

## 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	
1/21/1	Significant changes arising from Central Government Legislation.	5	5	25	<ul style="list-style-type: none"> <li>Regulatory changes</li> <li>Changes to service delivery</li> <li>Service performance implications</li> <li>Resource requirements</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Monitoring Officer will receive notification.</li> <li>Horizon scanning by Management Team and Heads of Service.</li> <li>Membership of professional and local government bodies aids horizon scanning.</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Management Team will determine actions to be taken.</li> <li>We will create detailed project plans to manage implementation of changes.</li> <li>We will adopt a management of change approach to mitigate against significant impact to the Council and its staff</li> <li>Service Manager will be responsible for implementing changes through service planning.</li> <li>Financial and workforce planning will be reviewed.</li> <li>External support will be acquired e.g. WRAP</li> <li>The Council will respond to changes in Covid guidance.</li> <li>The Council is preparing for changes to local government arrangements.</li> </ul>	2	5	10	Head of legal and Governance
2/21/1	Poor internal and external communications.	4	4	16	<ul style="list-style-type: none"> <li>Poorly informed direction of resources and lack of support for change.</li> <li>Providing inaccurate information to the public may result in processing errors and reworking.</li> <li>Public may have a negative perception of the Council.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Communication strategy on priorities</li> <li>Internal &amp; external regular publications</li> <li>Regular staff communication from the Chief Executive Officer</li> <li>Comments, Compliments and Complaints monitoring will be reported to the Strategic Management Team and the Audit and Governance Committee</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Regular staff and management meetings</li> <li>Key stakeholder networks for consultation</li> <li>Co-ordinated press releases</li> <li>Develop and maintain website and intranet.</li> <li>Use external communication providers</li> </ul>	2	2	4	Head of Paid Service
3/21/1	Failure to achieve efficiency saving, maximise income, or performance targets.	5	5	25	<ul style="list-style-type: none"> <li>Greater costs than budgeted for.</li> <li>Additional costs to mitigate Covid</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Performance Management Framework. This will be updated to include service plans</li> <li>Regular reporting to Senior Management team, Executive Committee and Overview and Scrutiny Committee</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Heightened analysis of budgets and services</li> <li>Service transformation</li> <li>Business/service planning</li> <li>Pursue action to increase income streams</li> <li>Budget and performance monitoring</li> <li>Secure additional government support when available</li> <li>Challenges to hospitality industry may impact on income</li> </ul>	4	4	16	Director of Resources

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Ref.	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
4/21/1	Poor management of projects and contracts.	4	5	20	<ul style="list-style-type: none"> <li>Leads to overruns on time or cost and failure to achieve project aims.</li> <li>Non-compliance with financial regulations</li> <li>Potential of Fraud and corruption</li> <li>Irretrievable breakdown in contractor arrangements results in the contractor being unable to deliver the outsourced service.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Managing Contract performance.</li> <li>Contract Checklist</li> <li>Service plans</li> <li>Monitoring of contractor performance.</li> <li>Regular contractor meetings.</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Project Management methodology. Briefings for managers have been arranged</li> <li>External project management support</li> <li>External contract management support</li> <li>Contract Standing Orders and Financial Regulations</li> <li>Budgetary control.</li> <li>The Council owns a number of assets used by the contractor.</li> <li>Review options for bringing service in-house</li> </ul>	3	2	6	<p>Director of People and Place</p> <p>Legal and Governance should be involved at start of contract process?</p>
5/21/1	Ineffective workforce planning, or imposed reductions in resources.	4	5	20	<ul style="list-style-type: none"> <li>Poor standards of service or disruption to service.</li> <li>Service transformation and commissioning can help build resilience.</li> <li>Loss of qualified and knowledgeable staff exposing the Council to risk of service failure and legal challenge.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Established suite of HR policies and procedures</li> <li>Service planning process</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Organisational review</li> <li>Organisational Development</li> <li>Training and development</li> <li>Working environment</li> <li>Staff surveys/consultation</li> <li>Flexible working</li> <li>Business continuity plans</li> <li>Management training</li> <li>Appraisals</li> <li>Service Planning</li> <li>Values and behaviours training</li> </ul>	2	3	6	Director of Resources

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6/21/1	Failure to secure and manage data.	5	5	25	<ul style="list-style-type: none"> <li>Loss of/ corruption of/ inaccuracy of data, results in disruption to services and breaches of security.</li> <li>Major IT physical hardware failure or electronic attack, such as viruses, hacking or spyware, causes disruption to services and breaches of security.</li> <li>Financial penalties and reputational risk.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Data breach reporting</li> <li>IT security monitoring</li> <li>Awareness of cyber security risks</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Data protection policy and procedure</li> <li>Freedom of Information publication scheme</li> <li>Data retention policy and procedure for archive and disposal</li> <li>Information breach response plan</li> <li>Review Business Continuity Plan</li> <li>IT system security</li> <li>Public Services Network compliance</li> <li>IT and data online training modules</li> <li>GDPR training and policy</li> <li>Review data sharing agreements</li> <li>Data owner central register</li> <li>Anti-virus software</li> <li>Review of disaster recovery arrangements</li> <li>IT security policies</li> <li>Clear desk strategy</li> <li>Produce Agile Working Policy</li> <li>Review of agile working security. IT project will improve security</li> <li>Virtual meetings policy</li> </ul>	2	3	6	Director of resources
7/21/1	Economic change.	5	5	25	<ul style="list-style-type: none"> <li>Imposed savings requirements, the financial settlement and Fairer Funding Review; Housing Revenue Account restraints; reliance on Council Tax and Business Rate income.</li> <li>Changes in service demands and levels of income and unsustainable costs for the Council.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Council wide efficiency monitoring and reporting</li> <li>Budget monitoring</li> <li>Debt management policy</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Section 151/Chief Finance Officer</li> <li>Financial Regulations and Contract Standing Orders</li> <li>Organisational review to ensure we have the right posts and the right skills.</li> <li>Medium Term Financial Plan and Budget Strategy</li> <li>Political decisions aligned to planned budget strategies and available resources</li> <li>Review of fees and charges</li> <li>Maintaining and contributing to financial reserves</li> <li>Strong financial management system</li> <li>Capital finance risk management</li> <li>Internal Audit review of fundamental systems</li> <li>Modelling and monitoring of Business Rates (including appeals) and Council Tax</li> <li>Spending Review technical assessment</li> </ul>	4	4	16	Section 151 Officer

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8/21/1	Natural disaster pandemic; malicious or accidental incident.	5	4	20	<ul style="list-style-type: none"> <li>Affects support required by citizens or disrupts existing Council services.</li> <li>Impact on Council's finances</li> <li>There is a risk that additional costs and loss of income associated with the coronavirus pandemic depletes the Council's reserves to such an extent that the Council is no longer financially sustainable.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Information provided by external organisations</li> <li>Communications Strategy</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Emergency plan</li> <li>Emergency planning exercises</li> <li>Review Business Continuity Plan</li> <li>Review of disaster recovery arrangements</li> <li>Arrangements with partner organisations</li> <li>Review service arrangements with major contractors</li> <li>Work with other Cumbria local authorities to lobby Central Government to address the costs of the coronavirus pandemic</li> <li>Continue to review reserves and MTFP.</li> </ul>	4	4	16	Head of Paid Service
9/21/1	Changes in political priorities.	5	4	20	<ul style="list-style-type: none"> <li>Resulting in immediate changes that require additional resource to achieve and fail to reflect priorities determined by consultation.</li> <li>Potential Local Government reorganisation impacts on other priorities</li> </ul>	<p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Financial and workforce planning</li> <li>Monitoring by Management Team and reporting to the Executive Committee</li> <li>Clear corporate planning and regular performance monitoring</li> <li>Effective service planning</li> <li>Respond to national consultation on key policy changes</li> <li>Membership of the Local Government Association</li> <li>Member training sessions to reflect changes in priorities</li> </ul>	5	3	15	Head of Paid Service
10/21/1	Major Health and Safety incident at the Council.	4	4	16	<ul style="list-style-type: none"> <li>Additional costs for inquiry, disruption to service and possible prosecution.</li> <li>Unknown issues relating to working at home?</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Corporate wide H&amp;S training</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Health &amp; Safety (H&amp;S) Board</li> <li>H&amp;S Management Group</li> <li>H&amp;S procedures – addressed at every service area</li> <li>H&amp;S audits /peer review</li> <li>Specialist H&amp;S advisor</li> <li>Insurance.</li> <li>Assess impact of agile working and provide additional equipment if required.</li> <li>Review agile working guidance</li> </ul>	4	3	12	Head of Paid Service
12/20/1	Failure to deliver the objectives of the Council plan	5	3	15	<ul style="list-style-type: none"> <li>Opportunities to deliver improvements for the Borough may be missed.</li> <li>Detrimental impact for residents.</li> <li>Unable to attract new businesses and residents to the Borough.</li> </ul>	<ul style="list-style-type: none"> <li>There is an annual review of progress against the Council Plan which is presented to the Executive Committee.</li> <li>The plan contains actions which will deliver the plan's objectives.</li> <li>Service plans for each department are currently being prepared.</li> </ul>	5	2	10	Chief Executive

## Corporate and Operational Risk Register

### Operational Risk Register

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1/21/1	Service provision and performance affected by organisational change, industrial action and/or staff sickness.	4	5	20	<ul style="list-style-type: none"> <li>Complaints, poor performance and possible further costs.</li> </ul>	<b>Awareness</b> <ul style="list-style-type: none"> <li>Established suite of HR policies and procedures</li> <li>Organisational culture</li> <li>Management training</li> </ul> <b>Actions</b> <ul style="list-style-type: none"> <li>Working environment</li> <li>Staff surveys/consultation</li> <li>Flexible working</li> <li>Business continuity plans</li> <li>Appraisals and professional training</li> <li>Performance monitoring and management</li> <li>Clear absence management scheme</li> <li>Workforce strategy</li> </ul>	3	4	12	Section 151 Officer
2/21/1	Failure of contractor or partners to deliver services or meet agreed performance targets.	4	5	20	<ul style="list-style-type: none"> <li>Additional costs or failed objectives.</li> </ul>	<b>Awareness</b> <ul style="list-style-type: none"> <li>Project management</li> </ul> <b>Actions</b> <ul style="list-style-type: none"> <li>Procurement processes – including financial aspects/contract standing orders/equality standards</li> <li>Contract process – creation of robust contracts.</li> <li>Creation of a new post to improve the quality of contracts</li> <li>Accountability and risk ownership documented.</li> <li>Service Level Agreements</li> <li>Contract monitoring</li> <li>Trained/skilled staff</li> <li>Established governance arrangements</li> </ul>	4	3	12	Director of Resources
3/21/1	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"> <li>Could harm reputation and lead to additional inquiry costs and penalties.</li> </ul>	<b>Awareness</b> <ul style="list-style-type: none"> <li>Appropriate culture and risk awareness</li> </ul> <b>Actions</b> <ul style="list-style-type: none"> <li>Anti-fraud and corruption strategy</li> <li>Whistleblowing policy</li> <li>National Anti-Fraud Network</li> <li>National Fraud Initiative</li> <li>Financial Regulations and Contract Standing Orders</li> <li>Codes of conduct</li> <li>Appropriately trained staff</li> <li>Segregation of duties</li> <li>Supported financial management system</li> <li>Budget monitoring regime</li> <li>Internal Audit review of systems and controls</li> <li>Insurance</li> <li>Annual Governance Statement</li> </ul>	3	1	3	Director of Resources

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4/21/1	Significant infrastructure projects aren't properly supported.	5	4	20	<ul style="list-style-type: none"> <li>Projects aren't delivered in a timely manner.</li> <li>Additional project cost.</li> <li>Loss of reputation.</li> </ul>	<p><b>Awareness</b></p> <ul style="list-style-type: none"> <li>Monitoring at IT Users Board</li> <li>Service delivery plan will establish key milestones.</li> </ul> <p><b>Actions</b></p> <ul style="list-style-type: none"> <li>Regular reviews by the Major Projects Board and the Major Projects Advisory Board.</li> <li>Review resource and skill requirements.</li> <li>Realign resources with the Council's priorities.</li> <li>Address skill shortages.</li> <li>Develop project management skills where required</li> </ul>	5	2	10	Director of People and Place.
5/21/1	Failure to deliver repairs services due to Covid 19 restrictions	5	3	15	<ul style="list-style-type: none"> <li>Unable to carryout repairs and maintenance services to housing assets within the borough</li> <li>Potential increase in disrepair claims from Solicitors</li> <li>Tenants at risk of harm from defective components and maintenance of gas/electric services</li> <li>Responsive Repairs Contractor may not be able to maintain services due to economic downturn</li> <li>Materials and components are not available from builders merchants</li> </ul>	<ul style="list-style-type: none"> <li>Arrangements in place to ensure adequate trade resources remain available to provide 24 hour emergency cover</li> <li>Covid 19 Risk Assessments and safe systems of work signed off and in place, including PPE and tenant questionnaire</li> <li>Routine (30 day repairs) are presently on hold to reduce build up/backlog of overdue orders</li> <li>Investigating zonal working by housing area to improve efficiency, reduce cold calling and increase communications with tenants</li> <li>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</li> </ul>	5	2	10	Assistant Director - Housing