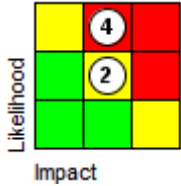




Organisational Workload and associated policy initiative risks

Generated on: 08 February 2012

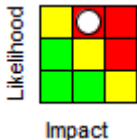
Code	TR46	Service Area	Chief Executive
Title	Organisational Workload		
Risk Owner	Chief Executive	Assigned To	Various
Description	<p>The current risks to the provision of services by the Council arising from</p> <p>1) increased demands for services (such as an increase in Homelessness applications due to the current economic climate)</p> <p>2) implications on services from the current range of legislative changes being proposed by Central Government and scoped on the sub risks to this overall risk namely:-</p> <ul style="list-style-type: none"> - Localism Act - Changes to Council Tax Rebate - Open Public Services - Changes to NNDR - Universal credit <p>These risks are failure to:</p> <ul style="list-style-type: none"> - have strong managerial and political leadership to respond to required changes to service delivery - Deliver services at the required level - Interpret and implement requirements of the various policy changes affecting Local Government - Deliver projects identified on Service Action Plans - Complete projects on time and within budget - Complete agreed actions for the Priorities for the District - Make best use of information - Make best use of available resources 		
Opportunity	Ensuring the Council is able to respond appropriately to demands for services.		
	FINANCIAL		
	INFORMATION		
	OPERATIONAL		
	PEOPLE		
	REGULATORY		
	REPUTATION		
Residual Risk		Year Identified	2010

Corporate Priority	Continuous Improvement	Last Modified	26-Jan-2012	
		Consequences	<p>Failing to make best use of resources. Failing to deliver against the Council's priorities. Failure to comply with new duties imposed by legislation or central government policy Adverse impact on performance indicators Impact on the public of not delivering projects to enhance the community. Loss of reputation.</p>	
Work Completed	<p>Leadership development programme and strong learning and development culture. Annual service plans produced by Heads of Service and Corporate Managers and then cascaded to individual staff action plans which ensures services can plan for the changes required. Project management guidance launched at SMT and is available on the intranet. SMT Policy Initiatives day held to appraise Senior Managers on proposed changes</p>			
Ongoing Work	<p>Active management of corporate planning, performance and financial management arrangements by the Senior Management Team. Regular reporting to Cabinet, Overview & Scrutiny and Finance, Audit and Risk Committee Prince 2 training opportunities exist via learning & development. Encouragement of Officers and Members to make more use of Covalent "live" to track performance. Services reviewed as part of the Corporate Business Planning Process to ensure the right level of resources are aligned to deliver the Council's Priorities and any changes required as a result of legislation.</p>			
Action Code	Action	Officer Name	Due Date	Status

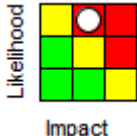
Code	TR46.001	Service Area	Development & Building Control	
Title	Localism Act - reforms to Planning system			
Risk Owner	Head of Development & Building Control	Assigned To	Head of Development & Building Control & LDF Manager	
Description	<p>The risks arising from the reforms to the planning system arising from the Localism Act 2011:-</p> <ul style="list-style-type: none"> - Failure to comply with the Act - Failure of the Act to make the planning system more democratic and effective leading to delays in obtaining planning permission and additional expense - Failing to have sufficient professional staff to deal with demands arising from the changes to the planning system leads to delays and/or incorrect advice being given - Failure to implement strengthened enforcement rules - Failure to provide advice and assistance to community forums leads to complaints - Conflict between neighbouring community forums and NHDC as Planning Authority leads to additional delays in the planning process - Additional costs and resource issues of holding referendum arising from Community Right to Build and Neighbourhood Plans - Additional costs of providing advice to neighbourhood forums/parish and town councils on Neighbourhood Plans 			
Opportunity	Planning system becomes more democratic and effective			
	FINANCIAL			
	OPERATIONAL			
	PEOPLE			
	REGULATORY			
	REPUTATION			
Residual Risk		Year Identified	2012	
Corporate Priority	Sustainable Development	Last Modified	30-Jan-2012	
		Consequences	<p>The following consequences may occur should a risk arise:-</p> <ul style="list-style-type: none"> - delays in getting planning proposals agreed - an increase in complaints/appeals - more bureaucracy and cost - challenges causing delays to planning consent - additional unbudgeted costs - other statutory planning work (local plan making) is delayed 	
Work Completed				
Ongoing Work	Review and implement guidance as it becomes available Ensure staff are aware of and trained on the changes to the planning system			
Action Code	Action	Officer Name	Due Date	Status

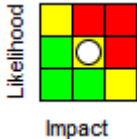
Code	TR46.002	Service Area	Revenues, Benefits & IT
Title	Council Tax Rebate		
Risk Owner	Head of Revenues, Benefits and IT	Assigned To	Head of Revenues, Benefits and IT
Description	<p>The proposed changes to Council Tax Benefit to become Council Tax Rebate.:- Council Tax Benefit being abolished 31/3/2013. Locally defined schemes. Pensioners & vulnerable people are protected. Removal of Second Adult Rebate. Reduction of 10% of the Subsidy payable. Means tested or Discount?</p> <p>The risks to NHDC from these proposals are:-</p> <p>Uncertainty</p> <ul style="list-style-type: none"> - Regulations not yet released - admin subsidy implications (£899,104 in 2011/2012, around £180K for Fraud) - Scheme cannot be so generous, so small amounts of Council Tax to collect with increase in arrears - How will appeals and back-dating be administered - Keeping 2 systems running - Increase in liability orders <p>Financial risk</p> <ul style="list-style-type: none"> -Scheme is over subscribed and there is not enough money available to meet demand <p>Implications for staff</p> <ul style="list-style-type: none"> - failure to have sufficient competent staff to implement the changes - Increase required in recovery staff levels -Public reaction <p>Timeframe for implementation</p> <ul style="list-style-type: none"> - failure to have software - failure to have sufficient trained staff <p>Disaggregation from Universal Credit</p> <ul style="list-style-type: none"> - failure to have one benefit system - confusion for claimants <p>Affect on working age claimants</p> <ul style="list-style-type: none"> - will result in less benefit being available which will be disproportionately higher in those areas with a large elderly population - failure to encourage work 		
Opportunity	<p>To make work pay in line with Universal Credit To ensure those who don't work must also contribute – Unlikely to be any 100% cases, other than protected groups To reduce the welfare bill To protect the vulnerable and elderly To make responsibility for the scheme local</p>		
	FINANCIAL		
	OPERATIONAL		
	PEOPLE		
	REGULATORY		


	REPUTATION		
Residual Risk		Year Identified	2012
Corporate Priority	Continuous Improvement	Last Modified	10-Jan-2012
		Consequences	<ul style="list-style-type: none"> - demand outstrips money available to fund the scheme - significant financial impact on working age claimants - increase in complaints resulting in diversion of resources to respond to them - increased costs of administering the scheme if no administration subsidy is available leading to investment bid - population drift - differences in entitlements between neighbouring authorities
Work Completed			
Ongoing Work	To review guidance as and when it becomes available.		
Action Code	Action	Officer Name	Due Date

Code	TR46.003	Service Area	Revenues, Benefits & IT
Title	Universal Credit		
Risk Owner	Head of Revenues, Benefits and IT	Assigned To	Head of Revenues, Benefits and IT
Description	<p>The risks arising from the introduction of Universal Credit. This will bring together most of the means tested benefits and make one monthly payment into the claimant's bank account.</p> <p>The risks are:- Uncertainty- Regulations not due until Spring 2012 Unknown impact on delivery of face-to-face enquiries during the transitional phase What will happen post 2017 What will be the admin subsidy implications Loss of income from recovered overpayments How will appeals and back-dating be administered Failing to have sufficient trained staff to administer the Council Tax Rebate Scheme Potential redundancy costs Increases in rent arrears Claimants being unable to obtain bank accounts and manage finances Failure of claimants to be able to make on-line or telephone claims</p>		
Opportunity	<p>To streamline the welfare system – easier to administer Real time income updates from HMRC To simplify the process for claimants To make work pay and get people back into work To reduce the welfare bill</p>		
	FINANCIAL		
	OPERATIONAL		
	PEOPLE		
	REGULATORY		
	REPUTATION		
Residual Risk		Year Identified	2012
Corporate Priority		Last Modified	10-Jan-2012
	 <p>Likelihood</p> <p>Impact</p>	Consequences	In the event of the risks arising the following consequences may occur - claimants do not obtain the benefits they are entitled to - increase in poverty - more people become homeless - additional costs to NHDC to fund redundancy costs - loss of key skills to deliver Council Tax rebate scheme
Work Completed			

Ongoing Work	Review of guidance as and when it becomes available.			
Action Code	Action	Officer Name	Due Date	Status

Code	TR46.004	Service Area	Finance, Performance & Asset Management	
Title	NNDR/Resource Review			
Risk Owner	Head of Finance, Performance & Asset Management	Assigned To	Head of Finance, Performance & Asset Management	
Description	<p>The NNDR/Resource Review is intended to provide a measure of local control to councils for their own funding. All funding from business rates is returned to local government. Incentivise those who will drive economic growth. Pooling – needs to be carefully balanced amongst members. Special treatment for Green Energy Proposals</p> <p>The risks arising from this</p> <ul style="list-style-type: none"> - uncertainty making it difficult to plan beyond 2013. - fluctuations between years are inevitable - failure to be prepared in time for the 2013 go live date 			
Opportunity	<p>Create as many self-sufficient authorities as possible</p> <p>Incentivise Local Authorities to promote growth</p> <p>Allow no increases in local taxation without business agreement</p>			
	FINANCIAL			
	OPERATIONAL			
	REGULATORY			
	REPUTATION			
Residual Risk		Year Identified	2012	
Corporate Priority	Continuous Improvement	Last Modified	10-Jan-2012	
	 <p>Likelihood</p> <p>Impact</p>	Consequences	<p>Inability to confidently plan beyond 2013.</p> <p>Detrimental impact on staff morale.</p> <p>Unable to deliver planned projects to achieve the Council's vision.</p>	
Work Completed	NHDC responded to the consultation paper on the proposals			
Ongoing Work	Situation will be monitored via CIPFA, DCT and DCN and directly on the DCLG website			
Action Code	Action	Officer Name	Due Date	Status

Code	TR46.005	Service Area	Finance, Performance & Asset Management	
Title	Open Public Services			
Risk Owner	Head of Finance, Performance & Asset Management	Assigned To	Head of Finance, Performance & Asset Management	
Description	<p>The risks arising from the current proposals for Open Public Services</p> <ul style="list-style-type: none"> -failure to provide value for money due to loss of economies of scale -failure of Supplier due to financial problems -failure of the Council to inspect and regulate providers -failure to provide choice of service provider. - failure to comply with procurement legislation -failure to have Officers and Members with the required skills to deliver new ways of working -Funding can be provided directly to the individual and the responsibility for using the funding wisely rests with the individual. -Risk for neighbourhood councils in ensuring accountability and financial control. -Risk for potential suppliers from payment by results approach 			
Opportunity	<p>Choice - increase choice, giving people direct control over services they use</p> <p>Decentralisation - of power to the lowest appropriate level.</p> <p>Diversity – Public services should be open to a range of providers in voluntary, public and private sectors.</p> <p>Fairness – Fair access to public services</p> <p>Accountability – Public services should be accountable to users and taxpayers.</p>			
	OPERATIONAL			
	PEOPLE			
	REGULATORY			
	REPUTATION			
Residual Risk		Year Identified	2012	
Corporate Priority		Last Modified	10-Jan-2012	
	 <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	Consequences	<p>The consequences of the risks from Open Public Services are</p> <ul style="list-style-type: none"> - services cost more - increase in complaints about service provision - loss of supplier would have impact on customers - supplier performance is below standard - finding of maladministration if no choice of service provider is made available 	
Work Completed	Government White Paper on Open Public Services has been assessed and is the prime source of risk and opportunities information referred to on this Risk entry.			
Ongoing Work	Learning and development opportunities available to staff and Members to enable them to adapt to new ways of working			
Action Code	Action	Officer Name	Due Date	Status

Code	TR46.006	Service Area	Revenues, Benefits & IT	
Title	Open Data			
Risk Owner	Head of Revenues, Benefits and IT	Assigned To	Head of Revenues, Benefits and IT	
Description	<p>The risks arising from the Cabinet Office initiative to have a Central Repository of common selected data sets from various public bodies.</p> <p>The risks to NHDC from this initiative are -</p> <ul style="list-style-type: none"> - current uncertainty - there is no expected date for regulations - additional resources in terms of finance and staff time - Security implications – some data may need to be anonymised - Failing to maintain the data and ensure it is kept up-to-date - Ownership 			
Opportunity	<p>Six Opportunities</p> <p>Accountability – MP’s Expenses scandal</p> <p>Choice – Schools, Doctors etc.</p> <p>Productivity – Less FOI’s benchmarking</p> <p>Quality & Outcomes – Use of data to improve quality</p> <p>Social Growth – Self serve & accountability</p> <p>Economic Growth - life sciences; population data mining and risk profiling; consumer technologies; and media sectors</p>			
	INFORMATION			
	OPERATIONAL			
	REPUTATION			
Residual Risk		Year Identified	2012	
Corporate Priority	Continuous Improvement	Last Modified	10-Jan-2012	
	 <p>Likelihood</p> <p>Impact</p>	Consequences	<p>Breach of regulations if data is not made available.</p> <p>Potential breaches of the Data Protection Act leading to fines.</p> <p>Out of date or inaccurate data is held in the central repository leading to decisions being taken on mis-leading information.</p>	
Work Completed				
Ongoing Work				
Action Code	Action	Officer Name	Due Date	Status

