

# Key Business Risk Register – 2007 to 2011 Corporate Plan

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Rows are sorted by Code.

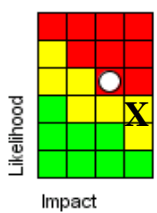
Risk Code & Title	R/KBR001 Maintaining a sustainable budget whilst facing severe financial pressures	Current Risk Matrix	
Description of Risk	Failure to maintain a sustainable budget whilst facing severe financial pressures causing a significant adverse impact on services		<b>Inherent Risk</b>  <b>Impact</b> Critical  <b>Likelihood</b> High
Risk Owner	Mary Orton; Paul Wenham		
Last Reviewed	24/02/2009		
Internal Controls	Year 1 and 2 - reduction in use of balances from £600,000 to £70,000 through good management of costs Value for money on efficiency achieved in many areas and recognised by District Auditor Star Chambers introduced by Portfolio Holder for Finance - successfully identified major savings in 2008/09 and 2009/10 budgets		
Action Plan	Finance SubGroup led by Finance Portfolio Holder to ensure Corporate Objectives are met and value for money Review of financial strategy (medium term) to ensure dependency on balances is reduced. On-going review as part of Budget Process Heads of Service take Strategic look at budgets		

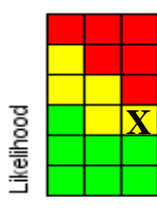
Risk Code & Title	R/KBR002 Negative Housing Subsidy & impact on HRA	Current Risk Matrix	
Description of Risk	The Housing Revenue Account has insufficient income to meet minimum Decent Homes Standards because payment of 50% of rental income back to Centre for redistribution		<b>Inherent Risk</b>  <b>Impact</b> Devastating  <b>Likelihood</b> Very High
Risk Owner	Paul Wenham		
Last Reviewed	24/02/2009		
Internal Controls	Lobby to influence Government Review Reconsider Stock Option position at tenants' request Bring in range of cost saving measures - Corporate Recharges, Cash Collection, Staffing Reductions Increase Rents above inflation Major PR and information exercise with national publicity achieved Make submission to the review process		
Action Plan	Meeting with other Local Authorities too consider submitting evidence to force changes to system from 2010 Officers and Members continue to meet with Government officials		

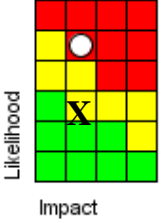
Risk Code & Title	<b>R/KBR003 Workforce planning &amp; people resource</b>	Current Risk Matrix	
Description of Risk	Risk of key person dependency, skills & competency mis-match and aging workforce		<b>Inherent Risk</b>
Risk Owner	Peter Maudsley; Mary Orton; Steve Thwaites; Paul Wenham		<b>Impact</b> Critical
Last Reviewed	24/02/2009		<b>Likelihood</b> Significant
Internal Controls	Retained Investors in People accreditation Council approved Workforce plan High rate of appraisal completion and review Positive results from staff survey in 2007		
Action Plan	Continue to develop Workforce plan with Heads of Service and Corporate Management Team		

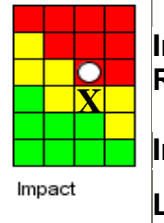
Risk Code & Title	<b>R/KBR004 East Street Development</b>	Current Risk Matrix	
Description of Risk	Failure to deliver project		<b>Inherent Risk</b>
Risk Owner	Mary Orton; Paul Wenham		<b>Impact</b> Critical
Last Reviewed	24/02/2009		<b>Likelihood</b> High
Internal Controls	Financial models have been presented to Council at every key stage in the landowner sanction process which have included a detailed risk analysis. All models have been tested with external property experts. Regular Officer Group meetings considering wider issues e.g. car parking, Gostrey Centre Council has agreed to CPO		
Action Plan	Regular liaison to continue between advisors and Crest Nicholson until such time as Contract becomes unconditional and viability met. Scheme delivered in 2.5 years from that date. Complete variation and CPO indemnity and proceed with site acquisitions		

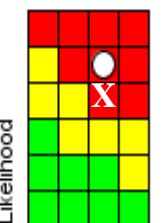
Risk Code & Title	<b>R/KBR005 Business Continuity Management &amp; Emergency Planning</b>	Current Risk Matrix	
Description of Risk	Council fails to respond effectively to an emergency and the community is adversely effected		<b>Inherent Risk</b>
Risk Owner	Peter Maudsley		<b>Impact</b> Critical
Last Reviewed	24/02/2009		<b>Likelihood</b> Significant
Internal Controls	Current plan in place reviewed in March 2008		
Action Plan	Must ensure up-to-date test of all aspects including IT recovery		

<b>Risk Code &amp; Title</b>	<b>R/KBR006 Disadvantaged Communities, the elderly &amp; deprivation</b>	<b>Current Risk Matrix</b>		
<b>Description of Risk</b>	The Council fails to support disadvantaged communities		<b>Inherent Risk</b>	
<b>Risk Owner</b>	Peter Maudsley		<b>Impact</b>	Critical
<b>Last Reviewed</b>	24/02/2009		<b>Likelihood</b>	Significant
<b>Internal Controls</b>	Continuation of employment of a Community Development Worker Community consultation at Ockford Ridge, Godalming Social inclusion strategy Housing Strategy and Housing Revenue Account Business Plan Agreed Review of Careline Service Participation in Guildford and Waverley Children and Young People Partnership			
<b>Action Plan</b>	Ensure funding opportunities are maximised Ensure issues associated with vulnerable people receive corporate awareness and interdepartmental implementation Training needs of staff to be considered. Assessment and implementation of actions arising out of consultations			

<b>Risk Code &amp; Title</b>	<b>R/KBR008 Leisure Centres - Management Contract and Capital refurbishment</b>	<b>Current Risk Matrix</b>		
<b>Description of Risk</b>	Failure to deliver the capital investments schemes on time and on budget		<b>Inherent Risk</b>	
<b>Risk Owner</b>	Peter Maudsley; Paul Wenham		<b>Impact</b>	Devastating
<b>Last Reviewed</b>	24/02/2009		<b>Likelihood</b>	High
<b>Internal Controls</b>	Officer working group meeting weekly is now joined by one of the project sponsors to ensure high level continuity of management action. The working group is responsible for overseeing the letting of this contract enabling all relevant parties to be involved and will minimise risk. Leading advisors employed.			
<b>Action Plan</b>	Strategic Director of Recreation and Regulation to lead meetings to ensure Project completed on time, in budget and to specification. Comprehensive project plan/risk assessment to be put in place and monitored regularly. Regular briefings with key Members			

Risk Code & Title	<b>R/KBR009 Managing Change</b>	Current Risk Matrix		
Description of Risk	Council fails to embrace change and embed new culture and values to deliver improvements in services		<b>Inherent Risk</b>	
Risk Owner	Mary Orton; Paul Wenham		<b>Impact</b>	Marginal
Last Reviewed	24/02/2009		<b>Likelihood</b>	High
Internal Controls	Good track record supported by positive Audit Commission reports			
Action Plan	Coaching for Strategic Directors Refresh approach to corporate skills training			

Risk Code & Title	<b>R/KBR010 Partnership working</b>	Current Risk Matrix		
Description of Risk	Waverley fails to deliver value for money from Partnerships and doesn't satisfy Member expectations on Shared Services		<b>Inherent Risk</b>	
Risk Owner	Steve Thwaites; Paul Wenham		<b>Impact</b>	Critical
Last Reviewed	24/02/2009		<b>Likelihood</b>	Significant
Internal Controls	Surrey district authorities have joint policy officer group sharing ideas and approaches on CAA and LAA Member-led finance review group focusing on grants Robust Corporate Plan with performance mapped on to targets and priorities			
Action Plan	Ensure effective LSP that is working towards achieving LAA outcomes and delivering Surrey Community Strategy to achieve a positive CAA outcome. Joint procurement of Place Survey with partners engaged Ensure LAA is understood by partners Ensure LAA funding position is monitored and opportunities to draw new LAA grant into the Council are maximised, Seek market comparisons in some areas of transaction processing services			

Risk Code & Title	<b>R/KBR012 Increasing Housing Numbers</b>	Current Risk Matrix		
Description of Risk	Unpopularity of new developments prevent delivery of a sustainable development strategy		<b>Inherent Risk</b>	
Risk Owner	Mary Orton; Steve Thwaites		<b>Impact</b>	Critical
Last Reviewed	24/02/2009		<b>Likelihood</b>	High
Internal Controls	Reviewing of Core strategy Critical friend assess procedures and issues for Core Strategy Planning Policy Special Interest Group for controlling and co-ordinating the development of the Core Strategy Active members of the London Fringe Sub-Region Group. Section 106 Planning tariff for infrastructure			

	Surrey Improvement Partnership - bid for joint infrastructure project Expertise, systems and track record of delivering affordable housing
<b>Action Plan</b>	Active steps needed to change culture and consider skill sets of planners to include public relations and other technical competences Ensure that partnerships are well-placed to deliver positive change Large-scale debate and involvement in the community so as to maintain the perceived quality of life which achieving significant new growth. Objective is to deliver serviced communities rather than housing estates and influencing the optimum housing number rather than receiving the maximum. To achieve compliance with the national Indicator and the Local Area Assessment (eg. NI 154)

<b>Risk Code &amp; Title</b>	<b>R/KBR013 Managing existing Key Council Contracts</b>	<b>Current Risk Matrix</b>	
<b>Description of Risk</b>	Contract fails to delivery expected standards of service		<b>Inherent Risk Impact</b> Critical
<b>Risk Owner</b>	Steve Thwaites; Paul Wenham		<b>Likelihood</b> Significant
<b>Last Reviewed</b>	24/02/2009		
<b>Internal Controls</b>	Regular client/contractor performance meetings Rigorous selection process including quality systems Maintaining intelligent client-customer complaints etc. Performance monitoring included in contract Annual financial checks on contractors bonds Regular check on company and markets WBC Business Continuity Strengthened client side - taken positive action eg. grounds maintenance and leisure.		
<b>Action Plan</b>	Merits of testing business continuity with alternative suppliers to be considered. Consider joining with other local contracts to increase resilience and robust response whilst maintaining good public perception and satisfaction Restructure client structure in response to staff changes and developing service requirements. Housing Improvement Board to continue to monitor the EPS contract performance Reconsider and supplement the leisure client function in light of staff changes		

<b>Risk Code &amp; Title</b>	<b>R/KBR014 Procurement Management</b>	<b>Current Risk Matrix</b>	
<b>Description of Risk</b>	Failure to achieve value for money when procuring contracts		<b>Inherent Risk Impact</b> Critical
<b>Risk Owner</b>	Paul Wenham		<b>Likelihood</b> Significant
<b>Last Reviewed</b>	24/02/2009		
<b>Internal Controls</b>	Procurement champion with Member and officer leads Participation in South East Centre of Excellence Joint contracts register and analysis of WBC spend Procurement manual		

	Contract procedural rules
<b>Action Plan</b>	Key appointment for Head of Leisure will bring expertise in commercial aspects of project management and procurement which can be shared with others. Head of Leisure to be included on Procurement group. Portfolio Holder for Finance to be included in monitoring of capital expenditure. Expertise in other areas eg. Housing maintenance, to be captured and used towards the achievement of the Corporate Plan and Value for Money targets

<b>Risk Code &amp; Title</b>	<b>R/KBR017 Failure to have an effective information management strategy</b>	<b>Current Risk Matrix</b>	
<b>Description of Risk</b>	An effective Information management Strategy is an essential ingredient in a successful organisation and is critical for meeting Waverley's corporate plan objective in the next three years.		<b>Inherent Risk</b>  <b>Impact</b> Critical  <b>Likelihood</b> Significant
<b>Risk Owner</b>	Steve Thwaites		
<b>Last Reviewed</b>	24/02/2009		
<b>Internal Controls</b>	Strong Member support for Information Management strategy - now Special Interest Group underway New focus on Information Management following restructure Improved website arrangements in place New "two-tier" IT management groups established EDRMS records management system acquired		
<b>Action Plan</b>	Strategy group to produce medium/long term information management strategy to address: - future information needs and demands - age and effectiveness of current systems and equipment - future skills required for staff - review of management structure to consider information management and IT Clear vision for IT development necessary to drive procurement decisions		

<b>Risk Code &amp; Title</b>	<b>R/KBR018 Impact of economic downturn</b>	<b>Current Risk Matrix</b>	
<b>Description of Risk</b>	Failure to ensure the Community has sufficient resilience to withstand the impact of the economic downturn.		<b>Inherent Risk</b>  <b>Impact</b> Critical  <b>Likelihood</b> Significant
<b>Risk Owner</b>	Mary Orton		
<b>Last Reviewed</b>	24/02/2009		
<b>Internal Controls</b>	Sound, timely reporting of budget position in the current year and in modelling for future years. "don't lose your home or business" initiative implemented Greater links with other organisations such as the CAB Grants officer offering support to community organisations Payment of local supplier invoices with 10 days implemented		
<b>Action Plan</b>	On-going monitoring of success of initiatives such as "don't lose your home or business" Continue regular reporting of income in key areas		

