

APPENDIX B - Corporate Risk Register

Ref:	Risk cause and event	Risk consequences	Risk Owner	Likelihood	Impact	RAG	Mitigating actions and responsibility *BOLD* = new mitigation	Status Update	Committee Risk Register
1	Inability of Council to make savings as identified in the Medium Term Financial Strategy and to balance the Council Budget in 2021/22 and 2022/23	<ul style="list-style-type: none"> * Council exhausts reserves to balance the budget. *Section 114 notice required to be issued by Chief Financial Officer leading to cessation of non-essential spend and essential service provision at minimal level * Reputational damage 	Section 151 Officer	4	5	20	<ul style="list-style-type: none"> * Savings trackers to be used to monitor savings delivery in 2021/22 (and reported monthly to the Executive Leadership Team and Members as part of the Finance Report). If savings reported are not achieved then the Service will have to find compensating savings from their budget. * We are ensuring appropriate use of government issued Covid-19 grants and ensure all COVID costs and income loss are accurately used and reported. * Reserves can be used to support the achievement of savings. However, we have built Reserves as part of the 21/22 budget setting process to provide us with resilience and flexibility over the medium-term where there is significant funding uncertainty. We are only getting to the point over the next year or so where we were at higher Reserves levels a number of years ago. We would look to prioritise those investments by using Reserves which provide a payback (in an invest to save approach). * Recruitment and overtime freeze has been put in place but will place pressure on already stretched teams. This is also supported by a HR/Finance Panel whereby the Chief Executive and Chief Finance Officer approve all new appointments (permanent and interim) and extensions. * Arbitrary cuts to budgets can be enforced but this is a blunt instrument and better done in a targeted way. 	Balanced budget adopted by Council Feb 21.	Strategy & Resources
2	Commercial tenants and businesses unable to make payments to the Council, due to Covid-19.	<ul style="list-style-type: none"> * Reduced cash flow. * Negative impact on budgets. 	Executive Head of Communities	4	4	16	<ul style="list-style-type: none"> * Additional government funds available for business support. * Continue to keep close contact with tenants and understand their cashflow issues. * Consider offering short-term rent free periods and deferred payment schemes for previously strong tenants. * Consider the cost benefit of empty rate/refurbishment costs alongside rent considerations if tenants were to vacate. 	* Executive Head of Communities progressing options appraisal for improving commercial rent collection as part of corporate resources re-alignment.	Strategy & Resources
3	No ICT disaster recovery solution in place	<ul style="list-style-type: none"> * Inability to recover IT services if a potential disaster occurred, severely impacting delivery of most Council business * Recovery of IT systems ineffective. 	Head of Digital Business Transformation and Democratic Services	3	5	15	<ul style="list-style-type: none"> * Agree disaster recovery solution. * Procure secondary site equipment. * Close monitoring of progress by ELT. * Use of cloud based IT systems * Continuance of overnight back up tapes. 	<ul style="list-style-type: none"> * Disaster recovery solution agreed and procurement of secondary site equipment commenced. * The solution is approximately 6 months away from delivery, hence the risk remains red. Other actions associated with this risk are being progressed in tandem. 	Strategy & Resources

APPENDIX B - Corporate Risk Register

4	Local plan is found unsound by the Inspector	<ul style="list-style-type: none"> * Impact on ability to reject inappropriate planning applications * Unable to lobby and deliver infrastructure that meets the needs of local residents, public sector partners and businesses for the whole District. * More challenge to develop policies and working with others to support the building of affordable homes. * Inability to meet statutory requirement and risk of statutory intervention * Unable to review Community Infrastructure Levy. * Additional costs associated with developing a new Plan * Reputational damage 	Chief Planning Officer	3	4	12	<ul style="list-style-type: none"> * Dialogue maintained with the inspector following receipt of preliminary conclusions. * Members to be made aware of any risks associated with responses / hearing sessions to the Inspector. * Ensure responses to the Inspector are submitted in a timely manner. * Work with statutory bodies where appropriate to ensure no objection. * Maintain and defend the strategy set out in the submitted Our Local Plan. * Consider legal advice appropriately. * Use consultants and experts in their field where appropriate to defend the Council's Local Plan. * Undertake additional evidence and main modifications as required by the Inspector. * Continue to have discussions with the Inspector via the Programme Officer. * Keep members updated. 	* Additional resources identified in the 2021/22 budget for the Planning service. Work underway to consider options relating to Junction 6 and transport modelling.	Planning Policy
5	The Council's Business as Usual capacity is constrained due to lack of resources.	<ul style="list-style-type: none"> * Non-delivery and disruption of statutory and non-statutory services. * Increased staff absence levels and staff turnover. * Reduction in staff resilience. * Council suffers loss or temporary unavailability of key staff 	Executive of Head of Corporate Resources	3	4	12	<ul style="list-style-type: none"> * Senior managers proactively support teams to prioritise actions. * Support for staff welfare in place (e.g. mental health first aiders). * Appropriate HR policies in place (e.g. flexible working). * Executive Leadership Team reviewing operating models to release capacity where possible. 	* New risk added to the register.	Strategy & Resources
6	Up to date safeguarding policies and procedures not applied	<ul style="list-style-type: none"> * Risk of harm to children and vulnerable people. * Failure of statutory duty. 	Executive Head of Corporate Resources	3	3	9	<ul style="list-style-type: none"> * Safeguarding project Approval to Start Form being submitted March 2021. * Mandatory online training module issued to all staff. * Safeguarding policies in place. * Safeguarding Officer in place. * Multi-agency safeguarding meetings in place. 	* Online training up-to-date and managed via HR training platform. Now planning to conduct a more detailed investigation and training needs assessment for frontline staff and review policies.	Strategy & Resources
7	Resources and capacity constrained due to ongoing Covid-19 response & recovery	<ul style="list-style-type: none"> * Impact on delivery of business as usual activities and COVID response support. * Council suffers loss or temporary unavailability of key staff. 	Executive Head of Corporate Resources	3	3	9	<ul style="list-style-type: none"> * COVID response team mobilising staff and partners to support as necessary. * Strategic co-ordination in place with the SLRF. * Local outbreak plan in place and continually monitored and updated. * Council Covid-19 project team in place. * Monitoring of staff absence levels in place. * Appropriate HR policies in place. 	* Risk reframed from previous focus on second lockdown, and new mitigation added.	Strategy & Resources
8	Failure to mobilise waste contract	<ul style="list-style-type: none"> * Failure of statutory duty requiring immediate rectification. * Major reputational damage in the local community. * Poor sanitation in the District due to lack of an alternative option. 	Executive Head of Communities	2	3	6	<ul style="list-style-type: none"> * Effective programme management in place. * Procurement process in place. * Regular contract meetings with the supplier. 	* Risk reviewed and mitigations are working effectively.	Community Services
9	Unable to recruit a permanent Chief Executive	<ul style="list-style-type: none"> * Lack of strategic direction and capacity impact on ability to deliver services and priorities * Strain on resources at the Executive Leadership Team level. 	Executive Head of Corporate Resources	2	3	6	<ul style="list-style-type: none"> * Use of expert recruitment partner and extensive advertisement 	* New risk added to the register.	Strategy & Resources
10	Legal and Covid 19 safety requirements are not met for the May elections	<ul style="list-style-type: none"> * Failure of statutory duty * Health and safety of the public and elections staff compromised * Reputational damage. 	Returning Officer / Deputy Returning Officer	1	5	5	<ul style="list-style-type: none"> * Additional Covid 19 protocols and preparations are on track. * Established controls and processes in place. * Use of Government support and guidance 	* New mitigations added (see left), and no further actions are deemed necessary at this time.	Strategy & Resources

APPENDIX B - Risk Matrix

Likelihood	Almost Certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Probable	3	3	6	9	12	15
	Possible	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Negligible	Minor	Moderate	Significant	Severe
			Impact				

Likelihood criteria

Risk Level		Controls
1	Remote	Sufficient controls in place
2	Possible	Conditions exist for occurrence
3	Probable	Controls not fully effective
4	Likely	No effective measures
5	Almost Certain	No effective measures at all

Impact criteria

Risk Level		Impact
1	Negligible	No or negligible impact or disruption to finances, reputation & strategic priorities
2	Minor	Minor impact or disruption to finances, reputation & strategic priorities
3	Moderate	Moderate impact or disruption to finances, reputation & strategic priorities
4	Significant	Major & medium term impact or disruption to finances, reputation & strategic priorities
5	Severe	Severe & medium to long term impact or disruption to finances, reputation & strategic priorities

APPENDIX B - Risk Matrix