

Strategic Risk Register

OVERVIEW

RISK		OWNER	INHERENT RISK			RESIDUAL RISK		
			Likelihood	Impact	Total	Likelihood	Impact	Total
SR1	Inadequate business continuity and recovery arrangements, resulting in major internal and/or external disruption to services in the event of an incident.	Strategic Director of Environment and Corporate Services	3	4	12	3	3	9
SR2	Inadequate data sharing and data security arrangements.	Strategic Director of Environment and Corporate Services	3	4	12	2	3	6
SR3	Inadequate civil contingency arrangements resulting in failure to respond appropriately to a major incident (eg. flooding, terrorism etc).	Chief Executive	4	4	16	3	4	12
SR4	Significant reduction in external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives.	Strategic Director of Environment and Corporate Services	4	4	16	3	4	12
SR5	Ineffective strategic communication arrangements	Chief Executive	3	3	9	2	3	6
SR6	Risk that the proposed Environment Bill will cause financial hardship to the Council due to loss of income relating to Garden Waste and the additional cost of food waste collection and garden waste collection from every household	Strategic Director of Environment and Corporate Services	4	4	16	3	4	12

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel																																																												
SR1 Inadequate business continuity and recovery arrangements, resulting in major internal and/or external disruption to services in the event of an incident.	Strategic	<ul style="list-style-type: none"> • Inability to deliver key/critical services e.g.benefits, refuse collection, homelessness applications, emergency repairs. • Reduction in access channels available to residents / customers i.e. contact centre, customer services, telephony 	<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Yellow</td><td>Yellow</td><td>12</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	Yellow	Yellow	12		Green	Green	Yellow	Yellow		Green	Green	Green	Green		Green	Green	Green	Green		Impact				<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Yellow</td><td>9</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	Yellow	9	Red		Green	Green	Yellow	Yellow		Green	Green	Green	Green		Green	Green	Green	Green		Impact				MAINTAIN AS CURRENT
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Current Treatments and Controls	<ul style="list-style-type: none"> • Business Continuity Planning • IT Disaster Recovery Plan • Website hosted externally • Off-site data back-up arrangements • Stand-by generator for ICS building • Cloud based telephony infrastructure • Contingency planning for failure of major contractor 																																																																
Risk Owner	Strategic Director of Environment and Corporate Services																																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Link to work regarding concurrent incidents Link to workforce mental health	<u>Responsible Officer:</u> Head of Strategic Support	<u>Target Date:</u> Ongoing																																																														

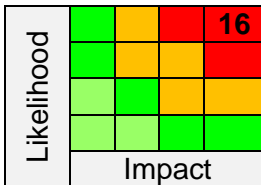
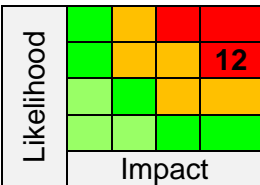
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SR2 Inadequate data sharing and data security arrangements.	Strategic	<p>Ineffective processes for sharing data with other agencies / authorities leading to data breaches</p> <p>Major reputational damage and loss of public confidence</p> <p>Potentially significant fines</p> <p>Increased risk due to the operating processes and people possibly taking documents home</p>	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>12</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	Yellow	12	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>6</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	Yellow	6	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				MAINTAIN AS CURRENT
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Current Treatments and Controls	<ul style="list-style-type: none"> • Information sharing agreements in place with key agencies and authorities • Annual IT health checks including penetration testing • Data Protection Officer in post and data protection training and awareness for staff and councillors • Data Protection Impact Assessment form developed and circulated • IT security policies in place • Protective marking of emails • Policies are reviewed on a regular basis • Information Security Group to be established with CLT • Checking the location of data storage post Brexit – EU / UK • Cyber Security Insurance procured 																																																
Risk Owner	Strategic Director of Environment and Corporate Services																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable	<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A																																														

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SR3 Inadequate civil contingency arrangements resulting in failure to respond appropriately to a major incident (eg. flooding, terrorism etc).	Strategic	<ul style="list-style-type: none"> • Inability to respond to affected peoples' basic needs (food, shelter etc) • Adverse effect on the local economy • Major reputational damage and loss of public confidence • Extending the recovery phase longer than necessary • Dealing with the COVID pandemic will have a negative effect on the management of concurrent incidents 	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>16</td></tr> <tr><td>Green</td><td>Yellow</td><td>Red</td><td></td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td></td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td></td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	16	Green	Yellow	Red		Green	Green	Yellow		Green	Green	Green			Impact				<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>12</td></tr> <tr><td>Green</td><td>Yellow</td><td>Red</td><td></td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td></td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td></td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	12	Green	Yellow	Red		Green	Green	Yellow		Green	Green	Green			Impact				MAINTAIN AS CURRENT
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Current Treatments and Controls	<ul style="list-style-type: none"> • Participation in the Local Resilience Partnership and Forum (LRP and LRF) – and awareness of guidance regarding concurrent incident with COVID • Appropriate emergency and incident planning in place • Regular testing and exercising of emergency plans • Training and awareness for relevant staff • 24/7 call-out arrangements for senior managers (SLT / CLT) • Participation in county-wide Events Safety Group (SAG) • Reviews periodically undertaken within current Treatments and Controls 																																																
Risk Owner	Chief Executive																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Work with LRF partners regarding Covid and the changes in infection rates and the availability of support for concurrent incidents including rest centres		<u>Responsible Officer:</u> Head of Strategic Support	<u>Target Date:</u> Ongoing Ongoing																																													

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SR4 Significant reduction in external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives.	Strategic	<ul style="list-style-type: none"> • Inability to meet demand for services • Inability to meet statutory duties • Ceasing or reducing some services 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Annual production and monitoring of Medium Term Financial Strategy (MTFS) • Treasury Management Strategy • Budget and revenue monitoring processes • Business continuity planning • Production and monitoring of efficiency plan • Maintenance of reserves at specified required levels • Monitor, consider and respond to government proposals affecting budgets and/or income • Consider commercialisation opportunities • Due to the implications of the COVID pandemic the financial challenge and impact is greater • Continued uncertainty and volatility in Local Government funding and Council funding is replicated on a range of one off stop gaps • Follow up on the subsidy associated with the Supported Living costs 				
Risk Owner	Strategic Director of Environment and Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable	<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A		

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SR5 Ineffective strategic communication arrangements	Strategic	<ul style="list-style-type: none"> • Reputational damage • Adverse media coverage • Damage to relationships with partners • Damage to staff morale • Competing demands due to the COVID pandemic 	<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Yellow</td><td>9</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	Yellow	9	Red		Green	Green	Yellow	Yellow		Green	Green	Green	Green		Green	Green	Green	Green		Impact				<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>6</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	Yellow	Yellow	Red		Green	Green	6	Yellow		Green	Green	Green	Green		Green	Green	Green	Green		Impact				MAINTAIN AS CURRENT
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Current Treatments and Controls	<ul style="list-style-type: none"> • Adequately staffed and experienced corporate communications team – including additional resources to support the ongoing COVID pandemic • Corporate Communications Plan in place • Communications Strategy being developed • Regular monitoring of all media sources • Continue to expand on social media use and reach • ‘Horizon scanning’ for potential communication issues at each Corporate Leadership Team meeting • Joint working with LCC Comms 																																																																
Risk Owner	Chief Executive																																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable	<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A																																																														

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SR6 – Risk that the proposed Environment Bill will cause financial hardship to the Council due to loss of income relating to Garden Waste and the additional cost of food waste collection and garden waste collection from every household	Strategic	<ul style="list-style-type: none"> Financial damage Reputational damage Not complying with legislation 	<table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>High</td> <td>Medium</td> <td>Low</td> <td>16</td> </tr> <tr> <td>Medium</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Low</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Very Low</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td>Impact</td> <td></td> </tr> </table>	Likelihood	High	Medium	Low	16	Medium	Medium	Low		Low	Medium	Low		Very Low	Medium	Low					Impact		<table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>High</td> <td>Medium</td> <td>Low</td> <td>12</td> </tr> <tr> <td>Medium</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Low</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Very Low</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td>Impact</td> <td></td> </tr> </table>	Likelihood	High	Medium	Low	12	Medium	Medium	Low		Low	Medium	Low		Very Low	Medium	Low					Impact		MAINTAIN AS CURRENT
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Current Treatments and Controls	<ul style="list-style-type: none"> Lobbying MP's regarding the implications of the Bill Monitoring the Bill as it moves through Parliament Meeting with DEFRA Liaising with other Districts Reviewing and understanding the financial implications (full modelling would require external assistance) Cabinet Member Briefing – 17th June Uncertainty regarding where the funding will come from – Central Govt or Local 																																																
Risk Owner	Strategic Director of Environment and Corporate Services																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Bill is at the Committee Stage – will monitor and update the risk accordingly		<u>Responsible Officer:</u> Head of Cleansing and Open Spaces		<u>Target Date:</u> Ongoing																																												