

# REPORT

**Cllr Mrs Warrander : Cabinet Member for Resources**

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## **RISK REGISTER**

### **1. Matters for Consideration:**

Cabinet is requested to consider the corporate Risk Register progress report and confirm the status of risks and actions being undertaken.

### **2. Introduction and Background:**

For the first time last year the Council identified a series of corporate and portfolio based risks within the Portfolio Plans.

Set out in Appendix 1 is a summary of all the risks and associated actions identified within the Portfolio Plans. These risks have been formatted using the Risk Management Policy and Framework approved by the Cabinet on 27<sup>th</sup> July, 2003.

An assessment of the current status has been made against each risk identified. There are three potential grades of status ranging from "o.k." (the lowest status of risk), "concerned" (medium status - where some actions are needed) and "worried" (the highest status - where urgent actions may be required).

### **3. Summary of Risk Status:**

Councillors will note that the status of the majority of risks is "o.k." with a small number where "concern" is expressed. Actions to mitigate against the impact of those risks are identified and Councillors are requested to confirm that they are satisfied with the measures proposed.

For many of the risks classified as "o.k." this is as a direct result of the risk no longer being relevant or that actions outlined have been completed and reduced the risk.

### **4. New Risk Register:**

Members and officers are currently working on identifying risks for this year's corporate planning process and these will be included in Portfolio Plans due to be considered by the Cabinet in December.

**5. Recommendations:**

Members are requested to:-

- (i) note the contents of the report and the current status of corporate and portfolio risks; and
- (ii) advise officers on whether the status of any particular risks should be amended or whether any additional actions should be taken.

**6. Background Papers:**

Portfolio Plans 2003/4 and Cabinet report on Risk Management Policy and Framework – 27<sup>th</sup> July, 2003.

**7. Implications:**

- **Financial** : Nil
- **Legal** : Nil
- **Human Rights** : Nil
- **Personnel** : Nil
- **Community Safety** : Nil
- **Environmental** : Nil
- **Ward(s) Affected** : Nil
- **Consultation Undertaken** : Cabinet Away Day

# Salisbury District Council Risk Register

Date Last Updated: October 03

Title of Risk	Status	Impact	Probab.	Category	Risk Source	Owner	Action	Identified	Updated
Feeling of initiative overload	Ok	High	High	People	Portfolio Plan	A McC	Develop Stress Management Policy	Feb '03	Oct '03
Feeling of initiative overload	Ok	High	High	Capacity	Portfolio Plan	MT	Develop one integrated change management programme	Feb '03	Oct '03
						MT	Develop a hierarchy of importance for actions and tasks	Feb '03	Oct '03
						AC	Map out scope of partnership working and look to rationalise where appropriate	Feb '03	Oct '03
Projects not completed on time	Ok	High	High	Reputation	Portfolio Plan	Project Managers	Develop effective comprehensive project plans to key decisions	Feb '03	Oct '03
						EMT/MT	Integrate Project Management into Performance Management System	Feb '03	Oct '03
						RB	Training and development programme	Feb '03	Oct '03
						DN	Develop corporate approach to risk management	Feb '03	Oct '03
						SA	Integrated Change Management Group to monitor	Jul '03	Oct '03
						SA/JB	Quarterly monitoring to Cabinet	Jul '03	Oct '03
Projects not completed within budget		High	High	Financial	Portfolio Plan	Project Managers	Develop effective comprehensive project plans to key decisions	Feb '03	Oct '03
						EMT/MT	Integrate Project Management into Performance Management System	Feb '03	Oct '03
						RB	Training and development programme	Feb '03	Oct '03
						DN	Develop corporate approach to risk management	Feb '03	Oct '03
						SA/JB	Quarterly monitoring to Cabinet	Jul '03	Oct '03
HR and IT capacity not adequate to support change management programme	Concerned	High	High	Capacity	Portfolio Plan	AMcC	Establish capacity to develop and implement personnel policies and consistent management use	Feb '03	Oct '03
						LW	Review resourcing requirements for E-Government	Feb '03	Oct '03
Unimproved customer satisfaction	Concerned	High	High	Reputation	Portfolio Plan	HF	Implement Best Value Review of Communications and Customer Care recommendations	Feb '03	Oct '03
						PB	Ensure there is feedback on both the outcomes of community consultation and proposed actions	Feb '03	Oct '03
The housing stock requires investment and there is a capital shortfall. A decision is required about the long-term future of the housing stock		High	High	Political	Portfolio Plan	DS	Control risk through Stock Option Board and Working Groups work programme	Feb '03	Oct '03

The demand for social housing outstrips supply		High	High	Economic	Portfolio Plan	AR	Control risk through implementing Affordable Housing Scrutiny Review, Homelessness Strategy, Supplementary Planning Guidance and Private Sector Housing Policy	Feb '03	Oct '03
The introduction of the Working Families Tax Credit, Child Tax Credit, Savings Credit and Pensions Credit will have a major impact on the Councils ability to turnaround benefit claims quickly and accurately.	Ok	High	High	Capacity	Portfolio Plan	PR	Control risk through extensive staff training and recruitment of additional staff utilising govt funds	Feb '03	Oct '03
The leisure facilities require investment and there is a capital shortfall.	Ok	High	High	Financial	Portfolio Plan	LW	Transfer the risk through creation of a charitable trust.	Feb '03	Oct '03
Reduced numbers of affordable housing from Planning.	Ok	High	High	People	Portfolio Plan	ST	Control risk through improved forward planning.	Feb '03	Oct '03
Reduced availability of Capital Funding for Social Housing.	Ok	High	High	People	Portfolio Plan	AR	Control risk through ongoing dialogue with Financial Services and Housing Corporation.	Feb '03	Oct '03
The housing stock requires investment and there is a capital shortfall. A decision is required about the long term future of the housing stock.	Concerned	High	High	Financial	Portfolio Plan	DD	Control risk through Stock Option Board and Working Groups work programme	Feb '03	Oct '03
The pressure to deliver local government services at times and in ways to suit the citizen.	Ok	High	High	Reputation	Portfolio Plan	DN	Public Service Office Project.	Feb '03	Oct '03
	Ok	High	High				Implementation of Best Value Review of Customer Care and Communication.	Feb '03	Oct '03
Decreasing government grant and increasing pressure to deliver better services at less cost.	Ok	High	High	Financial	D Neudegg	JB	Evaluation of alternative service delivery options as part of BV reviews.	Feb '03	Oct '03
						DD	Longer-term financial planning, refining corporate planning process.	Feb '03	Oct '03
						DD	Implementing scrutiny of external funding.	Feb '03	Oct '03
Government legislation on capital reforms lead to significant reduction in capital receipts available to the Council.	Concerned	High	High	Financial	Portfolio Plan	JB	Re-prioritisation of programme in light of new legislation.	Feb '03	Oct '03
Increased pressure to meet waste Strategy targets	Ok	High	High	Political	Portfolio Plan	GS	Complete review of Waste Management Strategy through Scrutiny	Feb '03	Oct '03
Increased pressure to meet waste Strategy targets	Ok	High	High	Financial	Portfolio Plan	GS	Complete review of Waste Management Strategy through Scrutiny	Feb '03	Oct '03

							Identify resources in future years to deliver strategy	Feb '03	
Private Sector Housing Conditions continue to deteriorate.	Ok	High	Medium	People	Portfolio Plan	AR	Control risk through policy	Feb '03	Oct '03
Variations from agreed budget result in significant under or overspends.	Ok	High	Medium	Financial	Portfolio Plan	JB	Effective budget management and regular monitoring	Feb '03	Oct '03
Not achieving improved performance on Planning applications	Concerned	High	Medium	Reputation	Portfolio Plan	ST	Implement Best Value Review recommendations to improve performance	Feb '03	Oct '03
							Complete Invest to Save Project	Feb '03	Oct '03
Recurrence of Flooding	Concerned	High	Medium	Environment	Portfolio Plan	GS	Upper Till Valley, Pitton and Teffont Land drainage works	Feb '03	Oct '03
							Implement Downton Flood Relief Scheme	Feb '03	Oct '03
							Review Emergency Planning Procedures	Feb '03	Oct '03
							Undertake review of Flooding Risk areas	May-03	Oct '03
Increased demand for waste and recycling	Concerned	High	Medium	Financial	Portfolio Plan	GS	Review current provision of services	Feb '03	Oct '03
							Introduce charges to reduce demand	Feb '03	
The demand for grant funding by the community and voluntary sector outstrips the supply of funds the Council is prepared to make available.	Ok	High	Low	Political	Portfolio Plan	LW	Accept risk.	Feb '03	Oct '03
						LW	Partially control risk by supporting the voluntary /community sector to build their capacity and recruit volunteers and support groups in accessing major national/regional funding regimes.	Feb '03	Oct '03
Reduced resources for Capital Programme.	Ok	High	Low	Financial	Portfolio Plan	JB	Monitor profile of Capital expenditure and income.	Feb '03	Oct '03
							Contingency plans if likelihood increases.	Feb '03	Oct '03
							Complete Redworth House Sale	Feb '03	Oct '03
Failure of IT systems.	Ok	High	Low	Capacity	Portfolio Plan	LW	Business continuity management procedures.	Feb '03	Oct '03
					Portfolio Plan	LW	Test procedures to ensure they are adequate.	Feb '03	Oct '03
Failure to properly carry out planning and building control regulatory function	Ok	High	Low	Reputation	Portfolio Plan	ST	Appropriate management controls	Feb '03	Oct '03
							Legal advice	Feb '03	Oct '03
Slump in Tourism Market	Ok	High	Low	Economic	Portfolio Plan	GG	Monitor tourism trends	Feb '03	Oct '03

May elections resulting in either new administration and/or large numbers of new Councillors	Ok	Medium	High	Capacity	Portfolio Plan	SA	Induction programme for new Councillors	Feb '03	Oct '03
						SA/RB	Undertake an audit of Councillors to identify training and support needs	Feb '03	Oct '03
						SA/RB	Personal training and development Plans for Councillors	Feb '03	Oct '03
						SA	Prepare action plans in advance of May	Feb '03	Oct '03
						DN	Ensure adequate resources for Councillors undertaking scrutiny role	Feb '03	Oct '03
May elections resulting in either new administration and/or large numbers of new Councillors	Ok	Medium	High	Political	Portfolio Plan	Group Leaders	Political Groups develop their own manifesto and campaign strategies	Feb '03	Oct '03
Staff not clear on priorities and vision		Medium	High	Capacity	Portfolio Plan	CX	Link Political priorities to staff development scheme	Feb '03	Oct '03
Staff not clear on priorities and vision		Medium	High	People	Portfolio Plan	PB	Implement Best Value review of customer care and communications recommendations	Feb '03	Oct '03
						EMT/MT	Improved internal communication	Feb '03	Oct '03
						RB	Link Council's training and development needs to political priorities	Feb '03	Oct '03
						GG	Priority Posters	Jun '03	Oct '03
						GG	Publish Corporate Plan Summary	Jun '03	Oct '03
Resources not linked to priorities	Concerned	Medium	High	Financial	Portfolio Plan	LW/AMcC/JB/JC	Revisit resource strategies (ICT, HR, Assets and Finance) where necessary	Feb '03	Oct '03
Planning and Compulsory Purchase Bill	Ok	Medium	High	Capacity	Portfolio Plan	ET	Monitor progress of Bill through Parliamentary process	Feb '03	Oct '03
							Review key issues within Green Paper through scrutiny process in preparation	Feb '03	Oct '03
Capacity to deal with Stonehenge Application	Concerned	Medium	High	Capacity	Portfolio Plan	ST	Recognise need for contingency budget when full implications are known	Feb '03	Oct '03
							Backfill posts on temporary basis to maintain PIs	Feb '03	Oct '03
							Bring forward report on implications of stonehenge application	Feb '03	Oct '03
Changing legislation for licensed premises	Concerned	Medium	High	Financial	Portfolio Plan	GS	Monitor progress of Bill through Parliamentary process	Feb '03	Oct '03
		Medium	High				Recognise need for contingency budget when full implications are known	Feb '03	Oct '03
Changing legislation for licensed premises	Concerned	Medium	High	Capacity	Portfolio Plan	GS	Monitor progress of Bill through Parliamentary process	Feb '03	Oct '03
							Recognise need for staffing resources when full implications are known	Feb '03	Oct '03

Increased sickness absence.	Concerned	Medium	Medium	Capacity	Portfolio Plan	AMcC	Introduction and implementation of Sickness Policy.	Feb '03	Oct '03
							Monitoring of sickness absence levels.	Feb '03	Oct '03
Increased staff turnover.	Concerned	Medium	Medium	Capacity	Portfolio Plan	AMcC	Implementation of recruitment and retention recommendations in HR Strategy.	Feb '03	Oct '03
Increased Food Safety and Health and Safety regulations	Ok	Medium	Medium	Capacity	Portfolio Plan	GS	Review current performance	Feb '03	Oct '03
							Re-prioritise EHOs work programmes	Feb '03	Oct '03
Budget reductions affecting the viability of services	Ok	Medium	Low	Capacity	Portfolio Plan	SUHs	Monitor satisfaction and effectiveness of services.	Feb '03	Oct '03
						SUHs	Permit services to bid for additional financial support from Political Priorities Budget.	Feb '03	Oct '03
Reduced income from investments.	Concerned	Medium	Low	Financial	Portfolio Plan	JB	Quarterly monitoring of investment income and trends.	Feb '03	Oct '03
Increased demand for services	Ok	Medium	Low	Capacity	Portfolio Plan	ST	Monitor numbers of applications	Feb '03	Oct '03
							Backfill posts on temporary basis to maintain Pls	Feb '03	Oct '03
Dissatisfaction with Transportation and Car Parking Policies	Ok	Medium	Low	Reputation	Portfolio Plan	ET	Continued PR of objectives of the Transportation Plan	Feb '03	Oct '03
College withdraw funding from Bemerton Neighbourhood Centre	Ok	Low	Medium	Reputation	Portfolio Plan	LW	Accept risk.	Feb '03	Oct '03