Service Worcestershire Regulatory Services

Key Objective: Ref. No. 1	Key Objective: Ref. No. 2	Key Objective: Ref. No.	. 3	Key Objective: Ref. No.	4	Key Objective: Ref. No. 5			
One effective and efficient database system across the partners enabling remote working, self service and on-line payment	Effective and efficient Business Continuity arrangements in place		achieve service delivery	Effective and efficient contracted element	nt arrangements for	Robust arrangements obtaining legal advice a	s in place in relation to and monitoring legislative ages		
Responsibility: SJ	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)			
Delays in developing self service/ public access elements of the system	Major Power failures or other reasons that access to Wyre Forest house is not possible	Major staff sickness	s (e.g. flu pandemic)	Pest and Dog Contro opera		Loss of Majo	r Court Case		
Large scale data cleansing still being undertaken and may not be fully resolved before 2015		Unable to recruit or reta	in suitably qualified staff	Lack of kennellin	g for stray dogs	doing what is required b	gal vires of the service y constituent authorities,		
Significant training needs to enable staff to input information accurately						There may be large on-g have significant impact o service if they are not wo	n the finances of the new		
Question whether there will be sufficient expertise within the new structure to support the migration									
Impact(s)	Impact(s)	Impact(s)		Impact(s)		Impact(s)			
Impair ability to deliver efficiency savings	Disruption to service	Disruption to service		Disruption to service		Negative media coverage	e		
Inability to produce records and data		Disruption to service pro	vision	Negative media coverage		Loss of confidence in the service			
Impact on work planning		Unable to meet service of	lemands	Increased public health ris	sks	Financial loss			
		Unable to fulfil statutory of	obligations						
High Impact Areas Financial	High Impact Areas Financial	High Imp Financial	act Areas	High Impa	act Areas	High Imp Financial	act Areas		
Political H	Political L	Political	M	Political	M	Political	H		
Social L	Social M	Social	M	Social	M	Social	L		
Technical H	Technical L	Technical	L	Technical	L	Technical	L		
Legal L	Legal L	Legal	L	Legal L		Legal	M		
Environmental L	Environmental L	Environmental	M	Environmental L		Environmental	L		
Performance M	Performance L	Performance	M	Performance L		Performance	L		
Climate Change L	Climate Change L	Climate Change	L	Climate Change L		Climate Change	L		
Current Acceptable	Current Acceptable	Current	Acceptable	Command		Current	Acceptable		
	Impact Likelihood Impact Likelihood		Impact Likelihood	Current Impact Likelihood	Acceptable Impact Likelihood	Impact Likelihood	Impact Likelihood		
-			•	•		•	•		
High	Medium   Low   Medium   Low   Risk Colour (Score)   Risk Colour (Score)	Medium Low Risk Colour (Score)	Medium Low Risk Colour (Score)	Low High Risk Colour (Score)	Medium Low Risk Colour (Score)	Medium Low Risk Colour (Score)	Medium Low Risk Colour (Score)		
AMBER (3) GREEN (1)	GREEN (2) GREEN (2)	GREEN (2)	GREEN (2)	AMBER (3)	GREEN (2)	GREEN (2)	GREEN (2)		

Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls
Working with relevant partners to develop public access methodologies	Staff are equipped for mobile/home working	Service priorities to be managed and partners informed of any changes to service	Budget available to use temporary staff or buy in use of other private sector providers in short term	Use of competent staff to undertake investigations
Procurement of mobile working solution is part of the project plan and timescales agreed by Management Board.	Touchdown stations available in partner council locations	Short term contract workers can be brought in to cover any priority areas	Effective negotiation of new contracts during 2015/16	Proper scheme of delegation to ensure authority to take legal decision is clear
	Negotiate arrangements with other partners for wider use of other locations as touchdowns. Also short term use of meeting space	Consultants can provide short term cover		Clear enforcement of policy in place
		Active within regional and sub regional groups to share resources if required		Ensure compliance with legal procedures
		Effective training and development processes in place to ensure recruitment and retention of staff		Effective liaison with partner councils legal services departments

A -4:			A -4!			A -4!			A -4!			A -4!		
Action			Action			Action			Action			Action		
Ref.	Rating	Actions / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements
														Legal advice to be sought throughout the
														entire process using
		Danies and distantian			Mahila / flavilalaaddaa			Harris broading and a settle site.			Design specifications			internal and external
1.1	High	Design specification correctly and on time	2.1	Low	Mobile / flexible working equipment for all staff	3.1	Low	Have business continuity plan in place	4.1	Medium	contracts correctly and on time	5.1	Medium	lawyers according to the information required.
	riigii	correctly and on time	2.1	LOW	equipment for all stall	3.1	LOW	pian in piace	7.1	Wicalam	on time	J.1	Mcdiairi	inionnation required.
1.2	High	Follow procurement process in timely fashion	2.2	Low	Have business continuity plan in place	3.2	Medium	Active participation regional, sub regional groups by team members	4.2	Medium	Follow procurement process in timely fashion	5.2		
1.3	High	Ensure sufficient in-house support for system maintenance and	2.3			3.3			4.3	Medium	Restructure dog warden service	5.3		
1.4			2.4			3.4			4.4			5.4		
1.5			2.5			3.5			4.5			5.5		
1.6			2.6			3.6			4.6			5.6		
1.7			2.7			3.7			4.7			5.7		
1.8 1.9			2.8 2.9			3.8 3.9			4.8 4.9			5.8 5.9		
1.10			2.10			3.10			4.10			5.1		
1.11			2.11			3.11			4.11			5.11		
1.12	•		2.12			3.12			4.12			5.12		
1.13 1.14			2.13 2.14			3.13 3.14			4.13 4.14			5.13 5.14		
1.14			2.14			3.14			4.14			5.14		
					ı	0.10		I.	7.10	1	1	0.10	L	1

Completed by:	Wendy Martin
Job Title:	Business Manager
Date:	12/09/2011

Key Objective: Ref. No.	6	Key Objective:	Ref. No.	7	Key Objective: Ref. No.	8	Key Obje	ctive: Ref. No.	9	Key Objective: Ref. N	o. 10	
Robust arrangements in environmental ir		Effective a	and efficier	nt budgetary control	Service provision com require		Achieve s	stable levels of o	contribution from partner rities,		uality support services to e service provision	
Responsibility:	SJ	Responsibility	:	SJ	Responsibility:	SJ	Responsi	bility:	МВ	Responsibility:	KD	
Associated Key Risk(s)		Associated Ke	y Risk(s)		Associated Key Risk(s)		Associate	ed Key Risk(s)		Associated Key Risk	s)	
Major infectious disease of		Failure to ma	intain effe	ctive budgetary control	Criticism or intervention be unhappy with se	by Government if they are ervice provision			onstituent authorities for vary due to variations in ome	Failure of HR	/ Finance support	
									of scale achieved by ervice county-wide	Failure of ICT support		
							Increase proprtion of overhead:delivery cost ra for partners who make significant reductions				crease and level of support et resulting in the service ected.	
							Invest(s)					
Impact(s)		Impact(s)			Impact(s)		Impact(s)			Impact(s)		
Negative media coverage	if not handled well	Financial loss			Reputational damage		Changes to partner contributions impact on service provision by WRS for all partners			Poor quality ICT provis data loss and service of	ion and support leading to lisruption	
Impact on other service a	reas	Inability to pay s	staff/contra	actors			Service planning becomes more difficult			Service suffers due to lack of capacity		
Well-being of staff		Reputational da	ımage									
Impact on local communit etc)	ties (health, economic,											
Inability to contribute fully disease outbreak. Unable expectations of DEFRA a	to fully meet the											
	_					_			_			
High Impa Financial	act Areas	Financial	High Impa	ict Areas	High Impa	act Areas	Financial	High Impa	act Areas	High In Financial	pact Areas	
Political	H	Political		H	Political	M	Political		H	Political	M	
Social	Н	Social		M	Social	L	Social		Н	Social	M	
Technical	M	Technical		L	Technical	L	Technical		L	Technical	Н	
Legal Environmental	M	Legal Environmental		M	Legal	L	Legal	ontal	L	Legal Environmental	L	
Performance	H M	Performance		L M	Environmental Performance	<u> </u>	Environmental L		L M	Performance	L M	
Climate Change	L	Climate Chang	je	L	Climate Change	L	Performance M Climate Change L		Climate Change	L		
Current	Acceptable	Curren		Acceptable	Current	Acceptable	Current Acceptable		Current Acceptable			
Impact Likelihood	Impact Likelihood		elihood	Impact Likelihood	Impact Likelihood	Impact Likelihood	Impact		Impact Likelihood	Impact Likelihood		
High Low Risk Colour (Score) RED (6)	High Low Risk Colour (Score) AMBER (3)	Medium Risk Colour ( GREEN (		Medium Low Risk Colour (Score) GREEN (2)	Risk Colour (Score) GREEN (1)	Low Low Risk Colour (Score) GREEN (2)		Low our (Score) BER (3)	Medium Low Risk Colour (Score) GREEN (2)	Medium High Risk Colour (Score) RED (6)	Medium Low Risk Colour (Score) GREEN (2)	

Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls
Maintain robust emergency plans	Devolution of cost centres to managers	Keep key government stakeholders appraised of WRS plans and business transformation and address any concerns at an early stage		Transfer of ICT hosting to Wyre Forest and a review of performance will be made after 12 months
An arrangement in place for Managers to deploy staff to support other teams	Monthly reporting within WRS			
Have mutual aid arrangements in place with neighbouring authorities	Quarterly reporting to management board and Joint Committee			
	Compliance with Bromsgrove's financial procedures			

A - 4*			A			A . (*			A					
Action	Datina	A - 4: / I	Action	Datin n	A - 4: / I	Action	Datin	A - ti / I	Action	Datim.	A -4: ( I	Action	Datin	Antinu / Immunaccom auto
Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements
		Maintain emergency						Ongoing liaison with			Partners conform with			
		plans for foreseeable			Monthly monitoring of			Government			legal agreement on			Maintain ongoing liaison
6.1		incidents	7.1	Medium	budgets	8.1	Low	stakeholders	9.1	High	budgetary cost	10.1	Medium	with host authority
														Ensure Management
					Regular report to									Board informed of
6.2			7.2	Low	Management Board	8.2			9.2			10.2	Medium	significant failings
														Host authority to deal
														with issues in a timely
6.3			7.3			8.3			9.3			10.3	High	fashion
0.3			7.3			0.3			9.3			10.3	піgп	lastiloti
6.4			7.4			8.4			9.4			10.4		
0.4			7.4			0.4			9.4			10.4		
												40.5		
6.5			7.5			8.5			9.5			10.5		
	1			I				1						
	1			I				1						
				1										
				1										
6.6			7.6			8.6			9.6			10.6		
6.7			7.7	1		8.7			9.7			10.7		
6.8			7.8	1		8.8			9.8			10.8		
6.9	1		7.9	1		8.9			9.9			10.9		
6.1	1		7.1	1		8.1			9.10			10.10		
6.11	1		7.11	1		8.11			9.11			10.11		
6.12			7.12	1		8.12			9.12			10.12		
6.13			7.13			8.13			9.13	İ		10.13		
6.14			7.14			8.14			9.14	İ		10.14		
6.15	1		7.15	1		8.15		i	9.15	İ		10.15		
				1										1

Key Objective: Ref. No.	11	Key Objective: Ref. No.	12	Key Objective: Ref.	No. 13		Key Objec	tive: Ref. No.	14	Key Objective: Ref. No.	15	
Minimise any perceived of	or real democratic deficit	Effective communication	n with internal partners	Development whe approach to ser			Business	transformation savi	to deliver required cost ngs	Shunting of cost from partners seek to off regulatory services fail	load activity or other	
Responsibility:	MB/JC	Responsibility:	SJ	Responsibility:		МВ	Responsib	oility:		Responsibility:		
Associated Key Risk(s)		Associated Key Risk(s)		Associated Key Ris	k(s)		Associate	d Key Risk(s)		Associated Key Risk(s)		
Local Member / Citizen lack of democratic accou	identifies or perceives	Communication / interf	ace with other services	Partners current m level on top of wh services. This e harminisation appr	odel is to have a ich they can buy effectively elimin	additional ates the artner has a		Service delive	ery problems	Service delivery has to for areas which are high cos		
							Cuts in front line services					
Immost/o)		Immost(s)		Imm ant/a)			Impost(a)			Imm out/o		
Impact(s)		Impact(s)		Impact(s)			Impact(s)			Impact(s)		
Members may not buy inte arrangement	to the Shared Service	Some elements of the ne back to services within th Planning. These cannot processes will not work p	e authorities e.g. be lost otherwise	Post code lottery on makes things difficult to advise as there wi different areas.	for any front en	d (i.e. HUB)	Reduced s	ervice delivery		Reduced breadth of service delivery		
Citizens may have concer provision	rns over loss of localised			Difficult conditions in customers operating different requirement	in more than on	e area face			Increased cost to partners			
Members and citizens ma service in not as good as				Some fees may be o standard processing fees will be different.								
High Impa	act Aroas	High Imp	act Aroas	High	Impact Areas			High Impa	art Areas	High Imp	act Areas	
Financial	L	Financial	M	Financial	puet Alloud	L	Financial		Н	Financial	Н	
Political	Н	Political	M	Political		M	Political		M M	Political	M M	
Social Technical		Social Technical	L	Social Technical		L	Social Technical		IVI	Social Technical	IVI	
Legal	_	Legal	L	Legal		L	Legal		L	Legal	M	
Environmental	L	Environmental	L	Environmental		L	Environme	ental	M	Environmental	L	
Performance	Ĺ	Performance	Ĺ	Performance		L	Performance M		Performance	M		
Climate Change	L	Climate Change	L	Climate Change		L	Climate Change L		Climate Change	L		
Current	Acceptable	Current	Acceptable	Current		eptable		rrent	Acceptable	Current	Acceptable	
Impact Likelihood	Impact Likelihood	Impact Likelihood	Impact Likelihood	Impact Likeliho		Likelihood	Impact	Likelihood	Impact Likelihood	Impact Likelihood	Impact Likelihood	
Low Medium  Risk Colour (Score)  GREEN (2)	Low Medium Risk Colour (Score) GREEN (2)	Low Low Risk Colour (Score) GREEN (1)	Low Low Risk Colour (Score) GREEN (1)	Risk Colour (Score AMBER (3)	e) Risk Col	Medium our (Score) EN (2)	Medium Risk Colo	High our (Score) D (6)	Medium Low Risk Colour (Score) GREEN (2)	Medium Medium Risk Colour (Score) AMBER (4)	Medium Medium Risk Colour (Score) AMBER (4)	
_	_					_		_				

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

				1										
Action			Action			Action			Action			Action		
Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements	Ref.	Rating	Action / Improvements
								Have clear scripting for						
								Customer Service staff						
		Ensure good			Ongoing liaison with			so that they know the			Clear timetable for			
		communications back to			relevant parts in partner			different provisions in			application of systems			
11.1	Medium	the constituent authorities	12.1	Medium	councils (eg Planning)	13.1	Medium	each district	14.1	High	thinking in all areas	15.1		
								Gradually move towards						
								a more standardised						
		Ensure all publicity						approach within the						
		pushes the joint nature of						demands of individual			Implement changes in			
11.2	Low	services	12.2			13.2	Medium	local authorities	14.2	High	timetable	15.2		
		Maintaining "localism"									Effective communication			
		into the operational									with staff around change			
11.3	Low	delivery	12.3			13.3			14.3	Medium	procedures	15.3		
- 11.0	20.11	donvory	12.0			10.0			14.0	mount	procedures	10.0		
											Regular reports to			
11.4			12.4			13.4			14.4	Medium	Management Board	15.4		
											Ensure all managers and			
											senior practitioners have			
											had change management			
11.5			12.5			13.5			14.5	Low	training	15.5		
						1010								
									1					
									1					
									1					
								1	1					
11.6			12.6			13.6			14.6			15.6		
11.7			12.7			13.7			14.7			15.7		
11.8			12.8			13.8			14.8			15.8		
11.9			12.9			13.9			14.9			15.9		
11.10			12.10			13.10			14.10			15.10		
11.11			12.11			13.11			14.11			15.11		-
11.12			12.12	<b> </b>		13.12			14.12	-	<del> </del>	15.12 15.13	-	
11.13 11.14			12.13 12.14			13.13 13.14			14.13 14.14			15.13		
				<b> </b>						-	<del> </del>		-	
11.15			12.15			13.15			14.15			15.15		

## Key Objective: Ref. No. 16 Taking on additional partners and commercial trading Responsibility: Associated Key Risk(s) Potential financial risk to partners in relation to trading activities Delivering over a wider service area may lead to reudced influence for individual partners locally Not achieving the projected income levels Impact(s) Larger economies of scale may deliver potential further savings If it goes wrong, potential for higher costs If income levels not reached service would have to reduce headcount and therefore deliver lesser service levels and have reduced resilience. High Impact Areas Financial Political М Social Technical l enal ow core)

Legai				L		
Environm	ental			L		
Performar	nce		M			
Climate C	hange	L				
Cur	rent		Acce	ptable		
Impact	Likelinoo		Impact	LIKEIII		
Low	Low		Low	Lov		
Risk Colo	ur (Score)		Risk Colo	ur (Sco		
AMB	ER (4)		GREE	EN (2)		
	Curre	nt Key Cor	ntrols			

Action		
Ref.	Rating	Action / Improvements
Iton	rtuting	Action / improvements
15.1		
45.0		
15.2		
15.3		
10.0		
15.4		
45.5		
15.5		
15.6		
15.7		
15.8 15.9		
15.10		
15.10		
15.12		
13.12	l	

15.13	
15.14	
15.15	

## Risk Scorecard

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

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

## Risk Matrix

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

## **Action Ratings**

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

Service: Worcestershire Regulatory Services	Ī	Current Position Key:
•	RED	Behind Target
	GREEN	On Target
	BLUE	Completed

				DEGE	Completed				
Key Risk Ref.		Action		Responsible Officer	Responsible Officer	Target Completion Date		End of Year	
No.	Key Risk	Ref.	Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating	Position	Comments
1	One effective and efficient database system across the partners enabling remote working, self service and	1.1	Design specification correctly and on time		Business Manager	Oct-11	High		
	on-line payment	1.2	Follow procurement process in	sw	Business Manager	Mar-12	High		
			timely fashion						
		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							
		1.9							
		1.10							
		1.11							
		1.12							
		1.13							
		1.14							
		1.15							
	•								
2	Effective and efficient Business Continuity arrangements in place		Mobile / flexible working equipment for all staff	Team Managers	Team Managers	Dec-11	Low		
			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							
		2.10							
		2.11							
		2.12							
		2.13							
		2.14							
		2.15			İ				ĺ

Total Transfer									
Key						Target			
Risk				Responsible		Completion		End of	
Ref.		Action		Officer	Responsible Officer	Date		Year	
No.	Key Risk	Ref.	Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating	Position	Comments
							-		
3	Maintain our capacity to	3.1	Have business continuity plan in	Level B	Business Manager	Mar-12	Low		
	achieve service delivery		place		Ĭ				
		3.2	Active participation regional, sub	Team Managers	Team Managers	Ongoing	Medium		
		3.2	regional groups by team members	ream Managers	Team Managers	Origonia	Wediaiii		
		3.3	regional groups by team members						
		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	4.1	Design specifications contracts	WM/AF	Business Manager/Team Manager	Sep-11	Medium		
	arrangements for		correctly and on time		(Central Operations)	·			
	contracted elements of		,		, ,				
	dog control								
	and common	4.2	Follow procurement process in	WM/AF	Business Manager/Team Manager	Dec-11	Medium		
		7.2	timely fashion		(Central Operations)	200 11	Wicarani		
		4.3	Restructure dog warden service	Level B/AF	Business Manager/Team Manager	Mar-12	Medium		
		4.3	Restructure dog warden service	Level D/Al-	(Central Operations)	IVIAI-12	Wediaiii		
		- 4 4			(Certifal Operations)				
		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	5.1	Legal advice to be sought	Team Managers	Team Managers	Ongoing	Medium		
	place in relation to		throughout the entire process using	1		_			
	obtaining legal advice		internal and external lawyers						
	and monitoring		according to the information	1					
	legislative changes		required.	1					
	J	5.2	·						
		5.3		Ì					
		5.4							
		5.5		İ					
		5.6		1					
		5.7							
		5.8		<del> </del>				<b> </b>	
		5.9		1					
		5.9 5.10		1					
		5.10 5.11		1					<del> </del>
		5.11							
		5.12		1					<u> </u>
				1					
		5.14						ļ	
		5.15							

Key						Target			
Risk				Responsible		Completion		End of	
Ref.		Action		Officer	Responsible Officer	Date		Year	
No.	Key Risk	Ref.	Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating	Position	Comments
•	D-bt		INA-latala annonce and a fact	IT M	IT M	1 0		ı	1
6	Robust arrangements in	6.1	Maintain emergency plans for	Team Manager	Team Managers	Ongoing	Medium		
	place to respond to an		foreseeable incidents						
	environmental								
	incident/disaster								
		6.2							
		6.3							
		6.4							
		6.5							
		6.6							
		6.7							
		6.8							
		6.9							
		6.10							
		6.11							
		6.12							
		6.13							
		6.14							
		6.15							
7	Effective and efficient	7.1	Monthly monitoring of budgets	Team Managers	Team manager	Ongoing	Medium	l	
	budgetary control	7.1	Information of budgets	ream wanagets	i cam manayer	Origoing	wedium		
		7.2	Regular report to Management	SJ	Head of Regulatory Services	Ongoing	Low		
			Board		l load of regulatory convices	0909	2011		
		7.3	Board						
		7.4							
		7.5							
		7.6							
		7.7							
		7.7							
		7.9		-					
		7.10 7.11		-					
		7.11		-					
		7.13							
		7.14							
		7.15							
8	Service provision	8.1	Ongoing liaison with Government	SJ	Head of Regulatory Services	Ongoing	Low		
	complies with		stakeholders	1					1
	Government								
	requirements								
		8.2							
		8.3							
		8.4							
		8.5							
		8.6							
		8.7							
		8.8							
		8.9							
		8.10							
		8.11							
		8.12							
		8.13							
		8.14							
		8.15							
	A - b: t - b - b - c		Desta de la constanta de la co	Indamana d	IM				
	Achieve stable levels of	9.1	Partners conform with legal		Management Board members	Ongoing	High		1
	contribution from partner	1	agreement on budgetary cost	Board					1
	authorities,			<b>_</b>					
		9.2							1
		9.3		1					
		9.4							1
		9.5							1

9.6 9.7 9.8 9.9 9.10 9.11 9.12	Risk Ref. No.		n Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
9.8 9.9 9.10 9.11 9.12									
9.9 9.10 9.11 9.12		9.7							
9.10 9.11 9.12		9.8							
9.11 9.12		9.9							
9.12		9.10							
		9.11							
		9.12							
9.13		9.13							
9.14		9.14							
9.15		9.15							

Key						Target			
Risk				Responsible		Completion		End of	
Ref.		Action		Officer	Responsible Officer	Date		Year	
	Key Risk	Ref.	Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating		Comments
	,			(Common)		(,			
	Host provides high	10.1	Maintain ongoing liaison with host	Team Managers	Head of Regulatory Services,	Ongoing	Medium		
	quality support services		authority	and Senior	Business Managers and Team				
	to ensure effective			Management	Managers				
	service provision			Team					
		10.2	Ensure Management Board informed	SJ	Head of Regulatory Services	Ongoing	Medium		
			of significant failings	100					
		10.3	Host authority to deal with issues in	KD	Chief Executive, Bromsgrove	Ongoing	High		
		40.4	a timely fashion						
		10.4 10.5							<u> </u>
		10.6							<del> </del>
		10.7							
		10.8							
		10.9							
		10.10							
		10.11							
		10.12							
		10.13							
		10.14							
		10.15							
44	Minimina		The same and a same surface the same to the	Tages Marrare	Lload of Dominitary Comita	0	NA - 2"		<del>,                                      </del>
11	Minimise any perceived or real democratic deficit		Ensure good communications back	Team Managers and Senior	Head of Regualtory Services,	Ongoing	Medium		
	or real democratic deficit		to the constituent authorities		Business Managers, Team				
		11.1		Management Team	Managers				
		11.1	Ensure all publicity pushes the joint	Team Managers	Head of Regualtory Services,	Ongoing	Low		<u> </u>
			nature of services	and Senior	Business Managers, Team	Origoning	LOW		
			ridiale of services	Management	Managers				
		11.2		Team	Managoro				
			Maintaining "localism" into the	Senior	Head of Regualtory Services,	Ongoing	Low		
			operational delivery	Management	Business Managers,				
		11.3		Team	_				
		11.4							
		11.5							
		11.6							
		11.7							
		11.8							
		11.9							
		11.10 11.11				+			
		11.11				+			+
		11.12				+			+
		11.14				+			+
		11.15				+			†
				1	l .	1		1	
12	Effective communication		Ongoing liaison with relevant parts in	Team Manager	Team Managers	Ongoing	Medium		
	with internal partners		partner councils (eg Planning)			]			
		12.1				1			
		12.2							
		12.3							
		12.4				1			
		12.5							
		12.6							1
		12.7				+			+
		12.8				+			+
		12.9 12.10				+			+
		12.10				+			
		12.11				+			+
		12.12				+			+
		12.13				+			+
		12.15				1			
		•	1		1			1	<u> </u>

Key						Target			
Risk				Responsible		Completion		End of	
Ref.		Action		Officer	Responsible Officer	Date		Year	
	Key Risk		Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating		Comments
No. 13	Development where	Rei.	Have clear scripting for Customer	Team Manager	Team Managers	Ongoing		Position	Comments
13	possible of harmonised		Service staff so that they know the	ream Manager	realli Managers	Origoring	wearum		
	approach to service		different provisions in each district						
	delivery by partners	13.1	different provisions in each district						
	delivery by partners	13.1	Gradually move towards a more	Senior	Head of Regulatory Services,	Ongoing	Medium		
			standardised approach within the	Management	Business Managers	Ongoing	wearum		
			demands of individual local	Team	Busiliess ivialiagers				
			authorities	I Gaill					
		13.3	authornies						
		13.4							
		13.5							
		13.6							
		13.7							
		13.8							
		13.9							
		13.10							
		13.11							
		13.11							
		13.13							
		13.14							
		13.15							
			1	L	1				
14	Business transformation		Clear timetable for application of	DM	Team manager Support Services	Sep-11	High		
	to deliver required cost		systems thinking in all areas		Support Corvious	30p 11	9		
	savings	14.1	by sterne timining in all areas						
	ourge		Implement changes in timetable	Team Managers	Head of Regulatory Services,	Dec-11	High		
			Implement changes in timetable	and Senior	Business Managers, Team	200 11	1.1.9.1		
				Management	Managers				
		14.2		Team	a.iago.o				
			Effective communication with staff	Team Managers	Head of Regulatory Services,	Ongoing	Medium		
			around change procedures	and Senior	Business Managers, Team	99			
			around onlyings procedures	Management	Managers				
		14.3		Team					
			Regular reports to Management	SJ	Head of Regulatory Services,	Ongoing	Medium		
		14.4	Board			0 0			
			Ensure all managers and senior	Senior	Head of Regulatory Services,	30/09/2011	Low		
			practitioners have had change	Management	Business Managers,				
			management training	Team	3,				
		14.6	V						
		14.7							
		14.8							
		14.9							
		14.10							
		14.11							
		14.12							
		14.13							
		14.14							
		14.15							
15	Shunting of cost from								
	other public services if								
	partners seek to off load								
	activity or other								
	regulatory services fail to								
	deliver in their areas	15.1							
		15.2							
		15.3							
		15.4							
		15.5							
		15.6							
		15.7							
		15.8							
		15.9							
		15.10							

Key Risk				Responsible		Target Completion		End of	
Ref.		Action		Officer	Responsible Officer	Date		Year	
No.	Key Risk	Ref.	Actions / Improvements	(Name)	(Job Title)	(Month/Year)	Rating	Position	Comments
		15.11							
		15.12							
		15.13							
		15.14							
		15.15							

Completed by:	Wendy Martin
Job Title:	Business Manager
Date:	40798