

Report to: Audit Governance and Improvement Review Committee
Date: 29th January 2009
Subject: Business Support Services Department – Risk Register
Report of: Executive Director of Business Support Services
Contact officer: Martyn Kenyon 2550

Purpose / summary: To provide members with the opportunity to contribute to the Department's Risk Register

Alternative options considered and reason for selecting the one recommended: None – this forms part of the Councils Performance Planning framework.

Recommendation / decision: Members be invited to comment on the Risk Register as presented.

Key Decision: This report does not involve a key decision.

Risks / Implications:

Financial: None directly but the process assists with avoiding major problems and achieving a “right first time” approach to delivering our services

Staffing:

Policy:

Equal Opportunities - Has a Diversity Impact Assessment been conducted?

None required

Wards affected:

Property – Does the proposal involve a reduction, addition or change to the Council's asset base or its occupation?

No

Does this proposal have significant implications for the Council and the local

population?

A diversity impact assessment is not necessary at this stage, however, equality and diversity implications have been considered when producing this report.

Does this proposal involve a new policy or procedure or significant changes to an existing policy or procedure?

A diversity impact assessment is not necessary at this stage, however, equality and diversity implications have been considered when producing this report.

Has the Service Director - Legal Services confirmed that the recommendations within this report are lawful and comply with the Council's Constitution? **N/A**

Has the Service Director – Corporate Services confirmed that any expenditure referred to within this report is consistent with the Council's budget? **N/A**

Are any of the recommendations within this report contrary to the Policy Framework of the Council? **No**

* delete which applicable

For Cabinet reports only :

Categorisation of the report:	x
Discussion leading to a decision	
Monitoring	
Sharing for corporate understanding	

	x
Discussion	
Decision	
Information	

Tracking/Process:

	Consultation	Ward Members	Partners
Panel	Overview & Scrutiny	Cabinet	Council

There are no Background Papers to this Report within the meaning of Section 100D of the Local Government Act 1972.

Proper Officer David Smith

Date 19th January 2009

Business Support Services (BSS) - Departmental Risk Register

1. Introduction

Risk registers are prepared to ensure risks are properly identified and effectively managed. They are compiled at both operational (departmental) and strategic levels to enable risks to be managed by the relevant people and at the appropriate level.

They provide a major platform for the planning process as they provide a clear link between the risks identified and the actions needed to manage or mitigate those risks.

The BSS Risk Register has been compiled from the registers relating to the previous Finance & IT department and Legal and Property Services Department. Other areas such as People Services and Organisational Development have been added along with a range of risks not previously identified in this format.

It provides a departmental overview of those **generic** risks which apply to all the divisions within the department – mainly relating to business continuity issues, along with a separate view of each division to ensure the specific issues are captured.

It also includes a guidance page to ensure the risk ratings are applied consistently within each division and also across the Council as the same guidance applies to all risk registers.

2. Specific Issues.

To provide an overview of the types of issues recorded, the following table sets out some of the key risks identified across the department. Further details of the risk ratings, the mitigating actions and the residual ratings are provided within the register

Division	Key Risks
All (generic risks)	Loss of systems, data, accommodation, key suppliers, key staff. Changes to structures and processes. Fraud / corruption Equality and Diversity issues Health and safety Issues
Finance	Ineffective financial management, failure to achieve statutory deadlines for budgets and final accounts, creditor payment problems, introduction of International reporting standards (IFRS), treasury management issues, HMRC compliance
IT Services	Security issues, virus infection, system failure,
Property Services	Property availability, security, maintenance, arson
Revenues and Benefits	System replacement, income collection, data security, fraud
People Services	Job Evaluation, attendance management, payroll failure, system replacement, unification of service
Legal Services	Child protection services, litigation against the council, unlawful actions,
Chief Execs services	Ineffective workforce development,
Audit and risk management	Poor quality service, increased external audit fees, ineffective response to a major incident, increased insurance costs

Systems and processes are in place to manage these and the other risks identified within the risk register. Those areas where specific actions are needed in order to improve the way in which a particular risk is managed, the department's improvement plan will capture the work needed and provide a means of monitoring that the intended work is actually achieved

However, due to the changing nature of the organisation and the environment in which it operates, risk registers are always a "*work in progress*". Members are asked to consider the risks identified and the associated actions and any further suggestions can then be incorporated as the register is taken forward.

The Improvement Plan will be reported to a future meeting of this committee.

3. Recommendation

Members be invited to comment on the Risk Register as presented.

ref	Division	Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Responsible Officer	Assessment Frequency	Assessment Monitoring	Residual Risk - Severity of Impact	Residual Risk - Likely Frequency	Remedial Action Prompted By	service plan	Internal audit plan
	Business Continuity:															
BSS Gen1	All	Departmental & Corporate	Access to buildings restricted or denied	Access denied by damage (accidental or malicious), Industrial Dispute	quality & timeliness of service delivery, loss of key data. Inability to meet legislative & performance requirements reduced/lost accreditation	H	L	Property BCM arrangements, Corporate Landlord arrangements, Central Watch alerts Smoke detectors/alarms Risk assessments Out of hours security cover. Lightning conductors. Development of home working	respective DMT member(s)	Ongoing	DMT	M	L	Event	Y	Y
BSS Gen2	All	Corporate	IT & communication system failures	Key systems failure. Supplier failure	Reduced quality & timeliness of service delivery loss of key data. Inability to meet legislative & performance requirements, reduced/lost accreditation	M/H	M	Supplier - contract conditions for performance & availability Compliance with standards. Lowton Back up site, off site storage, contingency telephone arrangements Sunguard arrangements, Business Continuity Plans, IT security policy.	respective DMT member(s)	Daily	All users	M	L	Event	Y	Y
BSS Gen3	All	Departmental & Corporate	Loss of key suppliers or their sub contractors/supply chain partners	Suppliers go out of business, sell business, lose key staff, suffer damage (natural, malicious, accidental etc.)	quality & timeliness of service delivery loss of key systems & data. Inability to meet legislative & performance requirements reduced/lost accreditation additional costs & financial losses	M/H	H	Financial vetting of suppliers. Validation of Suppliers' disaster recovery/contingency plans. Establish alternative suppliers/facilities. Reciprocal arrangements, use of own staff if expertise etc. available.	respective DMT member(s)	Monthly	DMT Financial Press Dun & Bradstreet	L	L	feedback, market intelligence	Y	
BSS Gen4	All	Departmental & Corporate	Loss of vital services - power, water, heating	General Work carried out by Utility Contractors	Inability to use building or IT facilities, Disruption to normal working and delivery of time critical services (e.g payroll) demotivation of staff. Loss of key data & work needing to be done again. Health & safety issues (water)	H	M	Property BCM arrangements, UPS for central computing use of other building facilities (water etc.) if available Homeworking	respective DMT member(s)	Ongoing monitoring of contractors	DMT	M	M	Event	Y	Y
BSS Gen5	All	Departmental	Loss of key data / records	arson, flood damage, virus infection, loss or theft	Service interruption, time / expense of re-creation of records, prosecution, loss of credibility	M/H	M/H	Backup arrangements for electronic records, policy re personal data on laptops, fireproof storage for legal records	respective DMT member(s)	monthly	DMT	M	M/H	identification of specific risks	Y	Y
BSS Gen6	All	Departmental	Key / major staff loss	Flu Pandemic, Prolonged sickness absences, Retirement, leaving WMBC employment	Impact on service delivery/project completion, Cost of temporary cover/backfilling, Stress / Pressure on remaining staff, Loss of expertise/experience, reduced/lost accreditation, reduced morale	H	M	Risk assessments and action plans, Sickness absence management EDR, Succession planning, Training & awareness, Recruitment & retention policies, Monitoring reports and performance measurement, Financial Services Framework agreement	respective DMT member(s)	Weekly	DMT	H	M	Event - EDR, sickness absence/ notice etc.	Y	

BSS Gen7	All	Departmental & Corporate	Unscheduled / unforeseen additional work impacting upon Departmental capacity.	Demand generated by other Departments or Partners - (eg GM Fire, Housing, Leisure Trust) legislative requirements, system implementation requirements	quality & timeliness of service delivery Inability to meet legislative & performance requirements reduced/lost accreditation inability to respond to partner organisation/dept	M	L	Planning Communication with other Departments Project management Risk assessment SLA's marketing services	respective DMT member(s)	Weekly	DMT	L	L	Event		
BSS Gen8	All	Departmental & Corporate	Professional misjudgement of critical business issue	Incorrect business decision leading to financial loss -- VAT penalties or breaching threshold, borrowing/investment /budget forecasting errors Insurance requirements estimating income/Council tax base/grant & subsidy entitlements	Financial Loss loss of accreditation and reduction in CPA / CAA scoring failure to meet legislative requirements, performance standards, loss of reputation and integrity	H	M	Training and qualification of key staff Supported decision making (checklists, independent proofing & documentation) Reporting of critical business decisions Filling/Covering key vacancies, Use of professional consultancy support	DMT	As event occurs	DMT	M	M	event	Y	
BSS Gen9	All	Departmental & Corporate	Organisational Remodelling	Changes to organisational structures impacting upon service delivery arrangements	Reduction in quality of services provided, staff morale and increased uncertainty. Weaker internal controls, increased potential for fraud, budget overspends etc, reduction in CPA/CAA rating	H	M	Involvement of Senior BSS staff in SSR process, in Business Process Re-engineering and in updating the Constitution. Formal Governance arrangements ??	DMT members	monthly	DMT	H	M	ongoing	Y	Y
BSS Gen10	All	Departmental & Corporate	Equality & Diversity	compliance with statutory requirements and best practice	failure to achieve Equality Standard, employment tribunals, reputational damage	M	L	Departmental working group, service plan	DMT	monthly	DMT	L	L	event	Y	
BSS Gen11	All	Departmental & Corporate	External Assessments	compliance with statutory requirements and best practice	Failure to improve processes or reduction in standards leading to reduction in service quality and in CPA / CAA rating	H	M/H	Departmental working group,	DMT	monthly	DMT	H	M	ongoing	Y	Y
BSS Gen12	All	Departmental & Corporate	Fraud	Internal/external fraud & corruption	Financial loss damage to reputation and system integrity CPA assessment downgrade	M	M	Audit Governance & Improvement Review Committee, Internal control systems, budget monitoring, Anti-fraud and corruption policy statement. Financial and Contracts Procedure Rules, Constitution, Codes of conduct. Employee protocol. Whistleblowing policy. Code of Corporate Governance, Annual Governance Statement, Prosecution policy. Internal Audit. External Audit. Verification Framework.	DMT members	Annual review of policies	DMT/Internal Audit/Monitoring reports/Reconciliations/internal control & check arrangements in place	L	M	internal /external audit recs, event		Y

BSS Gen13	All	Departmental & Corporate	Government legislative & policy changes	Structural re-organisation of local authorities. Functional responsibility changes. Balance of Funding recommendations - effect on CT & Benefits admin. Euro changeover	Disruption of service delivery and performance standards Need to reduce costs, release staff & resources, take on new staff, resources buildings & systems, need to amend or replace systems to ensure compatibility and new outputs	H	L/M	Planning & Intelligence gathering on Government policy statements CIPFA Euro Forum & Treasury Euro changeover publications LGA bulletins	Exec Dir BSS and DMT	Quarterly	DMT	L	L	intelligence-led		
BSS Gen14	All	Departmental & Corporate	Failure to achieve prescribed standards and targets, timetables, performance Indicators	Not meeting statutory performance standards (eg for BSS - Budget and Final Accounts deadlines, H.Benefits Performance standards, Collection Targets, Statutory Audit Standards (for Internal Audit/BV work)	Qualification of Accounts impact on CPA/CAA assessments Loss of Benefit initiative funding/levy of penalties Adverse external Audit /Inspectorate criticism potential additional audit fees	H	M	Detailed actions plans Regular monitoring of progress Taking necessary corrective action Quality assurance work GM Benchmarking & sharing best practice with AGMA / professional peer groups Training / seminars to keep up to date, advice from Audit Commission	SD Corp	Weekly monitoring of action plans	DMT	M	M	monitoring process	Y	Y
BSS Gen15	All	Departmental	Health and safety issues	Injuries or assaults on staff	HSE prosecution, Damage to reputation, financial penalties, compensation, loss of morale	M/H	M	Risk assessments, lone worker protocols	respective DMT member(s)	Quarterly	BSS H&S committee	M	L	H&S committee instructions		

BSS Risk Register

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BSS Fin1	Finance	Corporate	Financial Management	Reduced quality of strategic financial management	Adverse impact upon financial planning, funding of services, levels of balances, CPA (UoR) assessment	H	M/H	Reorting to Cabinet on Medium Term Financial Strategy, Budget report, final accounts, budget monitoring, capital strategy	Dir of BSS, SD-Corp Servs	Monthly / quarterly / annually	Cabinet, SMT, Audit, Governance & Improvement Review Cttee	M	M	Reduced UoR scores, External Audit commentary		
BSS Fin2	Finance	Departmental & Corporate	External economic & political factors	Effect of national /global economic performance on interest rates and inflation. Changes in Government.	Financial loss (treasury management functions). Threat to budget stability and forecasts. Damage to reputation	H	M	Market monitoring, vetting of financial institutions, annual reporting to members on TM performance and policy	SD-Corp Servs	Quarterly reviews + daily intelligence gathering as appropriate	DMT	M	L	Event		
BSS Fin3	Financial Services	Corporate	Financial Loss	Failure to submit correct, complete or timely Grant claims (Revenue)	Financial Loss	H	H	Checklist Monitoring Officer External audit meetings Documented procedures	SD-Corp Servs	Dependent on External Audit schedules/grant claims schedules	See Controls	H	M/L	Errors Failure to meet deadline		Y
BSS Fin4	Financial Services	Corporate	Financial Management	Financial Accounts - Incorrect, incomplete, not prepared by statutory deadline, not compliant with IFRS , Risk of qualification	Impact on CPA score Financial Loss Damage to Reputation	H	H	Timetables Checklists Finance Officers Meetings Professional Codes of Practice IFRS project team	SD-Corp Servs	Annual process supplemented by ongoing monitoring (revenue, balance sheet)	Annual process supplemented by ongoing monitoring (revenue, balance sheet)	M	M	System changes Failure to meet new statutory reduced deadlines Problems/Issues arising		
BSS Fin5	Financial Services	Corporate	Financial Loss	Failure to prepare timely Budgets	Capping of Grant, breach of statutory duty,	H	M	Timetables Checklists Finance Officers Meetings Professional Codes of Practice Monitoring Reports, Liaison with external audit	SD-Corp Servs	Quarterly	Monitoring reports to COMT/Cabinet	M	L	Inflation/nationally imposed costs (payawards). Significant unbudgeted expenditure/reduced income. Problems/Issues arising		
BSS Fin6	Financial Services	Corporate	Financial Loss	Incorrect payment of Suppliers	Services withdrawn Litigation, duplicate payments	M	M	PI Monitoring Agreed payment terms Departmental procedures	Head of Financial Servs	Weekly	PI monitoring	L	M/L	Significant PI variance, event , Litigation		Y
BSS Fin7	Financial Services	Corporate	Financial Loss	Non collection of income	Financial Loss	M	M	Recovery policy Benchmarking Targets Weekly activity analysis, performance reporting	Head of Financial Servs	Weekly	Activity analysis	L	L	Significant increase in arrears	Yes	Y
BSS Fin8	Financial Services	Corporate	Financial Loss	Financial Stewardship	Damage to Reputation	M	L	Cash book and bank reconciliations Authorisation procedures Ledger Controls (access)	Head of Financial Servs	Weekly/Monthly	See Controls	L	L	Errors		Y
BSS Fin9	Technical Services	Corporate	Financial Loss	Treasury Management-Borrowing	Financial loss Damage to reputation	H	L	Annual Treasury Policy Statement Approved sources of borrowing In-year opportunities for debt restructuring Potential for long-term borrowing	Head of Financial Servs	Annual Treasury Management Policy Statement	Reviewed quarterly with an annual outturn report.	M	L	Event		Y
BSS Fin10	Technical Services	Corporate	Financial Loss	management of capital - Capital Budget-Shortfall in resources	Financial impact-unplanned support from revenue balances	M	L	Regular monitoring of capital programme "reserve" disposals in land disposal programme Financial regulations Panel monitoring reports	SD-Corp Servs, Head of Financial Servs	Annual Quarterly	Capital Budget Monitoring reports	M	L	Unexpected large scale project with limited scope for immediate cost control e.g burning tips, polluted sites. Identified unsupported spending		Y
BSS Fin11	Technical Services	Corporate	Financial Loss	Capital Grant/Other Resource Losses	Financial Loss	H	M	Project officer aware of arrangements capital monitoring arrangements Grant claim timetables certification process	Chief Officer/ Project Officer HoFS (claim certification)	Continual	Continual	M	M	Failure of partner organisations to deliver on grant related projects where Council is accountable body.		
BSS Fin12	Financial Services	Corporate	Financial Loss	VAT / HMRC liabilities	Financial Loss, penalties, reputational loss	H	H	Tax planning Checklist VAT Manual Monthly meetings (internal) Quarterly meetings with legal and VAT advisors (PWC). Liaison meetings with HMRC	Head of Financial Servs	Monthly Quarterly	Internal Meeting Meeting with legal/advisors	H	M/L	Major capital projects Change in service delivery Exempt VAT over 5%		
BSS Fin 13	Financial Services	Corporate	Financial management	incomplete or incorrect information posted to agresso	Incorrect accounts, qualification by external audit, losses or fraud	H	M/H	recocilation of feeder systems and cash balances	Head of Financial Servs	monthly /weekly	Agresso support team, accounting routines	M	M/L	errors or exception reports		Y

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BSS IT1	IT Services	Corporate	Damage to IT communication networks	Malicious damage by Virus or hacker	Infected machines leading to loss of key data. Service interruption, Cost of restitution Inability to run e-mail service. Impact on service delivery and public access facilities.	H	H	Firewalls. Anti virus software regularly updated. Protocols and policies for conduct and use. Monitoring use of e-mail & internet. Restrictions on open access facilities.	HITS	Daily	IT staff Computer & Audit staff	H	M	event	Y	yes
BSS IT2	IT Services	Corporate	IT Infrastructure	Major systems implementation	Failure to deliver to timescale System unable to meet requirements Key project staff leave Lack of resource vis a vis IT Strategy	M	L	Low levels of major system development, Project Management Project Board Project risk registers Ability to buy in resource when required	HITS	Ongoing	By individual projects	L	L	Event		Yes
BSS IT3	IT Services	Corporate	storage capacity	system failure or reduced performance	loss of payroll, or payments systems	M	M	Mainly an issue on old systems which cannot extend disk storage dynamically - Affected systems being replaced eg Payroll	HITS	Ongoing	IT Staff	L	L	Monitoring or Event	N	
BSS IT4	IT Services	Corporate	IT Strategy	Ability to support Strategic Service Objectives	Conflict between service requirements and corporate priorities	M	M	Responsibility for ICT Strategy now rests with Chief Executive department to give better view on corporate priorities	Dir of Cust Services	Annual	By BMG	L	L	Event		
BSS IT5	IT Services	Corporate	Users of ICT systems	User training and awareness	Users not making best use of systems	M	M	Use of IT now seen as a core competency. Available training in efficient operation of IT software	Head of HR/Heads of Services	Ongoing	Head of HR	L	L	Monitoring		
BSS IT6	IT Services	Corporate	IT shared services	regional provision	economies of scale, consistency of systems, tensions between local and regional priorities	H	M	HITS member of AGMA Shared Services Working Group (IT) and GM IT Managers group	HITS	Ongoing	HITS	M	M	Monitoring		

BSS IT7	IT Services	Corporate	ICT Systems and Performance	System or equipment failure	Service Interruption. Cost, time and effort in maintaining and restoring systems and data Inability to contact key staff	H	M	Environmental protection of equipment area in place (Fire, Power, Water and Intrusion). Fully equipped remote Disaster Recovery site in operation with available server capacity Contract with Sungard Increasing use of virtualised Servers Key IT personnel equipped with BlackBerry	HITS	Event	HITS	M	L	Event		
BSS IT8	IT Services	Corporate	ICT Systems and Performance	Loss of key office accommodation	Workstations cannot be accessed and therefore used	H	M	Widespread availability of Homeworking/Remote connection facilities	HITS	Event	HITS	M	L	Event		

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BSS Prop1	Property	Protection of assets	Deterioration	Reduced quality of appearance and building fabric,	Increased maintenance costs, H&S problems, higher levels of investment and remedial work needed, reduced capital value	H	H	Management of CPMF using a condition survey led approach, corporate landlord approach to include occupiers in helping manage their accommodation	HoP	Programme of condition surveys with a frequency of between one and five years linked to risk	Spending plan agreed annually and monitored monthly. Performance reports submitted quarterly to BMG	L	M	Incident and defect reporting leading to reactive maintenance	Y	
BSS Prop2	Property	Protection of assets	Ensure contractors operate safely and competently	Injuries, litigation, quality of work	Property damage, sub-standard work, injuries to contractors or users of the premises, absences and /or litigation	M	H		HoP							
BSS Prop3	Property	VFM	Maximise occupancy	Vacant or under utilised floor space	Reduced usage, poor vfm	M	H	Programme of property reviews linked to workspace audits and promotion of flexible working	HoP	Ongoing programme linked to the office accommodation strategy coupled with established approach to interim moves	Flexible working group, corporate property team and property performance reports to BMG	M	M	Office moves which take place without observing the corporate approach		
BSS Prop4	Property	VFM	Maximise rental yield (commercial properties)	Poor assessments, corruption, low value stock, poor collection rates	Reduced/lost income, poor vfm	M	H	Robust systems to identify and action lettings, lease renewals and rent reviews to be carried out by professionally qualified staff.	HoP	Monthly reporting.	Quarterly management meetings. Monthly performance plus reporting.	L	L	Monthly P+ data		
BSS Prop5	Property	Financial management	Excessive running costs	High fuel, maintenance, repair costs,	poor vfm, high carbon footprint	M	H	Management of CPMF using a condition survey led approach, Energy Management Team established to manage energy consumption, suitability survey programme and DEC/EPC programme	HoP	Programme of condition surveys with a frequency of between one and five years linked to risk, energy consumption monitored via BMS and Smart meters, 5 year suitability survey programme, 12 month DEC/EPC programme	Performance reports submitted quarterly to BMG, monthly performance plus reporting.	L	M	Monthly P+ data, data from BMS and EPCs		

BSS Prop6	Property	H&S	Protect users	injuries, asbestos, legionella, "sick building" syndrome, litigation	staff injuries, absences, reduced morale, litigation costs, reputational damage	M	H	Statutory Compliance Team established to carry out risk assessments, maintain a risk register, put in place compliance regimes and carry out training for staff	HoP	Determined by risk assessment and vary dependant upon risk. Recorded on the risk register	Performance reports submitted quarterly to BMG, monthly performance plus reporting.	L	L	Periodic inspection programme and risk assessments		
BSS Prop7	Property	protection of assets	Protect contents	theft or damage (water, fire etc)	additional costs, interruption to business	M	H	Access control systems, cctv where appropriate, fire safety systems and training	HoP	Regular servicing and maintenance and risk assessments	Suitability survey programme, fund 9 bids, building user groups	L	L	Suitability survey programme, fund 9 bids, building user groups		
BSS Prop8	Property	reputational	Create the right image for visitors	improving customer services	reduced customer satisfaction,	M	M	Management of CPMF using a condition survey led approach, suitability survey programme and Fund 9 bids	HoP	Programme of condition and suitability surveys with a frequency of between one and five years linked to risk, annual Fund 9 bids	Suitability survey programme, fund 9 bids, building user groups	L	L	Suitability survey programme, fund 9 bids, building user groups		

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BSS Rev-Ben1	Benefit Services	Corporate	Service Delivery	Performance (BVPI & DWP Standards)	Poor service delivery to highly dependent customers. Future possibility of penalties (e.g. subsidy loss/reduction/withholding) Low quartile ratings.	H	M	Reviews of performance. Target setting GM benchmarking Successful funding bids to DWP Quality Assurance sub-section	Head of Bens	Weekly	BMT	L	L			Yes
BSS Rev-Ben2	Benefit Services	Corporate	Service Delivery	Supporting People	Major loss of Corporate income. Effect upon vulnerable clients.	M	L	Establishing liaison channels (SSD, Internal Audit)	L O'Halloran /D Barrow	Annually	AD(BS)	L	L			Yes
BSS Rev-Ben3	Revenue Services	Corporate	Service Delivery	Performance / Collection Rates (BVPI)	Low quartile ratings. Poor comparative service delivery. Deficit on Collection Fund.	H	L	Reviews of performance. Target setting. GM Benchmarking. Report to Audit Cttee.	Head of Revs	Weekly	RMT	L	L			Yes
BSS Rev-Ben4	Revenue Services	Corporate	Service Delivery	Enforcement Action	Low quartile ratings. Poor comparative service delivery. Deficit on Collection Fund.	H	L	Reviews of performance. Target setting. GM Benchmarking. Report to Audit Cttee. Mainly in-house delivered services. Regularly Timetabled Actions. System monitoring/Actioning.	A Cartwright	Daily	RMT	L	L			
BSS Rev-Ben5	Revenue and Benefits Services	Corporate	Service Delivery	Accreditations (IIP/Charter Mark/LTW)	Loss of credibility and staff confidence. Non-compliance with standards. Breach of regulations (e.g. Disability Discrimination)	M	L	EDR process. Annual reviews of standards. Regular re-assessment. Service Development Group.	All Managers	Annually Periodically.	RMT AD(BS)	L	L			
BSS Rev-Ben6	Benefit Services	Corporate	Income/External Funding Reliance	Accuracy of Subsidy claims	Returns qualified. Loss of income/integrity.	H	M	Dedicated compliance officer. Established DWP liaison points.	D Hill	Quarterly	Training and Development	L	L			Yes
BSS Rev-Ben7	Benefit Services	Corporate	Income / External Funding Reliance	"Verification Framework"	Loss of significant amounts of subsidy. Resultant loss of most experienced staff and resources. Risk of internal and external fraud.	H	L	Dedicated section/officers. Return of statistical analyses and compliance certificates. Internal guidance manuals.	L O'Halloran /D Hill	Quarterly	Customer Services Manager BMT	L	L	Transfer of Resources		Yes
BSS Rev-Ben8	Revenue services (Cashiers)	Departmental	Loss of income	Armed robbery	Injuries to staff or cash in transit contractors, loss of income	M	L	Physical security precautions, contract stipulations, training for staff, insurance cover	Head of Revs	Annual		M	L			
BSS Rev-Ben9	Revenue services (Cashiers)	Departmental	Loss of income	money laundering	loss of income	L	L	restrictions on cash payments	Head of Revs	Annual		L	L			

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Peop 1	Payroll	Corporate	Failings in Service Delivery	Incorrect or incomplete payroll, incorrect application of pay awards / increments,	Employees not paid Increase in error rates. Increase in costs. Employee dissatisfaction	M/H	H	Joint working with supplier and partners to provide continuous improvement. Employment of experienced staff. Staff training. Proper control procedures Monitoring performance.	Head of Service / Payroll Manager	Ongoing	Departmental Management	M	M/H	Reductions in standards		Yes
Peop 2	Payroll	Corporate	Actions in contravention of statutory guidance	Compliance with Statutory Requirements (Inland Revenue, DWP, GMPF etc)	Financial Penalties, damage to reputation, increased inspections	M	M	Partnership arrangements with software supplier. Liaison with Statutory Bodies. Continuing development, education and training of staff	Head of Service / Payroll Manager	Annually	Departmental Management	M	M	Non-compliance		Yes
Peop 3	Payroll	Corporate	Litigation Cases	Compliance with National and Local agreements	Risk of litigation. Financial implications. Threat of industrial dispute. Reputation Management	M	L	Implementation of changes asap. Communication of timetable to all departments. Liaison with Trade Unions	Head of Service / Payroll Manager	As required	Departmental Management	M	L	Non compliance		
Peop 4	Payroll	Corporate	Supplier Failure	Loss/significant interruption of IT systems	Inability to pay employees on time. Service reductions, reduction in performance and customer satisfaction	H	M/H	Back up files maintained. Disaster recovery arrangements with supplier.	Head of Service / Payroll Manager	Ongoing	All users	H	M/H	Event		Yes
Peop 5	Payroll	Departmental	Uncontrollable External Events	Reduction in Client Base (ALMO, Leisure, Schools)	Loss of work to the section / Council. Performance reduction and reduction in customer satisfaction	M	M	Provision of professional cost effective service to clients. Service Level Agreements Marketing of Services	Head of Service / Payroll Manager	As changes occur	Audit Management Team	M	M	Changes		
Peop 6	HR / Payroll	Corporate	Systems and processes	Insecure, inconsistent or inefficient practices	Data Protection breach, fraud, incorrect payment,	H	H	Unification under SSR, review of processes and data, integrated HR / payroll system	Head of Service / Payroll Manager	Ongoing	People Services Management Team	H	H	Monitoring process		
Peop 7	HR	Corporate	Equal pay settlements	Costs, litigation, reputation	Loss of key employees increased costs, service reductions, reputation risks	H	H	Consultation and communication with employees and trade unions	Exec Dir / SD Corp Services / People Services Head of Service	Ongoing	Pay and Reward Programme Board	H	H	Monitoring process	Yes	

Peop 8	HR	Corporate	Pay and Reward Programme - Job Evaluation	Costs, litigation, reputation	Loss of key employees increased costs, service reductions, reputation risks	H	H	Consultation and communication with employees and trade unions. Formal appeals and moderation processes.	Exec Dir / SD Corp Services / People Services / Head of Service	Ongoing	Through programme team and programme plan. Pay and Reward Programme Oversight Board	H	H	Monitoring process	Yes	Yes
Peop 9	HR	Corporate	Service delivery - Inconsistent application of policies	Inconsistent local terms and conditions	Reduction in customer satisfaction and performance. Reputation risks. Employee dissatisfaction	H	H	Unification. Continuous development and training of employees. Communication with employees	Head of Service	Ongoing	People Services Management Team	M	M	Monitoring process		
Peop 10	HR	Corporate	Attendance management	Sickness absence management	Financial implications, performance reductions, customer dissatisfaction	M	M	Application of sickness absence management policy. Employee development and training	Service Director - Customer Services, Head of Service	Quarterly monitoring	Departmental Management and Elected Members	M	M	Monitoring process		
Peop 11	HR	Corporate	Service delivery - training effectiveness	Training	Ensuring Quality, focus (subjects and attendees), cost effectiveness, no significant omissions	M	L	Continuous development and training of trainers. Implementation of changes asap. Training evaluation	Head of Service	Quarterly monitoring	Quarterly BVPI reporting on satisfaction with training	L	L	Monitoring process		
Peop 12	Health and Safety	Corporate	Health and Safety	Health and Safety breach following incidents to staff. Discrepancies identified during intervention visits by enforcement agencies.	Prosecution or enforcement notice by HSE of Council and/or individual directors and managers, civil claims against the Council, loss of reputation through bad publicity. Increased investigations by the enforcement agencies. Prosecution or enforcement notices from fire service for none compliance resulting in possible premises closure or limit on use	H	M	Health and safety training. Task specific health and safety training. Awareness raising. Dept safe systems of work. Council / departmental policies. Corporate safety procedures.	Chief Executive, Directors of Departments, senior managers	Ongoing	Departmental Management responsible for providing and maintaining risk assessments of significant risks, developing safe systems of work and ensuring they are followed by monitoring. Corporate audits. Accidents statistics reported at departmental and council safety committee meetings. Monitoring of corrective action on incident forms by safety team. Issuing of regular safety bulletins	L/M	L/M	Monitoring process		
Peop 13	HR	Corporate	New Integrated HR/payroll System	Delayed, expensive, or ineffective solution	Data protection problems, failure to pay correctly or on time, economies not achieved, ineffective workforce management	H	H	Project team, project plan	Head of Service	Ongoing	Through project team and collaboration project board with Stockport and Trafford Council	H	H	Project monitoring process	Yes	Yes

Peop 14	Recruitment	Corporate	Supplier Failure/ Interruption of IT systems	Loss / significant interruption of IT systems	Inability to advertise jobs as needed. Inability to procure staff. Service reductions, reduction in performance and customer satisfaction	H	M/H	Disaster recovery arrangements with supplier. Files backed- up each night by Comensura.	Head of Service / Recruitment Manager	Ongoing	Recruitment Team	H	M/H	Event		
Peop 15	HR	Corporate	Non Compliance with legislation	Costs, litigation, reputation, imprisonment	Risk of litigation. Financial implications. Potential imprisonment (Asylum and Immigration Act). Reputation Management	H	M	Training. Guidance and processes and procedures	Head of Service working with Head of Organisational Development	Ongoing	People Services Management Team	M	L	Event		
Peop 16	Recruitment	Corporate	Safeguarding	CRB checks to ensure safety of vulnerable adults and children	Risk to the safety of service users. Risk of litigation. Financial implications. Reputation Management	H	L	CRB checks rigorously undertaken as part of recruitment procedure	Head of Service / Recruitment Manager	Ongoing	People Services Management Team	H	L	Event		
Peop 17	Recruitment	Corporate	Recruitment effectiveness	Not attracting quality applicants which may deter us from fulfilling the Council's vision	Risk of litigation. Financial implications. Reputation Management	M	L	Recruitment training. Council's recruitment policies and processes	Head of Service / Recruitment Manager	Ongoing	People Services Management Team	M	L	Event		
Peop 18	HR	Corporate	CPS / EMS failure	Loss / significant interruption of IT systems	Impact on access to personnel records, implementation of JE, data protection breach, incorrect payment	H	M/H	Disaster recovery / business continuity arrangements. Back-up arrangements in place	Head of Service / Process, Information and Reporting Manager	Ongoing	All users	H	M/H	Event		

Ref	Division	Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity / Impact	Inherent Risk Likelihood	Mitigating Actions/ Controls	Responsible Officer	Assessment Frequency	Assessment Monitoring	Residual Risk - Severity of Impact	Residual Risk - Likely Frequency	Remedial Action Prompted By	service plan	audit plan
BSS Legal 01	Legal and Democratic	Corporate	Harm to vulnerable members of society.	Failure to put in place measures to prevent harm	Vulnerable children or adults suffer preventable harm	High	High	Ensure the Council's procedures are sufficient to enable appropriate measures to be taken at the right time. Employ suitably qualified and experienced staff and apply performance procedures.	J. Mitchell	Monthly	Performance monitoring at Divisional Management Team	High	Low	Change in assessed residual risk or serious incident.		
BSS Legal 02	Legal and Democratic	Corporate	Professional misjudgement	Professional misjudgement in giving advice on legal and other issues	Fraud, exposure to claims and prosecution.	High	Low	Employ suitably qualified staff and experienced staff. Supervision and quality control procedures and on-going training.	J. Mitchell	Monthly	Performance monitoring at Divisional Management Team. ISO Risk Management procedures.	Low	Low	Adverse performance reports		
BSS Legal 03	Legal and Democratic	Corporate	Breach of statutory duty	The Council its officers or members acting in contravention of the law or codes of conduct.	The Council its officers or members exposed to sanction for unlawful or improper acts. Council's reputation damaged.	High	High	Employ suitably qualified staff and experienced staff. Ensure timely advice given. Monitor agendas & review decision making process. Officers and Members suitably trained.	K. Lawson	Annually	Annual reports from Ombudsman and Audit Commission	High	Low	Change in assessed residual risk. Adverse reports.		
BSS Legal 04	Legal and Democratic	Corporate	Failure to maintain statutory registers.	Failure to maintain the various registers for which the division is responsible and which the Council is required by law to maintain.	The Council is exposed to sanction from regulatory authorities and claims from customers. Inability to run elections effectively.	High	Low	Effective management of relevant sections.	K. Lawson	Monthly	Performance reports to Divisional Management Team.	High	Low	Adverse performance report.		
BSS Legal 05	Legal and Democratic	Divisional	Failure to control external costs.	Failure to monitor and control costs of external advisors.	Adverse impact on client budgets.	Medium	Medium	Effective monitoring and reporting of costs to clients.	J. Mitchell	Monthly	Service Level Agreement review with clients.	Medium	Low	Adverse comments from clients		
BSS Legal 06	Legal and Democratic	Corporate	Litigation	Loss of significant Court cases	Financial Loss. Damage to Council's reputation.	High	Low	Employ suitably qualified staff and experienced staff. Ensure timely advice given. Take appropriate external advice.	R. Lawton	Monthly	Reports to divisional management team/client	High	Low	Increased number of losses		
BSS Legal 07	Legal and Democratic	Corporate	Failure to respond to new legislation.	Council not prepared for new statutory requirements	Council fails to comply with statutory requirements	High	Low	Employ suitably qualified staff and experienced staff. Ensure timely advice given. Take appropriate external advice. Ensure up to date information is available.	J. Mitchell	Quarterly	Regular liaison with customers	Low	Low	Incidence of failure		
BSS Legal 08	Legal and Democratic	Divisional	New systems	New Land Charges/Case Management systems do not meet requirements	Reduced service quality	Medium	Medium	Sufficient resources from within division and support from I.T. division.	J. Mitchell	Ongoing	User reports	Low	Low	Incidence of failure		
BSS Legal 09	Legal and Democratic	Divisional	Loss of accreditations	Loss of ISO/Lexcel accreditation	Reduced quality assurance. Damage to division's reputation.	Medium	Low	Operating in accordance with ISO/Lexcel standards.	K. Lawson	Ongoing	Regular monitoring of compliance with relevant standards.	Low	Low	Adverse Report following surveillance visits.		

BSS Legal 10	Legal and Democratic	Corporate	Failure to issue documentation within time limits	Agendas, minutes etc. not issued/published in required time limits	Members do not have sufficient information for effective decision making	High	Low	Effective management of process.	Democratic Services Manager	Ongoing	Performance monitoring at Divisional Management Team	Low	Low	Incidence of failure		
BSS Legal 11	Legal and Democratic	Corporate	Inaccurate records of decisions.	Minutes or other records do not accurately reflect decisions made.	Inability to implement Council policy effectively. Damage to Council's reputation.	High	Low	Checking of draft minutes by relevant officers.	Democratic Services Manager	Ongoing	Formal approval of minutes.	Low	Low	Failure to gain formal approval.		
BSS Legal 12	Legal and Democratic	Corporate	Failure of election process and maintenance of electoral register	Election not carried out in accordance with statutory requirements.	Challenge to election results. Damage to Council's reputation/democratic process and disenfranchisement of members of public.	High	Low	Effective management of election process and register.	Democratic Services Manager	As required	Review following election.	High	Low	Adverse report on review.		
BSS Legal 13	Legal and Democratic	Corporate	Pandemic or similar disaster.	High mortality rate requiring significant increase in registrations.	Inability to process registrations as quickly as required.	High	Low	Sufficient staff trained to meet increased requirements.	M. Jones	Ongoing	Ensure trained staff replaced as required.	Low	Low	Inability to meet increased requirements.		

Ref	Section	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Responsible Officer	Assessment Frequency	Assessment Monitoring	Residual Risk - Severity of Impact	Residual Risk - Likely Frequency	Remedial Action Prompted By	service plan	audit plan
BSS ARM1	Audit	Quality of Service Delivery	Ineffective use of audit resources	Failure to identify key material weaknesses. Incorrect targeting of audit work Inability to provide required assurance Increased ext. Audit fees, Loss of credibility	H	L	Updates from and liaison with senior managers, statutory officers etc. Involvement in current issues/projects. Annual audit Plan, monitored and reprioritised. External Audit assessment. Regular reports to members. Measurement against CIPFA standards, liaison with GM peers.	HARMS	Weekly	Departmental Management Team	M	L	New issues	Y	Yes
BSS ARM2	Audit	Uncontrollable External Events	Reduction in Client Base (GM Fire, ALMO, Leisure, Schools)	Loss of work to the section/Council	M	M	Demonstrating provision of high quality, cost effective service to clients. Service Level Agreements, reports to Audit Cttees, Marketing of Audit Service.	HARMS	As changes occur	Audit Management Team	M	M	Changes		
BSS ARM3	Audit & RM Services	Financial Loss	Higher Premiums, Increased levels of payments for Uninsured losses	Financial loss Damage to reputation	M/H	M	Regular review of insurance terms Formal monitoring of claims & levels Insurance fund review policy for contribution levels/rates. Annual independent actuarial review Investment initiatives for risk mgt measures	HARMS	Annual Ongoing	Actuarial review and progress report. Ongoing assessment of risks and claims levels	L	L	Event		
BSS ARM4	Audit	Legislative Changes	Statutory Responsibilities - Changing Internal Audit Remit	Non-reliance by External Audit	M	M	Training on current issues. Adherence to CIPFA Code of Practice for Internal Audit. Adherence to Accounts and Auditing Regulations.	HoS / Audit Managers	Ongoing	Audit Management Team	L	L	External Audit Review		Yes
BSS ARM5	Civil Contings	Major incident	Failure to respond effectively	injuries/ fatalities, disruption within the Borough, problems exacerbated, increased costs and timescales for restoration of normality, damage to reputation, litigation	H	M/H	Regional and Borough working groups, formal plans, training, testing, rota system for responding officers	HoS, Civil Contingencies Team	ongoing	CCS, DCLG, Met. Office (weather warnings), AGMA group,	M	M/H	external advice, event	Y	
BSS ARM6	Civil Contingencies	Community resilience	short and long term impact on the Borough	Casualties and property damage, reduced community confidence, failure in civic leadership role	H	M	Community Risk Register, Multi agency awareness sessions, Wigan resilience week training, links with local businesses, public awareness sessions	Dir of BSS, HoS, CCS	ongoing	Wigan Resilience Forum	M	M/L	external advice, event	Y	

Guidance on assessing the implications of individual risks:

Score	SEVERITY / IMPACT	LIKELIHOOD / PROBABILITY
H	Financial impact of £5 m or more Prevents the achievement of a strategic objective Prevents the achievement of significant operational objective(s) Very difficult and possibly long term recovery Creates major stakeholder concern	Almost certain to occur within one year (e.g may be a recent occurrence or a history of occurrence)
M	Financial impact of £2 m or more Delays the achievement of a strategic objective Delays the achievement of an operational objective Medium term effect which may be expensive to recover from Creates moderate stakeholder concern	Feasible within 12 months but highly likely to occur during the five year strategy period (e.g may be history of occurrence or difficulties in control / judgement)
L	Financial impact of up to £2m Low impact on a strategic objective Low impact on an operational objective Can be easily remedied Low stakeholder concern	Not likely to occur over the five year strategy period (e.g may be no history of occurrence or evidence of strong controls)
This applies to: INHERENT RISK ie what would be the situation if no controls or checks were in place RESIDUAL RISK ie perception of the current situation, taking account of existing controls or checks		