

KEY OPERATIONAL RISKS

ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
Legal & Procurement																
LP1	Political/Compliance/Reputational	Corporate Governance - Non Compliance with Constitution, procedures, standing orders and breach of standards by members.	Reputational damage; bad publicity	Fiona Ledden - Director of Legal & Procurement / Peter Goss - Democratic Services Manager	6	3	18	Monitoring Officer attendance at Committee meetings and Full Council; legal advice to decision making committees such as Planning and Licensing; Training on standards for members; provision of guidance on standards for members	Internal Audits; Monitoring Officer reports ; Planning and Licensing training to members	6	3	18		Continued review of training and compliance with contract and financial standing orders. Changes to standards regime via Localism Act	Apr-13	Fiona Ledden - Director of Legal & Procurement
LP2	Legal/Reputational	Statutory timetable and requirements with regards to the maintenance and updating of the Electoral Register not met	Disenfranchising of residents and inability to vote in elections which may result in a legal challenge to election; financial loss of having to re-run elections; reputational damage which may result for bad publicity	Peter Goss - Democratic Services Manager and Sean O'Sullivan - Electoral Services Manager	6	3	18	Annual Review, proactive approach during canvass will be maintained	Percentage of returns continue to be over 95%	6	3	18		Proactively reviewing the register and continue to maintain returns over 95%	Feb-13	Peter Goss - Democratic Services Manager/ Sean O'Sullivan
LP3	Legal/Reputational	Committee Administration - statutory publication deadlines not met for agendas and forward plans; meetings delayed and thus key decisions; deadlines for submission of reports by departments not met.	Reputational damage if budget deadlines etc. are missed; financial cost of legal challenges; bad publicity resulting in reputational damage	Peter Goss - Democratic Services Manager	6	3	18	Agendas and forward plans agreed well in advance; Deadlines for submission of reports formally set and officers chased when there are delays.	Forward Plan monitored at CMT	6	3	18		Forward Plan monitored at CMT and Democratic Services Officers proactively to communicate with senior managers on the forward plan	Apr-13	Peter Goss - Democratic Services Manager
LP4	Financial / Reputational / Legal	Non-compliance with EU Procurement Regulations in the letting of Contracts	Financial loss from cost of Legal challenge from unsuccessful tenderers; reputational damage	Paul Davis - Head of Procurement	6	4	24	Contract Standing Orders; Blue Book Requirement; Involvement of qualified staff within Procurement Team in the letting of all significant contracts across the Council; training provided to departments on Procurement regulations etc.	Internal Audits of major contracts; regular advice from legal contracts team; regular liaison between procurement and legal contracts team	6	4	24		Training across the Council from procurement colleagues; updated and accessible information on the intranet site covering all aspects of procurement and tendering, category managers attending department management teams on regular basis	Apr-13	Paul Davies - Head of Procurement
LP5	Service Delivery/Financial/Reputational	Incorrect procurement process resulting in delay in procuring a contract	Inability to deliver relevant service; increased costs of having to re-tender; waste of resources; reputational damage	Paul Davis - Head of Procurement	6	4	24	Use of Contracts Register to ensure action on procurement undertaken early; Use of Category managers within the department to ensure compliance with procurement procedures and timescales	Reporting to Strategic procurement board	6	4	24		Regular reporting by category managers to DMT Directorate and to Head of Procurement; Provision of training across the council to ensure compliance	Apr-13	Paul Davies - Head of Procurement
LP6	Financial / Reputational / Legal	Failure to achieve best value in the letting of contracts and procurement of goods and services	Increased costs of goods and services for failing to negotiate on the most favourable terms for the Council	Paul Davis - Head of Procurement	6	4	24	Training on procurement activity, compliance with procurement practices with e-procurement activity; increased working with WLA on joint procurements	Controls through e-procurement, monitoring compliance through spend analysis	6	4	24		Further monitoring by category managers and use of category management plans to ensure procurement involved with relevant activities. Increased Joint Procurement activity with WLA colleagues	Apr-13	Paul Davies - Head of Procurement
LP7	Financial /Reputational	Failure to deliver or achieve the objectives of the One Council Procurement Project	Projected saving not achieved resulting in additional cuts to services;	Paul Davis - Head of Procurement	6	6	36	Monitoring through PMO Board and Strategic Procurement Board, involvement of all departmental management teams, use of category managers to identify opportunities	Financial spend data analysis, involvement of departmental management teams	6	6	36		Review of progress at Strategic Procurement Board and further attendance at Departmental Management Teams; Review of Contracts and procurement opportunities through contracts register and category management activity	Apr-13	Paul Davies - Head of Procurement
LP8	Legal/Reputational	Successful Judicial Challenge against the authority by way of Judicial Review or other litigation	Reputational risk to the authority and inability to progress with strategic objectives of the organisation; potential cost to the Council if costs order made against the authority	Fiona Ledden - Director of Legal & Procurement	6	4	24	legal advice given at CMT, Executive and PCG, clear advice given on potential areas of challenge and any litigation commenced	Advice given to members and involvement of legal department from commencement	6	4	24		Monitoring process of decision making to include proactive advice on issues such as equality impact analysis and considering how decisions are made, obtain expert advice on key problem issues as required.	Apr-13	Fiona Ledden - Director of Legal & Procurement

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LP9	Legal/Reputational	Risk of costs orders made against Local Authority in Child Protection cases where response time and filing of evidence not in accordance with Court Orders	Reputational risk to the authority, potential costs to the Council and risk of court requiring senior officer attendance to explain non-compliance	Fiona Ledden Director of Legal & Procurement /Fiona Alderman - Principal lawyer (Social Services & Education)	2	6	12	Raise awareness of issues with Social Services Department and Senior Managers, increased training, close monitoring of timescales for compliance with Court Orders	Advice given at Legal Planning Meetings and to social workers direct	2	6	12		Training provided to Social Workers on the likelihood of courts making punitive costs order for non-compliance with court orders, case list with details of court deadlines communicated to social works regularly	Apr-13	Fiona Ledden Director of Legal & Procurement /Fiona Alderman - Principal lawyer (Social Services & Education)
LP10	Legal/Reputational	Increased volume of employment law cases following increased activity in following employment procedures and taking appropriate action for performance issues	Reputational risk to the authority, risk of tribunal making compensation awards to individuals	Fiona Ledden - Director legal & Procurement/Andy Potts - Senior Employment Lawyer	4	4	16	Training undertaken with Senior Managers by legal and HR. Increased skills level for recording disciplinary hearings, and ensuring compliance with procedures including staff appeals and grievances	Advice given to staff appeals and at disciplinary hearings	4	4	16		Training provided for those undertaking investigations to include training on witness skills, legal advice to be provided to senior managers involved in disciplinary activities	Apr-13	Fiona Ledden - Director legal & Procurement/Andy Potts - Senior Employment Lawyer
LP11	Legal/Reputational	Risk of members not confirming to new Code of Conduct and register of interests	Reputation risk to the authority and to members with potential for criminal action where failure to comply with new regime on registering the interest	Fiona Ledden - Director of Legal & Procurement	4	3	12	Training, use of Standards Committee to bring in new Code of Conduct, circulation of monitoring officer advice notes to members, review of register of interests, availability of monitoring officer to give individual advice to members as needed	Audit of Register of Interests, Annual review of register	4	3	12		Training on the new Code of Conduct, individual sessions with new councillors and monitoring officers, recruitment of independent person to advise Standards Committee and members	Apr-13	Fiona Ledden - Director of Legal & Procurement
LP9							0					0				
LP10							0					0				
LP11							0					0				
LP12							0					0				