

### Risk Scorecard

Category	IMPACT		
	LOW	MEDIUM	HIGH
<b>Financial</b>	< £150k Minor non-compliance with internal financial procedures	£150k - £300k Significant non-compliance with internal financial procedures	> £300k Major non-compliance with internal financial procedures
<b>Political</b>	Minor issues identified by assurance reviews Minor adverse Local media  Minor BVPI issues	Significant issues identified by assurance reviews Significant adverse Local media  Significant BVPI issues	Major issues identified by assurance reviews Major adverse Local, Regional or National media  Major BVPI issues
<b>Social</b>	Service delay Stakeholders consulted and concerns considered	Service suspended Limited stakeholder consultation	Service cancelled Stakeholders not consulted and concerns not considered
<b>Technical</b>	Minor system problems Minor impact on resources (staff, equipment, buildings, etc.)	Significant system problems Significant impact on resources (staff, equipment, buildings, etc.)	Major system problems Major impact on resources (staff, equipment, buildings, etc.)
<b>Legal</b>	Minor non-compliance with legislation or statutory requirements Minor penalty or warning	Significant non-compliance with legislation or statutory requirements Significant penalty or warning	Major non-compliance with legislation or statutory requirements Major penalty or warning
<b>Environmental</b>	Minor District health or cleanliness issues Minor schemes not consistent with stakeholder expectations	Significant District health or cleanliness issues Significant schemes not consistent with stakeholder expectations	Major District health or cleanliness issues Major schemes not consistent with stakeholder expectations
<b>Performance (WETT, Shared Service)</b>	Minor dip in productivity/performance as a result of shared service implementation	Significant dip in productivity/performance as a result of shared service implementation	Major dip in productivity/performance as a result of shared service implementation
<b>Climate Change (Severe Weather Events)</b>	Minor service delay e.g. waste collection cancelled as a result of snow; prolonged heat leading to melting roads; increased risk of fires.	Significant disruption to services e.g. potential risk to health; lack of power.	Major service delivery issues e.g. leading to loss of life; major damage to property, disruption to local economy.

Category	LIKELIHOOD		
	LOW	MEDIUM	HIGH
<b>Occurrence</b>	> 18 months	6 - 18 months	< 6 months
<b>Probability</b>	< 30%	30% - 70%	> 70%

### Risk Matrix

Likelihood	Category	Impact		
		LOW	MEDIUM	HIGH
Likelihood	HIGH	3	6	9
	MEDIUM	2	4	6
	LOW	1	2	3

### Action Ratings

<b>High</b>	Actions that are <b>fundamental</b> to improve the control environment and progress towards an acceptable risk score.
<b>Medium</b>	Actions that are <b>important</b> to improve the control environment and progress towards an acceptable risk score.
<b>Low</b>	Actions that are <b>desirable</b> to improve the control environment and progress towards an acceptable risk score.



Current Key Controls		Current Key Controls		Current Key Controls		Current		Current Key Controls		Current Key Controls	
								Outcomes of Systems Thinking fed into design of ICT spec		Budget available to use temporary staff or buy in use of other private sector providers in short term	Maintain robust emergency plans
								Procurement is part of the project plan and timescales agreed by management Board.		Effective negotiation of new contracts during 2011/12	An arrangement in place for Managers to deploy staff to support other teams

Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Actions / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements
10.1	Medium	Maintain ongoing liaison with host authority	14.1	High	Clear timetable for application of systems thinking in all areas	15.1			1.1	High	Design specification correctly and on time	4.1	Medium	Design specifications contracts correctly and on time	6.1	Medium	Maintain emergency plans for foreseeable incidents
10.2	Medium	Ensure Management Board informed of significant failings	14.2	High	Implement changes in timetable	15.2			1.2	High	Follow procurement process in timely fashion	4.2	Medium	Follow procurement process in timely fashion	6.2		
10.3	High	Host authority to deal with issues in a timely fashion	14.3	Medium	Effective communication with staff around change procedures	15.3			1.3	High	Ensure sufficient in-house support for system maintenance and	4.3	Medium	Restructure dog warden service	6.3		
10.4			14.4	Medium	Regular reports to Management Board	15.4			1.4			4.4			6.4		
10.5			14.5	Low	Ensure all managers and senior practitioners have had change management training	15.5			1.5			4.5			6.5		
10.6			14.6			15.6			1.6			4.6			6.6		
10.7			14.7			15.7			1.7			4.7			6.7		
10.8			14.8			15.8			1.8			4.8			6.8		
10.9			14.9			15.9			1.9			4.9			6.9		
10.10			14.10			15.10			1.10			4.10			6.1		
10.11			14.11			15.11			1.11			4.11			6.11		
10.12			14.12			15.12			1.12			4.12			6.12		
10.13			14.13			15.13			1.13			4.13			6.13		
10.14			14.14			15.14			1.14			4.14			6.14		
10.15			14.15			15.15			1.15			4.15			6.15		

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Key Objective: Ref. No. 9		Key Objective: Ref. No. 3		Key Objective: Ref. No. 5		Key Objective: Ref. No. 7		Key Objective: Ref. No. 8	
Achieve stable levels of contribution from partner authorities,		Maintain our capacity to achieve service delivery		Robust arrangements in place in relation to obtaining legal advice and monitoring legislative changes		Effective and efficient budgetary control		Service provision complies with Government requirements	
Responsibility:	MB	Responsibility:	SJ	Responsibility:	SJ	Responsibility:	SJ	Responsibility:	SJ
Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Risk(s)	
Level of support from constituent authorities for Regulatory Services will vary due to variations in income		Major Power failures or other reasons that access to Wyatt House is not possible		Major staff sickness (e.g. flu pandemic)		Loss of Major Court Case		Failure to maintain effective budgetary control	
Residual Costs		Unable to recruit or retain suitably qualified staff		Need to ensure the legal vires of the service doing what is required by constituent authorities, to		There may be large on-going cases that could have significant impact on the finances of the new service if they are not won.			
Impact(s)		Impact(s)		Impact(s)		Impact(s)		Impact(s)	
Changes to partner contributions impact on service provision by WRS for all partners		Disruption to service		Disruption to service		Negative media coverage		Financial loss	
				Disruption to service provision		Loss of confidence in the service		Inability to pay staff/contractors	
				Unable to meet service demands		Financial loss		Reputational damage	
				Unable to fulfil statutory obligations					
High Impact Areas		High		High Impact Areas		High Impact Areas		High Impact Areas	
Financial	H	Financial	L	Financial	M	Financial	H	Financial	L
Political	H	Political	L	Political	M	Political	H	Political	M
Social	H	Social	M	Social	M	Social	L	Social	L
Technical	L	Technical	L	Technical	L	Technical	L	Technical	L
Legal	M	Legal	L	Legal	L	Legal	M	Legal	L
Environmental	L	Environm	L	Environmental	M	Environmental	L	Environmental	L
Performance	M	Performa	L	Performance	M	Performance	L	Performance	L
Climate Change	L	Climate	L	Climate Change	L	Climate Change	L	Climate Change	L
Current	Acceptable	Current	Acceptable	Current	Acceptable	Current	Acceptable	Current	Acceptable
Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood
High	Low	Medium	Low	Medium	Low	Medium	Low	Medium	Low
Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)	Risk Colour (Score)
RED (6)	GREEN (2)	GREEN	GREEN	GREEN	GREEN (2)	GREEN (2)	GREEN (2)	GREEN (2)	GREEN (2)

Current Key Controls	Current	Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls
	Staff are equipped for mobile/home working	Service priorities to be managed and partners informed of any changes to service	Use of competent staff to undertake investigations	Devolution of cost centres to managers	Keep key government stakeholders apprised of WRS plans and business transformation and address any concerns at an early stage
	Touchdown stations available in partner council locations	Short term contract workers can be brought in to cover any priority areas	Proper scheme of delegation to ensure authority to take legal decision is clear	Monthly reporting within WRS	
		Consultants can provide short term cover	Clear enforcement of policy in place	Quarterly reporting to management board and Joint Committee	
		Active within regional and sub regional groups to share resources if required	Ensure compliance with legal procedures	Compliance with Bromsgrove's financial procedures	
		Effective training and development processes in place to ensure recruitment and retention of staff	Effective liaison with partner councils legal services departments		

Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements
9.1	High	Partners conform with legal agreement on budgetary cost	2.1	Low	Mobile / flexible working equipment for all staff	3.1	Low	Have business continuity plan in place	5.1	Medium	Legal advice to be sought throughout the entire process using internal and external lawyers according to the information required.	7.1	Medium	Monthly monitoring of budgets	8.1	Low	Ongoing liaison with Government stakeholders
9.2			2.2	Low	Have business continuity plan in place	3.2	Medium	Active participation regional, sub regional groups by team members	5.2			7.2	Low	Regular report to Management Board	8.2		
9.3			2.3			3.3			5.3			7.3			8.3		
9.4			2.4			3.4			5.4			7.4			8.4		
9.5			2.5			3.5			5.5			7.5			8.5		
9.6			2.6			3.6			5.6			7.6			8.6		
9.7			2.7			3.7			5.7			7.7			8.7		
9.8			2.8			3.8			5.8			7.8			8.8		
9.9			2.9			3.9			5.9			7.9			8.9		
9.10			2.10			3.10			5.1			7.1			8.1		
9.11			2.11			3.11			5.11			7.11			8.11		
9.12			2.12			3.12			5.12			7.12			8.12		
9.13			2.13			3.13			5.13			7.13			8.13		
9.14			2.14			3.14			5.14			7.14			8.14		
9.15			2.15			3.15			5.15			7.15			8.15		

Key Objective: Ref. No. 11		Key Objective: Ref. No. 12		Key Objective: Ref. No. 13		Key Objective: Ref. No. 16					
Minimise any perceived or real democratic deficit		Effective communication with internal partners		Development where possible of harmonised approach to service delivery by partners		Taking on additional partners and commercial trading					
Responsibility:	MB/JC	Responsibility:	SJ	Responsibility:	MB	Responsibility:					
Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Risk(s)					
Local Member / Citizen identifies or perceives lack of democratic accountability for new service		Communication / interface with other services				Potential financial risk to partners in relation to trading activities					
						Delivering over a wider service area may lead to reduced influence for individual partners locally					
Impact(s)		Impact(s)		Impact(s)		Impact(s)					
Members may not buy into the Shared Service arrangement		Some elements of the new service have key links back to services within the authorities e.g. Planning. These cannot be lost otherwise processes will not work properly		Post code lottery on provision and charges, makes things difficult for any front end (i.e. HUB) to advise as there will be different provisions in different areas.		Larger economies of scale may deliver potential further savings					
Citizens may have concerns over loss of localised provision				Difficult conditions in different areas, Business customers operating in more than one area face different requirements from the same service		If it goes wrong, potential for higher costs					
Members and citizens may perceive that the joint service is not as good as the previous one.				Some fees may be open to challenge as a standard processing system will be in place but fees will be different.							
High Impact Areas		High Impact Areas		High Impact Areas		High Impact Areas					
Financial	L	Financial	M	Financial	L	Financial	M				
Political	H	Political	M	Political	M	Political	M				
Social	L	Social	L	Social	L	Social	L				
Technical	L	Technical	L	Technical	L	Technical	L				
Legal	L	Legal	L	Legal	L	Legal	M				
Environmental	L	Environmental	L	Environmental	L	Environmental	L				
Performance	L	Performance	L	Performance	L	Performance	M				
Climate Change	L	Climate Change	L	Climate Change	L	Climate Change	L				
Current		Acceptable		Current		Acceptable		Current		Acceptable	
Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood
Low	Medium	Low	Medium	Low	Low	Low	Medium	Low	Low	Low	Low
Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)	
GREEN (2)		GREEN (2)		GREEN (1)		GREEN (1)		GREEN (2)		GREEN (2)	

Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls

Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements
11.1	Medium	Ensure good communications back to the constituent authorities	12.1	Medium	Ongoing liaison with relevant parts in partner councils (eg Planning)	13.1	Medium	Have clear scripting for Customer Service staff so that they know the different provisions in each district	15.1		
11.2	Low	Ensure all publicity pushes the joint nature of services	12.2			13.2	Medium	Gradually move towards a more standardised approach within the demands of individual local authorities	15.2		
11.3	Low	Maintaining "localism" into the operational delivery	12.3			13.3			15.3		
11.4			12.4			13.4			15.4		
11.5			12.5			13.5			15.5		
11.6			12.6			13.6			15.6		
11.7			12.7			13.7			15.7		
11.8			12.8			13.8			15.8		
11.9			12.9			13.9			15.9		
11.10			12.10			13.10			15.10		
11.11			12.11			13.11			15.11		
11.12			12.12			13.12			15.12		
11.13			12.13			13.13			15.13		
11.14			12.14			13.14			15.14		
11.15			12.15			13.15			15.15		

**Risk Register**

Service: #REF!	Current Position Key:
RED	Behind Target
GREEN	On Target
BLUE	Completed

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
1	One effective and efficient database system across the partners	1.1	Design specification correctly and on time	SW	Business Manager	Oct-11	High		
		1.2	Follow procurement process in timely fashion	SW	Business Manager	Mar-12	High		
		1.3	Ensure sufficient in-house support for system maintenance and	SW	Business Manager	Mar-12	High		
		1.4							
		1.5							
		1.6							
		1.7							
		1.8							
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		1.10							
		1.11							
		1.12							
		1.13							
		1.14							
		1.15							

2	Effective and efficient Business Continuity arrangements in place	2.1	Mobile / flexible working equipment for all staff	Team Managers	Team Managers	Dec-11	Low		
		2.2	Have business continuity plan in place	Level B	Business Manager	Mar-12	Low		
		2.3							
		2.4							
		2.5							
		2.6							
		2.7							
		2.8							
		2.9							
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		2.13							
		2.14							
		2.15							



Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
3	Maintain our capacity to achieve service delivery	3.1	Have business continuity plan in place	Level B	Business Manager	Mar-12	Low		
		3.2	Active participation regional, sub regional groups by team members	Team Managers	Team Managers	Ongoing	Medium		
		3.3							
		3.4							
		3.5							
		3.6							
		3.7							
		3.8							
		3.9							
		3.10							
		3.11							
		3.12							
		3.13							
		3.14							
		3.15							
4	Effective and efficient contract arrangement for dog control	4.1	Design specifications contracts correctly and on time	WM/AF	Business Manager/Team Manager (Central Operations)	Sep-11	Medium		
		4.2	Follow procurement process in timely fashion	WM/AF	Business Manager/Team Manager (Central Operations)	Dec-11	Medium		
		4.3	Restructure dog warden service	Level B/AF	Business Manager/Team Manager (Central Operations)	Mar-12	Medium		
		4.4							
		4.5							
		4.6							
		4.7							
		4.8							
		4.9							
		4.10							
		4.11							
		4.12							
		4.13							
		4.14							
		4.15							
5	Robust arrangements in place in relation to obtaining legal advice and monitoring legislative changes	5.1	Legal advice to be sought throughout the entire process using internal and external lawyers according to the information required.	Team Managers	Team Managers	Ongoing	Medium		
		5.2							
		5.3							
		5.4							
		5.5							
		5.6							
		5.7							
		5.8							
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		5.14							
		5.15							



Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
		9.6							
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		9.12							
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		9.14							
		9.15							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
10	Host provides high quality support services to ensure effective service provision	10.1	Maintain ongoing liaison with host authority	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers and Team Managers	Ongoing	Medium		
		10.2	Ensure Management Board informed of significant failings	SJ	Head of Regulatory Services	Ongoing	Medium		
		10.3	Host authority to deal with issues in a timely fashion	KD	Chief Executive, Bromsgrove	Ongoing	High		
		10.4							
		10.5							
		10.6							
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		10.9							
		10.10							
		10.11							
		10.12							
		10.13							
		10.14							
		10.15							
11	Minimise any perceived or real democratic deficit	11.1	Ensure good communications back to the constituent authorities	Team Managers and Senior Management Team	Head of Regualtory Services, Business Managers, Team Managers	Ongoing	Medium		
		11.2	Ensure all publicity pushes the joint nature of services	Team Managers and Senior Management Team	Head of Regualtory Services, Business Managers, Team Managers	Ongoing	Low		
		11.3	Maintaining "localism" into the operational delivery	Senior Management Team	Head of Regualtory Services, Business Managers,	Ongoing	Low		
		11.4							
		11.5							
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		11.10							
		11.11							
		11.12							
		11.13							
		11.14							
		11.15							
12	Effective communication with internal partners	12.1	Ongoing liaison with relevant parts in partner councils (eg Planning)	Team Manager	Team Managers	Ongoing	Medium		
		12.2							
		12.3							
		12.4							
		12.5							
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Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
13	Development where possible of harmonised approach to service delivery by partners	13.1	Have clear scripting for Customer Service staff so that they know the different provisions in each district	Team Manager	Team Managers	Ongoing	Medium		
		13.2	Gradually move towards a more standardised approach within the demands of individual local authorities	Senior Management Team	Head of Regulatory Services, Business Managers	Ongoing	Medium		
		13.3							
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14	Level of savings required outstrips ability of business transformation and change processes to deliver efficiencies	14.1	Clear timetable for application of systems thinking in all areas	DM	Team manager Support Services	Sep-11	High		
		14.2	Implement changes in timetable	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Dec-11	High		
		14.3	Effective communication with staff around change procedures	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Ongoing	Medium		
		14.4	Regular reports to Management Board	SJ	Head of Regulatory Services,	Ongoing	Medium		
		14.5	Ensure all managers and senior practitioners have had change management training	Senior Management Team	Head of Regulatory Services, Business Managers,	30/09/11	Low		
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Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
		15.13							
		15.14							
		15.15							

<b>Completed by:</b> #REF!
<b>Job Title:</b> #REF!
<b>Date:</b> #REF!