

**Bromsgrove District Council Risk Register**

Service:	CORPORATE
Service Area:	N/A

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	
Effective Corporate leadership Responsibility: CEO		Effective Member / Officer relations Responsibility: Head of Legal, Equalities & Democratic Services and CEO		Effective Member / Member relations Responsibility: Head of Legal, Equalities & Democratic Services and CEO		Capability to respond to Civil Contingencies Act and effective Business Continuity Responsibility: Executive Director Partnerships & Projects		Effective employee recruitment, retention and workforce planning Responsibility: Head of HR & OD	
Links to Council Objective:	Improvement (02)	Links to Council Objective:	Improvement (02)	Links to Council Objective:	Improvement (02)	Links to Council Objective:	Improvement (02)	Links to Council Objective:	Improvement (02)
High Impact Areas		High Impact Areas		High Impact Areas		High Impact Areas		High Impact Areas	
Financial	✓	Financial	✓	Financial	✓	Financial	✓	Financial	✓
Political	✓	Political	✓	Political	✓	Political	✓	Political	✓
Social	✓	Social	✓	Social	✓	Social	✓	Social	✓
Technical	✓	Technical	✓	Technical	✓	Technical	✓	Technical	✓
Legal	✓	Legal	✓	Legal	✓	Legal	✓	Legal	✓
Environmental		Environmental		Environmental		Environmental	✓	Environmental	✓

Current		Acceptable		Current		Acceptable		Current		Acceptable		Current		Acceptable	
Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood
Medium	Medium	Low	Medium	High	Medium	Medium	Medium	High	High	High	Low	High	Medium	Medium	Medium
Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)		Risk Colour (Score)	
AMBER (4)		GREEN (2)		RED (6)		AMBER (4)		RED (9)		AMBER (3)		RED (6)		AMBER (4)	

Current Key Controls		Current Key Controls		Current Key Controls		Current Key Controls		Current Key Controls	
Weekly meetings between Chief Executive and Leader. Summary notes are produced and actions arising documented and reviewed.		Regular meetings between Portfolio Holder and HOS. Actions arising documented and reviewed. Monthly reports prepared by HOS to inform Portfolio Holder and CEO of current issues, financial and performance information and Portfolio Holders present service reports at Committee meetings. In addition HOS provide training to Members in relation to their service area.		Regular meetings between Leader and Group Leaders. Actions arising documented and reviewed. Leader feeds back to Chief Executive.		Trained and Experienced Emergency Planning Officer in post (at County and funded by BDC) as first point of contact in the event of an emergency working to agreed policies and procedures.		Training and development opportunities supported by a training budget. Includes internal courses and attainment of professional qualifications, where appropriate. The Training Directory is updated on a quarterly basis to ensure that training opportunities are pro-active and responsive.	
Regular meetings between Portfolio Holder and HOS. Actions arising documented and reviewed. Monthly reports prepared by HOS to inform Portfolio Holder and CEO of current issues, financial and performance information.		Monitor adherence with the Council Constitution and action taken where required. Monitored by the Monitoring Officer through the Standards Committee.		Independent Political Groups occupy key roles to ensure opposition leaders take a proactive role. Note: at the time the risk register compiled Labour Members are not participating.		Emergency Plan which is subject to a regular review and action taken where required. Emergency Plan has been subject to testing.		Annual PDR process which has been reviewed and delivers focus by ensuring that all employees, including the CEO, have development plans and are set appropriate targets that are aligned to Council objectives.	
Council Vision & Priorities in place which govern the approval of projects. All projects have to clearly link to the council priorities and objectives in order for approval to be considered.		Chief Executive regularly attends Group Leaders and Leaders Group meetings (both informal and formal).		Monitor adherence with the Council Constitution and action taken where required. Monitored by the Monitoring Officer through the Standards Committee.		Level of service provided by Worcestershire County Council who are the principal coordinators for Worcestershire is detailed in a Service Level Agreement.		The short term People Strategy is operational. Compliance with the strategy is monitored via the CEO/Head of HR & OD 1:2:1's and via the Head of HR & OD/direct reports 1:2:1's. Summary notes of 1:2:1's are produced and actions arising documented and reviewed.	
Leader, Deputy Leader and Leader of Opposition undertake appraisal for CEO and set clear targets for delivery (aligned to the Council Plan).		Weekly meetings between Chief Executive and Leader. Summary notes are produced and actions arising are documented and reviewed.		Member/member protocol which has been endorsed by Group Leaders. Monitor adherence with the Member/Member protocol and action taken where required. Monitored by the Monitoring Officer.		Disaster Recovery site available at County Council. Site has servers; network connections; copies of systems and data. In the event of a disaster the site provides opportunity to link machines for core systems e.g. Academy, Agresso etc. The site has been subject to testing.		Vacancy Management approval process in place.	
Chief Executive regularly attends Group Leaders and Leaders Group meetings (both informal and formal)				Ethical standards position in place to undertake member investigations following transfer of responsibility from Standards Board.		HOS undertake Emergency Planning Lead role on a weekly basis to ensure continuity of leadership in issues arising.			

Regular communications with staff around key issues

**Key Objective: Ref. No. 6**

Effective Health and Safety management  
Responsibility: Head of HR & OD

<b>Links to Council Objective:</b>	Improvement (02)
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 7**

Effective two tier working and shared services  
Responsibility: CEO

<b>Links to Council Objective:</b>	Improvement (02)
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 8**

Effective Community Engagement and Communications  
Responsibility: Assistant CEO

<b>Links to Council Objective:</b>	Improvement (02)
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 9**

Successful management of Job Evaluation appeals process  
Responsibility: Head of HR & OD

<b>Links to Council Objective:</b>	Improvement (02)
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 10**

All Council data is accurate and of high quality  
Responsibility: Assistant CEO and Head of E-Gov & Customer Services

<b>Links to Council Objective:</b>	Improvement (02)
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	
Technical	✓
Legal	✓
Environmental	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Medium	Medium	Low	Medium
<b>Risk Colour (Score)</b>		<b>Risk Colour (Score)</b>	
AMBER (4)		GREEN (2)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Medium
<b>Risk Colour (Score)</b>		<b>Risk Colour (Score)</b>	
RED (6)		AMBER (4)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Medium
<b>Risk Colour (Score)</b>		<b>Risk Colour (Score)</b>	
RED (6)		AMBER (4)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Medium	Low	Low	Low
<b>Risk Colour (Score)</b>		<b>Risk Colour (Score)</b>	
GREEN (2)		GREEN (1)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Low
<b>Risk Colour (Score)</b>		<b>Risk Colour (Score)</b>	
RED (6)		GREEN (2)	

**Current Key Controls**

Updated Health & Safety policy sets out aims and objectives for improving H&S at work. Includes organisational responsibilities and arrangements currently in force for achieving those objectives. Policy subject to regular review.

Health and Safety training is mandatory for all new Members and Officers and is included within the Induction programme. Refresher training is provided for Fire Wardens and First Aiders and is included in the Training Directory for staff who choose refresher training.

Government initiative to review long term sickness in public sector and reduce number of working days lost by 30% by 2010. Council has active engagement with the H&S Executive to deliver the reduction. Some of the key underlying work-related causes of sickness absence being addressed are work related stress, musculoskeletal disorder and slips & trips.

H&S audits of the Council House, Depot, Sports Centres and Play Areas. A 90% compliance level has been achieved for each service and section. Individual reports are provided for Heads of Service that provide examples of methods of monitoring action plans.

**Current Key Controls**

Clearly identified and communication of 'local' management arrangements and regular and effective strategic dialogue at SMT level. Meetings are minuted and actions arising documented and reviewed.

Bi-monthly, Leaders from all the councils in Worcestershire meet with Chief Executive Officers. Actions arising documented and reviewed. Monthly Chief Execs Panel attended by BDC. Chief Exec chairs Programme Board.

The determination of clear arrangements for 'locally focused' management and adequate support / backfill arrangements.  
To be kept under review – management capacity at BDC addressed following last CPA. Funds available to address any concerns under Improvement Plan. External support provided through WMRIEP funding and £40,000 allocated by each Council to progress business case.

Cross Party shared services board in place to oversee performance, development of business cases and progress of shared services work.

Investment of time by acting Chief Executive in building relationships and respecting local expertise, knowledge and intelligence.

**Current Key Controls**

Community Engagement Strategy and Action Plan updated annually.

Communications Strategy and Action Plan updated annually.

Quarterly community engagement working group.

Communications Planner submitted to CMT every two weeks.

**Current Key Controls**

Corporate JE Steering Group - membership comprising Head of HR&OD, Head of Finance, Deputy Head of Street Scene, 3 Trade Unions. The group will now be used for JE Auditing and overseeing the Appeals process only.

Open and frequent communication with staff via staff forums, also communicated through monthly updates in connect magazine and Core Brief. The focus now will be upon JE Appeals.

CMT share ownership of project with Single Status being a CMT agenda item.

**Current Key Controls**

On an annual basis each Head of Service submits Performance Indicator certificates to the Senior Policy & Performance Officer. PI's are subject to exception checking by Corporate Communications, Policy and Performance Team, that is, are checked to Performance Indicator certificates.

External Audit review data in accordance with Key Lines of Enquiry. For identified issues, action plans are implemented and reviewed.

The Council has an information retention schedule and has conducted an information audit.

The Council has a data sharing protocol in place.

Reports protocols are in operation that require reports to be circulated to relevant Heads of Service for review/comment prior presentation to CMT and Cabinet.

Headline items in Staff Forums and Briefing sessions held by Chief Executive Officer and Leader. Included on Core Brief when relevant.

The Information Manager is in post.

**Key Objective: Ref. No. 11**

Effective Customer Focused Authority  
Responsibility: Assistant CEO and Head of E-Gov & Customer Services

Links to Council Objective:	Improvement (02)
High Impact Areas	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	
Environmental	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Medium	Medium	Medium	Low
Risk Colour (Score)		Risk Colour (Score)	
AMBER (4)		GREEN (2)	

**Current Key Controls**

Monitoring and review of RLAs between Customer Service Centre and back office and action taken where required.

Monitoring of adherence with the corporate Customer Service Standards, and action taken where required.

Annual review of Customer First Strategy.

Regular attendance at strategic Worcestershire Hub meetings.

Monthly management information on Customer Service Centre performance is distributed to CMT and Portfolio Holder.

**Key Objective: Ref. No. 12**

Ensure the Council achieves an improved rating under the CAA regime  
Responsibility: CEO and Assistant CEO

Links to Council Objective:	Improvement (02)
High Impact Areas	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Low	Medium	Low
Risk Colour (Score)		Risk Colour (Score)	
AMBER (3)		GREEN (2)	

**Current Key Controls**

Improvement plan in place addressing areas of concern. Plan is monitored on a monthly basis (by CMT, PMB, Executive Cabinet) and adjustments made as required. Meetings are minuted and actions arising are reviewed.

Locality evaluation presented to annual LSP Board away day and to PMB, to identify areas for improvement in District (this will include the Place Survey results for 2009/2010). In areas of concern additional resourced made available.

Sustainable Community Strategy, Council Plan and business plans updated to reflect areas for improvement in the District, with outcome measures.

Sustainable Community Strategy, Council Plan and business plans updated to reflect areas for improvement in the District, with outcome measures.

PMB Members trained and kept up to date on CAA.

**Key Objective: Ref. No. 13**

Effective VFM arrangements to deliver efficiencies across the Council  
Responsibility: Head of Financial Services

Links to Council Objective:	Improvement (02)
High Impact Areas	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Low	Medium	Low
Risk Colour (Score)		Risk Colour (Score)	
AMBER (3)		GREEN (2)	

**Current Key Controls**

VFM Strategy in place. Action plan approved in 2007 monitored on a quarterly basis by members. Review of action plan and strategy to be undertaken in 2009/10.

VFM and procurement training delivered to officers and members.

Effective procurement procedures and processes in place including: procurement strategy, code, framework for corporate contracts and training for officers and members. Strategy to be reviewed for any updates in 2009/10.

Efficiency gains monitored within the integrated performance and finance report presented to members quarterly. Gains reported to DCLG through County wide consolidation on a quarterly basis.

VFM considerations included in Committee reports to ensure all projects & services address issues of delivering VFM to residents.

**Key Objective: Ref. No. 14**

Influence a regenerated town centre through improved retail and public service  
Responsibility: Executive Director of Partnerships and Projects

Links to Council Objective:	Regeneration (01)
High Impact Areas	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	
Environmental	✓

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Medium
Risk Colour (Score)		Risk Colour (Score)	
RED (6)		AMBER (4)	

**Current Key Controls**

Regeneration Steering Group in place that meet 6 weekly - including external & internal officers and members. Project Plan for delivery.

Operations team in place for low level strategy and operations - part of overall plan.

Theme / Stakeholder group - LSP group to include traders and principle stakeholders.

Public consultation through the area action plan. Surveys conducted through issues and options survey.

Regular discussions with County Council re planning etc - specialist legal and commercial advice.

**Key Objective: Ref. No. 15**

Effectively address external influences that impact on the community ( climate change, economic impact )  
Responsibility: Assistant CEO

Links to Council Objective:	Sense of Community & Well Being (03)
High Impact Areas	
Financial	✓
Political	✓
Social	✓
Technical	
Legal	
Environmental	✓

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Medium
Risk Colour (Score)		Risk Colour (Score)	
RED (6)		AMBER (4)	

**Current Key Controls**

Climate change identified as key priority for the Council for realignment of funding and resource.

Joint working group in place with external stakeholders to address economic concerns (benefit, homelessness, worklessness) - meet on a quarterly basis.

Welfare officer in place in benefits to discuss concerns with individual claimants.

Travel plan, air quality strategies developed to support the climate change agenda.

Staff trained in debt management advice and support.

Trained, experienced and professional staff, working to agreed policies and procedures and subject to continuous review.

**Key Objective: Ref. No. 16**

Effective asset management  
Responsibility: Executive Director Services

<b>Links to Council Objective:</b>	<b>Improvement (02)</b>
<b>High Impact Areas</b>	
Financial	✓
Political	
Social	✓
Technical	✓
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 17**

<b>Links to Council Objective:</b>	
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 18**

<b>Links to Council Objective:</b>	
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 19**

<b>Links to Council Objective:</b>	
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

**Key Objective: Ref. No. 20**

<b>Links to Council Objective:</b>	
<b>High Impact Areas</b>	
Financial	✓
Political	✓
Social	✓
Technical	✓
Legal	✓
Environmental	✓

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
High	Medium	Medium	Medium
Risk Colour (Score)		Risk Colour (Score)	
RED (6)		AMBER (4)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Risk Colour (Score)		Risk Colour (Score)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Risk Colour (Score)		Risk Colour (Score)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Risk Colour (Score)		Risk Colour (Score)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Risk Colour (Score)		Risk Colour (Score)	

**Current Key Controls**

3 year Asset Management Plan approved by Cabinet until 2012

Monthly Asset Management Group meeting format established to review and decide asset management actions

Partnership with Property team at WCC now entering 2nd year. Professional Property Services provided as part of a SLA

**Current Key Controls**

**Current Key Controls**

**Current Key Controls**

**Current Key Controls**

