

		High 9 risks						
		Medium 7 & 8 risks						
		Risks to be deleted from next 1/4 profile						
		Risk reduced from last 1/4 profile						
		New risks						
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 25/01/2013	as at June 12	as at Sept 12	as at Dec 12
1	Reputational damage	Chief Executive	The Council has an ongoing responsibility to ensure that services are delivered to the highest quality and all citizens are treated with courtesy. The Council seeks to keep citizens and others informed of decisions made and the reasons for these decisions and also seeks to make the public aware of any work which has been completed, together with clear plans of upcoming decisions and priorities for investment. The Council has made a conscious effort to be transparent and open at all times.	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. There is of course an opportunity to positively publicise any successes that the council has, whether through prosecutions for benefit cheats, fraudulent insurance claims, savings made on settling insurance claims, the quick response to complaints and insurance claims, whereas in the past, these may not have been voiced.	I = 3 L = 3 High 9	I = 3 L = 3 High 9	I = 3 L = 3 High 9

Appendix X Risks and Action Plan Risk Identified	Profile	Action Required to Address Risk  in order to reduce the risk	Target Date  for action completion	Risk Category  Strategic, Operational, Project	Current position / progress  as at 25/01/2013	Status  as at June 12	Status  as at Sept 12	Current Rating  as at Dec 12
2  Potential Claims growth	Chief Executive	The Council has robust systems in place both to deal with claims when they happen and also to prevent, where possible, the circumstances where claims could arise. In doing so, the Council has in place policies and procedures designed to enhance safety at work and also to advise staff and others when driving or operating machinery. The Council checks, on a regular basis, that it is up to date on best practice in this area and that systems reflect changes in the local, national or international environments		Strategic	Reporting of incidents/accidents is completed on Target100 Health and Safety system and the Council's Business Improvement Officer (Risk and Insurance) collates information monthly to pass to the Council's claims handlers. This then allows for a more robust and faster way to investigate a potential claim by having investigations take place earlier whilst things are clearer in people's minds. However, with the new Jackson Reform being implemented, some areas that are changing may initially increase the number and frequency of claims. The introduction of "fixed costs" may cause claimant solicitors to pursue "clients" before the implementation date of October 2013. Claimant solicitors will have to bear a set rate for their charges, rather than allowing them to delay settlement of the claim, and obtaining a 100% success fee, which they are entitled to at present.	I = 3 L = 3 High 9	I = 3 L = 3 High 9	I = 3 L = 3 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 25/01/2013	as at June 12	as at Sept 12	as at Dec 12
3	Overall budget realisation fails	Resource & Support Services	Whilst elements of this item are outside the Council's direct control, a range of systems are in place designed to ensure that information is received and understood quickly and efficiently and appropriate actions taken (through planning and reviewing the Council's financial position on a regular basis) and that contingencies are in place to counter any issues which occur.	Strategic	Numerous 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	I = 3 L = 3 High 9	I = 3 L = 3 High 9	I = 3 L = 3 High 9
4	Breach of Data Protection Act	Resource & Support Services	A further training of the government protected marking scheme is to be rolled out across the council following the recent mandatory information security briefings to all staff	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.	I = 3 L = 3 High 9	I = 3 L = 3 High 9	I = 3 L = 3 High 9

5	Failure to secure external funding from other bodies	Kidsgrove Sports Centre	<ol style="list-style-type: none"> <li>1. Submit expression of interest application to Sport England</li> <li>2. Submit followup application to Sport England should EIO be successful</li> <li>3. Agree financial arrangements to draw-down money from partners subject to Sport England finances available</li> </ol>	<ol style="list-style-type: none"> <li>1. 01/10/2012</li> <li>2. 30/11/2012</li> <li>3. 31/12/2012</li> </ol>	Project	<p>The bid was unsuccessful with Sport England due to the fact that match funding was not available by the council, with only a 25% contribution amount being available at that time. The current situation is that Sport England are sending an officer to speak with the Council to determine the next steps forward - various other funding options, and different ways to finance the required works. A further report will be submitted to Cabinet on this discussion with a view to obtain a decision on the way</p>	<p>I = 3 L = 3 High 9</p>	<p>I = 3 L = 3 High 9</p>
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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 25/01/2013	as at June 12	as at Sept 12	as at Dec 12
6	Failure of the council to establish robust processes to dispose of surplus land and buildings	Asset Management Strategy	A draft list of surplus land to be approved as part of the decision making process in the Asset Management Strategy	Jan-13	Operational	The draft list has been approved as part of the decision making process, however the Site Allocation Process needs to be approved before any further action can be taken to dispose of the land and buildings. Once this is received, marketing can start for the disposal of such.		I = 3 L = 3 High 9
7	Inability to implement outcomes from the Stock Condition Survey due to lack of finance	Asset Management Strategy	Report outcome of Stock Condition Survey to Capital Programme Review Group	Nov-12	Operational	The outcome report has been received by the Capital Programme Review Group. The urgent items are covered by the 3 year Capital Works Programme and this should allow for the repairs to be undertaken. There is however an annual review of the Works Programme to assess if there is a need to change priorities.		I = 2 L = 3 Medium 8

8	Increase in Fees and Charges does not result in higher income levels	Balances / Contingency Reserve 2012/13	An in-depth review of levels of fees and charges has been carried out, using data from local authorities across the country and this has been tested against local knowledge of usage and demand to produce as realistic a set of fees and charges as possible. In addition, care has been taken to set realistic targets for income as part of the overall annual budget setting exercise.		Project	The control measures in place currently secure this risk as it is, however if any issues arise it is monitored as part of the financial system	I = 2 L = 3 Medium 8	I = 2 L = 3 Medium 8	I = 2 L = 3 Medium 8
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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 25/01/2013	as at June 12	as at Sept 12	as at Dec 12
9 Fall in interest rates reduces income to the Council	Balances / Contingency Reserve 2012/13	As interest rates are set outside the direct control of the Council, care has been taken to reflect the potential for changing levels of interest rates as part of the Council's Treasury Management Strategy. Projections have therefore been included in the Council's budget plans which reflect the ongoing position regarding interest rates and this has been independently analysed. The Council has also included contingencies in its budget plans to reflect possible changes to interest rates, although the ongoing historically low levels of interest rates means that it is likely that any changes will only result in rises rather than falls in the short to medium-terms.		Project	This risk is somewhat out of the control of the council due to the fact that the interest rates are set by the limited number of organisations that the council is authorised to invest with. The council also has to be mindful of the need to safeguard the Capital invested which is the prime consideration in accordance with the Council's Treasury Management Strategy. The amounts to be invested are also limited compared to past historic years and with interest rates being low, the amounts available for investment are much reduced.	I = 2 L = 3 Medium 8	I = 2 L = 3 Medium 8	I = 2 L = 3 Medium 8

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 25/01/2013	as at June 12	as at Sept 12	as at Dec 12	
10	Abuse of email facility	Fraud Awareness	The updated online fraud and corruption data package now contains an elearning training module on misuse of time and resources on email and internet facilities. Roll out then needs to be done to all staff	Mar-13	Operational	The control measures in place currently secure this risk as it is. The rating is low impact, high likelihood but the mailmeter reports sent to Heads of Service allow the corrective measures when required, to be implemented in line with the disciplinary procedures of the council.	I = 1 L = 3 Medium 7	I = 1 L = 3 Medium 7	I = 1 L = 3 Medium 7
11	Possible receipt of malicious package at the Civic Offices	Customer Services	A series of procedures have been suggested should this arise as part of a recent risk review and these are being implemented - see comment under 'Current Position/Progress'.		Operational	Following a risk review with the Head of Service for the area during January 2013, it was agreed that in line with the procedures and processes, and actual receipt of "malicious" packages through the post, that the risk is adequately controlled and the final rating has been reduced to a Low 4, and risk will not appear on the next quarter's report	I = 1 L = 3 Medium 7	I = 1 L = 3 Medium 7	I = 1 L = 3 Medium 7



Appendix X Risks and Action Plan Risk Identified	Profile	Action Required to Address Risk  in order to reduce the risk	Target Date  for action completion	Risk Category  Strategic, Operational, Project	Current position / progress  as at 25/01/2013	Status  as at June 12	Status  as at Sept 12	Current Rating  as at Dec 12
12  Failure of Keele Golf Course to continue trading under current contractor	Regeneration & Development	Further review of contingency plans at six-monthly intervals whilst the business remains in rent arrears.	Mar-13	Strategic	It is considered prudent to check the robustness of contingency plans at half yearly intervals. Responsible areas for action: Property in relation to the tenancy agreement/lease and the finding of an alternative tenant Revs & Bens in relation to debt recovery Leisure in relation to a potential leisure sector operator Operations in relation to interim grounds maintenance work pending a re-let	I = 2 L = 3 Medium 8	I = 2 L = 3 Medium 8	I = 2 L = 2 Medium 5