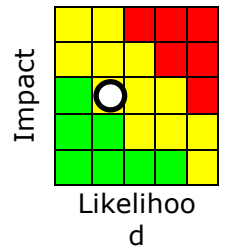


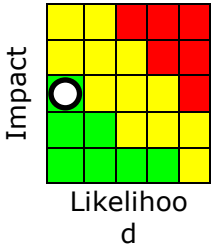
Health & Community Protection - Risk Register

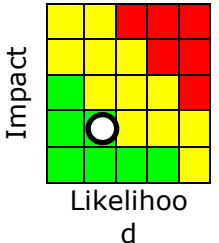
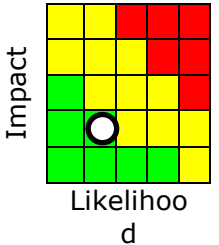
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GENERIC – STAFF/HUMAN RESOURCES									
GR1	Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies.	<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,	<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/office r with relevant certification/ qualifications available to progress workflow.• Failure to meet customer expectations• Failure to meet statutory requirements• Unable to	<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.	DMT HR HHCP CCO				<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></div><div><div><div></div><div></div><div></div><div></div></div></div></div><div>Likelihood</div></div></div></div></div></div></div></div></div></div></div></div>

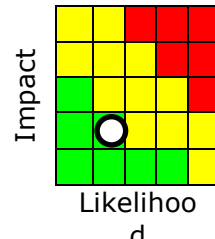
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
		<p>including outbreaks/epidemics</p> <ul style="list-style-type: none">• Lack of succession planning and Unfilled Vacancies• External emergency situation (Flood, Act of Terrorism, Pandemic Flu, other hazard).	<p>respond to emergencies</p> <ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• 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• Succession Planning Strategy• Regular review of Business Continuity Plan					

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	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 	<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 	H&S Advisor CMT DMT HHCP				

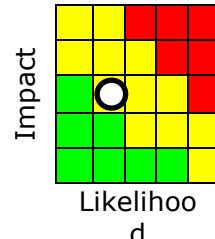


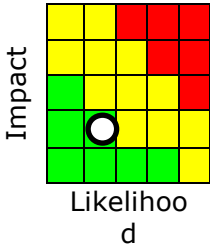
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				specific problems identified <ul style="list-style-type: none"> • Office layout • Regular review, use and update of Staff Alert List 					
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 	<ul style="list-style-type: none"> • Damage to vehicle or property • Personal injury, Legal action, insurance claims etc. 	<ul style="list-style-type: none"> • Knowing where the vehicles are. • Regular maintenance and checks of 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	<ul style="list-style-type: none"> • Highlight to SMT in corporate H&S Quarterly Report. 	Staff time	DEC/13	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR4	Homeworking – poor service 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 	<ul style="list-style-type: none"> Inability to deliver work programme Legal challenge Customer expectation not met Poor staff welfare/increased stress/ Isolation Dissatisfaction for staff either being coerced into homeworking or denied homeworking Insurance claim 	<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				
GR5	Inadequate training provided to staff	<ul style="list-style-type: none"> Lack of time/money to invest in training Legal challenge on decisions 	<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. 	<ul style="list-style-type: none"> One to ones/appraisals/ personal development plans Legal support Budget for training Identify necessary training (via effective methods) 					

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR6	Failure to identify legislative changes	<ul style="list-style-type: none"> Staff not keeping up to date 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 					

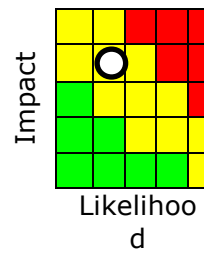
GENERIC – INFRASTRUCTURE& ACCOMMODATION

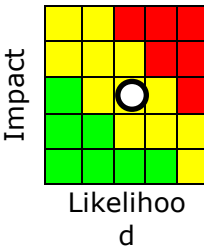
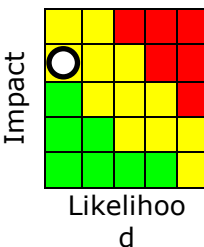
GI1	Loss of IT and records Web-site Maintaining Computerised Systems and Records	<ul style="list-style-type: none"> Loss of Building, Flood, Fire, external emergency situation affecting access Power and system Failures Contractor failure Data Corruption IT security issue Staff resources Sabotage, Malfunction, Hacking/malicious acts Poor Procedures, 	<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 	<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 	SMT DMT ICT HHCP				
-----	---	---	---	--	---------------------------	--	--	--	--

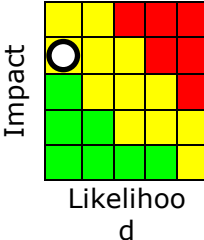
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
		Ineffective computer systems for service needs. • IT not able to rectify the problem • Poor knowledge /understanding • Broadband connections lost	• Adverse Publicity, • Impacts on the Councils financial Profile. • Systems not set up adequately resulting in additional work • Unable to continue service	engagement of staff Adequate training and resourcing of web authors and editors • Regular review procedures and systems.					
GI2	Loss of accommodation/ Non availability of Office Building	• Flood, Fire, Gas explosion, Tempest etc. • External emergency situation affecting access • Power Failures	• Loss of access to data • Loss of access to equipment and materials • Restriction of service provision • Loss of cremation facility • Danger to occupants. • Non availability of service. • Additional expenditure. • Bad Publicity. • Loss of records, IT equipment.	• Emergency and Business Continuity Planning and their regular review. • Normal operating procedure. • Homeworking availability	SMT DMT				

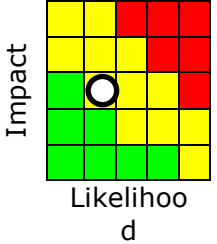
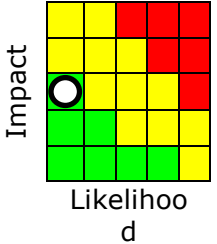
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
--	------------------	-------------------	-----------------------	--------------------------	----------	------------------------------------	----------	----------	----------------------

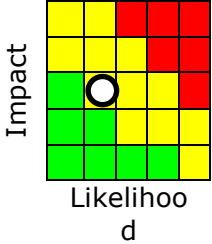
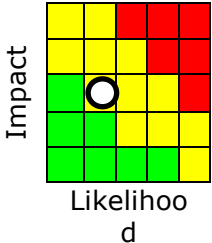
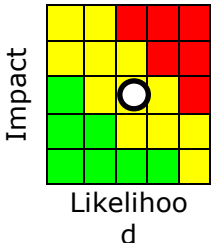
GENERIC – SUPPLIERS

GS1	<p>Services outsourced . i.e. Contractor, legal, Street Marshalls</p> <p>Supplier failure or unable to provide services as agreed/ expected. I.e. call centre, royal mail, ADT, kennels.</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 	<ul style="list-style-type: none"> • Unacceptably poor service. • Legal challenge • Loss of reputation • Not meeting customer expectations • Inability to operate cremators • Burial services disrupted • 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 communication with Call Centre and understanding of information and services they deal with. 	<p>CMT</p> <p>DMT</p> <p>SMT</p>					 <p>Impact</p> <p>Likelihood</p>
-----	--	---	---	---	----------------------------------	--	--	--	--	--

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
		emergency situation, Flood, Fire affecting access • Power and system failures • Staff resources • Full scope of works not included in contract tender							
GS2	Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)	• Reorganisation of collaborative departments • Failure to recognise workflow through other departments • Insufficient staff / resource available	• Disjointed services to customers • Missed opportunities • Negative impact on staff morale • Increased customer complaints • Reputational damage	• Good lines of communication between key members of staff • Joint working groups • SMT intervention	DMT SMT				 <p>Impact</p> <p>Likelihood</p>
GENERIC –EMERGENCY SITUATIONS									
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council	• Extreme Weather, Flood, Act of Terrorism, Pandemic Flu, other realized hazard. • Structural/Buil	• Threat to business critical tasks. • Inability to meet demand. • Staff workload increases, leading to	• Service Area plans for business interruptions. • Regular review of Business Continuity Plan • Training and	CCO HHCP				 <p>Impact</p> <p>Likelihood</p>

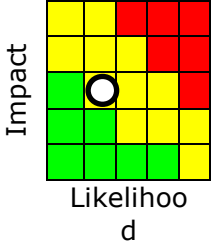
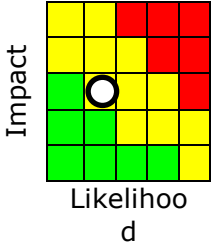
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
	Operations	<ul style="list-style-type: none"> ding failure. Fire/Loss of data/ Electronic Attack/Denial of Access. 	<ul style="list-style-type: none"> potential stress. Loss of public confidence. Inability to meet statutory duties. Loss of data / information. Adverse effect on health and wellbeing of population 	<ul style="list-style-type: none"> exercises. Work towards BS25999. Implementation of building security and fire safety measures. ICT work to secure data. 					
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 Flu, 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. 	CCO HHCP				

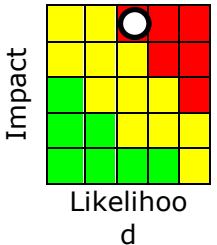
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE3	Ineffective response to small-scale or anticipated emergency incident	<ul style="list-style-type: none"> Failure of Officers to carry out parts/all of responsibilities under the WDC Duty Officer Role/Normal business duties. 	<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. 	CCO HHCP				
GENERIC – SERVICE DELIVERY									
GD1	Provision of incorrect/poor quality information/advice	<ul style="list-style-type: none"> Error in transferring information Staff error Insufficiently trained staff Confrontation Compensation claims 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 	<ul style="list-style-type: none"> Effective systems and procedures in place. Staff training and knowledge sharing Appraisals Performance monitoring 	DMT				

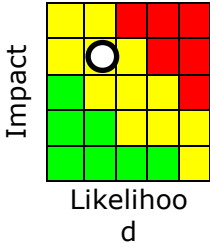
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD2	Possibility of Fraud/ Corruption	<ul style="list-style-type: none"> Insufficient finance and IT security controls in place. 	<ul style="list-style-type: 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 	SMT DMT				
GD3	Possibility of Non-compliant procurement	<ul style="list-style-type: none"> Lack of awareness of issues Deliberate act 	<ul style="list-style-type: none"> Legal challenge Loss of reputation Failure to achieve best value 	<ul style="list-style-type: none"> Effective staff training and management of procurement processes Staff training 	DMT				
GD4	Failure to correctly monitor/ manage budgets (Short term elevated risk rating due to merging of departments)	<ul style="list-style-type: none"> Insufficient staff training Pressure of work leading to insufficient resource being committed 	<ul style="list-style-type: none"> Uncertainty for corporate budgets Unable to meet service commitments 	<ul style="list-style-type: none"> Regular budget monitoring Regular meetings with Finance Training of Budget Managers 	HHCP DMT				

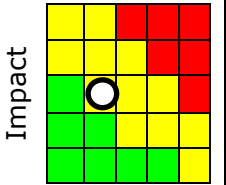
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resourc e	Due Date	Residual Risk Rating
GD5	Compliance with legal duty. / Failure to deliver service within statutory timescales/ meet requirements of civil contingencies act.	<ul style="list-style-type: none">Insufficient resourcesNegligenceDeliberate actFailure to understand or be aware of new changing legislation and regulationsStaff workload, poor training, motivation,Inappropriate planning/preparedness works prior to eventFailure of officers to carry out parts/ all of responsibilities under the WDC major incident plan and response.Scale of incident	<ul style="list-style-type: none">Legal challengeCompensation claimsLoss of reputation and public confidence.Impact on resources and financesReduced service effectiveness, poor customer service, impacts on motivation and stress levels,Damage to property/ environment in districtTreat to lifePublic enquiry	<ul style="list-style-type: none">Sufficient resource of competent staff.Effective training and development for staffEffective management controls in place through service planning and monitoringMajor Emergency Plan and Annual review.Training and exercising24/7 duty officer roleFlood planLocal resilience forumAdherence to best practice advice.Performance managementRegular review of Business Continuity Plan	DMT CCO HHCP				<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></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><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></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><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></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><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></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><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></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><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></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><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></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><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></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><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></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><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>

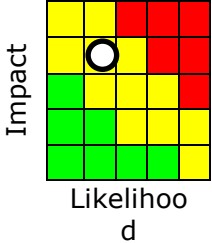
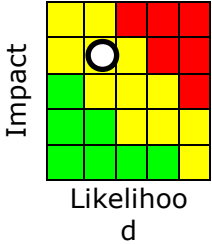
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD6	Failure to be aware of VAT	<ul style="list-style-type: none"> Changes to rate set by Government Changes to scope by central government Lack of training 	<ul style="list-style-type: none"> Failure to meet forecast budget Impact on customer e.g. increased charges Adverse comments through Audit Litigation from HMRC 	<ul style="list-style-type: none"> Awareness/training. Budget monitoring Good communication with Finance (e.g. quarterly attendance at service DMT) Keeping up to date with professional developments 	CMT Finance DMT				<div> <div>Impact</div> <div>Likelihood</div> </div>
GD7	Not applying Equality and Diversity principles	<ul style="list-style-type: none"> Non-compliance with legal requirements Discrimination against group or person 	<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				<div> <div>Impact</div> <div>Likelihood</div> </div>
GD8	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				<div> <div>Impact</div> <div>Likelihood</div> </div>

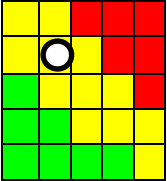
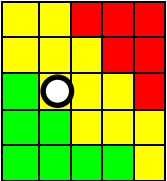
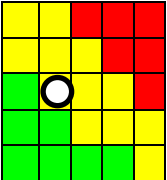
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD9	Unable to meet levels of service expected i.e. through unexpected surge / Increased workload	<ul style="list-style-type: none"> Insufficient 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 	<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 	DMT				
GD10	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. 	<ul style="list-style-type: none"> Regular prioritisation of work through services and corporate meetings Managing expectations by publishing and sticking to realistic time 	DMT				

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				scales <ul style="list-style-type: none"> Continually monitor workloads 					
GD1 1	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. 	<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 	DMT CPM	<ul style="list-style-type: none"> CPM to produce report to SMT recommending training to staff. 	Staff Time	APR/14	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD1 2	Failure to deliver projects to target i.e. complete design and construction projects on time	<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. Design delays due to: Lack of Staff Resources, Inefficient/ineffective management processes, Lack of employee motivation/efficiency, printing delays of Contract Documentation . Refusal of Planning Permission, English Heritage/ Archaeology restrictions. Poorly scoped project/progra 	<ul style="list-style-type: none"> Potential redundant workforce. Fails to meet the Social, Economic and Environmental & Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres. Design delays resulting in Project slippage, impact on Service Delivery, the Council's Financial Profile, and Failure to Achieve Targets. Missed opportunities to regenerate areas of the District. Contracts not being assigned and started on 	<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 partial Impact Assessment for Capital Works. 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 	HHCP DMT	<ul style="list-style-type: none"> Identify available and appropriate Project management training 	Training Budget	MAR/14	 <p>Impact</p> <p>Likelihood</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
		mme <ul style="list-style-type: none"> Third party failure Support from other service areas 	time. <ul style="list-style-type: none"> Inability to implement change with improvements to enhancement the vitality to areas of the District. Failure to meet corporate strategy. Failure to meet DDA and equality standards. Failure to deliver expected savings Failure to meet customer expectations 	management. <ul style="list-style-type: none"> Project management training 					
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
SR1	Inappropriate issue of license/ misuse by licensee Failure to properly determine license	<ul style="list-style-type: none"> Fraudulent application Poor staff training Out of date 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 	RM				 <p>Impact</p> <p>Likelihood</p>

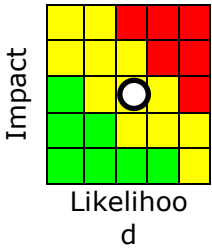
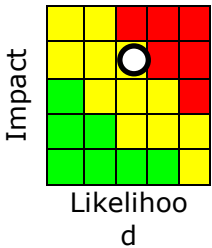
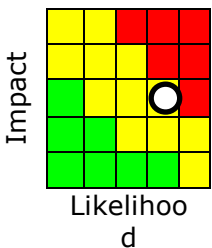
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				improvement of procedures. • Consulting with other responsible bodies and the Licensing Officers.					
SR2	Incorrect conditions attached to licence	• Human error or incorrect information provided	• Injury and Nuisance • Reputation damage • Bad publicity • Impact of challenge/ appeals	• Continues monitoring and improvement of procedures. • Maintain accurate controls and vigilance • Staff training • Consulting with appropriate bodies	RM				
SR3	Failure to set appropriate fees	• incorrect record keeping • failure to follow guidance	• legal challenge • reputation damage	• Record keeping for time spent/ monies spent to allow accurate fee setting. • Referral to guidance	RM				

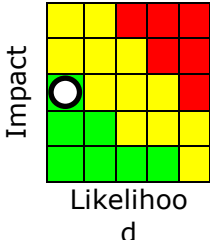
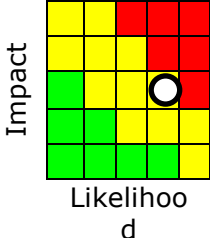
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR4	Loss of Paper records	<ul style="list-style-type: none"> Fire, flood Incorrect disposal 	<ul style="list-style-type: none"> Loss of history, plans, of premises. 	<ul style="list-style-type: none"> Move to digital records in progress 	RM				 <p>Impact</p> <p>Likelihood</p>
SR5	Failure to carry out routine/ reactive work	<ul style="list-style-type: none"> Staff levels Increase in reactive workload or required formal action 	<ul style="list-style-type: none"> Failure to meet statutory targets 	<ul style="list-style-type: none"> Prioritisation of workload to those businesses that are non-compliant. Incidents of mandatory nature. 	RM				 <p>Impact</p> <p>Likelihood</p>
SR6	Incorrect FHRS management	<ul style="list-style-type: none"> Human error Poor staff training Out of date procedures Reference to out of date standards 	<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. Continues monitoring and improvement of procedures. 	RM				 <p>Impact</p> <p>Likelihood</p>

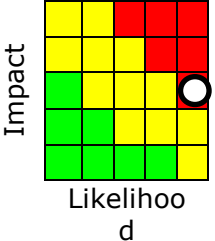
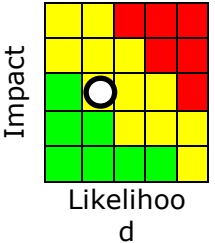
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
--	------------------	-------------------	-----------------------	-------------------------	---------	------------------------------------	----------	----------	----------------------

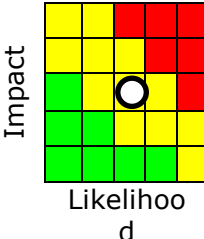
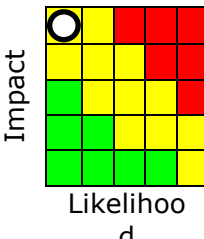
SERVICE SPECIFIC – SERVICE DELIVERY (COMMUNITY PROTECTION)

SP1	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 There has been clear reluctance to address this issue but the challenge is more likely as a result of recent additions in 'Cutting Crime'. 	<ul style="list-style-type: none"> Input to relevant Committee Reports (recommendation of best value) 	CMT				<p>Impact</p> <p>Likelihood</p>
SP2	Wrongful arrest, Infringement to civil liberties	<ul style="list-style-type: none"> Not following procedures Obtrusiveness. 	<ul style="list-style-type: none"> Reputation. Claims. 	<ul style="list-style-type: none"> Operating procedures. Trained staff. Partnerships with Police. 	CCTV Manager				<p>Impact</p> <p>Likelihood</p>

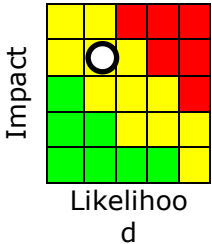
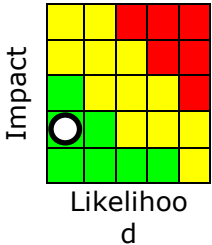
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SP3	Reduced Funding for Community Safety Partnership Initiative	<ul style="list-style-type: none"> Economic Climate 	<ul style="list-style-type: none"> Less money to spend on partnership priorities and greater pressure to mainstream. 	<ul style="list-style-type: none"> Bid for alternative funding 	CPM				
SP4	Loss of power to CCTV & Control room	<ul style="list-style-type: none"> Failure of Western Electric 	<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 	CPM HHCP	<ul style="list-style-type: none"> Investigate alternative/additional power source 	Staff time & budget cost for new source	APR/14	
SP5	Reduction 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 and agree days agreeable. 	CPM				

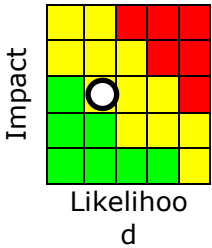
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SP6	Theft and poor maintenance of council vehicles	<ul style="list-style-type: none"> Pest control vehicles stolen and poison dumped. Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness 	<ul style="list-style-type: none"> Damage to vehicle or property Personal/wildlife injury Legal action, insurance claims etc. 	<ul style="list-style-type: none"> Knowing where the vehicles are. Regular maintenance and checks of vehicles Staff training at commencement of job role. Effective health & safety controls and risk assessments 	DMT CMP	<ul style="list-style-type: none"> Fit trackers to council vehicles (pest control vans) 	Budget Cost	APR/14	
SERVICE SPECIFIC – SERVICE DELIVERY (BEREAVEMENT SERVICES)									
SB1	Customers or their agents not able to access facilities (on time)	<ul style="list-style-type: none"> Traffic incident or other emergency situation affecting access Extreme weather 	<ul style="list-style-type: none"> Disruption to services and impact on other customers Unable to manage peak workflow Additional overtime and/or fuel costs Non-compliance with working time directive Increased risk of accident due to working in 	<ul style="list-style-type: none"> Emergency and contingency plans in place Good communication with key stakeholders Standard operating procedure Selection and training of staff Good communication with key contractors 	BSM	<ul style="list-style-type: none"> Enhance resilience by encouraging staff to train in additional competencies and certification 	In line with individual's personal development plans. Using existing service budget where possible or application to corporate contingency training	Ongoing	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
			darkness <ul style="list-style-type: none"> Non-compliance with statutory instrument 				funds.		
SB2	Disruption in utilities (LPG or Electricity)	<ul style="list-style-type: none"> fuel shortage Changed to contacted supplier Breakdown of telemetry system Emergency requiring isolation of LPG tanks 	<ul style="list-style-type: none"> Cremation services cease Loss of reputation Non-compliance with environmental protection legislation 	<ul style="list-style-type: none"> Priority customer status Emergency and Contingency plans in place 	BSM	<ul style="list-style-type: none"> Investigate ability to increase capacity for back-up generator (existing generator will only power music system) 	Budget cost & Staff time	APR/14	 <p>Impact</p> <p>Likelihood</p>
SB3	3rd party impact on service provision	<ul style="list-style-type: none"> Customer appointed agent or contractor failing to comply with regulations Failure to implement proper controls or procedures 	<ul style="list-style-type: none"> Damage to cremation equipment Non-compliance with environmental protection legislation Breach of permit conditions Increased risk 	<ul style="list-style-type: none"> 3rd party indemnity statements Regular liaison with key stakeholders and national stakeholder organisations Training offered to stakeholders when employing new staff 	BSM	<ul style="list-style-type: none"> Review memorial safety policy in line with current industry standards. 	Officer Time	2014 - 2015	 <p>Impact</p> <p>Likelihood</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
			<ul style="list-style-type: none"> of infection or injury Unauthorized burial or cremation Reputational damage Litigation Failure in "duty of care" to visitors 	<ul style="list-style-type: none"> Membership FBCA & ICCM Permission to erect memorials only issued to monumental masons registered with BRAMM or NAMM RQMF Memorial safety inspection programme 					
SB4	Failure to adequately maintain buildings or infrastructure	<ul style="list-style-type: none"> Insufficient planned or reactive repairs budget available Poorly planned repairs and allocation of resources 	<ul style="list-style-type: none"> Customer dissatisfaction Increased risk of accident or incident 	<ul style="list-style-type: none"> Service representation at SAG and CBIP 	BSM				
SB5	Loss of cremation equipment	<ul style="list-style-type: none"> Explosion caused by implants or unauthorised items in coffin Mechanical breakdown Planned maintenance 	<ul style="list-style-type: none"> Unexpected repair bills Services interrupted / delayed Loss of reputation Loss of market share Unacceptable working conditions 	<ul style="list-style-type: none"> Regular liaison with stakeholders Standard operating procedures Emergency and contingency plans Regular maintenance agreement in 	BSM				

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SE1	Failure of pumping stations	<ul style="list-style-type: none">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.Unforeseen Engineering problems, Non-Compliance with Health & Safety Legislation.Foul sewage flooding.	<ul style="list-style-type: none">Inconvenience and lack of use of leisure facilities by the general public.Potential loss of Income to WDC through non usage of facilities due to closure.Pollution incident – EA would be involved; may result in prosecution and illness of the public.Bad publicity and media relations.	<ul style="list-style-type: none">Review inspection regime.Review level of supervision.Review management systems.Training and inspection techniques.	ESM				<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>Likelihood</div></div></div>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SE2	Flood Alleviation Schemes	<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. 	<ul style="list-style-type: none"> Possible flooding events. Potential redundant workforce. Fails to meet the Social, Economic and Environmental & Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres. 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. 	HHCP ESM				
SE3	Breakdown of AURN monitoring station	<ul style="list-style-type: none"> Loss of connectivity. Failure to carry out routine servicing. 	<ul style="list-style-type: none"> Loss of data. Loss of DEFRA contract. 	<ul style="list-style-type: none"> Regular service schedule. Maintenance contract with specialist supplier. 	ESM				

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SE4	Failure to maintain contaminated land database	<ul style="list-style-type: none"> Development of land without appropriate remediation. Incorrect information provided to land charges 	<ul style="list-style-type: none"> Impact on human health and/or environmental damage. Financial liability. Reputation. 	<ul style="list-style-type: none"> Keeping database up to date. Effective assessment of relevant planning applications. 	ESM				

Key:

CMT = Corporate Management Team

SMT = Senior Management Team

DMT = Departmental Management Team

HHCP = Head of Health and Community Protection

ESM = Environment Sustainability Manager

BSM = Bereavement Services Manager

RM = Regulatory Manager

CPM = Community Protection Manager

CCO = Civil Contingencies Officer