

STRATEGIC RISK REGISTER

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Ref	The Threats: What can happen How it can happen	Category of Risk	Inherent Score	Mitigation	Residual Score / Impact Level	Risk Acceptable or further action needed to reduce it	Owner Member/ Officer	Contingency / Action Plan ref
16	Failure of Financial Management	Operational	25	<ul style="list-style-type: none"> Financial Regulations & Contract Standing Orders Appropriately Trained Staff & members Segregation of duties Robust Financial management system Reporting regime Insurance 	19 Most Severe	Risk acceptable subject to mitigations remaining in force and valid	JP/SB	<ul style="list-style-type: none"> Emergency meeting of SMG to take control of situation involving S151 or deputy
24	Failure to plan corporately – ISFP	Change	24	<ul style="list-style-type: none"> ISFP Process in place Reporting & Monitoring Scrutiny Strong financial position SMG Review Corporate Plan Resource planning Capacity planning Further review of ISFP to better match outcomes & Capacity 	18 Major	Risk acceptable but can be mitigated further by continuous improvement of existing mitigations	JP/SB	<ul style="list-style-type: none"> Continued focus by SMG and improved engagement of wider Members and Officers. Revise Corp Planning Process Timetable. Service Plan <ul style="list-style-type: none"> finance Audit, PM & ICT
25	Failure to achieve overall VVP package; Failure to achieve budget reductions required for MTFP; Failure to achieve a Sharper Commercial Focus.	Change	24	<ul style="list-style-type: none"> Assigned member & director responsibilities to achieve Planned & Monitored regularly Spread of risks with multiple projects Regular monitoring of progress on VVPs Corporate Commitment Taking external advice Monitoring progress by SMG Internal Audit Report 	14 Major	Risk acceptable subject to mitigations remaining in force and valid	JP/SB	<ul style="list-style-type: none"> Identify alternative budget savings to meet MTFP requirement. Revise Procurement Strategy & Processes; Agree Shared Services initiatives;

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15	Recruitment & retention of key staff	Operational	23	<ul style="list-style-type: none"> Market Premia policy Training programmes IIP Working environment Specialist Personnel Committee(PRAC) responsible for establishment Joint Consultative Committee Staff Consultative Advisory Group Flexible working Reviewed suite of HR policies & Procedures "Working at the Vale" SPP Pensions 	17 Moderate	Risk acceptable subject to mitigations remaining in force and valid, and actions plan being completed	JP/TAS	<ul style="list-style-type: none"> Pay & Workforce Strategy Conclude pay & grading implementation (Competency bars)
19	Major IT Failure	Operational	23	<ul style="list-style-type: none"> Anti virus software Distributed systems Disaster recovery plan Back ups maintained off site Manual system back ups Effective user training 	13 Moderate	Risk acceptable subject to mitigations remaining in force and valid	RS/SB	
12	Major Health & Safety incident	Operational	21	<ul style="list-style-type: none"> Health & Safety Management Group H&S Procedures – addressed at every service area Reports to Executive Specialist H&S Advisor Reduced likelihood of negligence through procedures Insurance DDA Policy 	9 Moderate	Risk acceptable subject to mitigations remaining in force and valid	JP / TAS	

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18	Poor Communication with stakeholders and staff	Operational	21	<ul style="list-style-type: none"> Resource Posts Communication Strategy Internal & External Newspapers Membership on outside bodies Network contacts 	13 Moderate	Risk acceptable subject to mitigations remaining in force and valid, subject to actions being implemented.	JP / TAS	<ul style="list-style-type: none"> Appointment of communications staff Implementation of consultation & communications strategy
20	Political Instability	Operational	21	<ul style="list-style-type: none"> Constitution Annual Budget statement provides over view of medium term direction Key issues list reported & monitored by Executive SMG – to ensure clarity & positive relationships between members & officers 	13 Moderate	Risk acceptable subject to mitigations remaining in force and valid	JP/TAS	<ul style="list-style-type: none"> Clear Corporate Plan & MTFP
22	Failure to manage major projects effectively	Change	21	<ul style="list-style-type: none"> Project Management methodology Contract Standing Orders & Financial Regulations 	18 Major	Risk acceptable subject to mitigations remaining in force and valid, subject to actions being implemented.	JP/SB	<ul style="list-style-type: none"> Service Plan – Audit, PM & ICT
4	Changes arising from Central Government Legislation/ EU	External	23	<ul style="list-style-type: none"> LGA membership – spot things coming over horizon County networks to deal with changes Resourcing reports done once change is identified Financial strength Reserves 	12 Minor	Risk acceptable subject to mitigations remaining in force and valid	JP / DMQ	

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6	Failure to address rising public expectations	External	20	<ul style="list-style-type: none"> Communications Community Strategy approach – self help for communities Medium term plan – budget statement Implementation of Community Strategy 	17 Moderate	Risk acceptable subject to mitigations remaining in force and valid, subject to action being implemented.	JP/TAS	<ul style="list-style-type: none"> Implementation of communications and consultation strategies
10	Failure of partners/contractor to deliver services	External	20	<ul style="list-style-type: none"> Selection processes – including financial aspects/contract standing orders Contract process – creation of robust contracts SLAs Local Strategic Partnership – good communication/shared understanding Learning from past experience 	13 Moderate	Risk acceptable subject to mitigations remaining in force and valid	TdV/DMQ	<ul style="list-style-type: none"> Intervention Board formed at senior level to take over service provision. Business continuity
1	Industrial Action impacting on our services	External	18	<ul style="list-style-type: none"> Sound HR Policies Union recognition for internal aspects Business continuity plans 	13 Moderate	Risk acceptable subject to mitigations remaining in force and valid, and subject to action being implemented.	JP/TAS	<ul style="list-style-type: none"> Business Continuity plans need updating
14	Loss of physical infrastructure	Operational	18	<ul style="list-style-type: none"> Business continuity plans Alarm systems ICT Disaster recovery Post room procedures Links to county emergency planning PAT testing 	18 Major	Risk acceptable subject to mitigations remaining in force and valid, and subject to action being implemented.	JM/DMQ	<ul style="list-style-type: none"> Business Continuity plans need updating

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26	Allegations of illegal act by Member/Officer	Reputation	18	<ul style="list-style-type: none"> Standards Committee Comments & Complaints Procedures Code of Conduct Member Induction Register of Interests/Gifts 	9 Moderate	Risk acceptable subject to mitigations remaining in force and valid, and subject to action being implemented.	JP/TAS	<ul style="list-style-type: none"> CEO/Monitoring Officer/Leader & Leader of Oppositions take control of the situation Prepare Communication Procedure
7	Major External Natural or Deliberate Disaster	External	15	<ul style="list-style-type: none"> Emergency plan Practises with the County & emergency services 	6 Moderate	Risk acceptable subject to mitigations remaining in force and valid	JP/TAS	<ul style="list-style-type: none"> Emergency Plans
9	Failure of external institutions affecting financial position	External	15	<ul style="list-style-type: none"> Policy re maximum levels – limits liability Credit ratings Financial management Reserves 	6 Moderate	Risk acceptable subject to mitigations remaining in force and valid	RS/SB	
2	Poor Media Relations	External	13	<ul style="list-style-type: none"> Issue regular media releases Network with press Media invited to events Openness 	5 Minor	Risk not mitigated actions to be implemented	JP/TAS	<ul style="list-style-type: none"> Implementation of corporate communications strategy Profile to be raised
17	Failure of Operational Management	Operational	13	<ul style="list-style-type: none"> Recruitment & retention of properly qualified and trained staff Service plans Performance indicators Reactive portfolios Clear management responsibilities ISO procedures Regular monitoring of service plans & performance 	8 Minor	Risk acceptable subject to mitigations remaining in force and valid	JP/TAS	<ul style="list-style-type: none"> Intervention by SMG

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21	External Intervention	Operational	13	<ul style="list-style-type: none"> CPA Assessment completed Improvement Plan Maintain statutory duties 	6 Moderate	Risk acceptable subject to mitigations remaining in force and valid, and subject to action plan	JP / TAS	<ul style="list-style-type: none"> CPA Action Plans
8	Minor External Natural or Deliberate Disaster	External	12	<ul style="list-style-type: none"> Emergency planning Flood defence schemes 	12 Minor	Risk acceptable subject to mitigations remaining in force and valid	JP/TAS	
11	Major Legal Claim against the Council	External	12	<ul style="list-style-type: none"> Standing Orders Financial regulations Insurance Monitoring officer report Understanding of staff for their statutory duties Training programmes 	5 Minor	Risk acceptable subject to mitigations remaining in force and valid	JM/DMQ	<ul style="list-style-type: none"> Legal Fund
3	Loss of major economic player	External	6	<ul style="list-style-type: none"> Economic development strategy Economic buoyancy of SE Economic diversity 	3 Minor	Risk acceptable subject to mitigations remaining in force and valid	JH/TS	
5	Debate starting on Local Government Re-organisation in SE	External	3	<ul style="list-style-type: none"> Nothing 	3 Minor	Risk acceptable	JP / TAS	