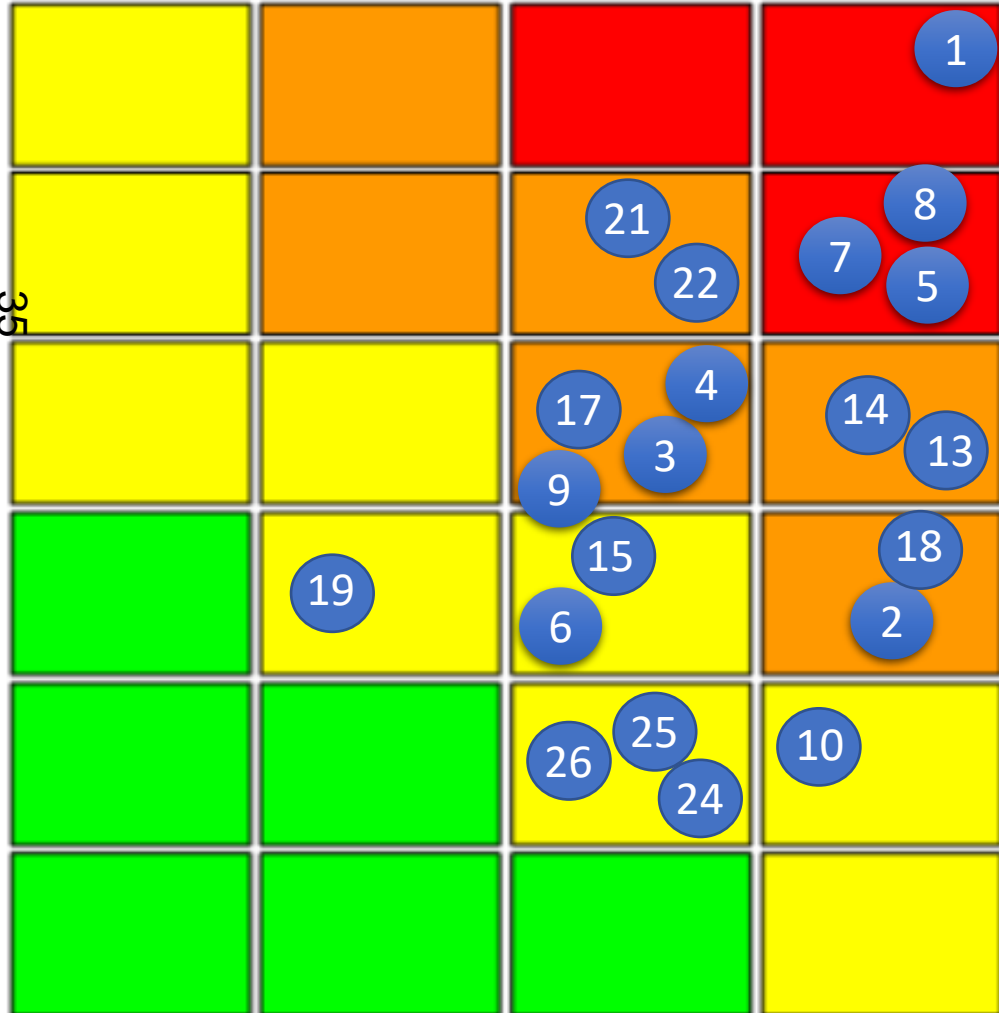


# Appendix A - Corporate Risk Register

February 2024

Current Assessment	Very High	High	Medium	Low
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## Impact



Ref	Risk
1	Budget & Financial Resilience
2	Corporate Governance
3	Workforce
4	Uncontrolled Development (Local Plan Update)
5	Outcomes & Costs for Children with SEND
6	Health & Safety
7	ASC Supplier Sustainability and Sufficiency
8	Cyber Security
9	Climate Emergency
10	Major Emergency Response (e.g. Pandemic)
13	Adult Safeguarding
14	Children's Safeguarding
15	Resources to support emerging communities
17	Mainstream Education Provision
18	Preparations for 2024 Elections
19	Information Governance
21	Local Affordable Housing Needs
22	Support for Unaccompanied Asylum Seeking Children
24	Significant Procurement Activity P&G (2026)
25	Waste Collection Changes
26	Procurement Act Implementation

## **Key to Abbreviations**

SC - Cllr Stephen Conway, Leader of Council and Executive member of housing

PB - Cllr Prue Bray, Deputy Leader and Executive member for children's services

CJ - Cllr Clive Jones, Executive member for Business and Economic Development

RBF - Cllr Rachel Bishop Firth, Executive member for equalities, inclusion & fighting poverty

LF - Cllr Lindsay Ferris, Executive member for planning and the local plan

IS - Cllr Ian Shenton, Executive member for the environment, sports and leisure

PF - Cllr Paul Fishwick, Executive member for active travel, highways and transport

DH - Cllr David Hare, Executive member for wellbeing and adult services

ISD - Cllr Imogen Shepherd-Dubey, Executive member for finance

SP Susan Parsonage, Chief Executive

GE Graham Ebers, Deputy Chief Executive & Director of Resources & Assets

SW  Sally Watkins, Chief Operating Officer (COO)

HW Helen Watson, Director of Children's Services

GF Giorgio Framalico, Director of Place & Growth

MP Matt Pope, Director of Adult Social Services

AM Andrew Moulton, Assistant Director Governance & Monitoring Officer

GC Graham Cadle, Assistant Director Finance

LL Louise Livingston, Assistant Director Human Resources and Organisational Design

TS Trevor Saunders, Assistant Director, Planning

JW Jackie Whitney, Assistant Director, Customer and Change

RH Rhian Hayes, Assistant Director Economy and Housing

FH Francesca Hobson, Assistant Director Environment and Safety

## **Key Priorities (from Community Vision and Council Plan)**

1. Providing Safe, strong communities

2. Enriching lives

3. Delivering the Right homes, right places

4. Keeping the Borough moving

5. Enjoying a clean and green Borough

6. Changing the way we work

7. Being the best we can be

MZ Ming Zhang, Assistant Director Education and SEND

SM Sarah Morgan, Assistant Director Commercial Property

MD Mark Douglas, Children's Services

AD Adam Davies, Assistant Director Social Care & Early Help

## Key Priority at Risk: Community Vision

Owner

Change

1

### RISK: Budget and financial resilience

ISD

GE

Increase

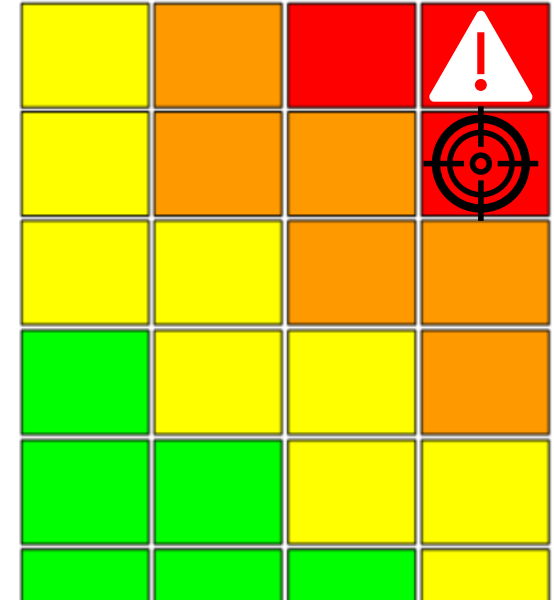
Due to significant increased costs (including inflation and national minimum wage), loss of income, increased cost of borrowing and/or non-realisation of forecast savings and increased demand for services due to the cost of living there is a risk that the Council is unable to finance its current services resulting in a reduction in reserves, cuts in services, failure to meet statutory duties, and if unchecked a Section 114 notice.

#### Existing Controls:

37

- CFO report (Jan Executive)
- Financial and Contract Regulations (section 12 & 13 constitution)
- Budget Monitoring (Revenue & Capital)
- Strategic Approach to Capital Investment (Capital Strategy & Treasury Management Strategy)

- Internal Audit Annual Report
- Annual External Audit of Accounts
- Overview and Scrutiny review of 24/25 budget
- Cipfa Code of Financial Management Review
- Spending Controls at AD level
- Recruitment control CLT Business Case



Current Risk 
 Target 
 Risk on Target

Mitigating Actions	Owner	Date	Status
Medium Term Financial Plan approved by Council	GC	February 2024	On track
Internal Audits of financial systems	GC	March 2024	On track
Review of capital programme and associated monitoring (Gold Group)	GC	March 2024	On track
Constitution Review of financial, governance and procurement regulations	AM	November 2024	On track
Review of Cipfa Code of Financial Management action plan	GC	November 2024	On track
Review of the councils overall financial standing and reserves	GC	November 2024	On track

## Key Priority at Risk: Community Vision

2

### RISK: Corporate Governance

Governing effectively to ensure achievement of the Council's purpose and priorities within the resources available and achieving value for money. Without effective corporate governance, there is a risk that through unethical behaviour or ineffective decision-making, residents lose trust in the way the Council undertakes and carries out its duties.

#### Existing Controls:

Community Vision and Corporate Delivery Plan  
Local Code of Corporate Governance  
Constitution (i.e. Council rules of procedure, conduct and compliance, anti fraud & corruption policies)  
Annual Governance Statement  
Key Performance Indicator Reporting (OSMC) and Annual Report

Risk Management Policy & Guidance  
Audit Committee Review of Risk Register  
Internal Audit Annual Report  
External Audit Management Letter  
Standards Committee Annual Report  
Overview & Scrutiny Annual Report  
LGA Corporate Peer Challenge & Follow up visit  
Governance Dashboard

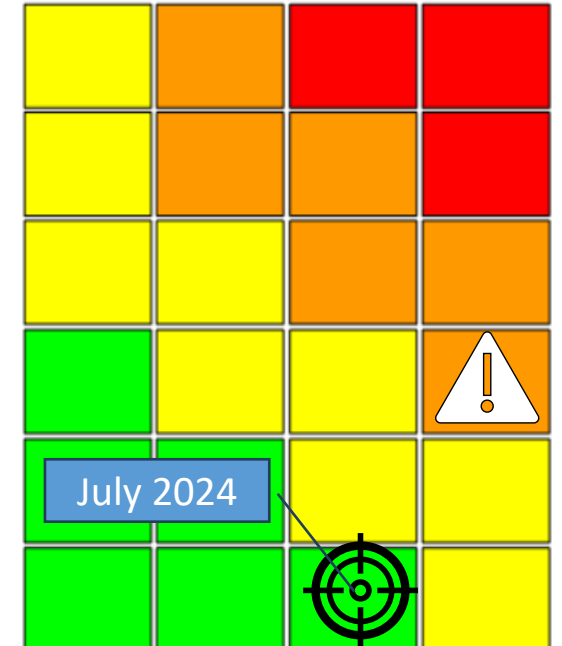
Owner

Change

SC

SP

None



Warning Current Risk Target Risk on Target

38

#### Mitigating Actions

Mitigating Actions	Owner	Date	Status
<del>Interim Council Plan</del>	SP	January 2024	Complete
Assurance Framework presented to Audit Committee	AM	February 2024	On track
Review of phase 1 of the Council's Constitution	AM	March 2024	On track
Community Vision agreed with Partners	SP	July 2024	On track
Annual Governance Statement	AM	July 2024	On track

## Key Priority at Risk: Community Vision, Safe, Strong Communities & Enriching Lives

3

### RISK: Workforce

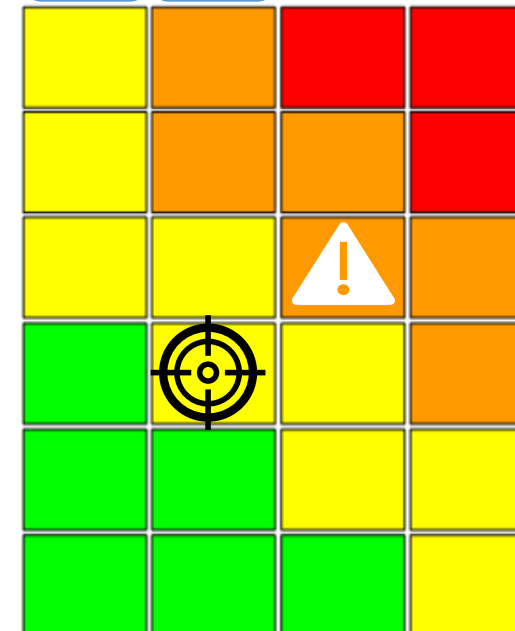
Due to the national challenges in recruiting and retaining permanent staff with the right levels of skills, competence and experience, there is a risk to the council's ability to deliver its community vision and statutory responsibilities, which could, if not managed lead to fines, reputational risks and harm to residents.

#### Existing Controls:

- Annual Performance Regime
- HR Hub
- Reward and Recognition
- Training Budgets
- Recruitment Specialists
- Corporate Agency Contract

- Workforce Dashboard and Establishment reporting
- IT systems (BWO, Applicant Tracking and Learning Management)
- Mandatory Training
- Learning & Organisational Development Functions

Owner		Change
RBF	SW	None



Warning Current Risk Target Risk on Target

39

Mitigating Actions	Owner	Date	Status
Engage with stakeholders to undertake HR policy review with implementation and training programme set up to support review	LL	Jun 24	On track
Engagement with stakeholders to write the People Strategy	LL	Mar 24	On track
Review of all Recruitment processes	LL	Jan 24	On track
Leadership Learning programme in development	LL	End Jan 24	Some issues

## Key Priority at Risk: Right Homes, Right Places

4

### RISK: Uncontrolled Development - Local Plan Update

Without effective planning policies, there would be no real control or influence over where and how new housing and other types of development take place. This could lead to housing and other forms of development being allowed in poor locations, being of lower quality, and in places where infrastructure cannot be improved to help deal with the impacts.

#### Existing Controls:

- Timetable for adoption of new Local Plan in place but needs to be reviewed
- Resources allocated and kept under review
- Cross party planning policy working group reconstituted following election of new administration

- O&S regular update on LPU progress
- Revised growth strategy consulted upon in November 2021 – January 2022
- Monitoring housing developments and five-year land supply

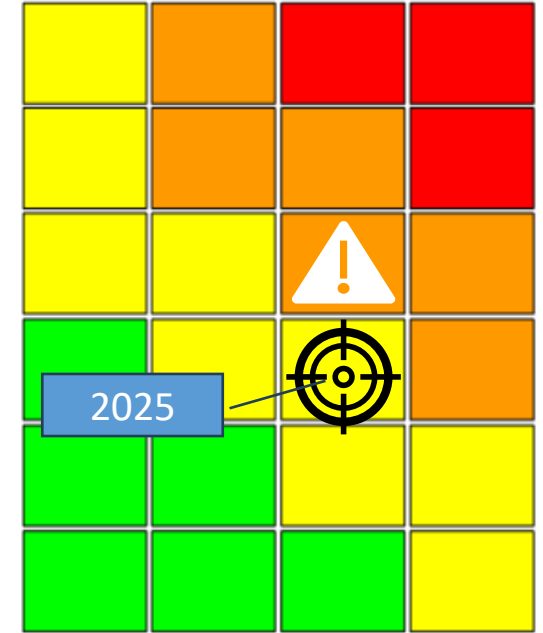
Owner

Change

LF

GF

None



⚠️ Current Risk   🎯 Target   ✅ Risk on Target

#### Mitigating Actions/Key Milestones

Next local plan consultation stage (Regulation 19)  
Submission of Local Plan Update to Government

Owner

Date

Status

TS

May 24

On track

TS

Tbc

Inspector examination

TS

Tbc

tbc

Adoption of LPU

TS

Tbc

tbc

## Key Priority at Risk: Enriching Lives & Safe, strong communities

5

### RISK: Outcomes and Costs of Provision for Children with SEND

Due to increased demand and complexity (and expanded inspection regime) there is a risk that there are insufficient funds to ensure Children with SEND's needs are met without further overspend on the High Needs Block (£10m+) and the related transport costs, risking a substantial impact on the Council's finances. This could lead to a further risk of a poor Ofsted inspection outcome and reputational damage to the organisation.

#### Existing Controls:

- Childrens' Services Overview & Scrutiny
- Collaboration with SEND Voices & SENDIASS Wokingham
- Monitoring and Forecasting of Need and Demand
- Gold & Silver Monitoring and Direction Meetings Weekly
- Learning from other Local Authorities (Safety Valve & Ofsted Inspected Authorities)
- SEND Inspection Readiness Working Group

- Improved relationships with providers
- Weekly meetings with DfE SEND Advisor
- Deficit Reduction Plan
  - Expansion of Addington School
  - Winnersh Farm School (Oak Tree)
  - PRU improvement
  - Resource Base & SEND Unit review
  - Successful School Bids (x2)
- SEND Improvement Board

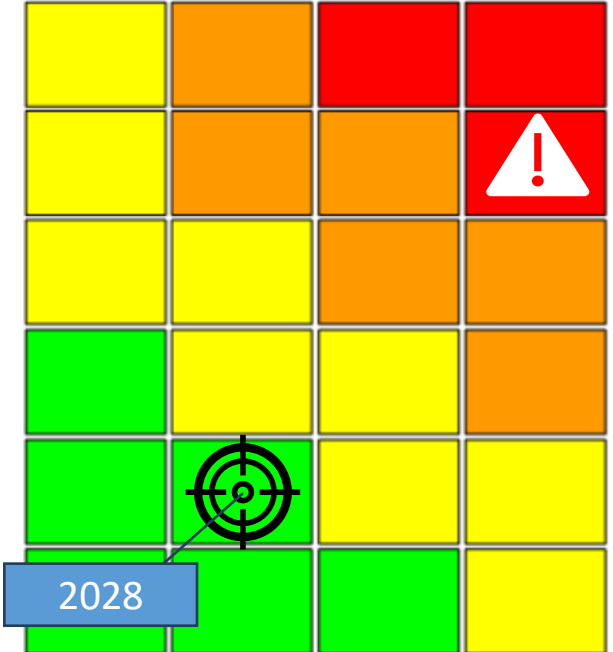
Owner

Change

PB

HW

None



⚠️ Current Risk    🎯 Target    🏆 Risk on Target

#### Mitigating Action

Mitigating Action	Owner	Date	Status
Launch of interim Specialist Outreach Model for Early Intervention (full model in development)	MZ	September 2023	Complete
New SEN Resource Bases open	MZ	September 2024	On track
New Post 16 Pathways open	MZ	September 2025	On track
Two new Special Free Schools Open	MZ	September 2026	On track
Two new Special Free School full	MZ	September 2028	On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

6

### RISK: Health & Safety

Due to insufficient capability, capacity and awareness there is the risk that the Council does not meet its statutory duties in key areas leading to avoidable harm, litigation, fines, corporate manslaughter and reputational damage.

#### Existing Controls:

- Health & Safety Statutory policies in place
- Strategic Plan to identify continuous improvement “Seeking Assurance” programme (two yearly)
- Health & Safety specialist advisers in place

- Incident Reporting System
- Quarterly H&S Board
- H&S quarterly dashboard to eCLT

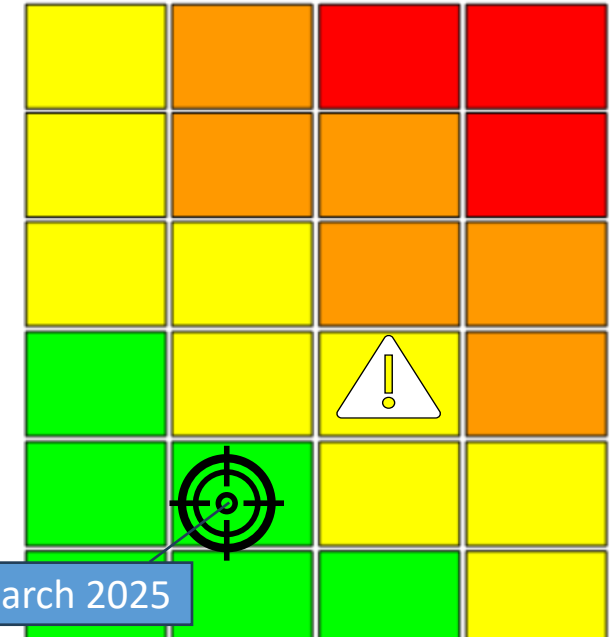
Owner

Change

RBF

SP

None



March 2025

Warning Icon Current Risk Target Risk on Target

42

#### Mitigating Action

Owner

Date

Status

~~Commissioning an external peer such as the British Safety Council to review our H&S compliance and support overall focus and direction~~

LL

November 23

Complete

Corporate H&S key performance indicators agreed by H&S Board

LL

March 24

On track

Engagement with Insurance provider to help to further embed Health and Safety Culture

LL

October 24

On track

Health and Safety Board reviews annual safety improvement action plan following on British Safety Council review

SW

March 25

On track



## Objective at Risk: Community Vision

Owner

Change

8

### RISK: Cyber Security

RBF

SW

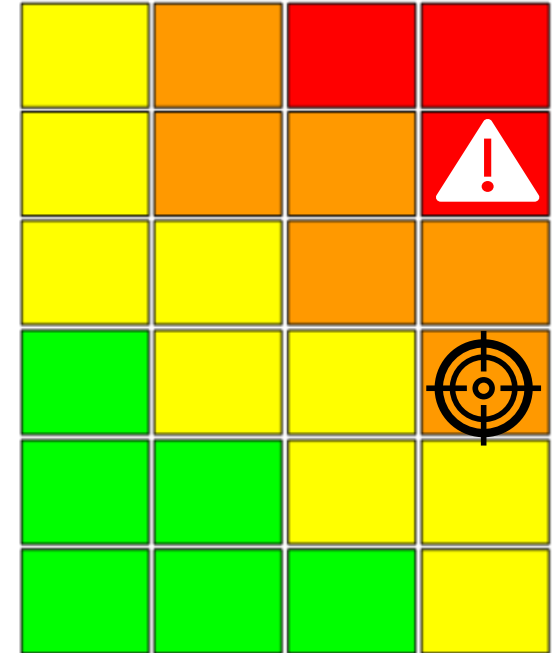
None

Due to an external Cyber attack (Ransomware) there is a risk of unavailability of key information and/or disclosure of personal sensitive data causing inability to deliver services, increased costs, fines, reputational damage and loss of trust.

#### Existing Controls:

- Cyber security response team BCP
- Public Service Network Accreditation (expires 2024)
- Independent penetration testing (annual)
- Information Security and Acceptable Use Policy
- Encrypted and patched equipment
- Cyber security awareness campaign
- Internal Audit
- Internal Data & Information Governance Board
- Security monitoring and response

- Routine & Emergency patching and firewall configuration (increased frequency)
- Following NCSC Board Toolkit Action Plan
- Membership of the South East Warning Advisory Group
- Cyber Incident Plan
- Cyber Response Partner
- SEIM and SOC
- Simulated phishing attack programme
- CLT Cyber Security Leadership Briefing



Warning Current Risk Target Risk on Target

43

Mitigating Action	Owner	Date	Status
Respond to NCSC guidance on cyber threats to Elections	LL	May 25	On track
Commence work on Cyber Essentials Plus or Future Networks 4 Government (FN4G) Accreditation dependant on decommissioning of PSN	LL	Jan 25	Continuing with PSN until new dates are confirmed by GDS
Mandatory Training for staff who are identified by the phishing campaigns	LL	Mar 25	Ongoing through 2024

Objective at Risk: A clean and green borough

Owner

Change

DC

GF

Revised

9

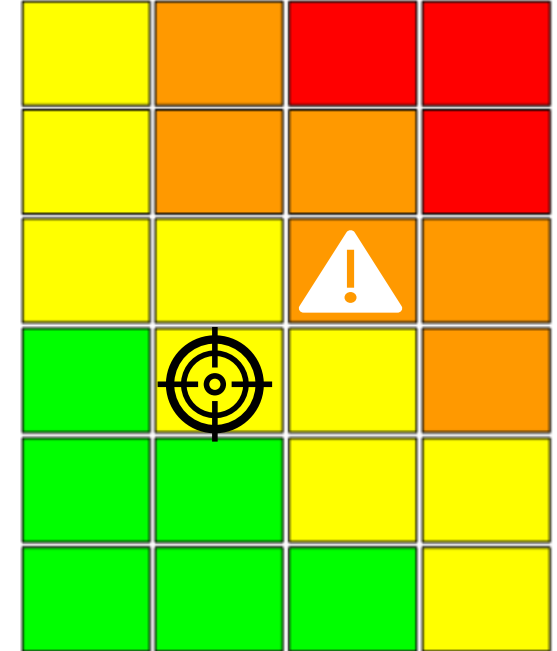
RISK: Failure to deliver Climate Emergency Action Plan

Due to the cost-of-living pressures and complexity of behaviour change required, there is a risk that the Borough is unable to meet its carbon reduction aspirations leading to a failure of the Borough to deliver its contribution to climate change reduction.

Existing Controls:

- Annual CEAP progress report to Council.
- Monitoring groups to discuss CEAP progress, remove delivery barriers and assess further carbon reduction opportunities.
- Climate Change Impacts embedded in decision making

- Climate Emergency O&S Committee



Warning Current Risk Target Risk on Target

44

Mitigating Action

Mitigating Action	Owner	Date	Status
Fourth annual progress report on delivery of the Climate Emergency Action Plan to Council	RH	Sept 2024	Some issues
Lobbying national government for additional resources to support the Borough's transition to carbon neutrality.	RH	Jan 2025	Some issues
Delivery of Council energy efficiency and generation plan for Council Assets	RH	Mar 2030	On track
Behaviour change campaign to influence and persuade residents and businesses to change behaviours	RH	Mar 2030	On track

## Objective at Risk: Safe, Strong Communities

10

### RISK: Major Emergency Response (e.g. Pandemic)

Due to an unlikely but high impact major emergency the Council is required to lead a large-scale community response leading to impact on business as usual and requirement to focus resources on key priorities.

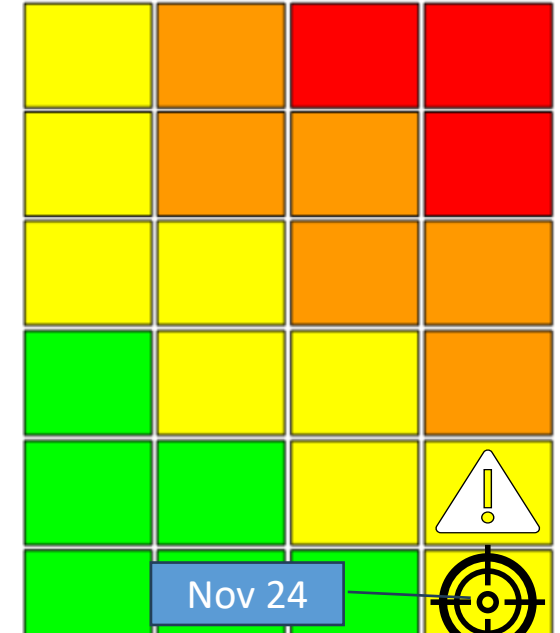
#### Existing Controls:

45

- Emergency plan and Council-wide Business Continuity Planning
- Learning from Overview & Scrutiny review of Covid response
- In-house Emergency Planning Service

- Gold, Silver and Bronze response structure
- Seasonal business continuity training and plan updates
- Peer Review commissioned awaiting report
- Delivering training for gold, silver and bronze

Owner		Change	
SC	SP	None	



Current Risk 
 Target 
 Risk on Target

Mitigating Action	Owner	Date	Status
<del>Service level review of Emergency Planning by neighbouring authority and/or Emergency Planning College</del>	SB	November 2023	Completed
<del>Reviewing key emergency plans (including major incident plan)</del>	FH/SB	November 2023	Completed
Creation and implementation of revised business continuity programme	FH/SB	November 2024	On track
Annual report to Scrutiny on work plan for year and retrospective review of previous year	SB	May 2024	On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

13

### RISK: Failure to meet statutory duties (Safeguarding Adults)

Due to insufficient capability/capacity, there is the risk that the Council does not meet its safeguarding responsibilities for adults leading to avoidable harm, litigation, fines and reputational damage. There is risk associated with the change in legislation for Liberty Protection Safeguards (LPS) as the plans have not yet been confirmed and the demands on the system are not yet fully known.

#### Existing Controls:

- Adult Safeguarding Hub (ASH)
- Pan Berkshire Policies and Procedures
- ASH new proportionate and person-centred processes and pathway
- ASH fully staffed and dedicated Admin
- Effective relationships embedded with key partners and forums
- Management and supervision

- Staff training and awareness
- Berkshire West Safeguarding Board
- Care Governance Quality Assurance
- Risk Assessment for Safeguarding complete
- Joint working between HoS and PSW
- Quality Assurance Framework in place
- Health Overview & Scrutiny Committee

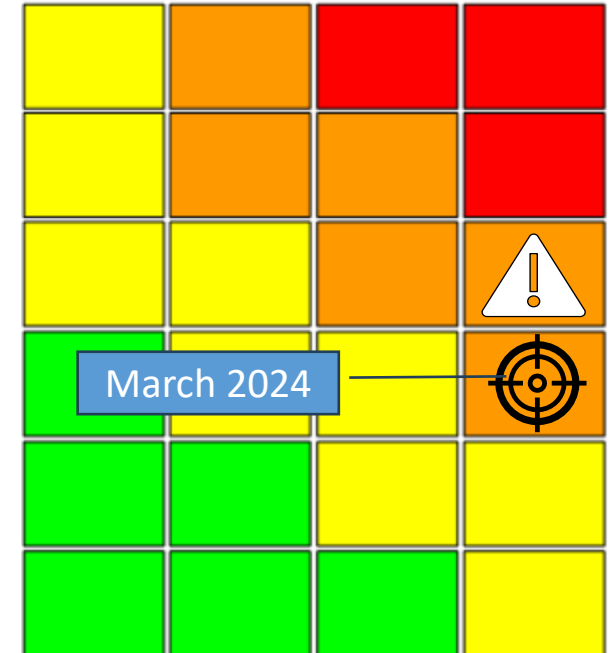
Owner

Change

DH

MP

None



⚠️ Current Risk   🎯 Target   🏆 Risk on Target

46

Mitigating Action	Owner	Date	Status
ASC workforce strategy and delivery of action plan being driven through a number of workstreams	MP	March 24	On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

14

### RISK: Failure to meet statutory duties (Safeguarding Children)

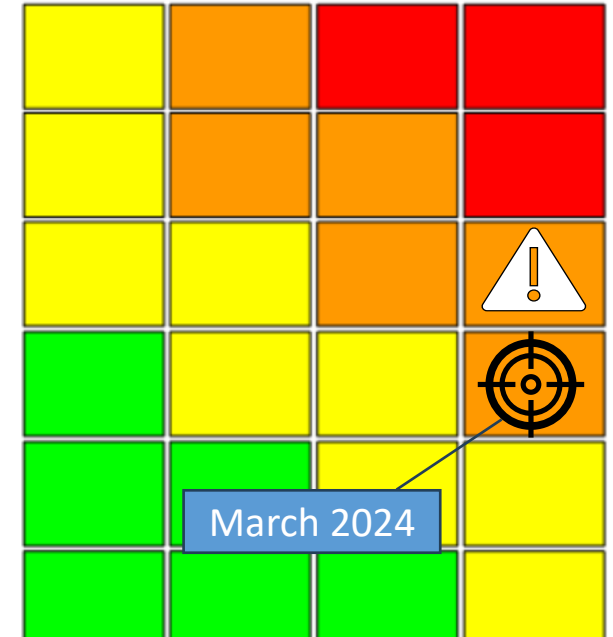
Whilst it is recognised that the risk of harm to children and young people can never be completely eliminated, if sufficient controls are not in place, there is a risk of avoidable harm to children leading to litigation, fines and severe reputational damage to the Council.

#### Existing Controls:

- Scrutiny by the Children's Services O&S Committee
- Scrutiny from the BWSCP Child Protection Procedures and Safeguarding Partnership
- Social work practice development through the Learning & Development Programme
- Quality Assurance Framework
- Case Reviews & Audits
- Robust Policies and Procedures
- Clear Practice Framework
- Staff Supervision, challenge and support

- Manageable caseloads
- ASYE recruitment programme to build social worker pipeline and ensure sufficient capacity.
- Additional Assistant Team Managers to support supervision
- Practice consultants/assistants to support practice quality
- Use of locum staff to fill gaps in workforce as required
- Flexible approach to additional posts as required to meet increase in demand
- Monitoring demand & caseloads, ensuring swift review of staffing needs

Owner		Change
PB	HW	None



March 2024

Warning Icon Current Risk Target Risk on Target

Mitigating Action	Owner	Date	Status
Practice Improvement Programme for Children's Services	MD/AD	March 24	On track
Review of QA Framework to ensure appropriate challenge and identification of emerging risks at the earliest stage	MD	March 24	On track
Recruitment and Retention programme to ensure sufficient capacity and capability	WH	March 24	On track
Ofsted Improvement Plan Implementation	MD	March 24	On track

## Key Priority at Risk: Safe, Strong Communities

15

### RISK: Resources to support emerging communities

Due to insufficient resources, there is the risk that the Council is unable to meet the needs of Ukrainian's, Hong Kong nationals, and refugees from other countries leading to escalation of needs, ineffective support, and damage to community cohesion and anti-social behaviour resulting in financial costs.

#### Existing Controls:

- Refugee team set up which monitors emerging needs and safeguarding
- A collaboration with Voluntary Sector and Partners to ensure a coordinated approach.
- Child and Adult Safeguarding to protect vulnerable people
- Ensure all grants are claimed for Ukrainian and Afghan refugees

- Educational provision for children and support for adults for employment and benefits

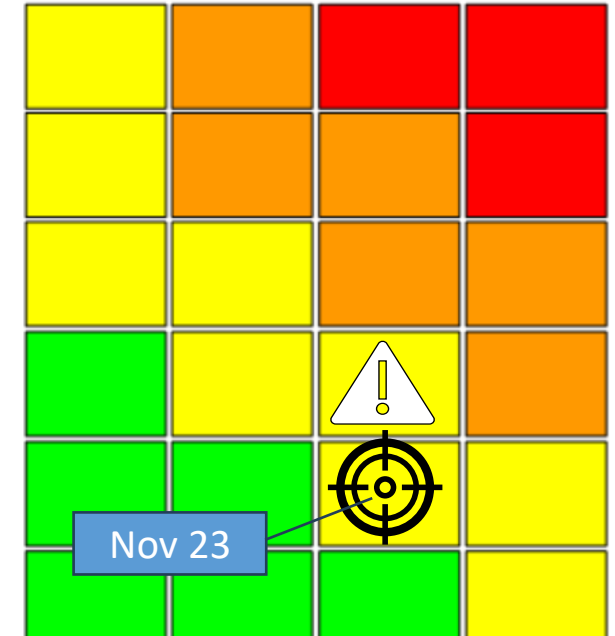
Owner

Change

SC

GF

None



Current Risk Target Risk on Target

48

#### Mitigating Action

Delivery of 17 dwelling capital programme to provide a range of family sized accommodation for Ukrainian and Afghan refugees

Owner

RH

Date

Feb 2024

Status

Complete

Implementation of social inclusion and activity events programme

RH

Recurring

On track

Refugee team embedding services into Housing Needs

RH

Apr 2024

On track

Reviewing Cross Council Prevention Services

RH

Apr 2024

On track

## Key Priority at Risk: Enriching Lives

17

### RISK: Mainstream Education Provision

Due to (a) increased numbers of children moving into the borough including international arrivals (Hong Kong nationals and Ukrainian children) in both primary and secondary phases; (b) peak primary rolls passing into the secondary sector; (c) too few places for girls (secondary phase); and withdrawal of capital funding for school place expansion there are risks of (i) a breach in statutory place sufficiency duty and (ii) new capital programme requirements.

#### Existing Controls:

- Primary Strategy 2018 to 2028
- Secondary Strategy 2022
- Forest School to become Co-Ed
- SCAP annual statutory places return to DfE
- Annual update of roll projections
- Regular reports to Children's Services O&SC
- Regular Leadership Team updates
- 'Gold' governance arrangements in place

- Fair Access Protocol
- Regular item at BEP meetings
- Regular meetings with Finance team
- Engagement with schools on additional places
- Relationships with neighbouring boroughs
- Portal based admissions tracking (LA and Schools)

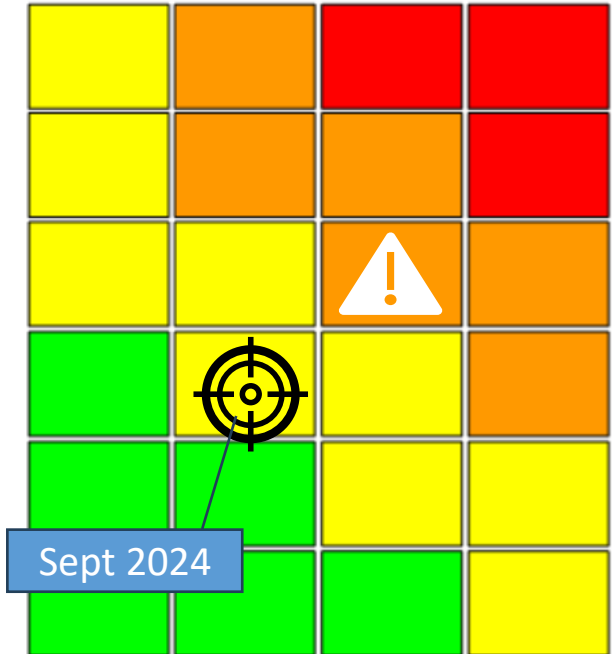
Owner

Change

PB

HW

Likelihood reduced



Warning Current Risk Target Risk on Target

#### Mitigating Action

Owner

Date

Status

Development of Business as Usual annual school place planning cycle-

MZ

December 2023

Complete

Engagement with Schools on additional places (above PAN)

MZ

Sept 2024

On track

Key Priority at Risk: All

18

RISK: Preparations for 2024 Elections

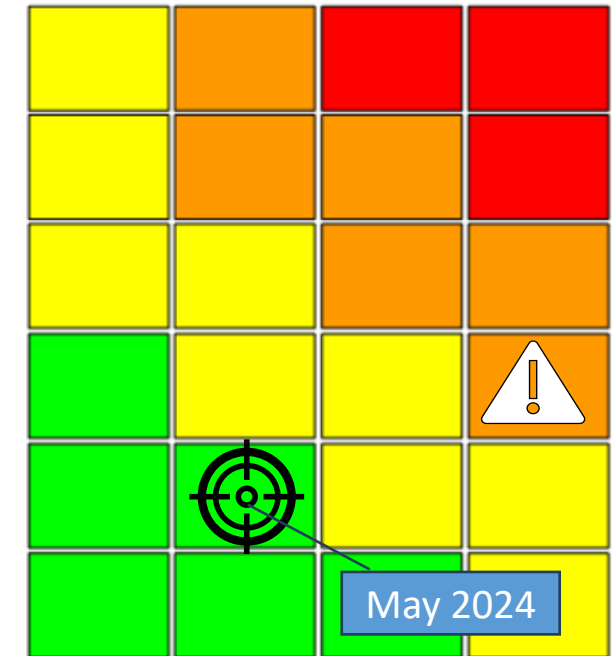
Due to the potential combination of all-out Borough and Parliamentary (two constituencies) with new polling districts, PPC elections and the implementation of the Elections Act , there is a risk of significant additional administrative burdens resulting in delays to voting, disenfranchisement of some voters, breach of duty, legal challenge, reputational damage, Parliamentary, Borough and/or Parish Councils without democratic legitimacy and potential re-run of elections.

Existing Controls:

- Guidance from Electoral Commission for electoral administrators and support from Association of Electoral Administrators (AEA)
- National publicity scheme by Electoral Commission (from Jan 2024)
- Additional Government funding received to support implementation of Voter ID
- Dedicated implementation risk register
- Overall project plan for 2024 elections including parliamentary contingency
- Information publicised on Council website
- Corporate Project Team
- Communications Plan

50

Owner: **ISD** **AM** Change: **Decrease**



Warning Icon Current Risk Target Risk on Target

Mitigating Action	Owner	Date	Status
Association of Electoral Administrators (AEA) health check review	AM	November 2023	Complete
Polling Places Review	AM	January 2024	Complete
Resource planning	AM	March 2024	On track
Communication of electoral commission changes	AM	Jan – May 2024	On track



## Objective at Risk: Community Vision

19

### RISK: Information Governance

Due to gaps in information governance arrangements and inability to support IT solutions for data retention and deletion (e.g. Mosaic), there is a risk of disclosure of personal sensitive data, and unlawful data retention resulting in individual distress, fines, reputational damage and loss of trust. Subject Access Requests (SARs) not being met resulting in fines, reputational damage and loss of trust.

#### Existing Controls:

- Internal Data and Information Governance (DIG) Board
- Mandatory training for new and existing staff
- Information Security and Acceptable Use Policy
- Encrypted equipment
- Secure email
- Document marking scheme

- Performance Monitoring
- Incident Reporting
- Membership of Berkshire DPO Group
- Information Governance Toolkit Assessment
- Guidance from the ICO
- SAR Policies and Procedures
- Monitoring SAR Caseloads
- SAR Reporting into CS Directorate Leadership Team

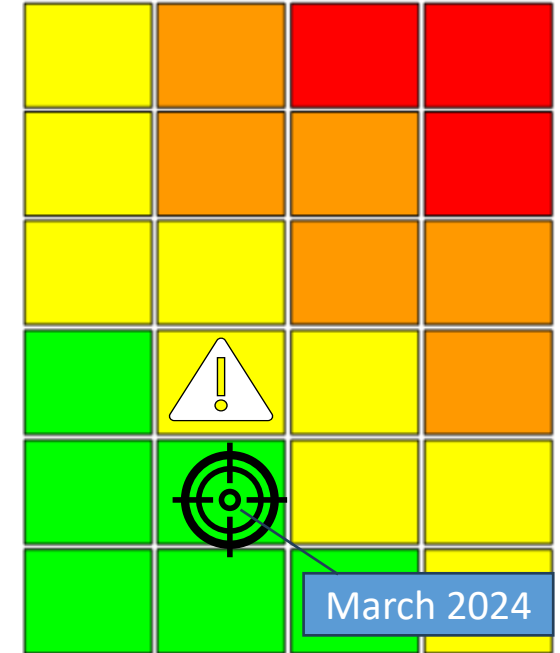
Owner

Change

ISD

GE

None



March 2024

⚠️ Current Risk   🎯 Target   ✅ Risk on Target

51

Mitigating Action	Owner	Date	Status
Information Security & Acceptable Use Policy update	AM	March 2023	Overdue
Implementation of demand management opportunities to reduce SAR requests in children's services	HW	December 2023	On track
Monitoring of FoI requests targeted at potential election disruption	AM	May 2024	On track
Implementation of Information Governance Toolkit Assessment	AM	March 2024	Some issues

## Key Priority at Risk: Right Homes, Right Places

21

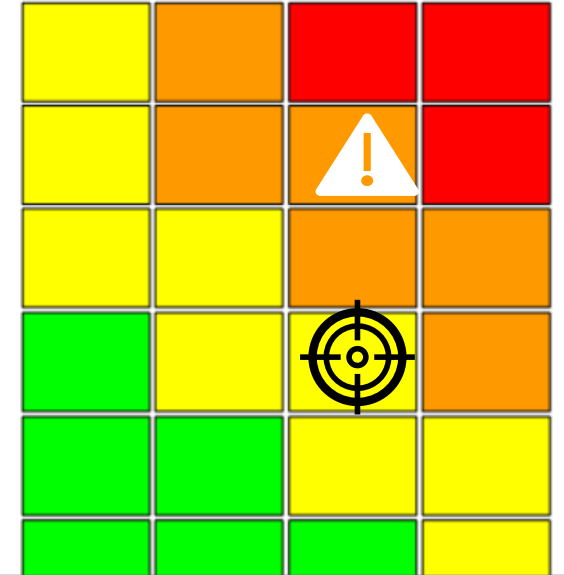
### RISK: Meeting Affordable Housing Need

Due the Council or partners delaying or abandoning pipeline projects as well as private developer sites failing to come forward, in turn providing fewer affordable housing contributions, there is a risk there will be insufficient stock to meet Specialist and General Needs accommodation needs leading to increased pressures on the Council's budgets particularly in Place and Growth, Adults Social Care and Children Services as well as poorer outcomes for residents.

#### Existing Controls:

- Maximising developer contributions in both on-site delivery and S106 commuted sums
- Accessing external grant opportunities through Homes England etc.
- Ensuring pipeline of development for specialist housing
- Assess opportunities in HRA

Owner		Change
SC	GF	None



Current Risk
 Target
 Risk on Target

52

Mitigating Action	Owner	Date	Status
Silver groups has been set up to look at the most urgent housing priorities and senior professionals(specialist) workshops being organised to tackle short term housing matters. (Link to Risk 22)	RH	March 2024	Complete
Setting the Council's strategic direction through development of new Housing Strategy, Homelessness and Rough Sleeping Strategy and Young People's Housing Strategy with an emphasis on addressing housing need for priority groups	RH	November 2024	On track
Draft Planning policy change to increase the standard and size of affordable housing to meet the needs of all residents of the borough including those with additional physical needs	RH	April 2024	On track

## Key Priority at Risk: Safe, Strong Communities

22

### RISK: Support for Unaccompanied Asylum Seeking Children

Due to insufficient central government funding and in-Borough provision there is a risk that the Council is unable to provide support and local placements for Unaccompanied Asylum-Seeking Children (UASC), including a significant increase in the cost of statutory accommodation for Care Leavers as UASCs reach the age of 18 leading to increased costs and long-term impacts on vulnerable children and young people.

#### Existing Controls:

Ensure all grants are claimed for UASCs Silver Group to identify resources to meet the need.

Managing the increased need for in-borough accommodation and support – increasing the range of offer in the borough.

Successful in challenging the Home Office funding.

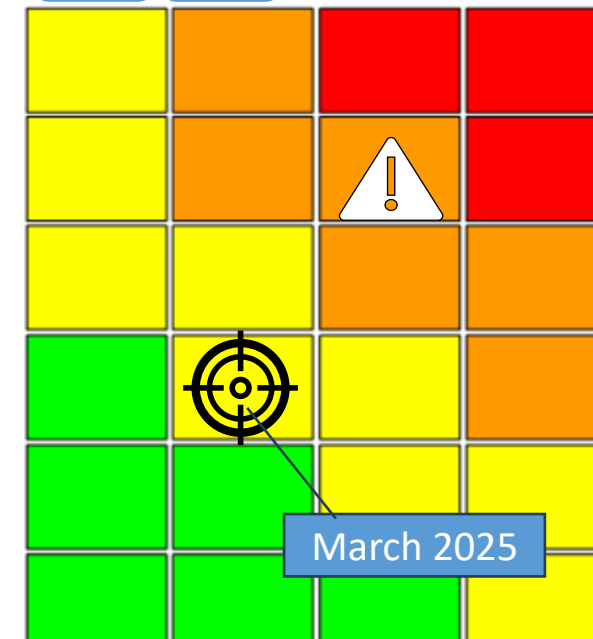
Owner

Change

PB

HW

None



Warning Icon Current Risk Target Risk on Target

#### Mitigating Action

Project to Maximise Culturally-Suitable In-House Fostering for UASC.

Care Leaver Target Operating Model Project: Aim is to create accommodation costing no more than the £270 per week per young person provided by the government including: Supported Accommodation; Affordable and Local Semi-Independent Accommodation; Houses of Multiple Occupancy for those with unresolved status.

Owner

Date

Status

HW

September 24

On track

HW

March 25

On track

Objective at Risk: Keeping the Borough Moving/Clean and Green Borough

24

Key Front Line Services Re-procurement

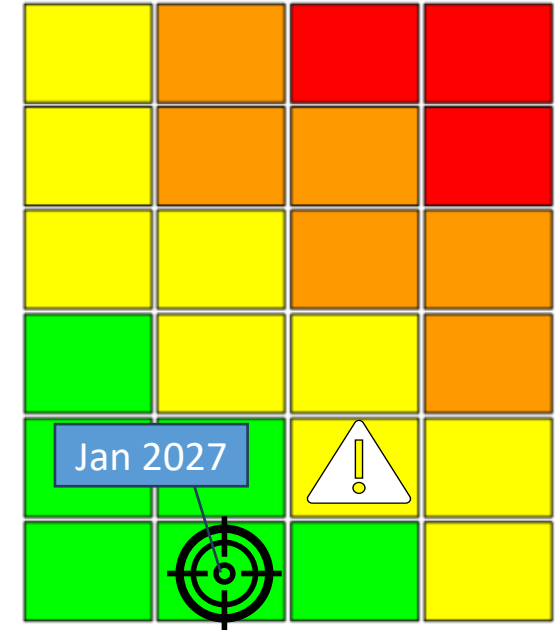
Due to significant Place and Growth Contracts expiring in 2026 (Highways & Street Cleansing, Grounds Maintenance & Waste Collection) there is a risk that contracts are not procured correctly and in time leading to poor service delivery and additional costs.

Existing Controls:

Working groups established.  
Papers being produced to either recommend extension or re-tender.  
Market days held with Contractors.  
Briefing to Portfolio Holders held.

Review of Governance arrangements in place and agreed.  
Project plans in place.

Owner Change  
PF/IS GF None



Current Risk
 Target
 Risk on Target

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Mitigating Action	Owner	Date	Status
<del>Central working group to be formed including Procurement and Service Areas to ensure contracts are ready for 2026</del>	CE/SB	October 2023	Complete
<del>MTFP being submitted to support external expertise on key projects-</del>	SB/PRJ	November 2023	Complete

## Objective at Risk: Clean, Green Borough

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### Change in waste collections (2024)

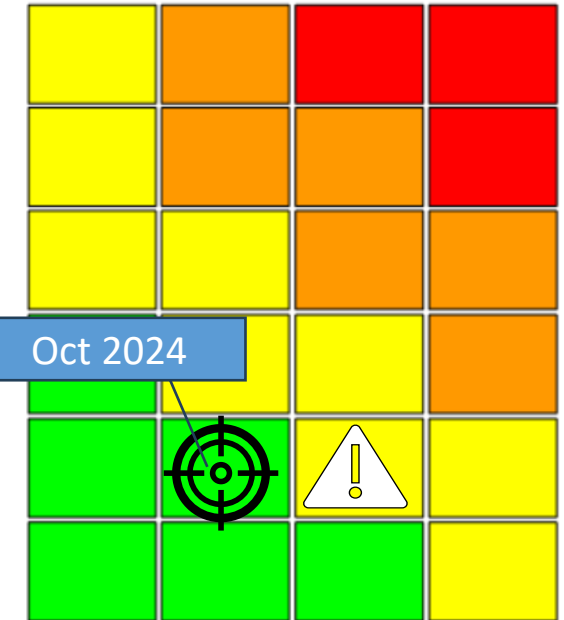
Due to the 2024 bin collection change, there is a risk that financial costs/reputational damage might occur if the project is not delivered correctly or on time.

#### Existing Controls:

- a) Business Case Revised
- b) Wheeled bin procurement complete
- c) Wheeled bin delivery procurement awarded
- d) Variation Order with collections contractor (Veolia) ready for Director sign off

- e) Continued engagement with specialist external waste consultant in processes.
- f) Comms engagement started internally
- G) Community engagement staff recruited

Owner	Change
IS	GF
	None



Current Risk
 Target
 Risk on Target

Mitigating Action	Owner	Date	Status
Robust planning and monitoring of costs/savings	SB	June 23- Oct 24	Ongoing
Identify residents that require assisted collection/larger bins/restricted access	SB	March 2024	On track
Recruitment of outreach officers to support resident information and to assist in the Call Centre	SB	February 2024	On track

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## Objective at Risk: Community Vision

26

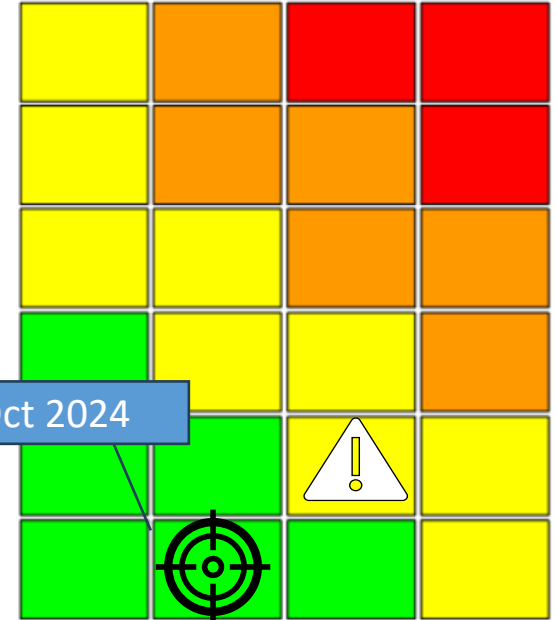
### Procurement Act 2023 Implementation

Due to the Procurement Act 2023 there is a risk that the Council does not comply with the new legal requirements resulting in challenges from tenderers leading to financial loss, reputational damage and delay

#### Existing Controls:

Project governance and plan  
Impact assessment

Owner: IS, GE, New  
Change: New



Current Risk 
 Target 
 Risk on Target

Mitigating Action	Owner	Date	Status
Training and Communication Plan	GC	Oct 2024	On track
Update to the Councils Constitution, Policies and procedures	GC	Sept 2024	On track
Post-implementation monitoring of compliance with new requirements	GC	Apr 2025	On track

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# Likelihood

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Score	Level					Description
6	Very High	Certain.	>95%	Annually or more frequently	>1 in 10 times	An event that has a 50% chance of occurring in the next 6 months or has happened in the last year. This event has occurred at other local authorities
5	High	Almost Certain. The risk will materialise in most circumstances.	80 – 94%	3 years +	>1 in 10 – 50 times	An event that has a 50% chance of occurring in the next year or has happened in the past two years.
4	Significant	The risk will probably materialise at least once.	50 – 79%	7 years +	>1 in 10 – 100 times	An event that has a 50% chance of occurring in the next 2 years or has happened in the past 5 years.
3	Moderate	Possible the risk might materialise at some time.	49 – 20%	20 years +	>1 in 100 – 1,000 times	An event that has a 50% chance of occurring in the next 5 or has happened in the past 7 years.
2	Low	The risk will materialise only in exceptional circumstances.	5 – 19%	30 years +	>1 in 1,000 – 10,000 times	An event that has a 50% chance of occurring in the next 10 year or has happened in the past 15 years.

# Impact

Score	Level		Description
8	Critical	Critical impact on the achievement of objectives and overall performance. High impact on costs and / or reputation. Very difficult and possibly long term to recover.	<ul style="list-style-type: none"> <li>Unable to function without aid of Government or other external Agency</li> <li>Inability to fulfil obligations</li> <li>Medium - long term damage to service capability</li> <li>Severe financial loss – supplementary estimate needed which will have a critical impact on the council’s financial plan and resources are unlikely to be available.</li> <li>Death</li> <li>Adverse national publicity – highly damaging, severe loss of public confidence.</li> <li>Litigation certain and difficult to defend</li> <li>Breaches of law punishable by imprisonment</li> </ul>
6	Major	Major impact on costs and objectives. Serious impact on output and / or quality and reputation. Medium to long term effect and expensive to recover.	<ul style="list-style-type: none"> <li>Significant impact on service objectives</li> <li>Short – medium term impairment to service capability</li> <li>Major financial loss - supplementary estimate needed which will have a major impact on the council’s financial plan</li> <li>Extensive injuries, major permanent harm, long term sick</li> <li>Major adverse local publicity, major loss of confidence</li> <li>Litigation likely and may be difficult to defend</li> <li>Breaches of law punishable by fines or possible imprisonment</li> </ul>
4	Marginal	Significant waste of time and resources. Impact on operational efficient, output and quality. Medium term effect which may be expensive to recover.	<ul style="list-style-type: none"> <li>Service objectives partially achievable</li> <li>Short term disruption to service capability</li> <li>Significant financial loss - supplementary estimate needed which will have an impact on the council’s financial</li> <li>Medical treatment require, semi- permanent harm up to 1 year Some adverse publicity, need careful public relations High potential for complaint, litigation possible. Breaches of law punishable by fines only</li> </ul>
2	Negligible	Minimal loss, delay, inconvenience or interruption. Short to medium term affect.	<ul style="list-style-type: none"> <li>Minor impact on service objectives</li> <li>No significant disruption to service capability</li> <li>Moderate financial loss – can be accommodated</li> <li>First aid treatment, non-permanent harm up to 1 month</li> <li>Some public embarrassment, no damage to reputation</li> <li>May result in complaints / litigation</li> <li>Breaches of regulations / standards</li> </ul>