

## Guidelines

Title	Description
ID	this must be a unique id that stays with the risk even after archiving. Prefix with service initials e.g. CS for Customer Services, H for Housing.
Risk Category	i.e. financial, legal, HR etc.
Risk Owner	An individual (not group) responsible for the management and control of all aspects of the risk.
The Risk	Describe the risk itself.
Risk Cause	Describe what will cause the risk to happen.
Risk Impact	Describe what will happen if the risk occurs.
Inherent risk score	Assume no controls in place.
Mitigation actions and controls	Actions that can be taken to help reduce the risk.
Actual risk score	Current position.
Residual risk score	After mitigating actions and controls.
Action owner	The individual who is completing the action.
Action due date	Estimate when action will be completed.
Progress update and current estimated completion date.	Monthly update for the actions.

## General Notes

Add new risks at the end of register and assign next numerical id. *This is important* as this is how we identify if new risks have been added.

Move closed risks to the archive tab. All archived risks must have a reason why they are no longer relevant.

**Important note** - any changes made to the register must be highlighted in blue.

## Corporate Scoring Matrix

<b>Impact</b>	<b>5</b> <i>Catastrophic</i>	5	10	15	20	25
	<b>4</b> <i>Major</i>	4	8	12	16	20
	<b>3</b> <i>Moderate</i>	3	6	9	12	15
	<b>2</b> <i>Minor</i>	2	4	6	8	10
	<b>1</b> <i>Insignificant</i>	1	2	3	4	5
		<b>1</b> <i>Rare</i>	<b>2</b> <i>Unlikely</i>	<b>3</b> <i>Possible</i>	<b>4</b> <i>Likely</i>	<b>5</b> <i>Almost certain</i>
		<b>Probability</b>				

### Categories

Customers/citizens  
 Communication  
 Corporate  
 Environmental  
 Financial  
 Health and Safety  
 Human Resources  
 IT  
 Legal  
 Partnership  
 Political  
 Property and Assets  
 Reputation  
 Service Delivery/business interruption  
 Suppliers/contractors

### Probability Guideline

Rare <5%  
 Unlikely 6 – 20%  
 Possible 21 - 50%  
 Likely 51 – 80%  
 Almost Certain >81%

**Risk Register**

ID	Risk Category	Risk Owner	The Risk <i>(there is a risk that)</i>	Risk Cause <i>(as a result of)</i>	Risk Impact <i>(which may result in)</i>	Inherent Risk Scores <i>(assume no controls)</i>			Mitigation Actions and Controls	Actual Risk Scores <i>(current position)</i>			Residual Risk Scores <i>(after mitigating actions and controls)</i>			Action Owner	Action Due Date	Progress Update
						Impact (1-5)	Probability (1-5)	Score (I x P)		Impact (1-5)	Probability (1-5)	Score (I x P)	Impact (1-5)	Probability (1-5)	Score (I x P)			
1	Service	Chair of Partnership Board	Client is unable to meet their requirements under the Contract, leading to contractual dispute.	Lack of client team capacity/skills.	An impact on the ability to effectively track and manage SP performance, leading to a gradual decline in service standards, possible non payment of invoices. And if left unresolved could lead to contract failure.	4	1	4	Knowledge transfer needs to take place to ensure resilience. Create monitoring procedure notes. Put systems in place. Dispute resolution process included in contract.	4	1	4	4	1	4	Mick Tyrrell	Ongoing	There is a continual sharing of information and knowledge within the Partnership Unit. In time, this will result in a broad knowledge base being shared across all members of the client unit..
2	Reputation	Chair of Partnership Board	Loss of confidence in contract manager	Failure to manage the relationships between both councils.	Contract team becomes ineffective	3	4	12	MT has regular meetings with members and officers of both authorities to keep them updated and discuss any issues they may have. Inter Authority Agreement is in place.	3	2	6	3	2	6	Mick Tyrrell		Mitigation in place
3	Service	Contract Manager	Service growth outstrips Enterprises ability to deliver services.	Increased residential and open space developments, above what is expected.	Gaps will open up in the service ; increase in customer complaints	4	1	4	Growth has been built into the contract. Contractor operates similar contracts nationally and has the ability to increase resources as required.	4	1	4	4	1	4	Mick Tyrrell		Mitigation in place
4	Financial	Contract Manager	Client requirement shifts in response to legislative requirements.	The risk of change in legislation resting with the Councils.	SP may want to renegotiate elements of the contract and payments.	3	2	6	Monitoring developments from central government. If required a contract variation can be agreed and contract prices negotiated.	3	2	6	3	2	6	Mick Tyrrell	Ongoing	Client unit continues to monitor government initiatives and legislation.
5	Contractual	Contract Manager	Unknown financial implications.	New and complex contract which can be subject to external influences.	Financial or service impacts.	4	3	12	Contract variation and dispute resolution processes included within the contract, as is the ability to negotiate prices. Issues can be escalated to the Partnership Board. Regular client/contractor meetings are held.	3	3	9	3	3	9	Mick Tyrrell		Mitigation in place.
6	Financial/ service/ reputation	Contract Manager	Enterprises inability to deliver contract, endangering ability to deliver the service benefits.	Unwillingness to deliver services as per the contract.	Decline in service standards	4	4	16	Contract Manager and Partnership Board adequately performing their duties. monitoring the contract. Performance pay mechanism is in place and can be used to insensitise the contractor into improved performance.	4	2	8	4	2	8	Mick Tyrrell		Mitigation in place
7	Reputation	Chair of Partnership Board	Political risks associated with two Councils working in partnership.	Each authority has different priorities.	Possibility that one authority wishes to dissolve the Partnership, making the contract unviable.	5	1	5	Inter authority Agreement in place. Dispute resolution process in place.	5	1	5	5	1	5	Julie Seddon/Simon Bovey		Mitigation in place
8	Contractual/Financial/Reputation	Contract Manager	Contract fails	Enterprise go bust. Walk away from the contract as it is no longer viable.	Financial impact on the authorities.	5	2	10	Bond' provided to enable services to revert to the councils. Staff would TUPE back to authorities maintaining operational knowledge.	4	2	8	4	2	8	Mick Tyrrell		Mitigation in place
9	Service/Reputation	Contract Manager	Inability to deliver services	Extreme weather conditions, strike action, incident at the BP terminal stopping access to Westbridge depot.	Reputational impact on the authorities due to services not being delivered	4	2	8	It is a requirement of the contract that Business Continuity Plans are in place and can be evidenced by the client.	4	2	8	4	1	8	Mick Tyrrell	31/12/11	Draft Business Continuity Plans have been submitted. Enterprises Business Continuity Manager is due on site this week.

**Archived Risks**

ID	Risk Category	Risk Owner	Risk Cause <i>(as a result of)</i>	The Risk <i>(there is a risk that)</i>	Risk Impact <i>(which may result in)</i>	Inherent Risk Scores <i>(assume no controls)</i>			Mitigation Actions and Controls	Actual Risk Scores <i>(current position)</i>			Residual Risk Scores <i>(after mitigating actions and controls)</i>			Action Owner	Action Due Date	Progress Update and Estimated Completion Date	Reason for archiving risk
						Impact (1-5)	Probability (1-5)	Score (I x P)		Impact (1-5)	Probability (1-5)	Score (I x P)	Impact (1-5)	Probability (1-5)	Score (I x P)				