

Corporate Risk Register – 19 November 2021

Risk Code	Risk	Lead Officer	Probability	Severity	Score	Controls with RAG Status & Control Owner	Risk Target	Date For Review
CCR1	Failure to develop a budget strategy identifying income and savings opportunities to meet the funding gaps identified in the Budget Strategy and MTFP.	Andrew Cummings	2	3	6	1. Develop a series of savings proposals and income generation opportunities to meet the targets in the MTFP	6	28/02/2022
						2. Establish and enter into agreements with third sector or other potential alternative service providers to take on services post 2020/21		
						3. Potential to increase income through measures such as: Council Tax, service charges, maximise retention of business rates (see CCR10)		
						4. Establish and implement a public consultation strategy to manage service expectations prior to 2020/21		
						5. Maximise ability to convert capital receipts to revenue		
						6. Establish and implement a public consultation strategy to manage service expectations post 2020/21		
CCR4	Unable to secure continuity of services during normal business hours ALSO RELATES TO CCR 16	Mike Hammond	3	3	9	1. Council resolves to identify and adequately resource corporate service priorities as part of the budget process	9	28/12/2021
						2. Implement 2016 approved corporate ICT plan		
						3. Individual service continuity plans fit for purpose and adhered to		
						4. Workforce plan to secure expertise to avoid service failures		
						5. Ensure data backup system fit for purpose		
						6. Adequate resources on hand to respond to emergencies		
						7. Communication strategy to keep stakeholders informed of service availability		
CCR8	The Council is required to increase its contributions to the Gloucestershire Pension Fund above the MTFP provision.	Andrew Cummings	2	2	4	1. Ensure workforce plan takes account of financial impact of reducing staffing levels on pension fund contributions	4	30/06/2022
						2. Ensure MTFP accurately reflects contribution likely to be required based upon workforce demographics		
						3. Ensure Treasury Management decisions take account of investment benefits potentially available from ad hoc payments to pension fund		

CCR9	Cost of providing waste and recycling services to the district currently constitutes around a third of the organisations budget. As such any budgetary implication is of significant consequence to the MTFP. An emerging facet of this risk is the Environment Bill that could include legislative changes impacting our financial position.	Mike Towson	3	2	6	1. Monitor customer service use and identify new customers to increase income.	Mike Towson	2	28/12/2021
						2. Effective management of UBICO contract.	Mike Towson		
						3. Maximise effective use of existing resources.	Mike Towson		
						4. Keeping up to date with emerging legislative changes and good practice.	Mike Towson		
CCR10	Failure to develop appropriate staff policies to recognise talent leading to difficulties in retention and recruitment	Lucy Powell	2	2	4	1. Adopt policies which promote staff development and retention	Lucy Powell	2	28/02/2022
						2. Adoption and implementation of efficient and professional recruitment policies and practices	Lucy Powell		
						3. Use consultants to manage service in short term	Lucy Powell		
						4. Shared services with neighbouring authorities	Lucy Powell		
						5. Permanent outsourcing to the private sector	Lucy Powell		
CCR16	Inadequate telephony, IT and infrastructure to meet the current business needs of the authority.	Adrian Blick	2	4	8	Capital project monitoring updates to S and R	Sean Ditchburn	8	30/11/2021
						Regular performance monitoring by member champions	Adrian Blick		
CCR18	The loss of income from recycling/incentive credits and the potential for increased costs of recycle processing.	Mike Towson	4	3	12	Effective management of the UBICO contract	Mike Towson	9	28/12/2021
						Keeping up to date with emerging legislative changes and good practice.	Mike Towson		
						MRF Contract - the value of recycles collected by the Council are determined by industry benchmarks, this may have an impact of the amount received (income) or the costs incurred of disposal	Mike Towson		
						To keep lines of communication open with the County Council to maximise the lead in time for any changes to payment received	Mike Towson		
CCR19	COVID-19 pandemic	Kathy O'Leary	3	3	9	Weekly Overview of all Covid-19 response work, business as usual, comms, staffing	Kathy O'Leary	6	08/12/2021
CCR20	Government white paper on local government reorganisation / devolution	Kathy O'Leary	4	3	12	Assess impact of White Paper and work with neighbouring authorities	Kathy O'Leary	6	28/12/2021
CCR91	Inadequate Information Governance Framework and non-compliance with Transparency Code leading to increased FOI requests, risk of complaints to the ICO	Marie Parkington	2	3	6	Focussing on risk avoidance by applying safeguards that will eliminate or reduce the risk. We aim to achieve this by Training & Education and implementing technical security controls and safeguards. Mandatory Data Protection course in place. Review and implementation of a new Information Governance Framework and	Marie Parkington	3	18/02/2022

	and breaches resulting in ICO investigations and subsequent fines.				<p>associated policies to mitigate threats and reduce the impact. In depth analysis of any breach, management of robust FOI/EIR/SAR requests to ensure dealt with in a timely manner. On going evaluation of controls that are in place to ensure that they are 'fit for purpose'.</p> <p>Mandatory Data Protection Course in place and work is underway to implement a second intermediate level course for Service Heads/Information Asset Owners and Information Governance Coordinators to increase their level of knowledge. Both courses will also reflect data breach investigations to address and prevent further occurrence.</p> <ul style="list-style-type: none"> - An enhanced training exception report has been built with the Learning provider which highlights which staff and members have not yet completed training. - Statutory DPO providing detailed GDPR expertise, advice and support with a recently introduced role of Information Governance Officer to support adherence to regulations and compliance. - revised incident reporting framework and procedure in place, with investigation form completed for all breaches and learning taken forward and shared. - Data Breaches are to be included in a Dashboard to SLT to enable effective response. <p>Revised Privacy Notices across all Service Areas as they have not been updated since April 2018. We wanted to ensure that in line with ICO guidelines, when processing personal data, we tell people what we are doing with it, why we need it, what we'll do with it and who we're going to share it with. We have provided this information in a clear, open and honest way.</p> <p>The ICO Accountability Statement Tracker has been used to record and track our progress via self-assessment. This will help build our own action plan and improve our accountability in Information Governance. This will provide us with actions to work on to ensure that we remain compliant.</p>	<p>Marie Parkington</p> <p>Marie Parkington</p> <p>Marie Parkington</p>		
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