

High 9 risks
 Medium 7 & 8 risks
 Risks to be deleted from next 1/4 profile

New risks

Appendix A								
Risks and Action Plan	Profile	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating
Risk Identified		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11
1	Reputational damage	Chief Executive	NONE	Strategic	Although this is identified as a risk, reputation damage is normally a consequence of other risks that have occurred. There are numerous controls in place in this profile, however if this did occur, the impact and likelihood of it happening has resulted in the High Red 9 rating			High 9
2	Potential Claims growth	Chief Executive	Revise operating procedures to ensure they are more robust to defend claims whilst taking into account financial limitations	Jan-12	Strategic	Insurance renewal process currently being undertaken and the claims received are being reviewed to identify what areas seem to be receiving the most claims, in an attempt to change the way the sections work, thereby reducing if possible the number of claims in these areas.		High 9

Appendix X									
Risks and Action Plan Risk Identified	Profile	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating	
		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11	
3	ICT system failure	ICT services	Build disaster recovery facility at Kidsgrove Town Hall - hardware and resilient link to Civic Offices to be put in place and then replication of critical software.	Dec-11	Operational	The centre is built as far as we can, until there is agreement as to which are the major systems that will require replication. Once that is agreed, we will then determine the replication capacity to ensure we are able to carry on with the systems at a relatively short notice. It also needs to be noted that the DR site was supposed to include the whole of Kidsgrove Town Hall. This is now not the case, so we will only be able to provide ICT systems, not staff, at the Centre.	-	Extreme	High 9
4	Overall budget realisation fails	Resource & Support Services	NONE - this risk is outside of the council's control		Strategic	Numberous controls in place to deal with this internally such as monthly budget reports, MTFs continually reviewed, contingency fund available, realistic increases included in base figures			High 9

Appendix X									
Risks and Action Plan	Profile	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating	
Risk Identified		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11	
5	Breach of Data Protection Action	Resource & Support Services	NONE		Strategic	This risk is currently being controlled - various training sessions have taken place with all staff, guidelines are available, data protection and information security training has taken place, however the overall impact and likelihood ratings have remained high.			High 9
6	Bad debts reduce the council's income	Resource & Support Services	NONE		Strategic	This risk is being controlled through continuous monitoring and a bad debts provision			Medium 8
7	Failure to achieve service cost savings in 2012/13 and 2013/14	Recycling Strategy	Cabinet approval is required to extend the current contract for 3 years to each of the suppliers	Nov-11	Project	Cabinet report submitted to gain approval			Medium 8
8	Medium risk recommendations not being implemented	Audit	Continual monitoring and reminders given to officers, however an escalation process is used in the worst scenarios		Operational				Medium 7
9	Low risk recommendations not being implemented	Audit	Continual monitoring and reminders given to officers, however an escalation process is used in the worst scenarios		Operational				Medium 7
10	Possible receipt of malicious package at the Civic Offices	Customer Services	NONE		Operational	The post opening procedures are kept up to date, however the risk is a high impact, low likelihood			Medium 7

Appendix X									
Risks and Action Plan	Profile	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating	
Risk Identified		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11	
11	Failure to identify a suitable primary authority business partner	PAS Project	Contact with businesses taking place, liaison with SCC to become a partner, undertake separate meetings with businesses to discuss	Dec-11	Project	PAS scheme approved by Cabinet 19/10/11, so further actions will be started			Medium 7
1	Due to the nature of the project at the Midway Car Park, there is a risk of increased maintenance expenditure after 20 years of the current repairs as the life expectancy of the parts not currently being repaired will reduce	Midway Car Park - 25 year plan	There is a need to build a contingency into the financial plans of the council to enable these works to be undertaken. Also a planned inspection regime will be designed to take into account any defects/faults that could be repaired for the short term	Jun-11	Project	Works continuing on the Midway following a 6 month break	Extreme	Extreme	Medium 6
2	A risk has been identified regarding the failure to go ahead with the retail-led development of the Ryecroft	Town Centre Strategic Acquisition	There is a need to complete the refresh of the town centre strategic options appraisal, and to look at the business case regarding the future of the Civic Offices	Nov-11	Operational	Work ongoing	Extreme	Extreme	Medium 3

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Risk Identified			in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11
3	A risk has been identified in respect of critical information being wrongly destroyed, not kept or can't be found	Managing Information Risks	Procedure manuals are to be produced to run alongside the Managing Information policies	Dec-12	Operational	Awaiting for approval of Managing Information policies	Extreme	High	Medium 3
4	Failure to secure a development partner to deliver the retail-led development of the Ryecroft	Town Centre Strategic Acquisition	Business case to be prepared along with active pursual of development partner.	Dec-11	Operational	Target date for obtaining development partner is now Nov/Dec 11 due to involvement of Staffs CC as partners and the tendering process for external advisors to be able to build business case	Extreme	High	Medium 3
5	Failure to realise a market return on the council's capital investment	Town Centre Strategic Acquisition	A programme to be produced to procure a development partner and to commission a specialist to design and procure any necessary works of improvement	Mar-12	Operational	as above	High	High	Medium 5
6	Short term impact on town centre retail businesses	Town Centre Strategic Acquisition	Implementation of town centre street market improvement programme, encourage development of town centre business-led partnership, and actively pursue designation of Newcastle as a business improvement district.	Jun-12	Operational	No change from last report - Target date of street market upgrade amended to integrate with the lead-in time of the Hassall Street closure works and public consultation completed. Informal partnership with Business community established.	High	High	Medium 3

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		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11
7	Midway Car Park - 25 year plan	No further actions have been identified for this risk, as it will incorporate a number of other further actions throughout the risk profile for the project relating to the maintenance/repair of the car park		Project	Phase 1 of the works complete. Phase 2 due to be commenced in March 11.	High	High	Medium 5
8	Refurbishment of St Giles & St Georges School building deteriorating.	Trying to pool resources to enable the best possible scheme, and to establish a lease with the successful organisation to enable benefits to be brought to the community	Sept-11	Project	Prospective tenants undertaking architectural and conditions studies to establish preferred design/uses of the building as well as establishing more precise scheme sales.	High	High	Medium 5
9	Relocation of Market	Review the drainage design plan once development is due to start to ensure that it is still fit for purpose	Jun-12	Project	Outcome of public consultation process to capture any necessary and possible further design revisions.	High	High	Medium 6

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Risk Identified			in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 24/10/2011	as at March 11	as at June 11	as at Sept 11
10	There is a risk that the project would fail to get planning permission to build the Health & Wellbeing Centre	Jubilee2	Planning permission was agreed in relation to the build of Jubilee2, however the further action will be to discharge all the conditions that were put in place with this agreement. Once carried out - which will be throughout the build of the centre - the likelihood of permission changing should reduce to a minimum level	Dec-11	Project	Construction is now underway on the site - conditions are being met where required. Monthly project meetings with the contractor to ensure progress aligned with agreed programme including compliance with planning conditions.	High	High	Low 2
11	Insufficient finance to realise/implement the Carbon Management Programme	Energy Efficiency, Climate Change Strategy and Carbon Management Plan	None identified		Project/Operational		High	High	Medium 6
12	Carbon Trust Programme Board fail to deliver on the Carbon Management Programme	Energy Efficiency, Climate Change Strategy and Carbon Management Plan	None identified		Project/Operational	Risk is still live, however there is new action to identify resources to carry out the delivery of the government targets, which has to be delivered annually	High	High	Medium 5