

STRATEGIC RISK REGISTER 2004/7

EXECUTIVE MEMBER: Cllr Williams

LEAD OFFICER: Hilary Mitchell

REPORT AUTHOR: Hilary Mitchell

Summary: This report seeks agreement of the Executive to a revision of the Council's Strategic Risk Register.

Recommendations:	That the Executive approves the attached Strategic Register for 2004/7
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Impact on delivering corporate objectives

The Strategic Risk Register identifies risks arising from the Corporate Plan and recommends controls for those risks to safeguard delivery as far as possible.

Impact on other statutory objectives (eg Crime and Disorder and LA21)

Risks to the delivery of statutory objectives are included within the Register. Compliance with the Code of Corporate Governance requires sound arrangements for risk management.

Financial and human resource implications

Resource implications are accounted for within the projects and other controls which are referred to within the Register,

Project and Risk Management

This report specifically deals with improving risk and project management

**Key Decision Status
Financial
Ward**

This is not a key decision

Other ward implications?

No

1. BACKGROUND

1. The Council has identified and monitored a Strategic Risk Register since 2003. The register contains a brief description of the most significant risks that could happen in worst case scenarios, and the means to control and limit their impact. Creating this sort of document is regarded as good practice by organisations in both public and private sectors, and is one of the internal controls that the External Auditor would expect to see in place

in a well-run authority. The Council's Statement of Internal Control included the requirement to create a risk register and monitor it quarterly.

2. The risks identified in this Register arise mainly from the Council's Corporate Plan. The possible implications of not delivering on corporate objectives are listed together with controls to prevent the risk from happening, as far as possible. Some of the controls are through projects that are underway and being monitored by Executive and Improvement Board, and others are through specific actions that have been taken or are planned.
3. The officer and Member leads are listed for each of the risks and consideration of progress on controlling the risks should form part of the regular progress discussions that take place between Portfolio-holders and the officers concerned. The dates listed for identification of the risks show in some cases that the risk has been known about for some time. In these cases an ongoing project is the control mechanism, and the risk will reduce when the project is complete.
4. Executive will be asked periodically to agree updates to this Register. The updates will be in the form of amendments to this table showing actions taken and progress.

List of Appendices

Strategic Risk Register – June 2005

List of Background Documents: Project Initiation Documents and progress reports; various reports and working papers relating to each risk;

List of Consultees: Corporate Team, Portfolio Holder

A Our ‘Creating and Sustaining a Healthy Local Economy’ objectives are not delivered						
Risk	Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date at which risk identified	Review Date
1 Job levels in nuclear industry decline before alternatives are available	H	H	Corporate Plan objective 2005/6 –influencing NDA investment programme to maintain high levels of jobs for as long as possible	F McMorrow Leader	June 2005	April 2006
2 Unable to achieve expected levels of employment outside nuclear industry by 2012	M	H	W Cumbria Strategic Forum Vision and action plan	F McMorrow Leader	June 2005	April 2006, and annually
3 New Copeland Action Plan not effectively delivered.	L	H	Consultants to project manage preparation. Brief to be prepared. Project 03 01 Major Economic Regeneration Projects.	F McMorrow Cllr Ashbrook	September 2003	March 2006
4 West Cumbria Strategic Forum not delivering action plan	H	H	Continue to lobby Government and partners; organise resource to maximise Copeland BC's efforts	F McMorrow Leader	June 2005	June 2006
5 Uncertain future of URC will prevent effective delivery of Council and partners objectives	H	H	Lobbying; working with partners; ensuring effective alternatives if necessary	F McMorrow Leader	June 2005	September 2005
6 Cleator Moor Co-Op does not deliver anticipated out-puts	M	M	Corporate Plan objective 2005/6	F McMorrow Cllr Ashbrook	June 2005	April 2006
7 Best Value review of Economic Development not effective.	M	M	Project 03 02 Best Value Review of Economic Development	F McMorrow Cllr Ashbrook	June 2003	July 2005
8 Beacon project fails.	M	H	Project 03 09 Beacon Project Development. Independent Project Manager to be appointed at implementation phase..	F McMorrow Cllr Ashbrook	September 2003	March 2006
9 Local Plan not delivered in time to meet timescales for Local Development Framework.	M	M	Project 03 08 Develop Comprehensive Suite of Robust Strategies and Plans	J Hughes Cllr Wormstrup	June 2003	June 2006

B Our 'Managing the Impact of the Nuclear Industry' "priority objectives are not delivered.						
Risk	Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date at which risk identified	Review Date
1 We fail to achieve recognition for local communities' veto or compensatory benefits	M	H	Lobby to achieve veto and issue of compensatory benefits agreed. Continue to lobby. Instigate research study on mechanisms for compensatory benefits.	F McMorrow Leader	June 2005	April 2006
2 Council fails to give sufficient weight to sustainable development.	M	M	Project 03 08 Develop Comprehensive Suite of Robust Strategies and Plans. Corporate Policy to be developed' Head of NI & S to work with Council services	David Davies Cllr Holliday	June 2003	March 2006
3 Council view not influential in decision making processes about nuclear industry developments	M	M	Prepare agreed Council policy statement on nuclear issues	David Davies Leader	June 2005	March 2006

C Our 'Quality of Life and Social Inclusion' priority objectives are not delivered						
Risk	Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date at which risk identified	Review Date
1 First steps in achieving Decent homes standard is not achieved.	L	H	Project Plan for Housing Stock Transfer and contingency converted to Project Initiation Document format. Project 03 08 Develop Comprehensive Suite of Robust Strategies and Plans	Mike Tichford, Cllr Clements	June 2003	September 2005
2 Housing Renewal Area not declared.	L	L	Project 03 08 Develop Comprehensive Suite of Robust Strategies and Plans	Mike Tichford, Cllr Clements	June 2003	December 2005
3 Leisure & Culture Best Value Action Plan not implemented.	L	M	Project 03 11 BV Leisure and Culture Implementation	Keith Parker Cllr Holiday, Cllr Ashbrook	June 2003	September 2006
4 Council not involved in partnerships to protect and develop our health services.	H	H	Project 03 08 Develop Comprehensive Suite of Robust Strategies and Plans	Keith Parker Cllr Blackwell	July 2003	July 2006
5 Benefits service change programme not delivered	M	H	Project 03 12 Benefits and Revenue Change Programme	Jane Salt, Leader	June 2003	August 2005

D Our 'Quality Council Delivering Quality Services' priority objectives are not delivered.						
Risk	Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date at which risk identified	Review Date
1 Community engagement is ineffective leading to misdirected priorities.	M	H	BV Review of Community Engagement scheduled for 2005/6	H Mitchell Cllr Williams	July 2003	July 2006
2 We fail to develop effective focus on key priorities	M	H	Project 03 03 Risk Management and Project Management; corporate restructure to free up resources to concentrate on key priorities	J Stanforth / Leader	June 2003	December 2005
3 Political/managerial leadership not effective.	L	H	Corporate Plan objective 2005/6.	Corporate Team/Leader /Deputy	April 2005	April 2006
4 Key Council priorities not effectively funded or delivered: i. Internal resource allocation is inappropriate ii. External resources are not maximised iii. We do not manage our project plan or resources effectively iv. We set out to do more than we are able to.	L	M	Project 03 03 Risk Management and Project Management	J Stanforth Cllr Williams	April 2003	June 2006
	M	H				
	M	M				
	H	M		J Stanforth		
5 Community leadership, lobbying and influencing does not achieve the results we need.	M	H	Specialist officer to be appointed and Communications Strategy implemented	H Mitchell, Cllr Williams	July 2003	March 2006

D Our ‘Quality Council Delivering Quality Services’ priority objectives are not delivered.							
Risk		Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date at which risk identified	Review Date
6	Resistance to organisational change hinders progress in some parts of the Council	H	M	Project 03 05 Capacity Building Further mechanisms to be identified	John Stanforth, Leader,	June 2003	December 2005
7	We do not have a strong health and safety culture	M	M	Consistent suite of plans and strategies: Health and Safety Strategy to be agreed; appoint specialist officer	L Gleed, Cllr Williams	June 2003	March 2006
8	Risk Management Framework not implemented effectively	H	H	Project 03 03 Risk Management and Project Management	H Mitchell, Cllr Williams	May 2003	December 2005
9	Failure to deliver IEG	M	M	Project 03 14 Implementing Electronic Government. Regular meetings of IEG Board; IEG 4.5 to be submitted demonstrating progress; BVPI157 shows meeting targets	H Mitchell Corporate Team	June 2003	October 2005
	i. technical capacity is not in place						
	ii. Insufficient commitment from those involved			M	M		
	iii. Customers do not like the IEG solutions	M	M				
10	Key audit recommendations are not included in Council’s risk register and are not implemented.	M	M	Quarterly follow ups of all outstanding Priority 1 and 2 recommendations for reporting to Corporate Team and Audit Sub-Group	H Mitchell Cllr Williams	June 2005	Quarterly

D Our 'Quality Council Delivering Quality Services' priority objectives are not delivered.							
Risk		Risk HML	Impact HML	Control Mechanisms and Latest Actions	By Whom (Officer and Member)	Date when risk identified	Review Date
11	New Code of Corporate Governance not complied with	M	M	Quarterly reviews of progress with action plan to comply with new Code of Corporate Governance	Sue Borwick Leader	April 2005	Quarterly
12	Failure to have an effective West Cumbria Partnership (LSP). i. Not effective in influencing key decisions. ii. Lack of resources impedes effectiveness iii. Insufficient commitment from key partners. iv. Does not have clear ambition or agreed objectives v. Not delivering on priorities identified	H H H M H	M M M M M	Improvement plan in place following NRU report; actions including review of structures, support, Community Strategy and links to LAA and LPSA to improve focus and effectiveness of delivery	H Mitchell, Leader T Chilcott Leader H Mitchell Leader	July 2003	June 2005, March 2006 June 2005, March 2006
13	Next CPA judgements are significantly worse than previously, leading to intervention	M	H	Improvement Board and Corporate Team monitoring progress on action plan and contributing to preparations for aspects of new CPA framework.	Chief Executive Leader	April 2005	quarterly

14	Business Continuity Plan is not in place	H	M	Project 03 08 Develop comprehensive suite of plans and strategies	Sue Borwick	June 2003	December 2005
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