

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
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating		
CR1	Decreasing Financial resources	A successful economy	<ul style="list-style-type: none"> <li>□ Increase demand for services e.g. benefits</li> <li>□ CSR 2012</li> <li>□ Political promises</li> <li>□ Change in priorities</li> <li>□ Reduction in recycling value</li> <li>□ Deflated housing market</li> <li>□ Lack of business growth</li> <li>□ Further changes in legislation</li> <li>□ Pooling/Unpooling of NNDR</li> <li>□ Exemption from Social Size Criteria (Pre 1996)</li> </ul>	<ul style="list-style-type: none"> <li>□ Cuts in services</li> <li>□ Political and customer expectations not met</li> <li>□ Quality of service</li> <li>□ Reputation damage</li> <li>□ Knock on impact on the local community and economy e.g. spiral effect</li> <li>□ Legal challenge</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>□ Budgetary Control processes and committee reporting</li> <li>□ Medium Term Financial Strategy and HRA Business Plan - including scenario planning</li> <li>□ Setting and monitoring of savings and efficiency targets</li> <li>□ Annual Fees and Charges review</li> <li>□ Disclosure of expenditure over £250</li> <li>□ Review of reserves and balances</li> <li>□ Treasury Management and Investment Strategy</li> <li>□ Prudential Indicators</li> <li>□ Revised Financial Regulations</li> <li>□ Local Business Rates and Council Tax Scheme</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>□ Enhanced member scenario planning for budgets</li> <li>□ Market testing on key services</li> <li>□ Development of Procurement Strategy</li> <li>□ Training on Contract Procedure Rules</li> </ul>	4	2	8	J Dickson	Feb-15

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CR2	Key Supplier/Partnership Failure	All priorities	<ul style="list-style-type: none"> <li><input type="checkbox"/> Change in circumstances</li> <li><input type="checkbox"/> Capacity and competency</li> <li><input type="checkbox"/> Further decline of the Economy</li> <li><input type="checkbox"/> Relationship breakdown</li> <li><input type="checkbox"/> Changes in legislation</li> <li><input type="checkbox"/> Changes in personnel</li> <li><input type="checkbox"/> Liability issues</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cost implications</li> <li><input type="checkbox"/> Business Continuity</li> <li><input type="checkbox"/> Loss of revenue</li> <li><input type="checkbox"/> Service failure</li> <li><input type="checkbox"/> TUPE issues</li> <li><input type="checkbox"/> Potential court action</li> <li><input type="checkbox"/> Increased complaints</li> <li><input type="checkbox"/> Reputation issues</li> <li><input type="checkbox"/> Political damage</li> <li><input type="checkbox"/> Delays</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Formal contracts and agreements including realistic notice periods</li> <li><input type="checkbox"/> Tender arrangements and pre qualification financial assessments</li> <li><input type="checkbox"/> Qualified internal officers to provide legal advice</li> <li><input type="checkbox"/> Use of external counsel</li> <li><input type="checkbox"/> Performance management of contracts</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completion of comprehensive contract register</li> <li><input type="checkbox"/> Partnership and contract risk registers</li> <li><input type="checkbox"/> Periodic VfM reviews of contracts</li> <li><input type="checkbox"/> Review Agreements for partnerships and shared resource</li> </ul>	2	2	4	A Court	Apr-15
CR3	Political Dynamics	All priorities	<ul style="list-style-type: none"> <li><input type="checkbox"/> Change in political power</li> <li><input type="checkbox"/> Change in leader</li> <li><input type="checkbox"/> New members</li> <li><input type="checkbox"/> Public perception changes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Change in priorities</li> <li><input type="checkbox"/> Change in member/officer engagement</li> <li><input type="checkbox"/> Breakdown in communication</li> <li><input type="checkbox"/> Inability to meet expectations</li> <li><input type="checkbox"/> Reputation issues (or organisational and political)</li> <li><input type="checkbox"/> Reactive decision making (rather than planned)</li> <li><input type="checkbox"/> Failure to follow legislative requirements e.g. equalities</li> <li><input type="checkbox"/> Further strain on council finances</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li><input type="checkbox"/> Member development programmes</li> <li><input type="checkbox"/> Code of Conduct</li> <li><input type="checkbox"/> Policies e.g. Safeguarding/Equalities and DBS checks</li> <li><input type="checkbox"/> Provision of chairing skills training</li> <li><input type="checkbox"/> Constitution</li> <li><input type="checkbox"/> Public consultation</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Personal training/action plans</li> <li><input type="checkbox"/> IT training for members</li> <li><input type="checkbox"/> Development of member enquiry system</li> <li><input type="checkbox"/> Political awareness training for officers</li> </ul>	3	2	6	A Court	Apr-15

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CR4	Reputation Damage	All priorities	<ul style="list-style-type: none"> <li><input type="checkbox"/> Litigation</li> <li><input type="checkbox"/> Breakdown in a partnership</li> <li><input type="checkbox"/> Failure to have regard to officers advice</li> <li><input type="checkbox"/> Whistle blowing</li> <li><input type="checkbox"/> Freedom of Information (Fol)</li> <li><input type="checkbox"/> Inconsistent decision making</li> <li><input type="checkbox"/> Poor Media Relations</li> <li><input type="checkbox"/> Poor communication</li> <li><input type="checkbox"/> Failure to provide or reduce services</li> <li><input type="checkbox"/> Poor performance</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Intervention</li> <li><input type="checkbox"/> Loss of public confidence</li> <li><input type="checkbox"/> Ombudsman findings</li> <li><input type="checkbox"/> Court costs</li> <li><input type="checkbox"/> Quality of service affected</li> <li><input type="checkbox"/> Breakdown in a partnership</li> <li><input type="checkbox"/> Adverse publicity</li> <li><input type="checkbox"/> Lower public satisfaction level</li> <li><input type="checkbox"/> Time spent mitigating damage/rectifying the situation</li> <li><input type="checkbox"/> Low Morale</li> <li><input type="checkbox"/> Difficulties to recruit/ staff retention</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Review of external communication by Heads of Service</li> <li><input type="checkbox"/> Use of modern.gov</li> <li><input type="checkbox"/> Whistle blowing and Anti Fraud and Corruption policies</li> <li><input type="checkbox"/> Freedom of Information log</li> <li><input type="checkbox"/> Qualified in house legal team</li> <li><input type="checkbox"/> Officer complaints training</li> <li><input type="checkbox"/> Performance reporting and Key Performance Indicators</li> <li><input type="checkbox"/> Public and media consultation</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li><input type="checkbox"/> Development of Media Policy</li> <li><input type="checkbox"/> Media Training - members and officers</li> <li><input type="checkbox"/> Performance Management Strategy/Framework</li> <li><input type="checkbox"/> Customer care and access training</li> </ul>	2	1	2	A Court	Apr-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"> <li><input type="checkbox"/> Failure to follow Health and Safety</li> <li><input type="checkbox"/> Insurance/Public Liability</li> <li><input type="checkbox"/> Financial investment</li> <li><input type="checkbox"/> Contractor going into liquidation</li> <li><input type="checkbox"/> Political will</li> <li><input type="checkbox"/> Facility Management</li> <li><input type="checkbox"/> Depreciation</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Loss of investment opportunities</li> <li><input type="checkbox"/> Loss of income</li> <li><input type="checkbox"/> Loss of capital</li> <li><input type="checkbox"/> Higher revenue costs</li> <li><input type="checkbox"/> Costs</li> <li><input type="checkbox"/> Death or injury</li> <li><input type="checkbox"/> Higher insurance premiums</li> <li><input type="checkbox"/> Reputation damage</li> <li><input type="checkbox"/> Public liability</li> <li><input type="checkbox"/> Personal liability for corporate team e.g. corporate manslaughter</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li><input type="checkbox"/> Physical controls (e.g. Door Codes, fire alarms)</li> <li><input type="checkbox"/> Designated first aiders</li> <li><input type="checkbox"/> Capital Programme and HRA Business Plan - annual reiteration and regular monitoring</li> <li><input type="checkbox"/> Fixed Asset Register</li> <li><input type="checkbox"/> Annual valuation of property by external valuer</li> <li><input type="checkbox"/> Designated Health and Safety Officer</li> <li><input type="checkbox"/> Implementation of controls within Health and Safety Executive review</li> <li><input type="checkbox"/> Health and Safety risk assessments</li> <li><input type="checkbox"/> Designated Facilities Manager</li> <li><input type="checkbox"/> Accommodation Reviewed</li> <li><input type="checkbox"/> Health and safety assessments carried out on all buildings</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Revision of Asset Management Policy and Capital Expenditure Plan</li> <li><input type="checkbox"/> Accommodation review</li> <li><input type="checkbox"/> Consideration of holistic Asset Management database/system</li> <li><input type="checkbox"/> Production of a Health and Safety Action Plan</li> </ul>	2	1	2	J Dickson	Apr-15

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

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CR9	Economy/ Regeneration	A successful economy	<ul style="list-style-type: none"> <li>□ Further decline in the economy</li> <li>□ Impact of Localism Act</li> <li>□ Macro Economic triggers</li> <li>□ Pooling/Unpooling of NNDR</li> <li>□ Taking Control of Goods Act 2013</li> </ul>	<ul style="list-style-type: none"> <li>□ Relocation (Business and Domestic)</li> <li>□ Lack of inward investment</li> <li>□ Increased demand for certain services e.g. benefits</li> <li>□ Loss of value in public assets</li> <li>□ Need to continually adapt/change</li> <li>□ Conflicting pressures - decreased funding – increased demand</li> <li>□ Spiral effect</li> <li>□ Short term decision making – uncertainty</li> <li>□ Increased autonomy leads to greater risk</li> <li>□ Decrease in collection levels</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>□ Medium Term Financial Strategy and scenario planning</li> <li>□ Budget consultation</li> <li>□ Utilisation of Treasury Management advice</li> <li>□ Setting and monitoring of savings and efficiency targets</li> <li>□ Debt Recovery Policy in place</li> <li>□ Local Council Tax and Business Rate Retention scheme in place</li> <li>□ Contract monitoring of bailiffs</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>□ Localism Act training</li> <li>□ Review of debt management arrangements</li> <li>□ Review maximisation of funding sources including items such as New Homes Bonus</li> <li>□ 6 month review of effect (Taking Control of Goods Act 2013)</li> </ul>	4	2	8	J Dickson	Feb-15

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CR10	Increased Fraud	All priorities	<ul style="list-style-type: none"> <li><input type="checkbox"/> Dilution of internal controls due to less staff</li> <li><input type="checkbox"/> Increase in unemployment</li> <li><input type="checkbox"/> Reduction in benefits</li> <li><input type="checkbox"/> Inflation</li> <li><input type="checkbox"/> Debt</li> <li><input type="checkbox"/> Opportunity</li> <li><input type="checkbox"/> Single fraud investigation outsourced to DWP March 16</li> <li><input type="checkbox"/> Sub-letting of Council properties</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Homelessness, poverty and social deprivation</li> <li><input type="checkbox"/> Financial loss</li> <li><input type="checkbox"/> Resources of the authority to investigate fraud issues</li> <li><input type="checkbox"/> Reputation impact</li> <li><input type="checkbox"/> Litigation</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Internal and External Audit</li> <li><input type="checkbox"/> Financial Regulations</li> <li><input type="checkbox"/> Segregation of Duties</li> <li><input type="checkbox"/> Supervision and Management</li> <li><input type="checkbox"/> Investigation and disciplinary procedures</li> <li><input type="checkbox"/> Litigation</li> <li><input type="checkbox"/> Anti Fraud and Corruption Policy</li> <li><input type="checkbox"/> Whistle blowing process</li> <li><input type="checkbox"/> Tone from the top - no tolerance</li> <li><input type="checkbox"/> Budgetary Control</li> <li><input type="checkbox"/> Participation in National Fraud Initiative</li> <li><input type="checkbox"/> Transaction review (e.g. invoices/mileage)</li> <li><input type="checkbox"/> Updated Anti Fraud and Corruption Policy</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li><input type="checkbox"/> Bribery Act Risk Assessment</li> <li><input type="checkbox"/> Fraud Awareness Training</li> </ul>	1	1	1	J Dickson	Jul-15