

DRAFT CORPORATE RISK REGISTER –REDDITCH BOROUGH COUNCIL
2017/18

APPENDIX 1

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 Assessments • Updated inspection policy • Continued updates to Health and Safety Committee 	Impact – 4 Likelihood – 2 = 8	<ul style="list-style-type: none"> • Development of Corporate H&S Measures 	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 	<ul style="list-style-type: none"> • Robust budget-setting process in place • Developed budget bids for pressures and details of savings proposed • Performance Dashboard in 	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 	Impact – 4 Likelihood -2 = 8	Jayne Pickering	All

	<p>other partners</p> <p>Effect:</p> <ul style="list-style-type: none"> • Longer term improvement / innovation / efficiency is hindered • Impact on organisation, staff and residents • Impact on Transformation Programme 	<p>place</p> <ul style="list-style-type: none"> • Data used to evidence need in business cases 		<p>decision-making roles of Members</p> <ul style="list-style-type: none"> • On line access for managers for budgets and actual spend being rolled out to managers • Performance dashboard to be used when reporting to members 			
<p>Managing the impact of National Changes – financial / social economic or environmental which may have a detrimental impact on service delivery or quality (eg Brexit / Universal Credit)</p>	<p>Cause:</p> <ul style="list-style-type: none"> • Changes to National Policy impacting on services at a local level • Lack of resource to meet the demand on the service • Reduction in funding or revenue available • Funding for new initiatives not available • Service 	<ul style="list-style-type: none"> • Regular consideration at management team of National Issues • Medium Term Financial Plan in place with assumptions on levels of cuts • Full review of reserves and balances • Officers working with partners and 	<p>Impact – 4 Likelihood – 4 = 16</p>	<ul style="list-style-type: none"> • Consider opportunities for alternative service delivery models/ approaches to generate income / reduce cost • Ensure updated with legislation and financial impact of changes • Reporting regularly to members of 	<p>Impact – 4 Likelihood – 4 = 16</p>	<p>Jayne Pickering</p>	<p>All</p>

	<p>cessation</p> <p>Effect:</p> <ul style="list-style-type: none"> • Reputation affected • Quality of life of residents affected • Demand increasing on services • Negative Financial impact 	<p>networks to identify issues</p> <ul style="list-style-type: none"> • 4 year financial plan and efficiency plan in place • 		<p>National policy changes that may impact on local demand</p>		
<p>Partners of the Councils fail to work together in proactive way</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 partners • Lack of understanding / buy in <p>Effect:</p> <ul style="list-style-type: none"> • Service improvement hindered • Reputation affected 	<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 roll out 	<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>

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	<ul style="list-style-type: none"> Financial impact 						
Business Continuity Plans fail to operate effectively in an incident.	<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 All team plans in place Work programme of training & exercising to be reviewed Sept 17 	Impact -3 Likelihood - 4 =12	<ul style="list-style-type: none"> All services have undertaken a Business Impact Analysis (BIA) resulting in revised Business Continuity Plans Refresh Corporate Business Continuity Plan following service BIA delivery. Deliver work programme of training & exercises. Risk assessments Work Programmes (testing etc) to be developed 	Impact -5 Likelihood -2 = 10	Sue Hanley	All
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 	<ul style="list-style-type: none"> Business Continuity Plans in place Discrete and remote data storage in place Back-up procedures in place and 	Impact – 3 Likelihood – 3 = 9	<ul style="list-style-type: none"> Continue to assess strength of IT security 	Impact – 3 Likelihood – 2 = 6	Deb Poole	Enabling Services

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	<ul style="list-style-type: none"> data • Service delivery affected • Councils' reputation harmed • Financial impact 	<ul style="list-style-type: none"> followed • IT business continuity procedures reviewed 					
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 information 	<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 – 3 = 9	Jayne Pickering	<i>Enabling Services</i>
Non adherence with Statutory Inspection Policy	<p>Cause:</p> <ul style="list-style-type: none"> • Lack of robust 	<ul style="list-style-type: none"> • Clear plan of monitoring in place • Staff training 	Impact -5 Likelihood -	<ul style="list-style-type: none"> • Further review of monitoring arrangements 	Impact -5 Likelihood		

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	<p>monitoring systems</p> <ul style="list-style-type: none"> • 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 	<p>undertaken</p> <ul style="list-style-type: none"> • Specialist advice on pull should it be required • Action plan in place to address insurance inspection recommendations 	<p>3 = 15</p>	<ul style="list-style-type: none"> • Regular checks undertaken on inspections 	<p>-2 = 10</p>		
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