
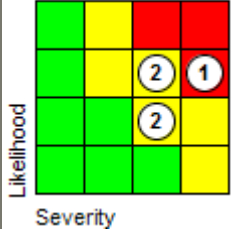

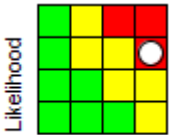
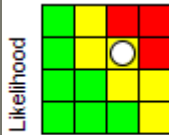



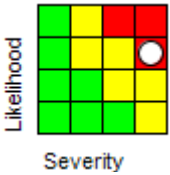
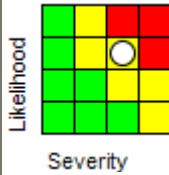
Corporate Risk Register 2020/21


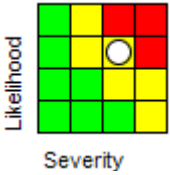
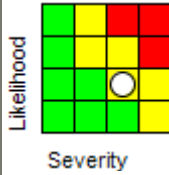
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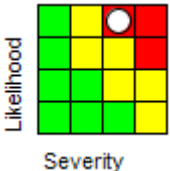
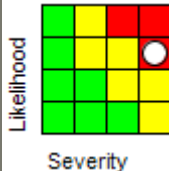
Risk Code	CPR2021 1	Risk Title	Finance	Current Risk Status	
Description of Risk	To ensure that the Council is financially sustainable as an organisation			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score				Current Risk Score	
Gross Severity				Current Severity	
Gross Likelihood				Current Likelihood	
Gross Risk Review Date				Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					


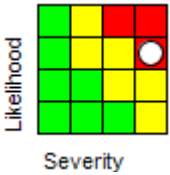
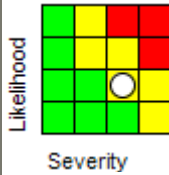
Risk Code	CPR2021 1.1	Risk Title	Funding gaps	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented			
Gross Risk Score	12	Medium term financial strategy in place - approved annually	Current Risk Matrix		
Gross Severity	4	Quarterly healthcheck to CMT / Cabinet including MTFS update	Current Risk Score	9	
Gross Likelihood	3	Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels	Current Severity	3	
Gross Risk Review Date	30-Jun-2020	Monitoring of the situation / regular reporting	Current Likelihood	3	
		A robust & critical review of savings proposals is required / undertaken before inclusion within the forecast	Last Risk Review Date	14-Oct-2020	
Page 292		Scrutiny Role by Executive Management Team (ELT/Cabinet) and CMT			
Gross Risk Review Date	30-Jun-2020	Robust management of DFG referrals / funding levels			
		Prudent approach to forecasting of Government Funding (NNDR/RSG/New Homes Bonus) post 2021/22 - including redistribution of growth in business rates since 2013			
		Contingencies and Contingency/Transformation Reserve in place			
		Managers reviewed their budgets and identify all non-essential spending for 2020/21 as part of the quarter 1 projections at 30 June 2020 - savings of £1.2m identified.			
Consequences	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. Following 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, the Government has confirmed, due to the pandemic, that the longer-term reforms for the local government finance system (including the move to 75% Business Rates Retention and Fairer Funding Review of Relative Needs and Resources) will be deferred again as a result of the current situation, although no timescales have been released. The Government has said it will keep an open dialogue with the local authorities about the best approach to the next financial year, including how to treat accumulated business rates growth (pending the planned business rates baseline reset) and the approach to the 2021/22				


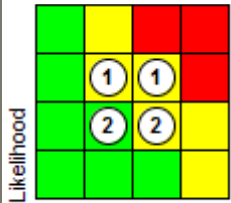
	<p>local government finance settlement. There is a high risk that this will have a significant effect on the Council's funding level.</p> <p>Increased risks associated with those Councils who are borrowing large sums to invest in commercial property activities.</p> <p>Shortfall in DFG grant funding / impact on General Fund revenue</p> <p>Impact of COVID-19 on future income levels uncertain - prudent approach to forecasting business rates, council tax and income from fees and charges will be needed</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 293</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 (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.</p> <p>The Government has confirmed, due to the pandemic, that the longer-term reforms for the local government finance system (including the move to 75% Business Rates Retention and Fairer Funding Review of Relative Needs and Resources) will be deferred again as a result of the current situation, although no timescales have been released. The Government has said it will keep an open dialogue with the local authorities about the best approach to the next financial year, including how to treat accumulated business rates growth (pending the planned business rates baseline reset) and the approach to the 2021/22 local government finance settlement.</p> <p>In addition, the next planned national Business Rates Revaluation has been deferred and will now take effect from 2023/24 – with latest indications that the Government will also aim to introduce a centralised system for business rate appeals at the same time to cover future changes arising from the 2023 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>During the COVID-19 pandemic the Council will lose income and other resources. Whilst the full extent of this cannot be known at present it will be necessary for the Council to take an accelerated approach towards the development and implementation of an effective sustainability strategy. Accordingly, it was approved that there is an immediate suspension of all non-essential spending and that the budget be revised to remove these budgets following the preparation of the first quarterly monitoring report. Managers were required to review their budgets and identify all non-essential spending for 2020/21 as part of the quarter 1 projections at 30 June 2020.</p>
<p>Risk Notes</p>	


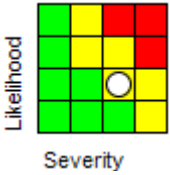
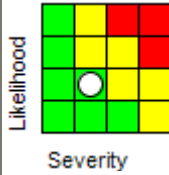
Risk Code	CPR2021 1.2	Risk Title	Business Rates Retention	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented			
Gross Risk Score	12	Robust estimates included to arrive at collection target. Ongoing proactive management & monitoring will continue Business Rates Collection Reserve - provision of reserve funding to mitigate impact of any changes in business rate income levels	Current Risk Matrix		
Gross Severity	4		Current Risk Score	9	
Gross Likelihood	3		Current Severity	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	Current Likelihood	3	
Last Risk Review Date			Last Risk Review Date	14-Oct-2020	
Consequences	Reduced levels of business rates income and impact on MTFS				
Vulnerabilities/causes	<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:</p> <p>Business rates retention – deferral of the 75% retention of business rates.</p> <p>The Government has confirmed, due to the pandemic, that the longer-term reforms for the local government finance system (including the move to 75% Business Rates Retention and Fairer Funding Review of Relative Needs and Resources) will be deferred again as a result of the current situation, although no timescales have been released. The Government has said it will keep an open dialogue with the local authorities about the best approach to the next financial year, including how to treat accumulated business rates growth (pending the planned business rates baseline reset) and the approach to the 2021/22 local government finance settlement.</p> <p>In addition, the next planned national Business Rates Revaluation has been deferred will now take effect from 2023/24 (deferred from 2021/22) – with latest indications that the Government will also aim to introduce a centralised system for business rate appeals at the same time to cover future changes arising from the 2021 valuation list. The government has recently announced that with the changing circumstances as a result of the COVID-19 pandemic, the next revaluation will not go ahead in 2021.</p>				
Risk Notes					


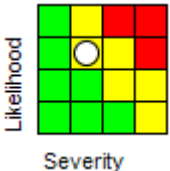
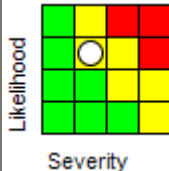
Risk Code	CPR2021 1.3	Risk Title	New Homes Bonus	Current Risk Status	
Description of Risk				Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented			
Gross Risk Score	9	Given uncertainty over the review of the distribution methodology, the 'Fair Funding Review' 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 Matrix		
Gross Severity	3		Current Risk Score	6	
Gross Likelihood	3		Current Severity	3	
Gross Risk Review Date	29-Mar-2019		Current Likelihood	2	
Gross Risk Review Date		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 only. New payments from 2020/21 onwards will not be guaranteed pending the review.	Last Risk Review Date	14-Oct-2020	
Consequences	Reduced levels of New Homes Bonus grant funding & Growth in Council tax Income				
Vulnerabilities/causes	<p>Uncertainty over the ongoing funding for the New Homes Bonus scheme, 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 2020/21.</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 only. New payments from 2020/21 onwards will not be guaranteed pending the review.</p> <p>The Chancellor announced on 24 March that the 2020 Comprehensive Spending Review would be delayed - awaiting further details.</p>				
Risk Notes					


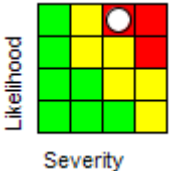
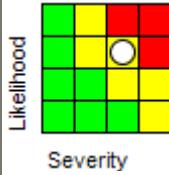
Risk Code	CPR2021 1.5	Risk Title	Welfare and Benefit Reform	Current Risk Status	
Description of Risk	Welfare and Benefit Reform			Assigned To	Rob Barnes; Stefan Garner; Tina Mustafa; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Proactive 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 Extensive preparation including staff training Regular CMT, Cabinet and Scrutiny Committee updates	Current Risk Score	12	
Gross Severity	3		Current Severity	4	
Gross Likelihood	4		Current Likelihood	3	
Gross Risk Review Date	29-Mar-2019		Last Risk Review Date	19-Oct-2020	
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				
Risk Notes	Risk downgraded as performance shows high collection levels when benchmarked and measured. COVID19 flash audit also due. Corporate Project continues with external support being engaged to support corporate debt strategy development. Work Commissioned as part of the review around the corporate debt strategy to support those households with multiple debt. Vulnerability and base line assessment also underway to inform risk control measures as part of the early response to COVID and its impact. Corporate Debt Strategy update and proposals are a key corporate project and on track for delivery 2020/2021. 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	CPR2021 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 - Managers reviewed their budgets and identify all non-essential spending for 2020/21 as part of the quarter 1 projections at 30 June 2020 - savings of £1.2m identified. (During the COVID-19 pandemic the Council will lose income and other resources. Whilst the full extent of this cannot be known at present it will be necessary for the Council to take an accelerated approach towards the development and implementation of an effective sustainability strategy. Accordingly, it was approved that there is an immediate suspension of all non-essential spending and that the budget be revised to remove these budgets following the preparation of the first quarterly monitoring report. Managers were required to review their budgets and identify all non-essential spending for 2020/21 as part of the quarter 1 projections at 30 June 2020.) Training sessions for new manager rolled out in 2019 with more planned for 2020		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	14-Oct-2020
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	In response to the latest MTFs update all managers will be required to review their budgets and identify all non-essential spending for 2020/21 as part of the quarter 1 projections at 30 June 2020.				


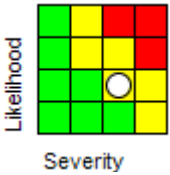
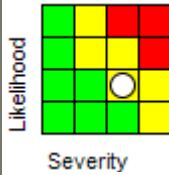
Risk Code	CPR2021 2	Risk Title	Modernisation & Commercialisation Agenda	Current Risk Status	
Description of Risk	Develop and implement continuous improvement and develop employees to perform the right work		Assigned To		
Gross Risk Matrix		Risk Treatment Measures Implemented	Current Risk Matrix		
Gross 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	CPR2021 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 with more planned for 2020		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	14-Oct-2020	
Consequences	Services not delivered Damage to reputation Loss of quality service High exit costs Efficiencies not gained Regulations not met				
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					


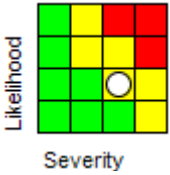
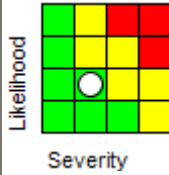
Risk Code	CPR2021 2.2	Risk Title	Management of Assets	Current Risk Status	
Description of Risk	Management of Assets			Assigned To	Rob Barnes; Stefan Garner; Lynne Pugh; Paul Weston
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	Asset Strategy Steering 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	6
Gross Severity	2			Current Severity	2
Gross Likelihood	3			Current Likelihood	3
Gross Risk Review Date	15-Jan-2019			Last Risk Review Date	19-Oct-2020
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 opportunity				
Risk Notes	There is the very real likelihood that there will be negative impacts resulting from COVID 19 on the Councils ability to sustain lets for commercial/industrial property. This will impact on income and future viability of assets.				
	There is the very real likelihood that there will be negative impacts resulting from COVID 19 on the Councils ability to sustain lets for commercial/industrial property. This will impact on income and future viability of assets.				


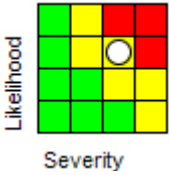
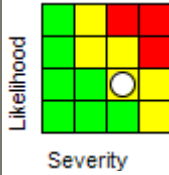
Risk Code	CPR2021 2.3	Risk Title	New Revenue Streams	Current Risk Status	
Description of Risk	New Revenue Streams			Assigned To	Stefan Garner; Lynne Pugh
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Monitoring of the situation / regular reporting Implementation 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	14-Oct-2020	
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 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 Uncertainty over future income levels from commercial investments - review of approach to property fund investments planned late 2020				
Risk Notes	The Council has delayed any further investment in Property Funds in light of the current COVID-19 pandemic.				


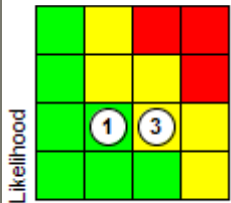
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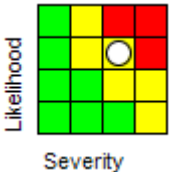
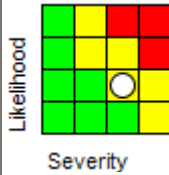
Risk Code	CPR2021 2.4	Risk Title	Workforce Planning Challenges	Current Risk Status	
Description of Risk	Workforce Planning Challenges			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	Service reviews as required Regular 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	2		Current Likelihood	2	
Gross Risk Review Date	15-Jun-2020		Last Risk Review Date	16-Oct-2020	
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				


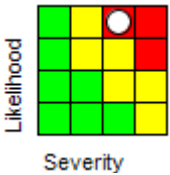
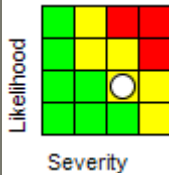
	Inequality Unable to recruit to essential vacant posts Inability to deliver key projects Key officers diverted to other new commitments
Risk Notes	reviewed no change


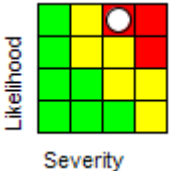
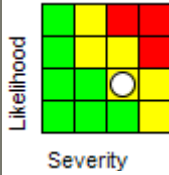
Risk Code	CPR2021 2.5	Risk Title	Continuous Improvement	Current Risk Status	
Description of Risk	Continuous Improvement			Assigned To	Andrew Barratt; Anica Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	6	Clear communications re change Robust policies and procedures Effective project management On-going transformational programmes Post Implementation Reviews Leadership Long term planning for continuous improvement clarity of strategies/ purpose 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	11-Jan-2020		Last Risk Review Date	16-Oct-2020	
Consequences	Change is not completed No strategic direction Inability to deliver key projects				
Vulnerabilities/causes	No clarity around responsibilities and accountabilities Lack of leadership Work overload				
Risk Notes	No changes				

Risk Code	CPR2021 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 Deployment of TBC resources to support VS pandemic response TBC grant 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	19-Oct-2020
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 Additional pressure to support vulnerable arising from the pandemic Financial pressures and loss of income from pandemic				
Risk Notes	**enter note here** Partnership Coordination group in place. Community safety plan in place. Work continuing with voluntary sector to continue partnership work with those most vulnerable as part of COVID recovery plans No Changes Partnership Co-ordination group established				


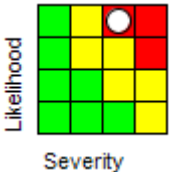
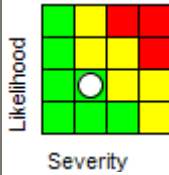
Risk Code	CPR2021 4	Risk Title	Governance	Current Risk Status	
Description of Risk	Ensure that processes, policies and procedures are in place and the authority is held to account		Assigned To		
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	 <p>Likelihood</p> <p>Severity</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					


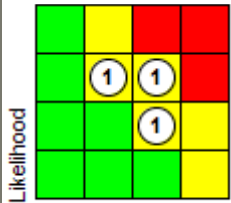
Risk Code	CPR2021 4.1	Risk Title	Governance, Legal and Democratic Process	Current Risk Status	
Description of Risk	Failure in governance and legal processes leading to ultra vires decisions which may be subject to challenge			Assigned To	Andrew Barratt; Anica Goodwin; Rebecca Neill
Gross Risk Matrix		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 Project plan implemented for move to remote Council and Committee meetings Training for Members Audit & Governance Committee including Standards Committee) Scrutiny Committees Member Induction Shared legal services arrangements in place	Current Risk Score	6	
Gross Severity	3		Current Severity	3	
Gross Likelihood	3		Current Likelihood	2	
Gross Risk Review Date	11-Jan-2020		Last Risk Review Date	16-Oct-2020	
Consequences	Damage to reputation Legal challenge Damage to reputation Financial impact on poor decisions Increase of "call ins" Ultra vires decisions				
Vulnerabilities/causes	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				
Risk Notes	a massive transformation process in terms of on-line access to all council meetings has now been put in place This risk score was reviewed following a prompt from the Audit & Governance Standards Committee as it appeared unnecessarily high. The score has also been reviewed in light of the change to council meetings following implementation of the new Regulations for remote meetings. As the project has been effectively implemented, there is no change required to the revised lower risk score. No Change				

Risk Code	CPR2021 4.3	Risk Title	Legislation	Current Risk Status	
Description of Risk	Legislation			Assigned To	Rob Barnes; Andrew Barratt; Stefan Garner; Anica Goodwin
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Constitution & Scheme of Delegation with regular review and update Shared Legal Service 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	11-Jan-2020			Last Risk Review Date	16-Oct-2020
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				


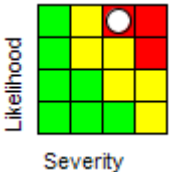
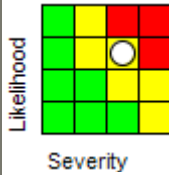
Risk Code	CPR2021 4.4	Risk Title	Policies & Procedures	Current Risk Status	
Description of Risk	Policies & Procedures are not fit for purpose or complied with, leading to challenge			Assigned To	Corporate Management Team; Rebecca Neill
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Key policies are in place and subject to regular review and approval. Astute is used for policy management and acceptance Annual Governance Statement & Managers Assurance Statements document key policies / procedures and an assessment on policy / procedural compliance Risk assessed internal audit plan which provides assurance on policy controls. Shared legal arrangement which provides advice on legislative compliance, Training provided on key policies.		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	13-Oct-2020
Consequences	Fraud Non compliance with the law. Out of date procedures Poor outcomes in the event of challenge. Poor compliance leading to fraud / error.				
Vulnerabilities/causes	Lack of training/knowledge Lack of up to date documented policies and procedures Lack of commitment from officers and members Lack of resources				
Risk Notes					

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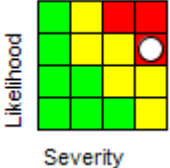
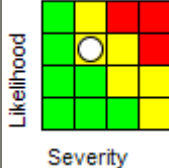
Risk Code	CPR2021 4.5	Risk Title	Ethics	Current Risk Status	
Description of Risk	Poor ethics leading to an increase in challenges / complaints and reputational damage			Assigned To	Andrew Barratt; Rebecca Neill
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Monitoring Officer Declaration of interests, gifts & hospitality Codes of Conduct for members and officers Policies and procedures Complaints processes and remedy		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	16-Oct-2020
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				


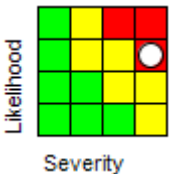
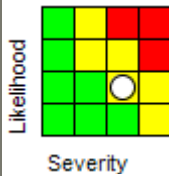
Risk Code	CPR2021 5	Risk Title	Community Focus	Current Risk Status	
Description of Risk	To ensure the safety, health and wellbeing of the citizens of the borough			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score				Current Risk Score	
Gross Severity				Current Severity	
Gross Likelihood				Current Likelihood	
Gross Risk Review Date				Last Risk Review Date	
Consequences					
Vulnerabilities/causes					
Risk Notes					

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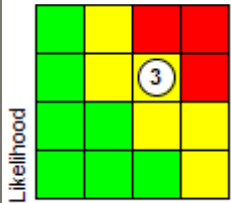
Risk Code	CPR2021 5.1	Risk Title	Community Cohesion & Engagement	Current Risk Status	
Description of Risk	Community Cohesion & Engagement			Assigned To	Rob Barnes; Tina Mustafa; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Corporate project to be scoped 2020/21 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	19-Oct-2020	
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	Risk levels remain high, although mitigation includes Vulnerability and third sector support being a headline project in the Councils proposed Recovery and Reset Programme. base line assessment around vulnerability was completed August and key tasks will include reporting proposals around this to members as part of the project PID and associated tasks. Vulnerability base line assessment underway to inform actions supporting community cohesion as part of early work around COVID response.				


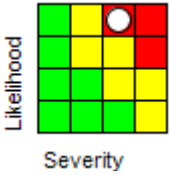
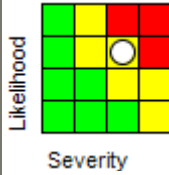
	Neighbourhood offer and corporate project 2020/21 with 2019/20 focussed on baseline data, warden offer, relocation of key partnership and neighbourhood teams. Targeted use of HRA neighbourhood investment fund.
	<i>No Change</i>
	The risks have been reviewed and there are no changes


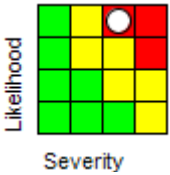
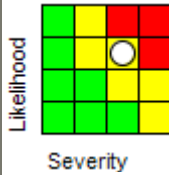
Risk Code	CPR2021 5.2	Risk Title	Safeguarding Children & Adults (including Modern Slavery)	Current Risk Status	
Description of Risk	Safeguarding Children & Adults at Risk of Abuse & Neglect m(including Modern Slavery)			Assigned To	Rob Barnes; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		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	19-Oct-2020
Consequences	Death, serious injury Legal challenge Loss of reputation Prosecution Increase in inspection Increase in demand				
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 Impact of the Pandemic				
Risk Notes	Community safety plan in place No change The risks have been reviewed and no changes identified				


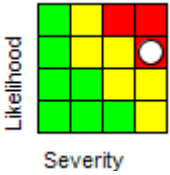
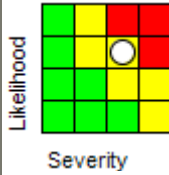
Risk Code	CPR2021 5.3	Risk Title	Emergency Planning	Current Risk Status	
Description of Risk	Emergency Planning			Assigned To	Rob Barnes; Tina Mustafa
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	<p>Emergency Plan in place Emergency planning training completed at various levels Business Continuity Plans in place Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule Active engagement in Exercises Insurance cover in place to cover exposure to financial loss. Advice and guidance on Risk Management and Business Continuity on the intranet Emergencies advice available on website Building- fire prevention controls in place and tested on a regular basis Adequate physical security controls in place and reviewed on a regular basis. IT business continuity plan in place and tested on a regular basis Service impact analysis completed to rank priority of services Corporate business continuity plan in place All communication plans tested on a regular basis Emergency plan tested on a regular basis Business Continuity Group Membership of Staffordshire CCU & Resilience Forum Effective communication /ICT tools/ infrastructure eg mobile phones, laptops Representation at newly formed CCU Strategic Leaders Meeting Successful no notice test Learning from recent incidents - informing preparedness Comprehensive internal audit across BC and EP resulting in a number of agreed management actions Emergency Planning Admin all brought into ICT Actual ICT Disaster recovered from within appropriate timescales 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	19-Oct-2020
Consequences	<p>Services not delivered Damage to reputation Civil Contingency Act requirements not met Death Destruction of property</p>				


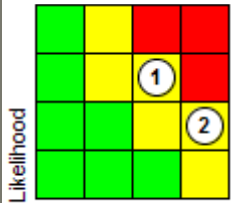
	<p>Damage to the environment Adverse affect on vulnerable groups Public expectations of service delivery not met Increased costs for alternative service delivery Interim arrangements from CCU until December 2020. Full audit 2020/21</p>
Vulnerabilities/causes	<p>Lack of integrated emergency arrangements 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. 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>
Risk Notes	<p>Risk measure remains the same. Structured debrief with HoS' taking place to inform continual learning around emergency responses. health check also completed and due to be reported to be reported to CMT by CCU lead and TMM</p>
	<p>CCU providing dedicated support 2xdays per week (plus additional 20 days over 2020/21) to support review of Op Bridge plans and complete a self-assessment of all EMP policies and procedures to inform the development of an agreed improvement plan into 2021 and beyond.</p>
	<p>No Change</p> <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>


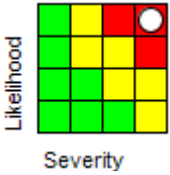
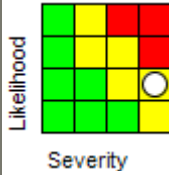
Risk Code	CPR2021 6	Risk Title	Economic Growth & Sustainability	Current Risk Status	
Description of Risk	To ensure that the economic growth and sustainability of the borough is maintained			Assigned To	
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	 <p>Likelihood</p> <p>Severity</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					


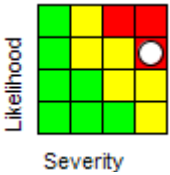
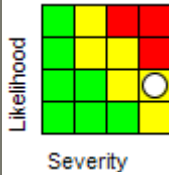
Risk Code	CPR2021 6.1	Risk Title	Lack of economic investment in people and Places	Current Risk Status	
Description of Risk	Lack of economic investment in people and Places			Assigned To	Andrew Barratt; Anna Miller
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk 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	13-Oct-2020
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				


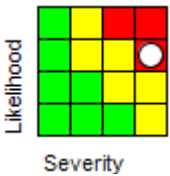
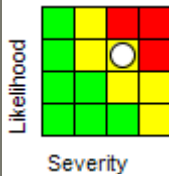
Risk Code	CPR2021 6.2	Risk Title	Housing Needs	Current Risk Status	
Description of Risk	Housing Needs			Assigned To	Rob Barnes; Tina Mustafa; Joanne Sands
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	Homelessness strategy under review. Evidence base 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	19-Oct-2020	
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	Risk measurement updated to reflect evidence base, Homelessness Strategy now drafted and set for cabinet approval on 031220. Range of covid related measures in place to support and manage homelessness and range of housing options. Rough sleeping estimate due 041120 As a result of comprehensive and robust management the challenges around homelessness and rough sleeping continue to be abated. Whilst the impact of homelessness is significant the mitigations and controls minimise the risks. Tamworth has participated on MHCLG task force leading on the development of legislation as well as participates in regular HAST updates to ensure sharing of best practice and continued innovation. HQN are supporting on the development of an updated evidence base to inform the development of homelessness and rough sleeping strategy 2020-2025. The evidence base will inform the strategy along with detailed spending and delivery plans. It is expected this will be considered by Scrutiny committee(s) in the Autumn with Cabinet approval by Dec 2020. 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	CPR2021 6.3	Risk Title	Economic Changes	Current Risk Status	
Description of Risk	Economic Changes			Assigned To	Andrew Barratt; 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 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	13-Oct-2020	
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 Possible downturn in the economy due to the recovery period following COVID-19 pandemic Possible negative or positive impact if the changes following BREXIT				
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	CPR2021 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					


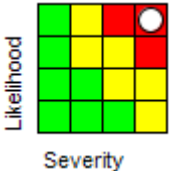
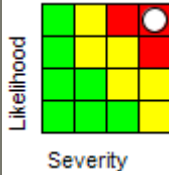
Risk Code	CPR2021 7.1	Risk Title	Data Protection and information Safeguarding	Current Risk Status	
Description of Risk	Data Protection			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	16	GDPR training Secure password 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 Review Access to Systems Building access and security procedures Training review and management of assets		Current Risk Score	8
Gross Severity	4			Current Severity	4
Gross Likelihood	4			Current Likelihood	2
Gross Risk Review Date	05-Sep-2018			Last Risk Review Date	15-Sep-2020
Consequences	Reputational damage Fine				
Vulnerabilities/causes	Human error Virus/hacking				
Risk Notes	most data breaches are as a result of human error and are minor in nature it has not been necessary for TBC to report any occurrences to the ICO due to this. The likelihood has been reduced due to this.				


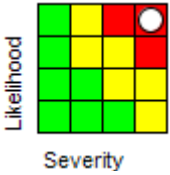
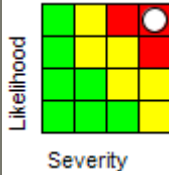
Risk Code	CPR2021 7.2	Risk Title	Cyber Security	Current Risk Status	
Description of Risk	Cyber Security			Assigned To	Anica Goodwin; Zoe Wolicki
Gross Risk Matrix		Risk Treatment Measures Implemented		Current Risk Matrix	
Gross Risk Score	12	GDPR compliance and training GCSX PSN compliance Physical security 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-Sep-2020
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	CPR2021 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 Off site plans Multi agency exercises		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	19-Oct-2020
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 Pandemic such as COVID-19				

Risk Notes	<p>Although areas have BC plans in place and the response to COVID19 has shown that the organisation can cope with unplanned events more work is still needed to get consistency across all business areas.</p> <p>A self-audit plan has been completed with a programme of works identified to deliver a greater degree of compliance.</p> <p>All areas have been asked to review BC plans in light of increased risk of concurrent events.</p>
	<p>Although areas have BC plans in place and the response to COVID19 has shown that the organisation can cope with unplanned events more work is still needed to get consistency across all business areas.</p>
	<p>New business continuity group established. Terms of reference being updated. Key business continuity plans under review. Programme for business continuity reviews under way.</p>
	<p>No change from previous assessment. Programme of BC reviews to be implemented and will focus on priority areas.</p>
	<p>No changes as per PW</p>

Risk Code	CPR2021 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	 <p>Likelihood</p> <p>Severity</p>
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	Downturn in Local and National economic activity Upturn in Local and National economic activity				
Vulnerabilities/causes	Lack of Trade agreements Increased business activity due to freedom to negotiate international trade agreements specific to UK				
Risk Notes					

Risk Code	CPR2021 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	14-Oct-2020
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 UK left the EU on the 31/01/2020 and are now in a transitional period until the 31/12/20 during this period we will be able to more accurately assess the implications if any for our area.</p> <p>The current risk is recorded at the maximum risk level as the impact and options to mitigate are currently unknown</p>				

Risk Code	CPR2021 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			
Gross Risk Score	16	<p>Monitoring of the political process</p> <p>Central log/register issue that may impact as they develop Take opportunity to realise any additional funding made available to mitigate negative impacts</p> <p>Involvement and updates to Local and Regional Resilience forums.</p> <p>Risk assessments in place.</p> <p>Engagement with regional local forums.</p> <p>Regular reporting to central government.</p> <p>Dissemination of all information to CMT.</p> <p>Regular communication updates to business and residents.</p> <p>Uncertainty still noted by no reduction in risk.</p> <p>Information from MHCLG shared regularly with appropriate officers.</p> <p>Legislative impact done for housing related policies i.e, Settlement scheme for housing associations.</p> <p>Use of growth hub advisors to communicate with businesses.</p> <p>Use of website to pass on key messages.</p>	Current Risk Matrix		
Gross Severity	4		Current Risk Score	16	
Gross Likelihood	4		Current Severity	4	
Gross Likelihood	4		Current Likelihood	4	
Next Risk Review Date	08-Jul-2019	Last Risk Review Date	19-Oct-2020		
Consequences	<p>Potential tightening of the Labour market</p> <p>Delay in works due to supply delays</p> <p>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	<p>Staffs LRF have started up the SCG & TCG to consider implications of Brexit in light of the fact that a 'No Deal' event is now highly likely.</p> <p>The UK left the EU on the 31/01/2020 and are now in a transitional period until the 31/12/20 during this period we will be able to more accurately assess the implications if any for our area.</p> <p>The current risk is recorded at the maximum risk level as the impact and options to mitigate are currently unknown</p>				

