

# Appendix 1

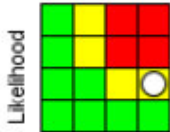
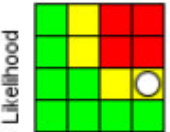
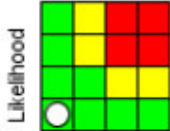
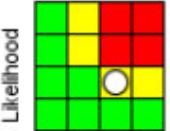
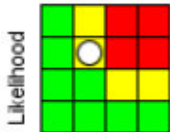
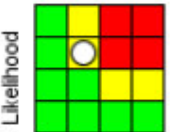
## Strategic Risk Register

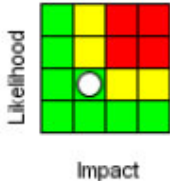
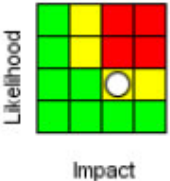
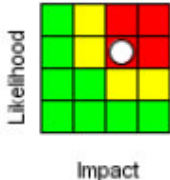
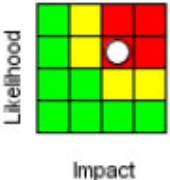
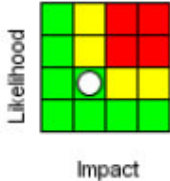
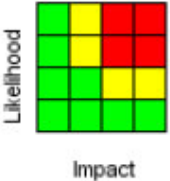
**Report Author:** Sue Turfrey  
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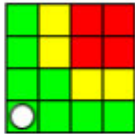
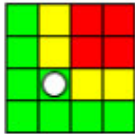
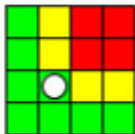
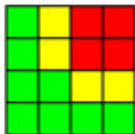
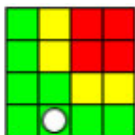
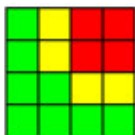
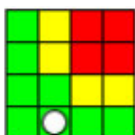
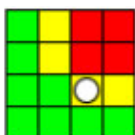
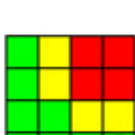
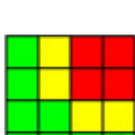


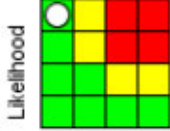
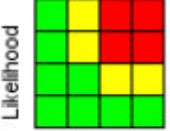
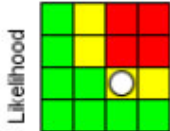
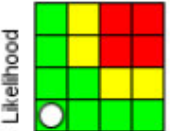
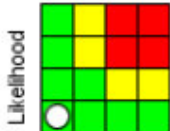
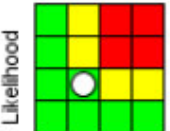
Rows are sorted by Risk Code.

No.	Risk to meeting objectives	Current Risk Matrix	Original Risk Matrix	Description	Potential Effect	Control Measures (Actions)	Risk Owner(s)	Latest Note
s002	Capital Programme Control	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	In the transition to the new Wiltshire Council there is a risk that due to capacity issues, capital project works may not be delivered or delivered on time.	Non delivery of projects could impact on the Council's reputation and on the community of North Wiltshire.		Stuart McGregor	Work has been undertaken to assess the best alignment of resource to deliver key priority projects within the time span towards the new council.
s003	Long Term Future of Jarvis	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Jarvis provide and run the main council building and the current contractual situation is complicated. The new level of guarantees will not be as advantageous to the Council and the provision of facilities management may not be to the same standard or at the same cost. Terms of new contract significantly worse	Financial implications. Political/Reputational implications. Adverse publicity	Regular meetings with Facilities Manager	David Stirling	There are no major issues for 2008/09

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s004	Business Continuity & Emergency Planning	 Likelihood Impact	 Likelihood Impact	<p>In a "live" situation, the Council's Business Continuity and Disaster Recovery plans may prove to be less than 100% effective or they may not accurately reflect operational needs. This may be made worse if key members of staff leave the Council.</p> <p>An incident occurs and plans are not fully effective.</p>	<p>Inability to operate. Health &amp; Safety implications. Impact on public key services not delivered. Major financial implications. Legal implications. Impact on partners</p>	<p>Final version of BCP approved by Exec on 9 March 2006. IT Disaster Recovery Plan developed and fully tested successfully.</p>	Pete Barnett	<p>Business critical activities have been reviewed and re-prioritised by the Business Continuity Team and confirmed by CMB. The Managers responsible for business critical activities have been asked to review the details contained within their plans. Working with County.</p>
s010	Service Delivery by Partnerships	 Likelihood Impact	 Likelihood Impact	<p>There is a risk that:</p> <ul style="list-style-type: none"> <li>Service delivery Partnerships do not deliver outputs that are consistent with the Corporate Plan.</li> <li>The Council's objectives are delivered ineffectively by its partners.</li> <li>Partnerships are not delivering the required level of service</li> </ul> <p>Partners fail to prioritise or deliver on key objectives</p>	<p>Key outcomes not delivered Financial implications Reputation undermined Legal implications Relationships with partners deteriorate</p>	<p>Service level Agreement work following Audit Commission recommendations</p>	Jo Cogswell	<p>Partnership Evaluation Tool in place which oversees control of Partnerships. County have agreed 1yr rollover of main partnership</p>
s012	IT/ Business Transformation Strategy	 Likelihood Impact	 Likelihood Impact	<p>The non-delivery of the IT / Business Transformation Strategy would result in the Council not maximising efficiency gains and improved customer service.</p> <p>However, the transition to unitary presents the risk that if the strategy is fully implemented, resources and expenditure may be committed without the gains being achieved.</p> <p>Fail to implement effective business transformation.</p>	<p>Service driven approach to procurement. Lack of consistency across services. Lack of effective change control. Systems not compatible. Fails to link to change and knowledge management. Duplication occurs. Greater potential for fraud</p>	<p>ICT strategy approved by Executive in March 2007.</p>	Pete Barnett	<p>Work is focussing on the key areas within Cleansing and Amenities, Council Tax and Benefits.</p>

No.	Risk to meeting objectives	Current Risk Matrix	Original Risk Matrix	Description	Potential Effect	Control Measures (Actions)	Risk Owner(s)	Latest Note
s017	Concessionary Travel Scheme			<p>(links to risk no. 11)</p> <p>Possibility of Additional costs of approx. £333,000 for Concessionary Travel Scheme due to appeals by Bus Operators. Would create financial risk which could affect other services.</p>	Budget pressure on the Council	Appeals process	Stuart McGregor	There is now minimal risk due to extra Government grants.
s018	Failure to provide adequate level of IT business support			<p>Due to significant resources being diverted to the 1C4W programme and the possibility of key IT staff leaving, there is a risk that an adequate level of IT support is not provided.</p>	IT systems in key service areas not supported. Longer waiting times for problem fixing. Poor service delivery. Loss of knowledge and expertise in key technical areas.	<p>Prioritised resource planning based on business critical systems. Consider alternative provision of specialist skills (secondments, contractors, outsourcing)</p>	Pete Barnett	Risk rating has been reviewed and remains the same
s019	Cleansing & Amenities Business Transformation not being completed			<p>There is a risk Cleansing &amp; Amenities Business Transformation is not completed, due to its wide scope and tight deadline. This is a priority area for improvement in the corporate plan and also relates to key actions and outcomes within it, including improving street cleanliness and grot spots, and increasing the number of households that use green waste collection.</p>	Key outcomes in the C&A priority area not achieved. Reputational impact. Public dissatisfaction. Poor position of service in comparison with other Wiltshire authorities.	Business Transformation and Improvement Plans closely project managed. New structure to deliver improvements.	Stuart McGregor	The transformation of Cleansing and Amenities is progressing well. There is a need to ensure change stays embedded

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s020	Failure to accommodate new statutory changes	 Likelihood Impact	 Likelihood Impact	Due to significant strategic Resource's being diverted to the 1C4W programme and the possibility of key staff leaving, there is an increased risk that important statutory changes and emerging legislation may not be adhered to or breached.	Reputational risk. Legal implications. Possible fines or claw backs.	CMB / management team liaison. Close working relationships with Government Offices.	Delwyn Burbidge	This has been controlled in the first half of 2008/09.
s021a	Change to Unitary Authority – Failure to deliver Business as Usual.	 Likelihood Impact	 Likelihood Impact	Preparations for the change to unitary may divert resources and have a significant negative impact on the delivery of Council services.	Key improvements and agreed levels of service not provided to customers. Public dissatisfaction. Reputational impact.	Prioritised business planning. Transition Team monitoring and review	Delwyn Burbidge	This has been controlled in the first half of 2008/09.
s021b	Change to Unitary Authority – Failure to transfer services to new authority	 Likelihood Impact	 Likelihood Impact	Conflicting demands or lack of involvement in the 1C4W programme may mean that the Council does not play a full role in shaping the services of the new unitary authority or align its services for the future.	There should be no impact on frontline services	Service Directors take responsibility for most areas in Jan 09	Delwyn Burbidge	This has been controlled in the first half of 2008/09.
s021c	Change to Unitary Authority - Failure to retain key staff	 Likelihood Impact	 Likelihood Impact	Uncertainty about, or lack of, suitable opportunities in the new unitary authority may mean that key personnel leave the authority. Key staff may also leave on secondment.	Key improvements and agreed levels of service not provided to customers. Key strategic and operational functions within the Council not provided.	Recruitment and Retention Policy	Delwyn Burbidge	This has been controlled in the first half of 2008/09. However, as the new organisation forms, the risk may increase.
s022	Accidental or malicious loss of data/information	 Likelihood Impact	 Likelihood Impact	Possibility of politically sensitive, confidential or personal information being lost in the public domain.	Reputational and political impact. Public dissatisfaction.	Information and Data Security Policy	Pete Barnett	An Internal Audit review on Data storage and security was carried out by the Council's computer auditors Deloitte and Touche. The report and action plan was returned to the Council back in August. A smaller second report will be completed by the same auditors by Jan 09 covering

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s023	Failure to reach collective agreement with the trade union	<p>Likelihood</p>  <p>Impact</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Failure to reach collective agreement with the trade union, due to the need for all agreements to be ratified at a national level. This risk will grow as we move towards vesting day.</p>	<p>Impact on ability to launch pay &amp; grading results on time. Appeals process is a time consuming and resource intensive exercise and affects the morale of staff.</p>	<p>Discussions with trade union will be continuous. Work is being carried out nationally and regionally to assist the delivery of collective agreements.</p>	<p>Elaine Orchard</p>	<p>data migration. Consideration will be given to any actions that can be implemented prior to vesting day or whether they should be passed to the new authority for action.</p> <p>Work continues to reach an agreement and contact is maintained with regional Unison.</p>
s024	Failure to have an investment repaid	<p>Likelihood</p>  <p>Impact</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Failure to recover investments placed with financial institution</p>	<p>Loss of funds for future investment. Cash flow issue at time investment due</p>	<p>TM &amp; ING consider officer &amp; professional advisor advise.</p>	<p>Stuart McGregor</p>	<p>The situation with Iceland continues to be monitored</p>
s025	Economic Downturn	<p>Likelihood</p>  <p>Impact</p>	<p>Likelihood</p>  <p>Impact</p>	<p>Failure to abstract income revenue from discretionary income from services to budget expectation</p>	<p>Reduction in fees and charges income</p>	<p>Monitor</p>	<p>Stuart McGregor</p>	<p>Risk to: Planning / Land charges Trade Services</p>