

# GRAVESHAM BOROUGH COUNCIL

## CORPORATE RISK REGISTER

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**2024-2025**

DRAFT

Gravesham Borough Council’s Corporate Risk Register is the result of a strategic risk management exercise conducted annually to identify, analyse and prioritise those risks that may affect the ability of the council to achieve its corporate objectives. Key risks facing the council are identified through discussion with Cabinet Members, Finance and Audit Committee Members, Members, Directors, Assistant Directors, Heads of Service and other senior managers

The risk management exercise establishes the severity of risks through the utilisation of the risk matrix below. The risk matrix is used to establish the inherent risk score, the residual risk score and the target risk score.

**The Inherent Risk** – The severity of the risk is determined before any controls have been introduced to reduce or mitigate the risk.

**The Residual Risk** – The severity of the risk is determined after implementation of controls that reduce or mitigate the risk. The “residual” risk position is effectively the “tolerable” risk position which the Council is **willing** to operate given current constraints. It balances the funding position with objectives outlined in the councils Corporate Plan.

**The Target Risk** – This is the “Optimal” risk position which the Council **aims** to reach through a combination of both improvements in existing controls and the introduction of new ones. This is informed by the Councils objectives detailed in the Corporate Plan.

**The Risk Matrix**

<b>LIKELIHOOD</b>	Very High	5	5	10	15	20	
	High	4	4	8	12	16	
	Medium	3	3	6	9	12	
	Low	2	2	4	6	8	
	Very Low	1	1	2	3	4	
	<b>High Risk</b>		1	2	3	4	
	<b>Medium Risk</b>		Negligible	Significant	Serious	Critical	
	<b>Low Risk</b>						
	<b>IMPACT</b>						

## Guidance used for assessing Likelihood and Impact

### Likelihood:

Rating	Score	
Very High	5	On the evidence and knowledge of officers and members it is almost certain that this issue will occur sometime within the next year. The issue may have already occurred in previous years either at the council or elsewhere.
High	4	On the evidence and knowledge of officers and members it is very likely that this issue or event will occur in the coming year.
Medium	3	On the evidence and knowledge of officers and members the issue is more likely to occur than not in the coming year.
Low	2	On the evidence and knowledge of officers and members it is unlikely that this event will occur in the coming year. Occurrences of this risk have occurred in the past, but occurrences are very few and far between.
Very Low	1	On the evidence and knowledge that this event would occur in either the coming year or in future years.

### Impact:

Rating	Score	
Critical	4	The financial impact on the authority would threaten the council's financial stability. The delivery of service to the public could be affected either permanently or for a long duration and the council could not achieve its key objectives. There would be a seriously damaging impact on the council's reputation through poor media coverage.
Serious	3	The financial impact on the authority would be significant although would not threaten the stability of the council's financial position. Services would experience disruption with the delivery of services being affected for a number of days. Whilst the council's objectives would be met there would be significant delays in achieving them. The council would endure poor media coverage for a period of time affecting the council's reputation, which would take some time to recover from.
Significant	2	There may be financial impact on the authority and/or the cost of mitigating the risk could exceed the financial implications of the risk there may be disruption to services and possibly delays in achieving the council's objectives. There may be poor media coverage, which could affect the council in the long term.
Negligible	1	There is little or no financial impact of the risk to the authority. There would be no disruption to the delivery of the council's key objectives or frontline services. There is no risk of this risk impacting on the council's reputation

All risks identified for 2024-2025 and their assessments are summarised in the table below and plotted in the Heat Map:

Rsk Ref	Risk Description	Inherent Risk	Residual Risk	Target Risk
1	On-going financial viability of the council	20	16	12
2	Changes in national priorities and legislation	20	15	12
3	Organisational capacity/resilience	20	12	9
4	Cyberattack resulting in data breach or corruption of data	16	12	8
5	Investment risk	15	10	9
6	Adoption and delivery of sound Local Plan	12	12	9
7	Implementation of the Elections Act 2022	15	10	5
8	STG Building Control Partnership - Licencing of Surveyors	16	12	12

The risks that have generated a “High Risk” score can be seen coloured in red and these have therefore been included in the 2024-2025 Corporate Risk Register.

### Risk Heat Map (Residual Risk)

<b>LIKELIHOOD</b>	Very High	5		5.7	2	1
	High	4			3,6	1
	Medium	3				4,8
	Low	2				
	Very Low	1				
	High Risk		1	2	3	4
Medium Risk		Negligible	Significant	Serious	Critical	
Low Risk		<b>IMPACT</b>				

Given that the council works in an ever-changing environment it will be necessary to conduct similar risk management exercises on a periodic basis. Progress against management actions recorded in the register will be reviewed on a six-monthly basis by the Finance and Audit Committee.

As a contribution to good corporate governance, risk management also forms a part of the annual business planning process – each departmental business plan has a specific service risk register to identify the key risks facing that service. This reinforces the corporate risk management approach through each Head of Service giving proper formal consideration to both, corporate and operational risks.

<b>The Risk</b>					<b>Ongoing financial viability of the Council</b>					<b>Risk No.</b>		<b>1</b>					
<b>Link to Corporate Objective</b>					# one council a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact.												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Leader of the Executive (but affects all portfolios)												
<b>Risk Owner(s)</b>					Director (Corporate Services); Assistant Director (Corporate Services)												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	5	<b>Impact</b>	4	<b>Score</b>	20	<b>Likelihood</b>	4	<b>Impact</b>	4	<b>Score</b>	16	<b>Likelihood</b>	4	<b>Impact</b>	3	<b>Score</b>	12

<b>Lead Officer (s)</b>					<b>Target Date</b>				
Director (Corporate Services); Assistant Director (Corporate Services)					March 2025				

<b>Trigger</b>	<b>Consequences</b>	<b>Mitigation / Control</b>
<p>Financial Challenges due to changes in government legislation, leading to increased financial pressure on the budget.</p> <p>Single year finance settlement for 2024/25 (fifth year in succession) leaving uncertainty as to how local government will be funded in future years.</p> <p>Decisions made by external bodies which have a direct financial impact on the council.</p> <p>Central Government Finance reforms have been put on hold (fair funding review, business rates retention and future of new homes bonus).</p> <p>Demand for some services i.e. Homelessness, resulting in increased costs which are not met by government funding. Gross spend on temporary accommodation is budgeted to be the equivalent of 19.5% of the council's net revenue budget in 2024/25.</p>	<ul style="list-style-type: none"> <li>• Difficult decisions around funding of services and quality of services compromised.</li> <li>• Inability to plan effectively for future years.</li> <li>• Council not being able to meet its statutory obligations due to lack of funding.</li> <li>• Uncertainty of funding for the authority and for future projects</li> <li>• Changes in legislation have a negative financial impact on the Council.</li> <li>• Impact on minimum reserve limits.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly budget monitoring is established for presentation to F&amp;A Committee</li> <li>• Monthly budget monitoring reports are sent to budget holders</li> <li>• Medium Term Financial Plan is in place (MTFP). Monthly report is presented to Management Team showing progress against agreed initiatives</li> <li>• 10-year MTFP is regularly reviewed and updated, in order to ascertain budget gaps in future years</li> <li>• Ongoing monitoring of the MTFP is undertaken to ensure it is current and that the Council is aware of its financial position</li> <li>• Changes in legislation are monitored and Finance Team are advised through press releases, local government networks and CIPFA</li> <li>• Changes are routinely modelled into the MTFP.</li> <li>• Maintaining relationships with external organisations and engagement with professional groups.</li> <li>• Government Consultations are responded if relevant to the financial impact on the Council</li> <li>• MTFS in place which includes 'Balancing the Budget' activity</li> <li>• 'Balancing the Budget' initiatives are monitored on a monthly basis by Management Team</li> <li>• A robust business case template in place</li> </ul>
<b>Key corporate documents and processes in place</b>	<ul style="list-style-type: none"> <li>• Effective Budget Monitoring</li> <li>• Medium Term Financial Plan (MTFP) and Medium Term Financial Strategy (MTFS) are place and monitored</li> <li>• Changes in legislation are monitored</li> <li>• Effects of any changes in legislation are applied to the MTFP</li> <li>• Government Consultations are responded to when necessary</li> <li>• A robust business case template in place</li> </ul>	

<b>The Risk</b>	<b>Changes in national priorities and legislative change</b>											<b>Risk No.</b>	<b>2</b>				
<b>Link to Corporate Objective</b>	<p><b>#oneborough:</b> a safe, clean, and attractive living environment, enhanced by a sustainable and increasingly energised local economy.</p> <p><b>#onecommunity:</b> an active, engaged, and culturally enriched population, built on the foundations of an affordable and quality local housing offer.</p> <p><b>#onecouncil:</b> a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact.</p>																
<b>Assessment Date</b>	January 2024																
<b>Cabinet Portfolio</b>	All portfolios																
<b>Risk Owner(s)</b>	Chief Executive and Management Team																
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	5	<b>Impact</b>	4	<b>Score</b>	20	<b>Likelihood</b>	5	<b>Impact</b>	3	<b>Score</b>	15	<b>Likelihood</b>	4	<b>Impact</b>	3	<b>Score</b>	12

<b>Lead Officer (s)</b>	<b>Target Date</b>
Chief Executive/ Management Team/Wider Management Team	March 2025

<b>Trigger</b>	<b>Consequences</b>	<b>Mitigation / Control</b>
<p>Changes in national priorities including National Significant Infrastructure Projects (NSIP).</p> <p>Current proposals that affect the Borough are: -</p> <ul style="list-style-type: none"> <li>• Lower Thames Crossing (Gravesham)</li> <li>• Thurrock Flexible Generation Plant (Tilbury)</li> <li>• London Resort (Dartford, Gravesham)</li> </ul>	<p>Council may not have the necessary resources to deliver on key projects.</p> <p>Projects may adversely affect local residents.</p>	<p>Monthly policy bulletins are circulated to Wider Management Team (WMT) and key officers</p> <p>Working with stakeholders and partner organisations to keep informed of developments such as: -</p> <ul style="list-style-type: none"> <li>• Local Government Association</li> <li>• District Councils Network</li> <li>• Kent Finance Officers Group</li> <li>• Kent Resilience Forum</li> </ul> <p>Information sharing and gathering across all Council services</p>
<p>Change (s) in legislation / statutory duties imposed by Central Government such as: -</p> <ul style="list-style-type: none"> <li>• Local Government Reform</li> <li>• Levelling Up Agenda</li> </ul>	<p>Introduction of new statutory duties could: -</p> <ul style="list-style-type: none"> <li>➤ Change the strategic direction of the Council</li> <li>➤ Result in new statutory duties not being enacted leading to legal challenge</li> <li>➤ Entail additional workloads for officers</li> <li>➤ Move to an agile way, directing resources as required</li> <li>➤ Increase scrutiny by members and the public</li> <li>➤ Change the way existing services are delivered</li> <li>➤ Increase financial pressures (discussed as part of risk 1)</li> </ul>	<ul style="list-style-type: none"> <li>• Circulation of monthly briefings to key officers on proposed / new legislation</li> <li>• Working alongside other stakeholders and partner organisations</li> <li>• Information sharing and gathering across all Council services</li> <li>• Circulation of monthly briefings to key officers on proposed new legislation</li> <li>• Preparation of workforce strategy</li> <li>• Co-ordination and sharing of information with other local authorities through various networks and forums</li> </ul>

**Key corporate documents and processes in place**

- Corporate Plan 2023-2027
- Medium Term Financial Strategy & MTFP
- Circulation of monthly policy bulletins and briefings to WMT and key officers
- Partnership Working & Information Sharing with other local authorities through relevant networks and forums
- Business Continuity Planning
- Workforce Strategy

<b>The Risk</b>					<b>Organisational capacity/resilience</b>					<b>Risk No.</b>		<b>3</b>					
<b>Link to Corporate Objective</b>					#oneborough: a safe, clean, and attractive living environment, enhanced by a sustainable and increasingly energised local economy												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Leader of the Executive (but affects all portfolios)												
<b>Risk Owner(s)</b>					Chief Executive and Management Team												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	5	<b>Impact</b>	4	<b>Score</b>	20	<b>Likelihood</b>	4	<b>Impact</b>	3	<b>Score</b>	12	<b>Likelihood</b>	3	<b>Impact</b>	3	<b>Score</b>	9

<b>Lead Officer (s)</b>					<b>Target Date</b>				
HR Business Partner					June/July 2024				

<b>Trigger</b>	<b>Consequences</b>	<b>Mitigation / Control</b>
External opportunities of agile and home working in light of the COVID pandemic is making it difficult to recruit staff, especially those in specialist roles.	Increase in turnover resulting with a reduction in staff, Specialist roles remain vacant for prolonged periods of time, placing additional pressures on staff in service areas which may already have stretched resources. Increased agency costs. Services areas with reduced staff will suffer a greater impact.	<ul style="list-style-type: none"> <li>A Hybrid Working Policy exists which gives office-based staff the opportunity to work from home, depending on the needs of the service</li> <li>Introduction of initiatives such as, increased training, improving advert templates, availability of career progression, introduction of Management Development Programme, to ensure the Council remains competitive in retaining existing staff and attracting potential employees</li> </ul>
Overstretched resources resulting with reduced staff motivation, low morale and increased sickness and stress levels.	Council will be required to provide additional help and support to overcome problems.	<ul style="list-style-type: none"> <li>Stress and sickness absence is monitored</li> <li>Periodic Wellbeing surveys are undertaken</li> <li>Wellbeing included as an agenda item on JSF meetings</li> <li>The role of Mental Health Champions is promoted</li> <li>Investors in People reviews continued</li> </ul>
Staff (especially office based) experiencing difficulties in adapting to remote working	Increase in organisational stress negatively impacting productivity and mental health and well being	<ul style="list-style-type: none"> <li>Management training provided to line managers on Leadership Behaviours for managing and motivating Hybrid Teams.</li> <li>Hybrid Working Policy provides office-based staff the opportunity to adopt a better work life balance</li> </ul>

<b>Key corporate documents and processes in place</b>	<ul style="list-style-type: none"> <li>Corporate Business Plan 2023-2027</li> <li>Workforce Development Plan</li> <li>Hybrid Working Policy</li> <li>Initiatives to retain existing staff and attract new talent</li> <li>Stress and Sickness absence monitoring</li> <li>Referrals to Occupational Health and Employee Assistance Programme when necessary</li> <li>Introduction of Management Development Programme</li> <li>Maintaining Investors in People (IIP) reviews</li> <li>Training for Managers</li> </ul>
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<b>The Risk</b>					<b>Cyberattack resulting in data breach or corruption of data</b>					<b>Risk No.</b>		<b>4</b>					
<b>Link to Corporate Objective</b>					#onecouncil: a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact.												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Leader												
<b>Risk Owner(s)</b>					Director (Corporate Services)												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	4	<b>Impact</b>	4	<b>Score</b>	16	<b>Likelihood</b>	3	<b>Impact</b>	4	<b>Score</b>	12	<b>Likelihood</b>	2	<b>Impact</b>	4	<b>Score</b>	8

<b>Lead Officer (s)</b>					<b>Target Date</b>									
Head of Digital & IT					November 2024									
<b>Trigger</b>					<b>Consequences</b>					<b>Mitigation / Control</b>				
Member of staff falls victim to phishing attack					The login credentials used by a member of staff is stolen enabling an unauthorised user to access and modify data and systems used by that person. In the case of a user with access to privileged systems this may also enable administrative access and the ability to move laterally between systems. The ultimate consequence could be a cyber-attack resulting in a loss of access to Council systems and data.					<ul style="list-style-type: none"> <li>• Cyber awareness training delivered to staff</li> <li>• Use of strong passwords advised</li> <li>• Use of multifactor authentication promoted</li> <li>• Separation of administrative accounts from general user accounts</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>				
Member of staff falls victim to "drive by download"					A member of staff visits a website which has been poisoned with malware which automatically runs when the web page is viewed. The malware is able to access resources on the computer with the same level of access as the logged in user, or with elevated privileges if combined with additional vulnerabilities (such as unpatched software), The ultimate consequence could be a cyber-attack resulting in a loss of access to Council systems and data.					<ul style="list-style-type: none"> <li>• Use of web filtering software to control access to known high risk websites</li> <li>• Use of antivirus software</li> <li>• Use of non-administrative accounts when browsing the web</li> <li>• Timely patching of software vulnerabilities</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>				
Misconfiguration of IT Infrastructure results in a breach					An item of IT infrastructure is accidentally configured in such a way that it allows exploitation by an external actor to carry out a cyber-attack resulting in a loss of access to Council systems and data					<ul style="list-style-type: none"> <li>• Policies, processes, and procedures for configuration of IT infrastructure</li> <li>• Staff training</li> </ul>				

		<ul style="list-style-type: none"> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>
Brute force attack against IT infrastructure results in breach	An attacker constantly attempts to gain access to Council systems via external infrastructure (web sites, email systems, vpn) in a systematic way with the hope of finding a vulnerability which will provide access to Council systems and data. Once access has been gained, the ultimate consequence could be a cyberattack resulting in a loss of access to Council systems and data.	<ul style="list-style-type: none"> <li>• Regular review of IT defences (such as firewall rules and network configurations) to ensure they are operating effectively</li> <li>• Regular scanning of IT infrastructure to identify what an attacker is able to see</li> <li>• Central recording of security incident logs which can identify when attacks happen</li> <li>• A Security Operations Centre managed service will continue to be explored in order to provide 24/7 proactive monitoring of our IT environment and highlight any risks for further action on immediate identification</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>
Unpatched software vulnerability results in breach	All software has the potential to have bugs and programming errors. Unpatched software means there are vulnerabilities in a program or code that the Council is aware of and will not or cannot fix. Bugs in software can be exploited to carry out tasks for which the software was not originally designed to perform, such as carrying out a cyber-attack.	<ul style="list-style-type: none"> <li>• Only use software which is supported by the supplier</li> <li>• Apply patches to software in a timely manner when notified by the supplier of a vulnerability</li> <li>• In 2024 further systems and procedures will be explored for the automation of loading software patches to speed up the process and reduce the amount of time software is vulnerable</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>
Denial of service attack prevents IT systems from being used	The Council's internet connections are flooded with a high volume of meaningless data which prevent legitimate data from getting through. Access to Council services for staff and members of the public is prevented and the systems appear to be down.	<ul style="list-style-type: none"> <li>• The Council's internet connection provided by KPSN features a high level of Distributed Denial of Service protection from JISC (the internet service provider)</li> <li>• A Security Operations Centre managed service will be</li> </ul>

		<p>explored in order to provide 24/7 proactive monitoring of our IT environment and highlighting any risks for further action on immediate identification</p> <ul style="list-style-type: none"> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>
Ransomware attack steals and then deletes Council data	<p>A malicious actor who has gained a foothold within the Council IT infrastructure is able steal large volumes of data before destroying access to that data for the Council. Staff are not able to access their systems or data and provide their services.</p>	<ul style="list-style-type: none"> <li>• Regular backup of data to systems that have ransomware protection and immutable storage</li> <li>• A Security Operations Centre managed service will continue to be explored in order to provide 24/7 proactive monitoring of our IT environment and highlighting any risks for further action on immediate identification</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>
Member of staff falls victim to a phishing attack as a result of using a Generative Artificial Intelligence (AI) tool.	<p>Use of Artificial Intelligence (AI) tools can be used to automate, accelerate and magnify the impact of highly targeted cyber-attacks, increasing the severity of the threat from malicious actors.</p> <p>The login credentials used by a member of staff is stolen enabling an unauthorised user to access and modify data and systems used by that person. In the case of a user with access to privileged systems this may also enable administrative access and the ability to move laterally between systems. The ultimate consequence could be a cyber-attack resulting in a loss of access to Council systems and data.</p>	<ul style="list-style-type: none"> <li>• Prohibit the use of Generative AI tools</li> <li>• Use of web filtering software to block access to known Generative AI tools</li> <li>• Cyber awareness training for staff</li> <li>• Use of strong passwords</li> <li>• Use of multifactor authentication</li> <li>• Separation of administrative accounts from general user accounts</li> <li>• A member of the IT team has passed the Certified Information Systems Security Professional (CISSP) qualification and will be applying their knowledge to the continuous improvement of the council's security posture</li> <li>• A member of the IT leadership team has passed the BCS Certificate in Information Security Management Principles (CISMP) qualification and will continually review the suite of IT policies to ensure they are current and fit for purpose.</li> </ul>

**Key corporate documents and processes in place**

- Business Continuity Plans
- IT Security Policies
- Cyber Awareness Training
- Policies, processes, and procedures for configuration of IT infrastructure
- Use of web filtering software and anti-virus software
- Regular review of IT defences
- Establishment of a dedicated IT Security Officer post
- Regular backup of data to protected systems
- Use of supplier supported software
- Exploration of a Security Operations Centre Managed Service, to provide 24/7 proactive monitoring of the Council's IT environment
- Timely application of patches to software following notification of vulnerability

<b>The Risk</b>					<b>Investment Risk</b>					<b>Risk No.</b>		<b>5</b>					
<b>Link to Corporate Objective</b>					#onecouncil: a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact.												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Leader												
<b>Risk Owner(s)</b>					Director (Corporate Services)												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	5	<b>Impact</b>	3	<b>Score</b>	15	<b>Likelihood</b>	5	<b>Impact</b>	2	<b>Score</b>	10	<b>Likelihood</b>	3	<b>Impact</b>	3	<b>Score</b>	9

<b>Lead Officer (s)</b>										<b>Target Date</b>							
Director (Corporate Services), Assistant Director (Corporate Services)										March 2025							

<b>Trigger</b>	<b>Consequences</b>	<b>Mitigation / Control</b>
Investments do not perform as expected.	Investment income is reduced, negatively impacting on budget and the reputation of the Council which could impact on the delivery of services due to the loss of income.	<ul style="list-style-type: none"> <li>External professional advice is sought on new investment activity such as from the Councils treasury management advisors and subjected to due diligence checks.</li> <li>Regular meetings with fund managers are held to ascertain how investments are performing.</li> <li>Maintaining and reporting on the Council's Treasury Management Strategy and Capital Strategy, which set out the criteria for investments.</li> <li>Regular updates to members and management team on investment performance.</li> <li>Monitoring and review of treasury activity and budgeted levels of income from investments.</li> <li>Investment Income Equalisation Reserve in place.</li> </ul>
Commercial property does not maintain the expected rental yield.	Reduction in income for the Council which could adversely affect the delivery of services due to lack of financial resources.	<ul style="list-style-type: none"> <li>Close working between finance and key partners to enable early identification of risks or opportunities to the Council's investment portfolio.</li> <li>Maintaining the commercial income protection reserve. Currently this reserve is set at 25% of annual commercial income.</li> <li>Maintaining and reviewing the Property Acquisition Strategy and ensuring all commercial investments align with this strategy.</li> <li>Developed a Commercial Income Dashboard</li> <li>A robust business case template in place</li> </ul>
Further government intervention on investment activity through changes to the Prudential Code and access to Public Works Loan Board (PWLB).	Council could be limited in its investment options going forward Requirement to disinvest in some areas that are performing well to ensure compliance with the relevant codes and legislation.	<ul style="list-style-type: none"> <li>Review of commercial property portfolio to ensure it is compliant with the Prudential Code and PWLB criteria.</li> <li>Research other investment opportunities / income streams.</li> <li>Assessment of investment decisions against code requirements before activity is undertaken.</li> </ul>

**Key corporate documents and processes in place**

- Treasury Management Strategy (TMS)
- Capital Strategy
- Property Acquisition Strategy
- Receipt of professional advice from the Councils treasury management investors
- Regular meetings with fund managers
- Regular presentation of performance updates to Members and management team
- Regular review and monitoring of treasury activity
- Close working relationship between Finance and Property Services departments
- Maintenance of the commercial income protection reserve.
- Maintenance and review of the Property Acquisition Strategy
- Developed Commercial Income Dashboard
- Regular review of commercial property portfolio
- Research opportunities for investment and income streams
- A robust business case template in place

<b>The Risk</b>					<b>Adoption and delivery of sound Local Plan</b>					<b>Risk No.</b>		<b>6</b>					
<b>Link to Corporate Objective</b>					#oneborough: a safe, clean, and attractive living environment, enhanced by a sustainable and increasingly energised local economy												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Strategic Environment												
<b>Risk Owner(s)</b>					Director of Environment, Assistant Director (Planning)												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	4	<b>Impact</b>	4	<b>Score</b>	12	<b>Likelihood</b>	4	<b>Impact</b>	3	<b>Score</b>	12	<b>Likelihood</b>	3	<b>Impact</b>	3	<b>Score</b>	9

<b>Lead Officer (s)</b>					<b>Target Date</b>				
Assistant Director (Planning) Head of Planning					December 2024				

<b>Trigger</b>	<b>Consequences</b>	<b>Mitigation / Control</b>
Local Plan is not up-to-date and not underpinned by a robust evidence base.	<p>Local Planning Authorities (LPAs) are required to have an up-to-date Local Plan submitted for inspection by the Summer of 2025 or face government sanction/intervention. Following publication of the updated National Planning Policy Framework (NPPF) in December 2023, the impacts of not having an approved Local Plan are less clear but there is an incentive to speed up delivery to hit the target date of Summer 2025.</p> <p>There is a risk of receiving speculative development in an unplanned location in the green belt or poor-quality development proposals that may undermine the character of the borough or blight the long-term regeneration opportunities of new affordable homes and jobs for local communities. Where councils cannot demonstrate a five-year supply, national planning policy, rather than policies in a Local Plan have greater influence in decision making. National policy states there should be a “presumption in favour of sustainable development” for housing. If a site can be considered to deliver ‘sustainable development’ then planning permission could be granted, even if there is no support from the council for housing in that location or the site sits outside the Local Plan. Councils have less control over where new homes are built and may have to recommend approval of applications for sites not allocated. There’s also a risk of more rejected proposals being subject to appeal and more refused applications being approved on appeal.</p>	<p>The Assistant Director (Planning) monitoring and managing the local plan delivery plan.</p> <ul style="list-style-type: none"> <li>Align housing land supply with emerging regeneration strategy.</li> <li>Review local plan evidence base.</li> <li>Assign resources to enable delivery.</li> <li>Assign programme and engagement resources to speed up the process.</li> <li>Review the Housing Delivery Action Plan and implementation of the interventions identified within the plan.</li> <li>Provide progress updates to senior management and Members.</li> <li>There are some risks that cannot be completely mitigated because they are under the control of external organisations, such as transport modelling data that is controlled by KCC or National Highways. The Planning Team will work closely with all relevant external organisations to ensure the required information to deliver the local plan is obtained as efficiently as possible.</li> </ul>

<b>Key corporate documents and processes in place</b>	<ul style="list-style-type: none"> <li>Strategic Housing land Availability Assessment.</li> <li>Local Development Scheme.</li> <li>Local Plan supported by the project plan.</li> <li>Housing Delivery Action Plan.</li> </ul>
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<b>The Risk</b>					<b>Implementation of the Elections Act 2022</b>					<b>Risk No.</b>		<b>7</b>					
<b>Link to Corporate Objective</b>					# <b>oneborough</b> : a safe, clean, and attractive living environment, enhanced by a sustainable and increasingly energised local economy. # <b>onecommunity</b> : an active, engaged, and culturally enriched population, built on the foundations of an affordable and quality local housing offer. # <b>onecouncil</b> : a well-run and innovative authority, defined by its skilled and valued workforce, committed to developing its local social impact.												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Full Council												
<b>Risk Owner(s)</b>					Chief Executive and Returning Officer												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	5	<b>Impact</b>	3	<b>Score</b>	15	<b>Likelihood</b>	5	<b>Impact</b>	2	<b>Score</b>	10	<b>Likelihood</b>	5	<b>Impact</b>	1	<b>Score</b>	5

<b>Lead Officer (s)</b>					<b>Target Date</b>												
Assistant Director (Organisational Development & Democratic Support)					5 May 2024												
<b>Trigger</b>					<b>Consequences</b>					<b>Mitigation / Control</b>							
<p>The combination of changes emanating from tranche one and two of the Elections Act are due to be delivered for polls taking place in May 2024.</p> <p>These changes being delivered at the same time and with a UK parliamentary election due before the end of January 2025, these have the potential to stretch the Councils Elections service</p>					<p>Risk mitigations and choices being made uninformed (see also comms risk)</p> <p>The Returning Officer may struggle to deliver the elections they have personal responsibility for e.g., electors prevented from voting leading to a challenge to the way the poll was conducted. Potential errors leading to lack of confidence in the administration of the poll and the result.</p> <p>The risk of challenge by petition after the election will be higher. Election outcome is open to challenge e.g., electors not being issued with electoral identity documents and being unable to vote.</p> <p>The democratic legitimacy of the Council might be undermined hindering its ability to fulfil its role.</p> <p>Reputational damage for the local authority</p> <p>If election results are challenged via electoral petition, council decision making affected.</p>					<ul style="list-style-type: none"> <li>External dependency on Department for Levelling Up, Housing and Communities (DLUHC) delivery New additional 'tranche two' changes are being introduced and the risks are still live for a UK general election, where turnout is much higher. These changes still require secondary legislation</li> </ul>							
Electoral Commission Guidance not in place to inform planning for May 2024.					<p>Election outcome is open to challenge e.g., electors not being issued with electoral identity documents and being unable to vote.</p> <p>Failure to deliver polling e.g., electors prevented from voting leading to a challenge to the way the poll was conducted. Potential errors leading to lack of confidence in the administration of the poll and the result.</p> <p>Reputational damage for the local authority.</p>					<ul style="list-style-type: none"> <li>External dependency on DLUHC delivery. The implementation of tranche two of the changes is dependent on the work of the DLUHC (business change team) with guidance and changes to the electoral registration portal (software system) being delivered by them.</li> </ul>							
Too much workload on Electoral Services Officers					<p>Stress/ sickness absence.</p> <p>Unable to process applications in a timely manner.</p> <p>Disenfranchised electors (with disproportionate impact on certain demographics and deprived areas).</p> <p>Reputational damage, increased costs, Impact on election capacity, Impact on other activities.</p>					<ul style="list-style-type: none"> <li>Additional Support to be allocated to the elections team to increase capacity and building resilience by sharing workload across the electoral service</li> </ul>							



Trigger	Consequences	Mitigation / Control
ICT System failure (Government Portal for Voter ID).	<p>Unable to process applications and/or authorised IDs incorrectly.            Centralised printing of Voter ID document is disrupted and therefore not despatched in timely fashion to electors.            Disenfranchised electors (with disproportionate impact on certain demographics and deprived areas).            Reputational damage.            Increased workloads and costs.            Impact on election capacity.            Electoral Fraud.</p>	<ul style="list-style-type: none"> <li>Ensuring Staff are trained when system information is available</li> <li>Ability to issue temporary electoral identity documents as contingency should usual determination, printing and distribution processes become disrupted.</li> </ul>
Communications are not effective (Comms Risk).	<p>Increase in voter ID requests leading to being unable to process applications in a timely manner (see above).            Electors do not need to apply for Voter ID (as they already have suitable photographic ID).            Elector assumes Poll Card Letter is ID.            Electors do not realise they need ID and do not like being challenged in the station.            Electors being potentially disenfranchised.</p>	<ul style="list-style-type: none"> <li>The communications programme for election in 2023 was successful and delivered by the Councils Communications Team. The programme will be repeated ahead of each future election and will be adapted to include the changes coming from tranche two of the Election Act.</li> </ul>
Additional Responsibilities for polling staff	<p>Increased difficulty in recruiting (particularly presiding officers) and increased training requirements (including for experienced staff).            Risk to election deliver.            Increased issues in polling stations etc.            Unable to deliver polls.</p>	<ul style="list-style-type: none"> <li>The ERO will have the ability to allow the appointment of an emergency proxy for the polling day</li> <li>To contact staff early to inform planning and to put all council teams and staff on standby to assist if the need arises.</li> </ul>
Increased serious polling station incidents due to additional 'challenge point' of ID.	<p>Increased resourcing requirement on police. Police unable to respond to serious incidents as occupied elsewhere.            Risks to staff safety - Difficulty recruiting new staff or retaining experienced staff.            Staff are put in dangerous situations.</p>	<ul style="list-style-type: none"> <li>Make Early contact with police to discuss resourcing and cover</li> </ul>
<b>Key corporate documents and processes in place</b>	<ul style="list-style-type: none"> <li>Corporate Business Plan 2023-2027</li> <li>Elections Project Plan and Risk Register</li> <li>Dependency on Department for Levelling Up, Housing &amp; Communities (DLUHC)</li> <li>Allocation of additional officer support to increase capacity during elections</li> <li>Staff training</li> <li>Contingency plan during disruption</li> <li>Appointment of an emergency Proxy</li> <li>Utilisation of internal Comms team</li> </ul>	

<b>The Risk</b>					<b>STG Building Control Partnership – Licencing of Surveyors</b>					<b>Risk No.</b>		<b>8</b>					
<b>Link to Corporate Objective</b>					#oneborough: a safe, clean, and attractive living environment, enhanced by a sustainable and increasingly energised local economy												
<b>Assessment Date</b>					January 2024												
<b>Cabinet Portfolio</b>					Strategic Environment												
<b>Risk Owner(s)</b>					Director (Environment) and Deputy Chief Executive, Assistant Director (Planning)												
<b>INHERENT RISK SCORE</b>					<b>RESIDUAL RISK SCORE</b>					<b>TARGET RISK SCORE</b>							
<b>Likelihood</b>	4	<b>Impact</b>	4	<b>Score</b>	16	<b>Likelihood</b>	3	<b>Impact</b>	4	<b>Score</b>	12	<b>Likelihood</b>	3	<b>Impact</b>	4	<b>Score</b>	12
<b>Lead Officer (s)</b>					<b>Target Date</b>												
Assistant Director (Planning)					September 2024												
<b>Trigger</b>					<b>Consequences</b>					<b>Mitigation / Control</b>							
Shortage of qualified/experienced building control surveyors and with the implementation of the licencing requirements this has accelerated the problem with many choosing to take early retirement or leave the profession.					<ol style="list-style-type: none"> <li>Insufficient numbers of surveyors able to achieve registration resulting in <ol style="list-style-type: none"> <li>Reduction in service delivery or</li> <li>No service delivery if no licences</li> <li>Inability to provide dangerous structures call outs through the day or an Out-of-Hour's service</li> </ol> </li> <li>Surveyors unable to work on certain categories of developments due to the relevant level of licence(s) not being held. Potential additional cost to the council for buying-in licensed surveyors (subject to availability) and potential loss of income</li> <li>Staff retention as licenced surveyors become more marketable particularly to the private sector</li> <li>Insufficiently experienced surveyors to develop our own surveyors</li> <li>Potential cost of subsidising the Partnership's surveyors to be desk-based whilst they achieve the required registration.</li> </ol>					<ul style="list-style-type: none"> <li>Joint Committee Members have been supportive in business plans over the years to develop and bring on the Partnership's own surveyors to build in that resilience with the backing of a comprehensive support package for training, retention and recruitment.</li> <li>Experienced surveyors continue to provide training and mentoring to maintain the development programme and the Partnership is encouraging the experienced surveyors to assist team members in preparing for their registration.</li> <li>Partnership managers are working with the existing team members to provide training and development to help speed up the process of getting surveyors registered and licenced.</li> </ul>							
<b>Key corporate documents and processes in place</b>					STG Building Control Business Plan 2024-27												

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