

|                       |                     | 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 X            |                     |   |   |                                 |                             |  |                          |                          |                          |
| Risks and Action Plan |                     |   |   |                                 |                             |  |                          |                          |                          |
| Risk Identified       | Risk Owner          | 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 30/10/2013            | as at March 13   | as at June 13            | as at Sept 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<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 |

| Appendix X<br>Risks and Action Plan<br>Risk Identified | Risk Owner      | Action Required to Address Risk<br><br>in order to reduce the risk   | Target Date<br><br>for action completion | Risk Category<br><br>Strategic, Operational, Project | Current position / progress<br><br>as at 30/10/2013   | Status<br><br>as at March 13 | Status<br><br>as at June 13 | Current Rating<br><br>as at Sept 13 |
|--|-----------------|--|--|--|---|------------------------------|-----------------------------|-------------------------------------|
| 2<br><br>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<br>L = 3<br>High 9     | I = 3<br>L = 3<br>High 9    | I = 3<br>L = 3<br>High 9            |

| Appendix X                               |                             |   |                       |                                 |   |                          |                          |                          |
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|  |                             | in order to reduce the risk   | for action completion | Strategic, Operational, Project | as at 30/10/2013  | as at March 13           | as at June 13            | as at Sept 13            |
| 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<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 |
| 4  | Resource & Support Services | A module has been designed to sit on the Staffordshire e-learning portal which enables the review/refresher training of all staff and members to be undertaken and monitored. In addition, the Safe Voice system has been introduced to keep staff aware of any developments and ensure safe use of data and other information. Finally, further compulsory awareness sessions will be held in November for staff to raise awareness of data protection issues. | Nov-13                | 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<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 | I = 3<br>L = 3<br>High 9 |

| Appendix X                               |                            |  |                       |                                 |  |                            |                            |                            |
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|  |                            | in order to reduce the risk  | for action completion | Strategic, Operational, Project | as at 30/10/2013   | as at March 13             | as at June 13              | as at Sept 13              |
| 5  | Operational Services       | Updated report to be sent to Cabinet on the re-costings of the works, along with 5 option papers and associated risks                                | Dec-13                | Project                         | An external body has challenged the original options appraisal and also undertaken site options appraisals for alternative venues, should the decision be made to withdraw from the current site   | I = 3<br>L = 3<br>High 9   | I = 3<br>L = 3<br>High 9   | I = 3<br>L = 3<br>High 9   |
| 6  | Regeneration & Development | Annual review of the Asset Management Strategy to take place, however the Facilities Manager reviews the Capital Works Programme on an ongoing basis | Jan-14                | 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<br>L = 3<br>Medium 8 | I = 2<br>L = 3<br>Medium 8 | I = 2<br>L = 3<br>Medium 8 |

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| 7<br>Increase in Fees and Charges does not result in higher income levels (Balances/Contingency Reserve) | Resources & Support Services | 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<br>L = 3<br>Medium 8 | I = 2<br>L = 3<br>Medium 8 | I = 2<br>L = 3<br>Medium 8 |