

TEST VALLEY BOROUGH COUNCIL  
CORPORATE RISK REGISTER

ANNEX 1

Risk No	Corporate plan link	Type of Risk	Risk Owner	Risk	Date risk identified	Factors	Consequences
C1	Live	Legislative	B Cowcher	Legislation impacts Housing Policy affecting provision of affordable housing and increasing pressure on housing waiting list. <i>(NB: This incorporates previous risk C1 - Lack of Social Housing will increase pressure on housing waiting list.)</i>	Mar-16	Impact of Legislation on Housing Policy. Demographic change. Lack of funding. Lack of affordable housing/homelessness going up/housing stock going down (right to buy).	Inability to deliver Corporate Plan objective. Delay in implementing/determining planning applications by including starter homes. Housing standards in private rented sector as more people pushed to private rented sector as registered providers move out of this market. Rise in homelessness.
C2	All	Legislative	B Lynds	Loss or release of personal data in contravention of the Data Protection Act 1998	pre June 2011	Lack of awareness of relevant legislation and local data security and data sharing policies. Increased public awareness of legislation. Nature of Political environment. Inability to monitor data transfer to personal webmail from corporate network.	Fine imposed by Information Commissioner and bad publicity and reputational damage
C3	All	Legislative/ regulatory	G Smith	Failure to prepare agree and implement up to date strategic and local planning documents	Sep-11	Time frame for consultation on key documents informing the Local Plan. Impact of NPPF. Perspective of Government Inspector. Changes to government policy.	Unstructured and unstrategic development. Successful planning appeals having reputational and financial consequences
C4	All	Legislative/ regulatory	G Smith	Successful challenge of Local Plan by third party.	Mar-16	3rd party lodging challenge that the local plan process/Planning Inspector erred in law.	Reputational and financial. Repeat of local plan process either in whole or part. Potential increase from speculative planning applications as a result of local plan being no longer in place.

Risk No	Existing Risk Controls	Mar 2015 Risk Score	June 2015 risk Score	Sept 2015 risk Score	Dec 2015 risk Score	Mar 2016 risk Score	Reason for reduction in risk score (i.e. change in risk and impact (consequence))	Further Action (Y/N)
C1	Harah Partnership renewed until 2020. Close monitoring of homelessness caseload and the use of bed and breakfast to ensure staffing arrangements are delivering the required outcomes. Registered providers revising business plans following Government announcement that they reduce their rents by 1% each year for 4 years. A new Housing Strategy is being developed adopting an approach where the need and options for providing new affordable housing is seen within the wider local housing and supporting communities context.	NA	NA	NA	NA	C3(A) Likelihood: Significant, Impact: Significant	NA	Y
C2	Heads of Service aware of risks; the informal audit of how well training has bedded in was positive; services holding sensitive data are aware of the legislation and the risks; all services have appointed a DPA rep; reps attend 1/4ly forum; training on redaction has been given. Contractors and Suppliers who require access and/or need to remove data whether in hard copy format or from the contained secure network must agree and sign both the Council's 'Information Security Policy' and 'Data Sharing Code of Practice' terms and conditions before obtaining access. Guidance for Members from the ICO is contained in the Members' Handbook. Members have received training. Procedure note for dealing with breach published on intranet. Breach policy in place. Controlled (Swipe card ) access to offices. Data Protection was included in a Governance Workshop for Members on 02/06/15. Members were also pointed to the e learning module on Data Protection as part of their Induction Welcome Pack.	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	NA	Y
C3	Adoption of local plan, production of guidance and up to date evidence base.	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	NA	Y
C4	Counsel advice.	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant	NA	Y

Risk No	Action type - Accept, Terminate, Control, Transfer	Required Action	Action Target Date	Mar 2015 Target Score	June 2015 Target Score	Sept 2015 Target Score	Dec 2015 Target Score	Mar 2016 Target Score
C1	Control	<p>New Housing Strategy in preparation which will provide the mitigations and will include reference to a review of Hampshire Home Choice regarding income levels for eligibility.</p> <p>New ideas/inventive/creative working with partners including possible use of Valley Housing.</p> <p>Continue to develop partnership arrangements.</p> <p>Produce new supplementary planning document for affordable housing.</p>	<p>Nov 16</p> <p>Ongoing</p> <p>Ongoing</p> <p>Oct 16</p>	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant
C2	Control	<p>Staff E-learning is being developed.</p> <p>Users to be made aware, as part of both the IT and corporate induction process, that they should not transfer data to personal webmail from the corporate network</p>	Jun-16	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical	D2(A) Likelihood: Low Impact: critical
C3	Control	Review and update guidance.	Jul-16	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical	D2(A) Likelihood: Low, Impact: Critical
C4	Control	<p>Secure Counsel to defend Council position.</p> <p>Review local plan timetable if local plan is successfully challenged in whole or in part.</p>	Ongoing	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant

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C5	Work/Enjoy	Physical	S Ellis	Council unable to manage assets effectively.	Nov-11	Backlog of repairs. Limited resources being used for significant projects including office move.	In breach of legal obligations, physical harm to a person due to poor repair, financial penalties, lost rental income on investment properties. Impact on budgets due to costs of major repairs.
C6	All	Legislative	M white/ All HoS	Failure of service and corporate business continuity plans in the event of a serious incident	pre June 2011	Lack of awareness of corporate priorities, critical services, contents of service and corporate BCPs and how to respond.	The Council would not able to get its vital services up and running to meet the immediate needs of the community. The Council would be in breach of the Civil Contingencies Act. Bad publicity / loss of reputation/ loss of public confidence/financial consequences, potential hardship.
C7	All	Partnership/ Contractual	W Fullbrook	The Public Procurement Regulations 2006 may not being consistently applied across all services within the Council. Goods, works and services are poorly procured and do not achieve best value. Contacts may be poorly managed post procurement.	pre June 2011	Lack of awareness and understanding of Procurement Regulations, Procurement Strategy and Contract Standing Orders.	Legal challenges from potential suppliers. Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc.). Poor value for money achieved.
C8	All	Managerial / Professional	B Lynds	Inappropriate comment/behaviour/actions from Staff.	pre June 2011	Levels of staff awareness of expectations regarding conduct. Efficiency pressures, stretched resources. Staff expectations. Nature of Political environment.	Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc.)



Risk No	Action type - Accept, Terminate, Control, Transfer	Required Action	Action Target Date	Mar 2015 Target Score	June 2015 Target Score	Sept 2015 Target Score	Dec 2015 Target Score	Mar 2016 Target Score
C5	Control	Delivery of 2016/17 Asset Management Plan	Mar-17	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant
C6	Control	Completion and circulation to Heads of Service of the accommodation and IT Business Continuity Plan which will influence the re-write of the Service BCPs.  Service BCPs to be revised and updated.	Sept 16	E1(A) Likelihood; Very low; Impact: Catastrophic	E1(A) Likelihood; Very low; Impact: Catastrophic	E1(A) Likelihood; Very low; Impact: Catastrophic	E1(A) Likelihood; Very low; Impact: Catastrophic	E1(A) Likelihood; Very low; Impact: Catastrophic
C7	Control	Spend analysis to be undertaken and will determine the 2016/17 procurement work programme.  Provision of training to MMF, Heads of Service and Contracting Officers on the revised Public Procurement Regulations to be undertaken following revision of Contract Standing Orders.	Sep-16	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant
C8	Control	Employee code of conduct to be reviewed and updated to tie in with New Member Code of Conduct to be introduced following Borough Council elections. It will then be communicated to all staff.	Jun-16	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant	D3(A) Likelihood: Low, Impact: Significant

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C9	Live/Contribute	Social and economic	B Cowcher/J Broomfield	<p>TVBC is unable to predict the scale of the impact of the introduction of Welfare Reforms including Universal Credit and the resource impact this will have on the Council in assisting our most vulnerable residents.</p> <p><i>(NB This risk combines previous risks C13 (Rise in Homelessness) and C14 with a rise in homelessness now treated as a risk consequence rather than a risk in itself)</i></p>	Mar-16	Introduction of Universal Credit. Pension Reform. Immigration. Housing and Planning Bill Implications. EU referendum. July Budget introduced a lower Benefit Cap	Rise in homelessness and financial hardship. Resource impact on the Council in delivering assistance.
C10	All	Financial	W Fullbrook	<p>Medium Term Financial Strategy (including Reserves Policy) does not meet the needs of the Council</p>	Mar-16	<p>EU referendum, Use of contingency on defending poor decisions/third party challenges. Bad investments/poor management. Redistribution of wealth, Interest rates. Change of priorities to one of spend rather than save. Political change. Changes in grants - new homes bonus. Change in national/local policy. Asset Management funding. Devolution.</p>	Reduction in quality and scope of services provided due to funding pressures.

Risk No	Existing Risk Controls	Mar 2015 Risk Score	June 2015 risk Score	Sept 2015 risk Score	Dec 2015 risk Score	Mar 2016 risk Score	Reason for reduction in risk score (i.e. change in risk and impact (consequence))	Further Action (Y/N)
C9	<p>Employment and Skills Zone Partnership established with Jobcentre Plus, registered housing providers and relevant local voluntary organisations.</p> <p>Welfare Reform Event held in January 2014.</p> <p>Areas of partnership working identified by TVP and DWP in preparation for the introduction of Universal Credit.- IT access and support available across the borough and e claim (HB &amp; Council Tax Support) introduced.</p> <p>The Discretionary Housing Payments budget to be maintained.</p> <p>Working with partners to direct people/sign post vulnerable groups.</p> <p>Public Sector Landlords Forum - ongoing dialogue and information exchange.</p> <p>Close monitoring of trends in quarterly basis to detect significant changes as soon as possible. Priority given to homeless applicants living in temporary private sector leased accommodation through the Housing Register.</p> <p>Monthly checks of new cases where benefit restricted and advice given on housing options accordingly.</p>	NA	NA	NA	NA	B3 (R) Likelihood High, Impact Significant		Y
C10	<p>Investment strategy specifies the spreading of investments over different types of property/cash/land etc. and different vehicles e.g. Valley Housing.</p> <p>All investment officers have been trained in best practice.</p> <p>Contingency provision has been made for poor decisions and 3rd party challenges.</p>	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant	NA	Y

Risk No	Action type - Accept, Terminate, Control, Transfer	Required Action	Action Target Date	Mar 2015 Target Score	June 2015 Target Score	Sept 2015 Target Score	Dec 2015 Target Score	Mar 2016 Target Score
C9	Control	<p>Economic Development Strategy - S106 Contributions to be sought for skills training etc.</p> <p>Housing Strategy including supplementary planning document for affordable housing to include measures to address e.g. build smaller units</p> <p>Review concessionary rates on fees and charges.</p> <p>Maintain investment in Council Tax Support Scheme. 2017/18 subject to Cabinet approval.</p> <p>Consideration of further benefit e forms to encourage job-seekers to interact on line in preparation for Universal Credit.</p> <p>Decision required regarding who will provide budgeting support to customers referred to TVBC by DWP</p> <p>Work with Astor to maintain support of temporary accommodation.</p>	<p>Mar 17</p> <p>Nov 17</p> <p>Mar 17</p> <p>Jul 16</p> <p>Mar 17</p>	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant
C10	Control	<p>Respond to Summer consultation on New Homes Bonus, Assessment of Needs and Business Rates Retention. Agreement by Cabinet.</p> <p>Prepare Efficiencies Plan to secure 4 year funding settlement from Government.</p> <p>Ensure capacity is provided to fund Asset Management Plan.</p> <p>Review reserves policy as part of Medium Term Financial Strategy.</p>	<p>Sept 16</p> <p>Oct 16</p> <p>Feb 17</p> <p>Feb 17</p>	NA	NA	NA	NA	D3(A) Likelihood: Low, Impact: Significant

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C11	All	Political	R Tetstall	Continuity of Council services adversely affected by Devolution agenda and possible reorganisation.	Mar-16	Government agenda. Other Local Authorities ambitions	Council reorganisation. Reduction in/sustainability of quality of services provided to Test Valley Residents. Lessening of democratic accountability.
C12	All	Managerial / Professional	A Rowland	Inability to recruit appropriately skilled staff.	Mar-16	Uncertainty of long term future of organisations in the public sector. Public sector organisations frequently receiving negative press coverage. Public sector not necessarily regarded as a career path of choice.	Reduced productivity and quality of Service. Capacity pressure points within Services. Expensive agency staff required to cover key roles.
C13	All	Managerial / Professional	A Rowland	Inability to retain appropriately skilled staff.	Mar-16	TVBC has strong track record of investing in and developing employees with all the benefits that flow from this whilst these employees remain with the Council. Inevitably due to the size of the Council there are limited opportunities at more senior levels for career development and so people move on.	Reduced productivity and quality of Service. Capacity pressure points within Services. Expensive agency staff required to cover key roles.
C14	All	Legislative	A Ferrier	Breach of Equality Act 2010.	Sep-11	Staff and Members unaware of Equalities legislation and its application. Nature of Political environment. Amendments to Equality Act	Council decisions are not properly assessed for their equality impact and as an employer doesn't take into account equalities legislation. Possible Judicial Review of Council decisions and costs awarded against the Council.



Risk No	Action type - Accept, Terminate, Control, Transfer	Required Action	Action Target Date	Mar 2015 Target Score	June 2015 Target Score	Sept 2015 Target Score	Dec 2015 Target Score	Mar 2016 Target Score
C11	Control	Ongoing engagement regarding devolution proposals between HCC, district councils, other partners and Government to secure the best outcome for residents of Test Valley. Responding to HCC proposals on the unitarisation of Councils.	Oct-16	NA	NA	NA	NA	C3 (A) Likelihood: Significant, Impact: significant
C12	Control	Review recruitment processes.  Consider investing more in professional development and recruit "raw" talent and layer on professional skills via graduate trainees, day release development, career grades and apprenticeships.  Promote Council image to attract new recruits (e.g. small and friendly environment, flexible working arrangements, strong track record in career development and enhancement)	Nov-16	NA	NA	NA	NA	C3 (A) Likelihood: Significant, Impact: significant
C13	Control	Identify jobs that are difficult to fill in the current market and review succession planning arrangements for these jobs. Keep this list under regular (6 monthly) review and update as necessary. Prepare a workforce plan.	Nov-16	NA	NA	NA	NA	C3 (A) Likelihood: Significant, Impact: significant
C14	Control	Equalities training was included as part of the induction programme and undertaken by Councillors. Not all councillors could attend so a further event is planned later in the year.	Dec-16	E3(G) Likelihood: Very Low, Impact: Significant	E3(G) Likelihood: Very Low, Impact: Significant	E3(G) Likelihood: Very Low, Impact: Significant	E3(G) Likelihood: Very Low, Impact: Significant	E3(G) Likelihood: Very Low, Impact: Significant

TEST VALLEY BOROUGH COUNCIL  
SERVICE RED RISKS

Annex 2

Risk No	Service	Type of Risk	Risk	Date risk identified	Factors	Consequences	Existing Risk Controls
ES23	Env.Services	Financial	Collapse of income streams - especially recycling	N/A	National/global markets - fluctuation. Decrease in demand for materials. Reduced value of materials.	Significant impact on revenue budgets.	Disposal contractor has long term contracts in place to mitigate short term market fluctuations in value.

Risk No	Dec 2014 Risk Score	Further Action (Y/N)	Action type - Accept, Terminate, Control, Transfer	Required Action	Risk Owner	Action Target Date	Target score	Corporate plan link
ES23	C2 (R)	N	Accept		Head of Service & Waste and Recycling Manager	N/A	C2 (R)	Environment