






Appendix A Risks and Action Plan Risk Identified	Risk Owner	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating
		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 18/01/2019	as at June 18	as at Sept 18	as at Dec 18
 1 Potential Claims growth - a trend towards greater public awareness and 'claims culture' and the impact of the economic climate means claims may increase	Chief Executive	The Council has robust systems in place both to deal with claims when they happen and also to prevent, where possible, the circumstances where claims could arise. In doing so, the Council has in place policies and procedures designed to enhance safety at work and also to advise staff and others when driving or operating machinery. The Council checks, on a regular basis, that it is up to date on best practice in this area and that systems reflect changes in the local, national or international environments		Strategic	Risk reviewed and noted that this area is of growing significance with the number and value of claims increasing. The risk is somewhat outside of the Council's control, however the internal management of processes and procedures can provide a defence should the need arise.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9

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 2 Financial consequences of adverse planning decisions	Regeneration and Development	Production of Emerging Joint Local Plan – completion of Preferred Options stage	Jul-19	Strategic	The action required is still ongoing. The likelihood of an adverse challenge occurring due to progress made and any occurrence in the past 12 months, with any future challenges has allowed the final rating to be reduced.	I = H L = H High 9	I = H L = M Medium 6	I = H L = M Medium 6
 3 Fire risk occurrence	Corporate Health and Safety			Operational	Risk will remain high due to 2 occurrences in the past 12 months. May reduce on the next report.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9

**Notable High and Medium Risks -
Appendix A**

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 4 Failure to comply with relevant health and safety legislation	Regeneration and Development and Chief Executive	Corporate mandate for scheduled diary dates to update Target100 (Health and Safety system)	Ongoing	Strategic	There have been RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 1995 as amended) reportable incidents over the past six months. A focussed effort upon reviewing risk assessments is expected to improve the Council resilience.	I = 3 L = 1 Medium 3	I = H L = H High 9	I = H L = H High 9
 5 Failure to achieve income targets	Recycling and Waste	Continue to monitor the current global downturn in recycled material values	Ongoing	Operational	The potential market changes mean that the income derived from this is reducing significantly and is primarily outside of the Council's control, however markets are constantly reviewed	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9



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Failure to deliver Local Air Quality Management action plans function in line with statutory requirements - annual reporting	Environmental Protection	Deliver Air Quality Action Plan to DEFRA. Failure to manage air quality in accordance with statutory requirements and not addressing risks to residents health in affected areas. The minister has reserve power functions and judicial review of the council function /decision making may be called.	Jan-19	Operational	New report to go to Public protection by July 2019. Further submission to DEFRA in April 2019. The rating has since reduced and will appear on the next report.	I = H L = H High 9	I = H L = H High 9	I = H L = H Low 2
Cost of service may exceed budget	Recycling and Waste	Continual monitoring of the market for companies to obtain the best off-take prices	Ongoing	Operational		I = H L = M Medium 6	I = H L = H High 9	I = H L = H High 9

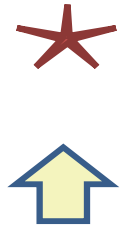


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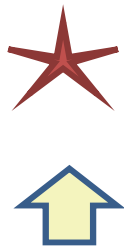
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Loss of Mobile phones and mobile phone network	ICT Business Impact Assessment			Operational	Work undertaken with EE to ensure that backup plans for continuity are in place to reduce the likelihood of similar occurrence	I = L L = L Low 1	I = L L = H Medium 7	I = L L = M Low 4
Work priorities take over completion of the audit plan	Audit	The final risk rating was increased due to the absence of the Audit Manager		Operational	Collaboration with local council for reporting and support in the audit plans	I = M L = M Medium 5	I = M L = H Medium 8	I = M L = H Medium 8





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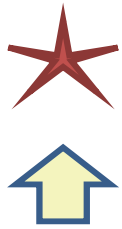
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<p>Ministerial Direction served on NULBC ON 5th October 2018 requiring buses running on specified census ID's equating to (A53 between Sandy Lane and Etruria/A500 roundabout) to be either retrofitted to bring upto Euro 6 or Euro 6 buses to be used no later than 1st Jan 2021 or in the shortest possible time. Reliant on First Bus and First Group fully engaging and supporting project.</p>	<p>Environmental Protection Service</p>	<p>Bus operator engagement and support required.</p> <p>Explore powers of a TRO to promote EURO 6 buses on affected stretch.</p> <p>Retrofit project plan to be developed.</p> <p>Viability of bus service may be affected by forced retrofit.</p>	<p>Mar-19</p>	<p>Operational</p>	<p>Spreadsheet received from PMT with full fleet profile. Current buses not eligible. First Group has verbally indicated support. Fleet renewal for affected services dependant on 40% public subsidy and 60% funding from First. First will need to review allocation in 19/20 budget as budget already set and no funds identified. JAQU contacted re 40% public subsidy from different funding pots.</p> <p>Discussions on-going with County and City re TRO. Also being considered under further measures direction.</p> <p>Retrofit does not appear a viable option - operator will not commit at this stage based on fleet profile and being unsuitable for retrofit. In discussions with JAQU about reallocation of monies towards purchase of new compliant buses and public subsidy from HE fund and Bus bid in Summer 2019.</p> <p>Discussion on going with all partners concerning alternatives</p>			<p>I = H L = H High 9</p>



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<p>Failure of the Borough Council (both officers and Members) to recognise both a moral and legal obligation to ensure a duty of care for children and adults across its services. The Borough Council is committed to ensuring that all children and adults are protected and kept safe from harm whilst engaged in services organised and provided by the Council. Safeguarding is everybody's responsibility.</p>	Safeguarding	<p>To drive across the Council business support by the Executive Management Team, the need for strengthening safeguarding through training and awareness of staff, Members and partners; recording any training on personal files; providing safeguarding champions and the support of; inclusion in Service planning; use of Communications and social media to raise awareness; further HR awareness support in the recruitment process; support for Whistleblowing situations; inclusion in appraisal process and Team Meetings.</p>	Mar-19	Operational				<p>I = H L = H High 9</p>

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  <p>12</p> <p>Criminal Exploitation - Failure to coordinate and contribute to the prevention and early intervention of any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse of vulnerable people, forcing them to engage in various forms of criminal activity such as begging, gang activity and drugs supply; modern slavery and human trafficking etc.</p>	Safeguarding			Operational	<p>Work with Partners and Partnerships.</p> <p>Policies and Procedures in place.</p> <p>Training and awareness undertaken.</p> <p>Various working groups attended by various officers at the Council.</p>			<p>I = H L = H High 9</p>



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Safeguarding Children - the safeguarding duties apply to any child who is experiencing, or at risk of, abuse or neglect.	Safeguarding			Operational	Work with Partners and Partnerships. Commissioned Support Services. Dedicated Personnel. Policies and Procedures in place. Training and awareness undertaken. Various working groups attended by various officers at the Council.			I = H L = H High 9



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Partners failing to share relevant information to assist the council in their Safeguarding obligations.	Safeguarding			Operational	Work with Partners and Partnerships. Dedicated Personnel. Policies and Procedures in place. Training and awareness undertaken. Various working groups attended by various officers at the Council.			I = H L = H High 9



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The accidental loss of information containing personal details of a data subject that do not fall within a non specialist category	Revenue Services	Staff awareness training. Review of Procedures	Dec-18	Operational	All actions completed and risk closed as per Business Managers			I = M L = H Medium 8