

Corporate Risk Register 2017-18 Q4 post-review



Report Type: Risks Report

Generated on: 23 May 2018

Rows are sorted by Risk Score

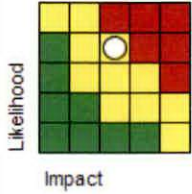
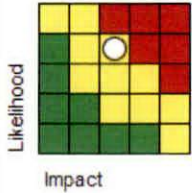
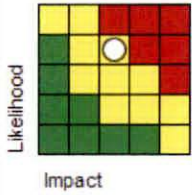
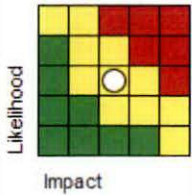
Code & Title CRR-Dimension-01 Overarching strategic risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D01-014	The impact of unforeseen legislative changes on financial and other resources	Financial Community	Horizon scanning Professional publications Four year funding settlement	3	3	9		17-May-2018	17-May-2018 No change in rating. GDPR plan in place with key milestones in run up to and beyond 25th May. Central Government's new policies on plastics and recycling, including the plastic bottle deposit scheme could have a financial impact on the Council	Chief Finance Officer
CRR-D01-016	Failure to successfully implement the Local Plan and new Planning Framework leading to potential government intervention and/or an increase in speculative planning applications	Financial Reputational	Project plan to deliver the Local Plan	3	1	3		17-May-2018	23-May-2018 No change in rating. Following a six week public consultation on the Main Modifications which concluded on the 4th April, officers have summarised the representations, and sent them to the Inspector for review. The Inspector's Final Report, confirming whether the plan is sound or not, is anticipated to be published in June/July 2018.	Head of Planning & Strategic Housing

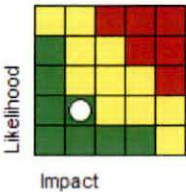
Code & Title CRR-Dimension-02 Financial management & control

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-018	Unavoidable budget pressures exceed provision within the MTFs leading to reduced reserves, pressures on services, tax levels and failure to meet agreed budget targets	Financial	Service Delivery Planning Budgetary control system CT/HoS consider financial pressures Key variances report	4	4	16		17-May-2018	17-May-2018 Likelihood increased from 3 to 4. We are on target for 2017/18. For 2018/19, there will be pressures related to Ubico costs - the fleet is being re-procured as it is becoming too expensive to repair. The financial impact of the Government's plastics and recycling policies is not yet quantifiable. In addition, we will be reviewing our commercial property investments in light of changing retail market	Chief Finance Officer

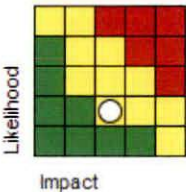
AGENDA ITEM 8
APPENDIX 'A'

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-005	A legal challenge leading to financial or policy implications	Financial Legal Reputational	Managerial advice and supervision Legal advice and effective role of monitoring officer Robust internal procedures 200k in MTFS for planning appeals	3	4	12		17-May-2018	17-May-2018 Likelihood increased from 3 to 4. There is a Land Charges case; mediation is taking place	Group Manager - Land Legal & Property Services
CRR-D02-024	Unable to meet savings required to balance the budget leading to the requirement to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial Performance Community	Regular meetings with Members and Cabinet MTFS and budget process CT/SMT discussions and lead Vision 2020 programme	3	4	12		17-May-2018	17-May-2018 No change in rating. The 2017-18 targets have been achieved, but there are pressures related to Ubico fleet, the Government's plastics and recycling policies, and commercial property investments	Chief Finance Officer
CRR-D02-028	Impact of the Local Government settlement over the medium term results in an increase in the Council's savings target	Financial	Medium Term Financial Strategy Capped value of New Homes Bonus in MTFS (mitigates against fall in housing development) 2020 Vision Programme/shared working Four year funding settlement	3	4	12		17-May-2018	17-May-2018 No change in rating	Chief Finance Officer
CRR-D02-027	Failure of Publica to deliver the agreed objectives in accordance with the business plan leading to savings not being delivered and consequently service failure	Financial Reputational	Programme Board Local Political Support National Political Support Early Engagement with employees and Unions Funding provided to develop detailed business case	3	3	9		17-May-2018	17-May-2018 No change in rating. The Business plan has been agreed and published. The end of year performance report indicates that progress is on track, and the first quarterly performance meetings with Councils are due to commence May/June 2018	Head of Paid Service; Managing Director

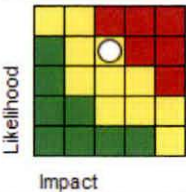
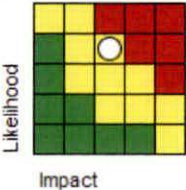
Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-029	Failure of contractors to meet obligations under key contracts leading to a failure in service standards, reduced customer service or a failure to meet legal requirements	Financial Reputational	Robust and effective contract management to ensure standards and requirements in contracts are met and any failings are identified and addressed quickly and effectively Regular meetings to review performance/standards	4	2	8		17-May-2018	17-May-2018 No change in rating	Head of Paid Service
CRR-D02-023	The impact of the financial cost of responding to civil emergencies in the District places a financial burden on the council	Financial	Mutual aid arrangements would enable support and reduce the resource burden on one individual council The Belwin scheme enables costs incurred over a threshold (approx £22K) to be reclaimed Insurance of council's assets and some loss income General Fund Working Balance Flood engineering schemes in place to minimise the impact of severe weather and reduce the risk of property flooding	2	3	6		17-May-2018	18-May-2018 No change in rating	Chief Finance Officer
CRR-D02-002	Failure to meet income targets leading to the requirement to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial Performance Community	Systems of budgetary control Appropriate marketing of services and consideration of effective charging levels Project management arrangements	2	2	4		17-May-2018	17-May-2018 No change in rating. Overall financial performance is in line with operational budget	Chief Finance Officer

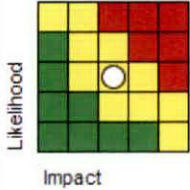
Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-017	Level of pay inflation exceeds provision in the MTFS leading to the requirement to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial	National negotiations on pay award	2	2	4		17-May-2018	17-May-2018 No change in rating. Pay award has been agreed	Chief Finance Officer

Code & Title CRR-Dimension-03 Customer focus

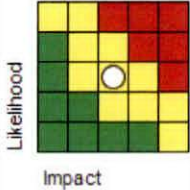
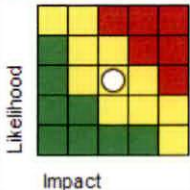
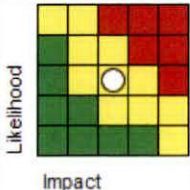
Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D03-007	Failure to consult properly leading to a risk of challenge on Council's decisions	Community Reputational Legal Financial	Press and PR officer Cotswold News Engagement strategy Neighbourhood coordination meetings Annual Town & Parish council meetings Annual Budget consultation	3	2	6		17-May-2018	23-May-2018 The six week public consultation on the Main Modifications for the Local Plan concluded on the 4th April; the representations have been summarised and sent to the Inspector for review	Head of Paid Service

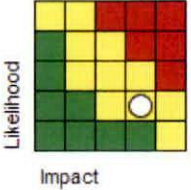
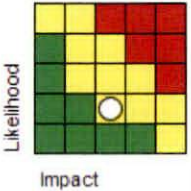
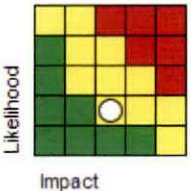
Code & Title CRR-Dimension-04 Organisational learning, staffing & development

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D04-003	A reduction in the level of service delivery due to the failure of Publica Group or the Council to recruit suitable staff and retain them, particularly in some key service areas	Performance Financial Reputational Community	Financial incentives (market force supplement scheme) Work with partners to address skill shortages	3	4	12		17-May-2018	17-May-2018 No change in rating. ICT posts have attracted significant interest, and there has also been success in recruiting to professional planning posts. Some issues with appointing to Legal posts at Forest of Dean	Head of Paid Service; Managing Director
CRR-D04-010	A reduction in the level of service delivery in some services arising from appointments to the Transformation Team where backfilling is required	Performance Reputational Community	Flexible working Performance management framework Partnership working	3	4	12		17-May-2018	17-May-2018 No change in rating. The Transformation Team has been appointed, and we will need to consider the backfilling of posts in particular in ICT, Legal and Property	Head of Paid Service; Managing Director

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D04-009	A reduction in the level of service delivery in some services due to low staff morale and motivation in Publica Group's staff	Performance Community	Communication Comprehensive consultation and engagement process Change management training Joint Liaison Forum 2020 Engagement Strategy	3	3	9		17-May-2018	17-May-2018 No change in rating. Regular staff satisfaction surveys have been introduced. There are still some issues around future terms and conditions and the transformation programme	Head of Paid Service; Managing Director

Code & Title CRR-Dimension-05 Business processes

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D05-001	Poor data quality and use of information leading to poor provision of advice or decision making	Reputational Financial Legal Performance Community	Internal processes and self assessments Internal audit assurance and support Dedicated staff resource on performance management and data quality Performance Management Framework	3	3	9		17-May-2018	17-May-2018 No change in rating. Data and metrics project has commenced which should result in better use of data and improved data quality	Chief Finance Officer; Head of Paid Service
CRR-D05-010	Interruption of services due to severe weather leading to inability to provide key services	Performance Community Reputational	BCPs Weather reports/national news Remote working solution available to staff	3	3	9		17-May-2018	17-May-2018 No change in rating. There was disruption caused by snowfall in February and March 2018; however, all services were able to quickly respond demonstrating the resilience of services as a result of partnership working	Head of Paid Service; Managing Director
CRR-D05-016	Failure to comply with relevant Information Management legislation including the new GDPR and Transparency Agenda leading to government intervention	Financial Reputational Legal	Access to Information Policy FOI process reviewed LGA guidance and supporting documents & templates	3	3	9		17-May-2018	17-May-2018 No change in rating. The GDPR action plan is in place; the policy and DPO have been approved; and senior officers and Members have received further training. The DPO has been providing tailored support for services to ensure that the requirements are understood and met	Data Protection Officer; Head of Paid Service

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D05-019	The failure of contractors to comply with health and safety requirements resulting in financial and reputational damage to the Council	Financial Reputational	Contract management in place to ensure appropriate measures such as risk assessments, appropriate policies, and training is in place. GOSS Health and Safety business partners provide advice and support Concerns can be escalated to contractors' senior management	4	2	8		17-May-2018	17-May-2018 No change in rating	Group Manager - Council Advisory Services
CRR-D05-011	IT System / infrastructure failure due to virus results in reduced system performance leading to poor service delivery/financial impact	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices Undertaken and passed a central government ICT audit, meeting the very high standards set for network security Introduction of new / revised joint policies Periodic staff awareness training BCP in place and reviewed & tested	3	2	6		17-May-2018	17-May-2018 No change in rating	Group Manager - Business Support Services
CRR-D05-012	Loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems resulting in a reputational/financial risk to the Council	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices Undertaken and passed a central government ICT audit, meeting the very high standards set for network security Introduction of new / revised joint policies Periodic staff awareness training BCP in place and reviewed & tested	3	2	6		17-May-2018	17-May-2018 No change in rating	Group Manager - Business Support Services

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D05-013	Reduced capacity to respond to an emergency leading to inability to deal effectively during emergencies and reputational damage	Reputational Legal Financial Community Performance	Contract terms with SLM and GOSS e.g. use of leisure centre as a rest centre Mutual aid arrangements Good will of staff Ward Members, Town & Parish Councillors on hand/training provided Enhanced community resilience arrangements	3	2	6		17-May-2018	17-May-2018 No change in rating	Head of Paid Service; Managing Director
CRR-D05-014	Loss of buildings leading to inability to operate/deliver services	Reputational Financial Legal Performance Community	BCPs including ICT contingency plans Remote access Mutual aid through Shared working strategy Insurance Fail over protocol	3	2	6		17-May-2018	17-May-2018 No change in rating	Group Manager - Land Legal & Property Services

Code & Title CRR-Dimension-06 Longer term risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D06-002	Staff injured undertaking Council duties (including mobile working/travelling to partner sites), impacting on their health and wellbeing, affecting their ability to work and creating liability issues for the Council if sound Health and safety procedures and risk assessments were not in place and followed	Legal Financial Reputational	Health and Safety procedures Access to weather forecasts Lone workers policy Business Continuity Plans	4	2	8		17-May-2018	18-May-2018 No change in rating	Head of Paid Service; Managing Director