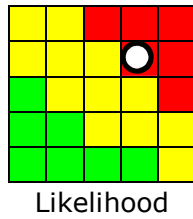
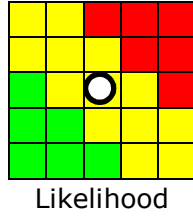
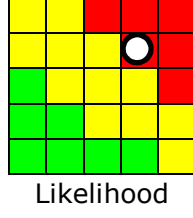
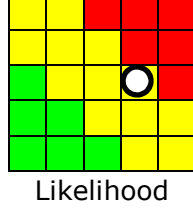
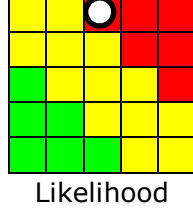
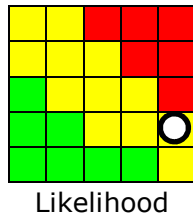
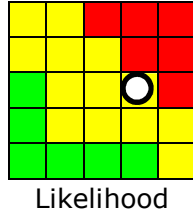
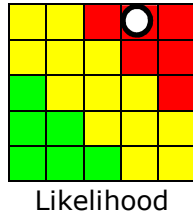
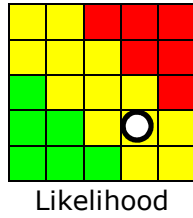
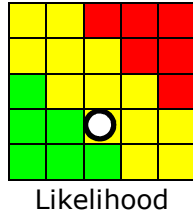


Democratic Services Risk Register

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Generic Risks						
G1. Loss of services provided by external businesses, e.g. Royal & Birmingham Mail.	Inability to provide service or providing a sub-standard service.	Unacceptably poor service.	Reliance on DMC Manager to maintain contract and provision of service. Increased use of email, self-collection of post (Councillors), hand deliveries for urgent documents, DX.		DMO	
G2. Unable to access key systems.	Technology failure major incident.	Loss or reduction in service; increased complaints.	SLA in place with WDC and contracts with key suppliers. Upgrades, where possible, undertaken out of core business hours or busy periods to minimise impact.		DMO	
G3. Health and Safety.	Injury to staff Lone working; handling deliveries etc.	Unavailability of staff due to injury.	Compliance with health and safety plans; training. Compliance with health and safety plans.	Continued regular reviews of Health & Safety Risk assessments.	DMO	
G4. Insufficient or loss of key staff.	Not sharing knowledge within the team along with staff illness/leave or leaving.	Loss or reduction in service; increased complaints.	Defined team roles, training plans and defined project plans.		DMO	
G5. Unavailability of Riverside House.	Flooding fire etc.	Difficulties in providing services.	Business continuity arrangements. Ensure business continuity planning is maintained.	Team plan updated to include consideration of Business Continuity Plan in the Autumn of 2014 for the team depending on progress for other projects. If not, this will be included for June 2015.	DMO	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
G6. Insufficient Staff resources to deliver service.	Significant demand upon service during the next 12 months to meet requirements of election.	Difficulties in providing services.	Monitor demands placed upon team through one to one teams meetings and consideration of individual projects to consider resources.	Continued regular discussions with team to monitor project and workload along with DCE(AJ) and CEX (2015 election project only)	DMO	
G7. Legislation changes.	Change of political view, expansion of process.	Potential difficulties in providing services.	Ensure monitoring of legislation changes through associations to ensure early engagement in process for evaluation		DMO	
G8. Balance of Team Plan requirements and External Demands.	Increased demand for services through additional committee meetings or increased FOI requests.	Difficulties in providing services.	Monitor demands placed upon team through one to one teams meetings.	Monitor demands placed upon team through one to one teams meetings, discussions with DCE(AJ) monthly.	DMO	
G9. Lack of resilience.	Not sharing of knowledge within team along with staff illness/leave.	Loss of or reduction in services; increased complaints.	Improved shared staffing structure between elections and committee teams. Continued risk through long service experience and capacity within the team to share responsibilities further.	Continued review of service delivery. Increased sharing of knowledge on service delivery and combined team with shared support.	DMO	
Civic and Community Services Risks						
CCS1. Decision / unauthorised decision.	Misinterpret regulations or the Constitution	Decision declared illegal	Training and supervision and being members of the Association of Democratic Services Officers. Staff knowledge of constitution through discussions around potential issues at team meetings. Staff drafting; communication systems. Attendance of Legal Services at Planning, Licensing and Regulatory Committee	Continual training. Improved training for members on key committees. This is especially relevant for the induction of new Councillors.	DMO	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
CCS2. Improper behaviour / conduct by public speakers at meetings.	Strong opinions; poor progress poor lobbying.	Violence to staff/ councillors/ other public.	See actions under 'Control'. Regular review of procedures under for public meetings, through H&S assessment including offering training to team members on difficult and aggressive members of the public and liaison with the Town Hall.		DMO	
CCS3. Loss or Publication of Confidential Data.	Officer error or leak by Councillor/Senior Officer.	Loss of public officer confidence. Lost opportunity for Council breach of legislation followed by prosecution.	Agreed procedures in place for distribution of paper copies of agendas and secure system for publication of agendas electronically. Agreed procedures in place for distribution of paper copies of agendas and secure system for publication of agendas electronically.	The likelihood of this occurring is exceptionally high at this time because of two instances in the last 12 months were confidential reports have been passed to the press. Consideration needs to be taken to how to further improve controls in this area.	DMO	
CCS4. Missing statutory deadlines for publishing agendas.	Sickness; other officers not supplying reports on time; print unit failure.	Bad publicity Meeting postponed	Ensure adequate staff are available and that the publication is followed. Reminders provided to officers about approaching deadlines.		DMO	
CCS5. Inaccurate minutes / decisions.	Lack of concentration; poor chairing; human error.	Bad publicity; action being taken not agreed; financial loss.	Training and supervision. Checks and procedures within team; effective Chair to ensure clarity on decision being taken.		DMO	
CCS6. Loss of Historical data of the Council.	Loss of Riverside House due to natural event or fire.	Risk challenging of decisions due to in ability to provide the original signed and bound copies of minutes	Books stored within secure room, above floor level with fire protection system in place.	This will need to be built into the design for new HQ.	DMO	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
CCS7. Loss of Town Hall AV system.	Equipment failure due to age or rental contract ending.	Risk through potential for parties to hear what is said at meeting leading to miss understanding of decision. No DVD of meeting so unable to use for any appeal process.	Robust contract in place and arrangements being made for refurbishment of current system to be completed by end of June 2014.	Hand to Town Hall Manager once refresh complete. Build into budget for new HQ.	DMO	
CCS8. Failure to review Constitution.	Lack of available resources due to demands of other projects and work on the team.	Risk of unclear and out of constitution leading to inaccurate advice or unlawful decisions. Also a lack of transparency for the public.	Balance of workload for this review by undertaking a review of a section at a time as work permits.		DMO	
CCS9. Review of DP / FOI / EIR policy and process.	Inability to locate/access required information within time; failure to monitor deadline.	Loss of public confidence. Referrals of the Council to the Information Commissioner by dissatisfied members of the public.	Constant checking for changes in legislation/Government advice. Discussion within the FOI Working Party. Monitoring of FOI systems put in place Council wide to ensure they are working. The processes for recognising and dealing with FOI requests will need regular monitoring and adjustment.	There is a designated plan in response to the DP Audit recommendations work on which is underway. As part of this we are looking at the associated other policies with support from ICT, WCC Legal and Internal Audit.	DMO	
CCS10. Review of complaints process.	Lack of available resources due to demands of other projects and work on the team.	Risk of unclear and out of constitution leading to inaccurate advice or unlawful decisions. Also a lack of transparency for the public.	Project currently on hold due to resourcing limits on taking the work forward. This in itself creates the risk of need to revise policy further to enable clarity on introduction of the Housing Ombudsman.		DMO	
CCS11. Failure to develop Committee system.	Lack of officer time or skills to bring forward potential of system.	Loss of potential increased efficiencies to enable officer time on other projects. Increased reliance on manual systems and paper copies moving forwards towards new HQ.	Project is focussing on delivering benefits to the Committee Team first to enable consideration of wider benefits to the organisation. These were delayed to enable upgrade to system to take place.	Continued monitoring of work program via Team Operational Plan and one to ones.	DMO	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
CCS12. Failure to deliver IPAD trial for Councillors (determine IT requirements for Councillors post 2015 election).	Lack of officer time or skills to bring forward potential of system. Potential for lack of Councillor buy in to whole project.	Inability to determine the best and most efficient long term solution for Councillors IT provision with increased cost to the Council.	Project being developed in stages with a view to 17 IPad to be in circulation by July 2014. First three due to be issued imminently.		DMO	
CCS13. No training arrangements in place for new Council post 2015 election.	Lack of officer resource or inability to agree programme with members.	Poorly trained members therefore leading to poor decisions and behaviour.	Drafting of programme to commence in June 2014 through member development Group. In addition key service areas are already considering training plans for specific Committees to build into this.		DMO	
CCS14. Incorrect payment of members' expenses.	Inaccurate claims submitted by members and poor checking by officers.	Poor publicity, potential unlawful activity leading to public embarrassment to the Council.	Improved checking and authorisation process. However still a risk of team unable to verify attendance of members at one to one meetings with officers.	Consider balance of officer resource in checking claims by contacting officers to verify councillor attendance against potential lost money.	DMO	
Electoral Services Risks						
ES1. Election 2015.	(project to start summer 2015).	Violence to staff/ councillors/ other public.	Assessment made on the requirement for SIA registered door staff to attend. Training provided for key members of staff and close liaison between relevant departments for meetings. Correct signposting Continue with security measures introduced.	Project plan due August 2014.	DMO, CEX	
ES2. Individual Electoral Registration 2015 (various detailed in separate risk register).	Introduction of the overall scheme.	Failure to meet legislative requirements.	Separate risk register for this project and project plan based upon local and national partnership working.	Continued monitoring of project plan and risk register. 10/6/2014 onwards.	Gillian Friar	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
ES3. Community Governance Review (Various risks detailed with separate project risk register).	Completion of review and introduction of any revised boundaries, plus issuing notice to Boundary Commission of any consequential proposals for WDC, WCC and Parliament boundaries.	Unclear and non co terminus boundaries for 2015 election leading to confusion for the public and Councillors.	Separate risk registers for this project and project plan.	Continued monitoring of project plan and risk register.	Gillian Friar	<p>Impact</p> <p>Likelihood</p>

Key:

New narrative

Narrative being transferred

~~Deleted narrative~~

⊕ = Current risk score

etc = Previous risk scores

Æ etc = trail (direction) of changes

CMT: Corporate Management Team

SMT: Senior Management Team

CEX: Chief Executive – Chris Elliott

DCE(AJ): Deputy Chief Executive – Andrew Jones

ESM: Electoral Services Manager – Gillian Friar

DMO: Deputy Monitoring Officer and Democratic Services Manager – Graham Leach