

CORPORATE RISK REGISTER														
Risk No	Risk description and categorisation	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	Target Risk Score	Target Risk Score (overall)
C1	Insufficient capacity (staff) to deliver Council services	Inability to recruit and retain staff (to posts already have) Impact of actions taken by major stakeholders to service provision (e.g. HCC)	Competition/limited supply of labour Flexible/homeworking Industrial action	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	To determine a consistent approach to defining, assessing and measuring capacity	31/12/24	Deputy Chief Executive	CII	CII	CII	Neutral	DII	DII
						Develop structured approach to succession planning and forecasting capacity needs, including consideration of learning & development; training posts in service structures etc.	31/12/24	Deputy Chief Executive						
						Forecast future resource needs - fed from demand forecast. Medium term forecast to be prepared as part of MTFS	31/10/24	Head of Finance & Revenues						
		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 non-compliance with statutory requirements.	Build up reserves in advance to meet need Resource projects - staff and funding New burdens funding	Full costing of staff/fuel etc. for rounds	31/12/24	Head of Environmental Services/ Head of Finance & Revenues	CII	DII	Improving	DII		
Delivery of depot changes to enable food waste delivery to commence	31/03/25					Head of Environmental Services/ Head of Finance & Revenues								
Actions completed since last update:														
MTFS approved in October 2023. This will always remain an action to mitigate risk and now has a renewal date of October 2024														
Approval of budget to enable depot changes to be undertaken. The action is now updated to show delivery of the changes. New burdens funding has been confirmed for bin / vehicle purchases														

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C2	Failure of Internal Governance Arrangements (Managerial / Professional)	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 is mitigation against poor leadership. New manager induction programme under development Continuing good officer/member relations Officer/Member Codes of Conduct Procurement Briefing note issued to all procuring officers	To embed new leadership framework throughout all levels of staff within the Council. Developing and embed structural governance training for officers	31/03/25 31/10/24	Chief Executive Head of Legal & Democratic/ Head of Finance & Revenues	DII DII	DII DII	DII		EII	DII	
		Governance failings not promptly recognised and identified	Annual Governance Statement (assessment not embedded) Setting an unsustainable budget	Governance failing at TVBC Special measures imposed Inappropriate decisions taken (e.g. non-compliance with Contract Standing Orders) Spending beyond approved budgets Decisions open to challenge	Regular Statutory Officers meetings with Governance action plan. Governance and Risk Management regularly reviewed by Services, senior management and Audit Committee Exercises undertaken to learn from the experiences of other failing authorities	Review updated CIPFA code of practice for Statutory Officers published in March 2024 Political Awareness - development as appropriate for all levels Refresh of recent failures work. Consideration of the Local Authority failures and factoring into the Council's action plans. Refresher training for all staff on governance issues identified from review of failing Councils to minimise complacency. New case studies to be provided Improve understanding of policies and processes at officer level Monitoring of and implementation of Governance Action Plan	31/01/25	Statutory Officers	DII	DII		Neutral	EII		
		Failure to maintain an effective internal control environment	Internal control processes not robustly managed Capacity of Internal Audit team	Failings in governance and internal control not recognised and effectively scrutinised Qualified opinion in Annual Governance Statement Increase in fraud	Internal Audit Team planned review of internal control processes 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 Contract Standing Orders and Financial Procedure Rules etc. Review of the Constitution and the subsets within these is ongoing	The Audit Committee to carry out its own review of its effectiveness Consideration of independent Member on Audit Committee in accordance with CIPFA best practice. Review of Contract Standing Orders in 2024.	To be picked up at Audit Committee Away Day 31/03/24 31/10/24	Head of Finance & Revenues/ Head of Legal & Democratic Head of Finance & Revenues/Head of Legal & Democratic	DII				Neutral	DII	
		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 Inexperienced Members	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 Requirement to submit reports within 5 days of agenda publishing Training provided to Audit Committee Members	Review of single report template underway Equalities Impact Assessment to be updated Report writing training	30/06/2024 31/05/24	Head of Legal & Democratic Head of Legal & Democratic	DII DII				Neutral	DII	
<p>Actions completed since last update:</p> <p>Annual Governance Statement drafted and presented to the meeting for approval</p> <p>Interim review of Contract Standing Orders ahead of wider changes later in 2024</p> <p>Ongoing training for Members and officers in governance / decision making processes</p>															

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C3	Inability to set a balanced budget (Economic / Financial)	Inability to set revenue budget	Drop in interest rates / sustained high inflation	Issue of S114 notice	Established process of building reserves for future losses/increased costs Don't build in grant funding like New Homes Bonus to base budget	Included in regular review and update of Medium Financial Strategy to ensure forecast budget gaps are known in advance	31/10/24	Head of Finance & Revenues	DII	DII	DII	Neutral	DII	DII	
			Loss of major tenants (rental income)												
			Loss of investment income												
		Inability to set capital budget	Failure to generate capital receipts	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 Approval of financial strategy for regeneration projects Revenue contributions built into base budget Resources set aside (regen pot) Development of officer regen team	Regular annual review of the capital strategy and forecast balances of capital reserves	28/02/25	Head of Finance & Revenues	CII	CII			Neutral	DII	
			Inability to fund regeneration programmes												
			Financial impacts on all/many priorities because of the significant value of the regeneration project												
Inability to fund AMP	Inflation	Inability to adequately maintain council assets / replace life-expired vehicles and plant	Established process of building reserves for future losses/increased costs	Annual review of Asset Management Plan (AMP) (forecasting, future need) to be presented to Cabinet and Council	31/10/24	Head of Finance & Revenues	DII	DII			Neutral	DII			
	Costs greater than annual contribution to reserves														
<p>Actions completed since last update:</p> <p>Medium Term Financial Strategy was approved in October 2023. This action is required annually and a revised date of October 2024 is now included.</p> <p>The same applies to the capital strategy which was approved in February 2024. A revised date of February 2025 is included</p> <p>The financial strategy for the regeneration programme was approved by Council in February 2024. The focus of the risk now moves to ensuring the receipts and reserves identified become available as forecast</p>															
C4	Inability to fulfil emerging environmental duties and ambitions (Environmental)	Inability to meet Climate emergency commitments.	Funding - unknown funding requirement to deliver	Not achieving objectives of Climate Emergency Action Plan	Climate Emergency Action Plan (CEAP) CEAP refresh identified as Corporate Action plan Review of CEAP governance underway. CEAP Governance Group established (sits between officer and MT) to help facilitate management of CEAP	To monitor progress and update the CEAP	30/09/2024	Head of Planning Policy & Economic Development	CIII	CIII	CIII	Neutral	DIII	DIII	
			Staff resource/skill set for implementation				Reputational damage. Not being seen as a local leader in the drive to manage a changing climate.								
		Inability to meet the requirements of the Environment Act inc waste reform and Biodiversity Net Gain (BNG)	Capacity to deliver	Breach of Environment Act	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. Any fields suitable for BNG/price etc	Re Waste reform - Purchase of vehicle and waste infrastructure		Head of Environmental Services	DIII	DIII		Neutral	DIII	
			Workforce skills					Inability to make appropriate planning decisions							
	Limited guidance (details for BNG from DEFRA/Nat England. Detail (secondary legislation) not expected until summer				Re BNG - Land assessment of own estate re BNG capacity. To consider potential for bringing together SANG, countryside acquisitions and nitrate neutrality	31/03/25	Head of Property & Asset Management/ Head of Planning & Building								
<p>Actions completed since last update:</p> <p>The update and refresh of the CEAP is regularly undertaken. The date has been rolled forward in the action plan as part of continuous review.</p> <p>Establishment of a climate emergency working group was approved in November 2023. This adds Member oversight to the climate emergency governance.</p> <p>Budget approval for infrastructure to enable roll-out of food waste collection has been approved.</p>															

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C5	Inability to deliver and meet the Corporate Plan priorities and objectives	Insufficient funding available Impact of actions taken by other major stakeholders (e.g. HCC)	Changing needs of communities Population growth and population changes e.g. demographics and aging Policy decisions of other organisations	Inability to meet the needs of the communities	Local Plan - Specific needs met through housing type and infrastructure provision. Keep communities informed as far as can. Forecasting via housing market assessment	Put in place and update Local Plan as per the statutory stages. First stage - consultation on draft.	First stage 31/01/2024	Head of Planning Policy & Economic Development	CII	CII	CII	Neutral	DII	DII
		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			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 projects, resources and capacity required to deliver on those priorities and informs the Medium Term Financial Strategy New Corporate Plan refers to working in a more placed based way. Structure of Management Team enables a strategic review across Services.	Build on work that has been undertaken with local places to map and understand their priorities, assets and skills needed.	31/12/24	Head of Strategy & Innovation / Head of Community & Leisure	CII	DII		Improving	DII	
Actions completed since last update:														
Local Plan consultation period has started on 6th March														
MTFS was approved in October 2023. The primary focus of the MTFS and Capital Strategy are to prioritise the delivery of the Council's priorities which are set out in the Corporate Action Plan.														
Significant work has been undertaken working with local communities through a series of workshops tailored to six areas across the Council. The action now moves to building on that work.														
C6	Inability to deliver Services in event of a major incident or cyber attack (Managerial / Professional)	Failure of Business Continuity Plans (BCP) Disaster recovery - Failure of IT reciprocal arrangements	Power outages/restrictions Increased risk of cyber attacks Involvement of 3rd parties/contractors hosting systems Personal data held in some systems	Impacts on continuity of critical Council services. Loss of data or personal information (reputational) litigation or sanctions from Information Commissioner's Office	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 Cyber response plan and playbooks produced and endorsed by MT	Development of clear roadmap towards hosted systems Undertake external assessment of system cyber resilience strength Back up testing of data accessibility Review/scope what is (or should be covered by BCP (Corporate review) Testing of BCP arrangements for eventuality of systems being lost. Ensuring most data can be accessed remotely Implement staff training programme (awareness for all). Training will be determined by outcomes of testing	Ongoing throughout year	Head of Strategy & Innovation	DI	DI	Neutral		DI	DII
		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 review sufficiency of additional emergency planning support arrangements	31/12/24	Deputy Chief Executive/ Head of Legal & Democratic	DII	DII		Neutral	DII	
Actions completed since last update:														
Significant investment of IT resources to ensure system resilience. Work with external contractors to assess system resilience / weaknesses														
Public Services Network Compliance certificate completed in December 2023														
Additional officers trained in cyber security and emergency planning roles, reducing risk of single point of failure. Action now moves to reflecting on sufficiency of new cover arrangements.														

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C7	Inability to deliver major projects and programmes within planned timescale/budget/scope (Economic / Financial)	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	Review of funding strategy to ensure latest delivery costs can be managed in an efficient manner. Structured review of resource implications of the programme before implementation i.e. the impacts on other Services and ongoing revenue implications. To take forward/plan actions re the outcomes from the regen risk workshop and produce risk register	31/03/25 (and annually updated) 31/03/25 (and annually updated) Ongoing	Head of Finance & Revenues Programme Board (Management Team) Head of Planning Policy & Economic Development	CII	CII	CII	Neutral	DII	DII
Actions completed since last update:														
Funding Strategy approved to cover the delivery of four major projects in Andover and Romsey														
Budget approval for professional fees to develop plans for theatre and Romsey hub. Tender is live for theatre procurement														
Budget approved for additional project support role in regeneration team														
Project documents including risk and issues logs developed for each project														