Chief Executive's Office Risk Register - December 2014

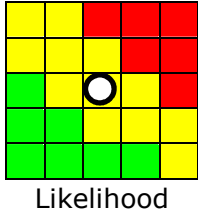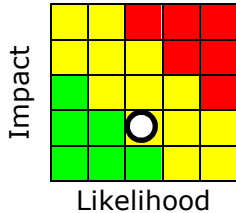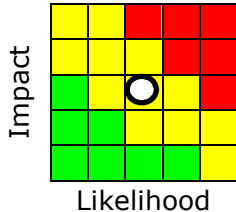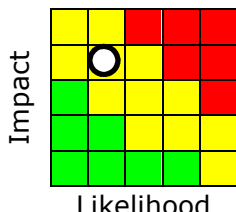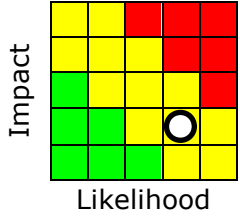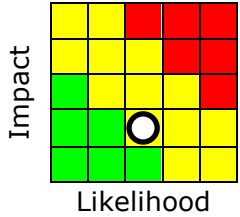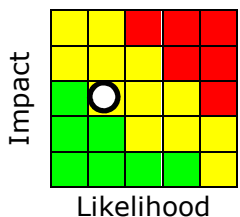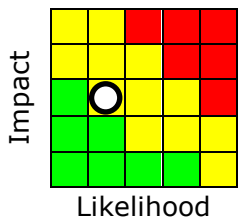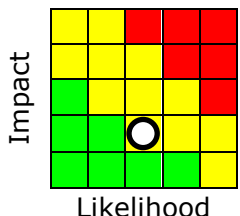| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
**Democratic Services Risk Register  ** **Generic Risks**
GR1 Loss of IT	• Computer breakdown. • Technology problems. • System problems, including hacking. • Reliance on key staff. • Acts of God e.g. fire, hurricane, flood. • Power failure. • Failure of WCC system or support. • Pressures on WCC and their resources. • Malicious acts by employee. • Reliance on key staff.	• Staff not paid Reduction in service delivery, failure to meet statutory requirements • Cost implications. • Poor data. • Dissatisfied customers (and staff). • Loss of access to data, provision of data unavailable • Unable to deliver on line services • Staff morale.	• IT support. • System provider helpdesk. • Contract with software supplier to maintain FMS training needs. • Well trained staff. • Adequate cover. • Business Continuity Plan. • Back-ups. • Manual records. • System controls. • Duplicate records. • Procedure notes. • Audit testing. • Good plans, WCC has elaborate contingency plans. • Effective liaison with County • UPS devices.		All Managers/ Team Leaders System owners	
GR2 Loss of key records.	• System failure. • Accidental disposal. • Theft – particularly of IT equipment. • Inadequately trained staff.	• Unable to provide service. • Possible litigation. • Financial loss. • Bad publicity. • Reputation damage. • Loss of confidence. • Resource implications for replication. • Staff morale. • Stress. • Staff absence. • Litigation.	• IT able to restore systems. • Staff training. • Secure storage of sensitive paper documents. • GCSX. • Document retention policy.		All Managers	
GR3 Loss of office accommodation.	• Fire. • Denial of access.	• Unable to provide services. • Staff morale. • Financial loss. • Reputation	• Work at home. • IT disaster recovery plan. • Business continuity plan critical services identified. • HSBC authorisation able to be done from home.		Head of Finance.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
GR4 Physical Health and Safety Risks to staff in office	• Lack of health and safety good practice • Customer dissatisfaction. • Accident. • Intruders in offices. • Staff in building very early and/or very late. • Violence/threatening customers.	• Verbal abuse. • Actual physical injury. • Health and safety investigation. • Traumatised staff. • Stress. • Increase in sickness absence. • Death. • Staff morale.	• Health and Safety Policy • Robust Risk Assessments, • DSE Assessments • Accident/incident reporting and investigation • Staff alert list. • Tunstall procedure. • Joint consultative safety Panel. • Training/induction • Policies. • Reporting/monitoring procedures.		All Managers/ Team Leaders /Health & Safety Officer	
GR5 Strike Action	• National ballot • Union Actions • Unhappy staff	• Breakdown of employment relationship • Loss of reputation through disruption to service delivery • Staff morale.	• Strong formal and informal communication forums and mechanisms at a local level		CMT/SMT	
GR6 Failure to communicate effectively/giving incorrect information and advice	• Untrained staff • Reorganisation • Inaccurate data on systems or website • Poor communication/information • High workload. • Reliance on key staff. • Staff absence. • Human error. • Inappropriate form of communication.	• Incorrect information used to carry out work. • Negligence and liability claims • Adverse publicity • Loss of reputation • Waste of resource • Poor service to customers • Additional workload. • Staff morale. • Stress.	• Monthly team meetings. • One-to-ones. • E-mail. • Core brief. • Intranet. • Circulation of minutes from meetings. • Corporate communication strategy. • Staff training. • Qualified/experienced staff • Quality standards • Good IT/Information Systems • Web improvement plan		All staff.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
GR7 High or increasing levels of sickness	• Individual workloads resulting in higher stress levels • Poor working environment • Poor management • Dependency on key staff. • Long term sickness. • Pandemic	• Unable to supply service • Reputational risk • Additional cost to cover key staff • Low resilience • Health and Safety Employment related claims • Increased pressure on staff resulting in absence and health issues • Staff morale	• Operational / procedures and controls. • Monitoring and Management Information to SMT • Work with HRMS to refine data accuracy • Proactive interventions including Occ health • Appropriate cover by other team members. • Procedure Manuals (need to be kept up-to-date). • Use of agency staff. • Prioritisation of work plan. • Business continuity plan. • Management of staff leave & absence. • Professional staff management including one to ones/appraisals/staff development and stress management		All Managers	
GR8 Problems recruiting and retaining staff	• Uncertainty of employment prospects with WDC and Local Government • Staff turnover due to low pay, low morale, lack of development opportunities, redundancy • Failure to identify gaps in skills and capacity that could lead to poor service delivery • Age profile of staff • Poor recruitment processes • Uncompetitive terms and conditions	• Reduced resilience • Loss of key staff/skills • Inability to recruit suitable candidates • Additional cost for specialist advice • Poor service delivery • Insufficient resource/creased workload for remaining staff • Staff morale	• Shared services • Succession Planning • Training on roles to build resilience • Generic roles where possible • Well trained/professional recruitment process • Professional staff management including one to ones/appraisals/staff development and stress management • Redeployment Policy • Work prioritisation • Training and development opportunities • Development paths linked to PDP's • Publicise the benefits of working for the Council • IIP		CMT SMT All managers	
GR9 Breaches of Health and Safety legislation.	• Home working. • Driving for work. • D.S.E. / V.D.U. usage. • Manual handling. • Person falling from height. • Items falling from height.	• Sickness absence. • Stress. • Injury. • Death. • Legal action. • Penalties/Fines.	• Corporate health and safety policy including Home working and Driving at work. • Eye tests. • Regular DSE assessments. • Health and safety risk assessments (AssessNET). • Training available. • Insurance cover. • Health & safety on team meeting agendas. • Home working policy.		All staff.	

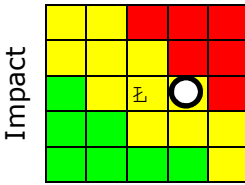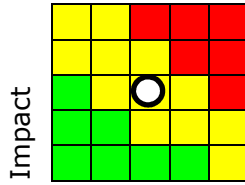| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
**Democratic Services Risk Register** **Service Specific Risks - Civic and Community**					
CCS1 Decision/unauthorised decision.	Misinterpret regulations or the 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. New Council induction plan nearly completed subject to final detail being completed	DMO	
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.	Two known occurrences in last 12 months. Committee System supplier investigating further security controls with view to moving to solely electronic access to confidential reports.	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.	Likelihood reduced as not occurred.	DMO	

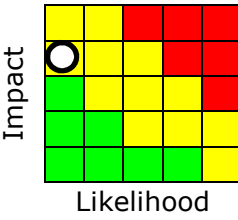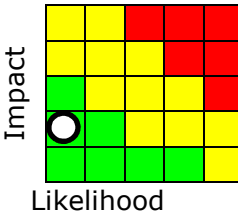| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
CCS5 Inaccurate minutes/ decisions.	Lack of concentration; poor chairing; human error.	Bad publicity; action being taken not agreed; financial loss.	Training and supervision. Checks and procedures within team; effective Chair to ensure clarity on decision being taken.	Training plan for new Council nearly complete which includes specific training for Committee Chairman	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	
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.	Council procedure rules, and HARP reports to January Executive. Code of Conduct Report to Standards Committee in January. Employee Code of Conduct now completed and Member officer protocol, under review for introduction in May 2015.	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. 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.	Increased resources within team for Monitoring requests. Improved process for handling requests introduced and increased support from WCC knowledge base being investigated	DMO	

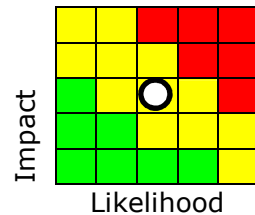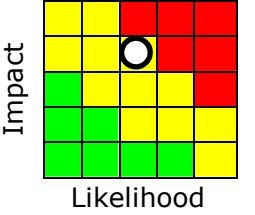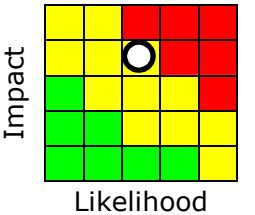| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
CCS10 Review of complaints process.	Lack of available resources due to demands of other projects and work on the team.	Risk of unclear and out of constitution 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	Impact / Likelihood
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.	Development placed on hold until after 2015 election to enable review of best options to progress next and embed improved project management of development	DMO	Impact / Likelihood
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.	Trial is underway and officers considering feedback from trial. Options to be discussed with members in January 2015	DMO	Impact / Likelihood
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.	The draft plan has been approved by SMT and will be considered by the Member Development Group in January. Officers will then implement the agreed approach.	DMO	Impact / Likelihood
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	Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
E51 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.	Monthly project meetings now taking place. Proposed contract for venue received and approval for procurement exemption coming to Executive in January 2015. Recruitment underway for staffing of polling stations and count. Biggest risk to continue to work on is the impact of the Community Governance Review.	DMO, CEX	Impact / Likelihood
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.	Progressing as planned in line with national experiences.	Gillian Friar	Impact / Likelihood
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.	Submission made for first stage to LGBCE made. Now awaiting approval. Followed by order completion and final LGBCE approval by end of January 2015.	Gillian Friar	Impact / Likelihood

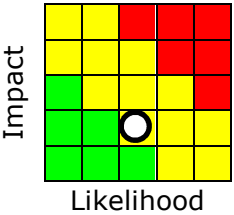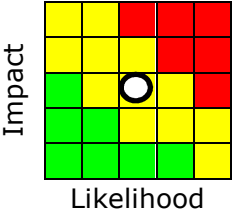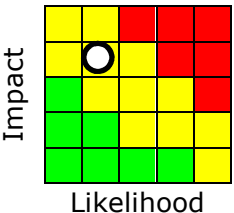| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
		**ICT Services Risk Register** **Generic Risks**				
GR1 Loss of office accommodation.	• Fire / Flood • Denial of access.	• Unable to provide services. • Staff morale. • Financial loss. • Reputation	• ICT Emergency home working document • Corporate business continuity plan • ICT Service Area Crisis plan		CMT / DMT	Impact / Likelihood grid
GR2 Physical Health and Safety Risks to staff in office	• Poor training • Absence of relevant procedures • Accident. • Intruders in offices. • Staff in building very early and/or very late. • Violence/threatening customers.	• Actual physical injury. • Health and safety investigation. • Traumatised staff. • Stress. • Increase in sickness absence. • Death. • Staff morale.	• Health and Safety Policy • Robust Risk Assessments, • DSE Assessments • Accident/incident reporting and investigation • Staff alert list. • Tunstall procedure. • Joint consultative safety Panel. • Training/induction • Policies. • Reporting / monitoring procedures.		DMT /Health & Safety Officer	Impact / Likelihood grid
GR3 Strike Action	• National ballot • Union Actions • Unhappy staff	• Breakdown of employment relationship • Loss of reputation through disruption to service delivery • Staff morale.	• Strong formal and informal communication forums and mechanisms at a local level • ICT Services Staff Absence Strategy • Low union membership within ICT		CMT/SMT	Impact / Likelihood grid
GR4 High or increasing levels of sickness	• Individual workloads resulting in higher stress levels • Poor working environment • Poor management • Dependency on key staff. • Long term sickness. • Pandemic	• Unable to supply service • Reputational risk • Additional cost to cover key staff • Low resilience • Health and Safety Employment related claims • Increased pressure on staff resulting in absence and health issues • Staff morale	• Operational / procedures and controls. • Monitoring and Management • Proactive interventions including Occ health • Appropriate cover by other team members. • Use of agency staff. • Prioritisation of work plan. • ICT Services Staff Absence Strategy • Management of staff leave & absence. • Professional staff management including one to ones/appraisals/staff development and stress management		DMT	Impact / Likelihood grid

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
GR5 Breaches of Health and Safety legislation.	• Home working. • Driving for work. • D.S.E. / V.D.U. usage. • Manual handling. • Person falling from height. • Items falling from height.	• Sickness absence. • Stress. • Injury. • Death. • Legal action. • Penalties/Fines.	• Corporate health and safety policy including Home working and Driving at work. • Eye tests. • Regular DSE assessments. • Health and safety risk assessments (AssessNET). • Training available. • Insurance cover. • Health & safety on team meeting agendas. • Home working policy.		All ICT staff.	
GR6 Breaches of financial controls as they relate to the ICT Service	• Lack of awareness • Lack of training • Malicious intent	• Fraud • Poor value for money • Contractual issues, inc performance	• Code of financial practice • Code of procurement • Whistleblowing policy • Anti-Fraud & Corruption policy • ICT Audits • Staff training • ICT contracts register • Annual budget acceptance / signature by ICTSM • Monthly budget monitoring		DMT/ all ICT staff	
GR7 Insufficient budget to deliver the ICT service	• Council budget constraints. • Poor budget management	• Inability to deliver the service. • Inability to deliver the ICT Strategy • Opportunity costs. • Increased service failures through lack of investment	• Annual budget setting process • Creation of an ICT Services Equipment Reserve		CMT / ICTSM	
ICT Services Risk Register **Service Specific Risks**						
IT1 Unauthorised Disclosure.	i. Hacking ii. Spyware iii. Emailing the wrong recipient iv. Stolen equipment; laptops, USB devices v. Lost devices vi. Poor hardware disposal practices vii. Poor password management viii. Allowing unauthorised third parties, including family & friends, to utilise Council equipment.	i. Potential fines; ICO, DP. ii. Reputational damage.	i. Information Security Policy. ii. Penetration testing iii. Perimeter protection; Firewall, 2 Factor Authentication iv. Disk encryption v. USB device restriction and encryption. vi. Virtual Desktops vii. Formation of the ICT Steering Group's Governance sub-group. viii. Third Party Network Access Agreement ix. Non-Disclosure Agreements x. Destruction certificates for equipment disposal.		CMT SMT SIRO DPO ICTSM	 The constraints imposed by PSN a driving users to circumvent the Council's security policy by forwarding emails to private accounts and creating content outside of Council systems

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IT2 Non-Availability of Key Technical & Support Staff.	i. Failure to maintain a workforce that can provide good service delivery due to:
	  a. Salary
	  b. Training
	  c. T&C
	  d. Working Environment
	  e. Career Progression
	ii. Failure to identify gaps in staff skills & capacity that could lead to poor service delivery.
	iii. Poor planning to cover holidays, sickness, etc.
	iv. Poor project management.
	v. Epidemic.
		i. Additional costs for specialist advice.
		ii. Increased service outages.
		iii. Increased duration of service outages.
		iv. Inability to deliver Council objectives.
		v. Increased stress on residual staff.
			i. Shared Services.
			ii. Succession planning.
			iii. Generic Roles where ever possible.
			iv. Third party Support & Maintenance Contracts.
			v. Business Continuity – Staff Absence Strategy.
			vi. Documentation.
			vii. Training budget.
					ICTSM
					DMT
						
						Recent recruitment exercises in ICT have proven that Local Government is no longer an attractive place to work largely due to salaries. This has meant that staff are being recruited with lower levels of technical expertise.

IT3 Loss of Data or Data Integrity.	i. Hacking. ii. Human error. iii. Poor change management. iv. Little or no testing of new software releases. v. Viruses. vi. Poor password management. vii. Insecure web applications. viii. Software bugs. ix. Inappropriate access rights. x. Hardware corruption. xi. Poor training. xii. Malicious intent.	i. Loss of service to the customer. ii. Processing backlogs. iii. Potential loss of income. iv. Reputational damage. v. Fraud.	i. Perimeter protection; Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc. ii. Test plans. iii. Penetration testing (Ethical Hacking). iv. Antivirus strategy. v. Audits (Internal, 3rd Party ICT Auditors, Communications-Electronics Security Group (CESG), PCI DSS) vi. Activity logs. vii. Staff Training. viii. Code of Connection. ix. Information Security Policy. x. Formation of Info. Governance Sub-Group .(ICT Steering Group) xi. Recruitment using the Baseline Personnel Security Standard. xii. Supplier support contracts. xiii. GovCertUk notifications of threats and vulnerabilities. xiv. Nominated system owners.		SMT ICT DMT SO	 Current position has been reviewed.

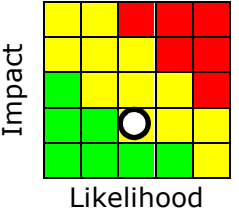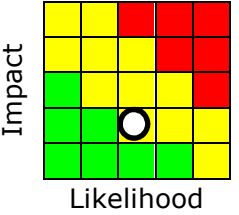| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
IT4 Loss of Council computer facilities (*Servers, Storage, Network, Voice*).	i. Human error. ii. Hardware/software failure (OS). iii. Poor change management iv. Fire/Flood v. Loss of power vi. Theft vii. Malicious damage viii. Environmental (Too hot, too cold) ix. Telecoms failure. x. Firmware bug. xi. Lack of funding.	i. Loss of service to the customer. ii. Processing backlogs iii. Potential loss of income. iv. Reputational damage v. Loss of data.	i. Staff training. ii. Technical documentation. iii. Hardware resilience. iv. Backup generator/Uninterruptible Power Supply (UPS). v. Offsite backup tapes. vi. Business continuity contract. vii. Change Management Policy / Back-out Plans. viii. Audits. ix. Fire/Flood detection. x. Fire suppression xi. Air conditioning xii. Proactive monitoring (System Centre Operations Manager) xiii. Redundant Array of Independent Disks – RAID 5. xiv. VMware High Availability. xv. Third party support & Maintenance contracts. xvi. Environmental security policy. xvii. Insurance. xviii. Code of Connection. xix. Investment planning via the Equipment Renewal Reserve.	• Review new BC services available via new contract (ICTSM – Apr 15)	ICTSM SO FM	 No change, although as a result of retendering the BC contract, new opportunities for reducing the impact need to be assessed.
IT5 Failure of Service Providers.	i. Bankruptcy. ii. Natural disaster. iii. Takeover. iv. Legal (Intellectual property infringement). v. Change of strategy (no longer wish to supply the product).	i. Non-supported system. ii. System replacement costs. iii. Potential loss of service to the customer. iv. Potential loss of income. v. Potential inability to deliver Council objectives.	i. Change freeze. ii. Shared service. iii. Emergency procurement. iv. Business Continuity - Business Application Supplier Strategy. v. Financial vetting of suppliers as part of the procurement process.			 No change – residual risk rating does not warrant further action

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
IT6 Failure to achieve or maintain PSN compliance	i. Time constraints ii. Cost iii. Inconsistent assessment process. iv. Changes to the compliance regime with little or no notice.	i. Inability to deliver the following services: • Government Connect Mail i.e. (gcsx.gov.uk) • DWP Customer Information System (Revs & Bens) • Data Transfer Appliance (Revs and Bens) • Tell Us Once Appliance (Revs and Bens) • National Resilience Extranet (Civil Contingencies) • Individual Electoral Registration • LoCTA Service (Revs & Bens)	i. Undertake regular awareness training to understand the requirements. ii. Communicate the implications to the business to ensure compliance. iii. Where possible anticipate budget implications and make provision. iv. Engage a security specialist to advise on compliance.		SMT SIRO ICTSM	 Due to 'pushback' by the LA community, CESG has allowed a degree of additional flexibility when seeking compliance.
Human Resources Risk Register Generic Risks						
GR1 Loss of IT	• Computer breakdown. • Technology problems. • System problems, including hacking. • Reliance on key staff. • Acts of God e.g. fire, hurricane, flood. • Power failure. • Failure of WCC system or support. • Pressures on WCC and their resources. • Malicious acts by employee. • Reliance on key staff.	• Staff not paid Reduction in service delivery, failure to meet statutory requirements • Cost implications. • Poor data. • Dissatisfied customers (and staff). • Loss of access to data, provision of data unavailable • Unable to deliver on line services • Staff morale.	• IT support. • System provider helpdesk. • Contract with software supplier to maintain FMS training needs. • Well trained staff. • Adequate cover. • Business Continuity Plan. • Back-ups. • Manual records. • System controls. • Duplicate records. • Procedure notes. • Audit testing. • Good plans, WCC has elaborate contingency plans. • Effective liaison with County • UPS devices.		All Managers/ Team Leaders System owners	
GR2 Loss of key records.	• System failure. • Accidental disposal. • Theft – particularly of IT equipment. • Inadequately trained staff.	• Unable to provide service. • Possible litigation. • Financial loss. • Bad publicity. • Reputation damage. • Loss of confidence. • Resource implications for replication. • Staff morale. • Stress. • Staff absence. • Litigation.	• IT able to restore systems. • Staff training. • Secure storage of sensitive paper documents. • GCSX. • Document retention policy.		All Managers	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
GR3 Loss of office accommodation.	• Fire. • Denial of access.	• Unable to provide services. • Staff morale. • Financial loss. • Reputation	• Work at home. • IT disaster recovery plan. • Business continuity plan critical services identified. • HSBC authorisation able to be done from home.		Head of Finance.	Impact / Likelihood matrix
GR4 Physical Health and Safety Risks to staff in office	• Lack of health and safety good practice • Customer dissatisfaction. • Accident. • Intruders in offices. • Staff in building very early and/or very late. • Violence/threatening customers.	• Verbal abuse. • Actual physical injury. • Health and safety investigation. • Traumatised staff. • Stress. • Increase in sickness absence. • Death. • Staff morale.	• Health and Safety Policy • Robust Risk Assessments, • DSE Assessments • Accident/incident reporting and investigation • Staff alert list. • Tunstall procedure. • Joint consultative safety Panel. • Training/induction • Policies. • Reporting/monitoring procedures.		All Managers/ Team Leaders /Health & Safety Officer	Impact / Likelihood matrix
GR5 Strike Action	• National ballot • Union Actions • Unhappy staff	• Breakdown of employment relationship • Loss of reputation through disruption to service delivery • Staff morale.	• Strong formal and informal communication forums and mechanisms at a local level		CMT/SMT	Impact / Likelihood matrix
GR6 Failure to communicate effectively/giving incorrect information and advice	• Untrained staff • Reorganisation • Inaccurate data on systems or website • Poor communication/information • High workload. • Reliance on key staff. • Staff absence. • Human error. • Inappropriate form of communication.	• Incorrect information used to carry out work. • Negligence and liability claims • Adverse publicity • Loss of reputation • Waste of resource • Poor service to customers • Additional workload. • Staff morale. • Stress.	• Monthly team meetings. • One-to-ones. • E-mail. • Core brief. • Intranet. • Circulation of minutes from meetings. • Corporate communication strategy. • Staff training. • Qualified/experienced staff • Quality standards • Good IT/Information Systems • Web improvement plan		All staff.	Impact / Likelihood matrix

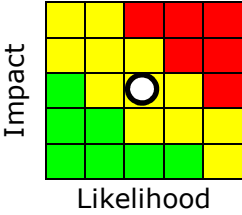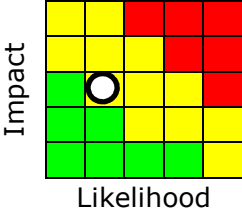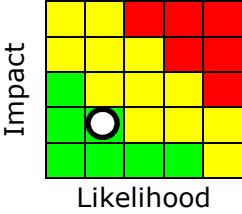| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
GR7 High or increasing levels of sickness	• Individual workloads resulting in higher stress levels • Poor working environment • Poor management • Dependency on key staff. • Long term sickness. • Pandemic	• Unable to supply service • Reputational risk • Additional cost to cover key staff • Low resilience • Health and Safety Employment related claims • Increased pressure on staff resulting in absence and health issues • Staff morale	• Operational / procedures and controls. • Monitoring and Management Information to SMT • Work with HRMS to refine data accuracy • Proactive interventions including Occ health • Appropriate cover by other team members. • Procedure Manuals (need to be kept up-to-date). • Use of agency staff. • Prioritisation of work plan. • Business continuity plan. • Management of staff leave & absence. • Professional staff management including one to ones/appraisals/staff development and stress management		All Managers	Impact / Likelihood grid
GR8 Problems recruiting and retaining staff	• Uncertainty of employment prospects with WDC and Local Government • Staff turnover due to low pay, low morale, lack of development opportunities, redundancy • Failure to identify gaps in skills and capacity that could lead to poor service delivery • Age profile of staff • Poor recruitment processes • Uncompetitive terms and conditions	• Reduced resilience • Loss of key staff/skills • Inability to recruit suitable candidates • Additional cost for specialist advice • Poor service delivery • Insufficient resource/creased workload for remaining staff • Staff morale	• Shared services • Succession Planning • Training on roles to build resilience • Generic roles where possible • Well trained/professional recruitment process • Professional staff management including one to ones/appraisals/staff development and stress management • Redeployment Policy • Work prioritisation • Training and development opportunities • Development paths linked to PDP's • Publicise the benefits of working for the Council • IIP		CMT SMT All managers	Impact / Likelihood grid
GR9 Breaches of Health and Safety legislation.	• Home working. • Driving for work. • D.S.E. / V.D.U. usage. • Manual handling. • Person falling from height. • Items falling from height.	• Sickness absence. • Stress. • Injury. • Death. • Legal action. • Penalties/Fines.	• Corporate health and safety policy including Home working and Driving at work. • Eye tests. • Regular DSE assessments. • Health and safety risk assessments (AssessNET). • Training available. • Insurance cover. • Health & safety on team meeting agendas. • Home working policy.		All staff.	Impact / Likelihood grid

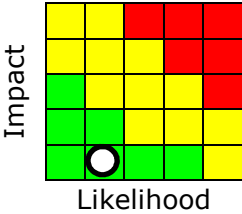| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
**Human Resources Risk Register** / **Service Specific Risks - HR**						
SS1 Engagement initiatives not implemented	• Work on People Strategy not achieved • Change in focus • Failure to communicate what required and why • Failure of leaders to role model what required • Failure to engage and gain buy in from staff and Members	• Reduction in staff motiv... • Reduction in performance • Staff not aware of Council's vision and values	• Monitoring of People Strategy by Members, Unions and Senior Management • CMT/SMT agree the vision of the organisation • CMT/SMT lead on the Engagement Plan/People Strategy • SMT to review, support and monitor delivery of plans		CMT SMT	Impact / Likelihood
SS2 Low staff morale: staff disengaged	• High levels of change with the council • HQ Relocation • Changes to Terms and Conditions • Risk of redundancy, job changes • Increased workload • Poor management • Increased sickness absence • Lack of motivation	• Higher number of leavers • Higher number of disciplinaries and grievances • Increase in staff and managers coming to talk to HR about issues • More HR casework • Increase disputes with Unions • Concerns raised at exit interviews • Increased risk of ET claim • High level of stress indicated by Risk assessments	• Good levels of communications at all levels of the organisation • Use of ESOs, union and HR for advice and support as well as managers • Consultation to keep staff informed • Managers supported by their managers and HR • HR/Management Training workshops	Continue to implement Staff Engagement Action Plan and People Strategy	CMT SMT All Managers	Impact / Likelihood
SS3 Employment Tribunal Claims	• Poor staff management. • Procedures not followed • Incorrect advice • Disgruntled Employees • Union Actions	• Poor HR Practices identified • Breakdown of employee relationships • Bad press/poor reputation • Financial cost	• Clear policies and procedures • Good HR Practice • HR CPD • Trained management via course, mentoring and coaching • Open and honest communication • Constructive relationships with unions		Managers and HR	Impact / Likelihood
Failure to: a. Respond to new legislation b. Comply with new/existing legislation c. Take into account legal implications of decisions	• Lack of knowledge • Change in Government Policy • Poor decision making • Lack of resource • Inexperienced staff	• WDC unprepared for changes resulting in additional costs/workloads for staff • Damage to reputation • Employment Tribunal Claims • Financial impact	• Legal advice available to staff • Communication with professional bodies and organisations to seek assistance and advice • Staff suitable trained and qualified to give advice and guidance		Managers and HR	Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
SS4 Recruitment and retention	• Uncertainty of employment prospects with WDC and Local Government • Staff turnover due to low pay, low morale, lack of development opportunities, redundancy • Failure to identify gaps in skills and capacity that could lead to poor service delivery • Age profile of staff • Poor recruitment processes • Uncompetitive terms and conditions • Lack of succession planning • Uncertain prospects for Local Govt employees	• Reduced resilience • Loss of key staff/skills • Inability to recruit suitable candidates • Additional cost for specialist advice • Poor service delivery • Insufficient resource/increased workload for remaining staff • Staff morale	• Review of roles • Shared services • Succession Planning • Training on roles to build resilience • Generic roles where possible • Well trained/professional recruitment process • Professional staff management including one to ones/appraisals/staff development and stress management • Redeployment Policy • Work prioritisation • Training and development opportunities • Development paths linked to PDP's • Publicise the benefits of working for the Council • IIP		CMT/SMT/HR	
SS5 The council's workforce profile does not represent the community profile	• Low visibility of female, disabled, ethnic staff amongst management levels • Council not perceived as equality of opportunity employer • Service delivery is challenged as discriminatory • Consultation is not undertaken with service changes or delivery	• Lack of applicants from minority groups • Potential of discrimination claims • Lack of understanding of Equalities and Diversity	• Understanding of Equalities is embedded across the Council • HR lead on Equality work to support managers • Training and education regarding diversity • Professional recruitment and selection processes free of diversity bias		HR/All managers	
SS6 Failure of electronic banking	• Failure of BACS system • Failure of CHAPS • WDC website unavailable • Failure of bank systems • Telecommunication failure	• Staff not paid causing hardship • Complaints • Bad publicity • Litigation • Cash flow • Financial loss. • Unable to reconcile bank balances.	• Use available alternative payment methods e.g. typing up cheque, going down to bank, obtaining cash.		Payroll/Finance	
SS7 Loss or corruption of personal data	• Human error • Systems failure • Loss of information during transactions • Hardware/software corruption • Poor training • Malicious intent	• Reputation of Council • Possible financial cost • Loss of customer service • Processing backlogs • Litigation	• Clear policies for holding personal data e.g retention • Training for staff • Audit logs • Quality of checking data • Carry out regular data cleansing exercises with employees through self-service functionality		HR Interim Manager	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
SS8 Training – not evaluated as adding value	• No training needs analysis, so needs not met • No training plans • Appraisals not carried out on time • Attendees do not attend or cancel last minute when booked on a course • Spend not analysed • Impact of training on performance not analysed • Pre/Post Course objective forms not completed	• Service delivery impeded • Recruitment and retention affected • Corporate objectives not achieved • Motivation is low from staff without the right skills to do the job • Equality may be impacted as it may have an adverse effect • Cost is low but effectiveness not measures • Members not given the right skills/support • Reputation damage	• IIP accreditation process and action plan • Performance Management Framework • Course evaluation • Tendering/selection of providers • Review of budget • Managers review the effect of training on staff performance • Ata from Pre/Post Course objective Froms • ICT Steering Group reviewing ICT training needs		HR/L&D/All Managers	 Impact / Likelihood
SS9 Failure to achieve the statutory Equality Framework	• Lack of commitment at all levels • Lack of dedicated resource • Lack of understanding of how to achieve it and what it means to services • Inability to deliver the work required (lack of understanding/capacity)	• Poor audits • Discrimination tribunal cases • Cost of tribunal cases • Reputational costs • Service delivery could be causing discrimination thus impacting on customers • Not able to retain Investor in People • Affects ability to recruit and retain staff	• Educate and support services through training and coaching • Focus resource on best practice and examples of success • Involve customers in decisions via engagement groups • Embedded in service planning cycle/service are plans • Equality impact assessment training delivered • EIA required for all policy/service changes		SMT/CMT/HR	 Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
SS10 Payroll payments and documentation and pension payments not made at all, are late or incorrect.	• System failure. • Staff shortage. • Human error. • Pressures on WCC and their resources. • Failure of WCC system or support. • Heavy reliance on WCC personnel • Data received late. • Incorrect data received. • Electronic banking failure. • Structural changes (loss of key staff). • RTI • Living Wage inception • Auto enrolment • LGPS Changes • Inaccurate overtime data supplied • Inability to update HRMS system	• Staff not paid. • Staff not paid correctly. • End of year documentation incorrect • Staff discontentment. • Complaints. • Additional work. • Financial loss. • Staff morale. • Pension information incorrect • Information held on HRMS incorrect	• System and processing controls / staff cover and management of the section. • Good plans, County Council has elaborate contingency plans. • Effective liaison with County. • Possibility of shared service to provide better cover. • Adequate training for all HR staff. • Closer liaison with payroll officers within HR function. • Succession planning • Additional training for Payroll staff • Assess levels of access to change system to update new posts • Improved resilience through SLA with service provider • Reduction in both impact and likelihood because RTI, Living Wage, LGPS changes, election payroll and new BACS system have all been implemented successfully	Recruiting to new HR/Payroll Project Officer	Interim Payroll/HR Project Manager	
SS11 The Council does not retain Investors in People Status	• Failure to adhere to principles of Investment in People • Failure to deliver IIP Action Plan • Staff morale low at time of assessment	• Failure of assessment • Staff engagement decreases as staff feel under valued • Council reputation could be decreased as seen as slipping in standards	• Commitment at all levels to IIP attainment • Communication across the council about IIP principles of IIP and the need value them • Actions incorporated in People Strategy action Plan • SMT quarterly review of action plan and People Strategy		HR/All Mangers/SMT/CMT	
SS12 Job Evaluations appear to staff to be poorly carried out and/or inconsistent grading	• Poorly written job description • Managers and staff resubmit evaluations if they don't get the 'right' score • Staff unhappy with changes to job descriptions • HAY Panel loss of integrity/reputation	• Unhappy staff who appeal their scores • Managers, unions and staff do not trust the decisions • High number of appeals by staff	• Well trained HAY panel who are competent and experiences • Managers, unions and staff work together to build in trust in the HAY panel decisions • Fair process and appeal process in place		HR/L&D/All Mangers	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
SS13 HMRC payroll returns wrong or late.	• Staff shortage. • Poor training. • System failure. • Real-time information/ Universal Credit.	• Financial penalties. • Staff morale.	• Timetables/deadlines, system processing and management of the section. • Monitoring of key returns. • Specialist external advice available. • Training of staff. • Support from our Payroll providers as part of SLA		HR/Payroll/ All Managers	Impact / Likelihood
SS14 Data protection and Freedom of Information compliance breach.	• Poor/inadequate training of staff. • Give out personal information. • Hold inappropriate information. • Information not stored securely.	• Breach Data Protection legislation. • Investigation. • Litigation. • Financial loss – fines, compensation.	• Adequate training for staff. • Document retention policy. • Encryption of data. • GCSX. • Information security policy.		CMT/SMT/ Democratic Services	Impact / Likelihood
Human Resources Risk Register Service Specific Risks - WEB						
1 Staff/customers unable to access Website or particular contents.	i. Current Content Management System (CMS) is old. ii. Technology failure – computers down.	i. Reduced service and / or service standard. ii. Increase in more expensive customer contacts via face to face visits and telephone. iii. Possible financial implications if customers unable to make payments online.	i. Replace CMS with new fit for purpose solution – procurement process completed – new CMS Spring 2014. ii. Service Level Agreement with 3rd party supplier. iii. Contractual Agreement. iv. Agree with ICT acceptable level of downtime. v. Ability to set up 'dummy' website quickly for customer payments.		Website Manager	Impact / Likelihood
2 Content insufficient or fails to meet accessibility standards.	i. Service areas not entering information. ii. Service areas entering incorrect information. iii. Service areas not developing web solutions.	i. Increase in more expensive customer contacts via face to face visits and telephone. ii. Poor service to customers. iii. Possible financial penalties.	i. Web Implementation plan. ii. Service area plans. iii. Web Manager quality checks. iv. Expiry dates on pages for review v. External checking undertaken annually. vi. Annual accessibility audit.		Website Manager	Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
Human Resources Risk Register **Service Specific Risks - Media Room**						
3 Inaccurate/ Inappropriate Communication.	i. Comms not co-ordinated. ii. Staff not using internal media team including ad agency. iii. Equality & Diversity Guidelines are not followed. iv. Untrained staff.	i. Financial implications. ii. Incorrect or defamatory information given to media. iii. Customers irritated by receiving mass comms from council. iv. Wrong messages given to stakeholders.	i. Training given by media team through network group. ii. Robust signing off process. iii. Ensure all work passes through the media team for screening.		Service Area Managers Media Manager	
4 Breaching the Code of Recommended Practice on Local Authority Publicity.	i. Staff are not aware of the publicity code.	i. Breaking legislation and possible investigation ii. Council reputation impacted.	i. Make all staff aware through media network group, list the simplified guide along with the full version on the media pages of the intranet, run training through network group and media drop in sessions.		Media Manager	
5 Failure to meet production deadlines for print.	i. Lack of planning. ii. Machine breakdown. iii. Untrained staff.	i. Services disrupted. ii. Delayed committee meetings and decisions. iii. Customers not receiving information on time. iv. Council reputation impacted.	i. Machine Maintenance scheduled with contractor. ii. Training of staff. iii. Service areas to plan work to add contingency to deadlines.		Media Manager	
6 Communications not in plain English or meeting accessibility guidelines.	i. Untrained staff. ii. Use of external design agencies or partners.	i. Contravening E&D policy. ii. Customers not informed. iii. Possible financial penalty. iv. Council reputation impacted.	i. Trained staff. ii. Service areas to send work to Media room for checking.		Media Manager	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
7 EU Print Procurement Framework not being used	iii. Staff unaware of protocols and existence of framework iv. Staff unaware of legal implications of going outside the framework	v. Legally challenged by companies on the framework vi. Penalties & cost implications vii. Reputational damage	iii. Remind staff regularly of framework and consequences of not using it		Media Manager	Impact / Likelihood matrix
— **Human Resources Service Risk Register** **Service Specific Risks - Document Management Centre**						
8 WDC is not able to process payments.	i. Allpay system fails. ii. Capita system fails. iii. Failure to comply with PCI DSS. iv. Security breach. v. Technology failure.	i. Loss or reduction of service . ii. Loss of income. iii. Reputation damaged. iv. Possible fines imposed. v. Customers required to pay cash and additional costs this incurs.	i. Regular account management meetings with Allpay, Capita ii. Project to ensure compliance with PCI DSS. iii. Ability to set up 'dummy' website quickly for customer payments. iv. Service areas encouraging Direct Debit take up.		Head of Service	Impact / Likelihood matrix
9 Not able to handle and processing incoming and outgoing documents, including post.	i. DSA fails to collect / deliver mail. ii. Trained staff not available.	i. Loss or reduction of service. ii. Increased cost re use of Royal Mail. iii. Reputation damaged.	i. Regular account management meetings with provider. ii. Business continuity process from provider. iii. Staff training iv. Processes documented. v. Use of temporary staff.		DMC Team Leader	Impact / Likelihood matrix
10 Insufficient stock of travel tokens.	i. Poor planning ii. Delivery failure. iii. Unanticipated demand.	i. Increased customer complaints. ii. Adverse publicity.	i. Regular account management meetings. ii. Stock management. iii. Monitoring of customer demand.		DMC Team Leader	Impact / Likelihood matrix

Key:

New narrative

Narrative being transferred

~~Deleted narrative~~

¢ = Current risk score

Ł = Previous risk score (and direction)

Democratic Services Personnel Key:

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
ICT Personnel Key:
CMT – Corporate Management Team
SMT – Senior Management Team
DMT – Departmental Management Team
ICTSM – ICT Services Manager
SIRO – Senior Information Risk Owner
DPO – Data Protection Officer
SO – System Owners
FM – Facilities Manager