

# corporate risk register 1112


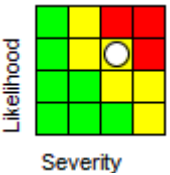
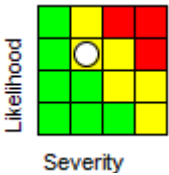
Generated on: 17 January 2012

## Appendix A


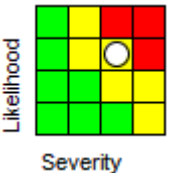
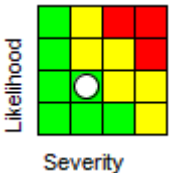


<b>Risk Code</b>	CPR1112_01	<b>Risk Title</b>	Financial	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Loss of Funding and Financial Stability			<b>Assigned To</b>	Stefan Garner; John Wheatley
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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 Effective use of assets eg Marmion House, agile working project	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	Cuts in services Quality of service decline partnership relationships become strained uncoordinated cuts financial savings not achieved miss out on funding				


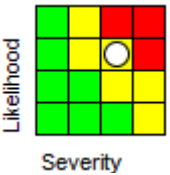
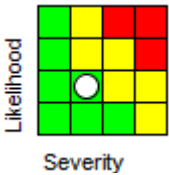
	<p>inability to meet on-going costs  Significant impact on the economic health of the local community  Budgets exceeded  minimum reserves not maintained  Budgets not balanced  Potentially acting illegally  Reputation issues</p>
<b>Vulnerabilities/causes</b>	<p>budget shortfalls  funding gaps increase through grant cuts  recession increase impact on services required  failure to manage investments  failure to manage budgets  missing key business funding opportunities  HRA reform  New Homes Bonus  Spending review  Council Tax freeze  Failure to maximise incentive funding  RTB's one for one replacement  Disabled Facilities Grants</p>
<b>Risk Notes</b>	

<b>Risk Code</b>	CPR1112_02	<b>Risk Title</b>	Reputation	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Damage to Reputation			<b>Assigned To</b>	Anica Goodwin; Tony Goodwin
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	3			<b>Current Severity</b>	2
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	16-Jan-2012
<b>Consequences</b>	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				
<b>Vulnerabilities/causes</b>	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 by officers/members				

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


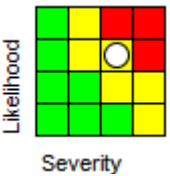
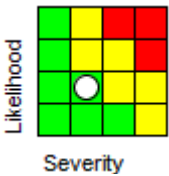
<b>Risk Code</b>	CPR1112_03	<b>Risk Title</b>	Governance & Regulatory Failure	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to achieve adequate Governance Standards and statutory responsibilities			<b>Assigned To</b>	Jane Hackett; John Wheatley
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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 Process Changes to Governance, Constitution Meetings scheduled	<b>Current Risk Score</b>	4	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	non-compliance with legal requirements fraud poor performance damage to reputation				


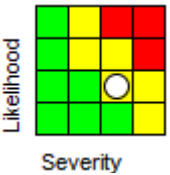
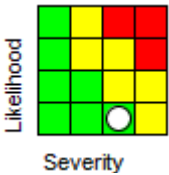
	<p>prosecution, fines  death or injury to public and/or staff  audit criticism  poor inspection comments  legal challenge  Ultra vires  Resource demand</p>
<b>Vulnerabilities/causes</b>	<p>Lack of training  lack of documented procedures  lack of commitment from officers and members  failure to understand 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  Changes to political control</p>
<b>Risk Notes</b>	<p>Localism Act, Welfare Benefit reform,</p>

<b>Risk Code</b>	CPR1112_04	<b>Risk Title</b>	Partnership Working and Supply Chain Challenges	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure in partnership working, shared services or supply chain			<b>Assigned To</b>	Andrew Barratt; Rob Mitchell
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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	<b>Current Risk Score</b>	4	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	<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>				
<b>Vulnerabilities/causes</b>	<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>				


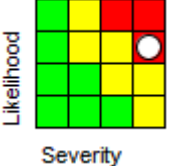
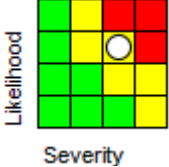
	Staff turnover increases Poor, incomplete knowledge transfer Scope of change too narrow/too broad benefits not realised Political change of policy
<b>Risk Notes</b>	Partnerships in place - waste, health & safety, Economic Development, Building Control, Strategic Partnership, Housing Repairs, IT service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


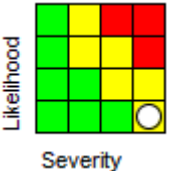
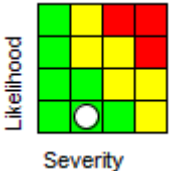


<b>Risk Code</b>	CPR1112_05	<b>Risk Title</b>	Emergency & Crisis Response Threats	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to manage an external or internal emergency/disaster situation			<b>Assigned To</b>	Andrew Barratt; Nicki Burton
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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 &amp; Resilience Forum</p> <p>Effective communication /ICT tools/ infrastructure eg mobile phones, laptops</p>	<b>Current Risk Score</b>	4	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	16-Jan-2012
<b>Consequences</b>	<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> <p>Damage to the environment</p>				
<b>Vulnerabilities/causes</b>	<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>				
<b>Risk Notes</b>					


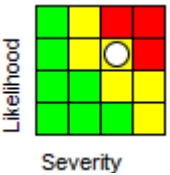
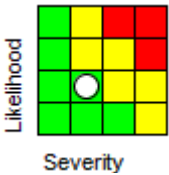
<b>Risk Code</b>	CPR1112_06	<b>Risk Title</b>	Economic Changes	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to plan and adapt services to economic changes within the community			<b>Assigned To</b>	Stefan Garner; Rob Mitchell
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	6	<i>Link to CPR1112_01</i>		<b>Current Risk Score</b>	3
<b>Gross Severity</b>	3	Strategic Priority		<b>Current Severity</b>	3
<b>Gross Likelihood</b>	2	Keep up to date with comms from central government		<b>Current Likelihood</b>	1
<b>Gross Risk Review Date</b>		Adapt to downturn in economy - Tamworth Community Advice Network (TamworthCAN)		<b>Last Risk Review Date</b>	16-Jan-2012
		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			
<b>Consequences</b>	<p>Tamworth not developed</p> <p>No external funding to aid economy and growth</p> <p>Economic prosperity declines</p> <p>Detrimental effect on housing market</p> <p>People leave the borough</p> <p>Increased demand for social housing</p> <p>Impact on Council income</p> <p>Increased costs to Council services due to increased demand</p>				
<b>Vulnerabilities/causes</b>	<p>Failure to recognise economic changes</p> <p>Failure to recognise opportunities</p> <p>Sudden economic downturn affecting 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 region Rapid increase in inflation Under achievement of development/investment</p>
<b>Risk Notes</b>	

<b>Risk Code</b>	CPR1112_07	<b>Risk Title</b>	Data Loss & Privacy Incidents	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to secure data			<b>Assigned To</b>	Nicki Burton; John Wheatley
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Network security Physical security Security Policy, Information Security Manual Data Protection compliance and training GCSX Environmental controls Established protocols		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	4			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	16-Jan-2012
<b>Consequences</b>	Fine Reputational damage Potential imprisonment Physical harm to staff Consequence for members of the public if their personal data lost/stolen				
<b>Vulnerabilities/causes</b>	Insecure IT equipment Human error Loss Theft Equipment failure Hacking				
<b>Risk Notes</b>					


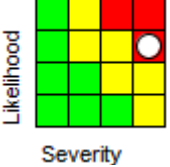
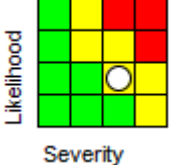
<b>Risk Code</b>	CPR1112_08	<b>Risk Title</b>	Loss of Community Cohesion	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to achieve community cohesion			<b>Assigned To</b>	Rob Barnes; Rob Mitchell
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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	<b>Current Risk Score</b>	2	
<b>Gross Severity</b>	4		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	1		<b>Current Likelihood</b>	1	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	Long term costs Not meeting/understanding users needs Increase in crime and disorder Poor use of funding Increased 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				
<b>Vulnerabilities/causes</b>	Services withdrawn				


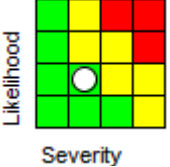
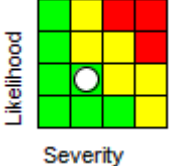
	Big Society does not take off Communities become fragmented Increase in ASB Increase in financial deprivation Lack of interest from the public Poor communication Poor engagement mechanisms at corporate and service level Limited understanding of good engagement process
<b>Risk Notes</b>	


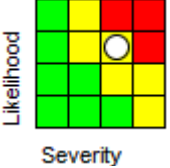
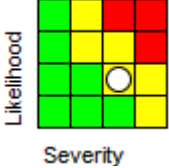
<b>Risk Code</b>	CPR1112_09	<b>Risk Title</b>	Workforce Planning Challenges	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to manage workforce planning challenges			<b>Assigned To</b>	Anica Goodwin; Tony Goodwin
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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 (TULG) Management awareness of risk impact of reduced staffing Corporate change programme	<b>Current Risk Score</b>	4	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	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				
<b>Vulnerabilities/causes</b>	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
<b>Risk Notes</b>	



<b>Risk Code</b>	CPR1112_10	<b>Risk Title</b>	Health & Safety	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to manage Health & Safety			<b>Assigned To</b>	Andrew Barratt; Anica Goodwin
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	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 Regular update meetings with H&S officers and ACE		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	4			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	16-Jan-2012
<b>Consequences</b>	Corporate manslaughter Fines Negative publicity insurance claims death/injury				
<b>Vulnerabilities/causes</b>	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				
<b>Risk Notes</b>	regular updates by AG with JH and SL Updates to CMT				

<b>Risk Code</b>	CPR1112_11	<b>Risk Title</b>	Corporate Change	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to manage corporate change			<b>Assigned To</b>	Nicki Burton; Anica Goodwin
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	4	Programme Plan		<b>Current Risk Score</b>	4
<b>Gross Severity</b>	2	Pool of trained resources		<b>Current Severity</b>	2
<b>Gross Likelihood</b>	2	Structured programme		<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	16-Jan-2012	Dedicated Programme Manager		<b>Last Risk Review Date</b>	16-Jan-2012
		Strong Governance			
		Strong budget management			
		demonstrated benefit realisation			
<b>Consequences</b>	Return on investment not made Reputation Failure to implement agile working environment Savings are not made Budget not balanced				
<b>Vulnerabilities/causes</b>	Weak management Weak governance No executive management support Insufficient corporate skills and capacity Failure to retain staff				
<b>Risk Notes</b>	Transforming Tamworth, Support Services Review, Health Impact Assessments				

<b>Risk Code</b>	CPR1112_12	<b>Risk Title</b>	Safeguarding Children & Vulnerable Adults	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to safeguard children and vulnerable adults			<b>Assigned To</b>	Jane Hackett; Rob Mitchell
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9	Safeguarding policy adopted Clear procedures for reporting and dealing with disclosure Annual section 11 audit Appropriate risk assessments to identify vulnerability in customers/residents Senior leadership commitment with designated officers Policy implemented with training for appropriate staff Safe recruitment process Supervision of staff, contractors and volunteers	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>	16-Jan-2012		<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	Death, serious injury Legal challenge for lack of compliance with legislation Loss of reputation Financial costs of review and insurance claims				
<b>Vulnerabilities/causes</b>	Non-compliance with legislation Lack of appropriate policy and procedures Low awareness amongst staff Lack of joined up case management Case management systems unable to share data or support risk management partner agencies not delivering services lack of appropriate services Other organisation's not delivering the service				
<b>Risk Notes</b>					

<b>Risk Code</b>	CPR1112_13	<b>Risk Title</b>	Golf Course	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure of the Golf Course			<b>Assigned To</b>	Tony Goodwin; John Wheatley
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Profiling and scheduling ongoing rental payments. considering future options Regular updates on financial situation and stability of contractor with executive management		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	4		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>			<b>Last Risk Review Date</b>	16-Jan-2012	
<b>Consequences</b>	Reputational damage Additional costs to the Council Reduced income to the Council Failure of service Customer expectations not met Non-compliance with planning requirements				
<b>Vulnerabilities/causes</b>	Financial stability of contractor				
<b>Risk Notes</b>					

