

# Corporate Risk Register 2018-19 Q2 post-review



**Report Type:** Risks Report

**Generated on:** 19 October 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	If the Government imposes legislative changes that are not expected then it could have an impact on the Council's finances and other resources	Financial Community	Horizon scanning Professional publications Four year funding settlement	3	3	9		16-Oct-2018	17-Oct-2018 No change in rating. Defra's resources and waste strategy is expected to be published towards the end of November, and could have implications for local authorities	Chief Finance Officer
CRR-D01-016	If the Council fails to successfully implement the Local Plan and new National Planning Framework then central government may intervene and/or speculative planning applications may increase	Financial Reputational	Project plan to deliver the Local Plan	3	1	3		16-Oct-2018	18-Oct-2018 No change in rating. The Local Plan was adopted in August, and no application was made to legally challenge it. The new Housing Delivery Test is an annual measurement of housing delivery in the area and could have an impact on the validity of the Local Plan in the longer term if we fail to meet the target	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
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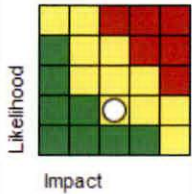
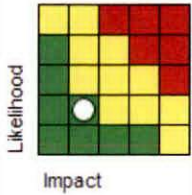
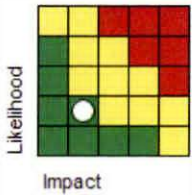
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AGENDA ITEM 13  
APPENDIX 'A'

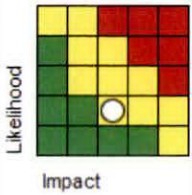
Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-028	If the Local Government settlement over the medium term is unfavourable then the Council's savings target may need to increase	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	5	4	20		16-Oct-2018	17-Oct-2018 No change in rating. We have responded to the technical consultation on the 2019-20 local government settlement, which included changes to the New Homes Bonus calculation. The proposals would result in an increase in the baseline for housing growth in 2019-20, below which New Homes Bonus would not be paid. There could be other financial impacts in 2020-21 as the Government seeks new ways to incentivise housing growth	Chief Finance Officer
CRR-D02-030	If Publica is unable to deliver services to the required standard then it could damage the Council's reputation and result in additional costs for the Council	Financial Reputational	Service management  Performance monitoring  Service risk registers	3	5	15		19-Oct-2018	19-Oct-2018 Added in Q2 of 2018/19. The waste fleet has deteriorated before expected resulting in high levels of breakdown, and as a consequence is impacting on residents and increasing service costs. The fleet is being re-procured as it is too expensive to repair; and discussions are taking place with Ubico as to the options for mitigating this risk over the next 12 months. Finance are carrying out some work to understand whether the fleet should be depreciated over six years rather than seven years	
CRR-D02-018	If unavoidable budget pressures exceed provision within the MTFS then the Council may need to use its reserves, or there may be pressures on services or tax levels and agreed budget targets will not be achieved	Financial	Service Delivery Planning  Budgetary control system  CT/HoS consider financial pressures  Key variances report	4	3	12		16-Oct-2018	17-Oct-2018 No change in rating. There are some budget pressures which are having an impact on the current MTFS. The MTFS will be refreshed and reported to Cabinet in November. In December, there will be a decision on the new waste service options which could have an impact on the budget	Chief Finance Officer
CRR-D02-024	If the Council is unable to meet the savings required to balance the budget then it may need 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		30-Jul-2018	17-Oct-2018 To be reviewed once the Q2 financial data becomes available	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-D02-027	If Publica does not deliver the agreed objectives in accordance with its business plan then the planned savings for the Council would not be delivered and consequently there would be a risk that services could not be delivered	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		16-Oct-2018	17-Oct-2018 No change in rating. Publica is on track to deliver the agreed objectives and savings	Head of Paid Service; Managing Director
CRR-D02-005	If there is a legal challenge to any of the Council's decisions or actions then there may be 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	2	6		16-Oct-2018	17-Oct-2018 Likelihood reduced from 3 to 2. No application was made to legally challenge the Local Plan and the challenge period has since expired	Group Manager - Land Legal & Property Services
CRR-D02-023	If there was a civil emergency in the District then there could be a financial burden on the Council in responding to it	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		16-Oct-2018	17-Oct-2018 No change in rating	Chief Finance Officer

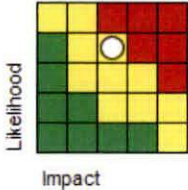
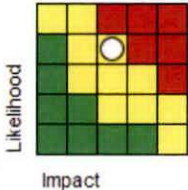
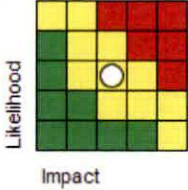


Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D02-029	If contractors do not meet their obligations under key contracts then it could lead to a fall in service standards, reduced customer 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	3	2	6		16-Oct-2018	19-Oct-2018 No change in rating	Head of Paid Service
CRR-D02-002	If the Council fails to meet income targets then it may need 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		23-Aug-2018	17-Oct-2018 To be reviewed once the Q2 financial data becomes available	Chief Finance Officer
CRR-D02-017	If the level of pay inflation exceeds provision in the MTFS then the Council may need 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		16-Oct-2018	17-Oct-2018 No change in rating	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	If the Council does not consult properly, or Publica does not consult properly on the Council's behalf, then the Council's decisions could be challenged	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		16-Oct-2018	18-Oct-2018 No change in rating. There has been no legal challenge to the recently adopted Local Plan. We have previously consulted on the Waterloo decked car park, and further consultation is scheduled before a planning application is submitted	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	If Publica or the Council is unable to recruit suitable staff and retain them, particularly in some key service areas then the level of service delivery may be reduced	Performance Financial Reputational Community	Financial incentives (market force supplement scheme)  Work with partners to address skill shortages	3	4	12		16-Oct-2018	18-Oct-2018 No change in rating. The Planning service did not successfully recruit in the last round, and there is now another round of recruitment. Consultation on a new pay and grading structure which provides more flexibility in rewarding staff, is expected to commence at the beginning of November	Head of Paid Service; Managing Director
CRR-D04-010	If secondments to posts in the Transformation team are not backfilled then the level of service delivery in some services may be reduced	Performance Reputational Community	Flexible working  Performance management framework  Partnership working	3	4	12		16-Oct-2018	18-Oct-2018 No change in rating. A review is being undertaken to establish the overall picture and ensure there is no impact on the 'day job'	Head of Paid Service; Managing Director
CRR-D04-009	If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services	Performance Community	Communication  Comprehensive consultation and engagement process  Change management training  Joint Liaison Forum  2020 Engagement Strategy	3	3	9		16-Oct-2018	18-Oct-2018 No change in rating. There are some parts of the organisation which are suffering from lower levels of morale due to workload pressures arising from significant workloads from partner Councils. More generally it is important that the impacts of any changes to the organisational design and structure of the company are communicated as soon as possible so that employees can gain a better understanding of the changes and how it may impact upon them. Consultation on the new pay and grading structure has commenced with Trade Unions and we expect to commence a detailed consultation across the organisation in early November	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
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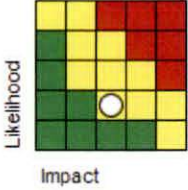
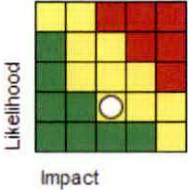
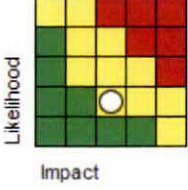
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Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D05-001	If the Council's data is of poor quality or it does not make appropriate use of its data then the decisions it makes may be flawed	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		16-Oct-2018	18-Oct-2018 No change in rating. Data quality and the use of information is being addressed as part of the organisational re-design. Significant modelling and benchmarking have been undertaken to support the waste service review	Chief Finance Officer; Head of Paid Service
CRR-D05-016	If the Council does not comply with relevant Information Management legislation including the new GDPR and Transparency Agenda then the government may intervene which could have a reputational impact on the Council	Financial Reputational Legal	Access to Information Policy  FOI process reviewed  LGA guidance and supporting documents & templates	3	3	9		16-Oct-2018	17-Oct-2018 No change in rating. Progress on the GDPR action plan is being reported to the Council and Publica	Data Protection Officer; Head of Paid Service
CRR-D05-019	If contractors do not comply with health and safety requirements then there could be both financial and reputational implications for 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		16-Oct-2018	17-Oct-2018 No change in rating	Group Manager - Council Advisory Services
CRR-D05-010	If there is severe weather then the Council may be unable to deliver key services which could impact on residents	Performance Community Reputational	BCPs  Weather reports/national news  Remote working solution available to staff	3	2	6		16-Oct-2018	17-Oct-2018 No change in rating	Head of Paid Service; Managing Director

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Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Current Risk Matrix	Last Review Date	Latest Note	Assigned To
CRR-D05-011	If the Council's IT System / infrastructure failed due to cyber attacks and/or virus then system performance could be reduced 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		16-Oct-2018	17-Oct-2018 No change in rating	Group Manager - Business Support Services
CRR-D05-012	If there is a loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems then it could lead to a reduced level of service and have a negative impact on the Council's reputation and finances	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		16-Oct-2018	17-Oct-2018 No change in rating	Group Manager - Business Support Services
CRR-D05-013	If there is insufficient capacity to respond to an emergency then the Council may not be able to deal effectively during emergencies resulting in 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		16-Oct-2018	17-Oct-2018 No change in rating	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-D05-014	If the Council's buildings are destroyed then it would be unable to operate/deliver services which would impact on residents /communities	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		16-Oct-2018	17-Oct-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	If Health and Safety procedures and risk assessments are not in place /being followed then staff could be injured undertaking Council duties which would impact on their health and wellbeing, affect their ability to work and create liability issues for the Council	Legal Financial Reputational	Health and Safety procedures  Access to weather forecasts  Lone workers policy  Business Continuity Plans	4	2	8		16-Oct-2018	17-Oct-2018 No change in rating	Head of Paid Service; Managing Director

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