

# CORPORATE RISK REGISTER

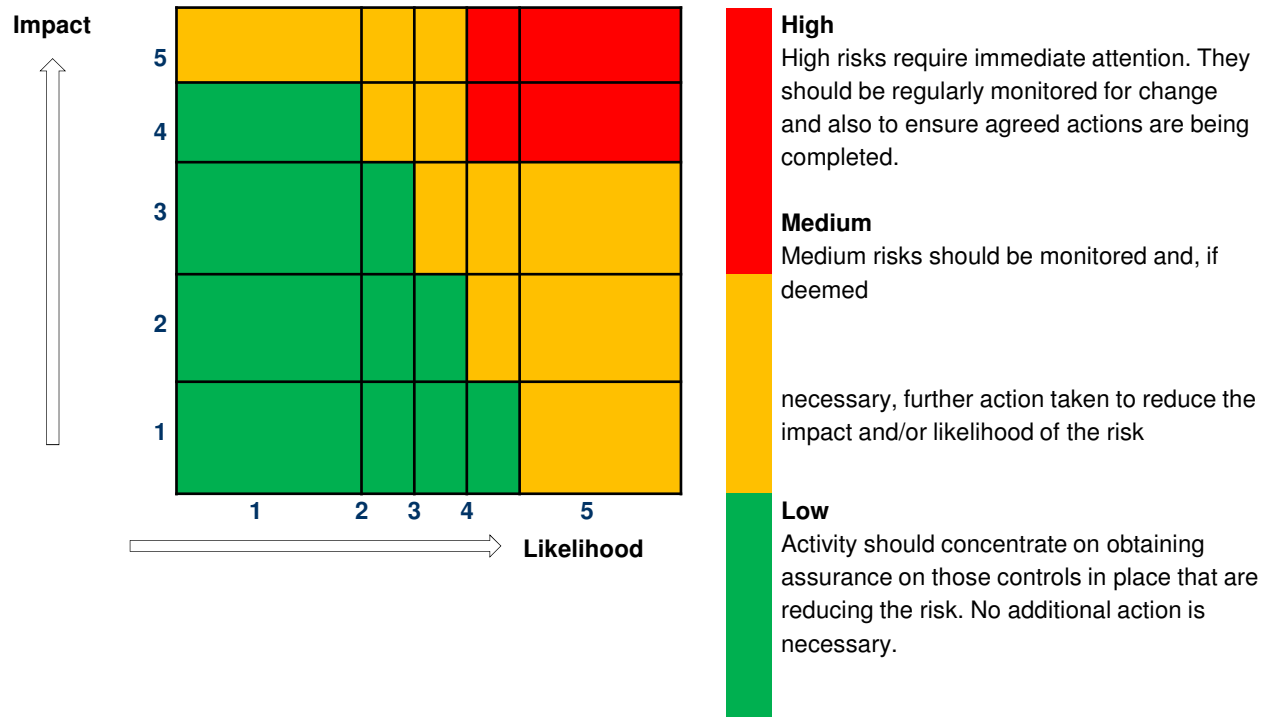


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# Risk Scoring Matrix

The risk scoring matrix reflects both Councils' current **appetite / tolerance** to risk. This risk tolerance should be reviewed at least annually as part of the formal refresh of risk management. There are three risk classification (low, medium and high) and these are based on the impact and likelihood values that are given to each risk. The risk matrix below illustrates how risks are classified.



Risk	Cause / Effect	Current Mitigations	Inherent Risk	Actions Needed	Residual Risk	Risk Owner	Update
Fatality within service provision	<ul style="list-style-type: none"> <li><b>Cause:</b></li> <li>Consequence of Council action</li> <li>Negligence by Council</li> <li>Actions beyond Council control</li> <li><b>Effect:</b></li> <li>Reputation affected</li> <li>Legal action against Council</li> <li>Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>Standard Operating Procedures - SOP (H&amp;S etc)</li> <li>Training for staff</li> <li>Health-checks</li> <li>First Aid / Defibrillation provision</li> <li>Safeguarding Policy and Procedures</li> <li>Risk Assessments</li> </ul>	Impact – 4 Likelihood – 3 = 12	<ul style="list-style-type: none"> <li>Review of SOPs, training provision and health-check processes</li> <li>Action plan re H&amp;S Audit and Insurance Audits</li> </ul>	Impact – 4 Likelihood – 2 = 8	Deb Poole	<p><i>Full update report to H&amp;S Ctte</i></p> <p><i>Mandatory Corporate Induction re H&amp;S for new and existing staff</i></p> <p><i>Updated corporate H&amp;S policy</i></p> <p><i>Insurance Audit undertaken with action plan and recommendations being actioned by managers</i></p>



<p>Snap / poorly informed decisions made on savings / cuts</p>	<ul style="list-style-type: none"> <li>• <b>Cause:</b></li> <li>• Requirement for savings to balance budget</li> <li>• Unanticipated cost pressures / demand on services</li> <li>• Pressure from other partners</li> <li>• <b>Effect:</b></li> <li>• Longer term improvement / innovation / efficiency is hindered</li> <li>• Impact on organisation, staff and residents</li> <li>• Impact on Transformation Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Robust budget-setting process in place</li> <li>• Good awareness of Transformation Programme</li> </ul>	<p>Impact – 4 Likelihood – 3 =12</p>	<ul style="list-style-type: none"> <li>• Establish "whole-life" or "end to end" approach to assessment of savings proposals</li> <li>• Develop/improve support for Leadership and decision-making roles of Members</li> <li>• On line access for managers for budgets and actual spend</li> <li>• Performance Dashboard to be developed for members</li> <li>• Data to drive and inform decision making based on evidence of community need</li> </ul>	<p>Impact – 4 Likelihood – 2 = 8</p>	<p>Jayne Pickering</p>	<p><i>Detailed budget schedules being developed with managers</i></p> <p>Financial implications detailed in liaison with Managers to ensure Members have relevant information to make considered decision</p>
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<p>Financial constraints ( from external sources reducing funding) have a negative impact on service delivery and/or quality</p>	<ul style="list-style-type: none"> <li>• <b>Cause:</b></li> <li>• Reduced budget for staffing</li> <li>• Reduced spend on maintenance</li> <li>• Service cessation</li> <li>• <b>Effect:</b></li> <li>• Reputation affected</li> <li>• Quality of life of residents affected</li> <li>• Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>• Medium Term Financial Plan in place with assumptions on levels of cuts</li> <li>• No unidentified savings in the finance plan</li> <li>•</li> </ul>	<p>Impact – 4 Likelihood – 4 = 16</p>	<ul style="list-style-type: none"> <li>• Reviewing balances and reserves</li> <li>• Ensure updated with legislation and financial impact of changes</li> <li>• Reporting regularly to members</li> </ul>	<p>Impact – 4 Likelihood – 4 = 16</p>	<p>Jayne Pickering</p>	<p><i>Balances and Reserves under detailed review for 2016/17 budget with explanation for any reserves being kept</i></p> <p><i>Regular updates to members when information available from Members</i></p> <p><i>Legislative changes included in the budget plans</i></p>
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Partners of the Councils fail to deliver on joint-working	<ul style="list-style-type: none"> <li>• <b>Cause:</b></li> <li>• Sovereignty issues / fear of losing control</li> <li>• Pressures on partner organisation (financial or political)</li> <li>• Resources available from partners</li> <li>• Lack of understanding / buy in</li> <li>• <b>Effect:</b></li> <li>• Service improvement hindered</li> <li>• Reputation affected</li> <li>• Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>• Robust governance structures in place</li> <li>• Funding mechanisms in place and legally enforceable</li> <li>• Partnership Boards ( LEP etc)</li> </ul>	Impact – 4 Likelihood -4 = 16	<ul style="list-style-type: none"> <li>• Ensure that key decision-makers are round the partnership table</li> <li>• Undertake Partnership health-check for all partnership initiatives</li> <li>• Connecting Families</li> <li>• Consideration of Combined Authorities</li> </ul>	Impact – 4 Likelihood - 3 = 12	All	<p>Regular Connecting Families meetings with all partners to assess service</p> <p>Worcestershire Partnership Group attended by Chief Executive</p> <p>Devolution agenda considered by officers with reporting when sufficient information to members</p>
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<p>Business Continuity Plans fail to operate effectively in a major emergency incident</p>	<ul style="list-style-type: none"> <li>• <b>Cause:</b></li> <li>• Plans still in draft and not tested</li> <li>• Plans not implemented or promoted (i.e. staff not made aware)</li> <li>• <b>Effect:</b></li> <li>• Potential injury / loss of life</li> <li>• Damage to property / equipment</li> <li>• Service delivery affected</li> <li>• Councils' reputation harmed</li> <li>• Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>• Existing Business Continuity Plan is in place</li> </ul>	<p>Impact -5 Likelihood – 2 = 10</p>	<ul style="list-style-type: none"> <li>• Refresh Business Continuity Plan</li> <li>• Plan the transition between the old and new plans</li> <li>• Ensure partners are fully aware and informed of their roles</li> <li>• Link Plans across H&amp;S , Emergency Plan, Risk assessments</li> <li>• Work Programmes (testing etc) to be developed</li> </ul>	<p>Impact -5 Likelihood -2 = 10</p>	<p>Sue Hanley</p>	<p><i>Business Continuity Plans updated</i></p> <p><i>New Officer recruited to provide emergency planning support across the Council</i></p>
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<p>IT systems and infrastructure has a major failure</p>	<ul style="list-style-type: none"> <li>• <b>Cause:</b></li> <li>• Systems bugs / errors</li> <li>• Failure in power supply</li> <li>• Storage of data/servers affected</li> <li>• <b>Effect:</b></li> <li>• Loss of key data</li> <li>• Service delivery affected</li> <li>• Councils' reputation harmed</li> <li>• Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>• Business Continuity Plans in place</li> <li>• Discrete and remote data storage in place</li> <li>• Back-up procedures in place and followed</li> </ul>	<p>Impact – 3 Likelihood – 3 = 9</p>	<ul style="list-style-type: none"> <li>• Review current IT business continuity procedures</li> <li>• External validation of IT resilience</li> </ul>	<p>Impact – 3 Likelihood – 2 = 6</p>	<p>Deb Poole</p> <p><i>Continuity Plan updated</i></p> <p><i>Infrastructure updated to ensure resilience of systems</i></p>
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