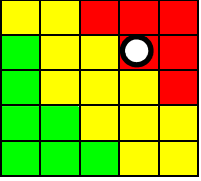


Health & Community Protection - Risk Register

DEC 2015

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR1	<p><b>Staff Resources - Loss of key staff/skills, Appointment &amp; Retention, ill health and other emergencies.</b></p> <p><b>HCP restructure, Staff Transitions</b></p> <p><b>Terms and Conditions review</b></p>	<ul style="list-style-type: none"> <li>Ill health inc infectious disease outbreaks, stress</li> <li>Staff turnover (finding work elsewhere, low pay, dissatisfaction, low morale, qualifications, poor working conditions, shortage of skilled staff, lack training opportunities, lack development opportunities, Redundancy, retirement)</li> <li>Lack of key staff/knowledge.</li> <li>Lack of adequate cover bank holidays/emergencies, including outbreaks/epidemics</li> <li>Lack of succession planning and Unfilled Vacancies</li> <li>External emergency situation (Flood, Act of Terrorism, Pandemic Flu, other hazard).</li> </ul>	<ul style="list-style-type: none"> <li>Skills shortage. Unable to respond to service area matters.</li> <li>Insufficient resources to maintain adequate service/ reduced service/ service failure</li> <li>Lack of Proper officer/officer with delegated authority/officer with relevant certification/ qualifications available to progress workflow.</li> <li>Failure to meet customer expectations</li> <li>Failure to meet statutory requirements</li> <li>Unable to respond to emergencies</li> <li>Low staff morale.</li> <li>Additional pressure on remaining staff</li> <li>Loss of additional Key Staff.</li> <li>Impacts on the Councils financial Profile.</li> <li>Loss of IIP award.</li> <li>Threat to business critical tasks.</li> <li>Financial penalties.</li> <li>Additional budgetary pressure if agency staff or overtime is required to fill the gap</li> <li>Breach of working time directive.</li> <li>Staff fatigue leading to increased risk of accident / stress /absence</li> </ul>	<ul style="list-style-type: none"> <li>Effective staff management, including stress management, one to ones/appraisals &amp; staff development.</li> <li>Supportive, equitable, transparent and consistent corporate culture.</li> <li>Adherence to the principles, aims and objectives of Investors in People, the Health &amp; Wellbeing Strategy and the Wellbeing Charter</li> <li>Succession planning as part of Service Planning process.</li> <li>Maintenance of competence, CPD,</li> <li>Knowledge pairing within department.</li> <li>Use of temporary staff as needed/appropriate</li> <li>Effective monitoring of performance.</li> <li>Enhance resilience by encouraging staff to train in additional competencies and certification, share knowledge.</li> <li>Encourage phased retirement if appropriate to enable transfer of knowledge</li> <li>Succession Planning Strategy</li> <li>Regular review of Business Continuity Plan</li> </ul>	DMT HR HHCP CCO	<ul style="list-style-type: none"> <li>Appoint to key posts (Regulatory Manager &amp; Environmental Sustainability Manager)</li> </ul>		MAR 16	 <p>Increase due to the restructure, retirement of key staff and key staff vacancies. Review of terms and conditions.</p>

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR2	<b>Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.</b>	<ul style="list-style-type: none"> <li>Failure to implement safe systems of work</li> <li>Insufficient knowledge of required procedures</li> <li>Inadequate corporate systems in place</li> <li>System failure</li> <li>Lone working;</li> <li>Abusive applicants and disgruntled customers</li> <li>Exposure to drunk people, taxi drivers, publicans and customers</li> <li>Working outside daylight hours</li> </ul>	<ul style="list-style-type: none"> <li>Staff at risk from accidents etc. Injury to staff</li> <li>Risk of prosecution/litigation</li> <li>Insurance claim/compensation</li> <li>Loss of reputation</li> <li>Physical and verbal activities.</li> <li>Staff reduction due to ill health.</li> <li>Accident outcome may be worsened by not being able to readily summon aid</li> <li>Increased perception of peril leading to stress</li> </ul>	<ul style="list-style-type: none"> <li>Competent Corporate Health &amp; Safety staff in place.</li> <li>Work Procedures and use of Lone Worker system (Tunstall)</li> <li>Good health &amp; safety practice through management system</li> <li>Training at induction and updating</li> <li>Risk assessments completed. Dynamic risk assessments undertaken.</li> <li>Staff awareness and training.</li> <li>Liaison with CCTV staff and Street Marshals.</li> <li>Use of radio system to remain in contact, panic alarms and torches.</li> <li>Support from specialist officers in locations where specific problems identified</li> <li>Office layout</li> <li>Regular review, use and update of Staff Alert List</li> </ul>	H&S Advisor  CMT  DMT  HHCP	<ul style="list-style-type: none"> <li>Lone worker training to be provided to community Development Workers</li> <li>Community Development team to be added to assess net</li> <li>Community Partnership team to gain access to staff alert list.</li> <li>Introduction of total mobile</li> <li>Introduction of new lone worker system.</li> </ul>	Staff time	FEB 16	
GR3	<b>Driving for work (council and personal vehicles) – Accidents.</b>	<ul style="list-style-type: none"> <li>Poorly maintained vehicles</li> <li>Staff not trained in their responsibilities</li> <li>Stress/Tiredness</li> <li>Illness/ Medications</li> </ul>	<ul style="list-style-type: none"> <li>Damage to vehicle or property</li> <li>Personal injury, Legal action, insurance claims etc.</li> <li>Convictions for driving poor maintained vehicles.</li> <li>Accidents/ Unable to work as result.</li> </ul>	<ul style="list-style-type: none"> <li>Knowing where the council vehicles are.</li> <li>Regular maintenance and checks of council vehicles</li> <li>Staff training at commencement of job role.</li> <li>Effective health &amp; safety controls and risk assessments</li> <li>Staff Provision of own insurance for Business use of personal vehicles</li> </ul>	DMT	<ul style="list-style-type: none"> <li>Recommend the implement system for checking corporately.</li> </ul>	Staff time	MAR 16	
GR4	<b>Home &amp; Mobile working – poor service delivery level and health and safety risks present.</b>	<ul style="list-style-type: none"> <li>IT provision not working</li> <li>H&amp;S risks not mitigated</li> <li>Appropriate level of service delivery not maintained</li> <li>Loss of staff buy in</li> </ul>	<ul style="list-style-type: none"> <li>Inability to deliver work programme</li> <li>Legal challenge</li> <li>Customer expectation not met</li> <li>Poor staff welfare/increased stress/ Isolation</li> <li>Insurance claim</li> </ul>	<ul style="list-style-type: none"> <li>Effective H&amp;S controls in place for work place assessment and lone working.</li> <li>Effective management of service delivery</li> </ul>	DMT  HHCP	<ul style="list-style-type: none"> <li>Introduction and development of total mobile</li> </ul>		MAR 17	

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR5	<b>Inadequate training provided to staff</b>	<ul style="list-style-type: none"> <li>Lack of time/money to invest in training</li> <li>Budget pressures</li> </ul>	<ul style="list-style-type: none"> <li>Staff not skilled to provide service</li> <li>Wrong advice/decisions</li> <li>Non-compliance with statutory instrument where specific qualifications or delegations are required.</li> <li>Loss of IIP status.</li> <li>Loss of professional competence and thus ability to do role</li> <li>Legal challenge on decisions</li> <li>Complaints</li> </ul>	<ul style="list-style-type: none"> <li>One to ones/appraisals personal development plans</li> <li>Legal support</li> <li>Budget for training</li> <li>Identify necessary training (via effective methods)</li> </ul>		<ul style="list-style-type: none"> <li>Continuing use of RDNA and GRIP tools</li> <li>Ongoing work with external bodies to identify training need/free training.</li> <li>Food Law Code of Practice Competences</li> </ul>			
GR6	<b>Failure to identify legislative changes</b>	<ul style="list-style-type: none"> <li>Staff not keeping up to date</li> <li>Not being implemented or brought into force at proposed time.</li> </ul>	<ul style="list-style-type: none"> <li>Statutory procedures not followed</li> <li>Reviews</li> <li>Complaints upheld</li> <li>Transfer of budgets to new statutory authority</li> </ul>	<ul style="list-style-type: none"> <li>personal development plans</li> <li>Legal support</li> <li>Service planning</li> <li>Management practices</li> <li>Completing adequate training and CPD up to date</li> </ul>					

GENERIC – INFRASTRUCTURE & ACCOMODATION									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GI1	<b>Loss of IT and records</b> <b>Web-site</b> <b>Maintaining Computerised Systems and Records</b> <b>Integration of different software solutions</b>	<ul style="list-style-type: none"> <li>Loss of Building, Flood, Fire, external emergency situation affecting access</li> <li>Power and system Failures</li> <li>Contractor failure</li> <li>Data Corruption</li> <li>IT security issue</li> <li>Staff resources</li> <li>Sabotage, Malfunction, Hacking/malicious acts</li> <li>Poor Procedures, Ineffective computer systems for service needs.</li> <li>IT not able to rectify the problem</li> <li>Poor knowledge /understanding</li> <li>Broadband connections lost</li> <li>Loss of hardware</li> <li>Staff understanding of software and 'drives'</li> </ul>	<ul style="list-style-type: none"> <li>Loss of access to data, Data loss.</li> <li>Operating systems not working</li> <li>Failure to meet customer expectations or to provide requested information</li> <li>Reduced service provision, failure to meet statutory requirements</li> <li>Unable to deliver online services</li> <li>Out of date information</li> <li>Adverse Publicity,</li> <li>Impacts on the Councils financial Profile.</li> <li>Systems not set up adequately resulting in additional work</li> <li>Unable to continue service</li> </ul>	<ul style="list-style-type: none"> <li>Emergency and Business Continuity Planning, including arrangements for Homeworking.</li> <li>Good procurement procedures and contract management</li> <li>Implementation of effective backing up and storage procedures.</li> <li>Introduction of checking systems.</li> <li>On-going training and engagement of staff</li> <li>Adequate training and resourcing of web authors and editors</li> <li>Regular review procedures and systems</li> <li>Insurance cover.</li> </ul>	SMT  DMT  ICT  HHCP	<ul style="list-style-type: none"> <li>Refresher training on Civica APP use</li> </ul>		Ongoing	
GI2	<b>Loss of accommodation/</b> <b>Non availability of Office Building</b>	<ul style="list-style-type: none"> <li>Flood, Fire, Gas explosion, Tempest etc.</li> <li>External emergency situation affecting access</li> <li>Power Failures</li> </ul>	<ul style="list-style-type: none"> <li>Loss of access to data</li> <li>Loss of access to equipment and materials</li> <li>Restriction of service provision</li> <li>Danger to occupants.</li> <li>Non availability of service.</li> <li>Additional expenditure.</li> <li>Bad Publicity.</li> <li>Loss of records, IT equipment.</li> </ul>	<ul style="list-style-type: none"> <li>Emergency and Business Continuity Planning and their regular review.</li> <li>Normal operating procedure.</li> <li>Homeworking availability</li> </ul>	SMT DMT				

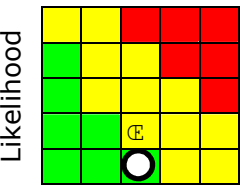
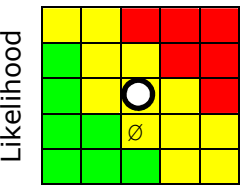
GENERIC – SUPPLIERS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GS1	<p><b>Supplier failure or unable to provide services as agreed/ expected. I.e. call centre, royal mail, ADT, kennels.</b></p> <p><b>. i.e. Contractor, legal, Street Marshalls</b></p> <p><b>Voluntary sector contractors – CAB, The Gap, Healthy Living centre</b></p>	<ul style="list-style-type: none"> <li>Inability to provide service or providing a sub-standard service.</li> <li>Organisational changes not taken into account</li> <li>Partnership agreement breakdown</li> <li>Financial commitment not covered within budget</li> <li>Contractor goes out of business</li> <li>Emergency situation prevents contract delivery</li> <li>Disagreement as to contract delivery and /or cost</li> <li>External emergency situation, Flood, Fire affecting access</li> <li>Power and system failures</li> <li>Staff resources</li> <li>Full scope of works not included in contract tender</li> </ul>	<ul style="list-style-type: none"> <li>Unacceptably poor service.</li> <li>Legal challenge</li> <li>Loss of reputation</li> <li>Not meeting customer expectations</li> <li>Air Pollution monitoring interrupted</li> <li>Failure to meet customer expectations</li> <li>Unexpected additional expenditure</li> </ul>	<ul style="list-style-type: none"> <li>Maintain contact with account managers/ contractors.</li> <li>Effective budgetary control through management processes.</li> <li>Good lines of communication with key staff.</li> <li>Business Continuity planning</li> <li>Good communication with Call Centre and understanding of information and services they deal with.</li> <li>Good procurement practises</li> <li>Staff training</li> </ul>	CMT DMT SMT	<ul style="list-style-type: none"> <li>Continuing monitoring of services delivered</li> </ul>		Ongoing	
GS2	<p><b>Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)</b></p>	<ul style="list-style-type: none"> <li>Reorganisation of collaborative departments</li> <li>Failure to recognise workflow through other departments</li> <li>Insufficient staff / resource available</li> </ul>	<ul style="list-style-type: none"> <li>Disjointed services to customers</li> <li>Missed opportunities</li> <li>Negative impact on staff morale</li> <li>Increased customer complaints</li> <li>Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>Good lines of communication between key members of staff, partners and stakeholders</li> <li>Joint working groups</li> <li>SMT intervention</li> </ul>	DMT SMT	<ul style="list-style-type: none"> <li>Monitoring of services delivered</li> </ul>			

GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE1	<b>Increased demand on services due to Emergency situation; Emergency stops basic Council Operations</b>	<ul style="list-style-type: none"> <li>• Extreme Weather, Flood, Act of Terrorism, Fuel Strike, Pandemic outbreak, other realized hazard.</li> <li>• Structural/Building failure.</li> <li>• Fire/Loss of data/ Electronic Attack/Denial of Access.</li> </ul>	<ul style="list-style-type: none"> <li>• Threat to business critical tasks.</li> <li>• Inability to meet demand.</li> <li>• Staff workload increases, leading to potential stress.</li> <li>• Loss of public confidence.</li> <li>• Inability to meet statutory duties.</li> <li>• Loss of data/information/documents.</li> <li>• Adverse effect on health and wellbeing of population</li> </ul>	<ul style="list-style-type: none"> <li>• Service Area plans for business interruptions.</li> <li>• Regular review of Business Continuity Plan</li> <li>• Training and exercises.</li> <li>• Work towards BS25999.</li> <li>• Implementation of building security and fire safety measures.</li> <li>• ICT work to secure data.</li> </ul>	CCO  HHCP				
GE2	<b>Widespread disaster beyond local capabilities to cope and reasonable attempts to plan</b>	<ul style="list-style-type: none"> <li>• Risk Assessment process fails to detect significant risk.</li> <li>• Extreme Weather, Flood, Act of Terrorism, Pandemic outbreak, other realized hazard.</li> <li>• Structural/Building failure.</li> <li>• Fire/Loss of data/ Electronic Attack/Denial of Access.</li> </ul>	<ul style="list-style-type: none"> <li>• Damage to property/environment in District.</li> <li>• Threat to life and business critical tasks.</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Assessment process at Local Resilience Forum.</li> <li>• Multi-Agency working/plans.</li> <li>• Mutual Aid agreements.</li> <li>• Emergency plan</li> <li>• Regular review of Business Continuity Plan.</li> </ul>	CCO  HHCP				

GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE3	<b>Ineffective Emergency preparedness</b>	<ul style="list-style-type: none"> <li>Failure of Officers to carry out parts/all of responsibilities under the WDC Duty Officer Role/Normal business duties.</li> <li>Officers unavailable to fulfil duties</li> </ul>	<ul style="list-style-type: none"> <li>Loss of public confidence.</li> <li>Damage to property/environment in District.</li> <li>Ineffective use of resources.</li> </ul>	<ul style="list-style-type: none"> <li>Training of staff for emergency situations.</li> <li>24/7 Duty Officer role and Reserve Duty Officer, to offer support.</li> <li>Flood Plan.</li> <li>Continued Training and Exercising.</li> <li>Service Area Plans</li> <li>Business Continuity Plans</li> </ul>	CCO HHCP	<ul style="list-style-type: none"> <li>Ongoing training</li> </ul>		Jan 15	

GENERIC – SERVICE DELIVERY										
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating	
GD1	<b>Provision of incorrect/poor quality information/advice</b>	<ul style="list-style-type: none"> <li>Error in transferring information</li> <li>Staff error</li> <li>Insufficiently trained staff</li> <li>Confrontation</li> <li>Advice not fit for purpose</li> <li>Poor decision making</li> </ul>	<ul style="list-style-type: none"> <li>Failure to meet customer expectations.</li> <li>Corporate /LGO Complaints dissatisfaction of customers.</li> <li>Reputational damage</li> <li>Poor working relationships</li> <li>Remedial actions and litigation costs</li> <li>Information Commissioner criticism or fine</li> <li>Staff stress</li> <li>Compensation claims</li> </ul>	<ul style="list-style-type: none"> <li>Effective systems and procedures in place.</li> <li>Staff training and knowledge sharing</li> <li>Appraisals</li> <li>Performance monitoring</li> </ul>	DMT					
GD2	<b>Possibility of Fraud/Corruption</b>	<ul style="list-style-type: none"> <li>Insufficient finance and IT security controls in place.</li> </ul>	<ul style="list-style-type: none"> <li>Loss of money</li> <li>Loss of reputation</li> <li>Legal action</li> </ul>	<ul style="list-style-type: none"> <li>Abide by Finance and IT procedures and rules through effective internal management.</li> <li>Attendance of appropriate staff at training provided and refresher training</li> <li>Staff permissions/authorities/authorisations threshold limits</li> </ul>	SMT DMT					



GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD3	<p><b>Possibility of Non-compliant procurement</b></p> <p><b>Ineffective procurement</b></p>	<ul style="list-style-type: none"> <li>Lack of awareness of issues</li> <li>Deliberate act</li> <li>Poor standard of documentation produced upon which procurement is based</li> </ul>	<ul style="list-style-type: none"> <li>Legal challenge</li> <li>Loss of reputation</li> <li>Failure to achieve best value</li> <li>No commercial interest</li> <li>Bidder mistakes invalidating applications</li> </ul>	<ul style="list-style-type: none"> <li>Effective staff training and management of procurement processes</li> <li>Staff training</li> </ul>	DMT	<ul style="list-style-type: none"> <li>Continuing refresher training and training for new starters</li> <li>Continuing liaison with procurement</li> </ul>			 <p>Decreased due to recent training provided in procurement.</p>
GD4	<p><b>Failure to correctly monitor/ manage budgets</b></p> <p><b>Impact of the self service system upon budget control</b></p>	<ul style="list-style-type: none"> <li>Insufficient staff training</li> <li>Pressure of work leading to insufficient resource being committed</li> <li>Expanding use of self-service systems</li> </ul>	<ul style="list-style-type: none"> <li>Uncertainty for corporate budgets</li> <li>Unable to meet service commitments</li> <li>Monies coded to wrong budgets due to system of self service</li> </ul>	<ul style="list-style-type: none"> <li>Regular budget monitoring</li> <li>Regular meetings with Finance</li> <li>Training of Budget Managers</li> </ul>	HHCP  DMT	<ul style="list-style-type: none"> <li>Continuing training and for new starters.</li> <li>Active monthly monitoring</li> <li>Manual adjustments where fix cannot be identified in self-service system (temporary)</li> <li>Seek permanent solution to miscoding through self service</li> </ul>			 <p>Increase due to self-service system introduction and identification and manual reallocation of mis coded monies.</p>

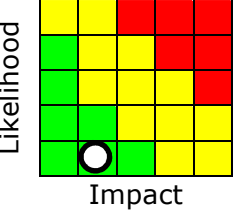
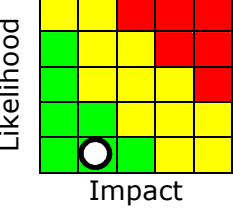
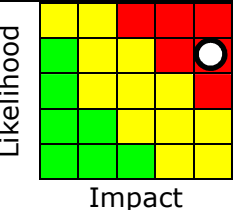


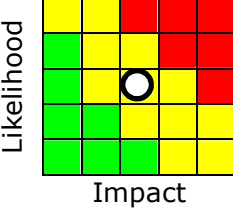
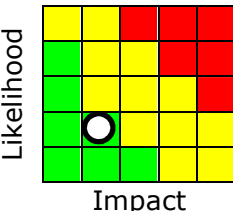
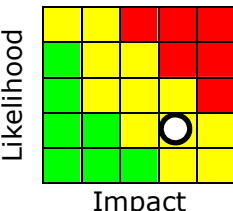
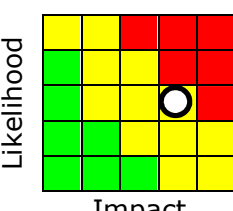
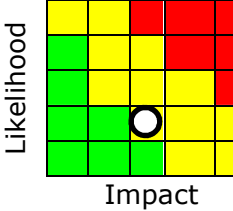
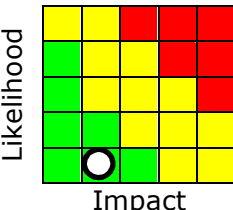
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD5	<p><b>Compliance with legal duty. / Failure to deliver service within statutory timescales/</b></p> <p><b>Failure to meet requirements of civil contingencies act.</b></p>	<ul style="list-style-type: none"> <li>Insufficient resources</li> <li>Negligence</li> <li>Deliberate act</li> <li>Failure to understand or be aware of new/ changing legislation and regulations</li> <li>Staff workload, poor training, motivation,</li> <li>Inappropriate planning/preparedness works prior to event</li> <li>Failure of officers to carry out parts/ all of responsibilities under the WDC major incident plan and response.</li> <li>Scale of incident</li> <li>Temporary staff vacancy/seasonal shortages</li> </ul>	<ul style="list-style-type: none"> <li>Legal challenge</li> <li>Compensation claims</li> <li>Loss of reputation and public confidence.</li> <li>Impact on resources and finances</li> <li>Reduced service effectiveness, poor customer service, impacts on motivation and stress levels,</li> <li>Damage to property/ environment in district</li> <li>Threat to life</li> <li>Public enquiry</li> </ul>	<ul style="list-style-type: none"> <li>Sufficient resource of competent staff.</li> <li>Effective training and development for staff</li> <li>Effective management controls in place through service planning and monitoring</li> <li>Major Emergency Plan and Annual review.</li> <li>Training and exercising</li> <li>24/7 duty officer role</li> <li>Flood plan</li> <li>Local resilience forum</li> <li>Adherence to best practice advice.</li> <li>Performance management</li> <li>Regular review of Business Continuity Plan</li> </ul>	DMT CCO HHCP				
GD6	<b>Not applying Equality and Diversity principles</b>	<ul style="list-style-type: none"> <li>Non-compliance with legal requirements</li> <li>Discrimination against group or person</li> </ul>	<ul style="list-style-type: none"> <li>Challenge by Govt Department or external agency</li> <li>Legal action and/or compensation claim by group or individual</li> </ul>	<ul style="list-style-type: none"> <li>Staff training and awareness raising</li> <li>Regular review of Equality Impact assessments</li> </ul>	SMT DMT				
GD7	<b>Changes to Economic climate</b>	<ul style="list-style-type: none"> <li>National and International factors</li> <li>Changes in Govt policy which affect national and local issues</li> <li>Local factors affecting businesses</li> </ul>	<ul style="list-style-type: none"> <li>Impact on service delivery generally either increase or decrease</li> <li>Loss of revenue, unexpected shortfall in budget surplus</li> </ul>	<ul style="list-style-type: none"> <li>Service Planning and Business Continuity planning</li> <li>Budget monitoring</li> </ul>	CMT DMT				

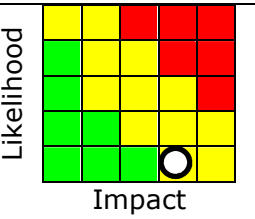
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD8	Unable to meet levels of service expected	<ul style="list-style-type: none"> <li>Insufficient staff</li> <li>Increase in demand from public or new work areas</li> <li>Pressure from external agencies</li> <li>Corporate issues</li> <li>Specific problem occurring in district e.g. pollution incident etc.</li> <li>New development e.g. impacting on contaminated land or noise, food poisoning outbreak through unexpected surge / Increased workload</li> <li>Terms and conditions review</li> </ul>	<ul style="list-style-type: none"> <li>Customer dissatisfaction</li> <li>Complaints to Ombudsman</li> <li>Reputational damage</li> <li>Stress on staff</li> <li>Refusal of staff to use cars</li> <li>Strike action</li> </ul>	<ul style="list-style-type: none"> <li>Service Planning</li> <li>Resource planning</li> <li>MoU with other Councils</li> <li>Stress Assessment</li> <li>One to one Meetings</li> <li>Open communication and discussion.</li> </ul>	DMT	<ul style="list-style-type: none"> <li>Terms and conditions consultation</li> </ul>			<p>Increase due to the terms and conditions review consultation.</p>
GD9	Failure to make progress on corporate and departmental priorities	<ul style="list-style-type: none"> <li>Unable to provide sufficient resources to support these areas of work</li> <li>Terms and conditions review</li> </ul>	<ul style="list-style-type: none"> <li>Reputation undermined due to failure to meet commitments that have been made publically.</li> <li>Refusal of staff to use cars</li> <li>Strike action</li> </ul>	<ul style="list-style-type: none"> <li>Regular prioritisation of work through services and corporate meetings</li> <li>Managing expectations by publishing and sticking to realistic time scales</li> <li>Continually monitor workloads</li> <li>Open communication</li> </ul>	DMT	<ul style="list-style-type: none"> <li>Terms and conditions consultation</li> </ul>			<p>Increase due to the terms and conditions review consultation.</p>
GD10	Inappropriate third party disclosure  Non-compliance with Sharing of Information Protocol	<ul style="list-style-type: none"> <li>Personal information shared with individuals not party to the WSIP</li> <li>Information becoming public which should not be.</li> <li>Poorly trained staff.</li> <li>Loss or theft of equipment</li> </ul>	<ul style="list-style-type: none"> <li>Legal Challenge</li> <li>Reputational damage to partnership working/ council</li> <li>Risk to vulnerable person increases</li> <li>Legal action and/or compensation claim by group or individual</li> <li>Failure of formal actions by council</li> </ul>	<ul style="list-style-type: none"> <li>Check info going out under Freedom of Information Act.</li> <li>Training of appropriate staff</li> <li>Use of E-CINs software</li> <li>Mobile Device hardware locked to prevent unauthorised access to data.</li> <li>Administrative remote deactivation.</li> <li>Retention and disposal of records</li> </ul>	DMT SCM	<ul style="list-style-type: none"> <li>Respond to retention and disposal review</li> </ul>			

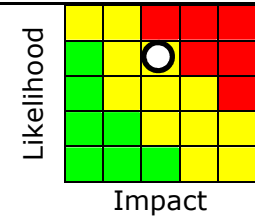
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD11	<p><b>Failure to deliver projects to target</b>  <b>e.g. complete design and construction projects on time</b></p>	<ul style="list-style-type: none"> <li>Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays.</li> <li>Design delays due to: Lack of Staff Resources, Inefficient/ineffective management processes, Lack of employee motivation/efficiency, printing delays of Contract Documentation.</li> <li>Refusal of Planning Permission, English Heritage/ Archaeology restrictions.</li> <li>Poorly scoped project/programme</li> <li>Third party failure</li> <li>Support from other service areas</li> </ul>	<ul style="list-style-type: none"> <li>Potential redundant workforce. Fails to meet the Social, Economic and Environmental &amp; Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres.</li> <li>Design delays resulting in Project slippage, impact on Service Delivery, the Council's Financial Profile, and Failure to Achieve Targets.</li> <li>Missed opportunities to regenerate areas of the District.</li> <li>Contracts not being assigned and started on time.</li> <li>Inability to implement change with improvements to enhance the vitality to areas of the District.</li> <li>Failure to meet corporate strategy.</li> <li>Failure to meet DDA and equality standards.</li> <li>Failure to deliver expected savings</li> <li>Failure to meet customer expectations</li> </ul>	<ul style="list-style-type: none"> <li>Work Early with Members to gain Commitment.</li> <li>Resource management sufficient time in programme with SMART targets.</li> <li>Review of quality Manual to ensure compliance. Review the Equality &amp; Diversity partial Impact Assessment for Capital Works.</li> <li>Training requirements, having correct skills in team, and undertake duties aligned to experience.</li> <li>Outsource if in-house services cannot be provided in desired timescales.</li> <li>Appropriate training</li> <li>Effective management control and project management.</li> <li>Project management training</li> </ul>	<p>HHCP</p> <p>DMT</p>				<p>Likelihood</p> <p>Impact</p>

SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 1	<b>Inappropriate issue of licence/ misuse by licensee</b> <b>Failure to properly determine licence</b>	<ul style="list-style-type: none"> <li>Fraudulent application</li> <li>Poor staff training</li> <li>Out of date procedures</li> <li>Application of incorrect or out dated procedures</li> </ul>	<ul style="list-style-type: none"> <li>Reputation</li> <li>Bad publicity</li> <li>Impact of challenges /appeals.</li> </ul>	<ul style="list-style-type: none"> <li>Maintain accurate controls and vigilance</li> <li>Proactive monitoring of staff training needs.</li> <li>Continues monitoring and improvement of procedures.</li> <li>Consulting with other responsible bodies and the Licensing Officers.</li> </ul>	RM	<ul style="list-style-type: none"> <li>Continuing Staff training &amp; training of new starters</li> <li>Quality monitoring scheme introduction</li> <li>Continuing procedural review</li> </ul>			
SR 2	<b>Incorrect conditions attached to licence</b>	<ul style="list-style-type: none"> <li>Staff error</li> <li>incorrect information provided</li> </ul>	<ul style="list-style-type: none"> <li>Injury and Nuisance</li> <li>Reputation damage</li> <li>Bad publicity</li> <li>Impact of challenge/ appeals</li> </ul>	<ul style="list-style-type: none"> <li>Continues monitoring and improvement of procedures.</li> <li>Maintain accurate controls and vigilance</li> <li>Staff training</li> <li>Consulting with appropriate bodies</li> </ul>	RM	<ul style="list-style-type: none"> <li>Continuing Staff training &amp; training of new starters</li> <li>Quality monitoring scheme introduction</li> </ul>			
SR 3	<b>Failure to set appropriate fees</b>	<ul style="list-style-type: none"> <li>Incorrect record keeping</li> <li>failure to follow guidance</li> <li>failure to advertise fees</li> <li>legislative and case law changes</li> </ul>	<ul style="list-style-type: none"> <li>legal challenge</li> <li>reputation damage</li> </ul>	<ul style="list-style-type: none"> <li>Record keeping for time spent/ monies spent to allow accurate fee setting.</li> <li>Referral to guidance</li> <li>Use of well documented and challenged methodologies</li> <li>Staff training</li> </ul>	RM	<ul style="list-style-type: none"> <li>6 year account review</li> <li>Continuing Staff training &amp; training of new starters</li> </ul>			<p>Increased due to changing guidance, case law and increased possibility of legal challenge</p>
SR 4	<b>Loss of Paper records</b>	<ul style="list-style-type: none"> <li>Fire, flood</li> <li>Incorrect disposal</li> </ul>	<ul style="list-style-type: none"> <li>Loss of history, plans, of premises.</li> </ul>	<ul style="list-style-type: none"> <li>Move to digital records in progress</li> </ul>	RM	<ul style="list-style-type: none"> <li>Continuing the programme of Scanning of all records</li> </ul>		Mar 17	
SR 5	<b>Failure to carry out routine/ reactive work</b> <b>Failure to deal with those failing to comply with licence conditions</b>	<ul style="list-style-type: none"> <li>Staff levels</li> <li>Increase in reactive workload or required formal action</li> <li>Lack of respect by licence holders for the conditions of licence</li> </ul>	<ul style="list-style-type: none"> <li>Failure to meet statutory targets</li> <li>Failure to act upon non compliance</li> </ul>	<ul style="list-style-type: none"> <li>Prioritisation of workload to those businesses that are non-compliant.</li> <li>Incidents of mandatory nature prioritised.</li> <li>Fleet inspections of taxis</li> <li>Increased monitoring of taxis, premises through compliance inspections</li> </ul>	RM	<ul style="list-style-type: none"> <li>Continuing review of policies associated with licensing and procedures</li> </ul>		Mar 17	

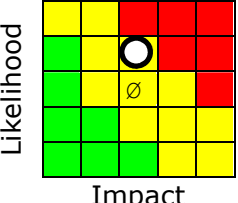
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				<ul style="list-style-type: none"> <li>Routine fleet inspections</li> <li>Routine premises compliance inspections.</li> </ul>					
SR 6	<b>Incorrect FHRs management</b>	<ul style="list-style-type: none"> <li>Human error</li> <li>Poor staff training</li> <li>Out of date procedures</li> <li>Reference to out of date standards</li> </ul>	<ul style="list-style-type: none"> <li>Reputation</li> <li>Bad publicity</li> <li>Appeals</li> </ul>	<ul style="list-style-type: none"> <li>Maintain accurate controls and vigilance</li> <li>Proactive monitoring of staff training needs.</li> <li>Continuous monitoring and improvement of procedures.</li> </ul>	RM				
SR 7	<b>Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance</b>	<ul style="list-style-type: none"> <li>Staff Error</li> <li>Insufficiently trained staff.</li> <li>Failure to understand primary authority process and arrangements</li> <li>Advice not fit for purpose</li> <li>Poor decision making</li> <li>Poor service delivery</li> </ul>	<ul style="list-style-type: none"> <li>Not meeting terms of primary authority arrangement</li> <li>Not recovering cost of the service provided</li> <li>Impact of advice implementation on business and WDC</li> <li>Poor reputation</li> <li>Revocation of arrangement</li> </ul>	<ul style="list-style-type: none"> <li>Maintain accurate records</li> <li>Nominated named signatory for assured advice</li> <li>Advice provision monitoring</li> <li>Staff training</li> <li>Competency Professional development</li> <li>Effective systems and procedures.</li> </ul>	RM	<ul style="list-style-type: none"> <li>Partnership arrangements documented</li> </ul>			
SR 8	<b>Legal challenge to fee setting</b>	<ul style="list-style-type: none"> <li>Request from licence holder, previous licence holder or legal representative for evidence of six year accounts</li> </ul>	<ul style="list-style-type: none"> <li>Unable to demonstrate that no profit or loss has been made for the services for which a fee is set.</li> <li>Unable to demonstrate that excess income was not entered into council funds rather than remaining ring-fenced.</li> <li>Refund licence holders the monies paid for six years.</li> <li>Legal challenge and costs associated</li> </ul>	<ul style="list-style-type: none"> <li>Fee setting review annually</li> <li>Account review</li> </ul>	RM	<ul style="list-style-type: none"> <li>Six years accounts review</li> </ul>	RM	MAR 16	

SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SS1	<b>Non-compliance with Section 17 of the Crime &amp; Disorder Act (1998)</b>	<ul style="list-style-type: none"> <li>Community safety not a consideration in the design and delivery of services or the decision making process.</li> </ul>	<ul style="list-style-type: none"> <li>Legal Challenge</li> </ul>	<ul style="list-style-type: none"> <li>Input to relevant Committee Reports</li> </ul>	CMT				
SS2	<b>Provision of incorrect information to police or other agencies</b>	<ul style="list-style-type: none"> <li>Not following procedures</li> <li>Obtrusiveness.</li> <li>Wrongful arrest,</li> <li>Infringement to civil liberties</li> <li>Incorrect identification of offender on CCTV</li> </ul>	<ul style="list-style-type: none"> <li>Reputation.</li> <li>Claims.</li> </ul>	<ul style="list-style-type: none"> <li>Operating procedures.</li> <li>Trained staff.</li> <li>Partnerships with Police.</li> </ul>	CCTV Manager				
SS3	<b>Reduced Funding for Community Safety Partnership Initiative</b>	<ul style="list-style-type: none"> <li>Economic Climate</li> </ul>	<ul style="list-style-type: none"> <li>Less money to spend on partnership priorities and greater pressure to mainstream.</li> <li>Unable to operate all initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Bid for alternative funding</li> <li>Funding from PCC and University of Warwick</li> </ul>	SCM				
SS4	<b>Loss of power to CCTV &amp; Control room</b>	<ul style="list-style-type: none"> <li>Failure of electrical supply to CCTV and Control room</li> </ul>	<ul style="list-style-type: none"> <li>Systems Failure</li> <li>Partners not Supported</li> <li>Increased response time to incidents/threats to life.</li> </ul>	<ul style="list-style-type: none"> <li>Extra police resource to be called</li> <li>Retail radio system</li> </ul>	SCM HHCP	<ul style="list-style-type: none"> <li>Relocation should assist as we would move to a different substation.</li> <li>Continued investigation to identify a back up supply.</li> </ul>	Staff time & budget cost for new source	2017/18	
SS5	<b>Effectiveness of Dog Service</b>	<ul style="list-style-type: none"> <li>Current kennels going out of business</li> </ul>	<ul style="list-style-type: none"> <li>Increased journey time to alternative kennels in Redditch.</li> <li>Increased cost of petrol and depreciation of vehicle.</li> </ul>	<ul style="list-style-type: none"> <li>Work with kennels to ensure billing is accurate and on time.</li> <li>Meet regularly with kennels owner</li> </ul>	SCM				
SS6	<b>Theft of council pest control vehicles</b>	<ul style="list-style-type: none"> <li>Poorly maintained vehicles</li> <li>Staff not trained in their responsibilities</li> <li>Stress/Tiredness</li> <li>Accidents</li> </ul>	<ul style="list-style-type: none"> <li>Damage to vehicle or property</li> <li>Personal/wildlife injury</li> <li>Legal action, insurance claims etc.</li> <li>Pest control vehicles stolen and poison dumped.</li> </ul>	<ul style="list-style-type: none"> <li>Knowing where the vehicles are.</li> <li>Regular maintenance and checks of vehicles</li> <li>Staff training at commencement of job role.</li> <li>Effective health &amp; safety controls and risk</li> </ul>	DMT SCM				

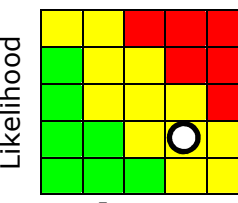
SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				assessments					
SS7	<b>Unsuitable use of poisons</b>	<ul style="list-style-type: none"> <li>Access to the poisons room by other staff members</li> <li>Use of poisons</li> <li>New brands/change of bait type</li> </ul>	<ul style="list-style-type: none"> <li>Poisonings of human/animal/ wildlife and environment</li> </ul>	<ul style="list-style-type: none"> <li>Staff training</li> <li>COSHH assessments</li> <li>H&amp;S procedures in place</li> <li>Locked storage</li> </ul>	SCM				 <p>NEW</p>

SERVICE SPECIFIC – SERVICE DELIVERY (COMMUNITY PARTNERSHIP)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SC1	<b>Informal Partnership working with WCC fails</b>	<ul style="list-style-type: none"> <li>Staff integration</li> <li>Reduced funding</li> <li>Reduced support</li> <li>Policy changes at WCC or WDC</li> <li>Further WDC restructure</li> </ul>	<ul style="list-style-type: none"> <li>Reduced resources available</li> <li>Reduced service level and or quality</li> <li>Reduced support for communities</li> </ul>	<ul style="list-style-type: none"> <li>Regular dialogue &amp; monitoring</li> <li>Regular review of policy and changes</li> </ul>	ICPTM	<ul style="list-style-type: none"> <li>Revising and developing new partnerships in light of formal partnership concluding</li> </ul>			 <p>Increased due to the ceassation of the formal partnership and the new arrangements of the informal partnership</p>



SC2	<b>Failure to or delay in payments to grants recipients</b>  <b>Incorrect amounts paid</b>	<ul style="list-style-type: none"> <li>Untrained staff</li> <li>Loss of key staff</li> <li>Inaccurate data</li> <li>Lack of planning</li> <li>Resource Capacity</li> <li>Failure of the payment system</li> <li>Forget to make payment</li> </ul>	<ul style="list-style-type: none"> <li>Grant recipients distressed</li> <li>Community activities stopped or delayed due to financial shortfall</li> <li>Negative publicity</li> </ul>	<ul style="list-style-type: none"> <li>Monthly monitoring of budgets against SLA's</li> <li>Trained staff</li> <li>Forward planning</li> </ul>	ICPTM				 <p>Increased due to the ceassation of the formal partnership and the new arrangements of the informal partnership</p>
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**SERVICE SPECIFIC – SERVICE DELIVERY (ENVIRONMENTAL SUSTAINABILITY)**

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
SE1	<b>Failure of pumping stations</b>	<ul style="list-style-type: none"> <li>Failure of Pumping Stations in Leisure Sports Facilities due to: Failure to outsource Contractor to deliver the service, Quality of Workmanship, Bad management of partnership working, poor performance from Contractor.</li> <li>Unforeseen Engineering problems, Non – Compliance with Health &amp; Safety Legislation.</li> <li>Foul sewage flooding.</li> <li>Age of equipment</li> </ul>	<ul style="list-style-type: none"> <li>Inconvenience and lack of use of leisure facilities by the general public.</li> <li>Potential loss of Income to WDC through non usage of facilities due to closure.</li> <li>Pollution incident – EA would be involved; may result in prosecution and illness of the public.</li> <li>Bad publicity and media relations.</li> <li>Civil claims</li> </ul>	<ul style="list-style-type: none"> <li>Review inspection regime.</li> <li>Review level of supervision.</li> <li>Review management systems.</li> <li>Training and inspection techniques.</li> <li>Installed telemetry to all pumping stations provide Remote warning of pump failure.</li> </ul>	ESM	<ul style="list-style-type: none"> <li>New contract to be awarded to provide 24/7 cover.</li> </ul>			

SERVICE SPECIFIC – SERVICE DELIVERY (ENVIRONMENTAL SUSTAINABILITY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
SE2	<b>Identified Flood Alleviation Schemes unable to be delivered or supported</b>	<ul style="list-style-type: none"> <li>Lack of support after Public consultation.</li> <li>Non Commitment by the Council due to no financial allocations.</li> <li>Executive Committee delays. Refusal of Planning Permission.</li> <li>Staff resource</li> </ul>	<ul style="list-style-type: none"> <li>Possible flooding events.</li> <li>Potential redundant workforce. Fails to meet the Social, Economic and Environmental &amp; Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres.</li> </ul>	<ul style="list-style-type: none"> <li>Work Early with Members to gain Commitment.</li> <li>Joint Working with EA and WCC</li> </ul>	HHCP ESM				
SE3	<b>Breakdown of affiliated AURN monitoring station (Hamilton Terrace)</b>	<ul style="list-style-type: none"> <li>Loss of connectivity.</li> <li>Failure to carry out routine servicing.</li> <li>Vandalism/ fire or theft</li> </ul>	<ul style="list-style-type: none"> <li>Loss of data.</li> <li>Loss of DEFRA contract.</li> </ul>	<ul style="list-style-type: none"> <li>Regular service schedule.</li> <li>Maintenance contract with specialist supplier.</li> </ul>	ESM				
SE4	<b>Failure to maintain contaminated land database</b>	<ul style="list-style-type: none"> <li>Staff error</li> <li>Inaccurate identification of land</li> <li>Poor record maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Impact on human health and/or environmental damage.</li> <li>Financial liability.</li> <li>Reputation.</li> <li>Development of land without appropriate remediation.</li> <li>Incorrect information provided to land charges</li> <li>Failure to identify land in planning applications</li> </ul>	<ul style="list-style-type: none"> <li>Keeping database up to date.</li> <li>Effective assessment of relevant planning applications.</li> <li>Staff training</li> </ul>	ESM				
SE5	<b>Failure to improve air pollution (NO2) levels</b>	<ul style="list-style-type: none"> <li>NO2 levels continue to exceed EU standards</li> <li>Failure to deliver air quality action plans</li> </ul>	<ul style="list-style-type: none"> <li>Potential EU infraction fines against the UK are likely to be passed on to local authorities</li> </ul>	<ul style="list-style-type: none"> <li>Partnership working with WCC to reduce traffic congestion in town centres</li> <li>Ongoing local air quality monitoring</li> <li>2015 Action Plan adopted</li> </ul>	ESM	<ul style="list-style-type: none"> <li>Continuous working in partnership with WCC and PHE to deliver air quality action plan</li> </ul>			

**Key:**  
**CMT = Corporate Management Team**  
**SMT = Senior Management Team**  
**DMT = Departmental Management Team**  
**HHCP = Head of Health and Community Protection**  
**ESM = Environment Sustainability Manager**

**ICPTM = Interim Community Partnership Team manager**  
**RM = Regulatory Manager**  
**SCM = Safer Communities Manager**  
**CCO = Civil Contingencies Officer**