

RISK REGISTER
(Report by the Head of Financial Services)

1. INTRODUCTION

- 1.1 A copy of the risk register was presented to the September meeting of the Panel. Members will recall that the Risk Management Strategy requires the Panel to receive reports and decide upon the action to be taken for all mitigated risks that, should the risk materialise, would have a disastrous impact on the council, its reputation or business continuity.
- 1.2 This report demonstrates the progress being made with assessing these risks by providing a form for each of the 'red' risks currently on the register (Annex A).
- 1.3 It also proposes a modification to the strategy on how decisions on these risks should be dealt with.

2. RISK TREATMENT OPTION FORMS

- 2.1 Heads of Service with ownership of the 'red' residual risks have considered the options available to further mitigate these risks. Actions proposed are listed in priority order within each option form. Members will note that in a number of cases no further action is currently proposed.
- 2.2 These risk option forms have yet to be considered by the Risk Management Group and in some cases by other Heads of Service also affected by the risk or proposed action. Once this has been undertaken the forms will be updated.

3. CHANGE TO THE PROCESS

- 3.1 The Panel's responsibility in Risk Management is to ensure that a robust system is in place and working effectively. It is therefore good practice for the Panel itself to not be a part of the process that it is itself reviewing. It is therefore proposed that decisions on the degree of further mitigation to be taken on "red" risks be taken by the Cabinet who anyway have the responsibility for service delivery. Annex B shows the resultant changes to the Strategy.

3. RECOMMENDATION

It is recommended that the Panel:

- Note the progress being made on dealing with these risks
- Agree the changes to the Strategy attached at Annex B.

BACKGROUND INFORMATION

Risk Register

Notes of meetings with Senior Managers

Risk Management Group papers

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ANNEX A

STATUS OF VERY HIGH (RED) RISKS

	Risk	Current Position
1	Service recovery and/or business continuity plans are inadequate resulting, over both the short and medium term, in the Council's inability to provide an appropriate service.	Risk treatment option form attached. Bid already included in draft MTP for improving IT resilience. Will reduce risk to "High" if implemented. Form still to be considered by Risk Management Group and any other relevant Heads of Service
2	The Council, as a partner to the Leisure Centre Joint Agreements, does not ensure that agreements are regularly reviewed resulting in additional costs falling on the Council.	Original risk has been reviewed and amended. Risk treatment option form is being developed. Amended Risk : Residual: High The County Council decides it does not wish to renegotiate a Leisure Centre agreement at the end of its term resulting in financial cost and/or reduction in service provision.
3	A major civil emergency occurs and the Council is not prepared for it (Rest Centres)	Original risk has been reviewed and requires amendment.
4	Public injury, illness or property damage is caused from inadequate maintenance of trees and/or poisonous plants, damaging our reputation and increasing expenditure.	Risk treatment options have been identified in respect of Leisure Services. Work still to be completed to expand the options and assessment Council wide.
5	A incident occurs at a Leisure Centre which requires services to be halter or dramatically reduced.	Original risk has been reviewed and amended. New Risk : Residual: Very High A member of the public is seriously injured or killed whilst visiting or using Leisure Centre facilities due to the Council not providing, a safe environment, or its staff with sufficient and adequate training. Risk treatment option form attached, completed on the basis that no further mitigation is practical Form still to be considered by Risk Management Group and any other relevant Heads of Service
6	Information or data is lost leading to an inability to provide an appropriate service or respond to requests for information.	Risk treatment option form attached. Able to reduce to "High" within additional resources. Form still to be considered by Risk Management Group and any other relevant Heads of Service

Risk	Current Position
7 Users of the Leisure Centres are put at risk due to the employment of staff who are unsuitable to work with vulnerable people.	<p>Risk treatment option form attached, completed on the basis that no further mitigation is practical</p> <p>Form still to be considered by Risk Management Group and any other relevant Heads of Service</p> <p>Original risk has been reviewed and amended.</p>
8 The Council is capped requiring long & short term reductions in services to be made.	<p>The Council is not accurate enough in its assessment of the Government's Council Tax/budget requirement capping level resulting in the Council being capped or setting its Council Tax at a figure significantly below the capping level resulting in the need for additional temporary or permanent service reductions.</p> <p>Risk treatment option form attached, completed on the basis that no further mitigation is practical.</p> <p>Form still to be considered by Risk Management Group and any other relevant Heads of Service.</p> <p>Original risk has been reviewed and amended.</p>
9 Staff are involved in accidents which leads to increases in sickness absence and the inability of the Council to deliver services or meet targets.	<p>Form still to be considered by Risk Management Group and any other relevant Heads of Service.</p> <p>Original risk has been reviewed and amended. Risk treatment options forms are being developed.</p> <p>Amended Risk A : Residual: Medium Sickness and other absence is not sufficiently monitored and controlled resulting in a loss of resource to the Council and a consequent reduction in service provision and/or inability to meet targets.</p> <p>Amended Risk B : Residual: Medium Staff are involved in accidents resulting in a loss of resource to the Council and a consequent reduction in service provision and/or inability to meet targets.</p>
10 ICT Security is breached causing both the loss of data and a loss of trust in the reliability of the data being held.	<p>Risk treatment option form attached. Reduce to "High" if fire suppressant system fitted.</p> <p>Form still to be considered by Risk Management Group and any other relevant Heads of Service.</p>
11 A member of the public or an employee of the Council is seriously injured or killed due to the Council not providing its employees with either a safe working environment or sufficient and adequate training with regard to the tasks that it requires to be carried out.	<p>Risk treatment option form attached, completed on the basis that no further mitigation is practical.</p> <p>Form still to be considered by Risk Management Group and any other relevant Heads of Service.</p>

Risk

- 12 A decision is taken contrary to legislation, statutory guidance or the Council's own policy & procedures that is successfully challenged, resulting in additional financial costs, reputation harm and reductions to service delivery.

Current Position

The original residual risk scoring has been reviewed and amended, removing the risk from the "Very High" category.