

WIRRAL COUNCIL

AUDIT AND RISK MANAGEMENT COMMITTEE

26 JANUARY 2009

REPORT OF THE DIRECTOR OF FINANCE

CORPORATE RISK REGISTER

1. EXECUTIVE SUMMARY

1.1 This report summarises the process used to develop the Corporate Risk Register and confirms the outcome of the recent review undertaken by Chief Officers. A draft of the revised Register is appended and Cabinet on 10 December 2008 was invited to consider and comment upon its contents.

2. BACKGROUND

2.1 The Corporate Risk Register contains those issues that have the greatest potential to prevent or frustrate the achievement of the Strategic Objectives and Priorities for Improvement as set out in the Corporate Plan.

2.2 The risks are reflected in Departmental Service Plans and the allocation of resources to ensure that they are closely aligned with the Corporate Planning process. Success in managing these risks is therefore a key factor in overall performance. Wirral aspires to be an excellent Council and the risks included reflect those issues that could impact on the achievement of this aim. Implementation of the control actions identified will help to ensure that priorities are addressed.

2.3 It is common practice for such registers to contain both longer-term risks, which are often expressed quite broadly, as well as a number of more narrowly defined issues which represent the critical risks at present or in the near future.

2.4. The Risk Management Strategy approved by Cabinet on 23 July 2008 defines the following roles in relation to the Corporate Risk Register in order that it is a 'live' document kept under regular review.

- Chief Officers identify and analyse the key corporate risks.
- Cabinet scrutinise the risks put forward by Chief Officers.
- Corporate Improvement Group assists with the maintenance of the Register including reviewing and updating the register every quarter.

3. THE EXISTING REGISTER

3.1. The Corporate Risk Register comprises three elements;-

- A group of broad medium term risks identified by Chief Officers and reported to Cabinet on 16 August 2007. These are a combination of both individual risks, which would have a significant corporate impact if they materialised, and risks which individually are of limited importance but which pose a threat to a number of departments and which in aggregate present a significant corporate threat.

- A further set of risks identified by the Corporate Improvement Group through examination of Departmental Service Plans for 2008/09. These and the risks identified above were agreed by Cabinet on 13 March 2008.
- A number of 'short term' risks added by the Corporate Improvement Group during 2008/09 following evaluation of issues escalated upwards by individual departments reflecting the 'live' nature of the Register.

4. REVIEW PROCESS

- 4.1. The Risk Management Strategy states that the Corporate Risk Register will be regularly reviewed by the Corporate Improvement Group. Reviews were conducted at the end of each quarter with changes reported to Cabinet as part of the Financial and Performance Monitoring Summary report.
- 4.2. The Strategy also states that Chief Officers will undertake an annual review of the Register to ensure that its content continues to reflect the key risks to delivery of the Corporate Plan. This followed Cabinet agreement of the Strategic Objectives and the Priorities for Improvement for 2009/10 on 25 September 2008 and was undertaken by Chief Officers on 13 November 2008. In carrying out the review the following points were considered:-
- What major changes have occurred since 2007 or can be anticipated for 2009/10?
 - What significant implications do those changes pose for the delivery of the Strategic Objectives and Priorities for Improvement?
 - If the current register does not adequately reflect all significant risks, do any existing risks need to be re-phrased or new ones added?
 - Should any of the existing risks be removed, because they no longer pose as great a corporate threat as they have previously?
 - What changes to the risk scores can be agreed, given the action being taken to address them and/or internal or external changes that have occurred?
- 4.3. A draft revised Register is appended with the following significant changes suggested to the existing risks:-
- Risk 18. The net score for 'Failure to deliver the Local Pay Review' has been reduced from 10 to 8 to reflect Phase 1 of the Review having been successfully executed.
 - Risk 21 'Susceptibility of IT provision to disruption' was removed as it was considered to be addressed within risk 1 'Key Council services are not resilient to disruption and business continuity arrangements are inadequate'
 - Risks 22, 23 and 24 were evaluated as having net risk scores of 15 and are higher than all the other existing risks. In part this reflects their recent addition to the Register and the limited information available about how they are being addressed. The scores will be reviewed as information becomes available and, in the short term, efforts will be focused on controlling these risks.

- 4.4. The following issues are put forward as possible additions to the Register and have to be fully analysed:-
- Failure to address community cohesion, development and engagement
 - Failure to address health inequalities.
 - Failure to effectively plan for and manage the impact of climate (environmental) change.
 - Failure to manage Council assets effectively.
 - Serious failure in information governance.
 - Failure to smoothly transfer 16/18 responsibilities from the Learning and Skills Council to Wirral Council from September 2010.
- 4.5. The draft Register represents the views of Chief Officers, and Cabinet views are requested on whether, having regard to the points in paragraph 4.2, the risks identified are those that reflect the key challenges faced by the Council in delivering its Strategic Objectives and Priorities for Improvement in the coming financial year.
- 4.6. Cabinet will receive a full update to the Register within six months. This will take account of any control actions planned by individual departments in 2009/10 and Cabinet will be requested to approve the Risk Register.
- 4.7. Progress against the risks on the Register will continue to be provided on a quarterly basis as part of the Financial and Performance Monitoring Summary.
- 4.8. The Risk Management Strategy is to be reviewed in July 2009. Opportunities to enable the greater involvement of Cabinet in identifying the key corporate risks will be explored.

5. FINANCIAL IMPLICATIONS

- 5.1. Whilst there are no direct financial implications arising from this report, effective management of those risks with a financial impact will help improve value for money.

6. STAFFING IMPLICATIONS

- 6.1 There are no direct staffing implications. However some of the corporate risks directly concern human resources issues.

7. EQUAL OPPORTUNITIES IMPLICATIONS

- 7.1. Effective management of the corporate risks will contribute to the achievement of all corporate objectives.

8. COMMUNITY SAFETY IMPLICATIONS

- 8.1 Effective management of the corporate risks will contribute to the achievement of all corporate objectives.

9. LOCAL AGENDA 21 IMPLICATIONS

9.1. Effective management of the corporate risks will contribute to the achievement of all corporate objectives.

10. HUMAN RIGHTS IMPLICATIONS

10.1 Effective management of the corporate risks will contribute to the achievement of all corporate objectives.

11. PLANNING IMPLICATIONS

11.1 There are none arising from this report.

12. LOCAL MEMBER SUPPORT IMPLICATIONS

12.1. There are no specific implications for any Members or wards.

13. BACKGROUND PAPERS

13.1 Risk Management Strategy - July 2008.

14. RECOMMENDATIONS

14.1. That Members consider and comment upon the draft Corporate Risk Register.

14.2. That a full update to the Register be provided within six months.

14.2 That progress in managing the corporate risks continue to be included in the quarterly Financial and Performance Monitoring Summary reports.

IAN COLEMAN
DIRECTOR OF FINANCE

WIRRAL COUNCIL - CORPORATE RISK REGISTER – NOVEMBER 2008

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
1.	Death or serious injury to a service user, staff member, or anyone to whom the Council owes a duty of care.	Stephen Maddox	4 x 5 = 20	<ul style="list-style-type: none"> Health and safety risk register identifying corporate H&S risks has been developed. Significant corporate and departmental capacity and expertise Work of Central Health & Safety committee. Corporate and departmental health and safety policy specifies roles and responsibilities H&S policies for significant staff and public health hazards Legislative Compliance Audit programme of all Council premises Programme of auditing health and safety management systems 	2 x 5 = 10	<ul style="list-style-type: none"> Institute Of Safety and Health (IOSH) Managing Safely training to all Managers and Supervisors below Head of Service Further review and development of H&S arrangements Continuing audits of H&S management 	<ul style="list-style-type: none"> Mark Camborne Mark Camborne Mark Camborne 	<ul style="list-style-type: none"> April 08 onwards Ongoing Ongoing
2.	Failure to prepare adequately for/manage the impact of a pandemic.	Stephen Maddox	5 x 5 = 25	<ul style="list-style-type: none"> Specific strategy prepared and updated regularly by Department of Adult Social Services (DASS). Close ongoing work with Primary Care Trust (PCT) (e.g. on mass vaccination) Engagement with independent social care providers to develop their own plans Priorities for anti-viral drugs within workforce have been identified 	2 x 5 = 10			

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
3.	Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	Chief Officers' Management Team (COMT)	5 x 5 = 25	<ul style="list-style-type: none"> Dedicated team provides support and guidance. Plans exist for many services Corporate approach to service continuity agreed All departments have identified and reviewed their critical activities Training provided to all departments in constructing business continuity plans Audit of IT disaster recovery planning undertaken External suppliers identified and position statement as to their arrangements compiled 	2 x 4 = 8	<ul style="list-style-type: none"> Finalise the corporate Business Continuity Plan for Wirral Finalise all Departmental Business Continuity Plans Ensure external agencies have cohesive continuity arrangements Conduct tabletop exercise to test the efficiency of plans 	<ul style="list-style-type: none"> Mark Camborne Mark Camborne Mark Camborne Mark Camborne 	<ul style="list-style-type: none"> November 2008 Oct 2008 Ongoing March 2009
4.	Changing need and demand for services (driven by legislative, social and demographic change) is not managed effectively	Jim Wilkie	5 x 4 = 20	<ul style="list-style-type: none"> Demographic changes are monitored and used to inform robust needs analyses and evidence basis for priority setting and incorporation into planning frameworks for the council and in partnership. Specific teams are established to consider individual issues. Impact of policy and legislative changes is incorporated into plans and budgets. Corporate, departmental and partnership planning processes. Greater focus on Sustainable Community Strategy. LAA agreed and implemented. implementation of Equality & Diversity Strategy will influence future service provision 	2 x 4 = 8	<ul style="list-style-type: none"> Introduce Equalities Strategy Policy & Standard Renew and improve corporate service planning process to ensure that trends are anticipated & the impact of legislative and policy change considered. Annual review and refresh of key delivery plans including LAA / corporate and departmental plans 	<ul style="list-style-type: none"> Russ Glennon Jim Wilkie Jim Wilkie 	<ul style="list-style-type: none"> Ongoing Ongoing Ongoing

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
5.	The Council does not maintain arrangements for good corporate governance.	Stephen Maddox	5 x 5 = 25	<ul style="list-style-type: none"> • Constitution regularly reviewed, reported to Members and circulated to officers. • Rolling internal audit programme. • Annual Governance Statement includes recommendations for improvement. • Corporate Governance Monitoring Group considers improvements to governance regime. • Code of Corporate Governance published. • Training programme for Members 	2 x 5 = 10	<ul style="list-style-type: none"> • Undertake review of Constitution • Implement enhanced risk-based audit programme • Produce annual governance statement • Deliver risk management training for Members • Review and improve representation on Audit & Risk Management Committee 	<ul style="list-style-type: none"> • Simon Goacher • David Garry • David Garry • Mike Lane • 	<ul style="list-style-type: none"> • May 08 (completed) • Ongoing • July 08 • Ongoing • July 08 (completed)
6.	Community expectations are not properly understood or managed well.	Jim Wilkie	5 x 5 = 25	<ul style="list-style-type: none"> • Member led development of Corporate Plan. • Understanding of community needs through strong approach to community engagement (e.g. Area Forums & Citizens Panel). • Partnership working (Wirral Partnership Homes, LSP, LAA programme board etc.). • Commitment to Race Equality Statement. • HMRI. • Community Engagement Toolkit • Adoption / implementation of Equality & Diversity Strategy will influence future service provision • Adoption and implementation of Comprehensive Engagement strategy 	2 x 5 = 10	<ul style="list-style-type: none"> • Undertake preparatory work for CAA regime • Introduce Equalities Strategy Policy & Standard • Renew and improve corporate service planning process to ensure that trends are anticipated and the impact of legislative and policy change considered. • Implement Community Engagement Strategy • Conduct sustainability appraisal of the LAA. 	<ul style="list-style-type: none"> • Russ Glennon • Russ Glennon • Russ Glennon • Russ Glennon • Russ Glennon • Russ Glennon 	<ul style="list-style-type: none"> • Ongoing • March 09 (level 3) • Ongoing • Ongoing • Ongoing • Ongoing

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
7.	Failure to achieve sustainable budgets, in line with priorities and take difficult decisions.	Chief Officers Management Team (COMT)	5 x 5 = 25	<ul style="list-style-type: none"> When time limited funding ends services are mainstreamed or funds reallocated in line with objectives. Work with partners – share resources. Medium Term Financial Plan (MTFP) reflects the priorities in Corporate Plan. Effective financial management through regular planning and reporting Strong links between service & financial plans. Capital investment process demands scrutiny of business case for all projects. Responsibilities clearly set out in Constitution Link IT strategy to corporate objectives Criteria for investment e.g. from Efficiency Investment Budget, established Enhanced financial reporting implemented 	2 x 5 = 10	<ul style="list-style-type: none"> Identify specific projects for investment Refine / review financial management report content Review Medium Term Financial Plan Review Capital Strategy Undertake review of Constitution 	<ul style="list-style-type: none"> Chief Officers Tom Sault Tom Sault Tom Sault Simon Goacher 	<ul style="list-style-type: none"> Ongoing July 08 (completed) July 08 (completed) July 08 (completed) May 08 (completed)
8.	The strategies supporting our key priorities are not executed effectively.	Chief Officers Management Team (COMT)	5 x 5 = 25	<ul style="list-style-type: none"> All strategies are kept under regular review. Member scrutiny Common timetable for review implemented 	2 x 5 = 10	<ul style="list-style-type: none"> Undertake review of individual strategies 	<ul style="list-style-type: none"> Individual responsible officers 	<ul style="list-style-type: none"> July 08 (completed)

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
9.	Partnerships are not well planned and we do not work effectively with others.	Jim Wilkie	5 x 5 = 25	<ul style="list-style-type: none"> Clearly identified lead officers and members on key partnerships. The authority's role and responsibilities for all major partnerships have been identified. Corporate guidance on establishment and management of partnerships has been issued. Clearly identified linkage between partnership lead officers and those responsible for service delivery. Performance management framework in LSP. Council has Accountable Body status in some partnerships. Governance arrangements exist for key partnerships. Memoranda of Agreement now prepared for all partnerships 	3 x 5 = 15	<ul style="list-style-type: none"> Introduce periodic checks to ensure that partnerships comply with Wirral's governance arrangements; Develop partnership toolkit Undertake annual review of key partnership register Undertake preparatory work for CAA regime Deliver enhanced guidance and training regarding grants 	<ul style="list-style-type: none"> Simon Goacher Simon Goacher Simon Goacher Russ Glennon Pete Molyneux 	<ul style="list-style-type: none"> Ongoing Oct 08 Ongoing Ongoing Sept. 08
10.	Failure to manage and improve image and reputation.	Jim Wilkie	5 x 4 = 20	<ul style="list-style-type: none"> Central media management team supplemented by dedicated resources for each department Corporate Communications and Marketing Strategy. Wirral Corporate Identity produced and guidance circulated. Re-launched Council website Process of learning from external inspections improved Tourism & Marketing division restructured 	2 x 4 = 8	<ul style="list-style-type: none"> Centralisation of control of corporate marketing 	<ul style="list-style-type: none"> Emma Degg 	<ul style="list-style-type: none"> April 09

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
11.	Failure to effect a workforce development plan to ensure that we have a workforce in place which meets the planned changing needs of the Council, including effective succession planning	Bill Norman	5 x 5 = 25	<ul style="list-style-type: none"> • People Strategy implemented. • Recruitment processes reviewed and action plan implemented. • Partial review of grades through job evaluation process. • Review of recruitment processes and subsequent action plan. • Working with external organisation to implement skills audit. • Robust capability and disciplinary policies • Exit interview policy • Priorities articulated in Corporate Plan communicated to staff. • Corporate KIE process • Partnership working to support New Deal, Modern Apprenticeships and Workstep. • Employee Equality Group assists with prioritising issues to help with recruitment. • 'Success through Scrutiny' Member Development programme. • Internal staff newsletter. • Chief Executive Roadshows and specialist events. • Corporate 'Investors in People' status attained. • Corporate programme to develop key management skills. • Corporate leadership development programme 	2 x 4 = 8	<ul style="list-style-type: none"> • Develop online application tool linked to national electronic recruitment portals. • Continue development of Skills audit. • Continue development of approach to workforce planning/talent management. • Continue Elected Member Development programme. • Continue corporate leadership development programme. 	<ul style="list-style-type: none"> • Paul Bradshaw • Paul Bradshaw • Paul Bradshaw • Paul Bradshaw • Paul Bradshaw 	<ul style="list-style-type: none"> • Ongoing • Ongoing • Ongoing • Ongoing • Ongoing

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
12.	We do not fully exploit all available resources, including technology.	Chief Officers (COMT)	4 x 5 = 20	<ul style="list-style-type: none"> Asset Management Strategy People strategy ICT strategy MTFS Corporate Plan Common timetable for review process Improved co-ordination on resources management 	2 x 4 = 8	<ul style="list-style-type: none"> Undertake review of individual strategies Further integration of key strategies and plans Introduce common business case pro-forma 	<ul style="list-style-type: none"> Individual responsible officers C.I. G. Tom Sault 	<ul style="list-style-type: none"> July 08 (completed) Dec 08 July 08 (completed)
13.	Failure in administrative/operational processes leading to major financial loss/damage to reputation.	Individual Chief Officers	5 x 5 = 25	<ul style="list-style-type: none"> Formal and informal training. Procedure and guidance notes exist for many services KIE process identifies learning needs. 	2 x 4 = 8	<ul style="list-style-type: none"> Undertake review of identified high risk areas 	<ul style="list-style-type: none"> Individual Chief Officers 	<ul style="list-style-type: none"> Ongoing
14.	Failure to plan and manage performance (CPA) and finances in accordance with plans and budgets.	Individual Chief Officers	5 x 5 = 25	<ul style="list-style-type: none"> Well established financial monitoring systems and procedures. Defined programme of financial management training delivered. Refreshed/ upgraded finance and performance monitoring framework. Enhanced Corporate Improvement Group 	3 x 4 = 12	<ul style="list-style-type: none"> Implement Use of Resources Action Plan 	<ul style="list-style-type: none"> COMT 	<ul style="list-style-type: none"> Ongoing
15.	Failure to execute the Council's Investment Strategy (or failure of the Strategy to deliver).	Jim Wilkie	5 x 5 = 25	<ul style="list-style-type: none"> Investment Strategy Board established to lead and direct implementation of Investment Strategy. Membership includes Chief Executive, 3 Party Leaders and significant private and public sector figures Performance Management arrangements for Corporate Plan Look wider than Wirral for investment 	2 x 5 = 10	<ul style="list-style-type: none"> Establish Corporate Investment Group Increase managerial capacity and focus on Investment Strategy by transferring a number of functions to new department Further develop links with China Review planning control processes 	<ul style="list-style-type: none"> Jim Wilkie Jim Wilkie 	<ul style="list-style-type: none"> October 08 September 08

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16.	Major error in investments and administration of Merseyside Pension Fund.	Ian Coleman	4 x 5 = 20	<ul style="list-style-type: none"> • Scrutiny function – Pensions Committee & Investment Monitoring Working Party • Training programme for Members • Defined investment strategy • Engagement of actuarial / investment expertise • KIE process and staff development • Enforcement of defined administrative procedures • Quarterly monitoring of internal compliance • Monitoring regime for external mandates 	2 x 5 = 10	<ul style="list-style-type: none"> • Update Statement of Investment Principles • Implement Phase I of new Investment Accounting software • Deliver 2008 member training programme • Governance representation 	<ul style="list-style-type: none"> • Peter Wallach • Peter Wallach • Peter Wallach • Peter Wallach 	<ul style="list-style-type: none"> • Autumn 2008 (completed) • June 2008 (completed) • Ongoing during 2008 • October 2008 (completed)

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
17.	Failure in safeguarding arrangements (adult or child)	John Webb & Howard Cooper	5 x 5 = 25	<ul style="list-style-type: none"> • Work of Local Safeguarding Children Board eg LSCB Compact, Section 11 audit, Business Plan; Performance sub committee • Recruitment of Local Authority Designated Officer (LADO) to manage allegations. • Quarterly performance management reporting to LSCB. • Weekly performance monitoring of changes to contact and referral taking in CADT. • Monthly VCI reporting to the Chief Executive by DCS & Head of Service. • Lead Member Briefing following each LSCB. • National Notification of Serious Child Care Incidents to OFSTED • Joint working through multi-disciplinary teams • Work of Local Safeguarding Adults Board • Dedicated training programme in ASS • DASS have a dedicated multi agency Safeguarding Unit • Child Death Overview Panels implemented 	2 x 5 = 10	<ul style="list-style-type: none"> • LSCB programme for disseminating learning from serious child care incidents; • Improved audit and scrutiny capacity governed through LSCB; • New internal controls re S118 IRO reporting; • New Child Care Risk Management Procedure introduced; • Develop formal links and training to the Wirral Multicultural Centre staff (protect communities at risk of social exclusion); • Appoint Safeguarding Mental Health Coordinator; • Appoint Mental Health Capacity Act Coordinator • Awareness and process training for staff on all ranges of diversity 	<ul style="list-style-type: none"> • Caroline McKenna • Julia Hassall • Caroline McKenna • Julia Hassall • Rick O'Brien • Rick O'Brien • Rick O'Brien • Rick O'Brien 	<ul style="list-style-type: none"> • September 2008 (on target) • September 2008 (revised) • September 2008 (on target) • September 2008 (revised) • March 2009 • September 2008 • September 2008 (revised) • March 2009
18.	Failure to deliver the Local Pay Review	Bill Norman	5 x 5 = 25	<ul style="list-style-type: none"> • Dialogue with Trade Unions • Resolution of 'back pay' 	2 x 4 = 8	<ul style="list-style-type: none"> • Regular reports to COMT, Cabinet & Overview & Scrutiny Committee 	<ul style="list-style-type: none"> • Paul Bradshaw 	<ul style="list-style-type: none"> • Ongoing during 2008

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
19.	Failure to progress the regeneration of economically disadvantaged areas	Jim Wilkie / Alan Stennard	5 x 5 = 25	<ul style="list-style-type: none"> Dedicated regeneration team Investment Strategy Board established to lead and direct implementation of Investment Strategy. Membership includes Chief Executive, 3 Party Leaders and significant private and public sector figures Performance Management arrangements for Corporate Plan Establishment of Working Wirral 'Lovell' agreement implemented 	2 x 5 = 10	<ul style="list-style-type: none"> Establishment of Corporate Investment Group Increase managerial capacity and focus on Investment Strategy by transferring a number of functions to new department 	<ul style="list-style-type: none"> Jim Wilkie Jim Wilkie 	<ul style="list-style-type: none"> October 08 September 08
20.	Failure to maximise recycling.	David Green	5 x 5 = 25	<ul style="list-style-type: none"> Partnership Board oversees management of strategic contract with Biffa Robust contract management arrangements including governance & performance management structure Recycling headline project plan produced 	2 x 5 = 10	<ul style="list-style-type: none"> Increase participation through improved collection service reliability & effective community engagement Deliver education and awareness campaigns to promote waste minimisation Encourage recycling and minimisation of municipal waste 	<ul style="list-style-type: none"> Mark Smith Mark Smith Mark Smith 	<ul style="list-style-type: none"> March 2009 Ongoing 31 March 2009
21.	Susceptibility of IT provision to disruption							
22.	Adverse effect on Council budgets of rising energy prices	David Green	5 x 5 = 25	<ul style="list-style-type: none"> Phase 1 of Investment Energy Efficiency Programme (IEEP) implemented Use of efficient and effective procurement methodologies Ongoing reports to Cabinet on renewables trial 	3 x 5 = 15	<ul style="list-style-type: none"> Implement phases 2/3 of IEEP Street lighting energy efficient projects Conduct Strategic Asset Review and implement recommendations 	<ul style="list-style-type: none"> Tony Dodd Kevin Ellis Stephen Maddox 	<ul style="list-style-type: none"> Ongoing Ongoing Ongoing

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
23.	Financial and environmental impact of delay in or failure to acquire and gain planning consents for sites needed to deliver the MWDA procurement programme	Alan Stennard / Ian Coleman	5 x 5 = 25	•	3 x 5 = 15	•	•	
24.	Economic volatility and a downturn in the economy impacts on the Council's financial management and investment priorities	Ian Coleman	5 x 5 = 25	<ul style="list-style-type: none"> • Treasury management policies • Use of external investment consultants • Well established financial monitoring systems • Use of Direct Debit to improve reliability of income • Housing Benefit division pro-actively encourages applications for support 	3 x 5 = 15	<ul style="list-style-type: none"> • Review treasury management policies • Liaise with appointed external consultants • Enhance monitoring of key budget areas • Invest in lower risk / lower return areas • HMRI? • Investment Strategy? 	<ul style="list-style-type: none"> • Mark Goulding • Mark Goulding • Tom Sault • Mark Goulding 	<ul style="list-style-type: none"> • Ongoing • Ongoing • Ongoing • Ongoing
25.	Failure to address community cohesion, development and engagement	Jim Wilkie	5 x 5 = 25	<ul style="list-style-type: none"> • Improved access to information re: Council services and policy • An Equality Watch membership scheme • 11 Area Forums • Older People's Parliament • Young People's Parliament • Contract with VCAW • Local Strategic Partnership • Black and Racial Minority Partnership 	3 x 5 = 15	<ul style="list-style-type: none"> • A new Third Sector Strategy • Community Cohesion Review of BRM services • Participatory Budgeting • A comprehensive Engagement Strategy • Hate Crime MARAC 	•	•
26.	Failure to address health inequalities	Marie Armitage		•		•	•	•

No.	Description	Officer Responsible	Gross Risk Score (Likelihood x Impact = Total)	Existing Controls	Net Risk Score (Likelihood x Impact = Total)	Additional Control Action Planned in 2008/09	Officer Responsible	Target Date
27.	Failure to effectively plan for and manage the impact of climate (environmental) change	Bill Norman	5 x 4 = 20	<ul style="list-style-type: none"> • Climate Change Strategy & Action Plan approved by Cabinet 20 June 2007 • 'Reducing Council's Carbon Footprint' Action Plan, approved by Cabinet 4 September 2008 • Nottingham Declaration Working Group 		•	•	•
28.	Failure to manage the Council's assets effectively	Bill Norman		•		•	•	•
29.	Serious failure in information governance	Ian Coleman		•		•	•	•
30.	Failure to smoothly transfer 16 – 18 responsibilities from the LSC to the Council from September 2010	Howard Cooper	5 x 4 = 20	<ul style="list-style-type: none"> • Sub regional group established to ensure coherence • Young Persons Learning Agency will provide overall control (and support) • DCSF briefings, guidance and conferences • Legislation will be changed • 14-19 team established within the department 	3 x 4 = 12	<ul style="list-style-type: none"> • Cross cutting group to be established within CYP • LSC Toolkits with 16-18 data • Shadow arrangements will be put in place September 2009 • Timescale to be agreed for transfer of staff and resources from LSC • Amend Departmental Plan 	•	•