

Corporate Risk Register 201415


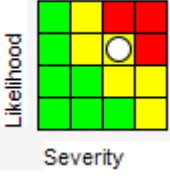
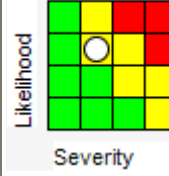
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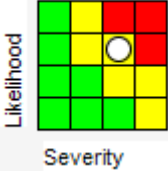
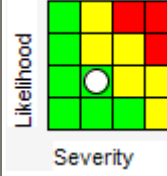
Risk Code	CPR1415_01	Risk Title	Medium Term Financial Planning & Sustainability Strategy	Current Risk Status	
Description of Risk	Loss of Funding and Financial Stability			Assigned To	Stefan Garner; John Wheatley
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Sustainability Strategy developed to address longer term funding shortfall identified - detailed workstream deliverables including corporate change programme(3) Budget planning and monitoring (1) Draft Medium term financial strategy prepared January 2014 for Joint Scrutiny Committee review (2) Treasury Management Strategy, annual outturn & strategy approved by Council. regular monitoring (4) WRIEP support for efficiency / procurement (5) Grant income sourced where possible (6) 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 (7) Performance setting (8) Procurement section, contracts register, quick quote process / Procurement guidance updated / intranet (9) Business case reviews (10) SCFOG/Networking / Active engagement in central government reform and change agenda (11) Effective use of assets eg Marmion House, agile working project (12) Attendance at professional & Government updates / workshops (13)	Current Risk Score	8	
Gross Severity	4		Current Severity	4	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date			Last Risk Review Date	29-May-2014	

		<p>Proactive management & monitoring of corporate income levels i.e. council tax, business rates & housing rent (14) Section 151 review of controls within key financial systems (15) Housing Regeneration Project Group established with key sub-groups for specific tasks (16) Council tax support scheme - legal advice, EIAs, sound consultation with public, claimants and other LAs to develop a local scheme based on an agreed Countywide framework (17) support provided for new/existing members from key officers and third parties (SOLACE) Peer Assessment identified clear recognition & communication of financial position to stakeholders Updating of HRA Business Plan Review of Healthier Housing Strategy Review of SPV feasibility</p>		
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 246 Consequences</p>	<p>Cuts in front line service provision Quality of service decline partnership relationships become strained uncoordinated cuts/ reduction in service provision financial savings not achieved miss out on funding opportunities inability to meet on-going costs Significant impact on the economic health of the local community Budget overspends minimum reserves not maintained Budgets not balanced Potentially acting illegally Reputation issues Reduced income streams including car parks, golf course, planning, treasury, council tax & business rates</p>			
<p>Vulnerabilities/causes</p>	<p>changes to political control (local/national) budget shortfall / funding gap increasing through austerity cuts - 3 year MTFs in place from 2013/14 (longer term shortfalls identified from 2016/17) CSR 2013 & LGFS identified further cuts from 2015/16 c.15% (1,2,3,9,10,12) Increased cost liabilities e.g. water course maintenance, land charges, legacy MMI claims, golf course (1,2,3,9,10,12) failure to manage budgets (1) failure to manage investments (4) missing key business funding opportunities (5, 6) Failure to maximise incentive funding (i.e. new homes bonus, council tax, benefits admin, RTB's one for one replacement) (6) Disabled Facilities Grants - increased demand / costs not in line with grant levels impacting on other funding sources (6) recession increase impact on services required (i.e. capacity, finance, recovery levels) (7,8,14) failure of an existing contractor (9) Technical reform of Council Tax and other welfare reform changes (Universal Credit, Housing Allowances etc) wef 1/4/13 and the potential impact on collection levels/write offs (14, 15) Business rates retention wef 1/4/13 - local collection levels will directly on the councils budget (14,15) Reduced income corporately due to welfare reform changes (including council tax support scheme) - impact on council tax, rent income etc (14, 15)</p>			


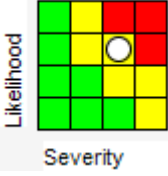
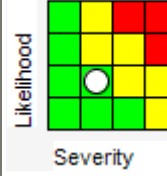
	HRA regeneration projects & impact on business plan / wider regeneration project including town centre, car parks etc (16) Council tax support scheme - legal challenge (17)
Risk Notes	Possibility of Fire Service taking Industrial action - review risk on a more regular basis - review set to weekly

Risk Code	CPR1415_02	Risk Title	Reputation	Current Risk Status	
Description of Risk	Damage to Reputation			Assigned To	Anica Goodwin; Tony Goodwin; Jane Hackett
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Monitoring Officer Increased use of multi media to consult/communicate Members surgeries Celebrating success State of Tamworth debate PR & Communications Tell Us Scheme Tamworth Listens Standards through Audit & Governance Committee independent Person Members declarations of Interest 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 mystery shopper AGM Annual Corporate Plan Updates to all staff from CE	Current Risk Score	6	
Gross Severity	3		Current Severity	2	
Gross Likelihood	3		Current Likelihood	3	
Gross Risk Review Date	20-Mar-2014		Last Risk Review Date	29-May-2014	
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				


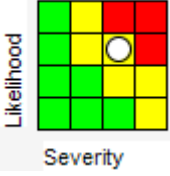
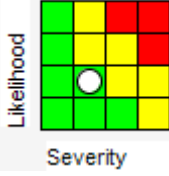
	increased scrutiny by government and auditors
Vulnerabilities/causes	<p>Failure to match social and political expectations failure to act on feedback crisis and major incident management failures failure to deliver minimum standards of service Third party supply chain failure non-compliance with legislation unethical practices by officers/members security breaches by officers/members personal actions by officers/members misuse of social media by officers/members</p>
Risk Notes	amendments made by AG

Risk Code	CPR1415_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	<p>Regular review & update of Financial guidance (1) Audit & Governance Committee in place, including Standards (2) Scrutiny Committees in place, including call in & questions at Council (3) Annual Governance Statement process / prepared (4) Whistleblowing Policy and Counter Fraud and Corruption Strategy developed & communicated (5) Money Laundering Policy developed and communicated Section 151 functionality and Monitoring Officer in place / Scheme of Delegation (6) Internal Audit function (7) External Audit assessment / reviews (8) Partnership Guidance Policy (9) Managers Assurance Statements prepared annually (10) Constitution - regular review (11) Code of Conduct for members (12) Relevant policies and procedures / Net Consent for policy management and acceptance (13) Legislation training for officers and members / continual CPD and other training / regular legal updates (14) development of member training plan / development of e learning solution (15) Insurance policies for regulatory failure - officials indemnity, fidelity guarantee & libel and slander(16) TULG - consultation, openness, accountability, probity (17) Obligations under Environmental Protection Act and Public Health Act (18) PDR process (19) Electoral Process (20) Forward Plan in place with key decisions highlighted, Committee meetings scheduled (21) The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 (22) Regular RIPA training for staff and key officers Data Protection awareness for staff</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	29-May-2014	


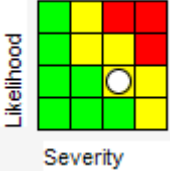
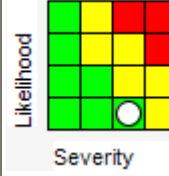
<p>Consequences</p>	<p>non-compliance with legal requirements fraud poor performance damage to reputation prosecution, fines death or injury to public and/or staff audit criticism within Annual Audit Letter / accounts qualified poor inspection comments legal challenge Ultra vires Financial impact / exposure from poor decisions arising from uninformed decision making process Increased demand for resource support from Members</p>
<p>Vulnerabilities/causes</p>	<p>Lack of training / knowledge - officers and member (14, 15) lack of documented procedures (1) lack of commitment from officers and members (6, 12) failure to understand the importance of key decisions (14, 15) Inadequate governance process in place (1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21,22) Lack of accountability (5, 6 ,7, 8, 12, 19, 20) Non compliance with legislation (6 ,14 ,18) fraud (1, 5, 6) Poor performance (19) failure to manage or be aware of legal responsibilities/changes to legislation (6, 14, 15) lack of resources/ funding legal challenge(3) financial position affecting decision making loss of key staff / members (20) inappropriate decision making (6, 14, 15) Changes to political control (20)</p>
<p>Risk Notes</p>	<p>Localism Act, Welfare Benefit reform,</p>

Risk Code	CPR1415_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	Procurement section, contracts register, quick quote process / Procurement guidance updated / intranet Partnership Governance Policy and training on the policy in place - refreshed in 2012 Partnership arrangements in place, eg contracts, shared service agreements Effective contract/partnership monitoring - revised TSP working well Business Continuity plans in place Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule drafted with expected sign off by Business Continuity Group 24/6/13 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	29-May-2014	
Consequences	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 Increase in accidents				
Vulnerabilities/causes	Failure to meet service delivery expectations Partner has financial failure				


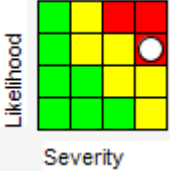
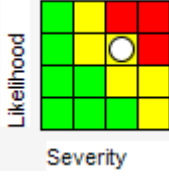
	<p>Supplier incident eg data loss, governance issue Service delivery collapses during wide spread major incident Third party supply chain failure Partner under performs Failure to assess and manage the risks arising from the use of third parties Failure to set and manage contractual conditions and performance targets Failure to get management support Staff turnover increases Poor, incomplete knowledge transfer Scope of change too narrow/too broad benefits not realised Political change of policy</p>
Risk Notes	Partnerships in place - waste, health & safety, Economic Development, Building Control, Strategic Partnership, Housing Repairs, IT service desk

Risk Code	CPR1415_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>Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule drafted with expected sign off by Business Continuity Group 24/6/13</p> <p>Active engagement in Exercise Triton</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> <p>Effective communication /ICT tools/ infrastructure eg mobile phones, laptops</p> <p>Representation at newly formed CCU Strategic Leaders Meeting</p> <p>Successful no notice test</p> <p>Learning from actual events i.e. corporate system failure Dec 12</p> <p>Comprehensive internal audit across BC and EP resulting in a number of agreed management actions</p> <p>Emergency Planning Admin all brought into ICT</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	29-May-2014	
Consequences	<p>Services not delivered</p> <p>Damage to reputation</p> <p>Civil Contingency Act requirements not met</p> <p>Death</p>				


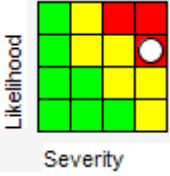
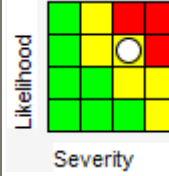
	<p>Destruction of property Damage to the environment Adverse affect on vulnerable groups Public expectations of service delivery not met Increased costs for alternative service delivery</p>
Vulnerabilities/causes	<p>Lack of integrated emergency arrangements making it difficult to react quickly to a disaster and provide the required support and essential service in line with the requirements of the Civil Contingencies Act. Failure to test plans Failure to undertake training Plans not activated plans do not accurately identify the staffing/resources required implications of industrial action from other service providers ie Fire Service</p>
Risk Notes	<p>current risks and scoring matrix still accurate and fit for purpose</p>

Risk Code	CPR1415_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	<p>Link to CPR1213_01 - financial control (1)</p> <p>Strategic Priority - Aspire & Prosper (performance monitored, addressed) (2)</p> <p>Keep up to date with central government communications (3)</p> <p>Adapt to downturn in economy - Tamworth Community Advice Network (TamworthCAN) (3)</p> <p>Economic Bulletin distributed to management - shows regional and local economic statistics (4)</p> <p>Management networks and leadership meetings (5)</p> <p>Support to local businesses - including through local Procurement (quick quote) (6)</p> <p>Think Local (7)</p> <p>Business and Economic Partnership (8)</p> <p>Place Group / Tamworth Strategic Partnership (9)</p> <p>Solutions for Business (10)</p> <p>External funding streams explored (Portas, GBSLEP) (11)</p> <p>Medium term financial plan (12)</p> <p>Zero based budgeting approach to Income targets (13)</p> <p>Regular review of business plans (14)</p> <p>Economic Strategy (15)</p> <p>GBSLEP including Business Rate reform / pooling (16)</p> <p>Local Plan (17)</p> <p>Local Investment Plan (18)</p> <p>Local Transport Board (GBSLEP) (19)</p> <p>Housing Regeneration projects / review including wider Town Centre regeneration (20)</p> <p>Plan for Welfare reform - discuss with partner agencies via the TSP (21)</p> <p>Joint working - Economic Development and Finance to develop financial business case (22) -</p> <p>a) Additional monitoring of empty properties (Revenues/Economic Development) to identify actions to promote growth & associated Business rate income;</p> <p>b) regeneration projects such as Town Centre regeneration, Cultural Quarter, Created in Tamworth etc.</p>	Current Risk Score	3	
Gross Severity	3		Current Severity	3	
Gross Likelihood	2		Current Likelihood	1	
Gross Risk Review Date			Last Risk Review Date	29-May-2014	


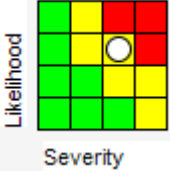
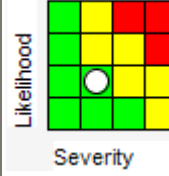
Consequences	<p>Lack of Town Centre development / prosperity No external funding to aid economy and growth Economic prosperity declines Detrimental effect on housing market People leave the borough Increased demand for social housing Impact on Council income Increased costs to Council services due to increased demand Reduced income corporately due to welfare reform changes (including council tax support scheme) - impact on business rates, council tax, rent income, car parking, planning etc</p>
Vulnerabilities/causes	<p>Failure to recognise economic changes (1, 2) Sudden economic downturn affecting businesses, jobs, housing etc (2, 3, 6, 8, 9, 15) Loss of major employer in the region (3) Failure to recognise opportunities (11, 15, 16) Rapid increase in inflation (1, 12) Changes in government funding/grants (3, 12) Collapse / decline of the property market (2, 8, 15, 16, 17, 18, 19, 20) Change of government (18, 19) Under achievement of development/investment (15, 16, 17, 18, 19, 20, 22)</p>
Risk Notes	

Risk Code	CPR1415_07	Risk Title	Information Management & Information Technology	Current Risk Status	
Description of Risk	Failure to secure and manage data and IT infrastructure			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 Single point of contact eliminated regarding Data Protection Storage limits being implemented (subject to CMT endorsement) - links to retention schedule & EDRMS, active management & archiving of data not regularly accessed GCSX PSN compliance Environmental controls Established protocols Security of data EDRMS implementation Data limits Business Continuity Plans Disaster Recovery Plan Virtual servers Web based systems Home working ISO27001 Back ups Annual penetration tests ISO20000 Improved Business Continuity with reciprocal arrangements at Walsall Enhancements made to Data Retention, Storage Management and Proven Integrity of VMWare Infrastructure	Current Risk Score	9	
Gross Severity	4		Current Severity	3	
Gross Likelihood	3		Current Likelihood	3	
Gross Risk Review Date			Last Risk Review Date	29-May-2014	
Consequences	Fine Reputational damage Potential imprisonment Physical harm to staff				


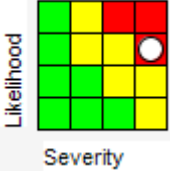
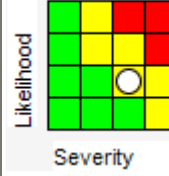
	<p>Consequence for members of the public if their personal data lost/stolen</p> <p>Loss of key management information</p> <p>Inability to deliver services</p> <p>potential loss of income</p>
Vulnerabilities/causes	<p>Insecure IT equipment</p> <p>Human error / loss of personal data</p> <p>Loss of equipment/data</p> <p>Theft</p> <p>Equipment failure</p> <p>Hacking / Viruses</p> <p>Agile working trials / flexible working project</p> <p>Corporate Change Project</p>
Risk Notes	

Risk Code	CPR1415_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		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	No change to front line services Locality working ASB Policy Partnership working Financial Inclusion Policy Community Engagement- project related and inclusive 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 ASB working group to agree processes to go onto CRM effective Council wide response to implications of WBR		Current Risk Score	9
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	3
Page 26 of 26 Gross Risk Review Date				Last Risk Review Date	29-May-2014
Consequences	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				
Vulnerabilities/causes	Economic recession Poverty				


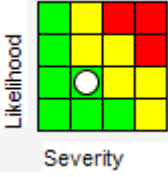
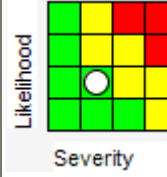
	<p>Welfare reforms Services withdrawn Big Society does not take off Communities become fragmented Increase in ASB Increase in financial deprivation Lack of interest from the public Poor communication Poor engagement mechanisms at corporate and service level Limited understanding of good engagement process Housing and regeneration projects- change mgt'</p>
Risk Notes	


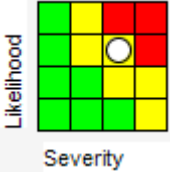
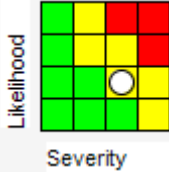
Risk Code	CPR1415_09	Risk Title	Workforce Planning Challenges	Current Risk Status	
Description of Risk	Failure to manage workforce planning challenges			Assigned To	Anica Goodwin; Tony Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Service reviews 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 Pre employment checks Business continuity plans		Current Risk Score	4
Gross Severity	3			Current Severity	2
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	20-Mar-2014			Last Risk Review Date	29-May-2014
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 Unable to recruit staff impact on reputation				
Vulnerabilities/causes	Staff become overloaded				


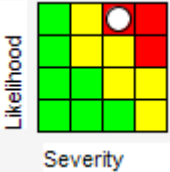
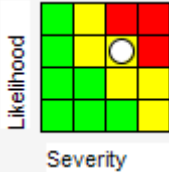
	Low morale has impact on service delivery Industrial unrest Redundancies lead to additional future costs Failure to communicate effectively Small authority with specialised staff Sickness levels remain too high leaving vulnerable skills gaps Pay and conditions below market conditions for skills required
Risk Notes	reviewed by AG

Risk Code	CPR1415_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 Regular update meetings with H&S officers and Director Transformation and Corporate Performance audits Landlord Health and Safety Audit and Action Plan Review of high rise fire risk following changes to regulation	Current Risk Score	6	
Gross Severity	4		Current Severity	3	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date	20-Mar-2014		Last Risk Review Date	29-May-2014	
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	Reviewed by AG				
	H&S team to ensure they keep up to date with legislative changes etc				
	Risk level still at reported score				
	H&S audit carried out highlighting some high priority areas. support action plan to be implemented.				

	Regular updates with SL/JH/AG
	regular updates by AG with JH and SL Updates to CMT


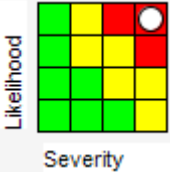
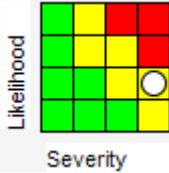
Risk Code	CPR1415_11	Risk Title	Corporate Change	Current Risk Status	
Description of Risk	Failure to manage corporate change			Assigned To	Nicki Burton; Anica Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	4	Programme Plan Pool of trained resources Structured programme Dedicated Programme Manager Strong Governance Strong budget management demonstrated benefit realisation clear communications Dedicated Project Manager Active engagement of Corporate Change Board Reporting to CMT & Cabinet One of the active workstreams is to tackle financial deficits Inclusion of Sustainability Plan following Cabinet approval (22/08/2013)	Current Risk Score	4	
Gross Severity	2		Current Severity	2	
Gross Likelihood	2		Current Likelihood	2	
Gross Risk Review Date	20-Mar-2014		Last Risk Review Date	29-May-2014	
Consequences	Return on investment not made Reputation Failure to implement agile working environment Savings are not made Budget not balanced Programme becomes overloaded				
Vulnerabilities/causes	Weak management/ leadership / direction Weak governance No executive management support Insufficient corporate skills and capacity Failure to retain staff				
Risk Notes	reviewed by AG Corporate Change Programme Monitoring and involvement of CMT Political acceptance				

Risk Code	CPR1415_12	Risk Title	Safeguarding Children & Vulnerable Adults	Current Risk Status	
Description of Risk	Failure to safeguard children and vulnerable adults			Assigned To	Jane Hackett; Rob Mitchell
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Safeguarding policy adopted - member training implemented Clear procedures for reporting and dealing with disclosure Annual section 11 audit - 2012 and 2013 completed 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 included in tender process		Current Risk Score	6
Gross Severity	3			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	16-Jan-2012			Last Risk Review Date	29-May-2014
Consequences	Death, serious injury Legal challenge for lack of compliance with legislation Loss of reputation Financial costs of review and insurance claims Prosecution Increase in inspection				
Vulnerabilities/causes	Non-compliance with legislation Lack of appropriate policy and procedures Low awareness amongst staff and members 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 lack of reporting incidents considered trivial Other organisation's not delivering the service - gaps in service provision for adults in need				
Risk Notes					


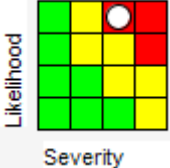
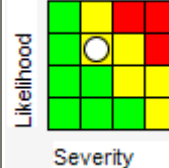
Risk Code	CPR1415_13	Risk Title	Golf Course project -stage 2 selection of a sustainable future option	Current Risk Status	
Description of Risk	<p>Selection and implementation of a long term solution for the golf course - funding to operate the current in house service expire April 2015</p> <p>The golf course future options project reported to Cabinet in January 2014 on preferred options for future disposal – a further update on consultation was reported at the 3rd April 2014 Cabinet Mtg.. The preferred option carry's significant risks and subject to ongoing review and risk assessment.</p> <p>Current risks include;</p> <ul style="list-style-type: none"> Project delivery to time and budget Sustainability of the options Reputation Challenge to the process 			Assigned To	Tony Goodwin; Rob Mitchell; John Wheatley
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	<ul style="list-style-type: none"> Project group established External support/advice commissioned Project plan established with key milestones Regular reporting to Cabinet Technical and legal advice sought Regular communications to staff, customers, and with stakeholders Engagement with stakeholders, staff, residents and customers through specific consultation as part of the project Consultation and oversight from key TBC officers Engagement and consultation with Members Implementation plan to be taken to Cabinet post a decision on the preferred option 		Current Risk Score	9
Gross Severity	3			Current Severity	3
Gross Likelihood	4			Current Likelihood	3
Gross Risk Review Date				Last Risk Review Date	29-May-2014
Consequences	<ul style="list-style-type: none"> Revenue costs Capital costs Reputation 				
Vulnerabilities/causes	<ul style="list-style-type: none"> Financial impact - for MTFS Lack of capital funds to invest Reputation / negative press Selection of a sustainable option required Golf market and economic downturn A range of evidence and views have been gathered- some of which, when taken out of context can support options which are not viable if they are considered holistically alongside the other information For some customers and residents the potential preferred options are fundamentally unpopular despite the evidence which might support them 				

Risk Notes

The previous risk relating to the external service provider has been managed and the Council is now required to manage the service in house for two years until March 2015. An options appraisal is underway to determine what the Council will do with the Course post April 2015. A long list of options is being assessed and will be reduced to a short list in October 2013 subject to a Cabinet report. A final selection from the remaining shortlist is expected in February 2014.

Risk Code	CPR1415_14	Risk Title	Inability to manage the impact corporately of the Government Austerity measures and new legislative requirements	Current Risk Status	
Description of Risk				Assigned To	Tony Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	16	Risk Treatment Measures Implemented Regular updates Monitoring Dedicated website for Housing benefit changes to inform customers Consultation with customers over CT changes Financial profiling Town centre redevelopment Economic development team	Current Risk Score	8	
Gross Severity	4		Current Severity	4	
Gross Likelihood	4		Current Likelihood	2	
Gross Risk Review Date	09-Nov-2012		Last Risk Review Date	29-May-2014	
Consequences	Unable to maintain rent income/increase in rent income Social housing becomes unaffordable Delivery of new housing Realistic housing waiting lists <i>Social unrest - those unable to access social housing</i> Increase in benefit claimants Increase in fraud - Benefits, Business Rates, RTB, Council Tax, tenancy Increase in benefits overpayments Potential economic growth Maximise benefit entitlement & income generation Community run services - not provided, inappropriately run Processes lengthened through challenge CIL - investment in development areas Impact on staff				
Vulnerabilities/causes	Welfare reform - changes to social housing - flexibility in rent setting, short term fixed tenancies, pay to stay, use of RTB receipts for new housing New Homes Bonus Social housing allocations reform Cap to benefit levels, reduction in local housing allowances, increase in non dependant charge, universal credit Changes to business rates Changes to Council Tax Welfare Rights Fairer Charging Community right to challenge Community right to bid				

	Changes to Planning system Community Infrastructure Levy National Home Swap Scheme
Risk Notes	

Risk Code	CPR1415_15	Risk Title	Impact of changes to political control both at local level and in committee member representation.	Current Risk Status	
Description of Risk				Assigned To	Tony Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	keep up to date with changes officers politically neutral appropriate key officer briefings (Executive Board) Member induction and training programme for new and existing members use of SOLACE management support to develop awareness/understanding re new councillors etc. Appropriate lead Members on key regulatory Committees policy underpinned by robust contractual arrangements	Current Risk Score	6	
Gross Severity	3		Current Severity	2	
Gross Likelihood	4		Current Likelihood	3	
Gross Risk Review Date			Last Risk Review Date	29-May-2014	
Consequences	financing streams may change services being delivered could change decision making becomes lengthy				
Vulnerabilities/causes	changes to political leadership - local/national, failure to deliver policy in respect to Local Plan & Housing requirements as a result of challenges to Chair / Political make-up-hung council/government				
Risk Notes					

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