



# **Business Strategy & Support Directorate Risk Register**

**December 2012**

***DRAFT AHEAD OF P&R CABINET COMMITTEE – 08/01/13***

**NB: THE FOCUS FOR THE DIRECTORATE REGISTER IS ON CROSS-CUTTING RISKS AFFECTING THE WHOLE DIRECTORATE (OR SEVERAL SERVICE UNITS).**

## Summary Risk Profile

Low = 1-6
Medium = 8-15
High = 16-25

Risk No.	Risk Title	Current Risk Rating	Target Risk Rating
1	Governance & Internal Control	9	4
2	Responsiveness to emerging Government reforms and directives	9	4
3	Maintaining a healthy and effective workforce across BSS through significant change	12	8
4	Failure to utilise Enterprise Resource Planning (ERP) and other transactional systems	12	6
5	Implementation of <i>New Work Spaces</i> Programme	12	8
6	Directorate dependency on external relationships	Risk assessment in progress	

Likelihood & Impact Scales (Risk Rating = Likelihood x Impact)					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID BSS1	Risk Title	Governance and Internal Control				
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
The directorate has a lead role in ensuring that the Council has adequate governance arrangements in place to help achieve its statutory responsibilities and protect the Council's assets and finances. This has been particularly important during a period of significant organisational change.	Failure to ensure that adequate governance arrangements for the Council are in place and well communicated.	Major reputational damage and financial loss	Corporate Director Finance & Procurement	Possible (3)	Significant (3)	
		Fail external inspection/audit	Director Governance & Law	Target Residual Likelihood	Target Residual Impact	
It is also important that the internal operations of the directorate are sound, in particularly relating to budgetary control.	Major governance or internal control failure within the directorate.	Loss of confidence in the Council and possible government intervention.		Unlikely (2)	Moderate (2)	
<b>Control Title</b>			<b>Control Owner</b>			
KCC Constitution Incorporating: Articles of the Constitution; Statement of Executive Arrangements; Allocation and Delegation of Functions and Responsibilities; Policy Framework; Procedure Rules; Resource Management Responsibilities Statement; Ethical Behavior Codes and Protocols; Members' Allowances Scheme; Management Structure; Member Details and Code of Corporate Governance			Director of Governance & Law			
Redesigned and refreshed Code of Corporate Governance in place in line with CIPFA/SOLACE guidelines and new KCC Governance Arrangements. It references evidence of KCC operating controls, procedures, practices, policies, rules, regulatory rules, schemes, systems of internal control, plans, strategies, etc.			Director of Governance & Law			
Blue Book – Kent Scheme manual sets out the detail of Kent Scheme terms and conditions of employment, legal references and other relevant links for all staff.			Corporate Director of Human Resources			
<i>Kent Manager</i> standard- defines managers' role clearly, setting out exactly what is required of KCC managers			Corporate Director of Human Resources			
Governance and Audit Committee & Internal Audit roles			Director of Governance & Law / Corporate Director of Finance & Procurement			
Standards Committee, Scrutiny Committee & Cabinet Committee roles			Director of Governance & Law			
KCC Constitution revised to accord with new governance arrangements, including introduction of a new Forward Plan template. New scheme of delegation to officers approved by Cabinet.			Head of Democratic Services			
Counter Fraud Team – anti-fraud strategy in place			Head of Internal Audit			
Robust and well established financial controls including monthly and quarterly monitoring, monthly monitoring of savings delivery plan			Corporate Director of Finance & Procurement			
<b>Action Title</b>		<b>Action Owner</b>		<b>Planned Completion Date</b>		
Development of a Partnerships Policy and Register for KCC		Head of Policy & Strategic Relationships		December 2013		

Risk ID	BSS2	Risk Title	Responsiveness to emerging Government reforms and directives			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
KCC must remain responsive to and be prepared for Government Reforms and Directives and endeavour to implement them efficiently and effectively.		Failure to effectively monitor Central Government activity (Horizon Scanning)	KCC falls behind other Local Authorities in its development impacting national reputation, economy and future opportunities.	Head of Policy & Strategic Relationships	Possible (3)	Significant (3)
		Inability to predict / forecast implications on KCC strategic priorities, and business plans and finances.	KCC does not prepare for, or implement change effectively and realise predicted benefits attracting undesirable government attention, penalties or intervention or reputational damage.	Head of Business Intelligence	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Moderate (2)
		Failure to take advantage of new initiatives and opportunities				
		Failure to establish reasonable contingent actions to minimise any adverse impact				
<b>Control Title</b>					<b>Control Owner</b>	
Horizon scanning by Policy & Strategic Relationships and Business Intelligence teams					Head of Policy & Strategic Relationships Head of Business Intelligence	
Regular briefings on emerging Government policy by policy staff and appropriate representation on relevant Boards					Head of Policy & Strategic Relationships	
CMT/Cabinet and DMT discussions on significant issues in order to inform strategic business planning and highlight potential risks					Corporate Director Business Strategy & Support	
Engagement with national and local working groups and networks to raise KCC profile, influence Government policy and get early warning of developments					Head of Policy & Strategic Relationships	
Maximising of value from regional and national networks.					Head of Policy & Strategic Relationships	
Strategic Business Advisors liaise closely with directorate management teams to share information on latest developments					Head of Policy & Strategic Relationships	
Engage where appropriate in pilot schemes to test and assess new initiatives					Head of Policy & Strategic Relationships	
<b>Action Title</b>			<b>Action Owner</b>	<b>Planned Completion Date</b>		
Development of modelling capability within Business Intelligence to support improved forecasting			Head of Business Intelligence	March 2013		
Review of 2012/13 Business Planning process and development and QA of 2013/14 process.			Head of Policy & Strategic Relationships	March 2013		

Risk ID	BSS3	Risk Title	Maintaining a healthy and effective workforce across BSS through significant change			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The BSS workforce plays a vital role in supporting the organisation to run effectively and efficiently.		Low morale or stress related to organisational change or other factors.	Negative impact on organisational effectiveness and service levels.	Corporate Director Human Resources	Possible (3)	Significant (4)
The staff across the directorate need to be healthy, motivated and have the right skills to help the organisation develop.		Increased sickness levels. Failure to develop the right skills in staff. Lack of depth / resilience in key staff. Ineffective workforce / succession planning.			<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Serious (4)
<b>Control Title</b>				<b>Control Owner</b>		
Attendance management policies and training for managers in place				Head of Employment Strategy		
Wellbeing initiatives and health promotions for staff				Head of Employment Strategy		
Employee Engagement Strategy				Head of Employment Strategy		
Staff Care Services				Head of Health & Safety		
Coaching and mentoring network in place				Head of HR Business Centre		
Managing stress at work policy				Head of Health & Safety		
Arrangements in place for active monitoring and response to absence				Head of Employment Strategy		
Directorate Organisational Development Group established				Organisational Effectiveness Manager		
Directorate feeds in to KCC Training Plan				Organisational Effectiveness Manager		
<b>Action Title</b>			<b>Action Owner</b>	<b>Planned Completion Date</b>		
Extension of the Employment Value Proposition (EVP) survey as part of the staff engagement programme			Head of Employment Strategy	June 2013 (review)		
Review of Wellbeing strategy with interested parties			Organisation Effectiveness Manager	TBC		
Ensure publicity available for managers to appreciate the tools associated with managing stress at work policy (through HR Communications Group)			Head of Health & Safety	Ongoing (June 2013 review)		
Support the development and implementation of the "Because of You" staff engagement campaign			Organisation Effectiveness Manager	Ongoing (June 2013 review)		
Proactive monitoring of skill sets within key functions			Directorate Management Team	Ongoing (June 2013 review)		

Risk ID	BSS4	Risk Title	Utilisation of Enterprise Resource Planning and other transactional systems			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
KCC is dependent on the ongoing development and use of systems, such as those on the Oracle platform, to maximise the efficiencies to be achieved from moving away from manual or less efficient processes and to aid the concept of the 'self-sufficient manager' in KCC.		That there is insufficient funding on an ongoing basis to maintain and further develop systems to the level required.	Development will cease/be reduced which will limit opportunities to replace manual and other less efficient systems. This will result in more manual processes across the organisation limiting the potential to achieve efficiencies.	Head of Business Intelligence Director of ICT Corporate Director Human Resources Corporate Director Finance & Procurement	Likely (4)	Significant (3)
Effective systems are also necessary to extract and report on data for the purposes of making better, more informed decisions.		Key stakeholders do not engage with the processes supported by those systems and therefore systems are not utilised.	The availability and reliability of the data used for business intelligence purposes could be compromised.  KCC fails to improve efficiency of intelligence and makes poor decisions.		<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>					<b>Control Owner</b>	
Programme Governance arrangements in place, including ERP Sponsoring Group, Programme Board, dedicated Programme Manager and Project Management Capacity					Head of Business Intelligence	
Budget Programme Board and Performance & Evaluation Board both monitor progress of the ERP Programme					Corporate Director Business Strategy & Support	
Communications & Training functions represented on ERP Sponsoring Group					Head of Business Intelligence	
Licences and some hardware bought.					Head of Business Intelligence	
Some in-house expertise available for development.					Head of Business Intelligence	
Revenue and Capital funding available for Phase 2 development					Head of Business Intelligence	
<b>Action Title</b>			<b>Action Owner</b>	<b>Planned Completion Date</b>		
Any further investment needed will be supported by a full business case detailing offsetting savings and efficiencies.			Head of Business Intelligence	July 2013 (review)		
Implementation of new joined-up communications plan.			ERP Programme Manager	January 2013		
Complete proof of Concept for Hi-Path data into Oracle Business Intelligence			Corporate Performance Manager	January 2013		
Provision of technology support for OBI dashboards			ICT Programme Manager	March 2013 (review)		
Refresh of Training programme			ERP Programme Manager (to coordinate)	March 2013		
Refresh of Oracle servers			Director of ICT	April 2013		
Continued development of Oracle self-service in accordance with project plan			Head of Employment Strategy / Head of HR Business Centre	By March 2014		

Risk ID	BSS5	Risk Title	Implementation of the <i>New Work Spaces</i> Programme			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
The <i>New Work Spaces</i> programme sets out to deliver refreshed office environments & smarter ways of working across the organisation, acting as an enabler for change.		The key interfaces across BSS are not identified or coherently brought together, which would make implementation across the Authority more challenging or prevent successful programme delivery.	The Organisation fails to engage with the programme.	Director of Property & Infrastructure	Possible (3)	Serious (4)
The programme also has significant savings attached.			Programme objectives including more efficient working practices, asset rationalisation and allocated savings not met, or not met on time.	Corporate Director Human Resources	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Serious (4)
				Director of ICT		
<b>Control Title</b>					<b>Control Owner</b>	
Robust programme management mechanisms – Programme Board and dedicated Programme Managers in place.					Director of Property & Infrastructure Support	
Independent assurance being gained from monitoring by Corporate Programme Office and Budget Programme Board					Head of Policy & Strategic Relationships / Cabinet Member for Finance & Business Support	
Interdependencies with other programmes being mapped					Programme Manager	
A joint Business Strategy & Support vision for New Work Spaces developed					Director of Property & Infrastructure Support	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Establish appropriate arrangements across the Business Strategy & Support directorate for the roll out of the programme, including interconnections to HR and ICT work streams.			Director of Property & Infrastructure Support		By March 2014	
Undertake engagement and communication work with KCC staff on the programme and its impact			Director of Property & Infrastructure Support		By March 2014	
Manage the implications of any new governance arrangements required by the programme			Director of Property & Infrastructure Support		By March 2014	
Lead the 'people management' work streams of the programme, including communication / consultation, staff forecasting, change management, training for managers and staff and terms & conditions issues			Head of Employment Strategy		By March 2014	
Support the cultural implications and new work and management practices that the programme will require.			Organisation Effectiveness Manager		By March 2014	
Provide timely input of ICT strategy and delivery programme to facilitate new ways of working			Director of ICT		By March 2014	

Risk ID	BSS6	Risk Title	Directorate dependency on external relationships			
<b>Source / Cause of Risk</b>		<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner(s)</b>	<b>Current Likelihood*</b>	<b>Current Impact</b>
Each of the BSS functions individually has external relationships on which they rely for cooperation to achieve key aims of the Council.		A service / function acts with an external body in a way that may hamper the relationship with that external body.	External body withdraws cooperation with more than one service.  Traded income may be affected.	Directorate Management Team		
					<b>Target Residual Likelihood*</b>	<b>Target Residual Impact</b>
					*Risk assessment in progress	
<b>Control Title</b>					<b>Control Owner</b>	
Business Strategy & Support Directorate Management Team meets frequently to discuss any relevant areas of concern					Corporate Director Business Strategy & Support	
<b>Action Title</b>			<b>Action Owner</b>		<b>Planned Completion Date</b>	
Conduct mapping exercise of key external dependencies and decide next steps			Directorate Management Team		March 2013	
Introduction of specific Directorate Management Team item to check relevant external stakeholders when new initiatives / programmes are being devised.			Directorate Management Team		February 2013 onwards	