

Risk No	Category of Risk	Risk (Description)	Sub Risks	Factors	Potential Consequences	Existing Mitigations/Risk Controls	Additional mitigating action required	Action due date	Responsible Officer	Previous risk score	Current Risk Score	Current Risk Score (overall)	Direction of Travel	Action Target/ Review Date	Target Risk Score	Target Risk Score (overall)
C1	All	Insufficient capacity (staff) to deliver Council services (links to Economic/Financial Risk)	Inability to recruit and retain staff (to posts already have)	Competition/limited supply of labour Flexible/homeworking Industrial action Cost of living/deprivation impacts	Quality of Council Services affected. Delay in service provision. Increase in complaints etc. Budget strain from using temporary/agency staff.	Organisational Development journey Grow your own - actual or planned Agile working/hybrid working Review of pay policy allowances Use of agency staff	Succession planning. Forecasting capacity needs		SM		CII				DII	
			Inability to adapt Council service provision to accommodate changing customer needs and expectations	Cultural changes arising from pandemic Aging population Migration Demand for online services Managing expectation Periodic need for extra waste round	Quality of life of borough residents affected. Reputational damage Resourcing pressures e.g. Waste collection. Limitations on availability of affordable housing and being able to meet housing needs.	Effective Corporate Plan delivery including deliberative outcomes as evidence base Effective Local Plan S&I work on online service provision	Deliberative democracy to understand resource allocation How do Management define and measure capacity? Forecasting future resource needs - fed from demand forecast Review S106/commuted sum allocation		JM/CW AF/KD/EH CW/SF/PT		DII				EII	
			Inability to recruit and retain a sufficient level of appropriately skilled staff needed to deliver and expand on new responsibilities e.g. food waste	Limited supply of appropriately skilled staff. All Local Authorities in similar position therefore increased competition Government support not forthcoming or uncertain	Non compliance with statutory responsibilities. Potential health and safety impacts?	Build up reserves in advance to meet need Resource projects - staff and funding See C4. Budget approvals being sought. New burdens funding	Full costing of staff/fuel etc. for rounds. Depot costs (capacity for parking new vehicles)		JM+		CII				DII	DII
C2	Managerial/ Professional	Failure of Internal Governance Arrangements	Inability to sustain appropriate quality of leadership	Experience and knowledge of staff in leadership positions. Changes in ways of working and adapting to leading in a more agile environment	Deterioration in quality of service provision. Regulatory/legislative breaches resulting in penalties/sanctions Abuse of position/allegations re conduct and fraud Outcomes and objectives of CAP projects not fully realised	Leadership Development Programme (Collaborate) is mitigation against poor leadership. De-mystifying language for officers Developing structural governance training for officers for nuts and bolts e.g. procurement. New manager induction programme under development Continuing good officer/member relations Officer/Member Codes of Conduct	De-mystifying language for officers Developing structural governance training for officers for nuts and bolts e.g. procurement		AF KD/CW/EH		DII				EII	
			Governance failings not promptly recognised and identified	Annual Governance Statement (assessment not embedded) Setting an unsustainable budget.	Governance failing at TVBC. Special measures imposed	Internal Audit Team planned review of internal control processes Training provided to Audit Committee Members Clearly defined Terms of Reference for the Audit Committee Compliance with IIA standards and annual assessment against these reported to Audit Committee. Robust and reviewed Constitution including CSOs and Financial Procedure Rules	More detailed plan to embed AGS development throughout the year Political Awareness - development as appropriate for all levels Refresher training for all staff on governance issues to minimise complacency Improve understanding of policies and processes at officer level Refresh of recent failures work. Consideration of the LA failures and factoring into the Council's action plans.		Statutory Officers		DII				EII	
			Failure to maintain an effective internal control environment	Inexperienced Members Internal control processes not robustly managed	Failings in governance and internal control not recognised and effectively scrutinised. Qualified opinion in Annual Governance Statement Increase in fraud		The Audit Committee to carry out its own review of its effectiveness? Consideration of independent Member in accordance with CIPFA best practice. Review of the Constitution and the subsets within these is ongoing		CW/KD		DII				DII	

												ANNEX 1		
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			Failure of decision making processes	Decisions not made at the correct level/correct committee Decision taken by decision maker are incorrect. Decisions are based on reports containing inadequate details. Undue influence	Decisions are ultra vires and open to challenge Poor decisions made Not achieving the most economically advantageous outcome Reputational damage	Standard report template with key headings Statutory Officer oversight of decision making reports Detailed and regularly reviewed Scheme of delegations Effective OSCOM Professional support for report authors	Review of single report template underway Report writing training Requirement to submit reports within x days of agenda publishing		EH/KD/CW		DII	DII		DII
C3	Economic/ Financial	Inability to set a balanced budget	Inability to set revenue budget	Drop in interest rates/Inflation Loss of major tenants (rental income) Loss of investment income (debt management) New government burdens Economic shocks e.g. Ukraine Ability to generate new income Change in business rates retained income Difficulty identifying budget savings	Issue of S114 notice	Established process of building reserves for future losses/increased costs Don't build in grant funding like NHB to base budget	Regular review and update of Medium Financial Strategy to ensure forecast budget gaps are known in advance Commercial levers altered to increase income S106 (commuted sums) calculation/allocation review - (Will it last? What next? Review how allocate?)		CW		DII			DII
			Inability to set capital budget	Failure to generate capital receipts Inability to fund regen programmes Financial impacts on all/many priorities because of the significant value of the regen project Loss of investment due to regen priorities	Not able to fully deliver on all aspects of regeneration programmes within planned timeframe. Unable to commit to wider capital programme.	Established process of building reserves for future losses/increased costs Review of land assets Revenue contributions Resources set aside (regen pot) Development of officer regen team	Regular review of the capital strategy and forecast balances of capital reserves New regen project/programme framework		CW		CII			DII
			Inability to fund AMP	Inflation Costs greater than annual contribution to reserves	Inability to adequately maintain council assets / replace life-expired vehicles and plant	Established process of building reserves for future losses/increased costs	Review of AMP		CW		DII	DII		DII
C4	Environmental	Inability to fulfil emerging environmental duties and ambitions	Inability to meet Climate emergency commitments.	Funding - unknown funding requirement to deliver Organisational ambition Cost of change	Not becoming a carbon neutral organisation	Climate Emergency Action Plan (CEAP) Ability to switch between HVO and other fuel	Review of CEAP governance underway Implementation of actions arising from 22/23 internal audit.		GS		CIII			DIII
			Inability to meet the requirements of the Environment Act inc waste reform and Biodiversity Net Gain (BNG)	Capacity to deliver Workforce skills Limited guidance (details for BNG from DEFRA/Nat England. Detail (secondary legislation) not expected until summer 2023)	Breach of Environment Act Inability to make appropriate planning decisions	Early funding/ability to start procurement Mitigation/Provision/Framework to satisfy BNG - New Ecologist - Land purchase - consideration of - Review own estate potential (ongoing) and other possible options.	Land assessment of own estate re BNG capacity Purchase of vehicle and waste infrastructure		PW/SF PB/SF		DIII	CIII		DIII
C5		Inability to deliver and meet the Corporate Plan priorities and objectives?		Changing needs of communities Population growth and population changes e.g. demographics and aging Policy decisions of other organisations Partner service provision Officer capacity due to high demand Delivery and access to affordable housing Cost of living Mass migration - Ukraine Rent levels exceeding LHA - affordability of rent	Inability to meet the needs of the communities	Keep communities informed as far as can. Forecasting via housing market assessment People focused approach should place the Council well to deal with issues that arise e.g. existing community resilience. Corporate action plan is process to focus on the resources and capacity required to deliver on those priorities	Local Plan - Specific needs met through housing type and infrastructure provision Making sure the Council has the resilience/ability to adapt to unknown issues e.g. Covid/refugees. Given new plan taking place based working to define this further to understand what this means in practice. e.g. in service planning		GS/DT/JM/PT		To be scored when Corporate Action Plan complete (C or DII current estimate?) To reflect risk assessment scoring in Cabinet report.			

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C6	Managerial/ Professional	Inability to deliver Services in event of a major incident or cyber attack	Failure of Business Continuity Plans (BCP) Disaster recovery - Failure of IT reciprocal arrangements	Power outages/restrictions	Impacts on continuity of critical Council services.	Agile working has reduced the need for physical location for staff Changes to way BCP managed to give more resource Hosting journey to cloud (methods work) Bolstering of skills through training of other officers	Review/scope what is (or should be covered by BCP (Corporate review) - PROJECT Weekend monitoring and response to cyber incidents Testing of BCP arrangements for eventuality of systems being lost Ensuring most data can be accessed remotely Refresh of BCP and review of need for physical premises Commitment to a clear (and managed) staff training programme (awareness for all) Creation of new roles/rota (refresh) Development of clear roadmap towards hosted systems									
				Increased risk of cyber attacks	Loss of data or personal information (reputational), litigation or sanctions from Information Commissioner's Office				JM		DI				DI	
			Failure to comply with duties under Civil Contingency Act	Insufficient resources given to Emergency Plan Maintaining a wide enough pool of sufficiently trained staff	Inadequate response to emergency incidents	Emergency Response Plan in place. Take part in local Resilience forum and exercises. Improved resilience on single points of failure (resourcing) Ensure staff are sufficiently trained SLA with HCC covering Civil Contingency Act compliance.	To further bolster support for emergency planning officer/deputies		SM/JM		DII	DI			DII	DII
C7		Inability to deliver major projects and programmes within planned timescale/budget/scope	Inability to fulfil expectations of the regeneration programme	Affordability Expertise and capacity	Reputational damage Increased costs Non delivery of project outcomes	Regeneration programme risk workshop and on-going monitoring of regeneration-specific risk register. Regeneration Board and governance structure	Something to include in AMP/Capital planning (formal projects) -TOR Structured review of resource implications before implementation To take forward/plan actions re the outcomes from the regen risk workshop and produce risk register		GS		CII	CII			DII	DII