

2018/19

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 in place</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> <li>Review of corporate capacity to support H&amp;S</li> </ul>	Impact – 4 Likelihood – 2 = 8	Deb Poole	All
Decisions made on savings / cuts that are not informed by robust data and evidence	<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 other partners</li> </ul> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>Longer term improvement /</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 using 5 case model</li> <li>Data used to evidence need in business cases</li> <li>Performance Dashboard in place</li> </ul>	Impact – 4 Likelihood – 3 =12	<ul style="list-style-type: none"> <li>Implementation of Enterprise Resource System to improve functionality of system and access to budget managers</li> <li>Improve consistency and timeliness of information to enable decisions to be made in an</li> </ul>	Impact – 4 Likelihood -2 = 8	Jayne Pickering	All

2018/19

	<p>innovation / efficiency is hindered</p> <ul style="list-style-type: none"> <li>Impact on organisation, staff and residents</li> <li>Impact on Transformation Programme</li> </ul>	<ul style="list-style-type: none"> <li>Established "whole-life" or "end to end" approach to assessment of savings proposals</li> </ul>		<p>informed way</p> <ul style="list-style-type: none"> <li>Improve cost recovery information</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 affected</li> </ul>	<ul style="list-style-type: none"> <li>Budget Scrutiny cross party meeting to review financial issues on a regular basis</li> <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 networks to identify issues</li> </ul>	<p>Impact – 4 Likelihood – 4 = 16</p>	<ul style="list-style-type: none"> <li>Reporting regularly to members of National policy changes that may impact on local demand</li> <li>Earlier consideration of budget implications</li> </ul>	<p>Impact – 4 Likelihood – 4 = 16</p>	Jayne Pickering	All

2018/19

	<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>	<ul style="list-style-type: none"> <li>4 year financial plan in place</li> <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> </ul>					
Business Continuity Plans fail to operate effectively in an incident.	<p><b>Cause:</b></p> <ul style="list-style-type: none"> <li>Service plans not all in place, fit for purpose or validated.</li> <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</li> </ul>	<ul style="list-style-type: none"> <li>All services have undertaken a Business Impact Analysis (BIA) resulting in revised Business Continuity Plans</li> <li>Lead officer in place</li> <li>Heads of Service identified as on duty officers</li> </ul>	Impact -3 Likelihood – 4 = 12	<ul style="list-style-type: none"> <li>Corporate Business Continuity Plan to be refreshed</li> </ul>	Impact -5 Likelihood -2 = 10	Sue Hanley / Ruth Bamford	All

2018/19

	harmed <ul style="list-style-type: none"> <li>Financial impact</li> </ul>						
IT systems and infrastructure has a major failure	<b>Cause:</b> <ul style="list-style-type: none"> <li>Global virus attack</li> <li>Failure in power supply</li> <li>Storage of data/servers affected</li> </ul> <b>Effect:</b> <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>	Impact – 3 Likelihood – 3 = 9	<ul style="list-style-type: none"> <li>Continue to assess strength of IT security</li> </ul>	Impact – 3 Likelihood – 2 = 6	Deb Poole	<i>Enabling Services</i>