

Colchester Borough Council Strategic Risk Register
December 2019

| Ref | Risk Title | Description | Risk Type | P | I | O | RATING | Consequences | Mitigation | Lead |
|-----|----------------------|--|-------------|---|---|----|-----------|--|---|------|
| 6f | Data Protection | Sensitive data, in any format, is not correctly managed, processed or protected from loss or theft in line with GDPR and Data Protection Act requirements. | Operational | 4 | 5 | 20 | Very High | Potentially severe disruption to core services and/or data theft, with financial, legal and reputational impacts for the Council, and potentially significant harm caused to residents from any breach, potential financial losses, directly or indirectly e.g. ICO fines. | Ongoing review of data security policies and protocols to ensure that they are fit for purpose and implement a training program for all staff. | DG |
| 4e | EU Exit | The agreement to the UK Withdrawal Agreement by both the EU and the UK parliament potentially provides a managed withdrawal from the European Union but a large number of uncertainties remain. A 'no deal exit' could still happen at the end of 2020, following the end of the transition period, if no new trade deal is agreed between the UK and the EU. There are different potential risks depending on the agreed exit arrangements. | Strategic | 4 | 4 | 16 | Very High | The impacts of any EU exit will depend on a number of factors over time and the immediate implications of the withdrawal agreement. A 'No Deal' or disorderly EU Exit could impact on the macro and local economy including CBC commercial income and local businesses. There may be disruption to the Council's supply chains, legal uncertainty, and a negative impact on community wellbeing. | Continue to monitor the Government's announcements on the implications of the exit from the EU, including the potential implications of a 'no deal' Brexit. Participate fully in Essex Resilience Forum activity and exercises, complete all reporting to ERF and MHCLG, support communications to residents and businesses | DG |
| 4d | Spending Power | The government changes following the General Election are likely to result in a comprehensive spending review impacting on public funding, including that of our partners e.g. Fair Funding Review, Business Rates Retention. | Strategic | 4 | 4 | 16 | Very High | As for 4a | Maintain a constant review of the budget situation, incl impact of decisions from central government. Identify additional actions and areas for spending as necessary. | DG |
| 5a | Partnership Delivery | Failure or inappropriate performance management of one or more strategic partnerships or key contracts E.g. Haven Gateway, LEP, Health, CBH, Emergency Services | Strategic | 4 | 4 | 16 | Very High | The cost of service delivery is increased however quality decreases. Failure to deliver key priorities. Reputational and financial loss by the Authority. Failure to deliver expected outcomes through partnerships. Requirement to repay external funding granted to partnership – taking on the liabilities of the 'withdrawn' partner. External assessment of the Council's partnerships are critical and score poorly. | Review the assessment process for proposed strategic partnerships (to ensure that they will satisfy the Council's objectives) that needs to be signed off by EMT before commitment to new partnerships is made. | PD |

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| 5d | Garden Communities | Working across the partners for delivery of the garden communities project encounters delay. The partners - Colchester BC, Tendring DC, Braintree DC, Essex CC and Central Government fail to agree objectives, actions and resources. | Project | 4 | 4 | 16 | Very High | The project fails to deliver its objectives leading to increased costs as there would be delays in local plan progress and loss of reputation, as well as a negative impact on the ability to generate investment into the area and meet housing and employment needs. | The North Essex Garden Communities (NEGC) Board allows the Authorities to co-ordinate their actions and resolve issues. CBC BEGC Board Members and Officers continue to provide Member briefings and other communications about the project. | IV |
| 3a | Staff Resources | Staff shortages due to a buoyant jobs market and / or staff sickness. | Operational | 5 | 3 | 15 | Very High | Decline in service performance Disengaged and demotivated staff Efficiency and productivity reduction Inability to meet changing requirements and needs Customer perceptions decline as we deliver less. Loss of key staff | Communicate job opportunities and benefits of working at CBC clearly and imaginatively. Review opportunities to do things differently for key posts including considering the value of trading companies. | RB |
| 6g | Cyber Security | The Council suffers a successful cyber attack on it's computer systems. | Operational | 3 | 5 | 15 | Very High | Potentially severe disruption to core services, with financial, legal and reputational impacts for the Council, and potentially significant harm caused to residents. | Ongoing review of IT policies and protocols to ensure that they are fit for purpose and implement a training program for all staff. | RB |
| 1c | Economic Development | The Council is unable to effectively influence changes in the Borough economy. | Strategic | 3 | 4 | 12 | High | Poorer external assessments by independent agencies and loss of Council reputation. | | MJ |
| 6a | Compliance | Failure to protect public funds and resources – ineffective probity / monitoring systems | Operational | 3 | 4 | 12 | High | Service delivery failure Financial and reputational loss by the Authority Personal liability of Officers and Members. Legal actions against the Council. Loss of stakeholder confidence in the Borough. Inability to sustain costs. Failure to deliver balanced budget as planned. A need to use balances / reserves or to adapt financial plans to deal with impact of changes. Required to use Reserves & Resources to fund capital priorities. Severe impact on cash-flow leading to negative effect on performance targets. | Ensure the outcomes of the assurance systems that form the internal control environment, (including Internal Audit, Risk Management, Budget process, Corporate Governance and performance management) are appropriately reported so that issues and concerns are managed, and variances are spotted at an early stage. | DG |
| 6b | Asset Management | Risk that Asset Management is not fully linked to strategic priorities and not supported by appropriate resources | Strategic | 3 | 4 | 12 | High | As for 6a | Continue to review the Asset Management Strategy in line with Strategic Priorities. Effective management of Client function. Ensure the continued development of the Revolving Investment Fund (RIF) and ensure that assets are used to their full commercial potential. | IV |

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| 6d | Capital Programme | Failure to set aside sufficient capital funds for strategic priorities | Strategic | 3 | 4 | 12 | High | As for 6a | Monitor the review processes for the medium term financial outlook, capital programme and HRA business plan processes, to ensure they are kept up to date and realistic. | DG |
| 2a | Customer Expectations | The expectations of our customers, set alongside the financial constraints, create challenges to service delivery, our channel shift ambitions and the reputation of the authority. | Strategic | 3 | 4 | 12 | High | The Authority fails to deliver the standards of service and delivery which our customers expect, especially in relation to self-service and the reliance on technology capabilities. | Monitor engagement and consultation processes to ensure customers are able to inform service priorities and delivery, whilst managing their methods of interaction with the organisation. This will be evidenced by reporting the pattern of usage of the routes used by customers and savings achieved. | PD |
| 4b | Service Innovation | Not taking or creating opportunities to maximise the efficient delivery of services through shared provision, partnerships or commercial delivery | Strategic | 4 | 3 | 12 | High | As for 4a | Identify and maintain skill set required to meet future challenges, maintain partnership relationships | IV |
| 5b | Partnership Commitment | Change of direction / policy within key partner organisation and they revise input / withdraw from projects. | Strategic | 4 | 3 | 12 | High | As for 5a | Set a formal relationship / performance review process to be used by all partnerships and ensure results are reported to senior management. Ensure that Exec Board and Leadership review partnerships on a regular basis. Embed Scrutiny Cttee process for key partnerships including CBH and the Safer Colchester Partnership. | PD & IV |
| 5c | Partnership Performance | Potential inability to agree shared outcomes/ agendas with partners and the Council's ability to influence partner's performance. | Strategic | 3 | 4 | 12 | High | As for 5a | As for 5a | PD |

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| 3c | Staff Wellbeing | Staff wellbeing or motivation declines with an impact on service delivery and resilience. | Operational | 3 | 4 | 12 | High | As for 3a | Monitor staff morale and trends using staff surveys and by monitoring the People Dashboard; and ensure good communications with staff, exploiting new technologies such as yammer. Implement the action plan for the People Strategy; ensuring that performance is regularly monitored. Regularly report the progress of the learning and development strategy, including financial considerations and business behaviours, and exploring training alternatives. | RB |
| 6c | Budget Strategy | Inability to deliver the budget strategy as planned. | Strategic | 3 | 4 | 12 | High | As for 6a | Ensure effective use of the controls built into the annual budget strategy, to enable the organisation to respond quickly to changes. Include sensitivity analysis to consider the impact of potential changes to external funding/ income streams and the capacity of the organisation to deliver services. Consider income risks as part of budget strategy / budget plans. | DG |
| 6e | ICT | Major system failure causing significant service disruption | Operational | 2 | 5 | 10 | High | As for 6a | Ensure that the IT Disaster Recovery plan, and service plans, adequately reflect the organisation's requirements and provide an effective framework for maintaining service provision. Regularly review the IT development strategy to ensure it continues to support the organisations ambitions. | RB |
| 1b | Pace of Delivery | Unrealistic internal and external expectations on the speed of delivery. | Operational | 3 | 3 | 9 | Medium | Major downturn in public sector resourcing over the next few years will hamper the speed of delivery across the services provided. | Identify and maintain skill set required to meet future challenges, maintain partnership relationships | DG |
| 1d | Capacity | Over reliance on a limited number of people limits ability to deliver our ambition. | Operational | 3 | 3 | 9 | Medium | The Borough Council loses its status and influencing ability at sub-regional, regional and national levels. | Manage the recruitment and development processes to ensure that the organisation has the appropriate skills and expertise. | AP |

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| 2b | CBC Function | The expectation remains that the Council will step in to deliver services when other providers either fail or reduce service provision | Strategic | 3 | 3 | 9 | Medium | The Council suffers from a loss of reputation as customers' expectations are not met. There is increased demand on existing services leading to a reduction in standards of delivery. | Ensure that Cabinet set a clear and consistent message about the role of CBC for customers and partners. | PD |
| 4c | Legislative Context | Failure by the Council to spot / influence at an early stage the direction of Central Government policies / new legislation | Strategic | 3 | 3 | 9 | Medium | As for 4a | Ensure that responses are considered and provided for consultations. Utilise specialist officer knowledge and ensure CBC representation on relevant working groups. | RB |
| 3e | Customer Confrontation | There is an increase in challenging behaviour from customers, towards officers, when the Council cannot meet the customer's expectations. Alongside partners being unable to provide support or having incorrectly signposted the customer to the Council. | Operational | 3 | 3 | 9 | Medium | Officers suffer potential mental and physical issues as a result of confrontations. The ability to assist the customer is reduced. Service delivery declines | Ensure that the Health & Safety reporting process is used to record instances of violence and aggression, with regular reporting to senior management. Develop an on-line training tool for staff, for managing difficult situations. Liaise with partners, such as Police and health, about expectations for vulnerable customers. Both in terms of emergency response to issues and services that the Council can, and cannot, provide. | PD |
| 4a | Strategic Impacts | To continuously assess future challenges to ensure Council is fit for future purpose | Strategic | 2 | 4 | 8 | Medium | If not properly managed then either the Council could lose the opportunity to develop further or may have enforced changes to service delivery. Adverse impact on local residents / resources. Missed opportunities to boost local economy. Conflict between Council / Government agendas. Reduction in levels of service provision and potential withdrawal of services. | Regularly monitor national trends and policy changes, ensure that CBC is represented on specialist network groups | PD |
| 1a | Strategic Ambition | In a period of public sector resource reductions, the ability to have ambition and to deliver on that ambition. | Strategic | 3 | 2 | 6 | Medium | Major changes needed to the town would not be delivered thus affecting the quality of life of its residents and businesses. | Ensure the KPI and SPAP reporting processes are effectively used to inform senior management and politicians about the performance and direction of the organisation. Continuously seek new and innovative opportunities to deliver outcomes in line with the Council's ambitions, including through alternative sources of funding. | DG |

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| 2c | Universal Credit | Impact of the implementation of Universal Credit in Colchester could lead to additional work for CBC to help customers apply for the new single benefit. There will be a transition period whereby residents move to the new application which could be difficult for some of our more vulnerable customers. | Operational | 2 | 3 | 6 | Medium | The Council fails to support our most vulnerable residents leading to an increase in crisis intervention. | Regularly monitor the impact of the resources allocated to the welfare reform project, to ensure that customers are supported with signposting to appropriate providers/partners. | PD |

| SCORE DEFINITIONS | 1 | 2 | 3 | 4 | 5 |
|----------------------|---|--|---|--|--|
| Impact | Very Low Insignificant effect on delivery of services or achievement of Strategic Vision & Corporate Objectives. | Low Minor interruption to service delivery or minimal effect on Corporate Objectives. | Medium Moderate interruption to overall service delivery/effect on Corporate Objectives or failure of an individual service. | High Major interruption to overall service delivery or severe effect on Corporate Objectives. | Very High Inability to provide services or failure to meet Corporate Objectives |
| Probability | 10% May happen – unlikely | 10 -25% Possible | 26 – 50% Could easily happen | 51 – 75% Very likely to happen | Over 75% Consider as certain |