

Corporate Risk Register – 2018/19

1: The number following the year in column 1 in the version number which reflects the number of times the risk assessment has been amended.

2: Columns 2-4 represent the unmitigated risk score, Columns 8-10 represent the mitigated risk score.

Threat description and reference	Potential impact			Mitigating actions			Responsible Officer	Mitigated risk score		
	Likelihood	Impact	Score	Likelihood	Impact	Score				
<p>Corporate 1 2018/1 Future financial stability and sustainability of the Council.</p>	5	5	25	<p>Without sufficient funding plans discretionary services may be at risk of reduction or closure: Statutory services may be delivered with reduced service levels. Staff redundancies may not be avoidable. Funding to external bodies may be reduced. The Council's capital programme and treasury management strategy must be affordable and reduced revenue resources may impact on the Council's plans.</p> <p>The overall capacity of the Council to deliver services may need to be scaled down and may fall below users expectations. The 2019-20 remaining deficit is projected to be £1.8M reduction.</p> <p>The outcome of the Government's Fairer Funding Review is not yet known.</p>	<p>The Council's Medium Term Financial Plan has been projected out to 2019-2020 and is aligned to the Council's Plan and has been presented to the Executive Committee. All of the assumptions are clearly shown and will continue to be reviewed during the life of the Budget Strategy. Through the Budget Strategy, the Medium Term Financial Strategy has the aim of eliminating the deficit in the core budget. This will require the use of the reserves set aside for support and pacing the changes, to achieve longer term financial resilience.</p> <p>The impacts of the Budget Strategy will be closely monitored by Management Board, including the impacts on the workforce. The Council has a Workforce Strategy which provides a clear commitment to employees. Along with the Budget Strategy, the Council has published its Plan, Priorities and Objectives which includes actions for the coterminous period. The Council Plan also includes a forward view beyond 2023. The Council is somewhat limited in the additional external funding it can access, but wherever possible bids are submitted where grants are available; this is for projects and not for sustainable services. In order to maximise the grant funding brought into the Borough, the Council increasingly works with other organisations to draw funding in; in most cases taking on the role of Accountable Body.</p>	Executive Director and Director of Resources	5	4	20	
<p>Corporate 2 2018/1 Legislative changes and the Council's policy on stock retention will impact on the Housing Revenue Account Income.</p>	5	5	25	<p>Imposed 1% rent reduction year on year for 4 years (estimated total loss in budget of c10% over the 4 years).</p> <p>Welfare reform changes, in particular the continued impact of the bedroom tax, and the implementation of universal credit. "Right to Buy" applications for larger properties are impacting on our ability to manage tenancies. Although the numbers on universal credit remain low experience is showing it is proving difficult to collect rent from such recipients. The Stock Retention Policy restricts future options to achieve financial stability in the Housing Revenue Account.</p>	<p>The Housing Service Review Working Group has been established to make strategic decisions on the future of the Housing Service.</p> <p>The Housing Service has and is implementing a range of initiatives within its operational arrangements to deal with welfare reform. This ranges from the change in focus of Housing officers and up-skilling to improve engagement with potential residents with emphasis on ensuring they have budget plans in place from the start of their new tenancy. Equal priority is also afforded to existing tenants to ensure they have the necessary budget plans and arrangements in place to meet their housing costs. New technology solutions are also being progressed to improve the management of tenancies.</p>	Assistant Director - Housing	5	4	20	
<p>Corporate 3 2018/1 The number of low income households does not reduce.</p>	4	4	16	<p>The Impact of Welfare Reform changes has had an impact on the Housing Revenue Account as detailed in risk Corporate 2 above. More generally residents may experience low incomes and risk homelessness which makes it more difficult to achieve the Council's objective of providing a sustainable Housing Service.</p>	<p>Continue to support and work with advice agencies throughout the Borough to assist residents to receive appropriate advice. Maximise the Discretionary Housing Payments fund and assist residents in the most challenging financial circumstances to look for longer-term solutions to their problems. The Council has developed a Homeless Strategy based on our approach of preventative work to assist residents under threat of losing their homes and assist those who are homeless, to resolve their issues. Reduced central grants for Local Government Council Tax Reduction Scheme are not passed on to households or tax payers as reduction in entitlement. Continue to invest in group repair schemes to enhance properties and their environment. Continue to offer disabled facilities grants and disabled adaptations. The Council provides financial support to Barrow Citizens Advice Bureau and the</p>	Management Board	4	3	12	

					Barrow and District Disability Association to continue to provide welfare benefits advice committed until 2020. Priority outcomes in the Life Leisure contract target disadvantaged groups and areas.				
Corporate 4 2018/1 Delivery of the Water Front Regeneration Programme	4	4	16	Failure to deliver the programme will damage the profile of Barrow as a place to live and work. There is currently an active market in private sector residential development which would make the Marina Village of interest to private sector developers.	European Regional Development Funding application for 2 nd phase development in the Barrow Island Growth Zone has been approved. The project can progress in phases subject to the availability of funding. This development is a priority in the Cumbria Local Enterprise Partnership Strategy. The Council is committed to complete the site assembly. The first access into the site has been completed. Consultants are preparing a Development Framework Master Plan.	Executive Director	3	4	12
Corporate 5 2018/1 Effective workforce planning	4	4	16	Potential impact – Without effective workforce planning, service delivery and service quality are placed at risk. If adequately qualified and experienced officers are not in place, the risks of service failure and customer dissatisfaction increase and the risk of regulatory failure may need to be addressed. Without a transparent commitment from Management and the Administration, the workforce may be less inclined to remain with the Council for the longer term and seek out a career elsewhere.	Mitigation – The Council has a Workforce Strategy. Management and the Administration are aware that the Council's workforce is the most valuable resource in achieving service delivery and customer satisfaction. Development, training and succession planning are keys to the retention of the workforce and in recruiting new employees. Where there are skills gaps, the Council will look to fill that gap with training and in the short term look to consultants or other skilled professionals to ensure service continuity. The Council will only look to retain consultants on a short term basis, as and when required, to allow time for the required skills and knowledge to be acquired by the workforce.	Management Board	3	4	12
Corporate 6 2018/1 Information Technology security breach	4	5	20	Corruption of systems and loss of data. Withdrawal of Public Sector Network access. System downtime impacting on service delivery. Low level issues are being identified as risks during the annual testing and the resource requirement for achieving PSN compliance is increasing as a result.	Up-to-date Information Security Policy. Staff using email and internet sign up to the Policy. Management overview of email and internet usage. Individual virtual servers for discrete business areas. Installation of anti virus, spyware/malware and endpoint control, robust firewalls and antivirus software. The 'next generation' firewall is also used for URL filtering. We scan all email (incoming and outgoing) and then rescan everything with on the Exchange server. Virtual desktops provide more controlled environment which further limits the possibility of breaches. Third party support which includes installing up to date versions and patches to reduce the risk of unauthorised access or infections. E-training for email and internet vigilance has been delivered to all staff. IT Department will continue to review ICT Security and update systems as required. IT Department will also provide training and advice to minimise the risks.	Corporate Support Manager	3	4	12
Corporate 7 2018/1 Level of sickness impacts on service delivery	3	4	12	A significant increase may impact on the Council's capacity to deliver services and achieve performance targets and deadlines. An increase in sickness absence may result in the need for temporary staff thereby increasing costs.	The Council refreshed the absence Management Policy and procedures in 2018 which have contributed to reducing the current levels of sickness. Details of sickness management are considered at every to Management Board at each meeting.	Director of Resources	2	4	8

<p>Corporate 8 2018/1</p> <p>Maintain H&S arrangements and target services for improvement.</p>	2	5	10	<p>Members of the public and Council employees could be put at risk by Council operations</p>	<p>The establishment of the Property Services Group and the Health & Safety Management Group has strengthened the Council's H&S arrangements.</p> <p>The Park Leisure Centre has been outsourced.</p> <p>Health & Safety systems will be kept under review.</p> <p>All staff will continue to receive electronic H&S training.</p> <p>High risk services will be targeted for improvement.</p> <p>The Council has been advised on risk mitigation by its insurers Zurich Mutual and has an agreed corporate inspection policy and action plan to improve the inspection of properties.</p> <p>There is a culture for reporting near misses.</p>	Executive Director	2	4	8
<p>Corporate 9 2018/1</p> <p>Failure of external partner, service providers or contractors.</p>	3	4	12	<p>This is likely to result in the suspension of some services while alternative service providers are identified.</p> <p>A significant statutory service has been insourced.</p> <p>A discretionary service has been outsourced.</p>	<p>The Council monitors the position of service providers through regular client meetings and undertakes company checks on our contractors.</p> <p>The Council retains the intellectual property and assets that will support continuity of services.</p> <p>The Council is introducing regular service performance monitoring on major contracts.</p>	Management Board	2	3	6
<p>Corporate 10 2018/1</p> <p>Incidents of fraud, bribery or corruption</p>	2	3	6	<p>It would indicate a failure of the Council's systems.</p> <p>Loss of money.</p> <p>Loss of reputation and confidence.</p>	<p>Fraud and corruption policy in place for staff and Members.</p> <p>Effective whistle blowing policy in place.</p> <p>Monitoring of standards and checks by Internal Audit</p>	Management Board	2	2	4
<p>Corporate 11 2018/1</p> <p>Major incident affecting service delivery</p>	1	5	5	<p>Widespread damage due to fire, flooding, severe weather or a pandemic.</p>	<p>Business continuity plan.</p> <p>Contingency plans.</p> <p>Remote access to Council systems</p>	Executive Director	1	3	3