

Cotswold District Council - Corporate Risk Register

| Overarching strategic risks | | | | | | | | | | | | | |
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| Risk ID | Description of Risk/Opportunity | Initial Risk Assessment | | | Existing Control, Mitigation or Contingency | Previous Residual Risk Score | | | Residual Risk Assessment | | | Direction of Travel | Risk Response & Further Action |
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| CRR-016 | <p>If the government does not provide timely and adequate guidance on the proposed changes to the planning system then the Council will be unable to identify the type of Local Plan update that is required. Delays to preparing an updated Local Plan may result in an increase of speculative planning applications on the fifth anniversary of the local plan's adoption (2023).</p> <p>Risk Owner: Group Manager - Strategic Support</p> | 4 | 4 | 16 | <ul style="list-style-type: none"> Local Plan Adopted in Aug 2018. Local Plan Programme Board reconvened with updated Terms of Reference and membership * Cabinet approved Local Development Scheme in 2021, which confirms LP update key milestones and estimated delivery date. | 3 | 1 | 15 | 3 | 5 | 15 | → | <p>08-June-2021 (remains relevant at Oct 2021) Partial update of Local Plan has restarted. However, the Government announced in May 2021 (via the Queen's Speech) its intention to publish a Planning Bill in the autumn 2021 and carry forward many of the proposed changes suggested by its white paper. The exact details are unknown at this stage but suggested changes are not comparable (in terms of scale and fundamentals) with recent updates and it will have a notable impact on the town planning profession and the Council's statutory duties. The Council's approach to partially updating the Local Plan (rather than a full update) is finely balanced but it continues to offer the most expeditious route to deliver Corporate Strategy actions. This position will need to be reviewed in light of the eventual Planning Bill.</p> <p>21-Apr-2021 Risk of speculative applications has reduced in the short term. Forthcoming request will be made to Cabinet to reboot the partial update of the local plan project</p> |

Financial management & control

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| CRR-014 | <p>If the Government imposes legislative changes that are not expected then it could have an impact on the Council's finances and other resources.</p> <p>Risk Owner: Chief Finance Officer</p> | 4 | 4 | 16 | <ul style="list-style-type: none"> • Horizon scanning • Professional publications • Four year funding settlement | 3 | 5 | 15 | 3 | 5 | 15 | → | <p>9-June-2021 (remains relevant at Oct 2021) The Council continues to respond to the Government's requirements of local authorities to implement initiatives related to Covid-19. The Government has provided some funding for additional costs and lost income and the Council has profiled budgets accordingly based on financial risks associated with the pandemic, a revised budget was approved in September 2020 and the new budget agreed in February 2021.</p> <p>Officers are reviewing Government consultation on the Environment Bill and are drafting a response setting out the implications of the proposals both operational and financial. The financial implications could be significant e.g. provision of a free garden waste collection service for all residents. If new burdens funding linked with the Environment Bill is not sufficient to offset additional costs of collection and lost income the impact will fall upon the Council</p> |
| CRR-019 | <p>If there are insufficient resources to deliver the objectives of the new Corporate Strategy and Plan then the expectations of our communities may not be met resulting in lower satisfaction and reputational damage</p> <p>Risk Owner: Chief Finance Officer</p> | 3 | 3 | 9 | Medium Term Financial Strategy | 3 | 3 | 9 | 3 | 3 | 9 | → | <p>9-Jun-2021 (remains relevant at Oct 2021) . The financial implications of the Council's new Corporate Strategy have been included in the Medium Term Financial Strategy. The latest MTFS was approved by Council in February 2021 and includes additional funding for resources to support the Council's new priorities which were identified in 2020 within the revised MTFS (Sept 2020) and within the Recovery Investment Strategy which also allocates capital funding for investment in Council Priorities and to provide a revenue stream to the Council.</p> <p>This risk links to risk CRR-D02-028 regarding the Local Government Funding Settlement over the Medium Term. This is the biggest risk to the deliverability of the objectives in the new Corporate Strategy.</p> |

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| CRR-028 | If the Local Government settlement over the medium term is unfavourable then the Council's savings target may need to increase Risk Owner: Chief Finance Officer | 4 | 4 | 16 | <ul style="list-style-type: none"> • Medium Term Financial Strategy • Only legacy Payments of New Homes Bonus in MTFS • Publica Transformation Programme • Recovery Investment Strategy approved by Council Sept 20 | 3 | 3 | 9 | 3 | 3 | 9 | → | <p>9-Jun-2021 (remains relevant at Oct 2021) . The MTFS was approved in Feb 2021. New Homes Bonus awarded for 2020/21 and 2021/22 is for one year only (no legacy payments from 2021/22). The significant changes to LG Funding (75% Business Rate Retention, Business Rate Reset, Fairer Funding Review and new Spending Round) have been delayed until 2022/23 and is reflected in the update of the MTFS which was approved by Council in Feb 21. MTFS includes savings targets to address changes to government funding.</p> <p>The Council approved a Recovery Investment Strategy in Sept 20 which aims to increase income to the Council to mitigate against reduced government funding.</p> |
| CRR-018 | If unavoidable budget pressures exceed provision within the MTFS then the Council may need to: find additional income or savings, use its reserves, or there may be pressures on services or tax levels and agreed budget targets will not be achieved Risk Owner: Chief Finance Officer | 3 | 3 | 9 | <ul style="list-style-type: none"> • Service Delivery Planning • Budgetary control system • Publica Strategic Directors/Group Managers and Business Managers engaged in updated of budget and MTFS • Key variances reported to Cabinet and Overview and Scrutiny Committee | 3 | 3 | 9 | 3 | 3 | 9 | → | <p>9-Jun-2021 (remains relevant at Oct 2021) . The 2020/21 budget was revised to reflect the impact of Covid 19. Key service providers (Publica, Ubico and SLM) have been engaged in the revised budget and have also fed in to the budget for 2021/22 approved in February 2021.</p> <p>The Council has determined its Priorities and the financial resources required to enable the Council to deliver against its priorities had been included in the MTFS and associated 2021/22 budget.</p> <p>Members and Officers are working on a plan to increase income to the Council to fund both new objectives from the new Corporate Strategy and to bridge the expected funding gap from 22/23 as a result of changes to local government funding.</p> |
| CRR-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 Risk Owner: Chief Finance Officer | 5 | 5 | 25 | <ul style="list-style-type: none"> • Regular meetings with Members and Cabinet • MTFS and budget process • Publica Group Managers/Business Managers and Strategic Directors involved in budget process • Publica Transformation Programme • Recovery Investment Strategy | 3 | 3 | 9 | 3 | 3 | 9 | → | <p>9-Jun-2021 (remains relevant at Oct 2021) . Impacts on income resulting from the Covid-19 which include leisure services management fee, rental and parking incomes have been considered and incorporated into the 2021/22 budget.</p> <p>The level of savings required as a result of changes to local government funding which will now come into effect in 2022/23 remains unclear. The Council has approved a Recovery Investment Strategy to deliver the savings, or generate additional income, required from changes to local government funding.</p> |
| CRR-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 Risk Owner: Chief Finance Officer | 3 | 4 | 12 | <ul style="list-style-type: none"> • Systems of budgetary control • Appropriate marketing of services and consideration of effective charging levels • Project management arrangements | 3 | 3 | 9 | 3 | 3 | 9 | → | <p>9-Jun-2021 (remains relevant at Oct 2021), 2020/21 budget revised to reflect impact of Covid-19 on income budgets. Budget 2021/22 has been prepared in consultation with Publica officers and reflects reduced development control income and provides for reduced income in first quarter of the financial year offset by Government funding through Sales and Charges Compensation Scheme.</p> |

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| CRR-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 Risk Owner: Chief Finance Officer | 3 | 2 | 6 | National negotiations on pay award | 3 | 3 | 9 | 2 | 5 | 10 | ↑ | 13 Oct-2021 Budget 2021/22 includes provision for a pay award of 1%. Employers have offered 1.75% which has been rejected by Unions and they are now balloting for industrial action. Impact is 2 due to the scale of the financial impact of the extra 0.75% over budget assumption of 1%. Likelihood increased to 5 reflecting the fact that the offer is already in excess of budget assumption. |
| CRR-030 | If Ubico is unable to deliver services to the required standard or to budget then it could damage the Council's reputation and result in additional costs for the Council Risk Owner: Business Manager for Commissioning | 3 | 3 | 9 | <ul style="list-style-type: none"> • Service management • Performance monitoring • Service risk registers | 4 | 5 | 16 | 4 | 3 | 12 | ↓ | 11-Oct-2021 Waste and recycling volumes have remained high but have continued to reduce marginally compared to that seen during 2020 (approximately 20% down to 10% increase) and so additional vehicles and resources are still required for recycling and garden waste collections. The need for additional personal protective equipment is also still in place for Ubico to protect its staff from Covid-19. The Council has provided additional funding in 2021/22 budget accordingly. Ongoing budget implications will be included within the MTFS Update and budget for 2022/23. |
| CRR-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 in line with the budget Risk Owner: Chief Executive/Managing Director | 4 | 3 | 12 | <ul style="list-style-type: none"> • Programme Board • Local Political Support • National Political Support • Early Engagement with employees and Unions • Funding provided to develop detailed business case | 2 | 2 | 4 | 2 | 3 | 4 | → | 11 October 2021 Increase - after a successful 2020/21 where the outturn demonstrated delivery of the overall savings target of £0.5m and additional one off savings of £0.16m Publica has largely delivered its business case targets. The target for 21/22 is a further £0.5m and whilst some steps are in place to deliver this there are pressures building within the organisation in respect of pay capacity to deliver council objectives. The Council has recently approved some additional resource to help resolve some of these issues and steps are being taken to increase resource and deal with pay issues where the labour market is tight. Any risk of under delivery against the Cotswold share of the target is low and falls within the definition of minor in the policy (less than £100k). |
| CRR-005 | If there is a legal challenge to any of the Council's decisions or actions then there may be financial or policy implications Risk Owner: Head of Legal Services | 3 | 2 | 6 | <ul style="list-style-type: none"> • Managerial advice and supervision • Legal advice and effective role of monitoring officer • Robust internal procedures • 200k in MTFS for planning appeals | 3 | 2 | 6 | 3 | 2 | 6 | → | 11-10-2021 No change in rating |
| CRR-032 | Without clear and robust procurement procedures, Publica and Partner Councils will not benefit from the most economically advantageous procurement opportunities and may fail to comply with the law governing Public Procurement Rules. Risk Owner: Executive Director for Commissioning | 4 | 3 | 12 | <ul style="list-style-type: none"> • Procurement rules approved by Council. • Publica Procurement Team able to provide procurement advice and assistance on major procurements. | 3 | 3 | 6 | 3 | 2 | 6 | → | 13-10-2021 Procurement and Commissioning Board established and meet monthly to review upcoming procurements. S151, Group Managers, Business Managers and Commissioners in attendance. The purpose of Board is to ensure effective Commissioning takes place prior to Procurement. Procurement Strategy on hold pending update from Central Government advice on post Brexit on Public Contract Regulations. |

| Customer Focus | | | | | | | | | | | | | |
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| CRR-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 Risk Owner: Chief Executive | 3 | 3 | 9 | <ul style="list-style-type: none"> • Communication team • Engagement strategy • Neighbourhood coordination meetings • Annual Town & Parish council meetings • Annual Budget consultation | 3 | 2 | 6 | 3 | 2 | 6 | → | No change in rating. |
| CRR-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 Risk Owner: Chief Executive/Managing Director | 4 | 4 | 16 | <ul style="list-style-type: none"> • Contract terms with SLM (Everyone Active) 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 • Emergency management framework in place with duty officer arrangements - Flood warden scheme introduced - New telephone messages set up and ready to be activated during flooding season | 3 | 3 | 9 | 3 | 2 | 6 | ↓ | 12-Oct-21 Risk slightly reduced with the introduction of pre-recorded telephone messages regarding flooding which can be made live during winter/flooding time and the introduction of the flood warden scheme. New emergency planning framework will be launched in November 21 which should provide more capacity to respond and therefore risk may be able to be reduced further. |
| CRR-014 | If the Council's buildings are destroyed then it would be unable to operate/deliver services which would impact on residents /communities Risk Owner: Business Manager for Corporate Responsibility | 5 | 2 | 10 | <ul style="list-style-type: none"> • BCPs including ICT contingency plans • Remote access • Mutual aid through Shared working strategy • Insurance • Fail over protocol | 2 | 2 | 4 | 2 | 2 | 4 | → | 12-Oct-21 No change in rating. BCP's are all in the process of being updated and transferred onto new templates which reflect our ability to work from home more easily. Once completed these will inform the new corporate recovery guide which will then be tested later in the year. |

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| CRR-023 | If there was a civil emergency in the District then there could be a financial burden on the Council in responding to it Risk Owner: Business Manager for Corporate Responsibility | 4 | 4 | 16 | <ul style="list-style-type: none"> • 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 | 2 | 3 | 6 | → | 12-Oct-21 No change in rating. There are good internal controls in place to help mitigate this financial risk. |
| CRR-031 | District Councils are required to provide rest centres for the Public during a Civil Emergency. If staff are unwilling to come forward and volunteer with the running of a rest centre, there is a risk that the Council will be unable to fulfil its duty in providing a safe rest centre. Risk Owner: Business Manager for Corporate Responsibility | 4 | 2 | 8 | <ul style="list-style-type: none"> • Small team of volunteers established (although some have left Publica in recent months). Training and support provided by the County Civil Protection Team. • New staff have emergency planning incorporated in Job Roles • Mutual aid can be called upon • It is becoming more common place to use hotels as opposed to rest centres | 3 | 2 | 6 | 3 | 2 | 6 | → | No change in rating. The Council is reviewing its emergency planning arrangements. A small number of staff have come forward as being able to offer assistance in an emergency. A whatsApp group has been set up and is now actively used during emergency incidents to facilitate a better flow of information |

| Organisational learning, staffing & development | | | | | | | | | | | | | |
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| CRR-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 Risk Owner: Chief Executive/Managing Director | 3 | 4 | 12 | <ul style="list-style-type: none"> • Financial incentives (market force supplement scheme) • Work with partners to address skill shortages | 3 | 3 | 9 | 3 | 3 | 9 | → | 12 Oct 2021 No change in rating. Quarterly performance reports enable any necessary mitigation to maintain service delivery levels to be discussed. A review of recruitment is underway and feedback from managers, staff (both Publica and Retained Council staff) clients and Councillors is being considered to help ensure the service meets users' needs and is both flexible and modern going forward. Career-graded posts are being introduced into a number of service areas to assist with retention and development of staff. A new professional development training offer has recently been promoted to staff as another retention measure. |
| CRR-009 | If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services Risk Owner: Chief Executive/Managing Director | 4 | 5 | 20 | <ul style="list-style-type: none"> • Communication • Comprehensive consultation and engagement process • Change management training • Joint Liaison Forum • 2020 Engagement Strategy | 3 | 3 | 9 | 3 | 3 | 9 | → | 11 Oct 2021 No change - The IIP report has identified some areas of weakness for us to work on and we have has a Q&A session post sharing of IIP report. We have held some informal staff lunch get togethers to help re-introduce staff to the office environment and re-connect with colleagues face to face. We are developing some key actions to deliver some of the shortcomings identified in the IIP report. |

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| CRR-011 | If key Officers in the Council (such as the Chief Executive, Deputy Chief Executive or Monitoring Officer) are not available, the Council may not be able to respond effectively to urgent matters which could result in reputational or financial damage Risk Owner: Chief Executive/Managing Director | 4 | 2 | 8 | <ul style="list-style-type: none"> • Deputy CFO and Monitoring Officers in place • Support from Shared Legal Services team-employed by the Publica Partner Councils • Support from professionals within Publica (e.g. Strategic Directors, Group Managers, Accountants, HR) • Support available from other Statutory Officers from across the Publica Partner Councils • Effective working relationships between Officers and Cabinet Members • Risk management processes | 3 | 2 | 6 | 3 | 2 | 6 | → | No change to rating. |
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| Business processes | | | | | | | | | | | | | |
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| CRR-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 | 3 | 4 | 12 | <ul style="list-style-type: none"> • 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 | 3 | 3 | 9 | → | 13-Oct-2021 Additional mitigation has been put in place as part of a collective effort between Corporate Performance and Business Intelligence Teams to improve the accuracy and speed at which KPI data can be collected (moving some of the information into a live environment). A working group has been set up involving members of the scrutiny committee to develop improved assurance methods and metrics for councils relating to public services. Prototyping is in progress in relation to a live data assurance framework for Publica Services. |
| CRR-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 Risk Owner: Data Protection Officer | 3 | 4 | 12 | <ul style="list-style-type: none"> • Access to Information Policy • FOI process reviewed • LGA guidance and supporting documents & templates | 3 | 3 | 9 | 3 | 3 | 9 | → | 17 May 2021 (remains relevant at Oct 2021) . <ul style="list-style-type: none"> • Progress on the UK-GDPR Action Plan & GDPR Risk Register is being reported to the Council and Publica on a regular basis. • Mandatory refresher Information Security / Data Protection on-going , target completion date Oct 2021. Increase internal communications on portal to raise staff awareness on data security • Covid Information Sharing Protocols internal and externally with NHS and OCC continually updated • Conducting a Data (applications) audit • Implement new UK – GDPR changes to Council systems • Introduction of new Data Security Portal page for staff |

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| CRR-019 | If contractors do not comply with health and safety requirements then there could be both financial and reputational implications for the Council Risk Owner: Group Manager for Commercial Growth | 4 | 3 | 12 | <ul style="list-style-type: none"> Contract management in place to ensure appropriate measures such as risk assessments, appropriate policies, and training is in place. Health and Safety business partners provide advice and support Concerns can be escalated to contractors' senior management | 4 | 2 | 8 | 4 | 2 | 8 | → | 11-Oct-2021 No change in rating |
| CRR-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 Risk Owner: Group Manager for Commercial Growth | 4 | 3 | 12 | <p>Robust and effective contract management to ensure standards and requirements in contracts are met and any failings are identified and addressed quickly and effectively</p> <p>Regular meetings to review performance/standards</p> | 3 | 3 | 9 | 3 | 3 | 9 | → | 11-Oct-2021 No change in rating. |
| CRR-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 Risk Owner: Group Manager for Business Support | 3 | 3 | 9 | <p>Preventative measures introduced such as blocking of USB and other devices</p> <p>Undertaken and passed a central government ICT audit, meeting the very high standards set for network security</p> <p>Introduction of new / revised joint policies</p> <p>Periodic staff awareness training</p> <p>BCP in place and reviewed & tested</p> | 3 | 2 | 6 | 3 | 2 | 6 | → | <p>18 May 2021 No change in Risk rating.</p> <ul style="list-style-type: none"> All partner Councils achieved PSN accreditation in Oct 2020 Publica to achieve Cyber Essentials re- accreditation in Sept 2021 Ongoing network Internal & External Penetration checks Regular review of User Privileges Progress on the Cyber Security updates and Action Plan is being reported to the Council and Publica on a regular basis. Continual update Information Asset Register Additional Phishing awareness training to educates employees on how to spot and report suspected phishing attempts Continual Password Audits across our network to evaluate weak passwords Periodic reviews Business Continuity & Disaster Recovery Plans Continual review of staff development |
| CRR-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 Risk Owner: Group Manager for Business Support | 3 | 3 | 9 | <ul style="list-style-type: none"> 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 | 3 | 2 | 6 | → | <p>18 May 2021 (remains relevant at Oct 2021) No change in rating.</p> <ul style="list-style-type: none"> All Councils have PSN accreditation, which compliments the Cyber Essential Plus. The online training programme has now been completely rolled out which is helping to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR. Additional Phishing awareness training to educates employees on how to spot and report suspected phishing attempts has also been provided. |

| Longer Term Risks | | | | | | | |
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| CRR-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 Risk Owner: Group Manager for Business Support | 5 | 3 | 15 | <ul style="list-style-type: none"> • Health and Safety procedures • Access to weather forecasts • Lone workers policy • Business Continuity Plans | 4 | 2 | 8 | 4 | 2 | 8 | → | 13 Oct 2021 No change in rating. All H&S policies & guidance notes have been updated and signed of by the Chief Executive / Managing Director for sign off. The Local H&S Committee which comprises of the H&S Team, HR, Chief Execs and union reps meet on a quarterly basis to review risk assessment and policies to ensure ongoing compliance. A new Fire Evac procedure is currently being developed and will be rolled out across all the Council's buildings in Nov / Dec. |