

# Corporate Risk Summary

Dated: 3 December 2015

	Risk Area	Owner	Last Qtr	This Qtr	Change	Why the change?	Impact	Possible Causes	Plans to reduce likelihood
			Likelihood						
1	Organisational Sustainability	CE	M		↔	•	<ul style="list-style-type: none"> <li>Abolition</li> <li>Loss of local decision making</li> <li>Excessive and unaffordable expenditure due to demand on services</li> </ul>	<ul style="list-style-type: none"> <li>Ability to manage scale of austerity measures</li> <li>Incorrect care model devised and/or implemented</li> </ul>	<ul style="list-style-type: none"> <li>Change programme</li> <li>Investment in revenue generating activities</li> <li>Clarity of narrative in position and response</li> <li>Determination and implementation of the optimal care model</li> </ul>
2	Political Uncertainty	CE	L		↔	•	<ul style="list-style-type: none"> <li>Variations to priorities</li> <li>Ambitions not realised</li> <li>Financial impact of change</li> <li>Destabilising relationship between members and officers</li> <li>Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>Elections</li> <li>Relationships</li> <li>Actions of individual or group have negative impact</li> <li>National policy changes</li> </ul>	<ul style="list-style-type: none"> <li>Leaders Advisory Group</li> <li>Regular joint meetings</li> <li>Communication and engagement with members</li> </ul>
3	Safeguarding Children	JG	M		↔	•	<ul style="list-style-type: none"> <li>Preventable Injury or death</li> <li>Standard of care suffers</li> <li>Reputational damage</li> <li>Challenge/change to delivery arrangements</li> <li>Potential damages</li> <li>Loss of public and member confidence</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment/retention of skilled staff</li> <li>Inadequate processes</li> <li>Error</li> <li>IT limitations</li> <li>Inadequate supervision</li> <li>Inherently unpredictable client behaviour</li> </ul>	<ul style="list-style-type: none"> <li>Workforce development</li> <li>Audit and evaluation</li> <li>Cross council work on CSE</li> <li>Increased supervision/oversight</li> <li>Service Improvement plans</li> </ul>
4	Failure/unavailability of business critical IT system / Disclosure of personal data / Loss of data	SM	M		↔	•	<ul style="list-style-type: none"> <li>Service disruption</li> <li>Serious safeguarding issue</li> <li>Financial cost / damages</li> <li>ICO Prosecution (and fine)</li> <li>Reputational damage with loss of public and member confidence</li> </ul>	<ul style="list-style-type: none"> <li>Inadequate processes</li> <li>Error</li> <li>Malicious action</li> <li>Transition from Capita</li> <li>Lack of understanding of system criticality relating to vulnerable people</li> </ul>	<ul style="list-style-type: none"> <li>Data/system inventory</li> <li>System maintenance</li> <li>Preventative controls</li> <li>Data back-up regime and testing</li> <li>Training / guidance</li> <li>Personnel procedures</li> </ul>
5	Major Unplanned expenditure	SM	L		↔	•	<ul style="list-style-type: none"> <li>Financial cost</li> <li>Consequential impact on other areas</li> </ul>	<ul style="list-style-type: none"> <li>Emergency</li> <li>Government initiative</li> <li>Migration</li> </ul>	<ul style="list-style-type: none"> <li>Budget contingency</li> <li>Reserves</li> </ul>
6	Health & Safety	CE	M		↔	•	<ul style="list-style-type: none"> <li>Injury or death</li> <li>HSE prosecution</li> <li>Financial impact (damages/costs)</li> <li>Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>Lack of awareness</li> <li>Lack of care</li> <li>Inadequate training</li> <li>Equipment failure</li> </ul>	<ul style="list-style-type: none"> <li>Address OHSAS inspection</li> <li>Training</li> </ul>

		Last Qtr		This Qtr					
	Risk Area	Owner	Likelihood		Change	Why the change?	Impact	Possible Causes	Plans to reduce likelihood
7	Emergency management Business continuity Disaster recovery	CE	L		↔	•	<ul style="list-style-type: none"> <li>• Loss of key systems/services</li> <li>• Disjointed response</li> <li>• Financial consequences</li> <li>• Reputational damage</li> <li>• Loss of public confidence</li> </ul>	<ul style="list-style-type: none"> <li>• Inadequate training</li> <li>• Poor planning or implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Updated EPRR plan</li> <li>• Improved response capability</li> </ul>
8	Governance	ST	L		↔	•	<ul style="list-style-type: none"> <li>• Non-compliant with legislative and statutory obligations</li> <li>• Successful legal challenge</li> <li>• Financial consequences / additional costs</li> <li>• Loss of public and member confidence / Reputational damage</li> <li>• Partnership / Commissioned service collapse leading to service disruption / critical service not delivered</li> </ul>	<ul style="list-style-type: none"> <li>• Legislative changes</li> <li>• Poor advice</li> <li>• Inability to transfer risk</li> <li>• Lack of oversight/visibility</li> <li>• Staff not understanding impact of devolved delivery</li> <li>• Financial and demand pressures / Resource constraints</li> </ul>	<ul style="list-style-type: none"> <li>• Retention of skilled staff</li> <li>• Staff training</li> <li>• Staff deployment</li> <li>• Robust contracting system</li> </ul>
9	Highways and Transport	BB	M		↔	•	<ul style="list-style-type: none"> <li>• Real or perceived unacceptable levels of congestion</li> <li>• Complaints</li> <li>• Loss of public confidence</li> <li>• Pressure from members</li> </ul>	<ul style="list-style-type: none"> <li>• Upgrading infrastructure</li> <li>• Improving capacity</li> </ul>	<ul style="list-style-type: none"> <li>• Recognising conflicts</li> <li>• Improved communications to users</li> <li>• Traffic monitoring</li> </ul>
10	Achievement of Vision	CE	L		↔	•	<ul style="list-style-type: none"> <li>• Loss of key businesses</li> <li>• Inability to attract inward investment</li> <li>• Reduced income from business rate</li> <li>• Needs of community and stakeholders not met</li> <li>• Increased demand on fewer resources</li> </ul>	<ul style="list-style-type: none"> <li>• Inadequate schools</li> <li>• Results at KS4</li> <li>• Recruiting difficulties</li> <li>• Inability to maximise geographic advantage</li> <li>• Lack of community capacity</li> <li>• Lack of infrastructure planning</li> <li>• Rate of growth</li> </ul>	<ul style="list-style-type: none"> <li>• Improvement plans for failing schools</li> <li>• Targeted interventions</li> <li>• Contribute to SWLEP plan</li> <li>• Partnership with Teaching Schools Alliance</li> <li>• New Eastern Villages (NEV)</li> <li>• Major Projects Team</li> </ul>