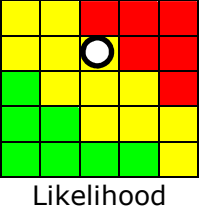
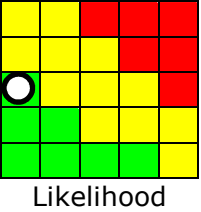


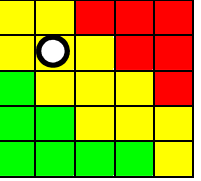
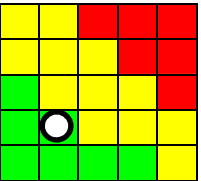
Health & Community Protection - Risk Register

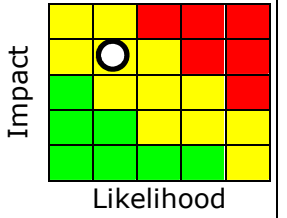
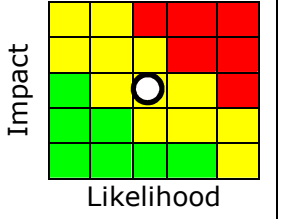
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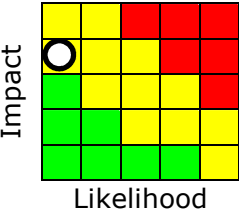
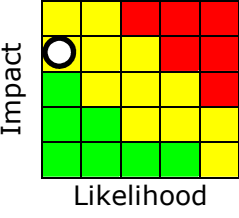
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR1	Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies. Staff Transitions, Settling in of restructure arrangements, vacant post	<ul style="list-style-type: none"> Ill health inc infectious disease outbreaks, stress 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) Lack of key staff/knowledge. Lack of adequate cover bank holidays/emergencies, including outbreaks/epidemics Lack of succession planning and Unfilled Vacancies External emergency situation (Flood, Act of Terrorism, Pandemic Flu, other hazard). Retirements or other duties (elections) 	<ul style="list-style-type: none"> Skills shortage. Unable to respond to service area matters. Insufficient resources to maintain adequate service/ reduced service/ service failure Lack of Proper officer/officer with delegated authority/officer with relevant certification/ qualifications available to progress workflow. Failure to meet customer expectations Failure to meet statutory requirements Unable to respond to emergencies Low staff morale. Additional pressure on remaining staff Loss of additional Key Staff. Impacts on the Councils financial Profile. Loss of IIP award. Threat to business critical tasks. Financial penalties. Additional budgetary pressure if agency staff or overtime is required to fill the gap Breach of working time directive. Staff fatigue leading to increased risk of accident / stress /absence 	<ul style="list-style-type: none"> Effective staff management, including stress management, one to ones/appraisals & staff development. Supportive, equitable, transparent and consistent corporate culture. Adherence to the principles, aims and objectives of Investors in People, the Health & Wellbeing Strategy and the Wellbeing Charter Succession planning as part of Service Planning process. Maintenance of competence, CPD, Knowledge pairing within department. Use of temporary staff as needed/appropriate Effective monitoring of performance. Enhance resilience by encouraging staff to train in additional competencies and certification, share knowledge. Encourage phased retirement if appropriate to enable transfer of knowledge Regular review of Business Continuity Plan 	DMT HR HHCP STL	<ul style="list-style-type: none"> Awaited start of persons recruited (9th Oct) Active recruitment process for 3 posts One post not under active recruitment process at this time. 		ASAP	<p>Decreased with current changes - inc restructuring, vacancy filling numbers. However posts filled in October.</p>

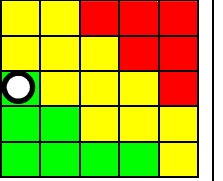
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR2	Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.	<ul style="list-style-type: none"> Failure to implement safe systems of work Insufficient knowledge of required procedures Inadequate corporate systems in place System failure Lone working; Abusive applicants and disgruntled customers Exposure to drunk people, taxi drivers, publicans and customers Working outside daylight hours Condition of premise being visited 	<ul style="list-style-type: none"> Staff at risk from accidents etc. Injury to staff Risk of prosecution/ litigation Insurance claim/ compensation Loss of reputation Physical and verbal activities. Staff reduction due to ill health. Accident outcome may be worsened by not being able to readily summon aid Increased perception of peril leading to stress 	<ul style="list-style-type: none"> Competent Corporate Health & Safety staff in place. Work Procedures and use of Lone Worker system (Tunstall) Good health & safety practice through management system Training at induction and updating Risk assessments completed. Dynamic risk assessments undertaken. Staff awareness and training. Liaison with CCTV staff and Street Marshals. Use of radio system to remain in contact, panic alarms and torches. Support from specialist officers in locations where specific problems identified Office layout Regular review, use and update of Staff Alert List Updated ICE lists 	H&S Advisor CMT DMT HHCP	<ul style="list-style-type: none"> Introduction of Total mobile technologies Participation and lead in the lone worker review activities Re enforce use of the current system whilst reviews under way. 	Staff time	APR 18	
GR3	Driving for work (council and personal vehicles) – Accidents.	<ul style="list-style-type: none"> Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness Illness/ Medications 	<ul style="list-style-type: none"> Damage to vehicle or property Personal injury, Legal action, insurance claims etc. Convictions for driving poor maintained vehicles. Accidents/ Unable to work as result. 	<ul style="list-style-type: none"> Knowing where the council vehicles are. Regular maintenance and checks of council vehicles Staff training at commencement of job role. Effective health & safety controls and risk assessments Staff Provision of own insurance for Business use of personal vehicles 	DMT	Insurance and driving licence to be checked.	Staff Time	DEC 17	

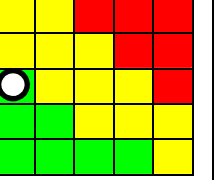
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR4	Home & Mobile working – poor service delivery level and health and safety risks present.	<ul style="list-style-type: none"> IT provision not working H&S risks not mitigated Appropriate level of service delivery not maintained Loss of staff buy in Condition of premises 	<ul style="list-style-type: none"> Inability to deliver work programme Legal challenge Customer expectation not met Poor staff welfare/increased stress/ Isolation Insurance claim Accident 	<ul style="list-style-type: none"> Effective H&S controls in place for work place assessment and lone working. Effective management of service delivery 	DMT HHCP	<ul style="list-style-type: none"> Introduction and development of total mobile systems 		MAR 18	<p>Impact</p> <p>Likelihood</p>
GR5	Inadequate training provided to staff	<ul style="list-style-type: none"> Lack of time/money to invest in training Budget pressures Non identified skills gaps 	<ul style="list-style-type: none"> Staff not skilled to provide service Wrong advice/decisions Non-compliance with statutory instrument where specific qualifications or delegations are required. Loss of IIP status. Loss of professional competence and thus ability to do role Legal challenge on decisions Complaints 	<ul style="list-style-type: none"> One to ones/appraisals personal development plans Legal support Budget for training Identify necessary training (via effective methods) 	DMT	<ul style="list-style-type: none"> Continuing use of RDNA and GRIP tools Ongoing work with external bodies to identify training need/free training. Food Law Code of Practice Competences Ongoing legal skills training to maintain competences 			<p>Impact</p> <p>Likelihood</p> <p>Food Officers completed food law competences. SMT Enforcement project. HCP training matrix and PDP training planner. Legal Skills enforcement training provided</p>
GR6	Failure to identify legislative changes	<ul style="list-style-type: none"> Staff not keeping up to date (awareness/ competence/ short notice implementation etc) Not being implemented or brought into force at proposed time. 	<ul style="list-style-type: none"> Statutory procedures not followed Reviews Complaints upheld Transfer of budgets to new statutory authority 	<ul style="list-style-type: none"> personal development plans Legal support Service planning Management practices Completing adequate training and CPD up to date Attendance at regional and county technical groups 	DMT				<p>Impact</p> <p>Likelihood</p>

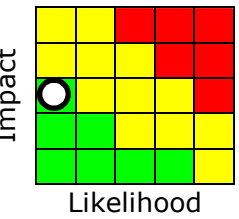
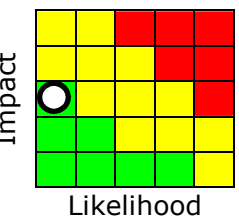
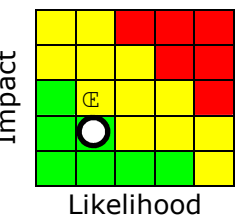
GENERIC – INFRASTRUCTURE & ACCOMODATION									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GI1	Loss of IT and records Web-site Maintaining Computerised Systems and Records Integration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

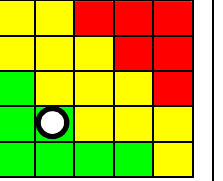
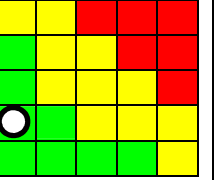
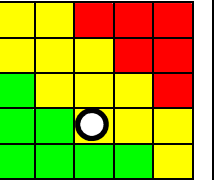
GENERIC – SUPPLIERS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GS1	<p>Supplier failure or unable to provide services as agreed/ expected. I.e., royal mail, ADT, kennels.</p>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

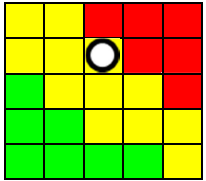
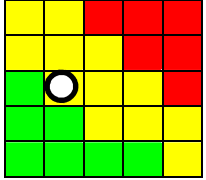
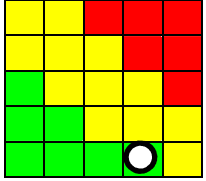
GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council Operations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

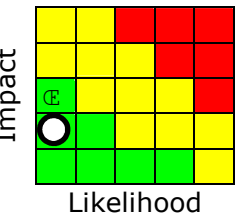
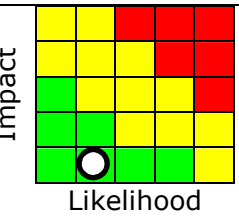
GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE3	Ineffective Emergency preparedness	<ul style="list-style-type: none"> Failure of Officers to carry out parts/all of responsibilities under the WDC Duty Officer Role/Normal business duties. Officers unavailable to fulfil duties 	<ul style="list-style-type: none"> Loss of public confidence. Damage to property/environment in District. Ineffective use of resources. 	<ul style="list-style-type: none"> Training of staff for emergency situations. 24/7 Duty Officer role and Reserve Duty Officer, to offer support. Flood Plan. Continued Training and Exercising. Service Area Plans Business Continuity Plans Major Emergency Plan and standard operating procedures 	STL HHCP	<ul style="list-style-type: none"> Ongoing training of named staff Phased review of MEP, SOP etc in light of incidents 		APR 18	

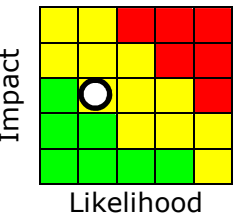
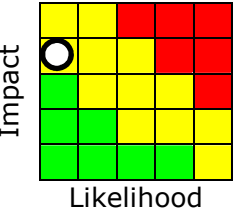
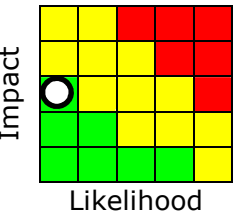
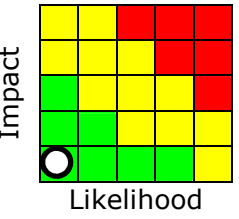
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD1	Provision of incorrect/ poor quality information/ advice	<ul style="list-style-type: none"> Error in transferring information Staff error Insufficiently trained staff Confrontation Advice not fit for purpose Poor decision making 	<ul style="list-style-type: none"> Failure to meet customer expectations. Corporate /LGO Complaints dissatisfaction of customers. Reputational damage Poor working relationships Remedial actions and litigation costs Information Commissioner criticism or fine Staff stress Compensation claims 	<ul style="list-style-type: none"> Effective systems and procedures in place. Staff training and knowledge sharing Appraisals Performance monitoring Specialist area of Flood Engineering transferred to SLA with WCC. 	DMT	<ul style="list-style-type: none"> Contract monitoring of specialist SLA contractor 	Staff time	Ongoing	

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD2	Possibility of Fraud/ Corruption	<ul style="list-style-type: none"> Insufficient finance and IT security controls in place. 	<ul style="list-style-type: none"> Loss of money Loss of reputation Legal action 	<ul style="list-style-type: none"> Abide by Finance and IT procedures and rules through effective internal management. Attendance of appropriate staff at training provided and refresher training Staff permissions/authorities/authorisations threshold limits 	SMT DMT				
GD3	Possibility of Non-compliant procurement Ineffective procurement	<ul style="list-style-type: none"> Lack of awareness of issues Deliberate act Poor standard of documentation produced upon which procurement is based Insufficient time allowed 	<ul style="list-style-type: none"> Legal challenge Loss of reputation Failure to achieve best value No commercial interest Bidder mistakes invalidating applications Failure to have contract in place 	<ul style="list-style-type: none"> Effective staff training and management of procurement processes Staff training Regular review of contracts register and forecast of future procurement needs. 	DMT	<ul style="list-style-type: none"> Continuing refresher training and training for new starters Continuing liaison with procurement 			
GD4	Failure to correctly monitor/ manage budgets Impact of the self-service system upon budget control	<ul style="list-style-type: none"> Insufficient staff training Pressure of work leading to insufficient resource being committed Expanding use of self-service systems 	<ul style="list-style-type: none"> Uncertainty for corporate budgets Unable to meet service commitments Monies coded to wrong budgets due to system of self service 	<ul style="list-style-type: none"> Regular budget monitoring Regular meetings with Finance Training of Budget Managers 	HHCP DMT	<ul style="list-style-type: none"> Continuing training and for new starters. Active monthly monitoring Testing of solution to miscoding through self serve 			 <p>Manual adjustments replaced with solution.</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	Compliance with legal duty. / Failure to deliver service within statutory timescales/ Failure to meet requirements of civil contingencies act.	<ul style="list-style-type: none"> Insufficient resources Negligence Deliberate act Failure to understand or be aware of new/ changing legislation and regulations Staff workload, poor training, motivation, Inappropriate planning/preparedness works prior to event Failure of officers to carry out parts/ all of responsibilities under the WDC major incident plan and response. Scale of incident Temporary staff vacancy/seasonal shortages Long term absence/vacancy 	<ul style="list-style-type: none"> Legal challenge Compensation claims Loss of reputation and public confidence. Impact on resources and finances Reduced service effectiveness, poor customer service, impacts on motivation and stress levels, Damage to property/ environment in district Threat to life Public enquiry 	<ul style="list-style-type: none"> Sufficient resource of competent staff. Effective training and development for staff Effective management controls in place through service planning and monitoring Major Emergency Plan and Annual review. Training and exercising 24/7 duty officer role Flood plan Local resilience forum Adherence to best practice advice. Performance management Regular review of Business Continuity Plan 	DMT STL HHCP				
GD6	Not applying Equality and Diversity principles	<ul style="list-style-type: none"> Non-compliance with legal requirements Discrimination against group or person Policies not suitable 	<ul style="list-style-type: none"> Challenge by Govt Department or external agency Legal action and/or compensation claim by group or individual 	<ul style="list-style-type: none"> Staff training and awareness raising Regular review of Equality Impact assessments 	SMT DMT				 <p>Staff attendance on EIA training.</p>
GD7	Changes to Economic climate	<ul style="list-style-type: none"> National and International factors Changes in Govt policy which affect national and local issues Local factors affecting businesses 	<ul style="list-style-type: none"> Impact on service delivery generally either increase or decrease Loss of revenue, unexpected shortfall in budget surplus 	<ul style="list-style-type: none"> Service Planning and Business Continuity planning Budget monitoring 	CMT DMT				

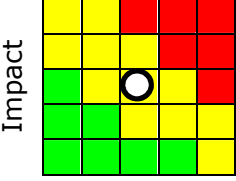
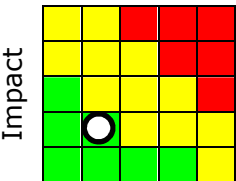
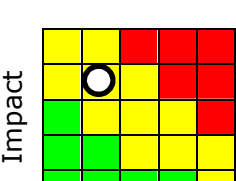
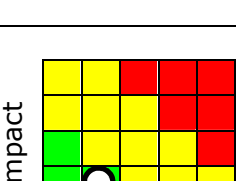
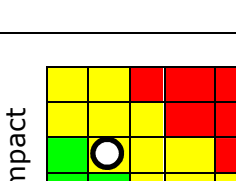
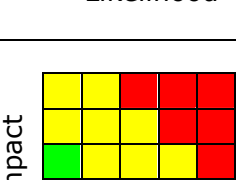
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD8	Unable to meet levels of service expected Responding to statutory consultations within time HS2 workload	<ul style="list-style-type: none"> Insufficient staff Increase in demand from public or new work areas Pressure from external agencies Corporate issues Specific problem occurring in district e.g. pollution incident etc. New development e.g. impacting on contaminated land or noise, food poisoning outbreak Through unexpected surge / Increased workload HS2 workload 	<ul style="list-style-type: none"> Customer dissatisfaction Complaints to Ombudsman Reputational damage Stress on staff 	<ul style="list-style-type: none"> Service Planning Resource planning MoU with other Councils Stress Assessment One to one Meetings Open communication and discussion. Resources for planning application responses merged. Restructured service to address the changing demands. 	DMT	<ul style="list-style-type: none"> Review of service delivery methods Continue to review the resource requirement from HS2 Recruiting to the carried vacancies. Evidence being collated in order to evidence resource need. 		ongoing	
GD9	Failure to make progress on corporate and departmental priorities	<ul style="list-style-type: none"> Unable to provide sufficient resources to support these areas of work 	<ul style="list-style-type: none"> Reputation undermined due to failure to meet commitments that have been made publically. Refusal of staff to use cars Strike action 	<ul style="list-style-type: none"> Regular prioritisation of work through services and corporate meetings Managing expectations by publishing and sticking to realistic time scales Continually monitor workloads Open communication 	DMT				 <p>Decrease due to time passed since Terms and Conditions Review, restructure.</p>
GD10	Inappropriate third party disclosure Non-compliance with Sharing of Information Protocol	<ul style="list-style-type: none"> Personal information shared with individuals not party to the WSIP Information becoming public which should not be. Poorly trained staff. Loss or theft of equipment 	<ul style="list-style-type: none"> Legal Challenge Reputational damage to partnership working/ council Risk to vulnerable person increases Legal action and/or compensation claim by group or individual Failure of formal actions by council 	<ul style="list-style-type: none"> Check info going out under Freedom of Information Act. Training of appropriate staff Use of E-CINs software Mobile Device hardware locked to prevent unauthorised access to data. Administrative remote deactivation. Retention and disposal of records 	DMT SCM	<ul style="list-style-type: none"> Complete review of HCP retention policy 	Staff Time	MAR 18	

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	Failure to deliver projects to target	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Poorly scoped project/programme Third party failure Support from other service areas 	<ul style="list-style-type: none"> Design delays resulting in Project slippage, impact on Service Delivery, the Council's Financial Profile, and Failure to Achieve Targets. Contracts not being assigned and started on time. Failure to meet corporate strategy. Failure to meet DDA and equality standards. Failure to deliver expected savings Failure to meet customer expectations 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Resource management sufficient time in programme with SMART targets. Review of quality Manual to ensure compliance. Review the Equality & Diversity Impact Assessments Training requirements, having correct skills in team, and undertake duties aligned to experience. Outsource if in-house services cannot be provided in desired timescales. Appropriate training Effective management control and project management. Project management training 	HHCP DMT				 <p>No longer delivering construction projects May 2017</p>
GD12	Failure to maintain equipment calibration e.g. sound level meters, thermometers, test calibrators.	<ul style="list-style-type: none"> Human error missing the test dates. Equipment Company going out of business. Failure to follow work instructions. 	<ul style="list-style-type: none"> Inaccurate/unreliable data produced 	<ul style="list-style-type: none"> Work instructions Regular supervision of the calibration activities by supervisor Diarise calibration retests dates. 					

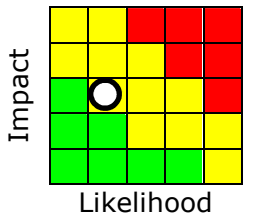
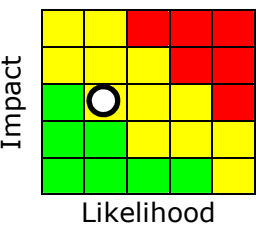
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 1	Inappropriate issue of licence/ misuse by licensee Failure to properly determine licence	<ul style="list-style-type: none"> Fraudulent application Poor staff training Out of date procedures Application of incorrect or out dated procedures 	<ul style="list-style-type: none"> Reputation Bad publicity Impact of challenges /appeals. 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continues monitoring and improvement of procedures. Consulting with other responsible bodies and the Licensing Officers. 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Continuing Quality monitoring Continuing procedural review 			
SR 2	Incorrect conditions attached to licence	<ul style="list-style-type: none"> Staff error incorrect information provided 	<ul style="list-style-type: none"> Injury and Nuisance Reputation damage Bad publicity Impact of challenge/appeals 	<ul style="list-style-type: none"> Continues monitoring and improvement of procedures. Maintain accurate controls and vigilance Staff training Consulting with appropriate bodies 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Quality monitoring scheme 			
SR 3	Failure to set appropriate fees	<ul style="list-style-type: none"> Incorrect record keeping failure to follow guidance failure to advertise fees legislative and case law changes 	<ul style="list-style-type: none"> legal challenge reputation damage 	<ul style="list-style-type: none"> Record keeping for time spent/ monies spent to allow accurate fee setting. Referral to guidance Use of well documented and challenged methodologies Staff training Councillor challenge of fees Advertisement of fees 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Systems development to introduce time monitoring Annual review 			 <p>Historical 6 year review completed</p>
SR 4	Loss of Paper records	<ul style="list-style-type: none"> Fire, flood Incorrect disposal 	<ul style="list-style-type: none"> Loss of history, plans, of premises. 	<ul style="list-style-type: none"> Move to digital competed 	RM				 <p>Project to digitise records completed.</p>

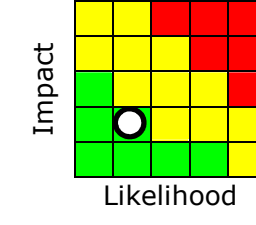
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 5	Failure to carry out routine/ reactive work Failure to deal with those failing to comply with licence conditions	<ul style="list-style-type: none"> Staff levels, capacity, Inadequate staff knowledge or experience Increase in reactive workload or required formal action Lack of respect by licence holders for the conditions of licence 	<ul style="list-style-type: none"> Failure to meet statutory targets Failure to act upon non compliance 	<ul style="list-style-type: none"> Prioritisation of workload to those businesses that are non-compliant. Incidents of mandatory nature prioritised. Fleet inspections of taxis Increased monitoring of taxis, premises through compliance inspections Routine fleet inspections Routine premises compliance inspections. Policies review completed for street trading, sex establishments, taxi trade in 2016. 	RM	<ul style="list-style-type: none"> Ongoing review of policies associated with licensing and procedures. 			<p>Impact</p> <p>Likelihood</p> <p>Policies reviewed new enforcement policy and methods implemented.</p>
SR 6	Incorrect FHRS management	<ul style="list-style-type: none"> Human error Poor staff training Out of date procedures Reference to out of date standards Software integration 	<ul style="list-style-type: none"> Reputation Bad publicity Appeals 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continuous monitoring and improvement of procedures. 	RM				<p>Impact</p> <p>Likelihood</p>
SR 7	Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance	<ul style="list-style-type: none"> Staff Error Insufficiently trained staff. Failure to understand primary authority process and arrangements Advice not fit for purpose Poor decision making Poor service delivery 	<ul style="list-style-type: none"> Not meeting terms of primary authority arrangement Not recovering cost of the service provided Impact of advice implementation on business and WDC Poor reputation Revocation of arrangement 	<ul style="list-style-type: none"> Maintain accurate records Nominated named signatory for assured advice Advice provision monitoring Staff training Competency Professional development Effective systems and procedures. 	RM				<p>Impact</p> <p>Likelihood</p>
SR 8	Legal challenge to fee setting	<ul style="list-style-type: none"> Request from licence holder, previous licence holder or legal representative for evidence of six year accounts 	<ul style="list-style-type: none"> Unable to demonstrate that no profit or loss has been made for the services for which a fee is set. Unable to demonstrate that excess income was not entered into council funds rather than remaining ring-fenced. Refund licence holders 	<ul style="list-style-type: none"> Fee setting review annually Account review Contained within separate budget 	RM	<ul style="list-style-type: none"> Ongoing annual fee reviews review of animal licensing budgets 			<p>Impact</p> <p>Likelihood</p> <p>Completed historic</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
			the monies paid for six years. <ul style="list-style-type: none">• Legal challenge and costs associated						6 year review.

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	Non-compliance with Section 17 of the Crime & Disorder Act (1998)	<ul style="list-style-type: none"> Community safety not a consideration in the design and delivery of services or the decision making process. 	<ul style="list-style-type: none"> Legal Challenge 	<ul style="list-style-type: none"> Input to relevant Committee Reports 	CMT				 Likelihood
SS2	Provision of incorrect information to police or other agencies	<ul style="list-style-type: none"> Not following procedures Obtrusiveness. Wrongful arrest, Infringement to civil liberties Incorrect identification of offender on CCTV 	<ul style="list-style-type: none"> Reputation. Claims. 	<ul style="list-style-type: none"> Operating procedures. Trained staff. Partnerships with Police. 	CCTV Manager				 Likelihood
SS3	Reduced Funding for Community Safety Partnership Initiative	<ul style="list-style-type: none"> Economic Climate 	<ul style="list-style-type: none"> Less money to spend on partnership priorities and greater pressure to mainstream. Unable to operate all initiatives 	<ul style="list-style-type: none"> Bid for alternative funding Funding from PCC and University of Warwick 	SCM				 Likelihood
SS4	Loss of power to CCTV & Control room	<ul style="list-style-type: none"> Failure of electrical supply to CCTV and Control room 	<ul style="list-style-type: none"> Systems Failure Partners not Supported Increased response time to incidents/threats to life. 	<ul style="list-style-type: none"> Extra police resource to be called Retail radio system Some cameras now Wi-Fi 	SCM HHCP				 Likelihood
SS5	Effectiveness of Dog Service	<ul style="list-style-type: none"> Current kennels going out of business 	<ul style="list-style-type: none"> Increased journey time to alternative kennels in Redditch. Increased cost of petrol and depreciation of vehicle. 	<ul style="list-style-type: none"> Work with kennels to ensure billing is accurate and on time. Meet regularly with kennels owner 	SCM				 Likelihood
SS6	Theft of council pest control vehicles	<ul style="list-style-type: none"> Poorly maintained vehicles allowing access Staff not trained in their responsibilities Stress/Tiredness Accidents 	<ul style="list-style-type: none"> Damage to vehicle or property Personal/wildlife injury Legal action, insurance claims etc. Pest control vehicles stolen Poison & contents stolen and or dumped. 	<ul style="list-style-type: none"> Knowing where the vehicles are. Trackers Regular maintenance and checks of vehicles Staff training at commencement of job role. Effective health & safety controls and risk 	DMT SCM				 Likelihood

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	Unsuitable use of poisons	<ul style="list-style-type: none"> Access to the poisons room by other staff members Use of poisons New brands/change of bait type Change in legislation/guidance 	<ul style="list-style-type: none"> Poisonings of human/animal/ wildlife and environment Use of inappropriate poison 	<ul style="list-style-type: none"> Staff training COSHH assessments H&S procedures in place Locked storage 	SCM	<ul style="list-style-type: none"> Keeping up to date with changes in the legislation surrounding poison application. 			
SS 8	Identified Flood Alleviation Schemes unable to be delivered or supported	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Refusal of Planning Permission. Staff resource 	<ul style="list-style-type: none"> Possible flooding events. 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Joint Working with EA and WCC Engage suitable contractor to deliver projects. 	HHCP	<ul style="list-style-type: none"> Work in partnership with corporate assets team and head of housing 			<p>Decrease as no current projects for delivery by WDC. However supporting those delivered by partners.</p>
SS 9	Breakdown of affiliated AURN monitoring station (Hamilton Terrace)	<ul style="list-style-type: none"> Loss of connectivity. Failure to carry out routine servicing. Vandalism/ fire or theft 	<ul style="list-style-type: none"> Loss of data. Loss of DEFRA contract. Removal of DEFRA equipment. 	<ul style="list-style-type: none"> Regular service schedule. Maintenance contract with specialist supplier. 	SCM EPTL				

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
SS 10	Failure to maintain contaminated land database	<ul style="list-style-type: none"> Staff error Inaccurate identification of land Poor record maintenance Change or software and poor integration 	<ul style="list-style-type: none"> Impact on human health and/or environmental damage. Financial liability. Reputation. Development of land without appropriate remediation. Incorrect information provided to land charges Failure to identify land in planning applications 	<ul style="list-style-type: none"> Keeping database up to date. Effective assessment of relevant planning applications. Staff training Effective integration of data 	SCM EPTL				
SS 11	Failure to improve air pollution (NO2) levels	<ul style="list-style-type: none"> NO2 levels continue to exceed EU standards Failure to deliver air quality action plans 	<ul style="list-style-type: none"> Potential EU infraction fines against the UK are likely to be passed on to local authorities 	<ul style="list-style-type: none"> Partnership working with WCC to reduce traffic congestion in town centres Ongoing local air quality monitoring 2015 Action Plan adopted 	SCM EPTL	<ul style="list-style-type: none"> Continuous working in partnership with WCC and PHE to deliver air quality action plan 			

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	Informal Partnership working with WCC fails	<ul style="list-style-type: none"> Staff integration Reduced funding Reduced support Policy changes at WCC or WDC Further WDC restructure 	<ul style="list-style-type: none"> Reduced resources available Reduced service level and or quality Reduced support for communities 	<ul style="list-style-type: none"> Regular dialogue & monitoring Regular review of policy and changes 	CPTM	<ul style="list-style-type: none"> Revising and developing new partnerships 			 <p>Decrease due to Informal partnership in place for 18+ months</p>

SC2	<p>Failure to or delay in payments to grants recipients</p> <p>Incorrect amounts paid</p>	<ul style="list-style-type: none">• Untrained staff• Loss of key staff• Inaccurate data• Lack of planning• Resource Capacity• Failure of the payment system• Forget to make payment	<ul style="list-style-type: none">• Grant recipients distressed• Community activities stopped or delayed due to financial shortfall• Negative publicity	<ul style="list-style-type: none">• Monthly monitoring of budgets against SLA's• Trained staff• Forward planning	CPTM					<div><div>Impact</div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div><div></div></div></div> <div>Likelihood</div>
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Key:

CMT = Corporate Management Team

CPTM = Community Partnership Team Manager

DMT = Departmental Management Team

ESTL = Environment Protection Team Leader

HHCP = Head of Health and Community Protection

RM = Regulatory Manager

SCM = Safer Communities Manager

SMT = Senior Management Team

STL = Service Team Leader