

## Summary of Corporate Risk Register – Quarter One 2022/2023

Risk Ref	Risk Description	Current	Date of Next Review
1	<p><b>Major system/ supplier failure or natural disaster, external infrastructure failure</b>            Lack of effective business continuity plans / emergency planning and poor defences in places (e.g. severe weather, flooding, pandemic etc).            Business Continuity (BC) and Councils Service Resilience in the event of an IT Outage, including from Cyber Security - If the council has a Business Continuity disruption and is unable to ensure the resilience of key Council operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.</p>	6	31/08/22
2	<p><b>Information Communication Technology (ICT) Risks</b> - Inability to keep up with pace of change.            Specific risks include:            • <b>Cyber Security</b>– Technical Controls &amp; Platforms. Key potential causes are:            - Lack of investment in appropriate technologies.            - Reliance on in-house expertise, and self-assessments (PSN).            • <b>Information Security Policies and Risk Management</b>            There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks. Key potential causes are:            - Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.            - Lack of formal approach to risk management (ISO27001).            • <b>ICT Resilience</b> - The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss. Key potential causes are:            - Poor Business Continuity (BCP) planning and understanding of key system architecture.            - Untested Disaster Recovery (DR) arrangements including data recovery.            - Untested network reconfiguration to alleviate key location outage.            - Untested recovery schedules in terms of order and instructions.            - Lack of resilience available for legacy systems (single points of failure - people and technology).            - Services undertaking their own IT arrangements outside of the corporate approach            • <b>Suitability of Line of Business Systems and the Councils reliance on legacy systems.</b> Key potential causes are:            - Lack of desire to change, systems.            - Significant transition activity leads to systems being Expensive/complex to change.            - Lack of understanding of consequences of not changing systems on ICT.            • <b>CRM - resources and support issues</b>            • <b>Infrastructure Network age (over 10 years old) - failure of critical systems</b></p>	10	31/08/22

3	<p><b>Financial Resilience</b></p> <p>The Council is unable to deliver a balanced budget from:</p> <ul style="list-style-type: none"> <li>• Loss of agreed MTFS planned Income</li> <li>• Non-achievement of planned MTFS savings</li> <li>• Increased financial support for Businesses, Voluntary Sector</li> <li>• Inability to forecast due to uncertainty over future funding model</li> <li>• Not-receiving full re-imbursement from the Government</li> <li>• Increased bad debt provision</li> <li>• Use of Reserves</li> <li>• Impact of wider economic issues – i.e. inflation and recession</li> </ul>	16	31/08/22
4	<p><b>Potential harm to people we owe a duty of care</b></p> <ul style="list-style-type: none"> <li>• Social care fails in its duty of care, particularly to the vulnerable in society (as a result of reduced staffing, increased hospital discharges etc).</li> <li>- service user is harmed as a result of provider failure</li> <li>• Safeguarding issues occur due to multiple issues with DOLS, BIA and easement of care act</li> <li>• The risk is that adult social care and council fails in its duty of care, particularly to the vulnerable in society, and a service user is harmed or dies as a result of those failures. This includes illegal deprivation of liberty of users of services, where the appropriate Deprivation of Liberty Safeguard is not in place. Potential harm to children we owe a duty of care.</li> <li>• Children's Social Care fails in its duty of care to children and a child is harmed or dies as a result of those failures.</li> </ul>	12	31/08/22
5	<p><b>Council fails to adapt to changing context</b></p> <p>New and ongoing work towards meeting the climate change agenda could have a wider impact of the council's ability to adapt to a changing environment. The risk is new expectations and deadline to meet certain criteria to a more climate change responsible environment.</p>	8	31/08/22
6	<p><b>Major Supplier Failure / Collapse of the local social care provider market</b></p> <p>Instability of the social care market due to problems with financial sustainability, workforce capacity and recruitment means that the Council are unable to commission care and support services for vulnerable residents. There is a risk that the Council does not meet statutory obligations to those we owe a duty of care</p> <p>Capacity issues within the provider market sector (linked to recruitment and retention) could lead to an inability to meet demand for services which could result in poor quality provision and significant unmet needs and higher dependency levels</p> <p>The cost of care in residential homes is incompatible with the Council's rate leading to an unstable market and residential care home refusing to take clients</p> <p>The rates or agreed charging periods that the Council offer to domiciliary care agencies is insufficient to support a high quality community service and may result in a risk to safeguarding of vulnerable people, delays in discharging people from hospital and inappropriate admissions to hospitals and care homes.</p> <p>These issues are likely to be compounded due to inflationary increases for both existing and future contracts.</p>	16	31/08/22

7	<b>Non-compliance with Health and Safety regulations</b> <ul style="list-style-type: none"> <li>• Council properties are not safe for residents and the Council houses people in unsafe residences.</li> <li>- Repairs and Voids procurement: delays in procurement and inappropriate approach</li> <li>- Fire Safety: Regulatory FRA surveys and works not being managed/remedial works not delivered</li> <li>- Compliance Management: regulatory breaches resulting in fines from HSE, housing rating system breaches with risk of harm or injury to staff</li> </ul>	8	31/08/22
8	<b>Breakdown of relationships with local business community</b> Economic downturn negatively impacting local businesses. Risk of a breakdown in the Council relationship with local business could lead to a lack of trust and engagement.	8	31/08/22
9	<b>Significant Governance or control Failure</b> Further work needs to be undertaken to develop a comprehensive, auditable and objective assurance process to give reassurance that the Governance framework is understood and embedded within the organisation. Particular emphasis should be given to ensuring that any change in the governance framework is known and addressed and that new personnel are equipped with the correct knowledge and understanding.	12	31/08/22
10	<b>Failure to deliver strategic corporate priorities</b> Council priorities are not met leading to dissatisfaction from residents. Council priorities are amended, not met or significantly delayed There is a risk that a breakdown in the Council relationship with residents could lead to a lack of trust and engagement, poor communication, non-delivery of objectives; and, failure to meet expectations. Risk that a loss of trust occurs if complaints and Member's Enquiries handled poorly or in an untimely manner.	12	31/08/22
11	<b>Workforce</b> There is a risk that the current work stream demands combined with staff reductions across the Council result in pressure being placed on resources, this in turn could lead to the Council struggling to meet changes in demand for services.	12	31/08/22
12	<b>Regeneration</b> Shaping future of Borough - and impact of economic downturn. Circumstances that have arisen at other Councils have highlighted the importance of monitoring the sustainability of significant regeneration programmes. Quality of housing in Borough - ensuring it is fit for the future. Inflationary rises mean that the cost of developments may not be sustainable / achievable.	12	31/08/22