

2017/18

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><b>Cause:</b></p> <ul style="list-style-type: none"> <li>• Consequence of Council action</li> <li>• Negligence by Council</li> <li>• Actions beyond Council control</li> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <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>• Health and Safety Committee meets regularly</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> <li>• Updated inspection policy</li> <li>• Continued updates to Health and Safety Committee</li> </ul>	Impact – 4 Likelihood – 2 = 8	<ul style="list-style-type: none"> <li>• Development of Corporate H&amp;S Measures</li> </ul>	Impact – 4 Likelihood – 2 = 8	Deb Poole	All
Snap / poorly informed decisions made on savings / cuts	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <li>• Requirement for savings to balance budget</li> <li>• Unanticipated cost pressures / demand on services</li> <li>• Pressure from</li> </ul>	<ul style="list-style-type: none"> <li>• Robust budget-setting process in place</li> <li>• Developed budget bids for pressures and details of savings proposed</li> <li>• Performance Dashboard in</li> </ul>	Impact – 4 Likelihood – 3 =12	<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</li> </ul>	Impact – 4 Likelihood -2 = 8	Jayne Pickering	All

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

DRAFT CORPORATE RISK REGISTER –BROMSGROVE DISTRICT COUNCIL

APPENDIX

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	<p>affected</p> <ul style="list-style-type: none"> <li>Quality of life of residents affected</li> <li>Demand increasing on services</li> <li>Negative Financial impact</li> </ul>	<p>networks to identify issues</p> <ul style="list-style-type: none"> <li>4 year financial plan and efficiency plan in place</li> <li></li> </ul>		<p>local demand</p>			
Partners of the Councils fail to work together in proactive way	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <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> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <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 roll out</li> </ul>	Impact – 4 Likelihood -3 = 12		<p>Help me live my life independently</p> <p>Help me run a successful business</p> <p>Help me find somewhere to live in my locality</p>
Business Continuity Plans fail to operate effectively in an	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <li>Service plans not all in place, fit for</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Business Continuity Plan is in place</li> </ul>	Impact -3 Likelihood – 4 =12	<ul style="list-style-type: none"> <li>All services have undertaken a Business Impact</li> </ul>	Impact -5 Likelihood -2 = 10	Sue Hanley	All

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<p>incident.</p>	<p>purpose or validated.</p> <ul style="list-style-type: none"> <li>Plans not implemented or embedded within the culture of the organisation.</li> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <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>All team plans in place</li> <li>Work programme of training &amp; exercising to be reviewed Sept 17</li> </ul>		<p>Analysis (BIA) resulting in revised Business Continuity Plans</p> <ul style="list-style-type: none"> <li>Refresh Corporate Business Continuity Plan following service BIA delivery.</li> <li>Deliver work programme of training &amp; exercises.</li> <li>Risk assessments</li> <li>Work Programmes (testing etc) to be developed</li> </ul>			
<p>IT systems and infrastructure has a major failure</p>	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <li>Systems bugs / errors</li> <li>Failure in power supply</li> <li>Storage of data/servers affected</li> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <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> <li>IT business continuity procedures reviewed</li> </ul>	<p>Impact – 3 Likelihood – 3 = 9</p>	<ul style="list-style-type: none"> <li>Continue to assess strength of IT security</li> </ul>	<p>Impact – 3 Likelihood – 2 = 6</p>	<p>Deb Poole</p>	<p><i>Enabling Services</i></p>

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<p>Lack of robust financial accounting and monitoring arrangements</p>	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <li>• Systems failures</li> <li>• Inexperienced staff</li> <li>• Lack of capacity / resources</li> <li>• Changes in legislation not addressed</li> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>• Inaccurate accounts</li> <li>• Reputation harmed</li> <li>• Financial Decisions being made on inaccurate information</li> </ul>	<ul style="list-style-type: none"> <li>• Action plan in place to monitor S11 recommendations</li> <li>• External support sourced to ensure specialist advice available</li> <li>• Training on system undertaken</li> <li>• Staff training undertaken</li> <li>• Key roles and responsibilities identified</li> </ul>	<p>Impact – 3 Likelihood – 3 = 9</p>	<ul style="list-style-type: none"> <li>• Regular reporting to members</li> <li>• Continue professional development training</li> <li>• Review financial regulations</li> <li>• Implement on line access to financial system for managers</li> </ul>	<p>Impact – 3 Likelihood – 3 = 9</p>	<p>Jayne Pickering</p>	<p><i>Enabling Services</i></p>
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