

H&CI RISK REGISTER

Appendix 1

Version Date: March 2015

Details of Risk					Inherent Risk				Key Controls	Residual Risk		Actions					
Risk No.	Service Committee	Risk Description	Trigger	Result	Probability	Impact	Score	Owner		Probability	Impact	Residual Score	Descr iption	Action Owner	Target Date	Revised Target Date	Action Status
H&CI 1 Previously ETERR1 (Relates to CRR21)	Highways and Community Infrastructure	Business Disruption	1. Loss of staff (large quantities or key staff) 2. Loss of premises (including temporary denial of access) 3. Loss of IT, equipment or data 4. Loss of a supplier 5. Loss of utilities or fuel	1. Inability to deliver consistent and continuous services to vulnerable people 2. School closures at critical times impacting students' ability to achieve 3. Inability to fully meet legislative and statutory requirements 4. Increase in service demand (e.g. in pandemic) 5. Inability to respond to citizens' request for services or information 6. Lasting reputational damage	4	4	16	Executive Director, ETE	1. ETE functions have been reviewed and evaluated in terms of impact if not delivered over time. 2. ETE Business Continuity Plan (BCP) contains summary results of this process and facilitates prioritisation of functions in an emergency situation. 3. ETE BCP regularly reviewed and updated to ensure it contains accurate and current contact information.	4	3	12	1. ETE BCP 2. ETE BCP 3. ETE BCP 4. ETE BCP 5. ETE BCP 6. ETE BCP	Head of Policy and Business Development & ETE BCP Reps Head of Policy and Business Development & ETE BCP Reps Head of Policy and Business Development Head of Policy and Business Development Head of Policy and Business Development PBD/ETEMT	Apr-15 Apr-15 Apr-15 Aug-15 Dec-15		A A A A A
H&CI 2 Previously ETERR2 (Relates to CRR1a)	Highways and Community Infrastructure	Failure to effectively plan how the Council will deliver services over the five year business plan commencing 2016/17	1. Failure to have clear political direction, vision, priorities, and outcomes in the Business Plan. 2. Failure to plan effectively to achieve necessary efficiency savings and service transformation. 3. Failure to identify sufficient additional savings in addition to existing plans, in light of forthcoming CSR. 4. Worsening Pension Fund deficit. 5. Legislation changes add unforeseen pressure to Council savings targets.	ETE lacks clear direction for resource use and either over-spends, requiring the need for reactive savings during the life of the plan, or spends limited resources unwisely, to the detriment of local communities.	5	5	25	Executive Director, ETE	1. Robust political leadership, strong vision, clear priorities and policies, developed through Councilor engagement 2. Robust engagement with members of Corporate Leadership Team (CLT) and Councilors through the Business Planning process timetable, to ensure greater cross-organisational challenge and development of options. 3. Full consultation with public, partners and businesses during planning process, including thorough use of data research and business intelligence to inform the planning process 4. Early engagement with CLT, Heads of Service and Councilors to generate further ideas for innovation, transformation and savings. 5. Stronger links with service planning, seeking to transform large areas of spend. 6. Business Planning process requires early identification of possible impacts of legislative change, as details emerge.	3	4	12	1. Senior officer exploration 2. Directors and Heads of Service review 2016/17 proposals and identifying options to	Executive Director, ETE Executive Director, ETE	Apr-15 Jul-15		A A
H&CI 3 Previously ETERR3 (CRR1b)	Highways and Community Infrastructure	Failure to deliver the 2015/16 business plan	1. Failure to deliver (with partners) on 14/15 business plan and achieve required efficiency savings and service transformation. 2. Assumptions in existing business plan regarding the wider economic situation are inaccurate. 3. Organisation not sufficiently aligned to face challenges	The Council is unable to achieve required savings and fails to meet statutory responsibilities or budget targets; need for reactive in-year savings; adverse effect on delivery of outcomes for communities.	5	5	25	Executive Director, ETE	1. Robust service planning; priorities cascaded through management teams and through appraisal process 2. Strategy in place to communicate vision and plan throughout the organisation 3. A set of key indicators and targets for the whole Council is agreed each year through the Business Planning process. These are monitored and reported monthly to the Council's General Purposes Committee through the Integrated Resources and Performance Report. 4. ETE Performance Management Framework; key indicators and targets are reviewed annually following approval of the Business Plan. Performance management in ETE includes monitoring and reporting of performance against targets for key indicators through the ETE Finance and Performance Report. This is reported monthly to ETE Management Team and to the two Council	2	4	8					

H&CI 4 Previously ETERR8	Highways and Community Infrastructure	Failure to manage ETE Information Systems	Process for management of software including licensing and data quality issues is not fully embedded within ETE.	Inaccurate, incomplete and out- of-date information held on systems and inefficient processes lead to errors. Potential to make errors relating to information held on IT Systems. Impact on service delivery.	4	4	16	Executive Director, ETE	1. Work with Information Governance to ensure that our systems meet the required data quality standards 2. Review licensing arrangements to ensure that software is used efficiently and is value for money 3. ETE Virtual IT Group set up and utilised 4. Portfolio management process to ensure duplication/proliferation of IT systems does not occur 5. Regular reporting to ETE Management Team on Digital First Board and other IT activity	2	3	6	1. P&BD workin g with IT 2. P&BD workin g with IT reps	Head of Policy and Business Development	Jun-15		G
														Head of Policy and Business Development	May-15		G
H&CI 5 Previously ETERR9	Highways and Community Infrastructure	Organisational Change - ETE	Significant changes to service provision and organisational structure within ETE as a result of implementing business plan proposals.	Changes cause uncertainty for staff and adverse impact on - service delivery - employee relations, - employee engagement - trust in employer, - morale and reputation; leading to increased voluntary turnover, increased absence levels, and reduced ability to Savings not delivered and potential increased costs leading to significant budget pressures.	5	3	15	Executive Director, ETE	1. Effective communication ensured through the agreed ETE Communications strategy. 2. Be aware of the impact on staff and that their performance might be adversely affected and utilise staff feedback from Pulse Survey 3. Ensure corporate memory is retained through succession planning 4. Be aware and plan for future retention issues 5. Monthly absence and HR reporting to ETE Directors	3	3	9					
H&CI 6 Previously ETERR10	Highways and Community Infrastructure	Failure to deliver Waste savings/opportunities and achieve a balanced budget	Failure to: a) deliver Household Recycling Service savings, b) realise Waste PFI contract opportunities (e.g., Reduce cost of Compost Like Output and income from Third Party Income), c) manage operational risk of unforeseen contractual events (e.g. Wet In Vessel Composting waste) leading to significant budget pressures.	Savings not delivered and potential increased costs leading to significant budget pressures.	3	5	15	Service Director, Infrastructure Management and Operations	1. Officers working closely with DEFRA and WIDP. 2. Strong contract management and close working with legal and procurement to reduce unforeseen costs where possible e.g. management of amount of waste going to landfill. Regular communication, exchange of information and decision-making at the Waste PFI Delivery Board. The Board provides focused management of issues, ensuring contract delivers as required. 3. Now the Waste PFI is fully operational, the full protection afforded by the contract is in place. 4. The contract documentation / commitments are now set and are legally binding. 5. Clear control of the risk of services not being delivered to cost and quality by levying significant penalties and compensations if the contract fails or issues arise. 6. Financial risk is transferred through the PFI contract and we have a lead on negotiations through this period. 7. Waste PFI contractor to secure contract for Refuse Derived Fuel (RDF) option for Compost Like Output (CLO).	3	5	15	1. Consu lation with PFI	Head of Assets & Commissioning	Dec-14 onwards	Ongoing	G
													2. Legal review of contra ct with WIDP compl eted	Head of Assets & Commissioning	May-15		G
													3. Financ ial review of contra ct	Head of Assets & Commissioning	May-15		G
													4. Techni cal review	Head of Assets & Commissioning	May-15		G
													5. Meetin gs and Negoti ations with centra	Head of Assets & Commissioning	Oct-15		G
H&CI 7 Previously ETER16	Highways and Community Infrastructure	Failure to have appropriate processes in place to protect Employees	Written, verbal or physical threats received by members of staff.	Services withdrawn, personal injury or harm to ETE employee. Impact on CCC reputation.	2	5	10	Executive Director, ETE	1. Lone working policy. 2. Systems/risk assessments for those most at risk. 3. Service specific procedures in place, e.g. Safe Systems of Work (SSoW). instruction, training, supervision, protective equipment, good diary management, 'call in' and 'Buddy' systems, location mapping, active and passive monitoring and/or other means of ensuring an individuals safety. 4. Conflict resolution & Personal Safety training sessions provided 5. Zero tolerance policy against violent, abusive and threatening behaviour -	1	5	5	1. Revie w take up of trainin g.	Chair of ETE Strategic Health and Safety Group	Apr-15		G
H&CI 8 Previously ETERR25 (relates to CRR25)	Highways and Community Infrastructure	Failure to effectively transfer from a Leader/Cabinet model to a Committee System	1. Lack of change management process 2. Failure to inform/train members and key officers in the new governance arrangements	1. The Council is unable to undertake its business in an effective manner 2. Reputational damage to the Council	4	4	16	Executive Director, ETE	1. Training programme developed for ETE committees including Business Planning process 2. Reviewed Terms of Reference for ETE Committees 3. Scheme of authorisation for ETE in place 4. Agenda Plan and process for scheduling papers in place and reviewed at	2	4	8	Remo ve risk or rewor d to				