

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	Description	Action Owner	Target Date	Revised Target Date	Action Status
CR30 (Previously H&CI 6/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 savings opportunities from waste contracts c) manage operational risk of unforeseen contractual events	Savings not delivered and potential increased costs leading to significant budget pressures.	4	5	20	Service Director, Infrastructure Management and Operations	1. Strong contract management and close working with legal and procurement to reduce unforeseen costs where possible. 2. The existing contract is in service delivery phase - the protection that is provided by the contract terms and conditions is in place. 3. Officers working closely with Department for Education, Food and Rural Affairs, Waste Infrastructure Delivery Programme, Local Partnerships, Waste Operational Savings Programme and other local authorities 4. The contract documentation apportions some risks to the contractor, some to the authority and others are shared. 5. Clear control of the risk of services not being delivered to cost and quality by levying contractual deductions and controls if the contract fails or issues arise. 6. During the procurement process, the authority appointed a lead to negotiate risk apportionment. The results of the negotiation relating to financial risk are captured in the Payment Mechanism (schedule 26) and Project Agreement that form part of the legally binding contract documentation.	3	5	15	2. Local Partnership Programme Manager to propose any amendments to the council's contract management arrangements. 5. Identify training requirements and deliver training to contract management team in Head of Assets & Commissioning to ensure the service is delivered in accordance with the contract 6. Continue close working with Department for Education, Food and Rural Affairs, Waste Infrastructure Delivery Programme, Local Partnerships, Waste Operational Savings Programme and other local authorities on specific issues identified through initial financial and legal reviews to resolve legacy issues with contract 7. Prepare the contract management team to ensure all requirements of the contract are delivered to time and cost 8. Review contractor's self-reporting to ensure that failures are reported and the relevant deductions made Legacy issues resolved	Head of Assets & Commissioning	Dec-15		G
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	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. ETE Mass messaging list in place to ensure ETE Managers & Key Officers can be easily reached in an emergency situation	4	3	12	1. ETE BCP to be updated, including new Business Impact Assessment and Risk Assessment templates and approved by Management Team 2. Desktop exercise to be planned & delivered	Head of Policy and Business Development/ Economy, Transport	Aug-15 Dec-15	Apr-16 Apr-16	G G
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 Comprehensive Spending Review. 4. Worsening Pension	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 Councillor engagement 2. Robust engagement with members of Corporate Leadership Team (CLT) and Councillors 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 Councillors 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	2. Directors and Heads of Service identifying options to meet savings targets, taking into account the revised corporate approach.	Executive Director,		Dec-15	G
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 Committees covering ETE activity. Additionally there is more detailed regular monitoring and reporting through performance reports to Directorate Management Teams. 5. Strengthened governance framework to manage transformation agenda, a. Integrated portfolio of programmes and projects, b. Routine portfolio review to identify and address dependencies, cross cutting opportunities and overlaps, c. Directorate Management Teams/Programme Governance Boards to ratify decisions 6. Rigorous risk management discipline embedded in all transformation programmes/projects, with escalation process 7. Integrated performance and resource reporting; a. Monthly progress against savings targets, b. Budget holders monthly meetings with LGSS Finance Partner/External Grants Team, producing BCR, c. Regular meetings with Director of Finance/s151 Officer, Committees and relevant Directors to track exceptions and identify remedial actions 8. Limited reserves for minor deviations 9. Routine monitoring of savings delivery to identify any required interventions 10. Financial monitoring enables budget pressures to be quickly identified 11. Regular meetings with Financial Advisers 12. Business Managers to identify efficiencies and act promptly. 13. Monitoring of income against targets to ETE Management Team and Directorate Management Teams. 14. Detailed reporting on income monitoring reported to Directors Management teams.	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 6. ETE representation at the Digital Delivery Group, the operational group that feeds into the Digital First Board	2	3	6	1. IT Service-level agreement documents being gathered ready for sharing on SharePoint 2. Implementation of the Business Case template for all IT projects	Head of Policy and Business Development	Jun-15 Jun-15	Dec-15 Dec-15	G G
H&CI 5 Previously ETERR9	Highways	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 recruit	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 7 Previously ETERR16	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 - signage and guidelines available via CamWeb. 6. ETE Strategic Health and Safety Group	1	5	5	1. Review take up of training.	Chair of ETE Strategic Health and Safety Group	Sep-15	Feb-16	G
H&CI 10	Highways and Community	Operational knowledge / skills lost (permanently or temporarily) as a result of Supporting Business and Communities	Staff absence due to permanent or temporary changes i.e. sickness, secondment, maternity	Inability to meet our statutory requirements or our service	4	2	8	Service Director, Infrastructure	1. A skills matrix which identifies key skills for the service and the individuals with those skills thereby highlighting any gaps or weak areas to be addressed through training monitoring and development. 2. Future requests for secondment and development opportunities to be considered alongside service planning priorities. 3. Key roles and responsibilities to be carried out on a rota basis to enable cross skilling and sharing of knowledge and experience.	3	2	6	1. Contract out or make use of shared resources with other teams, departments or external contacts to benefit from efficiencies of scale.	Head of Supporting Business and Communities	Apr-16		G

	Infrastructure	restructure which impacts on our ability to deliver priority outcomes or operate effectively or efficiently.	secondment, maternity leave, career progression or leaving the authority.	planning priorities.				Management and Operations	4. Resource issues to be reviewed regularly at joint SBCMT/LOG meetings. 5. Improved use of electronic document management, including naming/filing conventions for easy search and identification of key documents. 6. Project and campaign documents to follow a standard structure, allowing others to pick up work in progress as a result of unexpected absence. 7. For identified skills gaps, development needs to be identified and driven through effective use of PDPs 8. Where appropriate realign our service planning and resources to deliver against the key priorities										
H&C11	Highways and Community Infrastructure	Failure to deliver the Library Service Transformation	Inability of the organisation to make timely decisions in the light of financial challenges	Failure to deliver service savings	4	4	16	Service Director, Infrastructure Management and Operations	1. Regular engagement with Members through meeting with HCI Spokes where Library Transformation to be a regular agenda item. 2. Engagements with staff and public 2. Relevant engagement with staff and public	3	4	12	1) Appropriate steps taken to mitigate actions likely to cause reputation risk such as judicial review 2) Transparent decision making clearly communicated with communities 3) Thorough and ongoing community consultation and engagement 4) Consistent communication with all staff involved	Head of Community and Cultural Services Head of Community and Cultural Services Head of Community and Cultural Services Head of Community and Cultural Services	Apr-16 Apr-16 Apr-16 Apr-16	 	 	 	
H&C12	Highways and Community Infrastructure	Failure to implement the Highways Service Transformation	Failure to deliver the necessary service outcomes	Customers unsatisfied, savings not delivered, service inefficient and in effective, relationship ineffective.	4	4	16	Service Director, Infrastructure Management and Operations	Working with the LGSS procurement and legal team, members, cross services and external support to mitigate risk.	3	4	12	Maintain programme and communications	Head of Assets & Commissioning	Apr-17				

VERY HIGH (V)	5	10	15	20	25
HIGH (H)	4	8	12	16	20
MEDIUM (M)	3	6	9	12	15
LOW (L)	2	4	6	8	10
NEGLIGIBLE	1	2	3	4	5
IMPACT LIKELIHOOD	VERY RARE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY