



Lothian & Borders Community Justice Authority

Risk Register

RISK REGISTER

Type of Risk	Risks Identified	H/M/L	Category Negligible, Minor, Moderate, Major, Catastrophic	Action/Mitigation
Strategic Risks Hazards and risks that need to be taken into account in judgements about the medium to long-term goals and objectives of the organisation.	A1. Lack of co-operation or failure of other agencies	M	Moderate	Identified through quarterly performance management, tabled for decision at CJA quarterly meetings or through delegated decision making by Convenor/Chief Officer Quarterly performance management. Political pressure for agencies to deliver. Report submitted by Chief Office to quarterly CJA meeting for decision by the Board.
	A2. Inability to demonstrate strategic outcomes as documented in the Area Plan and National Strategy	M	Major	
Political - those associated with failure to deliver either central government policy, or meet the administration's manifesto commitments.	B1. Reduction in re-offending over 08/11	M	Moderate	Government sign off of Area Plan, Action Plan and Annual Report. Recognition by Government that there is no certainty that the 'outcome' strategy will improve re-offending rates.
Economic - those affecting the ability of the organisation to meet its financial commitments. These include internal budgetary pressures,	C1. Inadequate insurance cover	L	Major	Seek legal advice and approval of insurance policy and amend as required.
	C2. Inadequate Admin financial control	L	Moderate	Contract with another suitable external accountancy service.

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Economic continued/ the failure to purchase adequate insurance cover, external macro level economic changes, or the consequences of proposed investment decisions.	C3. Inadequate Section 27 financial control	M	Moderate/Major	New Service Level Agreement with City of Edinburgh Council in place from 2009. Statement of assurance of internal control is completed each financial year. Appointment of a CJA Finance Director to be considered in 2009-10.
	C4. Scottish Government delay in making allocation on time making it difficult for financial administration to adhere to SLA	M	Moderate	Seek assurances from Government delay will not happen; be informed of new date. Agree transitional arrangements in the event of delayed allocation.
Social - those relating to the effects of changes in demographic, residential or socio-economic trends on the organisation's ability to deliver its objectives	D1. Non-operational authority not affected by demographic/geographic/socio-economic changes	L	Negligible	Non-operational authority
Technological - those associated with the capacity of the organisation to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures affecting the organisation's ability to deliver its objectives.	E1. IT system failure	M	Moderate/Major	Locked into Council main frame and network. SLA in place with IT provider for maintenance. Severity will increase with the length of time the system is unavailable.
	E2. Destruction of records	L	Major	All records saved remotely to 'safe' server

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Legislative - those associated with current or potential changes in national or European Law (e.g. the appliance or non-appliance of TUPE3 Regulations, Human Rights Act, Data Protection Act, Disability Discrimination Act etc).	F1. Change in legislation: new criminal justice bill may lead to change of role or function of CJA.	H	Moderate/Major	Influence national agenda through ongoing contact with Govt., other CJA's local Members and COSLA.
	F2. Regulations, Human Rights Act, Data Protection Act, Disability Discrimination Act etc).	L	Moderate	All required policies in place and HR expertise and support is provided by Scottish Borders Council.
Environmental - those relating to the environmental consequences of progressing the organisation's strategic objectives (e.g. in terms of energy efficiency, pollution, recycling, landfill requirements, emissions, etc.).	G1. Recycling, landfill and energy efficiency policies required.	L	Negligible	Authority administered within Scottish Borders Council and all relevant policies apply.
Competitive - those affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver Best Value.	H1. No identifiable sector competitor although need to deliver from a Best Value perspective is paramount.	L	Minor	Service delivered within resources made available by Government equal to each CJA

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Customer/ Citizen - those associated with failure to meet the current and changing needs and expectations of customers and citizens.	I1. Failure to meet needs of partners and other stakeholders	L	Major	Consultation with stakeholders and Government scrutiny monitor needs of partner agencies
Operational Risks Hazards and risks that managers and staff will encounter in the daily course of their work.	J1. Inability to travel J2. Industrial action by Host or other lockout situation	L	Moderate	Essential and Casual Car allowances. Lease vehicle. Comprehensive Insurance including courtesy car. Work from home or move to base within Scottish Prison Service or other partner
Professional - those associated with the particular nature of each profession	K1. Leadership / management deficit/ administration	L	Major	Quarterly meetings where CO is held to account. 1:1 meetings, including Personal Development Plan (PDPP); Scottish Statutory Instrument 182 –guidance for temporary cover of authority posts.
Human resources – those related to issues of employment, sickness, absence, succession etc	L1. Lack of appropriate staff training L2. Staff absence CO L3. Other staff absence due to ill-health or unplanned occurrence. L4. Failure to plan for staff retiral	L H M L	Moderate Moderate Major Minor	Staff annual development plan. Strategic Development Coordinator recruited July 09 who will deputise for CO. Recruit temporary replacements through budget virement or approach partner agency for secondment. Advanced notice to plan replacement. Scottish Borders Council HR will provide CJA with advice.

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Human resources Continued /	L5. Staff turnover	M	Moderate	CO 3mth notice policy; Strategic Development Coordinator and PA/Administrator - 1 mth notice policy. External accountancy/Insurance cover Deputy Convenor would act up
	L6. Fraud	L	Major	
	L7. Convenor long term absence	M	Moderate	
Legal - those related to possible breaches of legislation	M1. Lack of procedural, technical, legislative knowledge	L	Major	Specialist legal advice available.
Financial - those associated with financial planning and control	N1. Ability to gain appropriate level of approval at the correct time for financial allocation and accountability.	M	Moderate	Revise dates for meetings of the CJA to align with financial reporting mile stones.
	N2. Inadequate Admin financial control	L	Major	Contract with another qualified external accountancy firm. New Service Level Agreement with provider External Audit, Statement of internal control, internal audit and appointment of Finance Director.
	N3. Inadequate Section 27 financial control	M	Major	
	N4. Failure of local authority to submit quarterly returns or final accounts on time.	M	Moderate	Establish letter of agreement between financial administration and local authorities. Local Members to hold to account their authority to submit on time.
	N5. External Auditor identifies areas of concern	M	Moderate	Ensure that SLA with financial administration has gained the approval of Audit Scotland as being fit for purpose.

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Physical - those related to fire, security, accident prevention and health and safety (e.g. hazards/risks associated with buildings, vehicles, plant and equipment, etc.).	O1. Loss of premises	L	Moderate	Share risk and remedy with Scottish Borders Council, temporarily relocate to Scottish Prison Service offices or work from home.
	O2. Loss of vehicle	L	Minor	Contract vehicle
Contractual - those associated with the failure of contractors to deliver services or products to the agreed cost and specification.	P1. Loss of accountancy, IT, legal, payroll, financial accountancy	M	Major	Service Level Agreements in place and renewed annually.
Reputation - those relating to the organisation's reputation and the public perception of the organisation's efficiency and effectiveness.	Q1. Failure to deliver national strategy or local priorities	L	Major	Close Government scrutiny, quarterly meetings of Authority which hold CO to account.
	Q2. Adverse Media	M	Moderate	Communication Strategy, Freedom of Information Policy, Data Protection Policy, CJA policies & procedures

Revised 15/7/09

Risk Matrix

E F F E C T	Catastrophic			
	Major	C1,E2,K1 L7,M1,N2,Q1	A2,C3, L4,N3,P1	
	Moderate	C2,F2,J1 J2,L2,O1	A1,B1,C4,E1 L6,L8,N1,N4,N5,Q2, L3	F1
	Minor	H1,I1,L5,O2		
	Negligible	D1,G1		
		Low	Medium	High
		LEVEL OF CHANCE		

Key:

TOLERABLE	LOW PRIORITY	NEED TO REVIEW EVERY 12 MONTHS	NEED TO REVIEW EVERY 6 MONTHS	HIGH PRIORITY
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Risk Table

Risk	Reference	Chance	Effect	Score
Lack of co-operation or failure of other agencies	A1	M	Moderate	6
Inability to demonstrate strategic outcomes as documented in the Area Plan and National Strategy	A2	M	Major	8
Reduction in re-offending over 08/11	B1	M	Moderate	6
Inadequate insurance cover	C1	L	Major	4
Inadequate Admin financial control	C2	L	Moderate	3
Inadequate Section 27 financial control	C3	M	Major/Moderate	8
Scottish Government delay in making allocation on time making it difficult for financial administration to adhere to SLA	C4	M	Moderate	6
Non-operational authority not affected by demographic/geographic/socio-economic changes	D1	L	Negligible	1
IT System failure	E1	M	Moderate	6
Destruction of records	E2	L	Major	4
Change in legislation: new criminal justice bill may lead to change of role or function of JCA	F1	H	Moderate	9
Regulations Human Rights Act, Data Protection, DDA	F2	L	Moderate	3
Recycling, landfill and energy efficiency policies required	G1	L	Negligible	1
No identifiable sector competitors although need to deliver from a Best Value perspective is paramount	H1	L	Minor	2
Failure to meet needs of partners and other stakeholders	I1	L	Minor	2
Inability to travel	J1	L	Moderate	3
Industrial action by Host or other lock out	J2	L	Moderate	3
Leadership/Management/Administration deficit	K1	L	Major	4
Lack of appropriate staff training	L2	L	Moderate	3
Staff absence CO	L3	M	Moderate	6
Other staff absence due to ill-health or unplanned occurrence.	L4	M	Major	
Failure to plan for staff retiral	L5	L	Minor	2
Staff turnover	L6	M	Moderate	6
Fraud	L7	L	Major	4
Convenor long term absence	L8	M	Moderate	6
Lack of procedural technical and legislative knowledge	M1	L	Major	4
Ability to gain appropriate level of approval at the correct time for financial allocation and accountability.	N1	M	Moderate	6
Inadequate Admin financial control	N2	L	Major	4
Inadequate Section 27 financial control	N3	M	Major	8
Failure of local authority to submit quarterly returns or final accounts on time.	N4	M	Moderate	6
External Auditor identifies areas of concern	N5	M	Moderate	6
Loss of premises	O1	L	Moderate	3
Loss of vehicle	O2	L	Minor	2
Loss of accountancy, IT, legal, payroll, financial accountancy	P1	M	Major	8
Failure to deliver national strategy or local priorities	Q1	L	Major	4
Adverse Media	Q2	M	Moderate	6

Score = Chance x Effect

Chance: Low = 1, Medium = 2, High = 3

Effect: Negligible = 1, Minor = 2, Moderate = 3, Major = 4, Catastrophic = 5