

DRAFT CORPORATE RISK REGISTER –REDDITCH BOROUGH COUNCIL

APPENDIX 1

2016/17

Risk	Cause / Effect	Current Mitigations	Inherent Risk	Actions Needed	Residual Risk	Risk Owner	Links to Strategic Purposes
Non Compliance with Health and Safety Legislation	<p>Cause:</p> <ul style="list-style-type: none"> Consequence of Council action Negligence by Council Actions beyond Council control <p>Effect:</p> <ul style="list-style-type: none"> Reputation affected Legal action against Council Financial impact 	<ul style="list-style-type: none"> Standard Operating Procedures - SOP (H&S etc) Health and Safety Committee meets regularly Training for staff Health-checks First Aid / Defibrillation provision Safeguarding Policy and Procedures Risk Assements 	Impact – 4 Likelihood – 2 = 8	<ul style="list-style-type: none"> Continued updates to Health and Safety Committee Updated inspection policy being actioned 	Impact – 4 Likelihood – 2 = 8	Deb Poole	All
Snap / poorly informed decisions made on savings / cuts	<p>Cause:</p> <ul style="list-style-type: none"> Requirement for savings to balance budget Unanticipated cost pressures / demand on services Pressure from other partners <p>Effect:</p> <ul style="list-style-type: none"> Longer term improvement / 	<ul style="list-style-type: none"> Robust budget-setting process in place Good awareness of Transformation Programme 	Impact – 4 Likelihood – 3 =12	<ul style="list-style-type: none"> Establish "whole-life" or "end to end" approach to assessment of savings proposals Develop/improve support for Leadership and decision-making roles of Members On line access for managers for budgets and actual spend being developed in 	Impact – 4 Likelihood -2 = 8	Jayne Pickering	All

2016/17

	<p>innovation / efficiency is hindered</p> <ul style="list-style-type: none"> • Impact on organisation, staff and residents • Impact on Transformation Programme 			<p>2016/17</p> <ul style="list-style-type: none"> • Performance Dashboard to be developed for members • Data to drive and inform decision making based on evidence of community need 			
<p>Financial constraints (from external sources reducing funding) have a negative impact on service delivery and/or quality</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Reduced budget for staffing • Reduced spend on maintenance • Service cessation <p>Effect:</p> <ul style="list-style-type: none"> • Reputation affected • Quality of life of residents affected • Financial impact 	<ul style="list-style-type: none"> • Medium Term Financial Plan in place with assumptions on levels of cuts • No unidentified savings in the finance plan • Full review of reserves and balances 	<p>Impact – 4 Likelihood – 4 = 16</p>	<ul style="list-style-type: none"> • Ensure updated with legislation and financial impact of changes • Prepare 4 year financial plan • Report to Members on proposals for efficiency plans • Reporting regularly to members 	<p>Impact – 4 Likelihood – 4 = 16</p>	<p>Jayne Pickering</p>	<p>All</p>
<p>Partners of the Councils fail to deliver on joint-working</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Sovereignty issues / fear of losing control • Pressures on partner organisation (financial or political) • Resources available from 	<ul style="list-style-type: none"> • Robust governance structures in place • Funding mechanisms in place and legally enforceable • Partnership Boards (LEP etc) 	<p>Impact – 4 Likelihood -4 = 16</p>	<ul style="list-style-type: none"> • Ensure that key decision-makers are round the partnership table • Undertake Partnership health-check for all partnership initiatives • Connecting Families • Consideration of Impact of Combined Authorities 	<p>Impact – 4 Likelihood -3 = 12</p>		<p>Help me live my life independently Help me run a successful business Help me find somewhere to live in my locality</p>

2016/17

	<p>partners</p> <ul style="list-style-type: none"> • Lack of understanding / buy in <p>Effect:</p> <ul style="list-style-type: none"> • Service improvement hindered • Reputation affected • Financial impact 						
<p>Business Continuity Plans fail to operate effectively in an incident.</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Service plans not all in place, fit for purpose or validated. • Plans not implemented or embedded within the culture of the organisation. <p>Effect:</p> <ul style="list-style-type: none"> • Damage to property / equipment • Service delivery affected • Councils' reputation harmed • Financial impact 	<ul style="list-style-type: none"> • Corporate Business Continuity Plan is in place • Some team plans in place • Work programme of training & exercising under development. 	<p>Impact -5 Likelihood – 4 =20</p>	<ul style="list-style-type: none"> • All services to undertake a Business Impact Analysis (BIA) following which update service business continuity plans. 3/9 in development • Refresh Corporate Business Continuity Plan following service BIA delivery. • Link Corporate Business Continuity Plan to Corporate Emergency plan. • Deliver work programme of training & exercising. • Risk assessments • Work Programmes (testing etc) to be developed 	<p>Impact -5 Likelihood -3 = 15</p>	<p>Sue Hanley</p>	<p>All</p>

2016/17

<p>IT systems and infrastructure has a major failure</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Systems bugs / errors • Failure in power supply • Storage of data/servers affected <p>Effect:</p> <ul style="list-style-type: none"> • Loss of key data • Service delivery affected • Councils' reputation harmed • Financial impact 	<ul style="list-style-type: none"> • Business Continuity Plans in place • Discrete and remote data storage in place • Back-up procedures in place and followed 	<p>Impact – 3 Likelihood – 3 = 9</p>	<ul style="list-style-type: none"> • Review current IT business continuity procedures • External validation of IT resilience 	<p>Impact – 3 Likelihood – 2 = 6</p>	<p>Deb Poole</p>	<p><i>Enabling Services</i></p>
<p>Lack of robust financial accounting and monitoring arrangements</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Systems failures • Inexperienced staff • Lack of capacity / resources • Changes in legislation not addressed <p>Effect:</p> <ul style="list-style-type: none"> • Inaccurate accounts • Reputation harmed • Financial Decisions being made on 	<ul style="list-style-type: none"> • Action plan in place to monitor S11 recommendations • External support sourced to ensure specialist advice available • Training on system undertaken • Staff training undertaken • Key roles and responsibilities identified 	<p>Impact – 3 Likelihood – 3 = 9</p>	<ul style="list-style-type: none"> • Regular reporting to members • Continue professional development training • Review financial regulations • Implement on line access to financial system for managers 	<p>Impact – 3 Likelihood – 3 = 9</p>	<p>Jayne Pickering</p>	<p><i>Enabling Services</i></p>

2016/17

	inaccurate information						
Non adherence with Statutory Inspection Policy	<p>Cause:</p> <ul style="list-style-type: none"> Lack of robust monitoring systems Lack of capacity / resources Changes in legislation not addressed <p>Effect:</p> <ul style="list-style-type: none"> Impact on residents Reputation harmed Financial Penalties 	<ul style="list-style-type: none"> Clear plan of monitoring in place Staff training undertaken Specialist advice on pull should it be required 	Impact -5 Likelihood -3 = 15	<ul style="list-style-type: none"> Further review of monitoring arrangements Implementation of insurance inspection recommendations 	Impact -5 Likelihood -3 = 15		