

Risk Register

CORPORATE RISK REGISTER
01-Jan-2017

REFERENCE				THE RISK			THE RISK EVALUATION					RISK ACTION					
Risk Reference	Risk Type	Service Area	Service Lead	The Event	Risk Description	The Impact	Owner	Date of Assessment	Likelihood Score	Impact Score	Risk Score	Approach	Review Frequency	First Review Date	Target Likelihood Score	Target Impact Score	Target Risk Score
SR01	Financial	Children and Adults	Alison Michalska	Reduction in Government funding coupled with an increasing demand for services.	Lack of resources to support the funding of a competent workforce, to fund specialist external services and deliver proactive early intervention initiatives.	A failure to deliver the services required to citizens of Nottingham leading to an increased risk in the likelihood of harm to a citizen in need; an increase in risk of government intervention and a reduction in confidence in our services as a whole.	Alison Michalska	01-Feb-2017	4=Likely	3=Moderate	12	Treat	Quarterly	01-Apr-2017	3 - Possible	2 - Minor	<div></div> 6
SR02	Workforce	Children and Adults	Alison Michalska	The change to the Corporate Infrastrucutre and support services provided.	More responsibility placed on colleagues who have little spare capacity; diverts from delivery of core services; lack of understanding and skill of service managers in meeting support service requirements.	Increase in the risk of statutory failings leading to the increase in risk of harm to an employee (such as H&S breaches) resulting in financial penalty, risk to reputation and poor governance arrangements.	C&A DLT	01-Feb-2017	3=Possible	3=Moderate	9	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4
SR03	Citizens	Children and Adults	Alison Michalska	The shortage in qualified and experienced persons to deliver services to an increasing number of vulnerable citizens.	Increase reliance on agency workers; inability to recruit qualified and suitably experienced social workers; practitioners are allocated caseloads that are too high.	Statutory services are not provided or provided to a poor standard that leads to harm to a vulnerable citizen (adult or child).	Alison Michalska	01-Feb-2017	3=Possible	4=Major	12	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4
SR04	Financial	All	Geoff Walker	Changes of funding of services from national taxation to local taxation. Reliance on funding from council and business tax.	Failure to raise sufficient funds from local taxation to meet the needs of the our citizens.	Services will be reduced, cut in their entirety or ineffectively delivered - adversely affecting the citizens of Nottingham; increasing the risk of harm to vulnerable citizens and resulting in the failure to deliver our statutory duties and the priorities contained within the Council Plan.	Geoff Walker	01-Feb-2017	3=Possible	4=Major	12	Treat	Quarterly	01-Apr-2017	3 - Possible	3 - Moderate	<div></div> 9
SR05	Commercial	Community and Operations	Andy Vaughan	The changing structure of the Corporate Infrastructure	Lack of infrastructure to support Directors in future scoping of business strategy and long term visioning; Lack of joining up of resources and skills; Inability of support services to respond to the needs of the commercial growth agenda at the pace required; lack of budget information in a format that support business needs and commercial growth.	Commercial growth opportunities are missed, delayed or implemented with inadequate management data required to make sound business decisions; the commercial agenda fails to reach expected targets affecting the delivery of core services that rely on commercial funding for delivery; financial and reputation loss resulting from unprofitable commercial activity and failure to deliver the Council Plan priorities.	Andy Vaughan	20-Feb-2017	3=Possible	4=Major	12	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4
SR06	Commercial	Community and Operations	Andy Vaughan	Growth and Delivery of Commercial Activity.	Lack of agile and commercially astute management processes resulting in inability to quickly respond to business growth opportunities. Lack of empowerment in decision making at the lowest level delays decisions and quick turnarounds.	Commercial growth opportunities are missed, delayed or implemented with inadequate management data required to make sound business decisions; the commercial agenda fails to reach expected targets affecting the delivery of core services that rely on commercial funding for delivery; financial and reputation loss resulting from unprofitable commercial activity and failure to deliver the Council Plan priorities.	Andy Vaughan	20-Feb-2017	3=Possible	3=Moderate	9	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4
SR07	Workforce	Community and Operations	Andy Vaughan	Corporate Pay, Terms and Conditions relevant to commercial activity, and increasing demand for services.	Cannot pay at levels required to attract the talent to deliver the commercial agenda; reduced level of services delivered within wholly owned companies affecting commercial income and growth due to inability to pay overtime requirements; failure to meet statutory obligatios/reduction in ability to deliver front line services due to inability to recruit and retain staff.	Commerical growth opportunities are missed, delayed or implemented poorly; potential of closure or reduction in services (such as in the Heat Station) affecting customers and impacting on supply chain; failure to meet obligations to citizens and deliver front line services such as community protection,waste management and environmental health services,	Andy Vaughan	20-Feb-2017	4=Likely	3=Moderate	12	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4

Risk Register

SR08	IT	Strategy and Resources	Candida Brudenell	With the progress of the Fourth Industrial Revolution brings an increasing frequency and capability of criminals to infiltrate organisational IT systems to cause harm.	IT security (tools, process and people) is insufficient to protect against the council's IT system being hacked to steal highly sensitive or confidential personal information or to steal financial data on our citizens and customers. IT security systems are insufficient to quickly detect a malware attack; processes and supervision fails to detect employee negligence or malicious behaviour. Failure to adequately train employees on IT security to raise awareness and ensure adherence to policies.	Data is sold for criminal use adversely affecting our citizens; stolen data is publicised affecting the council's reputation; data privacy and regulatory fines are incurred; the council suffers severe business interruption to critical services both during and after a malware attack; physical loss of data and damage to property and cost of restoration.	Simon Salmon	20-Feb-2017	3=Possible	4=Major	12	Treat	Quarterly	01-Apr-2017	2 - Unlikely	3 - Moderate	<div></div> 6
SR09	Operational	Strategy and Resources	Candida Brudenell	Loss of Services caused by catastrophic event such as flood, fire, power outage, terrorist act.	Lack of robust business continuity plans that are joined up, tested and adequate to respond to a business critical interruption; Budget cuts and rationalisation may challenge the ability of Category 1 responders to fulfil their statutory duty; Insufficiently prepared management leads to delay in the restoration of business critical activities and the control of the emergency plan.	Unable to provide critical services to vulnerable citizens; downtime is longer than necessary; reputation is adversely affected; cost escalates and the council is unable to deliver services to its citizens for longer than is acceptable.	Malcolm Townroe and Sarah Molyneux	15-Feb-2017	3=Possible	4=Major	12	Treat	Quarterly	01-Apr-2017	3 - Possible	3 - Moderate	<div></div> 9
SR10	Legal	Strategy and Resources	Candida Brudenell	The creation and running of wholly owned trading companies.	Lack of transparent and robust governance arrangements that protect the interests of the council.	Failure of a wholly owned company has a financial cost and reputational impact; may adversely affect future trading for other council owned companies due to loss of confidence; disrupts services provided to citizens.	Glen O'Connell	15-Feb-2017	4=Likely	3=Moderate	12	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4
SR11	Citizens	All	Ian Curryer	Citizens and the Heart Agenda and increasing partnership working/reliance on communities and partners to deliver services.	Fail to develop and sustain relationships and formal arrangements with partners, other councils, academies schools, the community, NHS and key stakeholders. No common vision and consensus across all key partners. Failure to understand the drivers for demands and shape services accordingly.	Failure of local agreements impacting adversely on council reputation, services to citizens and wellbeing of community as a whole. Potential financial risk with increased costs and strain on council resources. Outcomes for young people does not reach council target and aspirations.	Candida Brudenell	15-Feb-2017	3=Possible	3=Moderate	9	Treat	Quarterly	01-Apr-2017	2 - Unlikely	3 - Moderate	<div></div> 6
SR12	Legal	Strategy and Resources	Candida Brudenell	Information Security and Governance	Failure to have in place robust processes that manage data in accordance with DPA requirement; to train staff and ensure all employees adhere to the policy. Failure to record near misses and take action to prevent actual misses. Failure to prepare and have in place policies that adhere to forthcoming GDPR regulations. Failure to contract manage the data of others whilst remaining the data owner.	Loss of sensitive and confidential data that adversely impacts on citizens. Fines for breaches of DPA. Loss of public confidence in the council. Potential of litigation and financial impact.	Colin Monckton	15-Feb-2017	3=Possible	3=Moderate	9	Treat	Quarterly	01-Apr-2017	2 - Unlikely	2 - Minor	<div></div> 4