


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

Appendix A 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 26/03/2013	as at Sept 12	as at Dec 12	as at March 13
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

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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

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3	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	Resource & Support Services	A module is being designed to sit on the Staffordshire e-learning portal, to enable the review/refresher training of all staff and members to be undertaken and monitored, with HR being the first to use, then roll-out through the rest of the council throughout the year.	Mar-14	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

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5	Failure to secure external funding from other bodies	Kidsgrove Sports Centre	1. Options appraisal to be challenged by an external body	Jun-13	Project	An external body has been commissioned to challenge the options appraisal, which will enable Sport England to make a decision on whether to support a bid, but only at a small percentage to a maximum of 10% overall build/refurbishment costs		I = 3 L = 3 High 9	I = 3 L = 3 High 9
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	I = 3 L = 3 High 9

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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	I = 2 L = 3 Medium 8	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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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

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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	Current provider of remote access is unable to deal with council requirements	ICT Services	Complete a full procurement exercise to obtain a replacement service	Sep-13	Operational	Currently the council is working with the provider to delivery the required remote/homeworking solution, however the requirements of the council are such that development is needed. If the encumbant provider cannot develop our requirements, this will lead to a reduction in flexibility and staff morale, lack of compliance with Council homeworking policy and ultimately will impact on business continuity in a disaster recovery situation.			I = 2 L = 3 Medium 8

12	Restrictions in staying with current telephony provider	Telephony consolidation contract	Look to develop current contract with provider to enable "movement" in the council's requirements	Jun-13	Project	<p>There is resilience in place for the telephony and internet requirements however for future development the need for another type of "feed" into the Civic Offices and Kidsgrove is required. This will ultimately enable the council, should it so desire, to move premises whilst still ensuring access to staff and public to their normal services. A report has been sent to Cabinet to establish if a waiver can be made from Standing Orders to enable officers not to undertake a full procurement exercise for the telephony service</p>			<p>I = 1 L = 3 Medium 7</p>
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