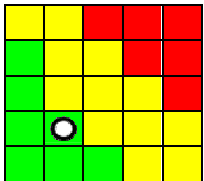
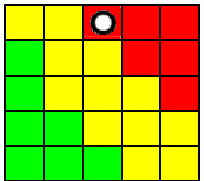
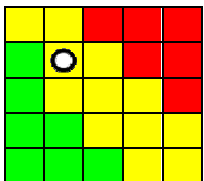
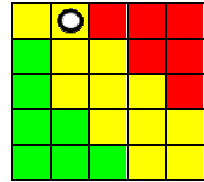
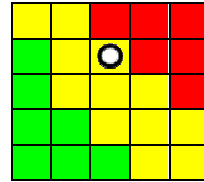
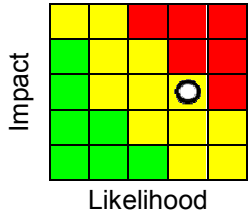
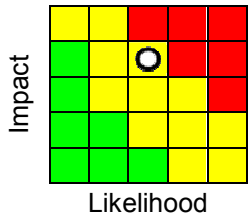
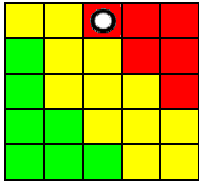
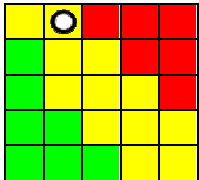


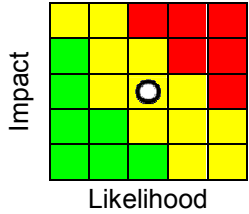
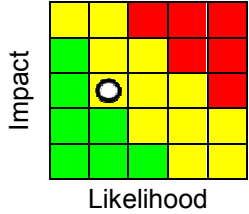
Significant Business Risk Register

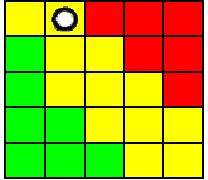
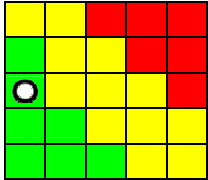
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Performance Management Risks				
1. Risk of corporate projects and organisational change not managed effectively.	Poor organisational communication. Poor management.	Reduced service levels. Non or reduced achievement of objectives. Adverse financial impacts. Reputational damage.	The Council keeps its vision and objectives under review and recognises that there is a key dependency on the accuracy, completeness and relevance of management information and other data used to inform decisions.	 Likelihood
2. Risk of service quality reducing.	Shortage of staff skills and knowledge. Cannot afford cost of maintaining service quality. Partners such as WCC make service cuts. Bird flu pandemic.	Poor customer service. Public lose confidence in Council's ability to deliver. Demoralised and de-motivated staff.	Effective Management of Change Programme. Effective vacancy control. Service Reviews. Workforce Planning.	 Likelihood
3. Risk of major contractor going into administration.	Poor procurement of contractor. Poor contract management. Poor management of company. External factors. State of economy.	Reduced service levels. Non or reduced achievement of objectives. Adverse financial impacts. Reputational damage.	Properly procured contracts. Active contract management.	 Likelihood

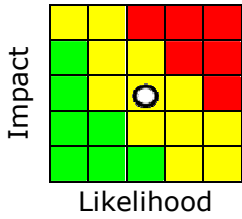
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Corporate Governance Risks				
4. Risk of corporate governance arrangements not maintained effectively.	Ineffective management and leadership. Complacent attitudes. Delays in making, or failure to make, key decisions by Council Members. Changes to political leadership.	Breakdown in internal controls leading to: non-achievement of objectives; high volumes of staff, customer, and contractor fraud; and loss of reputation.	Council's constitution. Council's strategies and policies, including Code of Financial Practice. Strong scrutiny arrangements. Effective internal audit function. Annual Governance Statement.	 <p>Impact</p> <p>Likelihood</p>
Human Resources Risks				
5. Risk of staff not developed effectively.	Ineffective workforce strategies. Not managing staffing resources efficiently and effectively.	Disruption to Council services – staff cannot undertake level or volume of work to meet all priorities. Poor customer service. 'Industrial' action.	Workforce development strategy. Management development programme. Succession planning. Prioritisation of work. Appropriate use of external resources.	 <p>Impact</p> <p>Likelihood</p>

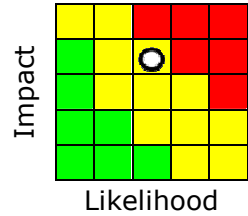
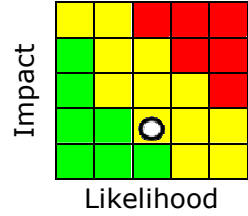
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Financial Management Risks				
6. Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs).	Poor financial planning. Unexpected loss of income and/ or increase in expenditure. Excessive aspirations. FFF Projects do not achieve sufficient savings. Risk of poor Revenue Support Grant Settlement.	Forced to make large scale redundancies. Forced to make service cuts. Increased costs. Fines/penalties imposed.	Codes of Financial Practice and Procurement Practice. Effective internal audit function. External audit of financial accounts. Effective management of FFF Projects. Council's constitution. Financial training.	
7. Risk of additional financial liabilities.	Risk of major contracts costing significantly more than budgeted for. Risk of revenue implications of capital schemes not being fully identified. Risk of loss or delay of capital receipts. Risk of increase in superannuation fund contributions. Uninsured loss.	Greater level of savings to be sought. Reduced levels of service	Fit for the Future change programme. Project Risk Registers. Project Management. Asset Management.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
8. Risk of significantly reduced income	National Economy declines. Local economy declines Tightening of Government fiscal policy. Changes to Government Policy. Reduced Government grants. Demographic changes. Unable to increase recycling income sufficiently.	More loss making services.	FFF Programme. Introduce Investment Strategy for Local Economy. Introduce effective Local Plan. Effective fees and charges schemes. Communications & Marketing Strategy.	 <p>Impact</p> <p>Likelihood</p>
9. Risk of savings not being achieved.	Ineffective use of Systems Thinking.	Services don't achieve their purpose.	SMT are Programme Board. Fit for the Future change programme and associated governance arrangements. Budget monitoring process.	 <p>Impact</p> <p>Likelihood</p>

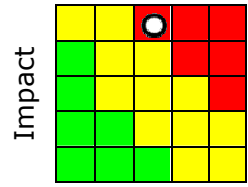
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Procurement Risks				
10. Risk of improper procurement practices and legislative requirements not being complied with.	Weak governance arrangements. Ineffective procurement. Poor procurement function.	Reduced levels of service provision. Increased costs. Fines/penalties imposed.	Codes of Financial Practice and Procurement Practice. Training of staff. Monitoring of procurement function. Procurement Strategy (incl. action plan).	
Partnership Risks				
11. Risk of partnerships not delivering stated objectives.	Poor management. Failure to apply a robust process for entering into partnerships. Lack of framework governing partnerships.	Required outcomes not achieved.	Ongoing scrutiny of partnerships. Normal management arrangements. Partnership checklists. Annual healthcheck completed by senior officers. Scrutiny committee regular review. Audit of partnership arrangements.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Legal Risks				
12. 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. External legal advice. Monitoring officer review of all Executive recommendations. Ongoing professional training.	 <p>Impact</p> <p>Likelihood</p>
Information Management Risks				
13. 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.	ICT Strategy. Fully-resourced and effective IT function. Training for staff.	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Asset Management Risks				
14. Risk of failing to provide, protect and maintain Council-owned property.	Poor management. Lack of finance. Ineffective asset management.	Lack of a suitable and safe living or working environment for residents, staff and visitors.	<p>Complete end to end systems intervention of the Property Service. Develop new Asset Management Strategy for Council approval linked to Asset Database.</p> <p>Overall strategic decisions regarding Council's corporate assets managed by multi-disciplinary Strategic Asset Management Group (SAG) – chaired by Deputy Chief Executive.</p> <p>The operational management of the corporate repairs budget is overseen by the Corporate Property Investment Board (CPIB) – chaired by Property Manager.</p> <p>Improvements made to end to end systems to manage electrical testing, asbestos and gas servicing.</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
Emergency Response and Business Continuity Risks				
15. Risk of a major incident not responded to effectively.	Numerous causes including terrorism, natural disaster 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. Business continuity plan reviewed every 6 months. Training for SMT –exercises and reviews.	
Environmental Risks				
16. 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.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control	Residual Risk Rating
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Planning Risks				
17. Risk of Local Plan being unsound or delayed.	<p>Developer challenge before local plan complete.</p> <p>Local Plan found unsound.</p> <p>Political procrastination.</p> <p>Lack of involvement of external key players.</p>	<p>Non or reduced achievement of objectives.</p> <p>Adverse financial impacts such as failure to set the SIL levy.</p> <p>Reputational damage.</p> <p>Possible legal action for damages.</p> <p>Development not where required.</p> <p>Increased costs.</p> <p>Additional work.</p>	<p>Published timetable.</p> <p>Plan based on robust evidence.</p> <p>Project management.</p>	 <p>Impact</p> <p>Likelihood</p>