

## Corporate Centre Directorate Risk Register June 2023

		Impact			
		2	3	4	5
Likelihood	5				
	4	N/A	CS.02		
	3	N/A	CS.01 CS.03 CS.21 CS.27 CS.28	CS.11 CS.12 CS.14 CS.26 CS.33	
	2	N/A	N/A	N/A	

Reference	Description	Corporate Risk
CS.01	<b>Mandatory IG and IS Training</b> <b>IF</b> staff do not complete their mandatory IG and IS training before being given access to business systems <b>THEN</b> this may lead to data breaches or the mis-management of information and risk referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council.	
CS.02	<b>Fastershire delivery</b> <b>IF</b> coverage and take up falls short of plans with the revised broadband strategy <b>THEN</b> premises will not be able to take up a service or make the most of investment in the fibre network effecting economic performance and community vitality.	
CS.03	<b>New projects expectations and requirements</b> <b>IF</b> insufficient capacity in procurement team to support due to increasing demand through new project and expectations <b>THEN</b> tender strategies and approaches may fall short of best practice and policy requirements.	
CS.11	<b>Risk of Challenge</b> <b>If</b> staff do not comply with the Contract Procedure Rules and Public Contract Regulations (2015) <b>Then</b> there could be a challenge to the contract award process which could result in a failure to uphold the law, reputational damage and impact	

Reference	Description	Corporate Risk
CS.12	<b>Procurement Support</b> IF tenders are not adequately planned or resourced reflecting addition in grant funded projects and new escalated delivery THEN there may not be sufficient resources within the team to support the procurement process, which could result in delays to projects, inadequate application of best practice, potential for mistakes, business continuity issues and delivery of council goals.	
CS.14	<b>Major Capital Projects</b> IF: We don't deliver Major Capital Projects within budget or within timescale THEN: this will lead to increased costs and reputational damage	
CS.21	<b>Good decision-making</b> IF: officers and members do not uphold the principles of good decision-making THEN: the Council may make poor decisions which either result in lost opportunities or increased costs.	
CS.26	<b>Medium Term Financial Strategy</b> IF: the Council does not deliver its MTFS strategy, either through poor budgetary control or inflationary pressures THEN: there is a risk that the organisation will not achieve a balanced budget and risk service failure	
CS.27	<b>Legal recruitment</b> Inability to recruit to the new structure will lead to challenges in managing the demand for legal support	
CS.28	<b>Accountability for grants</b> IF the council does not properly manage grants THEN: the council could be liable for financial and reputational risks	
CS.33	<b>Complaints not being dealt with</b> IF: complaints are not being investigated in a timely manner by the services THEN: then time scales will be missed and escalated to the LGSCO	

Risks de-escalated to service risk register		
CS.04	<b>Legal resourcing</b> Inability to control external fees spend within allocated budget of £400k	
CS.05	<b>SARS Requests</b> IF SARS requests continue to increase to the council THEN there will be increased workload for staff.	
CS.08	<b>Recruitment Strategy</b> IF: the council is unable to recruit and retain the level and scale of staff required across the organisation due to inability to attract and/or an unsustainable employable local demographic THEN: there will be insufficient staff to meet service demands; an inability to progress service development; and a financial implication of using agency staff/contractors.	

CS.09	<p><b>Cyber-attack</b>  <b>IF:</b> we do not protect against a potential cyber-attack <b>THEN:</b> we could be at risk of losing data in breach of principle 7 of the Data Protection Act which would lead to potential fines from the Information Commissioner Office and reputational damage</p>	
CS.10	<p><b>Council Redesign/Resources</b>  <b>IF:</b> Reducing resources in the form of grant, uncertainty and the requirement to deliver transformation at speed combine <b>THEN:</b> there will be a risk of failure to meet statutory and/or legal duties and powers.</p>	
CS.13	<p><b>Records Management</b>  If staff do not comply with records management policy, practice and procedures - including using the systems available <b>THEN</b> important information can be lost including for court cases, subject access searches and FOI.</p>	
CS.17	<p><b>Evacuation of buildings</b>  <b>IF</b> we do not have sufficiently trained fire wardens to assist in the evacuation of staff from buildings during a fire <b>THEN</b> the employer may fail in their duty of care to make sure anyone using our buildings can safely evacuate</p>	
CS.18	<p><b>IT budget</b>  <b>If</b> it is not clear on the spend for IT with links to contracted spend <b>THEN</b> there is a risk of overspend.</p>	
CS.22	<p><b>IT skills and culture</b>  <b>IF</b> the workforce do not have the IT skills or the willingness to make the most of technologies <b>THEN</b> the council is not making the most of the tools available to create efficient services or progress service delivery</p>	
CS.23	<p><b>IT development</b>  <b>IF</b> the council does not invest in digital solutions working across the organisation <b>THEN</b> opportunities for better customer engagement, communications and efficient services delivery will be effected and the council will fall behind on what residents and businesses want and what other council can provide. To always be based on should business cases and value for money with return on investment.</p>	
CS.29	<p><b>Information governance</b>  <b>IF:</b> staff do not treat the information they access appropriately <b>THEN:</b> this may lead to the risk of referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council.</p>	
CS.34	<p><b>MS Teams</b>  <b>IF</b> Staff continue to use MS Team sites to store council documents <b>THEN</b> this may lead to data breaches or the mis-management of information and risk referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council</p>	
CS.35	<p><b>System Access:</b>  <b>IF</b> Staff are being given access to business systems without completing a staff induction, mandatory training and/or a third party access agreement <b>THEN</b> this may lead to data breaches or the mis-</p>	

	management of information and risk referral to the Information Commissioner and/or legal challenge with resultant unbudgeted costs and reputational damage for the Council.	
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<b>Closed Risks</b>		
CS.15	<p><b>EU exit</b></p> <p><b>IF:</b> there is uncertainty, inflation and resource restrictions <b>THEN:</b> there may be an impact on the economic and social programmes of the Council and its partners which would impact affordability and result in resource gaps</p>	
CS.36	<p><b>Implementation of the Elections Act 2022</b></p> <p><b>IF:</b> key policy details are not confirmed and secondary legislation not published in adequate time <b>THEN</b> the Returning Officer will be unable to implement the Elections Act 2022. This could result in:</p> <ul style="list-style-type: none"> <li>• Voter ID not being successfully introduced and confusion about which postal votes can be included. Some voters may be disenfranchised leading to a lack of confidence in election results.</li> <li>• Any elections taking place might be undermined.</li> <li>• The returning Officer may struggle to deliver the elections they have personal responsibility for.</li> <li>• The risk of challenge by petition after the election will be higher.</li> <li>• Without more information the necessary systems, including software, cannot be implemented and training cannot be provided.</li> <li>• Certain groups are more likely to be disadvantaged than others, resulting in increased inequalities.</li> <li>• Polling staff will have greater responsibilities, including challenging voters about their ID and including and excluding the postal votes. This may result in recruitment issues for polling station staff.</li> <li>• Postal votes might be rejected incorrectly due to a lack of communication or understanding.</li> </ul> <p>Not all polling stations are suitable because they will require privacy areas. There may be insufficient polling stations.</p>	