

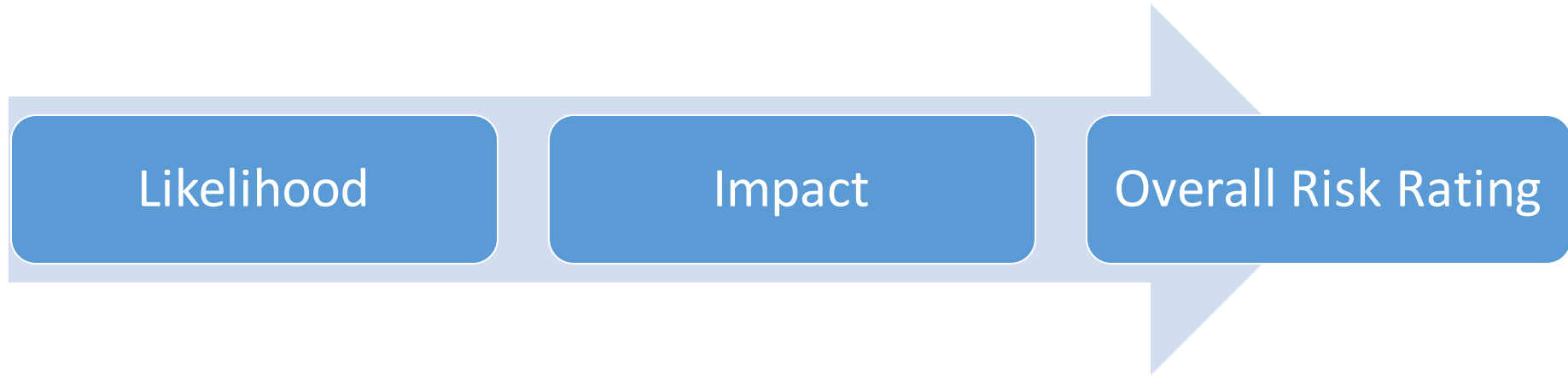
# Corporate Risk Report Q4/EOY – Appendix 1

5<sup>th</sup> May 2020

\*Please note risks are sorted in 'Overall Risk Rating' descending order\*



# Risk Assessment Scale



Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R9	Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth	5	5	25	Risk rating increased	Q4 - Risk increase. Business rate income suspended - not current priority due to COVID 19 (govt to compensate). Focus now on applying government based business support
R15	Failure to plan and deliver balanced budgets over the medium term	4	5	20	Risk rating increased	Q4 - Covid 19 response requires significant unbudgeted expense and loss of income. Escalating risk to income, e.g. parking Potential impact on lease income huge amount of unknowns in all areas of income. Re-assurance from govt that additional costs of Covid-19 will be underwritten, however the level of financial exposure is increasing daily. Members have instructed to continue with fees and charges increases as scheduled. High risk to income remains.
R5	Failure to deliver the required infrastructure to support development arising from the LDP	4	4	16	Risk rating unchanged	Q4 - The S106 officer continues to progress monitoring and negotiation of S106 Agreements for required infrastructure to support strategic sites.
R23	Financial resource and process issues	4	4	16	Risk rating unchanged	Q4 - A permanent Director of Resources and Financial Lead Specialist are now in place. Additional temporary resources are also currently supporting the financial function. Actions to address process and financial issues are being carried out but it will take time for staff and changes to embed
R1	Failure to safeguard children and vulnerable adults	3	5	15	Risk rating unchanged	Q4 - Lead officer and deputy positions are now filled. Damien Ghela is supported by Al Morrell in overseeing safeguarding arrangements. The core safeguarding team made up from officers from across the three directorates continue to report concerns and the move to remote working has not impacted upon reporting concerns or procedures. All staff eLearning has been rolled out as mandatory training. the move to remote working has caused a delay in Member Training plans but this will be resumed later this year

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R7	Failure to maintain a 5 year supply of Housing Land	3	5	15	Risk rating unchanged	Q4 - Maintaining the 5.27 5YHLS for 19/20 may be impacted by the continued shutdown of construction on strategic sites and delays in the planning process.
R8	Failure to meet the affordable housing need	3	5	15	Risk rating unchanged	Q4 - Working to overcome shortfall, whilst some discussions have been undertaken no real advancement has been made at this time.
R2	Failure to target services and influence partners with the aim of having an effective outcome on the identified (health and wellbeing) needs of the vulnerable population	3	4	12	Risk rating increased	Q4 - The Council will be increasingly focussing on this area of work, and co-ordinating resources. However likely increase in demand due to Covid 19 is likely to outweigh resource. Strong partnership working and focus on service needs in place and strengthening.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk rating unchanged	Q4 - No change from last quarter
R4	Failure to influence Community Safety partners to address the key areas of public concern (including rural crime) and the negative perception of crime	3	4	12	Risk rating unchanged	Q4 - Community Safety Partnership has been asked to provide weekly stats to monitor any impact. Tracking in place and police reacting to changing patterns of crime i.e. domestic violence
R29	Failure to deliver services as a result of COVID- 19	3	4	12	Risk rating decreased	Q4 - Service focussed on greatest need and other services will be scaled back or stopped where required. Corporate plan targets may need to be amended or suspended. Operational arrangements in place for greater flexibility in service delivery, delivering greater resilience, however risk rating unchanged as greater impact of Covid related staff absences forecast. Service levels stable operating within business continuity plans. Outlook is for continued stability. Robust monitoring in place, and contingency plans in place, likelihood decreased.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R14	Unable to recruit and retain staff with specific skills sets in specialist areas to meet the demands of the service(i.e.) Planners	3	3	9	Risk rating unchanged	Q4 - Officers continue to track and monitor vacancies and the use of agency staff. The closure of the Council Offices in mitigation against Covid - 19 has meant a delay to the recruitment of some roles and the retention of agency staff during this health emergency. However in some cases it is important to progress recruitment and joining arrangements and each position is taken on a case by case basis.
R24	Loss of key skills and knowledge across the organisation, and failure to embrace new working cultures.	3	3	9	Risk rating unchanged	Q4 - Possible benefit of current working environment due to COVID 19, is skills development and knowledge sharing
R11	Failure to protect personal or commercially sensitive data	2	4	8	Risk rating unchanged	Q4 - Compulsory e-learning data protection training now being rolled out across the organisation. No incidents have been reported since last update. Information Asset Registers due to be reviewed by the end of April 2020 to ensure up to date knowledge of data held. Data Privacy Impact Assessments now added as part of standard procurement procedures. Data Protection Clauses will also be added to standard terms and conditions of any contractor working for the Council.
R25	Failure to deliver finances associated to transformation programme.	2	4	8	Risk rating unchanged	Q4 - No change from last quarter
R26	Failure to deliver channel shift, through lack of customer engagement or undelivered processes	2	4	8	Risk rating unchanged	Q4 - Channel shift accelerated through the Covid-19 interim measures and channelling of enquiries to website

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R10	Failure to develop jobs to support the growing population	2	3	6	Risk rating unchanged	<p>Q4 – Some activity on hold to focus on response to COVID19.</p> <ul style="list-style-type: none"> <li>•Engaging with strategic partners to develop initiatives and actions to ensure we support the creation of jobs through investment and business growth.</li> <li>• The Place Board, Place Board Chairman and the forthcoming Sense of Place Coordinator are working with the Council to develop the 'Place Plan'; aimed at creating the environment to enable businesses to prosper and improve the District's economic competitiveness and attractiveness for business, investment, visitors, residents and students.</li> <li>•Ongoing engagement with the Bradwell B team to ensure benefits from the highly paid jobs that would be created during construction and operational phases and protecting existing businesses and growth areas.</li> <li>•Ongoing work with the Place Board and local business groups to coordinate and support their efforts and future prosperity.</li> </ul>
R13	Failure to manage impact of organisational change	2	3	6	Risk rating unchanged	Q4 - No change from last quarter
R16	Corporate policies not managed and reviewed	3	2	6	Risk rating unchanged	Q4 - Rapid government Covid Legislation means policies are being reviewed rapidly and temporarily amended.
R22	Contracts not managed or owned and not providing Value For Money, out of contract on many across Council. Procurement Process not adhered to resulting in fines, loss of reputation	2	3	6	Risk rating decreased	Q4 - New contracts register in place. Progress made on old contracts and these are being renewed and or deleted from the register if service no longer delivered. Still areas of risk if managers ignore guidance and comm's on procurement and may contract services outside of procurement law and policy.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R17	Failure to maximise effectiveness of services through promotion and engagement	2	2	4	Risk rating unchanged	Q4 - We have successfully recruited our Digital Communications Officer and we have been developing our use of social media and promoting our digital services. However, the Coronavirus outbreak has meant that our digital approach has developed much quicker. We have actively been promoting our support for the community and have been celebrated for our #stay-at-home virtual tour initiative.
R20	Failure to have a Disaster Recovery & Business Continuity Plan(BCP)	1	4	4	Risk rating decreased	Q4 - Updated and invocable Business continuity plan. Risk recommended closure
R28	Finance Audit - Debtors, Creditors & Expenses. Poor audit outcome received.	1	4	4	Risk rating unchanged	Q4 - Audit recommendations all put in place and signed off by BDO auditors. Ongoing training and process improvement underway to ensure financially secure in all areas not just those identified by audit - Recommending Closure
R12	A Committee structure which is not cost effective	1	3	3	Risk rating unchanged	Q4 - Review delayed, as under emergency measures, no change to risk