


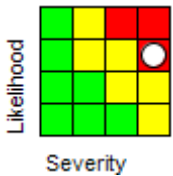
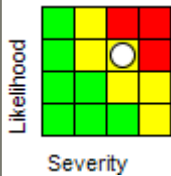



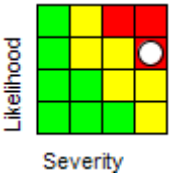
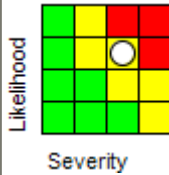
# Corporate Risk Register 2018/19


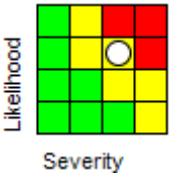
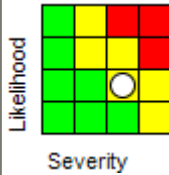
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<b>Risk Code</b>	CPR1819 1	<b>Risk Title</b>	Finance	<b>Current Risk Status</b>	
<b>Description of Risk</b>	To ensure that the Council is financially sustainable as an organisation			<b>Assigned To</b>	
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					


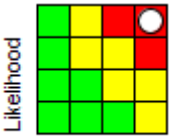
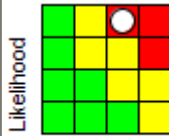
<b>Risk Code</b>	CPR1819 1.1	<b>Risk Title</b>	Funding gaps	<b>Current Risk Status</b>	
<b>Description of Risk</b>				<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>			
<b>Gross Risk Score</b>	12	Medium term financial strategy in place - approved annually	<b>Current Risk Matrix</b>		
<b>Gross Severity</b>	4	Quarterly healthcheck to CMT / Cabinet including MTFS update	<b>Current Risk Score</b>	9	
<b>Gross Likelihood</b>	3	Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels	<b>Current Severity</b>	3	
<b>Gross Risk Review Date</b>	15-Jan-2019	Monitoring of the situation / regular reporting	<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>		A robust & critical review of savings proposals is required / undertaken before inclusion within the forecast	<b>Last Risk Review Date</b>	15-Jan-2019	
<b>Gross Risk Review Date</b>		Robust management of DFG referrals / funding levels			
<b>Gross Risk Review Date</b>		Prudent approach to forecasting of Government Funding (NDR/RSG/New Homes Bonus) post 2020/21 - including redistribution of growth in business rates since 2013			
<b>Consequences</b>	<p>Inability to plan long term due to MTFS</p> <p>There is a high risk that this will have a significant effect on the Council's funding level from 2020/21.</p> <p>Increased risks associated with those Councils who are borrowing large sums to invest in commercial property activities.</p> <p>Shortfall in DFG grant funding / impact on General Fund revenue</p>				
<b>Vulnerabilities/causes</b>	<p>Austerity cuts/Major variances to the level of grant/subsidy</p> <p>Business rates retention – 75% retention of business rates collected from 2020/21 rather than 100% as previously planned.</p> <p>Review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset (when a proportion of the growth in business rates achieved since 2013/14 will be redistributed) together with the Spending Review 2019 - which will also take effect from 2020/21.</p>				

	<p>In addition, the next planned national <b>Business Rates Revaluation</b> will take effect from 2021/22 – with latest indications that the Government will also aim to introduce a <b>centralised system for business rate appeals</b> at the same time to cover future changes arising from the 2021 valuation list</p> <p>Non achievement/delivery of substantial savings</p> <p>Review of the Treasury Management Investment Guidance / Minimum Revenue Provision Guidance has been carried out by DCLG - however, planned CIPFA review of Prudential code may lead to a potential restriction of investments by Councils given increased risk exposure.</p> <p>Disabled Facilities Grants - increased demand / costs not in line with grant levels impacting on other funding sources, uncertainty over funding.</p>
<b>Risk Notes</b>	


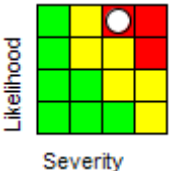
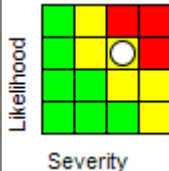
<b>Risk Code</b>	CPR1819 1.2	<b>Risk Title</b>	Business Rates Retention	<b>Current Risk Status</b>	
<b>Description of Risk</b>				<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Robust estimates included to arrive at collection target. Ongoing proactive management & monitoring will continue  Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	4			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	15-Jan-2019	Prudent approach to forecasting of Government Funding (NNDR/RSG/New Homes Bonus) post 2020/21 - including redistribution of growth in business rates since 2013		<b>Last Risk Review Date</b>	15-Jan-2019
<b>Consequences</b>	Reduced levels of business rates income and impact on MTFS				
<b>Vulnerabilities/causes</b>	<p>Uncertainty over level of appeals following 2017 Revaluation and implementation of new approach to 'Check, Challenge and appeal'  Impact on collection levels  Uncertainty / changes in S31 grants  Void property levels  Uncertainty due to:  Business rates retention – 75% retention of business rates collected from 2020/21 rather than 100% as previously planned.</p> <p>Review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset (when a proportion of the growth in business rates achieved since 2013/14 will be redistributed) together with the Spending Review 2019 - which will also take effect from 2020/21.</p> <p>In addition, the next planned national <b>Business Rates Revaluation</b> will take effect from 2021/22 – with latest indications that the Government will also aim to introduce a <b>centralised system for business rate appeals</b> at the same time to cover future changes arising from the 2021 valuation list</p>				
<b>Risk Notes</b>					


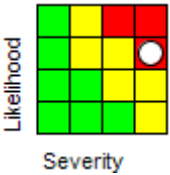
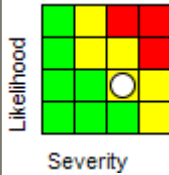
<b>Risk Code</b>	CPR1819 1.3	<b>Risk Title</b>	New Homes Bonus	<b>Current Risk Status</b>	
<b>Description of Risk</b>				<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>			
<b>Gross Risk Score</b>	9	<p>Future levels included on a risk based approach in order to offset further grant reductions / uncertainty over additional property numbers</p> <p>Given uncertainty over the review of the distribution methodology, the 'Fair Funding Review' as well as the Spending Review 2019 - which will take effect from 2020/21 a revised risk based approach was introduced in 2018 for 2019/20 onwards.</p>	<b>Current Risk Matrix</b>		
<b>Gross Severity</b>	3		<b>Current Risk Score</b>	6	
<b>Gross Likelihood</b>	3		<b>Current Severity</b>	3	
<b>Gross Risk Review Date</b>	15-Jan-2019		<b>Current Likelihood</b>	2	
<b>Last Risk Review Date</b>				<b>Last Risk Review Date</b>	15-Jan-2019
<b>Consequences</b>	Reduced levels of New Homes Bonus grant funding & Growth in Council tax Income				
<b>Vulnerabilities/causes</b>	Not achieving anticipated growth in new homes within the Borough and the associated dependency on the New Homes Bonus income				
<b>Risk Notes</b>	Uncertainty over the ongoing funding for the <b><i>New Homes Bonus scheme</i></b> , local growth in housing numbers and share of the national pool (including potential increases to the 'deadweight' for which Council's no longer receive grant). Deadweight confirmed unchanged at 0.4% for 2019/20 but future years uncertain.				

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<b>Risk Code</b>	CPR1819 1.4	<b>Risk Title</b>	Brexit	<b>Current Risk Status</b>	
<b>Description of Risk</b>				<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	16	Implications reassessed as part of the budget setting process and quarterly MTFS updates		<b>Current Risk Score</b>	12
<b>Gross Severity</b>	4			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	4
<b>Gross Risk Review Date</b>	15-Jan-2019			<b>Last Risk Review Date</b>	15-Jan-2019
<b>Consequences</b>	<p>Reduced level of economic growth and further austerity/prosperity/downturn in the economy  Changes to central government policy  EU grants cease  Reduced base interest rate  NNDR / Council Tax targets not achieved with increased bankruptcy / Liquidations</p>				
<b>Vulnerabilities/causes</b>	<p>Uncertainty over the severity of Brexit has increased the financial uncertainty for the UK -  reduced levels of economic growth, changes to central government policy, EU grants ceased, reduced interest, employment uncertainty</p>				
<b>Risk Notes</b>					


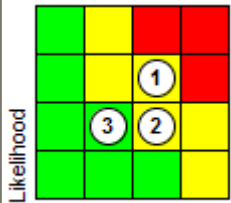
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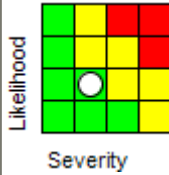
<b>Risk Code</b>	CPR1819 1.5	<b>Risk Title</b>	Welfare and Benefit Reform	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Welfare and Benefit Reform			<b>Assigned To</b>	Rob Barnes; Stefan Garner; Tina Mustafa; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Proactive management & monitoring of corporate income levels i.e. council tax, business rates (monthly review of target achievement) & housing rent Extensive preparation including staff training Task and Finish Group Regular CMT updates Provision of financial advice / Personal Budgeting support Working with CAB / Commissioning to discuss approach post 1/4/19		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	15-Jan-2019			<b>Last Risk Review Date</b>	15-Jan-2019
<b>Consequences</b>	Reduced income / increased bad debts Additional impact arising from increased need for services - eg homelessness Greater demand on 3rd sector and statutory agency services Additional resource requirement to meet demand				
<b>Vulnerabilities/causes</b>	Reduced income corporately due to welfare reform changes (including council tax support scheme and Universal Credit with further austerity measures from Welfare Reform Act 2015) - impact on council tax, rent income etc Implementation of Government policy at local level Household hardship PBS/ADS transferring to CAB from 1/4/19				
<b>Risk Notes</b>					


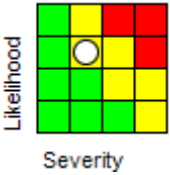
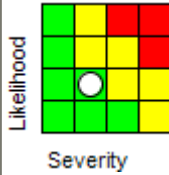
<b>Risk Code</b>	CPR1819 1.6	<b>Risk Title</b>	Failure to manage budgets	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Failure to manage budgets			<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Budget planning & monitoring (Monthly report to CMT) Training Monthly budget monitoring meetings with Accountants and Managers Budget monitoring information available through Collaborative Planning (updated monthly) Annual review of unspent budgets feeds into budget setting process	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	4		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>	15-Jan-2019		<b>Last Risk Review Date</b>	15-Jan-2019	
<b>Consequences</b>	Cuts in front line service provision Quality of service declines Inability to meet on-going costs Budget overspends/underspends Reputational issues				
<b>Vulnerabilities/causes</b>	Lack of involvement / ownership by Managers Information not updated / provided on a regular basis				
<b>Risk Notes</b>					


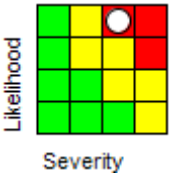
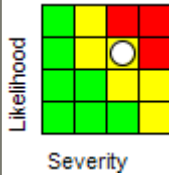
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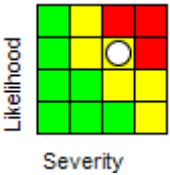
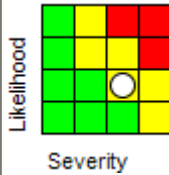


<b>Risk Code</b>	CPR1819 2	<b>Risk Title</b>	Modernisation & Commercialisation Agenda	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Develop and implement continuous improvement and develop employees to perform the right work		<b>Assigned To</b>		
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					


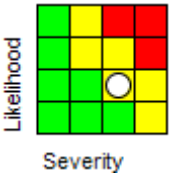
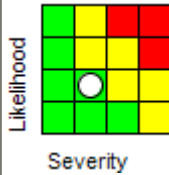
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<b>Description of Risk</b>	Contract Management & Procurement			<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	6	Procurement function Financial Guidance requirements / Contract standing orders in place Contracts review under GDPR legislation to ensure due diligence and obligations met		<b>Current Risk Score</b>	4
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	2		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>	15-Jan-2019		<b>Last Risk Review Date</b>	15-Jan-2019	
<b>Consequences</b>	Services not delivered Damage to reputation Loss of quality service High exit costs Efficiencies not gained Regulations not met				
<b>Vulnerabilities/causes</b>	Failure to meet service delivery expectations Partner has financial failure Service delivery collapses Third party supply chain failure Contractor/partner under performs Failure to assess and manage the risks arising from the use of third parties Benefit not realised				
<b>Risk Notes</b>					


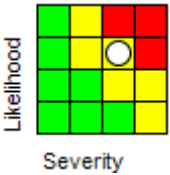
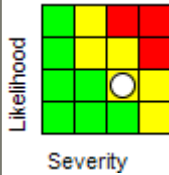
<b>Risk Code</b>	CPR1819 2.2	<b>Risk Title</b>	Management of Assets	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Management of Assets			<b>Assigned To</b>	Rob Barnes; Stefan Garner; Lynne Pugh; Paul Weston
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	6	Asset Strategy Steering Group in place Asset register updated regularly Potential to purchase land in other districts for development (subject to Potential government restraints in the future) Development of longer term Corporate Capital Strategy and Asset Management Planning including potential acquisition, investment and disposal		<b>Current Risk Score</b>	4
<b>Gross Severity</b>	2			<b>Current Severity</b>	2
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	15-Jan-2019			<b>Last Risk Review Date</b>	15-Jan-2019
<b>Consequences</b>	Assets under utilised Income streams not maximised Decrease in asset value				
<b>Vulnerabilities/causes</b>	Assets not monitored Assets not maintained No land available for development opportunities				
<b>Risk Notes</b>					

<b>Risk Code</b>	CPR1819 2.3	<b>Risk Title</b>	New Revenue Streams	<b>Current Risk Status</b>	
<b>Description of Risk</b>	New Revenue Streams			<b>Assigned To</b>	Stefan Garner; Lynne Pugh
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Monitoring of the situation / regular reporting Implementation of planned / potential investment and consequential income streams A robust & critical review of investment proposals is required / undertaken	<b>Current Risk Score</b>	9	
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	4		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	15-Jan-2019		<b>Last Risk Review Date</b>	15-Jan-2019	
<b>Consequences</b>	Increased risks associated with those Councils who are borrowing large sums to invest in commercial property activities				
<b>Vulnerabilities/causes</b>	Delivery of the planned Commercial Investment Strategy actions and associated improved investment returns of 4% p.a. arising from the investment of £24m from the capital receipt due to be received over the period 2016 – 2018 from the sale of the former golf course (to support the MTFS in the long term); Review of the Treasury Management Investment Guidance / Minimum Revenue Provision Guidance has been carried out by DCLG - Cipfa currently reviewing the Prudential Code with a potential restriction of investments by Councils given increased risk exposure.				
<b>Risk Notes</b>					


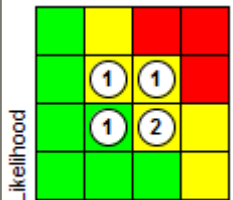
<b>Risk Code</b>	CPR1819 2.4	<b>Risk Title</b>	Workforce Planning Challenges	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Workforce Planning Challenges			<b>Assigned To</b>	Anica Goodwin; Zoe Wolicki
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9	Service reviews Regular communication Regular ELT briefings, restructure, PDR Essential legislative/compliance/CPD Skills development HR policies and procedures reviewed Financial regulations/procedures Post entry training monitored Managing Attendance policy Healthshield and occupational health Pre employment checks Gender pay reporting Regular updates with Trade Unions Workforce plan succession planning Appraisals	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Next Risk Review Date</b>	05-Sep-2018			<b>Last Risk Review Date</b>	24-Jan-2019
<b>Consequences</b>	Strain on remaining staff Risk to service delivery Industrial action Increase in fraud Increase in grievances from staff Inability to align skill levels Pay and conditions below market conditions Increased absence rates				
<b>Vulnerabilities/causes</b>	Staff become overloaded Low morale has impact on service delivery Industrial unrest Redundancy costs Failure to communicate effectively High sickness levels Leadership capacity insufficient to drive change & transformation Senior management review				


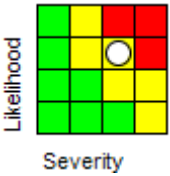
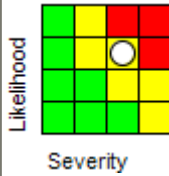
	Inequality Unable to recruit to essential vacant posts
<b>Risk Notes</b>	


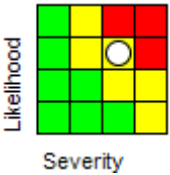
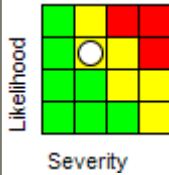
<b>Risk Code</b>	CPR1819 2.5	<b>Risk Title</b>	Continuous Improvement	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Continuous Improvement			<b>Assigned To</b>	Andrew Barratt; Anica Goodwin
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	6	Clear communications re change Effective project management On-going transformational programmes Post Implementation Reviews Leadership Long term planning for continuous improvement clarity of strategies/ purpose Peer Challenge	<b>Current Risk Score</b>	4	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	2		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>	20-Sep-2018		<b>Last Risk Review Date</b>	24-Jan-2019	
<b>Consequences</b>	Change is not completed No strategic direction				
<b>Vulnerabilities/causes</b>	No clarity around responsibilities and accountabilities Lack of leadership Work overload				
<b>Risk Notes</b>					


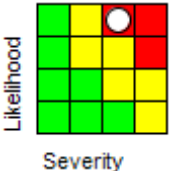
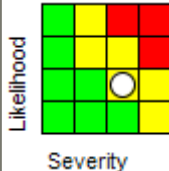
<b>Risk Code</b>	CPR1819 2.6	<b>Risk Title</b>	Partnerships fail	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Partnerships			<b>Assigned To</b>	Rob Barnes; Joanne Sands
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9	Regular partnership service meetings Engagement with service realignments Development of collaborative working		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	2	
<b>Gross Risk Review Date</b>	16-Oct-2018		<b>Last Risk Review Date</b>	16-Jan-2019	
<b>Consequences</b>	Inability to provide service to the required level Loss of service Lack of skilled resources				
<b>Vulnerabilities/causes</b>	Partnerships fail Inability to provide resources to partnership service arrangements Service arrangements provided by other partners cease				
<b>Risk Notes</b>	Partnership Co-ordination group established				


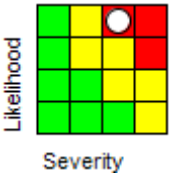
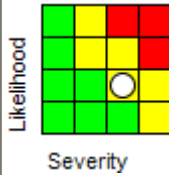



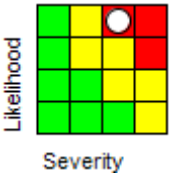
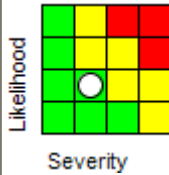
<b>Risk Code</b>	CPR1819 4	<b>Risk Title</b>	Governance	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Ensure that processes, policies and procedures are in place and the authority is held to account		<b>Assigned To</b>		
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	 <p>Likelihood</p> <p>Severity</p>
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					


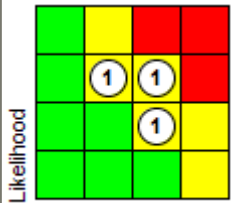
<b>Risk Code</b>	CPR1819 4.1	<b>Risk Title</b>	Democratic Process	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Democratic Process			<b>Assigned To</b>	Andrew Barratt; Anica Goodwin; Ryan Keyte; Angela Struthers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9	Regular review and update of Constitution Scheme of Delegation Forward plan and key decisions Meetings open to the public Training for Members Audit & Governance Committee including Standards Committee) Scrutiny Committees Constitution increased access to services increase use of technology Reference to 'Every Voice Matters'		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	05-Sep-2018			<b>Last Risk Review Date</b>	16-Jan-2019
<b>Consequences</b>	Damage to reputation Legal challenge Damage to reputation Financial impact on poor decisions				
<b>Vulnerabilities/causes</b>	Failure to match social and political expectations Failure to act on feedback Ultra vires decisions Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Failure to understand key decisions, legal/governance requirements Inappropriate decision making Changes to political control Members resign from duties/as a member				
<b>Risk Notes</b>	The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


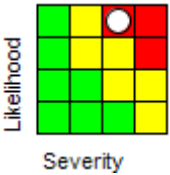
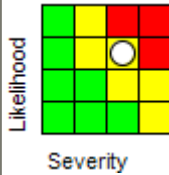
<b>Risk Code</b>	CPR1819 4.2	<b>Risk Title</b>	Assurance Process	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Assurance Process			<b>Assigned To</b>	Andrew Barratt; Stefan Garner; Angela Struthers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9	Internal Audit External Audit Audit & Governance Committee including Standards Committee Scrutiny Committees Annual Governance Statement & Managers Assurance Statements Corporate fraud officer Section 151 Officer Monitoring Officer Policies and procedures	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	3		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	04-Sep-2018		<b>Last Risk Review Date</b>	16-Jan-2019	
<b>Consequences</b>	Erosion in trust and confidence Reputational damage Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Damage to reputation Increased demand for resources Poor inspection/audit comments				
<b>Vulnerabilities/causes</b>	Policies and procedures not followed Lack of resources Policies are not updated				
<b>Risk Notes</b>	The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				

<b>Risk Code</b>	CPR1819 4.3	<b>Risk Title</b>	Legislation	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Legislation			<b>Assigned To</b>	Rob Barnes; Andrew Barratt; Stefan Garner; Anica Goodwin; Ryan Keyte
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Constitution & Scheme of Delegation with regular review and update Solicitor to the Council Obligations under various legislation Monitoring of government reforms and changes in statute CPD Training Horizon Scanning consultation updates		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	05-Sep-2018			<b>Last Risk Review Date</b>	16-Jan-2019
<b>Consequences</b>	Non-compliance with legal requirements Damage to reputation Prosecution, fines Legal challenge Ultra vires decisions				
<b>Vulnerabilities/causes</b>	Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Non compliance with legislation Lack of resources Loss of key staff/members				
<b>Risk Notes</b>	The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


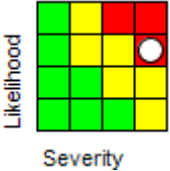
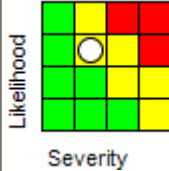
<b>Risk Code</b>	CPR1819 4.4	<b>Risk Title</b>	Policies & Procedures	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Policies & Procedures			<b>Assigned To</b>	Corporate Management Team; Angela Struthers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Constitution & Scheme of Delegation with regular review and update Regular review and update of financial guidance Audit & Governance Committee including Standards Committee) Scrutiny Committees Annual Governance Statement & Managers Assurance Statements Whistleblowing Policy & Counter Fraud Policy Money Laundering Policy Section 151 Officer Monitoring Officer Partnership Guidance Policy NetConsent for policy management and acceptance RIPA Policy & staff training Data Protection Policy/Cyber Awareness & staff training GDPR Astute - e-learning	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	4		<b>Current Likelihood</b>	2	
<b>Next Risk Review Date</b>	05-Sep-2018		<b>Last Risk Review Date</b>	24-Jan-2019	
<b>Consequences</b>	Fraud Poor performance				
<b>Vulnerabilities/causes</b>	Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Lack of resources				
<b>Risk Notes</b>					


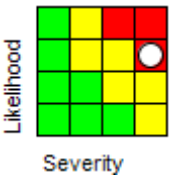
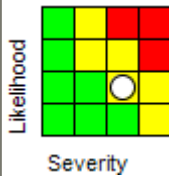
<b>Risk Code</b>	CPR1819 4.5	<b>Risk Title</b>	Ethics	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Ethics			<b>Assigned To</b>	Andrew Barratt; Angela Struthers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Monitoring Officer Declaration of interests, gifts & hospitality Codes of Conduct for members and officers Policies and procedures		<b>Current Risk Score</b>	4
<b>Gross Severity</b>	3			<b>Current Severity</b>	2
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	10-Oct-2018			<b>Last Risk Review Date</b>	16-Jan-2019
<b>Consequences</b>	Reputational damage				
<b>Vulnerabilities/causes</b>	Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Lack of resources				
<b>Risk Notes</b>	The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				

<b>Risk Code</b>	CPR1819 5	<b>Risk Title</b>	Community Focus	<b>Current Risk Status</b>	
<b>Description of Risk</b>	To ensure the safety, health and wellbeing of the citizens of the borough		<b>Assigned To</b>		
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	 <p>Likelihood</p> <p>Severity</p>
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					



<b>Risk Code</b>	CPR1819 5.1	<b>Risk Title</b>	Community Cohesion & Engagement	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Community Cohesion & Engagement			<b>Assigned To</b>	Rob Barnes; Tina Mustafa; Joanne Sands
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Neighbourhood working and collaborative arrangements ASB policy Partnership working Financial inclusion policy Community engagement - locality Corporate consultation database Participatory budgeting Tamworth advice centre Dementia friendly status		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	16-Oct-2018			<b>Last Risk Review Date</b>	23-Jan-2019
<b>Consequences</b>	Long term costs Not meeting/understanding users needs Increase in crime and disorder Poor use of funding Increased tensions in the community Failure to meet demand Fear of perception of crime				
<b>Vulnerabilities/causes</b>	Economic recession Poverty Welfare reforms Services withdrawn Communities become fragmented				
<b>Risk Notes</b>	The risks have been reviewed and there are no changes				


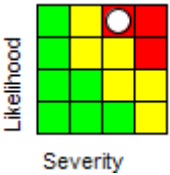
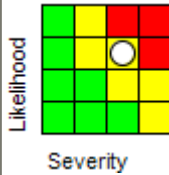



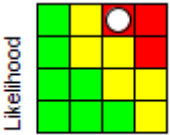
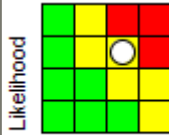
<b>Risk Code</b>	CPR1819 5.2	<b>Risk Title</b>	Safeguarding Children & Adults (including Modern Slavery)	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Safeguarding Children & Adults at Risk of Abuse & Neglect m(including Modern Slavery)			<b>Assigned To</b>	Rob Barnes; Joanne Sands
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Policy in place Training for staff and members Appropriate risk assessments completed Senior leadership commitment Safe recruitment process Supervision of staff, contractors and volunteers	<b>Current Risk Score</b>	6	
<b>Gross Severity</b>	4		<b>Current Severity</b>	2	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	16-Oct-2018		<b>Last Risk Review Date</b>	23-Jan-2019	
<b>Consequences</b>	Death, serious injury Legal challenge Loss of reputation Prosecution Increase in inspection Increase in demand				
<b>Vulnerabilities/causes</b>	Non-compliance with legislation Lack of appropriate policy and procedures Low awareness amongst staff and members Lack of joined up case management Case management systems unable to share data or support risk management Lack of appropriate services Gaps in service provision				
<b>Risk Notes</b>	The risks have been reviewed and no changes identified				


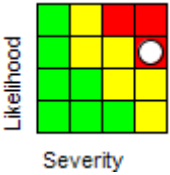
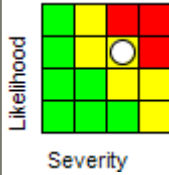
<b>Risk Code</b>	CPR1819 5.3	<b>Risk Title</b>	Emergency Planning	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Emergency Planning			<b>Assigned To</b>	Rob Barnes; Tina Mustafa
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	<p>Emergency Plan in place</p> <p>Emergency planning training completed at various levels</p> <p>Business Continuity Plans in place</p> <p>Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule</p> <p>Active engagement in Exercises</p> <p>Insurance cover in place to cover exposure to financial loss.</p> <p>Advice and guidance on Risk Management and Business Continuity on the intranet</p> <p>Emergencies advice available on website</p> <p>Building- fire prevention controls in place and tested on a regular basis</p> <p>Adequate physical security controls in place and reviewed on a regular basis.</p> <p>IT business continuity plan in place and tested on a regular basis</p> <p>Service impact analysis completed to rank priority of services</p> <p>Corporate business continuity plan in place</p> <p>All communication plans tested on a regular basis</p> <p>Emergency plan tested on a regular basis</p> <p>Business Continuity Group</p> <p>Membership of Staffordshire CCU &amp; Resilience Forum</p> <p>Effective communication /ICT tools/ infrastructure eg mobile phones, laptops</p> <p>Representation at newly formed CCU Strategic Leaders Meeting</p> <p>Successful no notice test</p> <p>Learning from recent incidents - informing preparedness</p> <p>Comprehensive internal audit across BC and EP resulting in a number of agreed management actions</p> <p>Emergency Planning Admin all brought into ICT</p> <p>Actual ICT Disaster recovered from within appropriate timescales</p> <p>Attendance at SRF meetings</p>		<b>Current Risk Score</b>	6
<b>Gross Severity</b>	4			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	10-Oct-2018			<b>Last Risk Review Date</b>	23-Jan-2019
<b>Consequences</b>	<p>Services not delivered</p> <p>Damage to reputation</p> <p>Civil Contingency Act requirements not met</p> <p>Death</p> <p>Destruction of property</p>				


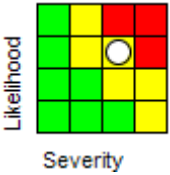
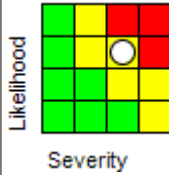
	<p>Damage to the environment          Adverse affect on vulnerable groups          Public expectations of service delivery not met          Increased costs for alternative service delivery</p>
<b>Vulnerabilities/causes</b>	<p>Lack of integrated emergency arrangements making it difficult to react quickly to a disaster and provide the required support and essential service in line with the requirements of the Civil Contingencies Act.          Failure to test plans          Failure to undertake training          Plans not activated          plans do not accurately identify the staffing/resources required          Implications of industrial action from other service providers ie Fire Service</p>
<b>Risk Notes</b>	<p>The emergency plans are in place but are currently being reviewed by Alex from the CCU - TM. System updated by RB as TM experiencing access issues</p>

<b>Risk Code</b>	CPR1819 6	<b>Risk Title</b>	Economic Growth & Sustainability	<b>Current Risk Status</b>	
<b>Description of Risk</b>	To ensure that the economic growth and sustainability of the borough is maintained			<b>Assigned To</b>	
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	 <p>Likelihood</p> <p>Severity</p>
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					


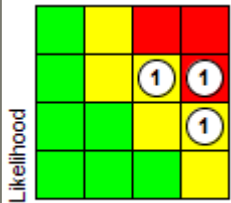
<b>Risk Code</b>	CPR1819 6.1	<b>Risk Title</b>	Regeneration	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Regeneration			<b>Assigned To</b>	Andrew Barratt; Matthew Bowers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Long term investment Safe and secure estate Support to local businesses Tamworth and Lichfield for business Town centre and tourism development		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	10-Oct-2018			<b>Last Risk Review Date</b>	09-Jan-2019
<b>Consequences</b>	Deprivation Loss of footfall to retail areas Reputational damage				
<b>Vulnerabilities/causes</b>	Lack of investment in the borough No investment in the town centre				
<b>Risk Notes</b>	Continue to offer business grants and signposting to businesses.  Investment in town centre site				


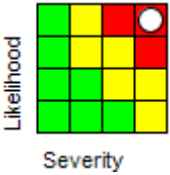
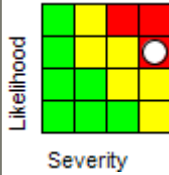
<b>Risk Code</b>	CPR1819 6.2	<b>Risk Title</b>	Housing Needs	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Housing Needs			<b>Assigned To</b>	Rob Barnes; Tina Mustafa; Joanne Sands
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Homelessness prevention activity Homelessness services and preparation for HRA Third Sector support and early help development Investment and partnership to deliver new affordable homes		<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	4		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	10-Oct-2018		<b>Last Risk Review Date</b>	23-Jan-2019	
<b>Consequences</b>	Impact of housing need and homelessness on households Additional demand for Council services Additional demand on 3rd Sector Statutory agencies Overcrowding and wellbeing impact of poor housing				
<b>Vulnerabilities/causes</b>	Lack of accessible homes Lack of affordable homes Poor conditions in the Private Sector Increased homelessness				
<b>Risk Notes</b>	No changes required Reviewed by TM adequate controls still in place. system updated by RB as TM experiencing access issues				


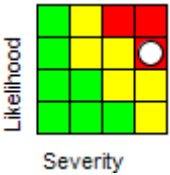
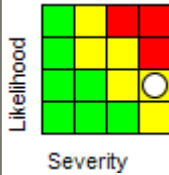
<b>Risk Code</b>	CPR1819 6.3	<b>Risk Title</b>	Economic Changes	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Economic Changes			<b>Assigned To</b>	Andrew Barratt; Matthew Bowers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Support to local businesses Business and economic partnership Business growth programme Tamworth & Lichfield for business Growth hub Start up business grants for small business Tamworth enterprise centre	<b>Current Risk Score</b>	9	
<b>Gross Severity</b>	4		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	10-Oct-2018		<b>Last Risk Review Date</b>	09-Jan-2019	
<b>Consequences</b>	No external funding to aid economy and growth Economic prosperity declines Increased demand for social housing Increased costs to council services due to increased demand				
<b>Vulnerabilities/causes</b>	Failure to recognise economic changes Sudden economic downturn affecting businesses Loss of major employer in the region Failure to recognise opportunities Rapid increase in inflation Changes in government funding/grants Collapse/decline of property market				
<b>Risk Notes</b>	mindful of Brexit consequences in short and long term. working with partners to promote awareness and consider impacts. offer business grants and signposting to other agencies for support				


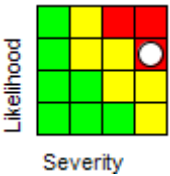
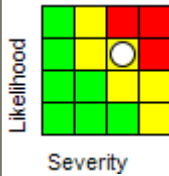
<b>Risk Code</b>	CPR1819 6.4	<b>Risk Title</b>	Demographics	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Demographics			<b>Assigned To</b>	Andrew Barratt; Matthew Bowers
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	9			<b>Current Risk Score</b>	9
<b>Gross Severity</b>	3			<b>Current Severity</b>	3
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	10-Oct-2018			<b>Last Risk Review Date</b>	09-Jan-2019
<b>Consequences</b>	Lower level of skills Lower level of health				
<b>Vulnerabilities/causes</b>	No investment in skills to the populous Lack of healthcare to the populous				
<b>Risk Notes</b>	successful in bringing a WMCA skills pilot to the area				



<b>Risk Code</b>	CPR1819 7	<b>Risk Title</b>	Information Safeguarding	<b>Current Risk Status</b>	
<b>Description of Risk</b>	To ensure that our data is protected			<b>Assigned To</b>	
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>				<b>Current Risk Score</b>	
<b>Gross Severity</b>				<b>Current Severity</b>	
<b>Gross Likelihood</b>				<b>Current Likelihood</b>	
<b>Gross Risk Review Date</b>				<b>Last Risk Review Date</b>	
<b>Consequences</b>					
<b>Vulnerabilities/causes</b>					
<b>Risk Notes</b>					

<b>Risk Code</b>	CPR1819 7.1	<b>Risk Title</b>	Data Protection	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Data Protection			<b>Assigned To</b>	Anica Goodwin; Zoe Wolicki
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	16	GDPR training Secure password protocol IT physical controls Encryption protocols secure wifi ICO protocol  GDPR implemented & ongoing quarterly review & action plan in place Data Protection Officer in place & appropriate backup arrangements Senior management support Comprehensive training plan for staff and members Privacy impact assessments completed for new Projects/implementation/solutions Data sharing protocols		<b>Current Risk Score</b>	12
<b>Gross Severity</b>	4			<b>Current Severity</b>	4
<b>Gross Likelihood</b>	4			<b>Current Likelihood</b>	3
<b>Gross Risk Review Date</b>	05-Sep-2018			<b>Last Risk Review Date</b>	23-Jan-2019
<b>Consequences</b>	Reputational damage Fine				
<b>Vulnerabilities/causes</b>	Human error Virus/hacking				
<b>Risk Notes</b>					

<b>Risk Code</b>	CPR1819 7.2	<b>Risk Title</b>	Cyber Security	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Cyber Security			<b>Assigned To</b>	Anica Goodwin; Zoe Wolicki
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	GDPR compliance and training GCSX PSN compliance Physical security Business continuity plans Penetration testing Firewalls Anti virus software Up to date patching of servers & desktops		<b>Current Risk Score</b>	8
<b>Gross Severity</b>	4			<b>Current Severity</b>	4
<b>Gross Likelihood</b>	3			<b>Current Likelihood</b>	2
<b>Gross Risk Review Date</b>	05-Sep-2018			<b>Last Risk Review Date</b>	23-Jan-2019
<b>Consequences</b>	Fine Reputational damage Potential imprisonment Loss of data Inability to deliver service				
<b>Vulnerabilities/causes</b>	Insecure IT equipment Human error Loss of equipment/data Theft Equipment failure Hacking/viruses				
<b>Risk Notes</b>					

<b>Risk Code</b>	CPR1819 7.3	<b>Risk Title</b>	Business Continuity	<b>Current Risk Status</b>	
<b>Description of Risk</b>	Business Continuity			<b>Assigned To</b>	Rob Barnes; Paul Weston
<b>Gross Risk Matrix</b>		<b>Risk Treatment Measures Implemented</b>		<b>Current Risk Matrix</b>	
<b>Gross Risk Score</b>	12	Emergency plan in place Business continuity plans in place Insurance cover Advice and guidance on risk management and business continuity Fire prevention controls Physical building controls on place Communication plan Business continuity group Membership of Staffordshire CCU & resilience forum Learning from previous incidents - informing level of preparedness Support from CCU Link Officer	<b>Current Risk Score</b>	9	
<b>Gross Severity</b>	4		<b>Current Severity</b>	3	
<b>Gross Likelihood</b>	3		<b>Current Likelihood</b>	3	
<b>Gross Risk Review Date</b>	10-Oct-2018		<b>Last Risk Review Date</b>	21-Jan-2019	
<b>Consequences</b>	Services not delivered Damage to reputation Civil contingency act obligations not met Death Destruction of property Damage to the environment Adverse affect on vulnerable groups Public expectations of service delivery not met Increased costs for alternative service delivery				
<b>Vulnerabilities/causes</b>	Lack of integrated emergency arrangement making it difficult to react Failure to test plans Failure to undertake training Plans not activated Plans do not accurately identify the staffing/resources required Implications of industrial action from other service providers eg fire service Lack of staff engagement in BC Group				
<b>Risk Notes</b>	No change from previous assessment. Programme of BC reviews to be implemented and will focus on priority areas. No changes as per PW				



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