


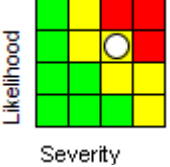
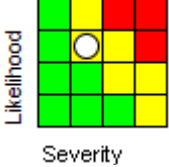
corporate risk register 1112

Generated on: 13 October 2011


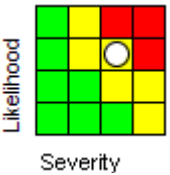
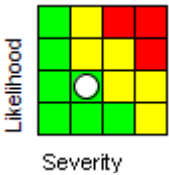


Risk Code	CPR1112_01	Risk Title	Financial	Current Risk Status	
Description of Risk	Loss of Funding and Financial Stability			Assigned To	Stefan Garner; John Wheatley
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Budget planning and monitoring Medium term financial strategy Treasury Management Strategy, annual outturn & strategy approved by Council. regular monitoring WRIEP, grantfinder. Grant income sourced where possible Value for money group set up within the authority Management Accountant allocated responsibility for VFM Developing benchmarking process within the authority to evaluate and understand costs/performance/outputs including CIPFA benchmarking, reviewing high spend, annual internal audit review of audit commission benchmarking data Performance setting Procurement section, contracts register Business case reviews SCFOG/Networking Active engagement in central government reform and change agenda	Current Risk Score	6	
Gross Severity	3		Current Severity	3	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date			Last Risk Review Date	03-Jun-2011	
Consequences	Cuts in services Quality of service decline partnership relationships become strained uncoordinated cuts financial savings not achieved miss out on funding inability to meet on-going costs				


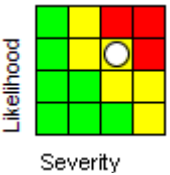
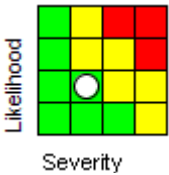
	<p>Significant impact on the economic health of the local community</p> <p>Budgets exceeded</p> <p>minimum reserves not maintained</p> <p>Budgets not balanced</p> <p>Potentially acting illegally</p> <p>Reputation issues</p>
Vulnerabilities/causes	<p>budget shortfalls</p> <p>funding gaps increase through grant cuts</p> <p>recession increase impact o services required</p> <p>failure to manage investments</p> <p>failure to manage budgets</p> <p>missing key business funding opportunities</p> <p>HRA reform</p> <p>New Homes Bonus</p> <p>Spending review</p> <p>Council Tax freeze</p>
Risk Notes	

Risk Code	CPR1112_02	Risk Title	Reputation	Current Risk Status	
Description of Risk	Damage to Reputation			Assigned To	Anica Goodwin; Tony Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Increased use of multi media to consult/communicate Members surgeries Celebrating success State of Tamworth debate PR & Communications Tell Us Scheme Tamworth Listens Standards Ombudsmen report Monitoring of news stories Service delivery standards Contract monitoring Codes of conduct Policies and procedures Service Standards Training for all staff and members in media/press/use of social media	Current Risk Score	6	
Gross Severity	3		Current Severity	2	
Gross Likelihood	3		Current Likelihood	3	
Gross Risk Review Date			Last Risk Review Date	03-Jun-2011	
Consequences	erosion in trust and confidence service failure loss of income increased cost of working fall in satisfaction levels loss of public support claims in tribunal/personal liability loss of peer group credibility				
Vulnerabilities/causes	Failure to match social and political expectations failure to act on feedback crisis and major incident management failures failure to deliver minimum standards of service Third party supply chain failure non-compliance with legislation unethical practices				


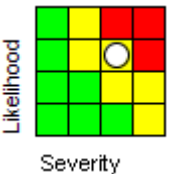
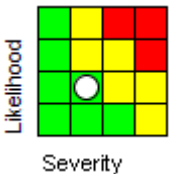
	security breaches personal actions by officers/members misuse of social media
Risk Notes	


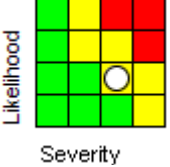
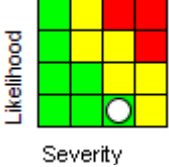
Risk Code	CPR1112_03	Risk Title	Governance & Regulatory Failure	Current Risk Status	
Description of Risk	Failure to achieve adequate Governance Standards and statutory responsibilities			Assigned To	Jane Hackett; John Wheatley
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Financial guidance Audit & Governance Committee Scrutiny Committees Annual Governance Statement Whistleblowing Policy and Counter Fraud and Corruption Strategy Section 151 functionality and Monitoring Officer Internal Audit External Audit Standards Committee Partnership Guidance Managers Assurance Statements Constitution Code of Conduct Relevant policies and procedures Legislation training for officers and members Continual CPD and other training Regular legal updates development of member training plan development of e learning solution Net Consent for policy management and acceptance Insurance policies TULG Obligations under Environmental Protection Act and Public Health Act PDR process Electoral Commission	Current Risk Score	4	
Gross Severity	3		Current Severity	2	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date			Last Risk Review Date	03-Jun-2011	
Consequences	non-compliance with legal requirements fraud poor performance damage to reputation prosecution, fines death or injury to public and/or staff				

	<p>audit criticism poor inspection comments legal challenge</p>
Vulnerabilities/causes	<p>Lack of training lack of documented procedures lack of commitment from officers and members failure to understand the importance No governance Lack of accountability Non compliance with legislation fraud Poor performance failure to manage or be aware of legal responsibilities/changes to legislation lack of resources loss of key staff inappropriate decision making</p>
Risk Notes	


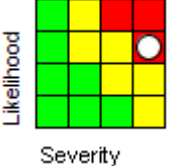
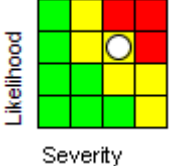
Risk Code	CPR1112_04	Risk Title	Partnership Working and Supply Chain Challenges	Current Risk Status	
Description of Risk	Failure in partnership working, shared services or supply chain			Assigned To	Andrew Barratt; Rob Mitchell
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Partnership Governance Policy and training on the policy in place Partnership arrangements in place, eg contracts, shared service agreements Effective contract/partnership monitoring Business Continuity plans in place Risks identified and managed Constitutions in place for some partnerships TBC Business Continuity Group Adequate terms of reference Adherence to contracts register	Current Risk Score	4	
Gross Severity	3		Current Severity	2	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date			Last Risk Review Date	03-Jun-2011	
Consequences	<p>Services not delivered Damage to reputation Loss of knowledge, intellectual property and other assets Loss of quality service Criticism from external auditors/assessors Customer dissatisfaction Lack of resources Workforce opposition High exit costs Costs not reduced Efficiencies not gained Waste not eliminated Regulations not met</p>				
Vulnerabilities/causes	<p>Failure to meet service delivery expectations Partner has financial failure Supplier incident eg data loss, governance issue Service delivery collapses during wide spread major incident Third party supply chain failure Partner under performs Failure to assess and manage the risks arising from the use of third parties Failure to set and manage contractual conditions and performance targets Failure to get management support</p>				



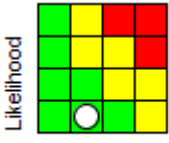
	Staff turnover increases Poor, incomplete knowledge transfer Scope of change too narrow/too broad benefits not realised Political change of policy
Risk Notes	Partnerships in place - waste, health & safety, Economic Development, Building Control, Strategic Partnership, Housing Repairs, IT service desk

Risk Code	CPR1112_05	Risk Title	Emergency & Crisis Response Threats	Current Risk Status	
Description of Risk	Failure to manage an external or internal emergency/disaster situation			Assigned To	Andrew Barratt; Nicki Burton
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	<p>Emergency Plan in place</p> <p>Emergency planning training completed at various levels</p> <p>Business Continuity Plans in place</p> <p>Insurance cover in place to cover exposure to financial loss.</p> <p>Advice and guidance on Risk Management and Business Continuity on the intranet</p> <p>Emergencies advice available on website</p> <p>Building- fire prevention controls in place and tested on a regular basis</p> <p>Adequate physical security controls in place and reviewed on a regular basis.</p> <p>IT business continuity plan in place and tested on a regular basis</p> <p>Service impact analysis completed to rank priority of services</p> <p>Corporate business continuity plan in place</p> <p>All communication plans tested on a regular basis</p> <p>Emergency plan tested on a regular basis</p> <p>Business Continuity Group</p> <p>Membership of Staffordshire CCU & Resilience Forum</p>		Current Risk Score	4
Gross Severity	3			Current Severity	2
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date				Last Risk Review Date	10-Jun-2011
Consequences	<p>Services not delivered</p> <p>Damage to reputation</p> <p>Civil Contingency Act requirements not met</p> <p>Death</p> <p>Destruction of property</p>				
Vulnerabilities/causes	<p>Lack of integrated emergency arrangements making it difficult to react quickly to a disaster and provide the required support and essential service in line with the requirements of the Civil Contingencies Act.</p> <p>Failure to test plans</p> <p>Failure to undertake training</p>				
Risk Notes					


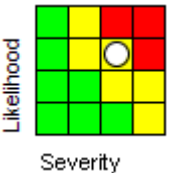
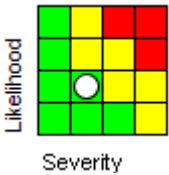
Risk Code	CPR1112_06	Risk Title	Economic Changes	Current Risk Status	
Description of Risk	Failure to plan and adapt services to economic changes within the community			Assigned To	Stefan Garner; Rob Mitchell
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	<i>Link to CPR1112_01</i>		Current Risk Score	3
Gross Severity	3	Strategic Priority		Current Severity	3
Gross Likelihood	2	Keep up to date with comms from central government		Current Likelihood	1
Gross Risk Review Date		Adapt to downturn in economy - Tamworth Community Advice Network (TamworthCAN)		Last Risk Review Date	10-Jun-2011
		Economic Bulletin distributed to management - shows regional and local economic statistics			
		Management networks and leadership meetings			
		Support to local businesses			
		Think Local			
		Business and Economic Partnership			
		Solutions for Business			
		External funding streams explored			
		Medium term financial plan			
		Regular review of business plans			
		Economic Strategy			
		LEP			
		Core Strategy			
		Local Investment Plan			
		Localism Bill preparation			
Consequences	<p>Tamworth not developed No external funding to aid economy and growth Economic prosperity declines Detrimental effect on housing market People leave the borough Increased demand for social housing Impact on Council income Increased costs to Council services due to increased demand</p>				
Vulnerabilities/causes	<p>Failure to recognise economic changes Failure to recognise opportunities Sudden economic downturn effecting businesses, jobs, housing etc</p>				

	<p>Collapse of the property market Changes in government funding/grants Change of government Loss of major employer in the area Rapid increase in inflation No development/investment</p>
Risk Notes	


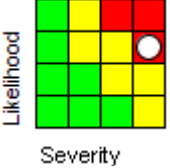
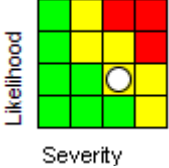
Risk Code	CPR1112_07	Risk Title	Data Loss & Privacy Incidents	Current Risk Status	
Description of Risk	Failure to secure data			Assigned To	Nicki Burton; John Wheatley
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Network security Physical security Security Policy, Information Security Manual Data Protection compliance and training GCSX Environmental controls Established protocols		Current Risk Score	9
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date				Last Risk Review Date	10-Jun-2011
Consequences	Fine Reputational damage Potential imprisonment Physical harm to staff Consequence for members of the public if their personal data lost/stolen				
Vulnerabilities/causes	Insecure IT equipment Human error Loss Theft Equipment failure Hacking				
Risk Notes					

Risk Code	CPR1112_08	Risk Title	Loss of Community Cohesion	Current Risk Status	
Description of Risk	Failure to achieve community cohesion			Assigned To	Rob Barnes; Rob Mitchell
Gross Risk Matrix	 <p>Likelihood</p> <p>Severity</p>	Risk Treatment Measures Implemented	Current Risk Matrix	 <p>Likelihood</p> <p>Severity</p>	
Gross Risk Score	4	No change to front line services Locality working ASB Policy Partnership working Financial Inclusion Policy Community Engagement Stronger Communities Group Corporate consultation database Services proactive in engaging communities Data and intelligence used to inform service planning Community cohesion awareness Capacity building projects & Initiatives Impact assessments used Horizon scanning Big Society/Localism impact Stronger Communities Partnership Responsible Authorities Group Development of ASB hub Links with Police Community Cohesion Audit Tamworth Strategic Partnership Strategic priority Total Place	Current Risk Score	2	
Gross Severity	4		Current Severity	2	
Gross Likelihood	1		Current Likelihood	1	
Gross Risk Review Date			Last Risk Review Date	10-Jun-2011	
Consequences	Long term costs Not meeting/understanding users needs Increase in crime and disorder Poor use of funding Tensions in the community No community commitment/ownership to the Authorities Vision Low level of community cohesion Fear of perception of crime Failure to meet demand				
Vulnerabilities/causes	Services withdrawn				

	Big Society does not take off Communities become fragmented Increase in ASB Increase in financial deprivation Lack of interest from the public Poor communication Poor engagement mechanisms at corporate and service level Limited understanding of good engagement process
Risk Notes	

Risk Code	CPR1112_09	Risk Title	Workforce Planning Challenges	Current Risk Status	
Description of Risk	Failure to manage workforce planning challenges			Assigned To	Anica Goodwin; Tony Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Transforming Tamworth Service reviews Regular communication Workforce and succession planning Core brief Staff AGM PDR process to ensure skill development requirements are being addressed HR policies and procedures in place Post entry training to qualify staff in key areas Absence management policy, healthshield and occupational health Market supplement policy for either retention or recruitment of necessary skills Managers review of resource capabilities/capacity for business continuity purposes Relationship with Trade Unions Management awareness of risk impact of reduced staffing		Current Risk Score	4
Gross Severity	3			Current Severity	2
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date				Last Risk Review Date	15-Jun-2011
Consequences	Strain on remaining staff Risk to service delivery Industrial action Budget misalignment Increase in fraud Wrong messages sent out Potential increase in employment tribunal cases increased number of grievances from staff increase in absenteeism Inability to respond to change agenda inability to align skill levels to new working methods				
Vulnerabilities/causes	Staff become overloaded Low morale has impact on service delivery Industrial unrest Redundancies lead to additional future costs Failure to communicate effectively				

	Small authority with specialised staff Sickness levels remain too high leaving vulnerable skills gaps Pay and conditions below market conditions for skills required
Risk Notes	

Risk Code	CPR1112_10	Risk Title	Health & Safety	Current Risk Status	
Description of Risk	Failure to manage Health & Safety			Assigned To	Andrew Barratt; Anica Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Policies in place Training completed Health and Safety groups Risk assessments completed Inspections completed Personal safety equipment provided Lone working policy and practices PVP register Fire alarm tests and evacuation tests		Current Risk Score	6
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date				Last Risk Review Date	15-Jun-2011
Consequences	Corporate manslaughter Fines Negative publicity insurance claims death/injury				
Vulnerabilities/causes	Non-compliance with legislation lack of health and safety awareness short cuts/ poor working practices Personal safety equipment not used risks not identified and or managed inspections/tests not completed				
Risk Notes					

