit of partnership arrangements. (DCE(AJ)) Project Groups for significant services. (SAMS) Involvement in and engagement with existing sub-regional partnerships e.g. CWLEP, sEPB etc.	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Legal Risks				
11. Risk of not complying with key legislation or legal requirements, including failure to protect data.	Breakdown in governance.	External censure. Financial loss. Litigation. Financial sanctions/penalties Damage to reputation.	Constitution. (DCE(AJ)) External legal advice. (DCE(AJ)) Ongoing monitoring of all Executive recommendations. (DCE(AJ)) Ongoing professional training. (SMT)	
Information Management Risks				
12. Risk of ineffective utilisation of information and communications technology.	Poor management of IT function. Lack of specialist staffing. Lack of finance. Lack of trained staff.	Costly services. Inefficient services. Poor customer service. Data disclosures.	ICT Strategy and Digital by Default Strategy. (DCE (AJ)) Fully-resourced, effective and secure IT function. (DCE (AJ)) Training for staff. (DCE (AJ))	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Asset Management Risks				
13. Risk of failing to provide, protect and maintain Council-owned property.	<p>Poor management.</p> <p>Lack of finance.</p> <p>Ineffective asset management.</p> <p>Incomplete data on asset conditions.</p> <p>Lack of effective asset management planning.</p> <p>Insufficient resources to maintain assets.</p> <p>Inaction re multi-storey car parks.</p>	<p>Lack of a suitable and safe living or working environment for residents, staff and visitors.</p> <p>Sub optimum asset decisions that are poor value for money.</p> <p>Building closure.</p> <p>Closure of car parks with resultant loss of income.</p>	<p>End-to-end systems intervention of the Property Service undertaken.</p> <p>New Asset Management Strategy developed linked to Asset Database. (HoH&PS)</p> <p>Overall strategic decisions regarding Council's corporate assets managed by multi-disciplinary Asset Strategy Group – chaired by Deputy Chief Executive. (DCE(BH))</p> <p>The operational management of the corporate repairs budget is overseen by the Asset Management Group (AMG) – chaired by Property Manager. (HoH&PS)</p> <p>Improvements made to end to end systems to manage electrical testing, asbestos and gas servicing. (HoH&PS)</p> <p>Completion of HRA stock condition survey. (HoH&PS)</p> <p>Complete business case for HQ relocation (DCE –BH)</p> <p>Completion of review of planned maintenance programme for corporate assets (Asset Steering Group)</p> <p>Specialist survey completed of multi-story car parks. (HoNS) Done</p> <p>Preparation of Business Cases for future investment in the Council's three multi-storey car parks and a Car Parking strategy for all council car parks (HoNS)</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Emergency Response and Business Continuity Risks				
14. Risk of a major incident not responded to effectively.	Numerous causes including terrorism, natural disaster, loss of ICT facilities/data and pandemic such as bird flu.	Partial or total loss of resources such as staff, equipment, systems. Major media engagement. Major disruption to all Council services. Possible legal action for damages.	Emergency plan reviewed every 6 months. (CMT) Business continuity plan reviewed every 6 months. (CMT) Training for SMT – exercises and reviews. (HoH&CP) ICT Business Continuity contract, inc. annual off-site rehearsal (ICT) Perimeter network protection (Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc.), including penetration testing (ICT) Backup and recovery procedures (ICT) Counter terrorism training has been provided (HoH&CP)	
Environmental Risks				
15. Risk of climate change challenges not responded to effectively.	Lack of expertise. Lack of finance. Failure to reduce carbon footprint.	Budgetary impacts. Service changes required if long recovery phase. Loss of reputation and external censure. Disruption to services. Public health issues.	Climate Change Strategy in place.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
------------------	-------------------	-----------------------	---	----------------------

Planning Risks				
-----------------------	--	--	--	--

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
16. Local Plan is found unsound.	<p>Developer challenge before local plan complete.</p> <p>Political procrastination.</p> <p>Lack of involvement of external key players.</p> <p>Local Plan not evidenced properly.</p> <p>Failure to identify suitable sites for Gypsies and Travellers.</p> <p>Sub-Regional Housing Allocation not addressed.</p> <p>Failure to adequately address controversial issues such as village green belt boundaries and gypsy and traveller sites.</p>	<p>Non or reduced achievement of objectives.</p> <p>Adverse financial impacts such as failure to set the Community Infrastructure Levy, loss of New Homes Bonus, Reputational damage.</p> <p>Possible legal action for damages.</p> <p>Development not where required.</p> <p>Wasted resources involve in reworking the Local Plan and increased costs.</p> <p>Additional work.</p> <p>Reduction in investment in area.</p> <p>Increase in appeals.</p> <p>Risk of insufficient Infrastructure Funding.</p> <p>Impact on Sustainable Community Strategy (SCS) objectives.</p>	<p>Published timetable. (HoDS)</p> <p>Plan based on robust evidence. (HoDS)</p> <p>Project management. (HoDS)</p> <p>Local Plan Programme Board. (HoDS)</p> <p>Local Plan Risk Register. (HoDS)</p> <p>Appeal letter sent to Greg Clarke, Secretary of state for DCLG. (HoDS)</p> <p>Letter to the Planning Inspector sent to request a suspension to the plan.</p> <p>Ensure effective Duty to Cooperate - MoU agreed.</p> <p>Bring forward robust proposals for G&T sites as soon as possible. (Planning Policy Team – May 2016)</p> <p>Prepare revised Local Plan proposals in line with the MoU for Council 24/2/16. (CMT/HoDS) - as set out in Council report 13/10/15. (Planning Policy Team – May 2016)</p> <p>Prepare topic papers to provide further details for proposed modifications including one for G&T sites to accompany Local Plan submission. (HoDS)</p>	<p>The requirement of the Inspector to meet Coventry's needs in the HMA has resulted in the local plan being revised. Subsequent to Full Council decision on 24/2/16 and the Inspector agreeing to continue with the examination, we will consult on the soundness of the plan. However, if each of these stages is not followed in line with the timetable, then there is an increased risk of further unpalatable appeal decisions.</p>

Key:

New narrative

Narrative transferred

~~Deleted narrative~~

Comment

⊕ = Current risk score

etc = Previous risk scores

⌘ etc = trail (direction) of changes

CMT : Corporate Management Team

SMT : Senior Management Team

DCE(AJ) : Deputy Chief Executive – Andrew Jones

HoC&CS : Head of Corporate & Community Services (now defunct)

HoF : Head of Finance

HoDS : Head of Development Services

HoH&CP : Head of Health & Community Protection

HoNS : Head of Neighbourhood Services

CEO : Chief Executive's Office

HoH&PS : Head of Housing & Property Services

HoCS : Head of Cultural Services