




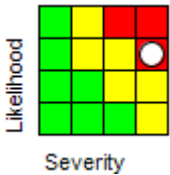
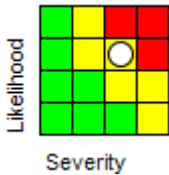
Corporate Risk Register 2019/20


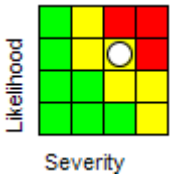
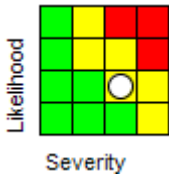
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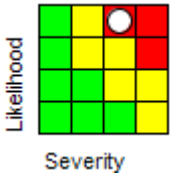
Risk Code	CPR1920 1	Risk Title	Finance	Current Risk Status	
Description of Risk	To ensure that the Council is financially sustainable as an organisation			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score				Current Risk Score	
Gross Severity				Current Severity	
Gross Likelihood				Current Likelihood	
Gross Risk Review Date				Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					


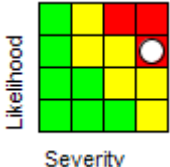
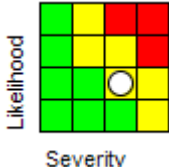
Risk Code	CPR1920 1.1	Risk Title	Funding gaps	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross Risk Score	12	Medium term financial strategy in place - approved annually	Current Risk Score		
Gross Severity	4	Quarterly healthcheck to CMT / Cabinet including MTFS update	Current Severity		
Gross Likelihood	3	Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels	Current Likelihood		
Gross Risk Review Date	29-Mar-2019	Monitoring of the situation / regular reporting A robust & critical review of savings proposals is required / undertaken before inclusion within the forecast Scrutiny Role by Budget Working Group and CMT Robust management of DFG referrals / funding levels Prudent approach to forecasting of Government Funding (NDR/RSG/New Homes Bonus) post 2021/22 - including redistribution of growth in business rates since 2013	Last Risk Review Date		
Consequences	<p>11-Oct-2019</p> <p>Inability to plan long term due to uncertainty over future Local Government funding arising from the Fair Funding Review, the planned business rates reset and the revised business rates retention scheme from 2021/22.</p> <p>Announcements as part of Spending Round 2019 that the Review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset will be now be reviewed as part of the Comprehensive Spending Review now planned for 2020 for 2021/22.</p> <p>There is a high risk that this will have a significant effect on the Council's funding level.</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>				


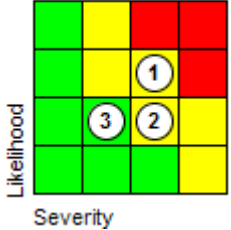
<p>Vulnerabilities/causes</p>	<p>Austerity cuts/Major variances to the level of grant/subsidy</p> <p>Business rates retention – deferral of the 75% retention of business rates from 2020/21 to 2021/22 (rather than 100% as previously planned).</p> <p>Review of the distribution methodology, the 'Fair Funding 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 was planned to take effect from 2020/21.</p> <p>Announcements as part of Spending Round 2019 that the Review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset will be now be reviewed as part of the Comprehensive Spending Review now planned for 2020 for 2021/22.</p> <p>In addition, the next planned national <i>Business Rates Revaluation</i> will take effect from 2021/22 – with latest indications that the Government will also aim to introduce a <i>centralised system for business rate appeals</i> 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>
<p>Risk Notes</p>	


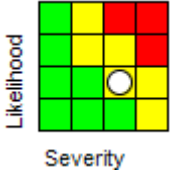
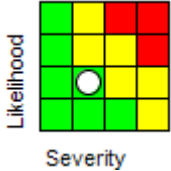
Risk Code	CPR1920 1.2	Risk Title	Business Rates Retention	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Robust estimates included to arrive at collection target. Ongoing proactive management & monitoring will continue		Current Risk Score	9
Gross Severity	4			Current Severity	3
Gross Likelihood	3	Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels		Current Likelihood	3
Gross Risk Review Date	29-Mar-2019	Prudent approach to forecasting of Government Funding (NNDR/RSG/New Homes Bonus) post 2021/22 - including redistribution of growth in business rates since 2013		Last Risk Review Date	11-Oct-2019
Consequences	Reduced levels of business rates income and impact on MTF5				
Vulnerabilities/causes	<p>Uncertainty over level of appeals following 2017 Revaluation and implementation of new approach to 'Check, Challenge and appeal'</p> <p>Impact on collection levels</p> <p>Uncertainty / changes in S31 grants</p> <p>Void property levels</p> <p>Uncertainty due to:</p> <p>Business rates retention – deferral of the 75% retention of business rates from 2020/21 to 2021/22 (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 was planned to take effect from 2020/21.</p> <p>Announcements as part of Spending Round 2019 that the Review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset will be now be reviewed as part of the Comprehensive Spending Review now planned for 2020 for 2021/22.</p> <p>In addition, the next planned national <i>Business Rates Revaluation</i> will take effect from 2021/22 – with latest indications that the Government will also aim to introduce a <i>centralised system for business rate appeals</i> at the same time to cover future changes arising from the 2021 valuation list</p>				
	Risk Notes				


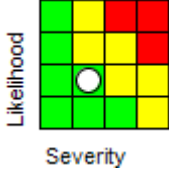
Risk Code	CPR1920 1.3	Risk Title	New Homes Bonus	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Future levels included on a risk based approach in order to offset further grant reductions / uncertainty over additional property numbers Given uncertainty over the review of the distribution methodology, the 'Fair Funding Review' as well as the planned Spending Review 2019 - which was planned take effect from 2020/21 a revised risk based approach was introduced in 2018 for 2019/20 onwards.		Current Risk Score	6
Gross Severity	3			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	29-Mar-2019	Announcements as part of Spending Round 2019 that NHB scheme will be reviewed as part of the Comprehensive Spending Review now planned for 2020 - also, legacy funding for the 4 years to 2019/20 will be paid, as well as continuation of the scheme for 2020/21 onwards will not be guaranteed pending the review.		Last Risk Review Date	11-Oct-2019
Consequences	Reduced levels of New Homes Bonus grant funding & Growth in Council tax Income				
Vulnerabilities/causes	<p>Not achieving anticipated growth in new homes within the Borough and the associated dependency on the New Homes Bonus income</p> <p>Uncertainty over the ongoing funding for the <i>New Homes Bonus scheme</i>, 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.</p> <p>Announcements as part of Spending Round 2019 that NHB scheme will be reviewed as part of the Comprehensive Spending Review now planned for 2020 - also, legacy funding for the 4 years to 2019/20 will be paid, as well as continuation of the scheme for 2020/21 onwards will not be guaranteed pending the review</p>				
Risk Notes					

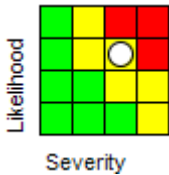
Risk Code	CPR1920 1.5	Risk Title	Welfare and Benefit Reform	Current Risk Status	
Description of Risk	Welfare and Benefit Reform			Assigned To	Rob Barnes; Stefan Garner; Tina Mustafa; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross Risk Score	12	Proactive approach to management of Homelessness Proactive management & monitoring of corporate income levels i.e. council tax, business rates (monthly review of target achievement) & housing rent	Current Risk Score		
Gross Severity	3		Current Severity		
Gross Likelihood	4		Current Likelihood		
Gross Risk Review Date	29-Mar-2019	Extensive preparation including staff training Welfare reform group established to review approach to corporate debt Independent health check being developed HQN Regular CMT, Cabinet and Scrutiny Committee updates CAB approach post 1/4/19 now in place Corporate project group established Proactive identification and system of administrative issues with ministers and MPs	Last Risk Review Date		
Consequences	Reduced income / increased bad debts - forecasts adjusted 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				
Vulnerabilities/causes	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 - Impact of universal Credit being assessed Household hardship PBS/ADS transferred to CAB from 1/4/19				
Risk Notes	Leader and scrutiny supported letters to DWP around the impact of Universal Credit Identified as a Corporate project 27/3/19 and risks being managed				


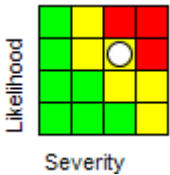
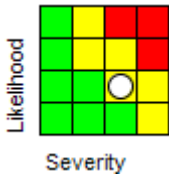
Risk Code	CPR1920 1.6	Risk Title	Failure to manage budgets	Current Risk Status	
Description of Risk	Failure to manage budgets			Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Budget planning & monitoring (Monthly 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 Training sessions for new manager rolled out in 2019		Current Risk Score	6
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	29-Mar-2019			Last Risk Review Date	11-Oct-2019
Consequences	Cuts in front line service provision Quality of service declines Inability to meet on-going costs Budget overspends/underspends Reputational issues				
Vulnerabilities/causes	Lack of involvement / ownership by Managers Information not updated / provided on a regular basis				
Risk Notes					


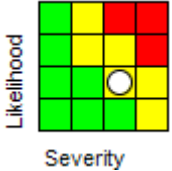
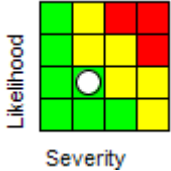
Risk Code	CPR1920 2	Risk Title	Modernisation & Commercialisation Agenda	Current Risk Status	
Description of Risk	Develop and implement continuous improvement and develop employees to perform the right work		Assigned To		
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross Risk Score			Current Risk Score		
Gross Severity			Current Severity		
Gross Likelihood			Current Likelihood		
Gross Risk Review Date			Last Risk Review Date		
Consequences					
Vulnerabilities/causes					
Risk Notes					


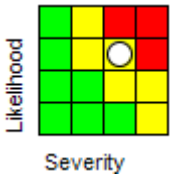
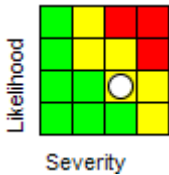
Risk Code	CPR1920 2.1	Risk Title	Contract Management & Procurement	Current Risk Status	
Description of Risk	Contract Management & Procurement			Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	Procurement function Financial Guidance requirements / Contract standing orders in place Contracts review under GDPR legislation to ensure due diligence and obligations met Training for new managers rolled out in 2019		Current Risk Score	4
Gross Severity	3			Current Severity	2
Gross Likelihood	2			Current Likelihood	2
Gross Risk Review Date	29-Mar-2019			Last Risk Review Date	11-Oct-2019
Consequences	Services not delivered Damage to reputation Loss of quality service High exit costs Efficiencies not gained Regulations not met				
Page 59 Vulnerabilities/causes	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				
Risk Notes					


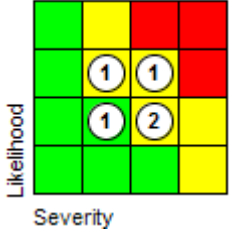
Risk Code	CPR1920 2.2	Risk Title	Management of Assets	Current Risk Status	
Description of Risk	Management of Assets			Assigned To	Rob Barnes; Stefan Garner; Lynne Pugh; Paul Weston
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	Asset Strategy Steering Group in place qrtly meetings 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 Proactive approach to respond to emerging fire risk requirements i.e. High rise Flats Ensure programmes and projects are appropriately resourced.		Current Risk Score	4
Gross Severity	2			Current Severity	2
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	15-Jan-2019			Last Risk Review Date	15-Oct-2019
Consequences	Assets under utilised Income streams not maximised Decrease in asset value				
Vulnerabilities/causes	Assets not monitored Assets not maintained No land available for development opportunities				
Risk Notes					


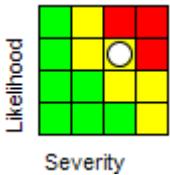
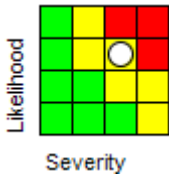
Risk Code	CPR1920 2.3	Risk Title	New Revenue Streams	Current Risk Status	
Description of Risk	New Revenue Streams			Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Monitoring of the situation / regular reporting Implementation of planned / potential investment and consequential income streams A robust & critical review of investment proposals is required / undertaken Develop commercial skills		Current Risk Score	9
Gross Severity	3			Current Severity	3
Gross Likelihood	4			Current Likelihood	3
Gross Risk Review Date	29-Mar-2019			Last Risk Review Date	11-Oct-2019
Consequences	Increased risks associated with those Councils who are borrowing large sums to invest in commercial property activities				
Vulnerabilities/causes	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. From 9/10/19 PWLB increased the interest rates offered on new Public Works Loan Board by 1% on top of existing loans terms				
Risk Notes	Develop Commercial skills and action plan for commerciality				


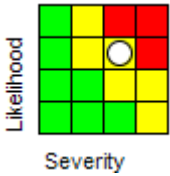
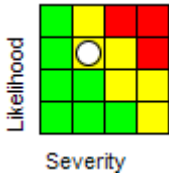
Risk Code	CPR1920 2.4	Risk Title	Workforce Planning Challenges	Current Risk Status	
Description of Risk	Workforce Planning Challenges			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Service reviews as required Regular communication Regular ELT briefings Essential legislative/compliance/CPD Skills development HR policies and procedures reviewed Financial regulations/procedures Healthshield and occupational health Pre employment checks Gender pay reporting Regular updates with Trade Unions Workforce plan succession planning OD Strategy PDRs	Current Risk Score	6	
Gross Severity	3		Current Severity	3	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	01-Oct-2019
Consequences	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 Failure to manage change				
Vulnerabilities/causes	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 Inability to deliver key projects Key officers diverted to other new commitments				
Risk Notes	No Changes				


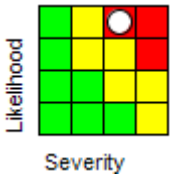
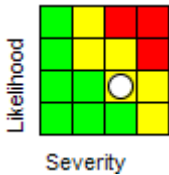
Risk Code	CPR1920 2.5	Risk Title	Continuous Improvement	Current Risk Status	
Description of Risk	Continuous Improvement			Assigned To	Andrew Barratt; Anica Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	<ul style="list-style-type: none"> Clear communications re change Robust policies and procedures Effective project management On-going transformational programmes Post Implementation Reviews Leadership Long term planning for continuous improvement clarity of strategies/ purpose Peer Challenge Membership of professional bodies Relationships with Members 	Current Risk Score	4	
Gross Severity	3		Current Severity	2	
Gross Likelihood	2		Current Likelihood	2	
Gross Risk Review Date	20-Sep-2018			Last Risk Review Date	01-Oct-2019
Consequences	<ul style="list-style-type: none"> Change is not completed No strategic direction Inability to deliver key projects 				
Vulnerabilities/causes	<ul style="list-style-type: none"> No clarity around responsibilities and accountabilities Lack of leadership Work overload 				
Risk Notes	No changes				


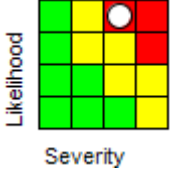
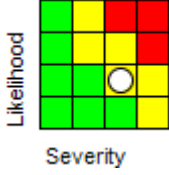
Risk Code	CPR1920 2.6	Risk Title	Partnerships fail	Current Risk Status	
Description of Risk	Partnerships			Assigned To	Rob Barnes; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Regular partnership service meetings Engagement with service realignments Development of collaborative working TSP Partnership Coordination Group Development and delivery of shared plans and programmes		Current Risk Score	6
Gross Severity	3			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	16-Oct-2018			Last Risk Review Date	15-Oct-2019
Consequences	Inability to provide service to the required level Loss of service Lack of skilled resources				
Vulnerabilities/causes	Partnerships fail Inability to provide resources to partnership service arrangements Service arrangements provided by other partners cease				
Risk Notes	No Changes Partnership Co-ordination group established				

Risk Code	CPR1920 4	Risk Title	Governance	Current Risk Status	
Description of Risk	Ensure that processes, policies and procedures are in place and the authority is held to account		Assigned To		
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross Risk Score			Current Risk Score		
Gross Severity			Current Severity		
Gross Likelihood			Current Likelihood		
Gross Risk Review Date			Last Risk Review Date		
Consequences					
Vulnerabilities/causes					
Risk Notes					


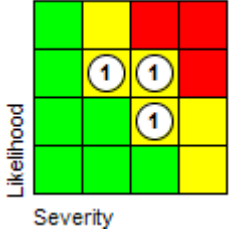
Risk Code	CPR1920 4.1	Risk Title	Democratic Process	Current Risk Status	
Description of Risk	Democratic Process			Assigned To	Andrew Barratt; Anica Goodwin; Ryan Keyte; Rebecca Neill; Angela Struthers
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Regular 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' Member Induction		Current Risk Score	9
Gross Severity	3			Current Severity	3
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	01-Oct-2019
Consequences	Damage to reputation Legal challenge Damage to reputation Financial impact on poor decisions Increase of "call ins"				
Vulnerabilities/causes	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				
Risk Notes	No Change The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


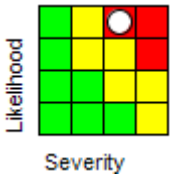
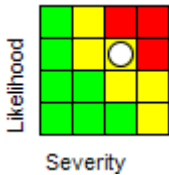
Risk Code	CPR1920 4.2	Risk Title	Assurance Process	Current Risk Status	
Description of Risk	Assurance Process			Assigned To	Andrew Barratt; Stefan Garner; Rebecca Neill; Angela Struthers
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	9	Internal Audit		Current Risk Score	6
Gross Severity	3	External Audit		Current Severity	2
Gross Likelihood	3	Audit & Governance Committee including Standards Committee		Current Likelihood	3
Gross Risk Review Date	04-Sep-2018	Scrutiny Committees		Last Risk Review Date	01-Oct-2019
		Annual Governance Statement & Managers Assurance Statements			
		Corporate fraud officer			
		Section 151 Officer			
		Monitoring Officer			
		Policies and procedures			
Consequences	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				
Vulnerabilities/causes	Policies and procedures not followed Lack of resources Policies are not updated				
Risk Notes	No Change The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


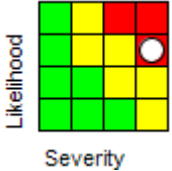
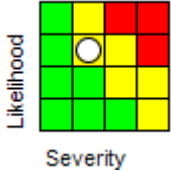
Risk Code	CPR1920 4.3	Risk Title	Legislation	Current Risk Status	
Description of Risk	Legislation			Assigned To	Rob Barnes; Andrew Barratt; Stefan Garner; Anica Goodwin; Ryan Keyte
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Constitution & Scheme of 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 Membership of Professional Bodies Proactive monitoring of potential legislative changes and consultations		Current Risk Score	6
Gross Severity	3			Current Severity	3
Gross Likelihood	4			Current Likelihood	2
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	15-Oct-2019
Consequences	Non-compliance with legal requirements Damage to reputation Prosecution, fines Legal challenge Ultra vires decisions				
Vulnerabilities/causes	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				
Risk Notes	No Change The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


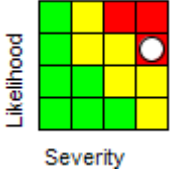
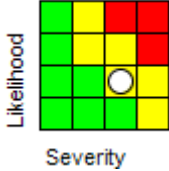
Risk Code	CPR1920 4.4	Risk Title	Policies & Procedures	Current Risk Status	
Description of Risk	Policies & Procedures			Assigned To	Corporate Management Team; Rebecca Neill; Angela Struthers
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Constitution & 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		Current Risk Score	6
Gross Severity	3			Current Severity	3
Gross Likelihood	4			Current Likelihood	2
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	15-Oct-2019
Consequences	Fraud Poor performance				
Vulnerabilities/causes	Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Lack of resources				
Risk Notes					

Risk Code	CPR1920 4.5	Risk Title	Ethics	Current Risk Status	
Description of Risk	Ethics			Assigned To	Andrew Barratt; Rebecca Neill; Angela Struthers
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Monitoring Officer Declaration of interests, gifts & hospitality Codes of Conduct for members and officers Policies and procedures		Current Risk Score	4
Gross Severity	3			Current Severity	2
Gross Likelihood	4			Current Likelihood	2
Gross Risk Review Date	10-Oct-2018			Last Risk Review Date	01-Oct-2019
Consequences	Reputational damage				
Vulnerabilities/causes	Lack of training/knowledge Lack of documented procedures Lack of commitment from officers and members Lack of resources				
Risk Notes	No change				
	The risks have been reviewed by Andrew Barratt and he established that there are no changes to the Matrix required				


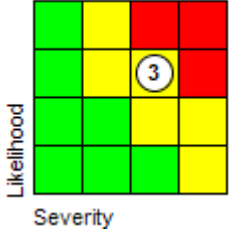
Risk Code	CPR1920 5	Risk Title	Community Focus	Current Risk Status	
Description of Risk	To ensure the safety, health and wellbeing of the citizens of the borough			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score				Current Risk Score	
Gross Severity				Current Severity	
Gross Likelihood				Current Likelihood	
Gross Risk Review Date				Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					


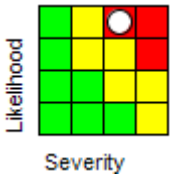
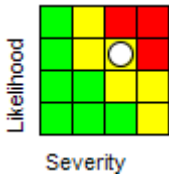
Risk Code	CPR1920 5.1	Risk Title	Community Cohesion & Engagement	Current Risk Status	
Description of Risk	Community Cohesion & Engagement			Assigned To	Rob Barnes; Tina Mustafa ; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross Risk Score	12	Neighbourhood working and collaborative arrangements currently under review ASB policy Partnership working Financial inclusion policy Community engagement - locality Corporate consultation database Participatory budgeting Tamworth advice centre Dementia friendly status VCSE Commissioning Grants Review Review TCO	Current Risk Score	9	
Gross Severity	3		Current Severity	3	
Gross Likelihood	4		Current Likelihood	3	
Gross Risk Review Date	16-Oct-2018		Last Risk Review Date	15-Oct-2019	
Consequences	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				
Vulnerabilities/causes	Economic recession Poverty Welfare reforms Services withdrawn Communities become fragmented Links to Customer Engagement Strategy around building local resilience				
Risk Notes	Neighbourhood offer and corporate project 2020/21 with 2019/20 focussed on baseline data, warden offer, relocation of key partnership and neighbourhood teams. Targeted use of HRA neighbourhood investment fund.				
	<i>No Change</i>				
	The risks have been reviewed and there are no changes				


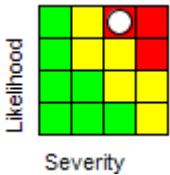
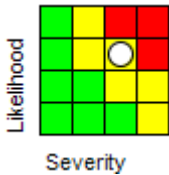
Risk Code	CPR1920 5.2	Risk Title	Safeguarding Children & Adults (including Modern Slavery)	Current Risk Status	
Description of Risk	Safeguarding Children & Adults at Risk of Abuse & Neglect m(including Modern Slavery)			Assigned To	Rob Barnes; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	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 Partnership groups around vulnerability		Current Risk Score	6
Gross Severity	4			Current Severity	2
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date	16-Oct-2018			Last Risk Review Date	15-Oct-2019
Consequences	Death, serious injury Legal challenge Loss of reputation Prosecution Increase in inspection Increase in demand				
Page 73 Vulnerabilities/causes	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				
Risk Notes	No change The risks have been reviewed and no changes identified				


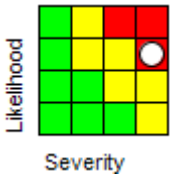
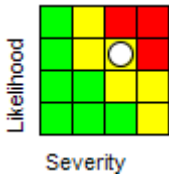
Risk Code	CPR1920 5.3	Risk Title	Emergency Planning	Current Risk Status	
Description of Risk	Emergency Planning			Assigned To	Rob Barnes; Tina Mustafa
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	<p>Emergency Plan in place</p> <p>Emergency planning 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 & 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>		Current Risk Score	6
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	10-Oct-2018			Last Risk Review Date	15-Oct-2019
Consequences	<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</p> <p>Adverse affect on vulnerable groups</p> <p>Public expectations of service delivery not met</p> <p>Increased costs for alternative service delivery</p> <p>Interim arrangements from CCU until December 2020.</p> <p>Full audit 2020/21</p>				
Vulnerabilities/causes	<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.</p> <p>Failure to test plans</p> <p>Failure to undertake training</p> <p>Plans not activated</p> <p>plans do not accurately identify the staffing/resources required</p> <p>Implications of industrial action from other service providers ie Fire Service</p>				


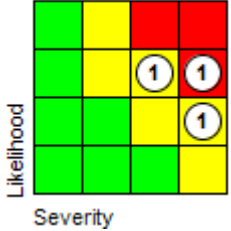
Risk Notes	No Change
	The emergency plans are in place but are currently being reviewed by Alex from the CCU - TM. System updated by RB as TM experiencing access issues


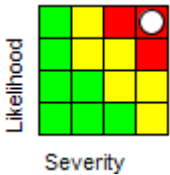
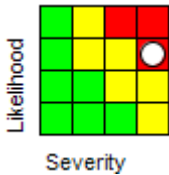
Risk Code	CPR1920 6	Risk Title	Economic Growth & Sustainability	Current Risk Status	
Description of Risk	To ensure that the economic growth and sustainability of the borough is maintained			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score				Current Risk Score	
Gross Severity				Current Severity	
Gross Likelihood				Current Likelihood	
Gross Risk Review Date				Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					


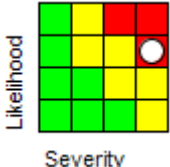
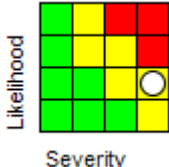
Risk Code	CPR1920 6.1	Risk Title	Regeneration	Current Risk Status	
Description of Risk	Regeneration			Assigned To	Andrew Barratt; Matthew Bowers; Anna Miller
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Long term investment Safe and secure estate Support to local businesses Tamworth and Lichfield for business Town centre and tourism development	Current Risk Score	9	
Gross Severity	3		Current Severity	3	
Gross Likelihood	4		Current Likelihood	3	
Gross Risk Review Date	10-Oct-2018		Last Risk Review Date	01-Oct-2019	
Consequences	Deprivation Loss of footfall to retail areas Reputational damage				
Vulnerabilities/causes	Lack of investment in the borough No investment in the town centre				
Risk Notes	No Change				
	Continue to offer business grants and signposting to businesses. Investment in town centre site				


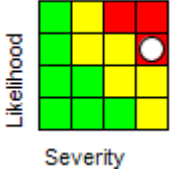
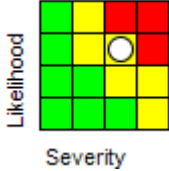
Risk Code	CPR1920 6.2	Risk Title	Housing Needs	Current Risk Status	
Description of Risk	Housing Needs			Assigned To	Rob Barnes; Tina Mustafa ; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Homelessness strategy under review. Evidence base being updated HRA Business lan updated and Investment plan agreed Third Sector support and early help development Investment and partnership to deliver new affordable homes New Allocations Policy Allocations Policy under review - developed project Plan Rough sleeping Assessment Housing Strategy commissioning		Current Risk Score	9
Gross Severity	3			Current Severity	3
Gross Likelihood	4			Current Likelihood	3
Gross Risk Review Date	10-Oct-2018			Last Risk Review Date	15-Oct-2019
Consequences	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				
Vulnerabilities/causes	Lack of accessible homes Lack of affordable homes Poor conditions in the Private Sector Increased homelessness				
Risk Notes	Assistant Director - Neighbourhoods on MHCLG working group of Government review HRA 2017. Key corporate projects - Housing Strategy, Homelessness & Allocations review 2019/20. HQN engaged to update evidence base, principles for consultation and plans to adopt revised strategies 2020/21.				
	No changes required				
	Reviewed by TM adequate controls still in place. system updated by RB as TM experiencing access issues				


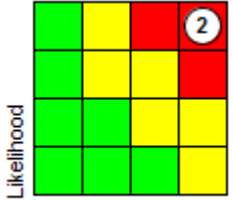
Risk Code	CPR1920 6.3	Risk Title	Economic Changes	Current Risk Status	
Description of Risk	Economic Changes			Assigned To	Andrew Barratt; Matthew Bowers; Anna Miller
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Support to local businesses Business and economic partnership Business growth programme Tamworth & Lichfield for business Growth hub Start up business grants for small business Tamworth enterprise centre		Current Risk Score	9
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date	10-Oct-2018			Last Risk Review Date	15-Oct-2019
Consequences	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				
Vulnerabilities/causes	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				
Risk Notes	No Change 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				


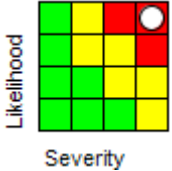
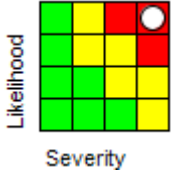
Risk Code	CPR1920 7	Risk Title	Information Safeguarding	Current Risk Status	
Description of Risk	To ensure that our data is protected			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	 <p>Likelihood</p> <p>Severity</p>
Gross Risk Score				Current Risk Score	
Gross Severity			Current Severity		
Gross Likelihood			Current Likelihood		
Gross Risk Review Date			Last Risk Review Date		
Consequences					
Vulnerabilities/causes					
Risk Notes					

Risk Code	CPR1920 7.1	Risk Title	Data Protection	Current Risk Status	
Description of Risk	Data Protection			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	16	GDPR training Secure password protocol IT physical controls Encryption protocols secure wifi ICO protocol Penetration testing 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 PSN compliance		Current Risk Score	12
Gross Severity	4			Current Severity	4
Gross Likelihood	4			Current Likelihood	3
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	01-Oct-2019
Consequences	Reputational damage Fine				
Vulnerabilities/causes	Human error Virus/hacking				
Risk Notes					

Risk Code	CPR1920 7.2	Risk Title	Cyber Security	Current Risk Status	
Description of Risk	Cyber Security			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	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		Current Risk Score	8
Gross Severity	4			Current Severity	4
Gross Likelihood	3			Current Likelihood	2
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	15-Oct-2019
Consequences	Fine Reputational damage Potential imprisonment Loss of data Inability to deliver service				
Vulnerabilities/causes	Insecure IT equipment Human error Loss of equipment/data Theft Equipment failure Hacking/viruses				
Risk Notes					

Risk Code	CPR1920 7.3	Risk Title	Business Continuity	Current Risk Status	
Description of Risk	Business Continuity			Assigned To	Rob Barnes; Paul Weston
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	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		Current Risk Score	9
Gross Severity	4			Current Severity	3
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date	10-Oct-2018			Last Risk Review Date	01-Oct-2019
Consequences	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				
Vulnerabilities/causes	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				
Risk Notes	New business continuity group established. Terms of reference being updated. Key business continuity plans under review. Programme for business continuity reviews under way.				
	No change from previous assessment. Programme of BC reviews to be implemented and will focus on priority areas.				
	No changes as per PW				

Risk Code	CPR1920 8	Risk Title	Brexit	Current Risk Status	
Description of Risk	The Impact of Brexit upon the Council			Assigned To	Andrew Barratt; Stefan Garner
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	16			Current Risk Score	
Gross Severity	4			Current Severity	
Gross Likelihood	4			Current Likelihood	
Gross Risk Review Date	28-Mar-2019			Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					

Risk Code	CPR1920 8.1	Risk Title	Financial	Current Risk Status	
Description of Risk				Assigned To	Andrew Barratt; Stefan Garner
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	16	Implications reassessed as part of the budget setting process and quarterly MTFS updates		Current Risk Score	16
Gross Severity	4			Current Severity	4
Gross Likelihood	4			Current Likelihood	4
Gross Risk Review Date	15-Mar-2019			Last Risk Review Date	11-Oct-2019
Consequences	<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 Government has awarded £51k for EU exit preparations Contract failure due to Brexit impact on core suppliers</p>				
Vulnerabilities/causes	<p>Uncertainty over the impact 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>				
Risk Notes	<p>The current risk is recorded at the maximum risk level as the impact and options to mitigate are currently unknown</p>				

Risk Code	CPR1920 8.2	Risk Title	The Impact of Brexit upon the Council	Current Risk Status	
Description of Risk				Assigned To	Andrew Barratt; Stefan Garner; Paul Weston
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix 		
Gross Risk Score	16	<p>Monitoring of the political process Central log/register issue that may impact as they develop Take opportunity to realise any additional funding made available to mitigate negative impacts Involvement and updates to Local and Regional Resilience forums. Risk assessments in place. Engagement with regional local forums. Regular reporting to central government. Dissemination of all information to CMT. Regular communication updates to business and residents. Uncertainty still noted by no reduction in risk. Information from MHCLG shared regularly with appropriate officers. Legislative impact done for housing related policies i.e, Settlement scheme for housing associations. Use of growth hub advisors to communicate with businesses. Use of website to pass on key messages.</p>	Current Risk Score	16	
Gross Severity	4		Current Severity	4	
Gross Likelihood	4		Current Likelihood	4	
Gross Risk Review Date	08-Jul-2019		Last Risk Review Date	01-Oct-2019	
Consequences	<p>Potential tightening of the Labour market Delay in works due to supply delays Restricted economic growth of the Local Area as the new trading arrangements settle in and business confidence is re-established.</p>				
Vulnerabilities/causes					
Risk Notes	The current risk is recorded at the maximum risk level as the impact and options to mitigate are currently unknown				

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