

APPENDIX 1: CORPORATE and SERVICE DEPARTMENT WORK PLANS (NOVEMBER 2008)

CORPORATE MANAGEMENT TEAM

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|--|----------------|--|--|---|---------------|
| Long-term financial position shows potential funding gaps on the main revenue and capital accounts | B2 - medium | Service provision is reduced and scope for improvement is limited. | Disposals policy to release resources for capital investment. Efficiency agenda to release cashable gains. Procurement Strategy and Business Improvement Programme to review all services. | SMT to review budgets with Heads of Service between June and September 2009 to determine areas for procurement/service review. | C3 - low |
| Reliance on partnership working | B3 - medium | Loss of capacity to deliver projects | Service level agreements and reporting arrangements to partnership boards. | Target to regularly review all partnerships and their effectiveness - rolling programme to be established and exit strategies to be costed. | C3 - low |
| Not able to meet demand for services from growth of District | C3 - low | Reputation of Council will fail | Long-term financial plan. Workforce Planning. Corporate Plan prioritises actions. | Kept under review through the Corporate Improvement (officer) Group. MTFP to model and report to Committee options, September 2009. | C3 - low |
| Insufficient capacity to deliver change | B3 - medium | Services decline | Permanent Business Improvement Unit now fully established. Details of actions and risks contained in Service Plans. Leadership and management development programme in place and on going. | Review of "culture" to be part of leadership programme. | C3 - low |

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| Impact of CSR 10 and Government's efficiency agenda on local government | C3 - low | Lower increases in central funding and 4% efficiency target - impact on future service provision from 2011/12. | Medium-term financial plan developed over 5-years incorporating 3-year central government settlement. | MTFP to model and report to Committee options, September 2009. | C3 - low |
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LEISURE AND COMMUNITY DEVELOPMENT

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|--|----------------|--|--|---|---------------|
| Failure of tourism partnership | B3 - Medium | Loss of service to potential visitors to the area. Adverse impact on businesses in local visitor economy. Adverse publicity and loss of standing with partners. Grants may also need to be repaid. | Regular review of activities and agreements. | On going monitoring of agreements. | C3 - low |
| 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; these provide an opportunity of reporting progress and performance to local people and groups. Annual reports also presented to Full Council. | Keep under review. | C3 - low |

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| 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. | Pursue implementation of the Economic Development Strategy. Develop support packages (as required) with other agencies such as Job Centre Plus. | C3 - low |
| Sustainability of the voluntary sector | B3 - medium | Reduced service delivery to 'at risk groups' | £100,000 earmarked in base budget for further revenue support. | A review of funding arrangements currently being undertaken. Service Development proposal to continue community partnership scheme in future years. | C2 - medium |
| Failure of Business Plan for Rosliston Forestry Centre | C3 - low | Financial cost to partners. Loss of contractor. | Monthly performance meetings. | Annual review of business plan performance. Develop new site strategy. | 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. Long-term contracts secured for SSDP officers. | 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 now extended for 3-years. | D3 - low |
| Memorial monuments falling causing injury | C2 - medium | Injury to member of public. Litigation and publicity. | Checks undertaken. | On-going. | C2 - medium |

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| Litigation/claims for accidents at play areas | C2 - medium | Injury to member of public. | Inspections carried out by dedicated member of staff. | New play areas are designed to meet current standards. Need to arrange further back-up cover for inspections when inspector is absent. | C2 - medium |
| Flooding | D1 - medium | At the extreme, possible loss of life, injury to public, damage to property. | Warning systems in place. Flood alleviation works completed. Emergency planning training events attended. Short term bagging of weir and overflow channel at Fish Ponds. Flood gate scheme instigated at houses previously affected. | As regards the Fish Ponds, detailed works now identified. Contract to be tendered shortly subject to funding being released by the Council (report being considered on 18 th June 2009). | D1 - medium |
| Failure of Sharpe's Pottery Museum | B2 - Medium | Closure of facility (including the T.I.C.). | Councillor representation on the Board. Additional resources provided in 2008/09. External funding awarded for 2 years for a Projects Manager to help future operations and business planning. | The Council is currently supporting the review of operations and monitoring will be ongoing. | C3 - low |
| Incident occurs at a public event | D1 - medium | Injury to member of public. Litigation and publicity. | Emergency Plans produced with involvement of emergency services. | Emergency plans being refined after each event. | D1 - medium |

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HOUSING SERVICES

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET 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. | C4 - low |
| 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. | | On-going work with Housing Strategy Manager and Planning to ensure S106 agreements maximise affordable housing for rent. | B3 - medium |
| 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. | C3 - low |
| Contractors do not follow H&S requirements | C3 - low | Corporate liability | Ensure contractual arrangements in place | Keep current arrangements under regular review. | C3 - low |

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CUSTOMER SERVICES

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET 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 |
| Security breach in reception area | C2 - medium | Danger for officers, loss of cash, access to other parts of the building. | Safety reviewed as part of Contact Centre refurbishment. Number pads and door locks in place. | Annual Review (Mar 10). | C2 - medium |
| Failure of Council Tax, Benefits, NNDR Document Management systems suppliers | C3 - low | The Council's main Revenue Collection and Housing Benefit administration systems 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 agreements require the suppliers to prove the integrity of the systems and lodge updated copies on a regular basis. Regular formalised review meetings with suppliers. | Keep under review. | C3 - low. |
| Failure to meet collection targets | B3 - medium | Impact on Collection Fund. Reputation of the Council. | Weekly collection reviews and prioritisation of recovery and enforcement activity. Corporate Debt Recovery Unit now fully operational. | Further development of partnerships with enforcement and processing support organisations. | C3 - low |

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| Failure to process and pay benefits on time | B3 - medium | Reduction in subsidy. External intervention by DWP. | Daily processing reviews. Weekly review of subsidy position | Further development of partnerships with processing support organisations. | C3 - low |
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PLANNING SERVICES

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|--|----------------|--|--|--|---------------|
| Judicial review and appeals against planning decisions | B3- medium | Criticism, time and cost of having to defend our position, possible costs awarded against the Council. | Quarterly review of procedures, to provide early identification of high-risk cases, counsel opinion sought when necessary. | On-going review of new statutory procedures, continued advice from counsel when required. | B3 - medium |
| Legal challenge to 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. | On-going review of new statutory procedures, continued advice from counsel when required. | C3 - low |
| Loss of market share re: Building Regulations | B3 - medium | Income less than predicted, service no longer self financed, staff cuts, service declines. | Careful attention to forecasts in setting budgets. Fees reviewed and changed where appropriate. 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. Business case for partnership working with other local authorities in course of preparation and partnership working with customers being implemented. | C3 - low |

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| 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. Seek expressions of interest for provision of tree/landscape architect service. | D3 - low |
| Downturn in the economy affecting fee income | B3 - medium | Increased net cost of services | Monitoring | Report impact | C3 - low |
| 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. | C3 - low |

ORGANISATIONAL DEVELOPMENT

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|--|----------------|--|--|--|---------------|
| 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 Fairness Group is taking forward the Agenda. A dedicated equalities post has been established The Values and Attitudes Group (comprising external stakeholders) has an overseeing role. | Action plan to deliver Corporate Equality and Fairness Scheme reviewed annually - June 2009. Completion of Equalities Impact Risk Assessment - March 2010. Reaching "Achieving" status under the national Equality Framework - March 2010. Equality training for members and staff - ongoing. | C3 - low |

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| 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. Inaccurate reporting of Council performance. | Arrangements are in place in relation to the main areas of governance and leadership, policies, systems and processes, people & skills and data use. Detailed guidance provided by Audit Commission is followed on national indicators and other external assessments. | Annual review of Data Quality Strategy - March 2010. Training provided for key employees annually. | C4 - low |
| Failure to implement Section 11 of the Children Act 2004 | C3 - low | Legal action, adverse publicity and loss of credibility within the community and with partners and Government | Child Protection Policy in Place and review of statutory guidance completed | Corporate monitoring and delivery structures need to be established linked to an Action Plan. New framework to be adopted - October 2009. | C3 - low |
| Inconsistent use in HR policies and procedures | B3 - medium | Employment issues arising from decision(s) taken. Employee relation 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. | B3 - medium |

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| Maintaining H&S training and awareness | C2 - medium | Potential for accidental injury with costs and prosecution including for corporate manslaughter HSE enforcement action | Procedures in place and support available from HR. Regular training provided. Health and Safety Action Plan Joint Health & Safety Committee reviews progress | Training plan for H &S. Rollout of H & S IT management system to commence June 2009. Regular reports back to H & S Cttee Health & Safety Action Plan progressed as per timescales | D2 - medium |
| Misinformation reaching the press and published incorrectly | B3 - medium | Bad publicity for the Authority. Reputation damage. | Ensure all media contact is via PR Office and is factually correct. Positive PR management. Adoption of a Corporate Communications Strategy. | Implementation of the Communications Strategy Action Plan with annual review in April 2010. | C4 - low |
| Costs of implementing pay & grading review | B3 - medium | Potential employment tribunal claims. Employee relation issues. Impact on morale. Possibility of further action from national employers or trades unions. Potential for recruitment & retention issues. | Action plan in place. Monitoring from Single Status Steering Group. Additional resources available Communication continued with staff & employee reps. Review of pay structure to include potential for retention incentives. | Continued review of action plan. Regular meetings of Single Status Steering Group. Local agreement to extend implementation date. | B3 - medium |

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LEGAL and DEMOCRATIC SERVICES

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|---------------------------------------|----------------|--|--|--|---------------|
| Loss of market share re: Land Charges | B3 - medium | Income drops below predicted levels - impacts on General Fund. Budgets and services reduced. | Careful attention to forecasts in setting budgets. Maintaining staffing & customer service at a level sufficient to deliver service. Continue to actively promote service. | Keep under review through monthly budget monitoring process. | C3 - low |

I.T. & BUSINESS IMPROVEMENT

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|---|----------------|--|---|--|---------------|
| 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. Still reliant on 3 staff to interface systems together. | 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. Covers I.T. only. | B2 - medium |
| Telecoms system breakdown or unavailable | B2 - medium | No contact via phone system. | Some resilience via the depot | Review of infrastructure (on-going). | B2 - medium |

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| Over reliance on external companies to provide systems | C2 - medium | Support of systems not in our control. Suppliers go out of business. | Financial checks on suppliers. Purchasing main packages in Partnership. | Annual review of suppliers. | 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 |
| Business continuity - IT disaster recovery | C1 - high | No IT systems available if civic offices destroyed. Impact on availability if no access to the Civic Offices. | Back ups in place. Recovery plans in place if current server room not hit. | 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. | D1 - medium |

FINANCE and PROPERTY SERVICES

| RISK | CURRENT RATING | CONSEQUENCES | CONTROLS IN PLACE | FURTHER ACTION REQUIRED (including timescale) | TARGET RATING |
|---------------------|--|---|---|---|---------------|
| Business Continuity | B3 - medium (There has been recent evidence of short-term loss) | A serious event causes loss of accommodation, telecommunications, or significant staff shortages. | A short-term incident can be accommodated and procedures are in place to address this. Service Area Business Continuity Plan completed, communicated and circulated to key staff. However, the service would be reliant on the corporate Business Continuity Plan to address a significant event. | ½ yearly reviews of service area plan. | B4 - low |

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| Failure to meet payroll deadlines (in particular due to unplanned reduction in staffing) | B3 - medium (This has been at risk from time to time) | Employees and Members not paid on time | Staff cover is in place. Procedural notes available. Arrangements in place to call on resources of neighbouring authorities and system supplier if necessary. | ½ yearly reviews of service area plan. | B4 - low. |
| Failure of the main financial management system, in particular with the software supplier going out of business, etc. | D2 - medium (No evidence to suggest that this happens except on very rare occasions) | 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. | ½ yearly reviews of service area plan. | D3 - low. |
| Failure of financial institutions where money is held on deposit | D2 - medium (especially in the current economic climate, although no loss has been incurred by the Council). | Significant amounts of money lost. | Money is mainly deposited with the Government and other public bodies. The Council's approved lending list is restricted to regulated institutions with the highest quality ratings. This list is reviewed regularly and market conditions emanating from the recent volatility in the financial markets are taken into account on a daily basis. | None. | 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) | TARGET RATING |
|--|----------------|--|---|--|---------------|
| Peak Oil - raising oil and gas prices to high levels and affecting security of supply in the medium-term | B2 - medium | Fuel budgets exceeded, panic buying potential, security of supply becomes unreliable. | Own fuel store retained. Plans to diversify fuel for building heating beyond gas. More energy efficient fleet and plans to encourage higher mpg grey fleet. | Reduce energy requirements through efficiency improvements. Spread energy reliance between different sources and especially seek renewable energy sources. | B3 - medium |
| Serious Road Traffic accident involving our HGV's | C3 - low | Insurance liabilities, potential personal tragedy and very bad publicity | 6 monthly driving license checks. Updated Code of Practice issued to all drivers. | Independent driver assessments to be carried out on a two-yearly basis | C3 - low |
| Vehicle thefts or serious damage | C3 - low | Loss of value (up to £100k) inability to carry out rounds | Security fence installed and CCTV working. | Seek new depot with better security | C3 - low |
| Reliance on contractors to deliver major services, e.g. recycling | D3 - low | May raise costs In absence of formal long term contract | Contract in place for kerbside collection. | Longer term contract needed for kerbside and other contracts subject to full market testing | D3 - low |
| Flu pandemic | C2 - medium | High staffing absence and difficulties in maintaining the service also emergency planning responses required | Emergency planning and business continuity planning already undertaken | More business continuity planning with residential homes Devise county wide arrangements to share HGV drivers Improved plans to protect staff from virus spreading around the building | C3 - low |

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| Inadequate funding for Disabled Facilities Grants | A2 - High | Mandatory grants may not be paid. Delays in providing essential work. Likelihood of fee income below budgeted levels. | Planning where possible into the medium term. However, certain factors such as Government funding unknown until last minute. | Seek further allocations via capital program. Approach various parties to seek more funding, including GOEM and the PCT's. | B2 - medium |
| 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. All matters now resolved. | On-going audit to ensure current standards are maintained. | C3 - low |
| 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 |