

ANNEX

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 Service planning process includes consideration of succession and capacity planning Organisational culture underpinned by expected behaviours and values.	To determine a consistent approach to defining, assessing and measuring capacity.	31/12/24	Deputy Chief Executive	CII	CII-DII	CII-DII	Neutral Improving	DII	DII
						Embed / strengthen 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 has been confirmed for bin/vehicle purchases. Full costing of staff/fuel etc. for rounds Established process for annual review and approval of Medium-Term Financial Strategy (MTFS). Next renewal date October 2024	Full costing of staff/fuel etc. for rounds	31/12/24	Head of Environmental Services/ Head of Finance & Revenues	DII	DII	Improving Neutral	DII	DII	
To establish budget for new posts and recruit ahead of implementation.	Subject to Council decision on proposed start date					Head of Environmental Services / Head of Finance & Revenues								
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:														
Updated approach to service planning has delivered consistent approach to defining, assessing and measuring capacity.														
Succession planning and capacity needs are considered as part of new Service planning process.														
Food waste work costed. Plans cannot yet commence until date known for start of food waste collection. Skilling up staff to grow from within and to backfill with agency staff. Work to deliver the depot changes to enable food waste delivery will be complete in the next few months.														

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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.	Deterioration in quality-of-service provision.	Leadership Development Programme is mitigation against poor leadership.	To embed new leadership framework throughout all levels of staff within the Council.	31/03/25	Chief Executive	DII	DII	DII	Neutral	EII	DII
			Changes in ways of working and adapting to leading in a more agile environment	Regulatory/legislative breaches resulting in penalties/sanctions	New manager induction programme under development	Continuing good officer/member relations	Developing and Embed structural governance training for officers	31/10/24	Head of Legal & Democratic/ Head of Finance & Revenues					
			Abuse of position/allegations re conduct and fraud	Outcomes and objectives of CAP projects not fully realised	Contract Standing Orders updated to reflect requirements of Procurement Act	Senior and next tier manager forums established with Action Learning Sets	Management development training cohorts across different levels of management.	Development and embedding of expected leadership behaviours and values.	31/03/25	Deputy Chief Executive				
C2	Governance failings not promptly recognised and identified	Annual Governance Statement (assessment not embedded) Setting an unsustainable budget	Governance failing at TVBC	Regular Statutory Officers meetings with Governance action plan.	Review updated CIPFA code of practice for Statutory Officers published in March 2024	31/01/25	Statutory Officers	DII	DII	Neutral	EII			
			Special measures imposed	Governance and Risk Management regularly reviewed by Services, senior management and Audit Committee	Political Awareness - development as appropriate for all levels									
			Inappropriate decisions taken (e.g. non-compliance with Contract Standing Orders)	Exercises undertaken to learn from the experiences of other failing authorities	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									
C2	Failure to maintain an effective internal control environment	Internal control processes not robustly managed Capacity of Internal Audit team	Spending beyond approved budgets	Accountability is embedded in the corporate values	Regular scrutiny of governance and value-for-money arrangements through external audit provides assurance of effective governance processes.	Improve understanding of policies and processes at officer level	31/12/24	Chief Executive						
			Decisions open to challenge	Internal Audit Team planned review of internal control processes	The Audit Committee to carry out its own review of its effectiveness	To-be-picked-up at Audit Committee Away-Day 31/03/24 31 st December 2024								
			Decisions open to challenge	Clearly defined Terms of Reference for the Audit Committee	Consideration of independent Member on Audit Committee in accordance with CIPFA best practice.									
C2	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	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.	Following review of Contract Standing Orders in 2024 to deliver training on new requirements to all staff who procure goods and services on behalf of the Council.	31/10/24	Head of Finance & Revenues/Head of Legal & Democratic							
			Qualified opinion in Annual Governance Statement	Review of the Constitution and the subsets within these is ongoing										

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C2 (cont)	Failure of Internal Governance Arrangements (Managerial / Professional)	Failure of decision-making processes	<p>Decisions not made at the correct level/correct committee</p> <p>Decision taken by decision maker are incorrect</p> <p>Decisions are based on reports containing inadequate details</p> <p>Undue influence</p> <p>Inexperienced Members</p>	<p>Decisions are ultra vires and open to challenge</p> <p>Poor decisions made</p> <p>Not achieving the most economically advantageous outcome</p> <p>Reputational damage</p>	<p>Standard report template with key headings</p> <p>Statutory Officer oversight of decision-making reports</p> <p>Detailed and regularly reviewed Scheme of delegations</p> <p>Effective OSCOM with clear work programme and leadership</p> <p>Professional support for report authors</p> <p>Requirement to submit reports within 5 days of agenda publishing</p> <p>Training provided to Audit Committee Members. Ongoing training provided for Members and officers in governance/decision-making processes</p> <p>Scrutiny processes in place for major regeneration programme including board</p>	<p>Review of single report template underway</p> <p>Equalities Impact Assessment to be updated</p>	<p>30/06/2024</p>	<p>Head of Legal & Democratic</p>	DII	DII	DII	Neutral	DII	DII
						<p>Report writing training</p>	<p>31/05/24</p>	<p>Head of Legal & Democratic</p>						

Actions completed since last update:
Formation of leadership forum for all line managers working for the Council. Developing consistent approach to leadership and the new corporate values.
Contract Standing Orders updated to reflect requirements of Procurement Act. Council approved update in July 2024. Training programme for all relevant officers being developed.
Procurement Strategy update and approach to providing training for all Contracting Officers being developed. Strategy to be received by Cabinet 20th November.

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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 Loss of major tenants (rental income) Loss of investment income New government burdens Economic shocks e.g. Ukraine Ability to generate new income	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 Review S106 /commuted sum allocation over budget setting period.	31/10/24 31/10/24	Head of Finance & Revenues Head of Finance & Revenues	DII DII	DII DII	DII DII	Neutral	DII DII	DII DII	
		Inability to set capital budget	Failure to generate capital receipts Inability to fund regeneration programmes Financial impacts on all/many priorities because of the significant value of the regeneration project Reduced cash balances following delivery of major projects leads to reduced investment income	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 Capital Strategy approved in February 2024 with a revision date of February 2025 included. Approval of financial strategy for regeneration projects by Council in February 2024. 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 Review of forecast resources earmarked for regeneration compared with actual available resources	28/02/25 28/02/25	Head of Finance & Revenues Head of Finance & Revenues	CII CII	CII CII	CII CII	Neutral	DII DII	DII 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	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	DII	DII	Neutral	DII	DII
		Actions completed since last update:													
All progressing as per annual timetable. No exception or concerns to report currently. MTFS cycle started with initial review by Budget Panel in August. MTFS on Cabinet Work Programme for 2 nd October.															

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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. Update and refresh of the CEAP is regularly undertaken 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.	Implementation of actions arising from internal audit review on climate emergency.	As per Audit report action plan						
		Organisational ambition	Breach of Environment Act	Establishment of a climate emergency working group which adds oversight to climate emergency governance.										
		Inability to meet the requirements of the Environment Act inc waste reform and Biodiversity Net Gain (BNG) (Service risk)		Capacity to deliver	Inability to make appropriate planning decisions	Early funding/ability to start procurement. Budget approved for infrastructure to enable rollout of food waste collection.	Re Waste reform - Purchase of vehicle and waste infrastructure		Head of Environmental Services	DIII	DIII		DIII	
			Workforce skills		Mitigation/Provision/Framework to satisfy BNG - New Ecologist	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						
Actions completed since last update: Climate Emergency Working Group (CIIr panel) to review CEAP and monitor progress. Report on progress to be presented to OSCOM in October and Cabinet in November. HCC waste infrastructure will not be ready as Government have not finalised statutory instruments and guidance. Government to finalise legislation. Food waste vehicles ordered for delivery in 2025.														

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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)	<p>Changing needs of communities</p> <p>Population growth and population changes e.g. demographics and aging</p> <p>Policy decisions of other organisations Partner service provision</p> <p>Officer capacity due to high demand</p> <p>Delivery and access to affordable housing</p> <p>Cost of living</p> <p>Mass migration - Ukraine</p> <p>Rent levels exceeding LHA - affordability of rent</p>	Inability to meet the needs of the communities	<p>Local Plan - Specific needs met through housing type and infrastructure provision.</p> <p>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.</p> <p>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</p> <p>Corporate Plan refers to working in a more placed based way.</p> <p>Structure of Management Team enables a strategic review across Services.</p> <p>Significant work undertaken working with local communities through a series of workshops</p> <p>Focus of Medium-Term Financial Strategy (MTFS) and Capital Strategy are to prioritise the delivery of the Council's priorities which are set out in the Corporate Plan</p>	<p>Put in place and update Local Plan as per the statutory stages. First stage - consultation on draft. Local Plan now identified as standalone risk. See C8.</p>	<p>First stage 31/01/2024</p>	Head of Planning Policy & Economic Development	CII	CII	CII	Neutral	DII	DII
						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	DII	DII		Improving Neutral	DII	
Actions completed since last update:														
MCDG action plan/OSCOM reference group established														
Awareness raising resources/funding available to communities (community resilience)														

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C6	Inability to deliver Services in event of a major incident or cyber-attack (Managerial / Professional)	Failure of Business Continuity Plans (BCP)	Power outages/restrictions	Impacts on continuity of critical Council services.	Agile working has reduced the need for physical location for staff	Development of clear roadmap towards hosted systems as part of wider IT strategy.	Ongoing throughout year 31/01/25	Head of Strategy & Innovation	DI	DI	Neutral DII	Neutral	DI	DII
		Disaster recovery - Failure of IT reciprocal arrangements	Increased risk of cyber attacks Involvement of 3rd parties/contractors hosting systems Personal data held in some systems	Loss of data or personal information (reputational) litigation or sanctions from Information Commissioner's Office	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	Undertake Outcomes of external assessment of system cyber resilience strength to be reported to senior management	30/09/24							
					External assessment undertaken to assess system resilience and weaknesses and report of outcomes produced.	Back-up testing of data accessibility	30/09/24							
					Back up testing of data accessibility undertaken successfully and annual exercise programmed	Outcomes of back up testing and recommendations to be reported to senior management from which cyber action plan to be developed.								
					Professional BCP training provided to BCP Response Team	To procure new backup system which will include cloud and on premise storage	28/02/25							
					Most data is accessible remotely via O365 platform with laptops issued as standard	Review/scope of what is (or should be covered by BCP (Corporate review) to be reviewed by senior management following training of BCP Response Team	31/10/24							
					Public Services Network Compliance certificate completed annually	The above to cover Testing of BCP arrangements for eventuality of systems being lost.								
					Additional officers trained in cyber resilience minimising single points of failure	Ensuring most data can be accessed remotely								
					Most data can be accessed remotely enabled by Office 365 platform. Laptops are issued as standard.	Implement staff training programme (awareness for all). Training will be determined by outcomes of testing (see above)								
		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. Additional officers trained in emergency planning roles minimising single points of failure. SLA with HCC covering Civil Contingency Act compliance-Internal plans in place to ensure continuity and strengthen resilience measures following notice from HCC to end SLA Chief Executive is member of Local resilience Forum.	To review sufficiency of additional emergency planning support arrangements	31/12/24	Deputy Chief Executive/ Head of Legal & Democratic	DII	DII		Neutral	DII	
						Undertake emergency planning exercise in early 2025	31/03/2025	Chief Executive						

Actions completed since last update:
HCC has served notice of end of SLA covering Civil Contingencies Act. Internal plans already amended to ensure continuity and strengthening of resilience measures.
Is a technical roadmap towards hosted systems which is being developed as part of wider IT strategy. External assessment of system cyber resilience strength has been completed. Outcomes presented to senior management from which cyber action plan to be developed.
Training of BCP Response team undertaken – outcomes to be reported to senior management in October.

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C8	Inability to deliver the Government's draft proposals to change the planning system and consequences for strategic planning in the borough	Increase in the scale, complexity and resourcing needed to achieve a sound Local Plan	Lack of housing land supply	Reputation More allocations having to be made Neighbouring authorities not able to meet their housing requirement More speculative applications	LDF budget Reserve Counsel and professional advice available. Baseline information established	Draft and consult on a new Local Plan	31/12/24 Dependent on Govt publishing new approach	Head of Planning Policy & Economic Development	New risk	AIII	All		CIII	CII
						Begin to update evidence base	31/12/24	Head of Planning Policy & Economic Development						
						Review resource requirements	31/12/24	Head of Planning Policy & Economic Development						
		Increase in the likelihood of planning appeals from speculative residential developers		Resource pressures in the Planning Services Financial pressures	Phasing and Contingency (5.101..) in adopted Local Plan if housing land supply falls below 5 years	Establish the Council's housing land supply position and approach to respond to it.	31/12/24 Dependent on Govt publishing new approach	Head of Planning Policy & Economic Development	New risk	All			CII	
						Confirm neighbouring authorities' ability to meet housing requirement		Head of Planning Policy & Economic Development						
						Train officers and assess experience required for complex planning applications and appeals		Head of Planning Policy & Economic Development/Head of Planning & Building						