

ANNEX C - Corporate Risk Register – 17 June 2014 SMB Review

Corporate Risks

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level H/M/L	Current Treatment	R A G	Comments / Further Treatment Proposed
			P	I	Σ				
CRR 007 Lapse or breach of Information Security	GB	1. Fine of up to £500,000 per breach from the Information Commissioner’s Office (ICO) 2.Reputational damage 3. Reduced opportunities for joint working	3	3	9	M	Various, see sample below: •Specialist information roles •Information Governance Strategy •Training package for information security/data protection •Retention & Disposal Schedules •External archive for physical assets •ICT Strategy •EDMS for Policies and procedures.	A	<ul style="list-style-type: none"> There are a wide range of information security issues and treatments to reduce the likelihood of lapses and breaches. These are being identified in a separate information risk register and risk owners identified so that treatments are managed at directorate level. <u>SMB Review – 15 April 2014</u>. Although there has been some movement in relation to this risk area, the profile of information risks means that as soon as one risk is in control another emerges. There has been some reduction in the risk profile as a consequence of the work to achieve the process side of Annex A to the Code of Connectivity but, in light of the recent virus attack across the network and the breakdown in the CCTV system at the Merlin Centre, the risk should remain at 3 x 3.

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CRR 014.4 Staff Availability Emerging risks of 1/ industrial action due to pension change or pay dispute; 2/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc. 3/ Retirements proceeding more quickly than anticipated.	JT / DO'D / MO / LS	Potential detrimental effects on service delivery to the community and our reputation.	(2) (5) (3) (4) (3)	(5) (5) (5) (5) (5)	(10) (25) (15) (20) (15)	(M) (H) (H) (H) (H)	<ul style="list-style-type: none"> • Full business continuity plan in place • Peer review of the business continuity arrangements • Bank System • Flexi-Duty System Pilot • Staff Transfer Procedure 	A	<p>6 February 14 PMB: PMB recommended that the risk score be reduced to 12 given effectiveness of contingency arrangements during strike periods which have resulted in no material disruption to the emergency response service received by the public albeit that further prolonged periods of strike action could impact on the speed with which other public safety and corporate objectives can be achieved.</p> <p>18 February 14 SMB SMB approved the changes to the risk rating recommended by PMB and also agreed a change to the RAG status from red to amber to reflect the effectiveness of the risk controls.</p> <p>27 May 14 SMB The impact of future strike action was discussed and it was agreed that this would continue to be monitored. SMB agreed to leave risk CRR 014.4 Staff Availability as amber.</p>
		Failure to discharge statutory duties. Loss of critical knowledge / skills / capacity.	4 3 12	H M					
CRR 017 Fit for purpose restructure / organisational change programme	LS	Change programme impacting on our ability to maintain day to day service. The possibility of employee relations issues arising from the organisation restructure, and the potential performance management difficulties. Other consequences potentially include legal challenge, loss of experience/resilience/ corporate knowledge,	(5) (2) 2	(5) (5) 3	(25) (10) 6	(H) M L	<ul style="list-style-type: none"> • SMT owned & reviewed change programme in place • Communication & consultation plans in place supported by management training • Phased delivery of change prog. • Pre- and post-change EIA • Leadership and first-line management training • Processes and procedures well documented • HR, Finance, ICT resources • External communications / PR Scenario planning 	G	<p>Each element of the organisational change programme includes a people impact risk assessment and learns from initial programmes are built into current procedures.</p> <p>Some aspects of the change programme will have significantly lower risk scores and levels.</p> <p>18 February 14 SMB SMB agreed a reduction to the impact score associated with this risk from 5 to 3, and RAG status to green, to reflect improvements to the controls associated with this risk arising from the experience of implementing significant organisational changes / re-structures.</p>

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		reputation etc.					• BCP & negotiation strategy in place.	
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Fin 14 – Funding	DS/JM	<ul style="list-style-type: none"> If funding settlements for 2015/16+ follow the two-year trend and not the four-year trend, we would need to find an additional £2million worth of savings over and above the current MTFP between 2015/16-2017/18 	(4) 3	(4) 4	(16) 12	H M	<ul style="list-style-type: none"> A funding pressures reserve (approx. £2million by 31.03.2013) has been created, but this would be quickly exhausted without a dramatic altering of service provision and/or an increase in Council Tax to offset the reduction in Government funding 	A	<p>30 July 13 SMT: Reduce RAG rating to amber following announcement of government funding settlement.</p> <p>6 February 14 PMB: Reduction in risk score to 12 recommended in light of:</p> <ul style="list-style-type: none"> robust MTFP process and CFA in a position to approve a balanced budget at the 19 February meeting; Initiation of reviews and planning activities to address savings requirements in future years. <p>18 February 14 SMB: SMB approved the reduction to the probability score associated with this risk from 4 to 3 as recommended by PMB.</p>

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