 Corporate Risk Register

Reference Risk number/year/version		Inherit Risk					Mitigating Risk			
Ref.	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
1/21/1	Significant changes arising from Central Government Legislation.	5	5	25	• Regulatory changes. • Changes to service delivery. • Service performance implications. • Resource requirements.	**Awareness** • Monitoring Officer will receive notification. • Horizon scanning by Management Team and Heads of Service. • Membership of professional and local government bodies aids horizon scanning. **Actions** • Management Team will determine actions to be taken. • Create detailed project plans to manage implementation of changes. • Adopt a management of change approach to mitigate against significant impact to the Council and its staff. • Heads of Service will be responsible for implementing changes through service planning. • Financial and workforce planning will be reviewed. • External support and specialists will be acquired. • The Council will respond to COVID requirements.	2	5	10	Head of Legal and Governance
2/21/1	Poor internal and external communications.	4	4	16	• 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.	**Awareness** • Communication strategy on priorities. • Internal & external regular publications. • Regular staff communication from the Chief Executive. • Comments, Compliments and Complaints monitoring will be reported to the Senior Management Team and the Audit and Governance Committee. **Actions** • Regular staff and management meetings. • Key stakeholder networks for consultation. • Co-ordinated press releases. • Develop and maintain website and intranet. • Use external communication experts. • Recommence staff newsletter. • LGR staff newsletter and LGR specific briefings.	2	2	4	Chief Executive
3/21/1	Failure to achieve efficiency saving, maximise income, or performance targets.	5	5	25	• Greater costs than budgeted for. • Reduced income generated. • Additional costs to mitigate COVID. • Costs of Local Government Reorganisation. • Core budget deficit to eliminate.	**Awareness** • Budgetary control and financial management. • Regular reporting to Senior Management Team and Executive Committee. • Performance and achievements reported to Overview and Scrutiny Committee. **Actions** • 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. • Challenges to hospitality industry may impact on income.	4	4	16	Director of Resources

Reference Risk number/year/version		Inherit Risk			Potential consequences	Existing control/mitigation	Mitigating Risk			
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	• Leads to overruns on time or cost and failure to achieve project aims. • Non-compliance with contract standing orders and financial regulations. • Potential of fraud and corruption. • Irretrievable breakdown in contractor arrangements results in the contractor being unable to deliver the outsourced service.	**Awareness** • Managing contract performance. • Contract checklist. • Service plans. • Monitoring of contractor performance. • Regular contractor meetings. **Actions** • Project management methodology. • External project management support. • External contract management support. • Contract standing orders and financial regulations. • Budgetary control. • The Council owns property assets used by contractors.	3	2	6	Director of People and Place
5/21/1	Ineffective workforce planning or imposed reductions in resources.	4	5	20	• 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.	**Awareness** • Established suite of HR policies and procedures. • Service planning process. **Actions** • Organisational review. • Organisational development. • Training and development. • Working environment. • Staff surveys/consultation. • Agile and flexible working. • Business continuity plans. • Management training. • Appraisals. • Service planning. • Values and behaviours framework.	2	3	6	Director of Resources
6/21/1	Failure to secure and manage data.	5	5	25	• 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.	**Awareness** • Data breach reporting. • IT security monitoring. • Awareness of cyber security risks. **Actions** • Data protection policy and procedure. • Freedom of Information publication scheme. • Data retention policy and procedure for archive and disposal. • Information breach response plan. • Business continuity plan. • Disaster recovery plan. • IT system security measures and policies. • 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. • Multi-factor authentication. • Clear desk strategy. • Agile working. • Virtual meetings where applicable.	2	3	6	Director of Resources

Reference Risk number/year/version		Inherit Risk					Mitigating Risk			
Ref.	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
7/21/1	Economic change.	5	5	25	• 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. • Rising energy prices – gas, electricity, and fuel.	**Awareness** • Council wide efficiency measures. • Budget monitoring. • Debt management policy. • Market pressures. **Actions** • Financial regulations and contract standing orders. • Organisational review to ensure we have the right posts and the right skills. • Medium Term Financial Plan and savings plan. • 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	Director of Resources
8/21/1	Natural disaster pandemic; malicious or accidental incident.	5	4	20	• Impacts support required by citizens or disrupts existing Council services. • Impact on Council's finances. • Additional duties imposed by Government impact Council resources, business as usual and plans. • There is a risk that additional costs and loss of income associated with COVID or another event that depletes the Council's reserves to such an extent that the Council is no longer financially sustainable.	**Awareness** • Information provided by external organisations. • Communications strategy. **Actions** • Emergency plan. • Emergency planning exercises. • Review business continuity plan. • Review of disaster recovery arrangements. • Arrangements with partner organisations. • Review service arrangements with major contractors. • Work with other Cumbria local authorities to lobby Central Government to address any costs (COVID for example). • Continue to review reserves and Medium Term Finances.	4	4	16	Chief Executive
9/21/1	Changes in political priorities.	5	4	20	• Resulting in immediate changes that require additional resource to achieve and fail to reflect priorities determined by consultation.	**Actions** • 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	Chief Executive

Reference Risk number/year/version		Inherit Risk					Mitigating Risk			
Ref.	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
10/21/1	Major Health and Safety incident at the Council.	4	4	16	• Additional costs for inquiry, disruption to service and possible prosecution. • Service interruption. • Reputational damage.	**Awareness** • Corporate wide H&S training. **Actions** • H&S Management Board. • H&S Management Group. • H&S procedures, including specific departmental needs. • Specialist H&S advisor and expertise. • Insurance. • Workplace and DSE assessments.	4	3	12	Chief Executive
12/20/1	Failure to deliver the objectives of the Council plan	5	3	15	• Opportunities to deliver improvements for the Borough may be missed. • Detrimental impact for residents. • Unable to attract new businesses and residents to the Borough.	• There is an annual review of progress against the Council Plan which is presented to the Executive Committee. • 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
13/21/1	Climate Change adversely impacts the Borough and its surroundings.	5	5	25	• The natural flora, fauna, habitats and features of the area deteriorate or are lost. • Greenhouse gas emissions are not reduced leaving the Earth's temperature to rise faster than is natural. • Extreme weather events such as floods and wildfires increase in potential. • Clean energy opportunities are not promoted. • Waste is not reduced, and reuse is not maximised.	• Climate emergency declared on 16 July 2019 and made a commitment to reduce carbon emissions. • The Climate Change Working Group created a 5 year Climate Change Policy which was agreed at full council on 16 June 2020. • That policy sets out the ambition for the Borough to be net zero carbon no later than 2037. • The Low Carbon Barrow project will deliver carbon savings and establish a framework for continuous and future developments.	3	3	9	Public Protection Manager
14/21/1	Local Government Reorganisation adversely impacts public services for the Borough.	4	4	16	• There is no locality focus and services are not tailored to the customer's needs. • Service delivery is impacted by the process of reorganisation. Current services are reduced or removed. • Investment and development in the Borough is reduced or at risk. • The gaps identified in public health equality are not • addressed.	• The reorganisation will be managed as a project through arrangements agreed between the 7 authorities. • A structure to provide governance and an action/implementation plan is established and workstreams with lead officers have been set up. • The workstreams will use existing Cumbria-wide working groups and the outputs required will flow from the action/implementation plan. • An implementation reserve has been established together with a financial protocol. • The actions will take 7 authorities on the journey to 2 authorities whilst ensuring service continuity is maintained in the best possible way before and after unitisation. • Communication and engagement are identified as a key workstream – for customers, stakeholders and especially for employees. • Service reforms and transitions/savings will be achieved within the new authorities – there is too high a risk in significant changes pre-unitisation. • The Council is undertaking a community governance review for Barrow Town.	2	3	6	Chief Executive

Operational Risk Register

Reference Risk number/year/version		Inherit Risk					Mitigating Risk			
Ref	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
1/21/1	Service provision and performance affected by organisational change, industrial action and/or staff sickness.	4	5	20	• Complaints, poor performance and possible further costs.	**Awareness** • Established suite of HR policies and procedures. • Organisational culture. • Management training. **Actions** • Working environment. • Staff surveys/consultation. • Agile and flexible working. • Business continuity plans. • Appraisals and professional training. • Performance monitoring and management. • Clear absence management scheme. • Workforce strategy.	3	4	12	Director of Resources
2/21/1	Failure of contractor or partners to deliver services or meet agreed performance targets.	4	5	20	• Additional costs or failed objectives.	**Awareness** • Project management. **Actions** • Procurement processes – including financial aspects/contract standing orders/equality standards. • Contract process – creation of robust contracts. • Accountability and risk ownership documented. • Service level agreements. • Contract monitoring and remedial action. • Trained/skilled staff. • Established governance arrangements.	4	3	12	Director of People and Place
3/21/1	Potential for fraud, corruption, malpractice or error, by internal or external threats. In additional to immediate financial loss.	5	3	12	• Could harm reputation and lead to additional inquiry costs and penalties.	**Awareness** • Appropriate culture and risk awareness. **Actions** • 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

Reference Risk number/year/version		Inherit Risk					Mitigating Risk			
Ref	Risks	Impact	Likelihood	Score	Potential consequences	Existing control/mitigation	Impact	Likelihood	Score	Lead Officer
4/21/1	Significant infrastructure projects aren't properly supported.	5	4	20	• Projects aren't delivered in a timely manner. • Additional project cost. • Loss of reputation.	**Awareness** • Programme Board. • Service delivery plan will establish key milestones. **Actions** • Regular reviews by the relevant project and programme boards. • 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
5/21/1	Failure to deliver repairs services due to COVID restrictions.	5	3	15	• Unable to carry out 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.	• 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	Deputy Director of People and Place