

Strategic Risk Register

Ref	Risk Definition What is the headline	Corporate Priority	Root Cause: What is the root cause or problem? What could go	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk (no controls)			Existing Controls	Residual Risk (with controls)			Further management actions/controls	Target Score			Risk Owner	Review Date
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CR1	Decreasing Financial resources	A successful economy	<ul style="list-style-type: none"> □ Increase demand for services e.g. benefits □ CSR 2012 □ Political promises □ Change in priorities □ Reduction in recycling value □ Deflated housing market □ Lack of business growth □ Further changes in legislation □ Pooling/Unpooling of NNDR □ Exemption from Social Size Criteria (Pre 1996) 	<ul style="list-style-type: none"> □ Cuts in services □ Political and customer expectations not met □ Quality of service □ Reputation damage □ Knock on impact on the local community and economy e.g. spiral effect □ Legal challenge 	5	4	20	<ul style="list-style-type: none"> □ Budgetary Control processes and committee reporting □ Medium Term Financial Strategy and HRA Business Plan - including scenario planning □ Setting and monitoring of savings and efficiency targets □ Annual Fees and Charges review □ Disclosure of expenditure over £250 □ Review of reserves and balances □ Treasury Management and Investment Strategy □ Prudential Indicators □ Revised Financial Regulations □ Local Business Rates and Council Tax Scheme 	4	3	12	<ul style="list-style-type: none"> □ Enhanced member scenario planning for budgets □ Market testing on key services □ Development of Procurement Strategy □ Training on Contract Procedure Rules 	4	2	8	J Dickson	Nov-14

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CR2	Key Supplier/Partnership Failure	All priorities	<ul style="list-style-type: none"> □ Change in circumstances □ Capacity and competency □ Further decline of the Economy □ Relationship breakdown □ Changes in legislation □ Changes in personnel □ Liability issues 	<ul style="list-style-type: none"> □ Cost implications □ Business Continuity □ Loss of revenue □ Service failure □ TUPE issues □ Potential court action □ Increased complaints □ Reputation issues □ Political damage □ Delays 	3	3	9	<ul style="list-style-type: none"> □ Formal contracts and agreements including realistic notice periods □ Tender arrangements and pre qualification financial assessments □ Qualified internal officers to provide legal advice □ Use of external counsel □ Performance management of contracts 	3	3	9	<ul style="list-style-type: none"> □ Completion of comprehensive contract register □ Partnership and contract risk registers □ Periodic VfM reviews of contracts □ Review Agreements for partnerships and shared resource 	2	2	4	A Court	Dec-14
CR3	Political Dynamics	All priorities	<ul style="list-style-type: none"> □ Change in political power □ Change in leader □ New members □ Public perception changes 	<ul style="list-style-type: none"> □ Change in priorities □ Change in member/officer engagement □ Breakdown in communication □ Inability to meet expectations □ Reputation issues (organisational and political) □ Reactive decision making (rather than planned) □ Failure to follow legislative requirements e.g. equalities □ Further strain on council finances 	3	4	12	<ul style="list-style-type: none"> □ Member development programmes □ Code of Conduct □ Policies e.g. Safeguarding/Equalities and DBS checks □ Provision of chairing skills training □ Constitution □ Public consultation 	3	3	9	<ul style="list-style-type: none"> □ Personal training/action plans □ IT training for members □ Development of member enquiry system □ Political awareness training for officers 	3	2	6	A Court	Dec-14

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CR4	Reputation Damage	All priorities	<ul style="list-style-type: none"> <input type="checkbox"/> Litigation <input type="checkbox"/> Breakdown in a partnership <input type="checkbox"/> Failure to have regard to officers advice <input type="checkbox"/> Whistle blowing <input type="checkbox"/> Freedom of Information (Fol) <input type="checkbox"/> Inconsistent decision making <input type="checkbox"/> Poor Media Relations <input type="checkbox"/> Poor communication <input type="checkbox"/> Failure to provide or reduce services <input type="checkbox"/> Poor performance 	<ul style="list-style-type: none"> <input type="checkbox"/> Intervention <input type="checkbox"/> Loss of public confidence <input type="checkbox"/> Ombudsman findings <input type="checkbox"/> Court costs <input type="checkbox"/> Quality of service affected <input type="checkbox"/> Breakdown in a partnership <input type="checkbox"/> Adverse publicity <input type="checkbox"/> Lower public satisfaction level <input type="checkbox"/> Time spent mitigating damage/rectifying the situation <input type="checkbox"/> Low Morale <input type="checkbox"/> Difficulties to recruit/ staff retention 	3	3	9	<ul style="list-style-type: none"> <input type="checkbox"/> Review of external communication by Heads of Service <input type="checkbox"/> Use of modern.gov <input type="checkbox"/> Whistle blowing and Anti Fraud and Corruption policies <input type="checkbox"/> Freedom of Information log <input type="checkbox"/> Qualified in house legal team <input type="checkbox"/> Officer complaints training <input type="checkbox"/> Performance reporting and Key Performance Indicators <input type="checkbox"/> Public and media consultation 	3	2	6	<ul style="list-style-type: none"> <input type="checkbox"/> Development of Media Policy <input type="checkbox"/> Media Training - members and officers <input type="checkbox"/> Performance Management Strategy/Framework <input type="checkbox"/> Customer care and access training 	2	1	2	A Court	Jan-15

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CR5	Effective utilisation of Assets/Buildings	A good quality of life for all residents	<ul style="list-style-type: none"> <input type="checkbox"/> Failure to follow Health and Safety <input type="checkbox"/> Insurance/Public Liability <input type="checkbox"/> Financial investment <input type="checkbox"/> Contractor going into liquidation <input type="checkbox"/> Political will <input type="checkbox"/> Facility Management <input type="checkbox"/> Depreciation 	<ul style="list-style-type: none"> <input type="checkbox"/> Loss of investment opportunities <input type="checkbox"/> Loss of income <input type="checkbox"/> Loss of capital <input type="checkbox"/> Higher revenue costs <input type="checkbox"/> Costs <input type="checkbox"/> Death or injury <input type="checkbox"/> Higher insurance premiums <input type="checkbox"/> Reputation damage <input type="checkbox"/> Public liability <input type="checkbox"/> Personal liability for corporate team e.g. corporate manslaughter 	4	3	12	<ul style="list-style-type: none"> <input type="checkbox"/> Physical controls (e.g. Door Codes, fire alarms) <input type="checkbox"/> Designated first aiders <input type="checkbox"/> Capital Programme and HRA Business Plan - annual reiteration and regular monitoring <input type="checkbox"/> Fixed Asset Register <input type="checkbox"/> Annual valuation of property by external valuer <input type="checkbox"/> Designated Health and Safety Officer <input type="checkbox"/> Implementation of controls within Health and Safety Executive review <input type="checkbox"/> Health and Safety risk assessments <input type="checkbox"/> Designated Facilities Manager <input type="checkbox"/> Accommodation Reviewed <input type="checkbox"/> Health and safety assessments carried out on all buildings 	3	3	9	<ul style="list-style-type: none"> <input type="checkbox"/> Revision of Asset Management Policy <input type="checkbox"/> Accommodation review <input type="checkbox"/> Consideration of holistic Asset Management database/system <input type="checkbox"/> Production of a Health and Safety Action Plan 	2	1	2	J Dickson	Dec-14

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CR6	Regulatory Governance	All priorities	<ul style="list-style-type: none"> <input type="checkbox"/> New or changes to legislation <input type="checkbox"/> Resources (staff) <input type="checkbox"/> Failure to identify new legislation 	<ul style="list-style-type: none"> <input type="checkbox"/> Substantial fines e.g. Data Protection <input type="checkbox"/> Judicial review <input type="checkbox"/> Reputation <input type="checkbox"/> Code of conduct <input type="checkbox"/> Financial loss <input type="checkbox"/> Cost orders <input type="checkbox"/> Personal liability 	3	4	12	<ul style="list-style-type: none"> <input type="checkbox"/> Data Protection Policy and log <input type="checkbox"/> Freedom of Information log <input type="checkbox"/> Code of Conduct and training <input type="checkbox"/> HR Induction <input type="checkbox"/> Statutory Monitoring Officer <input type="checkbox"/> Subscriptions (e.g. legal journals and LGA) and CPD of legal officers <input type="checkbox"/> Prosecution Policy <input type="checkbox"/> Dedicated Compliance Officer 	1	1	1		1	1	1	K Garcha	Feb-15
CR7	Failure to respond to a significant incident	All priorities	<ul style="list-style-type: none"> <input type="checkbox"/> Loss of staff <input type="checkbox"/> Loss of ICT <input type="checkbox"/> Loss of Building <input type="checkbox"/> Loss of Key supplier <input type="checkbox"/> Loss of facilities <input type="checkbox"/> Loss of systems <input type="checkbox"/> Act of God <input type="checkbox"/> Adverse Weather <input type="checkbox"/> Pandemic 	<ul style="list-style-type: none"> <input type="checkbox"/> Insurance – higher premiums <input type="checkbox"/> Loss of essential services <input type="checkbox"/> Adverse publicity <input type="checkbox"/> Reputation damage <input type="checkbox"/> Loss of public confidence <input type="checkbox"/> Loss of income <input type="checkbox"/> Financial damage <input type="checkbox"/> Death and injury <input type="checkbox"/> Litigation risks 	2	4	8	<ul style="list-style-type: none"> <input type="checkbox"/> Insurance policies and annual review <input type="checkbox"/> Use of Zurich Risk Management Service <input type="checkbox"/> Risk Management policies and procedures <input type="checkbox"/> Membership of Local Resilience Forum <input type="checkbox"/> Standby rota <input type="checkbox"/> IT backup 	2	3	6	<ul style="list-style-type: none"> <input type="checkbox"/> Service Area Business Continuity Plans <input type="checkbox"/> Paperless office and increased scanning <input type="checkbox"/> New fire wardens and evacuation plan to be formulated <input type="checkbox"/> Coordination of Out of Hours Service 	2	1	2	A Court	Jan-15

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CR8	Organisational/Transformational Change	All priorities	<input type="checkbox"/> Restructure <input type="checkbox"/> Transformational change <input type="checkbox"/> Transferable skills <input type="checkbox"/> Reduction in funding <input type="checkbox"/> Change in personnel <input type="checkbox"/> Change in the way the council delivers services <input type="checkbox"/> Redundancy <input type="checkbox"/> Less controls in place due to limited resources	<input type="checkbox"/> Redundancy <input type="checkbox"/> Staff morale <input type="checkbox"/> Staff retention <input type="checkbox"/> Change in working practices <input type="checkbox"/> Impact on quality of service <input type="checkbox"/> Legal implications <input type="checkbox"/> HR implications <input type="checkbox"/> Reputation damage/perception <input type="checkbox"/> Financial loss <input type="checkbox"/> Possible litigation <input type="checkbox"/> Increased fraud	2	3	6	<input type="checkbox"/> Organisation review policy <input type="checkbox"/> Recruitment and selection policies and procedures <input type="checkbox"/> Union and staff consultation <input type="checkbox"/> Internal Audit <input type="checkbox"/> Staff group <input type="checkbox"/> Staff newsletters <input type="checkbox"/> Monitoring and supervision of management/1:1's <input type="checkbox"/> Training and professional qualification support	2	2	4	<input type="checkbox"/> Skills mapping for officers <input type="checkbox"/> Review of performance appraisal process	1	1	1	K Garcha	Jan-15

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CR9	Economy/ Regeneration	A successful economy	<ul style="list-style-type: none"> □ Further decline in the economy □ Impact of Localism Act □ Macro Economic triggers □ Pooling/Unpooling of NNDR □ Taking Control of Goods Act 2013 	<ul style="list-style-type: none"> □ Relocation (Business and Domestic) □ Lack of inward investment □ Increased demand for certain services e.g. benefits □ Loss of value in public assets □ Need to continually adapt/change □ Conflicting pressures - decreased funding – increased demand □ Spiral effect □ Short term decision making – uncertainty □ Increased autonomy leads to greater risk □ Decrease in collection levels 	5	4	20	<ul style="list-style-type: none"> □ Medium Term Financial Strategy and scenario planning □ Budget consultation □ Utilisation of Treasury Management advice □ Setting and monitoring of savings and efficiency targets □ Debt Recovery Policy in place □ Local Council Tax and Business Rate Retention scheme in place □ Contract monitoring of bailiffs 	4	3	12	<ul style="list-style-type: none"> □ Localism Act training □ Review of debt management arrangements □ Review maximisation of funding sources including items such as New Homes Bonus □ 6 month review of effect (Taking Control of Goods Act 2013) 	4	2	8	J Dickson	Nov-14

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CR10	Increased Fraud	All priorities	<ul style="list-style-type: none"> <input type="checkbox"/> Dilution of internal controls due to less staff <input type="checkbox"/> Increase in unemployment <input type="checkbox"/> Reduction in benefits <input type="checkbox"/> Inflation <input type="checkbox"/> Debt <input type="checkbox"/> Opportunity <input type="checkbox"/> Single fraud investigation outsourced to DWP Sept 14 <input type="checkbox"/> Sub-letting of Council properties 	<ul style="list-style-type: none"> <input type="checkbox"/> Homelessness, poverty and social deprivation <input type="checkbox"/> Financial loss <input type="checkbox"/> Resources of the authority to investigate fraud issues <input type="checkbox"/> Reputation impact <input type="checkbox"/> Litigation 	3	3	9	<ul style="list-style-type: none"> <input type="checkbox"/> Internal and External Audit <input type="checkbox"/> Financial Regulations <input type="checkbox"/> Segregation of Duties <input type="checkbox"/> Supervision and Management <input type="checkbox"/> Investigation and disciplinary procedures <input type="checkbox"/> Litigation <input type="checkbox"/> Anti Fraud and Corruption Policy <input type="checkbox"/> Whistle blowing process <input type="checkbox"/> Tone from the top - no tolerance <input type="checkbox"/> Budgetary Control <input type="checkbox"/> Participation in National Fraud Initiative <input type="checkbox"/> Transaction review (e.g. invoices/mileage) <input type="checkbox"/> Updated Anti Fraud and Corruption Policy 	2	2	4	<ul style="list-style-type: none"> <input type="checkbox"/> Bribery Act Risk Assessment <input type="checkbox"/> Fraud Awareness Training 	1	1	1	J Dickson	Jan-15