

| Risk Register | | Section: Strategic Risk Register | | Date: June 2023 | | Completed By: Corporate Governance Group | | | | | | |
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| Risk Owner | Risk Area | Origin of the Risk | Risk Likelihood | Risk Impact | Risk Score | Potential Outcome/consequences | Timing | Who/What is at Risk | Mitigation/Commentary/Control | Further Comments | December Update | Risk Trend |
| Corporate | Loss of key staff, recruitment to key roles | Corporate Governance Group | 2 | 3 | 9 | Service failure may occur without key staff. Potential breach in legislation if sufficiently trained staff are not in certain roles | Ongoing | Public, GBC staff, Partners | Succession Planning within teams. HR policies aimed at recruitment and retention. Links with PCC temporary register and Comensura. Developing use of Apprentices. | Senior Management Structure review being undertaken which will consider these risks | Significant progress has been made in senior management structure with the appointments of the Deputy Chief Executive, Interim Head of Streetscene and Commercial Property manager posts | ↓ |
| Corporate | Exposure to system failure, including support expiry, single points of failure, cyber-security and system recovery. | IT | 2 | 4 | 13 | Service failure, loss of data, fines from ICO. Unable to communicate with stakeholders causing significant risks | Ongoing | Public, GBC staff, Partners | Disaster recovery plans in place. Contract with external party for recovery of systems should data centre or internet connection be lost. | Structure review in addition to current measures | Following recent audit, options paper to be developed with regards to current risks re IT Business continuity plans | ↔ |
| Corporate | Addressing underlying budget pressures and delivering effective and sustainable services | Finance | 4 | 3 | 14 | Reduction in services, reputational, not meeting objectives | Ongoing | Public, GBC staff, Partners | Spend to save initiatives. Taking a more commercial approach to generate income. Strong budget monitoring and reporting | Budget review currently being undertaken, external factors have impacted forecasting in recent years with cost of living and inflation. Asset review has been conducted which may aid in some budget pressured areas. Appointment of grant funding office identifying funding opportunities for the Council | Budget review currently ongoing covering both savings proposals and income opportunities. Funding officer role has been offered | ↔ |
| Corporate | Failure to ensure the Borough Council's information is held and protected in line with Information Governance policies and procedures. | Senior Information Risk Owner | 2 | 3 | 9 | Fines, reputational, litigation | Ongoing | Public, GBC staff, Partners | Ongoing actions being implemented following an internal audit review. Corporate information governance panel providing ownership at a corporate level to ensure information management is an ongoing practice | N/A | Focus on staff training and data deletion currently in progress with updates due in February 2024 | ↓ |
| Corporate | Achieving value for money via short and long time purchasing Procurement | Procurement Manager | 2 | 3 | 9 | Loss of funds, reduction in services, litigation, reputational | Ongoing | Public, GBC staff, Partners | Contract procedure rules have been redrafted to enhance the Council's procurement regulations and increase compliance. Further training will be provided to all relevant procuring staff. Ongoing compliance checks and interrogation of systems is being investigated | Recent internal audit review has shown a strong increase in compliance compared to previous results. | | ↔ |
| Corporate | Exposure to national level political and legislative change including impact on scope of duties, powers, responsibilities and service demand. | Corporate Governance Group | 3 | 3 | 12 | Financial pressures to adapt to any changes. Potential legislative breaches during any transitional periods | Ongoing | Public, GBC staff, Partners | Horizon scanning. Communication with relevant stakeholders | Instability in Central Government and budgeting | | ↔ |
| Corporate | Major incident disruption | Corporate Governance Group | 2 | 4 | 13 | Major service failure | Ongoing | Public, GBC staff, Partners | Business Continuity Plans and annual desktop exercise. Lessons learnt from the Covid 19 Pandemic. | Business continuity plans are in need of a refresh however structure review will be completed prior to this being updated | Refresh of plans underway. Business Continuity exercise has been undertaken recently to aid in preparedness | ↔ |
| Corporate | Project Delivery | Corporate Governance Group | 2 | 3 | 9 | Delays in project can affect the service while also creating a financial pressure to deal with issues arising. | Ongoing | Public, GBC staff, Partners | Project Management skills have been acquired via employment. Further plans to develop a corporate project management approach which will be implemented and staff suitably trained. | Employee now in post to manage corporate projects. Project and risk training completed & regular cross section project focussed meetings underway | Structured process now in place for corporate projects. Software is being procured to aid in the management and monitoring of corporate projects. Oversight achieved at Corporate Project Boards | ↓ |
| Corporate | Major contract /Partnership Management / Performance / Supply | Corporate Governance Group | 2 | 4 | 13 | Services provided may not be at level expected causing issues for GBC stakeholders. Could result in reputational issues from the public. Financial risk may also arise to rectify issues which have not been managed in key contracts | Ongoing | Public, GBC staff, Partners | Quarterly meetings to discuss performance and finance to identify potential issues early. Sound governance arrangements. | Further training to be undertaken on contract management across the Council's contract managers | CX is currently engaging with all PCC partners with a view to updating various agreements following significant change in current s113 agreement | ↔ |
| Corporate | Devolution / Local Government Reorganisation | Corporate Governance Group | 2 | 3 | 9 | Uncertainty in planning, managing a significant change while maintaining services | Ongoing | Public, GBC staff, Partners | Horizon scanning. Communication with relevant stakeholders | N/A | | ↔ |

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| exist | Property Management | Property | 3 | 2 | 8 | Non utilisation of properties may not generate income for council as expected resulting in a financial pressures. Mismanagement may also result in higher maintenance costs causing a greater financial pressure. Concerns with management and safety | Ongoing | Public, GBC staff, Partners | Engaged with PCC regarding purchasing specialist help with regards to management and expansion of the current property portfolio | Review has been completed with actions being taken forward such as concessions. Recruitment of Head of Commercial Property underway. Policies being drawn up | Head of Commercial Property has now been appointed. Work ongoing with regards to the current commercial property portfolio. Specifically regarding H&S at the Depot | |
| Corporate | Flooding | Corporate Governance Group | 2 | 3 | 9 | Environmental risks. Could cause financial pressures to rectify or manage. Reputational risk | Ongoing | Public, GBC staff, Partners | GBC work with Coastal partnership on a number of initiatives regarding flood defences across the borough | Currently there is insufficient funding to finish the projects due to the increase in costs however Forton is now progressing with report going to C&E | | |
| Corporate | Cost of Living Crisis | Corporate Governance Group | 4 | 3 | 14 | Council budget pressures from energy. Greater demand for services, impact and pressures on staff. Fraud risk increases | Ongoing | Public, GBC staff, Partners | Council is liaising with partners to understand the offers available so Council can best advise public enquiries. Housing department developing support where applicable. Internal comms sent to staff offering tips and ways to manage financial pressures | closer working relationship developed with CAB - including funding | Recruitment is planned for a Welfare Officer to aid in the administration of Cost Living Grants | |
| Major Projects - Criterion | Funding & Grant opportunities & Viability (budget/financial) | Project Manager | 3 | 3 | 12 | Failure to secure additional funding and grants will have a significant risk on the development opportunities for the building. | Major grant opportunities are within the next 12 month period May 23 - May 2024. | Financial risk - Funding is required to support the capital costs of the project | Support from PCC bid manager to source funding opportunities. Meeting and site visits held with Arts Council & HCT to discuss grant opportunities and use of the building. Business case being developed which will also inform future decisions and opportunities. Viability study commissioned and currently underway | Further work was requested of the consultants on the viability study and these results are due soon. | Update provided to P&O with regards to approving further capital expenditure to continue to develop the business case | |
| Major Projects - Depot | Viability of scheme and potential loss of One Public Estate funding | Project Manager | 4 | 3 | 14 | Loss of One Public Estate funding if scheme is not deemed viable and action taken to meet deadlines. Potential additional costs required to maintain and upgrade current depot if scheme not deemed viable | March 2024 funding deadline | Financial Risk - Loss of funding and potential additional maintenance costs of current depot. Reputational Risk - not utilising funding for development of new homes | Viability study is in draft with a finalisation soon. Key step to find new depot site to allow for progress to be made. Discussions held to look to extend funding deadline | New project manager to be appointed to take this forward due to risk of further delays having significant impact on grant funding. Delivery model to be updated as concerns this now maybe out of date | Head of Commercial property working with suppliers to identify potential sites. Ongoing dialogue with grant funding provider with regards timescale and risk of loss of funding | |
| Corporate | Health and Safety assets and employee activities | Corporate Governance Group | 4 | 4 | 16 | Health and safety risks to staff through a lack of complete and effective risk assessments on countryside activities. Health and Safety risks to members of the public due to incomplete or ineffective Fire Risk Assessments in council owned buildings. Litigation risk should an incident occur. Reputational risks would also be significant. Risk some events may be cancelled due to activities in Countryside being suspended | Immediate | Public, GBC staff, Partners | Fire Risk Assessment (FRA) data has now been collated and significant work undertaken to resolve outstanding recommendations. All highest priority recommendations have now been actioned. Action plan in place with contractor to resolve the outstanding medium and low risk recommendations. Electrical and gas checks also improving in relation to completion. Further work required on commercial property compliance. Specific concerns remain at the Depot with regards H&S, short term mitigations in place while longer term plan is devised | NEW RISK | NEW RISK | NEW RISK |
| Streetscene | Waste collection Strikes | Head of Streetscene | 3 | 3 | 12 | Waste bins not collected throughout the Borough which could ultimately lead to Health and Safety issues. The risk ultimately lies with the supplier who is contracted to provide the service however should this not occur, the risk may transfer to GBC. | Immediate | Public. Significant Reputational risk for Council | Ongoing dialogue with the contractor with regards their ongoing mitigation plans with their staff. Mitigation is the responsibility of Urbaser however Council is working with contractor to aid in minimising risk where possible | NEW RISK | NEW RISK | NEW RISK |