

CORPORATE RISK REGISTER –REDDITCH BOROUGH COUNCIL

APPENDIX 1

2016/17

Risk	Cause / Effect	Current Mitigations	Inherent Risk	Actions Needed	Residual Risk	Risk Owner	Update to September
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 – 1 = 4	Deb Poole	<p><i>Continued updates to Health and Safety Committee</i></p> <p><i>Actions from Zurich Inspections to be presented to September Health and Safety Committee</i></p>
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	<p><i>Individual 'bid' forms submitted by Heads of Service for every budget pressure and saving for both revenue and capital to ensure accuracy of financial information and avoid any unexpected pressures</i></p> <p><i>Performance dashboard in place and Council Plan</i></p>

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	<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 			<i>being developed</i>
Financial constraints (from external sources reducing funding) have a negative impact on service delivery and/or quality	<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 	Impact – 4 Likelihood – 4 = 16	<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 	Impact – 4 Likelihood – 3 = 12	Jayne Pickering	<p><i>Efficiency Plan developed to show areas where savings and growth will be made</i></p> <p><i>4 year detailed plan to be developed for 2016/17-2019/20</i></p>
Partners of the Councils fail to deliver on joint-working	<p>Cause:</p> <ul style="list-style-type: none"> • Sovereignty issues / fear of losing control • Pressures on partner organisation (financial or political) • Resources 	<ul style="list-style-type: none"> • Robust governance structures in place • Funding mechanisms in place and legally enforceable • Partnership Boards (LEP etc) 	Impact – 4 Likelihood -4 = 16	<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 • Impact of Combined Authorities 	Impact – 4 Likelihood -3 = 12		<p><i>Regular Executive meetings held with all public sector partners to identify areas of innovation and cross organisational working</i></p> <p><i>Weekly Combined Authority meetings held</i></p>

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	<p>available from 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. 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><i>Business Continuity Plans under development with Emergency Planning officer support. All to be completed by end September 2016.</i></p> <p><i>Training undertaken by Heads of Service</i></p>

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IT systems and infrastructure has a major failure	<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 	Impact – 3 Likelihood – 3 = 9	<ul style="list-style-type: none"> • Review current IT business continuity procedures • External validation of IT resilience 	Impact – 3 Likelihood – 2 = 6	Deb Poole	<i>IT Business continuity plan under review to be completed by end September 2016</i>
Lack of robust financial accounting and monitoring arrangements	<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 inaccurate 	<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 	Impact – 3 Likelihood – 3 = 9	<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 	Impact – 3 Likelihood – 2 = 6	Jayne Pickering	<p><i>Statement of Accounts submitted within statutory deadline</i></p> <p><i>Improvements made to format and working papers</i></p> <p><i>Financial Regulations under review to be presented by December 2016 to members</i></p>

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	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	Liz Tompkin	<p><i>Robust monitoring and inspection regime in place to ensure adherence with policy and legislation</i></p> <p><i>Regular updates to management</i></p>