

**Strategic Risk Register
2006 / 2007**

Strategic Risks	Gov & Audit
Date	June-06

No	Risk	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Owner
				Likely-hood	Impact	Score		Likely-hood	Impact	Score	
1 External Influences											
1.1	Economic Increased unemployment & Benefit Claims	Downturn in Economy/ Recession Increased demand on Council Services	Increased unemployment Increased Nos on benefit Reduced income to the Council Financial	3	3	9	Economic Development Strategy Community Strategy Social Inclusion	3	3	9	Head of Policy & Performance + Cllr Anthony Stansfeld
1.2	Inability to Recruit High Inflation Increased commuting	Overheating Economy	House price inflation Skills shortages Wage inflation Inward Commuting	1	3	3	Community Strategy Local Development Forum Housing Strategy Various regional strategies Local transport plan Lobbying regionally / nationally	1	3	3	Head of Policy & Performance + Cllr Anthony Stansfeld
1.3	Social Civil Unrest	Unfavorable perceptions of Crime & Disorder issues	Civil unrest Perceptions / High fear of crime	1	3	3	Effective Community Safety Strategy Effective interagency working Appropriate funding	1	2	2	Chief Executive + Police Super + Cllr Emma Webster
1.4	Terrorist Action	Action taken by international / local groups	Significant disruption Fatalities / Injuries Reputation > <i>No Insurance against Terrorist Action</i>	2	3	6	Emergency Plan / Plan tested Interagency working	2	2	4	HOS Public Protection + Cllr Geoff Findlay
1.5	Environmental Major environmental incident	Major disaster Contamination Severe weather Outbreaks of disease Flooding	Significant disruption Fatalities / Injuries Reputation	3	4	12	Major Incident Plan	3	3	9	HOS Public Protection + Cllr Geoff Findlay
1.6	Flu Pandemic	Spread flu Lack of NHS Vaccines	Significant disruption Fatalities / Injuries Reputation	3	4	12	Immunisation BCP Working Parties	3	4	12	Corp Director CC&H + Cllr Geoff Findlay

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1.7	Political Intervention by Central Government or Other Regulatory Body	Statutory obligations not met Change of CPA Methodology	Legal challenge Government Intervention Compensation Poor CPA Scores Poor Audit Commission Reports	3	3	9	Community Plan Corporate Plan Effective Performance Management MTFS District Profile Consultation Strategy	2	2	4	Chief Executive + Cllr Graham Jones
1.8	Failure to achieve good CPA Rating / JAR 07	Statutory obligations not met Change of CPA Methodology	Legal challenge Government Intervention Compensation Poor CPA Scores Poor Audit Commission Reports	3	3	9	Statement of Internal Control Reports from Ext regulatory bodies Stronger Gov Project Plan	2	2	4	Chief Executive + Cllr Graham Jones
1.9	Administrative Area changed / WBC absorbed into another authority	Problems arising from Local Government reorganisation	Possibility of merger with another authority	1	3	3	None, But Lobbying where appropriate	1	3	3	Chief Executive + Cllr Graham Jones
2 Corporate Management											
2.1	Strategy Non Delivery of Corporate Plan	Failure to see demographic and other external changes Failure to understand organisational context Poor / weak leadership	Ineffective forward planning Inappropriate service delivery Intervention Budget difficulties Poor CPA Scores Poor Audit Commission Reports	3	4	12	Community Plan Corporate Plan Effective Performance Management MTFS District Profile Consultation Strategy	1	3	3	Chief Executive + Cllr Graham Jones
2.2	Inappropriate change management	Inappropriate pace of change Expectations not realised	Failure to realise opportunities CPA Intervention Inefficiency Poor reputation Capacity issues	3	3	9	Effective Programme management Clear Vision Effective risk management	1	2	2	Chief Executive + Cllr Graham Jones
2.3	Finance Failure to adhere to financial rules of procedure	Failure to undertake appropriate Financial Planning Failure to account for unaccepted items	Qualification on the accounts Failure to set standards Reputation CPA Unacceptable under / Overspends Section 151 officer / DA Reports	2	4	8	MTFS including allowance for contingencies Budget monitoring Financial rules of procedure Stronger Governance Project Action Plan	1	3	3	Section 151 + Cllr Laszlo Zverko
2.4a	Difficulty in attracting funding	Difficult financial environment Poor management	Unable to meet objectives Limited Service Delivery Lack of Resources	4	3	12	MTFS External Funding Gov Lobbying Service Planning	3	2	6	Section 151 + Cllr Laszlo Zverko

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2.4b	Loss of RSG	Changes in Government methodology	Lack of resources impacting on service delivery	3	3	9	Lobbying	3	2	6	Section 151 + Cllr Laszlo Zverko
2.4c	Loss of Specific grants	Changes in Gov priorities	Lack of resources impacting on service delivery	3	2	6	Budget Provision within Risk Fund	3	1	3	Section 151 + Cllr Laszlo Zverko
2.4d	Insufficient budget to fund Concessionary Fares Free Bus Passes issued in 2007	New Govt Policy	Lack of resources impacting on service delivery	3	3	9	Budget Provision within Risk Fund	3	1	3	CD E&PP + Cllr Keith Chopping
2.4e	Income targets not met	Supply / Demand Over estimate target	Lack of resources impacting on service delivery	2	2	4	Knowledge of the market Robust budget preparation	1	3	3	Section 151 + Cllr Laszlo Zverko
2.5	Gershon targets Missed	Poor management Inability to find efficiencies	Potential for Government penalty Adverse Management Letter	3	3	9	Gershon Group Management Action	2	2	4	Section 151 + Cllr Laszlo Zverko
2.6	HR Inability to recruit & retain to key posts	Local labour market Council/s reputation	Increased costs Lack of service continuity Inefficiency Service delivery problems	3	3	9	HR Policies / Management Service Continuity Performance Management Effective HR Adequate Job descriptions Service Continuity Plans Budget provision 2006/07	2	2	4	Head of HR + Cllr Anthony Stansfeld
2.7	Injury to staff working alone Security of staff	Lack of appropriate risk assessments / supervision	Fatality / Injury Financial / Insurance claims Theft / Damage Reputation	3	3	9	Lone working policy Risk Assessment Protection of Buildings JCC (Risk)	2	2	4	Head of HR + Cllr Anthony Stansfeld

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2.8	Failure to Manage PR	Poor Service or outcomes resulting in bad reports in the press / media etc	Poor Reputation CPA Low satisfaction	2	3	6	Effective Public / Media relations Communication Resourcing Effective Performance management framework to ensure that we get it right first time	2	2	4	Head of Info Comm + Cllr Anthony Stansfeld

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3 Corporate Governance											
3.1	Inappropriate conduct by Staff / Members	Lack of Code of Conduct CRB Check failures	Reputation Legal Action Fatality / Injury	3	3	9	Code of conduct Sound Recruitment & Retention CRB Checks	1	3	3	Chief Executive + Cllr Graham Jones
3.2	Poor / Inappropriate Decisions	Lack of full information for decision making	Legal Challenge Compensation Reputation	3	3	9	Effective Governance arrangements Including sound constitution Finance & Governance Group	2	2	4	Head of Policy + Cllr Anthony Stansfeld
3.3	Service Delivery Failure	Poor / Weak management by Officers	Inefficiency Poor Reputation	3	3	9	Corporate Governance arrangements Management Dev. Training	1	2	2	Chief Executive + Cllr Graham Jones
3.4	Poor Scrutiny	Lack of resources lack of Member engagement	Inferior decisions Regulations Poor reputation	3	3	9	Training Work programme Alignment with the Executive work programme Proper regulation	2	2	4	Chief Executive + Cllr Graham Jones
3.5	Poor Corporate Governance	Poor policies and procedures	Legal Action Poor Reputation Reduced efficiency Intervention	3	3	9	Constitution Codes of Conduct Protocol Statement of Internal Control Strategic Gov Project Plan Governance & Audit Committee	2	2	4	Monitoring Officer + Chair of Standards Cttee
3.6	Ineffective Business Continuity Planning	Poor service planning Lack of BCP	Service delivery fails Impact on performance	2	4	8	BCP process underway	2	3	6	Head of Assurance + Cllr Anthony Stansfeld
3.7	Customers Stakeholders High levels of customer dissatisfaction	Inadequate Customer contact / regime	Complaints Poor reputation	3	3	9	Customer charter Training Clear standards	1	2	2	HOS + Cllr Anthony Stansfeld

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3.8	Lack of Consultation	Lack of Strategy Poor forward planning	Disengaged community	3	2	6	Consultation strategy framework Dedicated resources Communication Strategy Member Development	1	2	2	Head of Policy + Cllr Graham Jones
3.9	Health & Safety	Failure to comply with Health & Safety Legislation	Legal / Insurance Insurance / Financial Reputation Corporate manslaughter	3	3	9	Effective School Service - needs analysis / risk register	2	2	4	Head of Assurance + Cllr Anthony Stansfeld
4 Technology											
4.1	Failure of technology	Failure of IT HR / Client systems	Service delivery / failures	2	3	6	Some BCP in place - further assurance required ICT Strategy Effective performance management Investment Resources	1	2	2	Head of ICT + Cllr Emma Webster
4.2	Failure to meet IEG	Failure to set out plans and take IEG forward	Service delivery / failures & reduced access to services Reputation Loss of resources	2	2	4	IEG Government Programme ICT Strategy Capital Resources	1	2	2	Head of ICT + Cllr Emma Webster
4.3	Failing to invest in technology	Investing in wrong Technology Failing to invest	Lost Resources Ineffective service delivery Service failure Lack of computability	2	3	6	Service Investment Programme ICT Strategy ICT Strategy Board	1	1	1	Head of ICT + Cllr Emma Webster
4.4	Failure to achieve value	Implementation of IT Systems	Capacity / Resource issues	3	3	9	Change management	2	2	4	Head of ICT + Cllr Emma Webster
4.5	Virus / Hacking Other IT security issues	Attack on Council's computer systems	Service Delivery / Failure Data Protection Reputation	3	3	9	Firewall / Anti Virus ITC Policy	2	3	6	Head of ICT + Cllr Emma Webster
5 Service Delivery / Procurement											

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5.1	Failure to meet objectives No clear targets / objectives	Weak performance management	Reputation Potential Intervention Poor CPA Scores Ineffective Service Delivery	3	3	9	Service Planning Performance management Systems Effective Resource Planning	2	2	4	Head of Policy + Cllr Graham Jones
5.2	Poor / Ineffective procurement	Poor Governance Lack of Skills	Waste / Inefficiency	3	3	9	Procurement Strategy Efficient Processes	3	2	6	Section 151 + Cllr Anthony Stansfeld

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6 Failure to Deliver / Manage Major Projects											
6.1	Shaw House	Poor Project Management Economic	Delay / Overspend Reputation Project collapse Insurance	3	3	9	Effective project Plan Regular Resource Monitoring	2	2	4	Project sponsor + Cllr Marcus Franks
6.2	Park Way	Poor Project Management	Delay / Overspend Reputation Project collapse	3	2	6	Effective project Plan Regular Resource Monitoring	2	2	4	Project sponsor + Cllr Emma Webster
6.3	Market St	Poor Project Management	Delay / Overspend Reputation Project collapse	3	2	6	Effective project Plan Regular Resource Monitoring	2	2	4	Project sponsor + Cllr Emma Webster
6.4	Newtown Resource Centre	Poor Project Management	Delay / Overspend Reputation Project collapse Impact on Service	3	3	9	Effective project Plan Regular Resource Monitoring	2	2	4	Project sponsor + Cllr Joe Mooney
6.5	Waste PFI	Poor Project Management Only ONE Bid Received Political Issues Affordability	Delay / Overspend Reputation Project collapse	4	4	16	Effective project Plan Regular Monitoring Preferred bidder negotiations	4	3	12	Project sponsor + Cllr Geoff Findlay
6.6	Tilehurst Learning Project	Failure to deliver 1. Financial 2. Project Planning 3. Continued Operation of schools	Reputation Political Issues on National and Local basis	4	4	16	Effective project management process	3	3	9	HOS Education + Cllr Graham Pask
6.7	Childrens Trust	Failure to continue with existing service delivery Unaffordable structure	Service distruotion / failure Harm to young people Reputation	3	4	12	Good / Performance Management Partnership working Project working	2	3	6	Project sponsor + Cllr Graham Pask
6.7a	Planning Related Kennet Valley Park	Failure in planning process	Impact on Council / Education & transport facilities Government intervention	4	4	16	Consultation / robust planning process	2	4	8	HOS PTS + Cllr Keith Chopping
6.7b	IMF, Aldermaston	Legal / management process failure	Governement intervention	3	2	6	Consultation / robust management process	2	2	4	HOS PTS + Cllr Keith Chopping
6.7c	AWE Redevelopment	Failure in Planning process	Public order Government Intervention	4	3	12	Consultation / robust planning process	4	2	8	HOS PTS + Cllr Keith Chopping

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7	Failure to Deliver Partnerships										
7.1	Service Delivery Strategic Partners	Risks associated with the failure of partnerships Health reorganisation	Partnership failure Progress limited Service delivery	3	3	9	Health Partnership Working Party Joint strategic Panel	2	2	4	CD CC&H + Cllr Joe Mooney
7.2	Under achievement of PSA (1)	Poor Management Unachievable targets	Reduced reward Reduced outcomes in local community Reputation Failure to meet targets Potential Financial Implications	3	3	9	Effective Performance Management Remedial Action	2	3	6	Head of Pol & Perf + Cllr Anthony Stansfeld
7.3	Underachievement of Local Strategic Partnership (LSP) LAA / PSA 2	Poor Management Unachievable targets	Reduced reward Reduced outcomes in local community Reputation Failure to meet targets Potential Financial Implications	3	3	9	Effective Performance Management Remedial Action	2	2	4	CD CC&H + Cllr Joe Mooney + Cllr Graham Jones
7.4	Under achievement of Safer Communities Partnership	Poor Management Unachievable targets	Reduced reward Reduced outcomes in local community Reputation Failure to meet targets Potential Financial Implications	3	3	9	Effective Performance Management Remedial Action	2	2	4	CE + Cllr Geoff Findlay / Cllr Emma Webster
7.5	Under achievement of Children's Trust	Poor Management Unachievable targets	Reduced reward Reduced outcomes in local community Reputation Failure to meet targets Potential Financial Implications	3	3	9	Effective Performance Management Remedial Action	2	2	4	CD CC&H + Cllr Graham Pask
7.6	Under achievement of Health & Well being Partnership	Poor Management Unachievable targets	Reduced reward Reduced outcomes in local community Reputation Failure to meet targets Potential Financial Implications	3	3	9	Effective Performance Management Remedial Action	2	2	4	CD CC&H + Cllr Joe Mooney
	Managed out of Business										
7.1	Amey Partnership (CB key Risk)	Failure / Financial or Business strategy	Service delivery Reputation Potential Default				Effective contract management Good working relationship between both parties Managed / Negotiated return				

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2.2	Planning Service (CB Key Risk)	Government Intervention in the Planning Department	Loss of democratic control Loss of budgetary control				Adequate management / staffing Effective performance management Improvement Action plan				