

STRATEGIC RISKS AS AT 11th JANUARY 2010

APPENDIX 1

AREA	RISK	MITIGATING ACTIONS	LIKELIHOOD	IMPACT	NET SCORE
1. IT	Failure of ICT Shared Services to deliver to an appropriate standard, resulting in front-line service failure and/or slow delivery of new developments	Agreements, protocols and procedures in place with Shared Service at both strategic and operational levels. Ongoing review and reprioritisation of work programme priorities with key departmental stakeholders. Regular joint reviews with ICT Shared Service to review provision to date and flow of new work requests.	2	4	8
2. FINANCE	Failure to maintain proper financial control, resulting in the inability of the Council to set a legal budget and the possibility of it being subject to fraudulent activity.	Controls established to restrict access to council funds and promote good housekeeping (Constitution, Finance and Contract Procedure Rules, Schemes of Delegation, Annual spending plans). Processes to support these controls: Internal Financial Monitoring, Core financial computer system security, Internal Audit (including S151 Officer powers and responsibilities), External Audit, Use of Resources Assessment	2	3	6
3. FINANCE	Failure to maintain adequate reserves, resulting in: <ul style="list-style-type: none"> the Borough Treasurer having to issue a S.114 notice, preventing engagement in further contractual arrangements the Council being unable to meet its liabilities and needing to stop discretionary expenditure, impacting on service users, or stop statutory expenditure, risking legal challenge. 	Reserves Strategy setting out principles behind approach to risk. Minimum level of general reserves is reviewed quarterly and reported to Cabinet, using up to date financial data and forecasts.	2	4	8
4. LOCALISM	Failure to achieve effective local area working across the region, with the result that local needs are not identified or addressed.	Clear definition and model for local area working in place which enables each service to build in a local dimension to planning and delivery. Area profiles provide an evidence base for each local area. Ensure partner organizations are fully involved in local area working. Regular review of structures and processes for local area working to ensure they are fit for purpose.	2	4	8
5. PLACES	Waste – failure to achieve proposed waste reduction and recycling targets, leading to non-achievement of statutory Landfill Allowance required by Government Landfill Allowance Reduction Scheme, resulting in need	Plans in place to achieve recycling rates of 50% by 2010 and 54% by 2013/14. Plan to achieve reduction in annual waste growth to 0% by 2010. Seek to treat all residual waste to minimise landfill. Mechanical biological treatment facilities to be used to pre-treat residual waste.	2	3	6

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	to purchase landfill permits, or large fines.	Waste Treatment contract expected to be in place from 2011, with new waste treatment facilities to be operational in 2013.			
6. PLACES	Emergency Response - Failure to respond effectively to a major weather/transport event.	Major Emergency Response Plan and Joint Cheshire Emergency Planning team in place. Emergency planning exercises and training conducted. Flood Risk Team established. Business Continuity plans in place for Priority 1 and 2 activities. Strong partnership arrangements in place through Local Resilience Forum (including Police, Fire and Rescue, Ambulance Service, Utilities, voluntary organisations, etc.)	2	3	6
7. PLACES	Failure to deliver the Sustainable Community Strategy, including the LDF Core Strategy Deadlines and Local Transport Plan	Comprehensive Borough Wide programme in place to deliver against current Local Transport Plan, and development of future LTP (to commence in 2011) closely integrated with development of Sustainable Community Strategy and LDF Core Strategy.	2	3	6
8. PLACES	Failure to deliver Strategic Housing strategy, and ensure strategic housing function is fit for purpose.	Affordable Housing - economic downturn has affected conventional sources of supply through market led developments. Options being examined to increase supply by other means. Also working on a joint bid to Homes and Communities Agency for further resources. Revised target also being agreed with GONW. Homeless Service - now working with the three RSL's to bring service in house, with target date for completion of 31st March. Work also underway to carry out stock condition survey and improve our understanding of the private housing sector. The housing team has a robust business plan which has recently been updated and reviewed	2	3	6
9. PLACES	Failure to lead, promote and deliver regeneration activity, including Crewe Master Plan	Development of new Economic Development Strategy underway (Interim Draft by end of March 2010). Engagement with regional bodies (incl. NWDA, GONW, AGMA) in relation to development and implementation of strategic priorities, through Regional Strategy, etc. Close sub-regional inter-agency working through LSP, LAP's and other fora. Development of Business Engagement Strategy to build on existing engagement with businesses, investors and developers. Close member engagement and strong communication with the public.	2	3	6
10. PEOPLE	Ineffective delivery of strategies for safeguarding children and adults, resulting in harm to service users.	Safeguarding Boards set up in both Children's and Adult Services. Tiered approach in place which matches level of expertise to complexity of need. Trained and qualified staff, policies and procedures which define a framework for assessing risk to individuals and appropriate levels of management support available for key decisions.	2	4	8

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11. PEOPLE	Failure to rebalance and redesign Children's Services, resulting in inability to ensure that services are targeted appropriately for better outcomes.	Significant redesign under way of services which deliver directly to children and their families. Project Manager to lead this commenced 11/1/10. Member engagement planned with forthcoming meetings in January and February. Budget proposals recognize growth and resourcing requirements in this area.	2	4	8
12. PEOPLE	Adult Services - Failure of Social Care Redesign programme, leading to non-personalised services and failure to control increasing care costs.	Well-resourced and experienced Management Team and Project Management Team. Regular reports to Members. Close monitoring of each element of programme as it is rolled out. Separation of work into individual projects allowing additional effort to be focused on any problem areas, and short-term contingency options initiated where necessary.	2	3	6
13. PEOPLE	Adult Services – Failure of market for external provision	Work underway with external providers to alert them to opportunities and help them shape and grow the market. Developing a Resource Directory to support individuals in finding and choosing services. Promoting opportunities for community to develop local support groups. Phasing reduction in internal provision to align with external growth. Part of national scheme run by DEMOS (agency to address market stimulation and better understand individual requirements).	2	4	8
14. ASSETS	Failure to maintain value of property assets, resulting in accommodation which is not fit for purpose and which does not facilitate the delivery of services to the local community in accordance with the objectives set out in the Service Plans.	Capital planned maintenance programme in place informed by detailed property surveys. Reaction response maintenance team and funding in place. Asset Challenge process is being rolled out which will lead to rationalisation of property portfolio.	2	2	4