

Colchester City Council Strategic Risk Register

Reviewed by Senior Leadership Board 13 July 2023

- Strategic Plan 2023-26 Outcomes**
1. Respond to the climate emergency
  2. Develop modern services for a modern city
  3. Improve health, well-being, and happiness
  4. Deliver homes for those most in need
  5. Grow our economy so everyone benefits
  6. Celebrate our city and our heritage and culture

Ref	Risk Title	Strategic Plan link	Description	Potential Consequences	Initial Score			RATING	Lead	Mitigation	Residual Score			RATING
					P	I	O				P	I	O	
A	Organisational Resilience	1 - 6	Following the prolonged period of austerity, coupled with the Covid -19 pandemic, the Council, and its companies, are already in a position where the workforce is weakened, finances are reduced and organisational resilience is low	The Council does not have the resources, or resilience, to be able to make the changes required to deliver the strategic plan outcomes.	5	4	20	Very High	Chief Executive	<ul style="list-style-type: none"> <li>• Continue to develop the health and wellbeing programme, including regular monitoring and reporting.</li> <li>• Promote personal development and resilience options.</li> <li>• The creation of a flatter, more transparent management culture.</li> </ul> Clear strategic plan delivery plan linked to available resources Ensure the transformation programme maintains momentum and delivers it's objectives. <ul style="list-style-type: none"> <li>• Use of the Medium Term Financial Forecasting to plan for future challenges.</li> </ul>	4	3	12	High
B	Budget Strategy	1 - 6	The budget strategy does not accurately reflect the unprecedented level of savings required. The new S151 officer is also reviewing all elements and assumptions underpinning the budget which creates an additional element of risk.	<ul style="list-style-type: none"> <li>•Inability to deliver the budget strategy as planned.</li> <li>•Requirement for in-year budget and service adjustments.</li> <li>•Unplanned additional use of balances / reserves</li> <li>•Potential S114 notice</li> </ul>	4	5	20	Very High	Chief Operating Officer	<ul style="list-style-type: none"> <li>• Ensure effective use of the controls built into the annual budget strategy, to enable the Council to respond quickly to changes.</li> <li>• Regular monitoring of actual spend/income and sensitivity analysis to consider the impact on income streams and the capacity of the Council to deliver services.</li> <li>• Regular and open reporting and updating of the budget position through Cabinet,</li> <li>• Prudent use of reserves where necessary to mitigate in-year losses.</li> <li>• Monitor and refine the Transformation agenda to ensure it contributes savings to balance future budgets.</li> </ul>	3	4	12	High

Ref	Risk Title	Strategic Plan link	Description	Potential Consequences	Initial Score			RATING	Lead	Mitigation	Residual Score			RATING
					P	I	O				P	I	O	
C	Economic Climate	1 - 6	The national economic climate continues to be challenging resulting in increases in demand on Council services exceeding capacity, unavoidable operating costs exceeding budgets and income expectations not being met.	<ul style="list-style-type: none"> <li>The Council is unable to deliver the outcomes and priorities of the Strategic Plan.</li> <li>Reduction in levels of service provision and potential cessation of services.</li> <li>Inability to create opportunities to develop and boost the local economy.</li> <li>Depletion of Council's reserves, potential S114 notice</li> </ul>	4	4	16	Very High	Chief Operating Officer	<ul style="list-style-type: none"> <li>Maintain a constant review of the Council's budget situation, including the impact of decisions from central government.</li> <li>Identify additional actions and areas for increasing income and reducing costs as necessary, including through the Council's Transformation Programme.</li> <li>Reduce reliance on New Homes Bonus to support the base budget.</li> <li>Lobby Government for a fair, multi-year funding settlement.</li> </ul>	4	3	12	High
D	Cyber & Data Security	2 & 5	Sensitive data, in any format, is not correctly managed, processed or protected from loss or theft (including as a result of a cyber attack) in line with GDPR and Data Protection Act requirements, including council data managed and handled by third parties. The ever increasing sophistication of phishing attacks increases the likelihood of officers and members inadvertently opening malware emails.	<ul style="list-style-type: none"> <li>Severe disruption to core services</li> <li>Financial, legal and reputational impacts for the Council, including ICO fines.</li> <li>Significant harm caused to residents with release of their personal details.</li> </ul>	4	4	16	Very High	Service Director (shared) ICT & Transformation	<ul style="list-style-type: none"> <li>Ongoing review of IT policies and protocols to ensure that they are fit for purpose.</li> <li>Implement a training program for all staff and members.</li> <li>Implement defined action plans to rapidly respond to any attacks on systems to help minimise any potential damage.</li> <li>Ongoing review of data security policies and protocols to ensure that they are fit for purpose and implement a training program for all staff and members as required.</li> <li>Provision of secure Council devices to staff and Members.</li> </ul>	4	3	12	High
E	Workforce Wellbeing	1 - 6	Workforce wellbeing is affected by the increase in demand for services and requirement to achieve savings, coupled with difficulty in recruiting into specialist roles.	<ul style="list-style-type: none"> <li>An unwarranted sense of 'personal failure' for some staff who put pressure on themselves to perform at a certain level, that is not sustainable.</li> <li>Decline in service performance.</li> <li>Reduction in efficiency and productivity.</li> <li>Inability to meet changing requirements and needs.</li> <li>Insufficient capacity to deliver the Transformation agenda.</li> <li>Customer perceptions decline as less is delivered.</li> <li>Loss of key staff.</li> <li>Staff who would be considered as some of the Council's vulnerable residents (in terms of financial resilience), thereby increasing the pressure on them from both work and personal perspectives.</li> </ul>	4	4	16	Very High	Head of People	<ul style="list-style-type: none"> <li>Monitor staff morale and trends using staff surveys and by monitoring the People Dashboard.</li> <li>Ensure good communications with staff, exploiting new technologies such as Yammer.</li> <li>Shared Services programme to recruit and retain staff and share skills in hard to recruit roles</li> <li>Implement the action plan for the People Strategy; ensuring that performance is regularly monitored.</li> <li>Regularly report the progress of the learning and development strategy, including financial considerations and business behaviours, and exploring training alternatives.</li> <li>Use it as an opportunity to review individuals in the community who could be retrained and reskilled, using processes such as supported internships.</li> <li>Ensure that all staff are reminded of the Employee Assistance Programme on a regular basis and are enabled to have 'safe conversations' with managers or other</li> </ul>	4	3	12	High

Ref	Risk Title	Strategic Plan link	Description	Potential Consequences	Initial Score			RATING	Lead	Mitigation	Residual Score			RATING
					P	I	O				P	I	O	
F	Financial Inequality	3 & 4	The current, and future, impacts of the costs of living and housing crisis are likely to increase the number of vulnerable residents, leading to greater financial inequality and increasing the number of residents seeking support from the Council, especially for housing and temporary accommodation.	<ul style="list-style-type: none"> <li>The support available for the most vulnerable residents is not sufficient, leading to an increase in crisis intervention.</li> <li>Housing supply is depleted leading to increased demand for temporary accommodation and rising costs.</li> </ul>	4	4	16	Very High	Deputy Chief Executive	<ul style="list-style-type: none"> <li>Regularly monitor the impact of the resources allocated to supporting customers to ensure that they are signposted to appropriate providers/partners.</li> <li>Ensure welfare support service are targeting customers who may not be aware of the service, working with other council services to identify residents who may benefit from the support.</li> </ul>	4	3	12	High
G	Service Innovation	1 - 6	The Transformation agenda and budget savings programme, including the review of the council's companies, does not deliver the changes required to meet the council's budgetary pressures and Strategic Plan priorities.	<ul style="list-style-type: none"> <li>Loss of opportunity to innovate.</li> <li>Adverse impact on local residents / resources.</li> <li>Missed opportunities to boost local economy.</li> <li>Conflict between Council / Government agendas.</li> <li>Reduction in levels of service provision and potential cessation of services.</li> </ul>	4	3	12	High	Deputy Chief Executive	<ul style="list-style-type: none"> <li>Have a clear approach and 'roadmap' for transforming the Council and delivering budget savings monitored by the Senior Leadership Board and reported to Cabinet as part of the budget process.</li> </ul>	3	3	9	Medium
H	Corporate Assets	2 & 6	Failure to develop a comprehensive management plan for the Council's corporate assets, encompassing compliance, utilisation and future development.	<ul style="list-style-type: none"> <li>Assets are not maximised to their full potential</li> <li>statutory building procedures are breached resulting in fines and liability claims</li> <li>The repairs and maintenance programme for the assets is insufficient to respond to issues, especially in connection with heritage sites.</li> </ul>	4	3	12	High	Chief Operating Officer	<ul style="list-style-type: none"> <li>Develop a comprehensive asset management plan.</li> <li>Ensure that a suitable repairs and maintenance programme is developed with fully costed budget allocations.</li> <li>Establish clear facilities management processes with named responsibilities, reporting lines and escalation procedures.</li> </ul>	3	3	9	Medium
I	ICT	2	The increasing reliance on IT to continue normal business leaves the Council potentially vulnerable to any major system failure, across all service areas.	<ul style="list-style-type: none"> <li>Severe disruption to core services</li> <li>Financial, legal and reputational impacts for the Council, including fines and lost income.</li> <li>Inability to respond to customer requirements including benefit processing and housing repairs.</li> </ul>	2	5	10	High	Service Director (shared) ICT & Transformation	<ul style="list-style-type: none"> <li>Continue to shift any remaining legacy systems into more resilient, cloud-based solutions in line with ICT strategy.</li> <li>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.</li> <li>Regularly review the IT development strategy to ensure it continues to support the organisations ambitions and provides appropriate safeguards for IT service delivery.</li> </ul>	2	4	8	Medium

Ref	Risk Title	Strategic Plan link	Description	Potential Consequences	Initial Score			RATING	Lead	Mitigation	Residual Score			RATING
					P	I	O				P	I	O	
J	Capacity	2,4 & 5	The continuing high level of inflation, coupled with the reduced availability of specialist staff, impacts on the ability to deliver the planned Capital programme.	<ul style="list-style-type: none"> <li>•Key projects are delayed or withdrawn</li> <li>•Increase in expenditure</li> <li>•Inability to attract future investment</li> <li>•Failure to deliver benefits to residents</li> </ul>	3	3	9	Medium	Chief Operating Officer	<ul style="list-style-type: none"> <li>• Manage the recruitment and development processes to ensure that the organisation has the appropriate skills and expertise.</li> <li>• Frequently review the Capital Programme to ensure that programmes are realistic and deliverable with available resources and / or identify any additional resources required to deliver key projects.</li> <li>• Agile methodology enables project scopes to be adjusted through effective governance processes.</li> <li>• Establishment of the Capital Programme Steering Group (informal Cabinet) to oversee the entire capital programme and address any capacity and other risks before they become issues.</li> </ul>	3	2	6	Medium

SCORE DEFINITIONS	1	2	3	4	5
Probability	10% May happen – unlikely	10 -25% Possible	26 – 50% Could easily happen	51 – 75% Very likely to happen	Over 75% Consider as certain
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