

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 has limited scope for development	C3 - low	Improved service provision comes under pressure	Disposals policy to release resources for capital investment. Efficiency agenda to release cashable gains. Procurement Strategy and Business Improvement Programme to review all services.	Keep under 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. Implement actions arising out of the Government's White Paper on LAA'S.	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. Corporate Workforce Development Strategy to be established.	C3 - low
Insufficient capacity to deliver change	C3 - low	Services decline	Permanent Business Improvement Unit created from 1 st April 2008. Details of actions and risks contained in Service Plans.	Timetable of service reviews put forward for approval (May 08). All services review plans from 1 st April each year.	C3 - low

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Impact of CSR 07 and Government's efficiency agenda on local government	C3 - low	Lower increases in central funding and 3% target impact on current service provision	Medium-term financial plan developed over 5-years incorporating 3-year central government settlement.	Keep under review.	C3 - low
Comprehensive Area Assessment - ability to respond to new performance framework	C3 - low	Reputation of the Council could diminish	Re-organisation of the Policy Function completed. More outward focused with good networking. Council retains key partner role in LSP and development of Sustainable Community Strategy. Corporate Plan linked into new national performance framework where appropriate.	Revised performance reporting framework implemented from April 2008. Maintain and improve links with the LSP and County Council. Review Sustainable Community Strategy 1 st April 2009. Review Corporate Plan 1 st April 2009.	C3 - low

LESIURE 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

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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.	Complete review of the SDLP operating arrangements and ensure that resource requirements are addressed by partners (March 2009).	C3 - low
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.	Recommendations from the review of the V&CS to be implemented in April 2009. 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

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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
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, funding has been allocated for consultants to produce drawings and work up detailed specification. This will provide a better understanding of funding required early 2009.	D1 - medium
Failure of Sharpe's Pottery Museum	B2 - Medium	Closure of facility (including the T.I.C.).	Councillor representation on the Board.	The Council is currently supporting the review of operations and renegotiating the Service Level Agreement.	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	C3 - 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.	C3 - low
Security breach in reception area	C2 - medium	Danger for officers, loss of cash, access to other parts of the building.	Policy on reception alarm procedure for front line staff.	Annual Review (Mar 09).	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.	½ yearly reviews of service area plan. Develop awareness of market place	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	Further development of partnerships with enforcement and processing support organisations	C3 - low
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 (October 06 to October 07). Business case for partnership working with other local authorities in course of preparation and partnership working with customers being implemented.	C3 - low
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

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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.	<p>A corporate Equalities and Fairness Group is taking forward the Agenda.</p> <p>A dedicated equalities post has been established The Values and Attitudes Group (comprising external stakeholders) has an overseeing role.</p> <p>Working towards National Equalities Standards framework - Level 2 achieved in April 2008.</p> <p>Corporate Equality and Fairness Scheme in place.</p>	<p>Commencement of Equalities Impact Risk Assessment - Sept 2008.</p> <p>Rollout of training across the organisation and the development and delivery of action plans.</p>	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 to report BVPI and other national indicators. Data Quality Strategy adopted in March 2008.	Action plan in place to deliver the Data Quality Strategy that will be reviewed annually. Training provided for key employees annually. Implementation of IT solution to enhance accuracy of data.	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. Safeguarding Children policy by December 2008.	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
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 2008. Regular reports back to H & S Cttee Health & Safety Action Plan progressed as per timescales	D2 - medium

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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
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 (March 2009).	C4 - low
Loss of market share re: Land Charges	C3 - low	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.	Current review of service provision being undertaken alongside the monthly budget monitoring process.	B3 - medium

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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. 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. 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
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

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FINANCE and PROPERTY SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	TARGET RATING
Business Continuity	B3 - medium	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
Failure to meet payroll deadlines (in particular due to unplanned reduction in staffing)	B3 - medium	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 main financial system	D2 - medium	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.

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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 and market conditions emanating from the "credit crunch" 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
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 now in place for kerbside collection.	Longer term contract needed for kerbside and other contracts subject to full market testing	D3 - low

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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
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 GOEM for more realistic allocation. Write to discretionary grant applicants to announce 12-month waiting list.	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