

Corporate and Operational Risk Register

Corporate Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Lead Officer
Ref.	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
1/20/1	Significant changes arising from Central Government Legislation.	5	5	25	<ul style="list-style-type: none"> Regulatory changes Changes to service delivery Service performance implications Resource requirements 	<p>Awareness</p> <ul style="list-style-type: none"> Monitoring Officer will receive notification. Horizon scanning by Management Team and Heads of Service. Membership of professional and local government bodies aids horizon scanning. <p>Actions</p> <ul style="list-style-type: none"> Management Team will determine actions to be taken. We will create detailed project plans to manage implementation of changes. We will adopt a management of change approach to mitigate against significant impact to the Council and its staff Service Manager will be responsible for implementing changes through service planning. Financial and workforce planning will be reviewed. External support will be acquired e.g. WRAP The Council will respond to changes in Covid guidance. The Council is preparing changes to local government arrangements. 	2	5	10	Head of legal and Governance
2/20/1	Poor internal and external communications.	4	4	16	<ul style="list-style-type: none"> Poorly informed direction of resources and lack of support for change. Providing inaccurate information to the public may result in processing errors and reworking. Public may have a negative perception of the Council. 	<p>Awareness</p> <ul style="list-style-type: none"> Communication strategy on priorities Internal & external regular publications Regular staff communication from the Chief Executive Officer Comments, Compliments and Complaints monitoring and reporting procedure <p>Actions</p> <ul style="list-style-type: none"> Regular staff and management meetings Key stakeholder networks for consultation Co-ordinated press releases Update Social Media Policy Develop and maintain website and intranet. Use external communication providers 	2	2	4	Head of Paid Service
3/20/1	Failure to achieve efficiency saving, maximise income, or performance targets.	5	5	25	<ul style="list-style-type: none"> Greater costs than budgeted for. Additional costs to mitigate Covid 	<p>Awareness</p> <ul style="list-style-type: none"> Performance Management Framework Regular reporting to Management team <p>Actions</p> <ul style="list-style-type: none"> Heightened analysis of budgets and services Service transformation Business/service planning Pursue action to increase income streams Budget and performance monitoring Secure additional government support when available 	4	4	16	Director of Resources

Corporate and Operational Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Lead Officer
Ref.	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
4/20/1	Poor management of projects and contracts.	4	5	20	<ul style="list-style-type: none"> Leads to overruns on time or cost and failure to achieve project aims. Non-compliance with financial regulations Potential of Fraud and corruption 	<p>Awareness</p> <ul style="list-style-type: none"> Managing Contract performance. Contract Checklist Service plans <p>Actions</p> <ul style="list-style-type: none"> Project Management methodology. External project management support External contract management support Contract Standing Orders and Financial Regulations Budgetary control 	3	2	6	<p>Director of People and Place</p> <p>Legal and Governance should be involved at start of contract process?</p>
5/20/1	Ineffective workforce planning, or imposed reductions in resources.	4	5	20	<ul style="list-style-type: none"> Poor standards of service or disruption to service. Service transformation and commissioning can help build resilience. Loss of qualified and knowledgeable staff exposing the Council to risk of service failure and legal challenge. 	<p>Awareness</p> <ul style="list-style-type: none"> Established suite of HR policies and procedures Service planning process <p>Actions</p> <ul style="list-style-type: none"> Organisational review Organisational Development Training and development Working environment Staff surveys/consultation Flexible working Business continuity plans Management training Appraisals Service Planning Values and behaviours training 	2	3	6	Director of Resources
6/20/1	Failure to secure and manage data.	5	5	25	<ul style="list-style-type: none"> Loss of/ corruption of/ inaccuracy of data, results in disruption to services and breaches of security. Major IT physical hardware failure or electronic attack, such as viruses, hacking or spyware, causes disruption to services and breaches of security. Financial penalties and reputational risk. 	<p>Awareness</p> <ul style="list-style-type: none"> Data breach reporting IT security monitoring Awareness of cyber security risks <p>Actions</p> <ul style="list-style-type: none"> Data protection policy and procedure Freedom of Information publication scheme Data retention policy and procedure for archive and disposal Information breach response plan Review Business Continuity Plan IT system security Public Services Network compliance IT and data online training modules GDPR training and policy Review data sharing agreements Data owner central register Anti-virus software Review of disaster recovery arrangements IT security policies Clear desk strategy Produce Agile Working Policy Review of agile working security Virtual meetings policy 	2	3	6	Director of resources

Corporate and Operational Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Lead Officer
Ref.	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
7/20/1	Economic change.	5	5	25	<ul style="list-style-type: none"> Imposed savings requirements, the financial settlement and Fairer Funding Review; Housing Revenue Account restraints; reliance on Council Tax and Business Rate income. Changes in service demands and levels of income and unsustainable costs for the Council. 	<p>Awareness</p> <ul style="list-style-type: none"> Council wide efficiency monitoring and reporting Budget monitoring Debt management policy <p>Actions</p> <ul style="list-style-type: none"> Section 151/Chief Finance Officer Financial Regulations and Contract Standing Orders Organisational review to ensure we have the right posts and the right skills. Medium Term Financial Plan and Budget Strategy Political decisions aligned to planned budget strategies and available resources Review of fees and charges Maintaining and contributing to financial reserves Strong financial management system Capital finance risk management Internal Audit review of fundamental systems Modelling and monitoring of Business Rates (including appeals) and Council Tax Spending Review technical assessment 	4	4	16	Section 151 Officer
8/20/1	Natural disaster pandemic; malicious or accidental incident.	5	4	20	<ul style="list-style-type: none"> Affects support required by citizens or disrupts existing Council services. 	<p>Awareness</p> <ul style="list-style-type: none"> Information provided by external organisations Communications Strategy <p>Actions</p> <ul style="list-style-type: none"> Emergency plan Emergency planning exercises Review Business Continuity Plan Review of disaster recovery arrangements Arrangements with partner organisations Service arrangements with major contractors 	4	4	16	Head of Paid Service
9/20/1	Changes in political priorities.	5	4	20	<ul style="list-style-type: none"> Resulting in immediate changes that require additional resource to achieve and fail to reflect priorities determined by consultation. Potential Local Government reorganisation impacts on other priorities 	<p>Actions</p> <ul style="list-style-type: none"> Financial and workforce planning Monitoring by Management Team and reporting to the Executive Committee Clear corporate planning and regular performance monitoring Effective service planning Respond to national consultation on key policy changes Membership of the Local Government Association Member training sessions to reflect changes in priorities 	5	3	15	Head of Paid Service

Corporate and Operational Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Lead Officer
Ref.	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
10/20/1	Major Health and Safety incident at the Council.	4	4	16	<ul style="list-style-type: none"> Additional costs for inquiry, disruption to service and possible prosecution. Unknown issues relating to working at home? 	Awareness <ul style="list-style-type: none"> Corporate wide H&S training Actions <ul style="list-style-type: none"> Health & Safety (H&S) Board H&S Management Group H&S procedures – addressed at every service area H&S audits /peer review Specialist H&S advisor Insurance. Assess impact of agile working and provide additional equipment if required. Review agile working guidance 	4	3	12	Head of Paid Service
11/20/1	Brexit Impact of the UK exiting the EU with or without a Withdrawal Agreement	4	4	16	<ul style="list-style-type: none"> Impact on the Council of new legislative framework in a range of areas. Potential civil disruption / product shortages 	<ul style="list-style-type: none"> The Council has a registered Brexit Lead The Council is part of the Cumbria Local Authorities Brexit Forum and the Regional Network The Council is part of the Cumbria Local Resilience Forum Funding has been made available from Central Government which is in reserve for any short term activity that may be required. There is a continued review of the potential implications to the Council as the progress towards leaving the EU is ongoing. 	4	3	12	Assistant Director – Community Services
12/20/1	Failure to deliver the objectives of the Council plan	5	3	15	<ul style="list-style-type: none"> Opportunities to deliver improvements for the Borough may be missed. Detrimental impact for residents. Unable to attract new businesses and residents to the Borough. 	<ul style="list-style-type: none"> The Council Plan will be presented to the Executive Committee in November. The plan contains actions which will deliver the plan's objectives. Service plans for each department are currently being prepared. 	5	2	10	Chief Executive

Corporate and Operational Risk Register

Operational Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Risk owner
Ref	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
1/20/1	Service provision and performance affected by organisational change, industrial action and/or staff sickness.	4	5	20	<ul style="list-style-type: none"> Complaints, poor performance and possible further costs. 	<p>Awareness</p> <ul style="list-style-type: none"> Established suite of HR policies and procedures Organisational culture Management training <p>Actions</p> <ul style="list-style-type: none"> Working environment Staff surveys/consultation Flexible working Business continuity plans Appraisals and professional training Performance monitoring and management Clear absence management scheme Workforce strategy 	3	4	12	Section 151 Officer
2/20/1	Failure of contractor or partners to deliver services or meet agreed performance targets.	4	5	20	<ul style="list-style-type: none"> Additional costs or failed objectives. 	<p>Awareness</p> <ul style="list-style-type: none"> Project management <p>Actions</p> <ul style="list-style-type: none"> Procurement processes – including financial aspects/contract standing orders/equality standards Contract process – creation of robust contracts. Creation of a new post to improve the quality of contracts Accountability and risk ownership documented. Service Level Agreements Contract monitoring Trained/skilled staff Established governance arrangements 	4	3	12	Director of Resources
3/20/1	Potential for fraud, corruption, malpractice or error, by internal or external threats. In addition to immediate financial loss.	5	3	12	<ul style="list-style-type: none"> Could harm reputation and lead to additional inquiry costs and penalties. 	<p>Awareness</p> <ul style="list-style-type: none"> Appropriate culture and risk awareness <p>Actions</p> <ul style="list-style-type: none"> Anti-fraud and corruption strategy Whistleblowing policy National Anti-Fraud Network National Fraud Initiative Financial Regulations and Contract Standing Orders Codes of conduct Appropriately trained staff Segregation of duties Supported financial management system Budget monitoring regime Internal Audit review of systems and controls Insurance Annual Governance Statement 	3	1	3	Director of Resources

Corporate and Operational Risk Register

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			Risk owner
Ref	Risks	Impact	Likelihood	Score			Impact	Likelihood	Score	
4/20/1	Significant infrastructure projects aren't properly supported.	5	4	20	<ul style="list-style-type: none"> Projects aren't delivered in a timely manner. Additional project cost. Loss of reputation. 	<p>Awareness</p> <ul style="list-style-type: none"> Monitoring at IT Users Board Service delivery plan will establish key milestones. <p>Actions</p> <ul style="list-style-type: none"> Regular reviews by the Major Projects Board and the Major Projects Advisory Board. Review resource and skill requirements. Realign resources with the Council's priorities. Address skill shortages. Develop project management skills where required 	5	2	10	Director of People and Place.
5/20/1	Failure to deliver repairs services due to Covid 19 restrictions	5	3	15	<ul style="list-style-type: none"> Unable to carryout repairs and maintenance services to housing assets within the borough Potential increase in disrepair claims from Solicitors Tenants at risk of harm from defective components and maintenance of gas/electric services Responsive Repairs Contractor may not be able to maintain services due to economic downturn Materials and components are not available from builders merchants 	<ul style="list-style-type: none"> Arrangements in place to ensure adequate trade resources remain available to provide 24 hour emergency cover Covid 19 Risk Assessments and safe systems of work signed off and in place, including PPE and tenant questionnaire Routine (30 day repairs) are presently on hold to reduce build up/backlog of overdue orders Investigating zonal working by housing area to improve efficiency, reduce cold calling and increase communications with tenants Additional software purchased from Eviid to reduce number of home visits by staff and provide improved live video chat with tenants to identify repair priority and diagnosis 	5	2	10	Assistant Director - Housing