

## RISK MANAGEMENT – CORPORATE and SERVICE DEPARTMENT ACTION PLANS

### CORPORATE MANAGEMENT TEAM

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Change in the political agenda	B3 – medium	Possible change of delivery objectives	Regular Member engagement		
Reliance on partnership working	B3 – medium	Loss of capacity to deliver projects	CP Target to review partnerships	By March 07	
Not able to meet demand for services from growth of District	C3 - low	Reputation of Council will fail	<ul style="list-style-type: none"> <li>• 3 yr financial plan</li> <li>• Workforce Planning</li> <li>• Review with Corporate Improvement Group</li> </ul>	CIG Meeting to review requirements by Dec 06	B3 - med
Insufficient capacity to deliver change	C3 - low	Services decline	<ul style="list-style-type: none"> <li>• Efficiency agenda</li> <li>• Budget for increase in capacity (bids)</li> </ul>	Formulate capacity building plans (streamline services) – Dec 06	B3 - med

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### COMMUNITY AND LEISURE DEVELOPMENT

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Sustainability of the voluntary sector	B3 - medium	Reduced service delivery to 'at risk groups'	Increased grants in 2006/7 budget	Review of V&CS funding to be completed, September 2006	C2 - medium
Failure of Business Plan for Rosliston Forestry Centre	C3 - low	Financial cost to partners. Loss of contractor.	Monthly performance meetings	Review of first year business plan performance, March 2007	C3 - low
Reliance on external funding	C3 - low	Reduction in service delivery. Staff contracts not renewed.	On going restructures.	Mainstream funding applications to be made in budget planning process.	C3 - low
Failure of contractor managing facilities	D3 - low	Closure of facilities for a period. Costs of staffing and equipment.	Contracts in place.	Leisure Centre contract to be retendered for April 2008. Project Plan been developed.	D3 - low
Memorial monuments falling causing injury	C2 - medium	Injury to member of public. Litigation and publicity.	Checks undertaken	None	C2 - medium
Litigation/claims for accidents at play areas	C2 - medium	Injury to member of public. Litigation and publicity.	Inspections carried out by dedicated member of staff	New play areas designed to meet current standards	C2 - medium
Flooding	D2 - medium	Injury to public, damage to property.	Warning systems in place. Flood alleviation works completed. Emergency planning training events attended.	None	D2 - medium
Incident occurs at a public event	D1 - medium	Injury to member of public. Litigation and publicity.	Emergency Plans produced with involvement of emergency services.	None	D1 - medium

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### HOUSING SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Inadequate maintenance of communal areas	C4 - low	Deterioration over time. Unlikely to be an immediate crisis but cost of reinstatement will grow over time.	Estate Management	Will eventually require investment to rectify decline.	
Lack of affordable housing to rent	B3 - medium	Incremental process unlikely to lead to immediate crisis but failure to deliver new affordable for rent will be felt by generations.		Need to work with Housing Strategy Manager and Planning to ensure S106 agreements maximise affordable housing for rent	
Meeting the demand for Homelessness provision	C3 - low	Increasing proportion of new lettings go to homeless applicants	Preventative homeless team created	Need to keep homelessness BVPI's under constant review	
Contractors do not follow H&S requirements	C3 - low	Corporate liability	Ensure contractual arrangements in place	Review current arrangements	
Implementing in full the Asbestos Policy	B2 - medium	Risk to health and corporate liability	Policy in place	Policy review underway to ensure it is workable	

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### REVENUE SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
On-going viability of the main I.T. system	B2 - medium	Deterioration of service and inability to provide statistics and performance details	Joint working with Derbyshire Dales DC to identify changes required and implement those that are possible	Investigations to provide a replacement system in partnership with other organisations and implementation (March 2007 to April 2008)	B2 - medium (short term) Risk removed when solution implemented

### PLANNING SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Judicial review of planning decisions	B3- medium	Criticism, time and cost of having to defend our position, possible costs awarded against the Council.	Periodic review of procedures, early identification of high-risk cases, counsel opinion sought when necessary.	Further review of statutory procedures, continued advice from counsel when required.	
Legal challenge to decision on planning or building regulations application	C3 - low	Criticism, time and cost of having to defend our position, possible costs awarded against the Council.	Periodic review of procedures, early identification of high-risk cases, counsel opinion sought when necessary.	Further review of statutory procedures, continued advice from counsel when required.	

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Loss of market share re: Building Regulations	C3 - low	Income less than predicted, service no longer self financed, staff cuts, service declines.	Careful attention to forecasts in setting budgets. Maintaining staffing level and customer service at a level sufficient to deliver the service and continue to promote it.	Implement business re-engineering of the Building Control Service (October 06 to October 07).	
Reliance on contractors to deliver some services	D3 - low	Inability to provide the service, cannot formulate robust policies.	Existing partnerships monitored, new ones investigated.	Service development proposal bids when necessary.	
Accidents or injuries on public footpaths, including footpaths officer	C3 - low	Complaints, insurance claim, award of costs, incapacity of officer.	Health and Safety policy - lone working, issue of safety equipment. Necessary repairs undertaken before accidents occur.	Keep H&S Policy up to date.	

### HUMAN RESOURCES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Inconsistent use in HR policies and procedures	B3 - medium	Employment issues arising from decision(s) taken Potential employee relations issues Impact on morale	Procedures in place and support available from HR Regular training provided Guidance notes available on intranet	Continued annual review of policies jointly with Trades Unions - April each year Development of intranet site - ongoing Provision of ongoing training, including Management Development - March 07	B3 - medium

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Unable to meet deadline for completing pay and grading review	B3 - medium	Potential employment tribunal claims Employee relations issues Impact on morale Possibility of further action from national employers/trades unions	Action plan in place Monitoring from Single Status Steering Group Additional resources available Communication continued with staff & employee reps	Continued review of action plan - regular monthly meetings of Single Status Steering Group Local agreement to extend implementation date - provisionally agreed and subject to review.	B3 - medium
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### LEGAL and DEMOCRATIC SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Misinformation reaching the press and published incorrectly	C4 - low	Bad publicity for the Authority. Reputation damage.	Ensure all media contact is via PR Office and is factually correct. Positive PR management.	Development & adoption of a Corporate Communications Policy (March 2007)	C4 - low
Loss of market share re: Land Charges	C3 - low	Income drops below predicted levels - impacts on General Fund. Budgets/services reduced Impact on staff morale.	Careful attention to forecasts in setting budgets. Maintain staffing level & customer service at a level sufficient to deliver service. Continue to actively promote service.		C3 - low

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### I.T. and CUSTOMER SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Not responding to FOI requests	B4 - low	Not meeting our requirements under legislation. Negative publicity.	Managed through our CRM system, to ensure target dates met.	Ongoing commitment from all officers to answer requests.	B4 - low
Dependency on key staff for legacy systems	C3 - low	Unable to support legacy systems if key staff not present.	3 staff in place, share workload, minimise reliance on one person	Move to alternate, packaged based solutions. Ongoing.	C3 - low
Problems with I.T. infrastructure, e.g. loss, breakdown, etc.	B2 - medium	Systems unavailable	Back ups in place, servers under warranty, and reuse of equipment if appropriate.	Further detail in IT DR plan (Mar 07)	B2 - medium
Telecoms system breakdown or unavailable.	B2 - medium	No contact via phone system.	Some resilience via the depot	Review of infrastructure (Mar 07)	B2 - medium
Security breach in reception area	B2 - medium	Danger for officers, loss of cash, access to other parts of the building.	Safety reviewed as part of Contact Centre refurbishment. Number pad and door locks in place.	Annual Review. (Mar 07)	C2 - medium
Over reliance on external companies to provide systems	C2 - medium	Support of systems not in our control. Suppliers go out of business.	Escrow agreements in place. Financial checks on Suppliers. Purchase as Partnership so ensuring others in same situation.	Keep Suppliers under review. Annually	C2 - medium
I.T. security, e.g. virus or hacking	C2 - medium	Security compromised, restricted information accessed, systems unavailable.	Anti virus protection, Firewall, Mail sweeper, dual verification for remote access.	Review monthly.	C2 - medium

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Business continuity - IT disaster recovery	C1 - high	No IT systems available if civic offices destroyed	Back ups in place. Recovery plans in place if current server room not hit.	Look at setting up alternate IT infrastructure at Granville Court or at the new depot. This will be on a small-scale basis i.e., not a replication of current offices. Major incident needs DR plan incorporating the complete Council.	C1 - high
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### FINANCE and PROPERTY SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Failure to meet payroll deadlines (in particular due to unplanned reduction in staffing)	C3 - low	Employees and Members not paid on time	Some staff cover is in place. Procedural notes available. Arrangements in place to call on resources of neighbouring authorities.	A further member of staff needs to be trained for extra cover. Planned during this financial year.	D3 - low.
Failure of main financial system	D3 - low	The Council's main financial management system would be unsupported, i.e. enhancements would be limited and any software problems would remain.	The Council owns the licenses for the systems that are registered nationally. The corresponding agreement requires the supplier to prove the integrity of the system and lodge an updated copy on a regular basis.	Full development plan to be rolled out by 2006. This will increase the knowledge of relevant staff meaning less reliance on the supplier.	D4 - low.

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Failure of banks, etc. where money is held on deposit	D2 - medium	Significant amounts of money lost.	Money is mainly deposited with the Government and other local authorities. The Council's approved lending list is restricted to regulated institutions with the highest quality ratings. This list is reviewed regularly.	Cannot really do anything further. The Council's lending policy is fairly rigid and gives priority to security and liquidity over return.	It will always remain a medium risk due to the potential impact.
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### ENVIRONMENTAL SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
FLARE system - failure or supplier ceases to exist	C3 - low	System may become redundant	Company the single largest supplier and now has been taken over by a larger company which reduces risk of collapse.	No further action	D3 - extremely low
Vehicle thefts or serious damage	C3 - low	Loss of value (£up to £100 K) inability to carry out rounds	Security fence installed and CCTV working.	Seek new depot with better security	C3
Reliance on contractors to deliver major services, e.g. recycling	D3 - low	May raise costs In absence of formal long term contract	Contract now in place for kerbside collection.	Longer term contract needed for kerbside and other contracts subject to full market testing	D3
Maintaining H&S training and awareness	B3 - medium	Potential for accidental injury with costs and prosecution including for corporate manslaughter	HASAW Advisor struggled to find time to tackle issues Whilst only part time	HASAW Advisor to be made full time and transferred to HR team.	C3 - low

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Inadequate funding for Disabled Facilities Grants	C2 - medium	Mandatory grants may not be paid Staffing levels might be excessive for workload	Funding regime for the next two years is resolved	Seek further allocations via long term capital programme planning process	D4 - low
Lack of compliance re: H&S at the Depot	C2 - medium	Potential for accidental injury with costs and prosecution including for corporate manslaughter	Major review of highest risk activities (i.e. waste and cleansing) completed. Most important matters are already resolved	Action plan in place to cover all remaining identifiable matters.	C3 - medium
Major disaster at the Depot, e.g. fire	C2 - medium	Loss of maintenance capacity and or loss of fleet	Fire risk training carried out and Fire Risk Assessment has also been undertaken	Periodically refresh training	D2 - medium

### POLICY and ECONOMIC REGENERATION

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Failure of tourism partnership	D4 - low	Loss of service to potential visitors to the area. Adverse publicity and loss of standing with partners. Grants may also need to be repaid.	A Service Level Agreement is about to be finalised with the delivery partner.	On going monitoring of SLA.	
Downturn in local economy	B3 - medium	Loss of jobs and business failures. Reduction in income to the Council (e.g. through reduced take-up of commercial properties, etc.	Monitoring trends in the local economy and provision of business support through Business Link.	Seek to strengthen existing business base through new Economic Regeneration Strategy (end of 2006). Develop support packages (as required) with other agencies such as Job Centre Plus.	

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Failure to implement the Equality Act 2006 and related legislation	C3 - low	Legal action, adverse publicity and loss of credibility with the community, partners and Government.	A corporate Equalities and Diversity Group (chaired by the Deputy Chief Executive) is taking forward the Agenda. The Values and Attitudes Group (comprising external stakeholders) has an overseeing role.	Additional resources have been made available and staff recruitment is underway.	
Failure to achieve required standards for Data Quality	C4 - low	Adverse Audit reports and potential withholding of Government grants/funding. Local people and partners do not have confidence in Council information and performance reports, etc.	Minimum arrangements are in place in relation to the main areas of governance and leadership, policies, systems and processes, people & skills and data use.	Data Quality Strategy prepared and rolled out across the organisation (March 2007).	
Failure of the South Derbyshire Local Strategic Partnership (LSP).	C3 - low	Loss of credibility with the community, partners and Government. Non-delivery of the community's vision and priorities as set out in the Community Strategy.	The Council is represented on the Board of the Partnership. It also provides the Secretariat and acts as the Accountable Body. Meetings of the Partnership Forum are held twice a year; these provide an opportunity of reporting progress and performance to local people and groups.	Complete review of the SDLP operating arrangements and ensure that resource requirements are addressed by partners (March 2008).	