

## **CORPORATE RISK REGISTER**

### **1 Purpose**

- 1.1 To brief the committee on the updated Corporate Risk Register.

### **2 Recommendations/for decision**

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| 2.1 | To review the Corporate Risk Register and associated actions (Appendix 2) and identify any issues for further consideration |
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### **3 Corporate Risk Register - Supporting information**

- 3.1 The Audit Committee has a role to monitor the effectiveness of risk management and internal control across the Council. As part of discharging this role the committee is asked to review the Corporate Risk Register.
- 3.2 The Corporate Risk Register provides evidence of a risk aware and risk managed organisation. It reflects the risks that are on the current radar for Strategic Board. Some of them are not dissimilar to those faced across other local authorities.
- 3.3 The risk register is reviewed regularly by Strategic Board and reported to the Audit Committee and Cabinet.

### **4 Reasons for Recommendation**

- 4.1 To allow members of the Audit Committee to review the Corporate Risk Register.

### **5 Resource implications**

- 5.1 None

Contact Officer

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Background Documents

None

# Corporate Risk Register Update

The Corporate Risk Register (CRR) shows the key risks to the Council and the actions that are being taken to respond to these risks. The CRR is reviewed on a regular basis by Strategic Board and was last updated on 13 March 2018.

The CRR is regularly reported to Audit Committee and was reviewed by Cabinet on 6 March 2016. Since the last Audit Committee in January 2018, two new risks have been added (#4 & #22), three risks have increased from Moderate to High, one risk has increased from High to Extreme and two risks have reduced from High to Moderate. The changes are summarised below:

Risk Ref	Change	Comment
4) Portfolio of commercial (profit generating/cost recovery) activities and opportunities fails to produce the return on investment needed to support a sustainable Council.	New (Moderate)	Risk reflects need for continuing focus on income generation to achieve a sustainable Council.
22) Failure to adequately plan for next round of growth following adoption of VALP; including consideration of CaMKOx Corridor and need to meet updated OAN housing targets.	New (Moderate)	Need for continued coordination and communication around the growth agenda. Consideration of impact of final unitary decision.
19) Modernising Local Government: i) fails to achieve an outcome that addresses community needs ii) disruption to service delivery due to resource detracting from day-job and ongoing uncertainty impacting all areas. Potential impact on retention and recruitment.	Increased H → E	"Minded to" decision announced 12 March in support of a single unitary for Bucks; against the 2 unitary proposal preferred by the Districts. Period of uncertainty will have impact across all areas of council; staff morale, recruitment & retention, strategic decision making and deflection of resource to the reorganisation process.
2) Organisational culture does not enable the strategy (Connected Vision, Connected Knowledge & commercial targets). Behaviour framework and Values are not embedded.	Increased M → H	Recognised that staff morale (existing and new) may have deteriorated in recent months and the need for increased communication from Directors on vision and direction of the new organisation. Post behavioural assessments, work is needed to embed desired behaviours into cultural norm.
15) Failure to manage a major partnership or a significant council contractor.	Increased M → H	Significant performance issues with Street Cleaning contractor. Contractor is working on improvement plan and being closely monitored.
1) Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered.	Reduced H → M	Balanced MTFP to 2021/22 approved.
7) Waste Transformation Project fails to deliver commercial, customer, H&S, Environmental objectives.	Reduced H → M	Actions are being implemented in line with programme targets.

There are **22 risks** on the corporate risk register. The residual risk rating is summarised as follows:

Residual Risk Rating			
Low risk 2	Moderate risk 12	High Risk 6	Extreme risk 1
<p>16) Fraud, corruption, malpractice by internal or external threats.</p> <p>17) Equalities is not considered in decisions resulting in Judicial Review and other litigation.</p>	<p>1) Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered.</p> <p>4) Portfolio of commercial (profit generating/cost recovery) activities and opportunities fails to produce the return on investment needed.</p> <p>6) Council owned or partly owned companies (VC, AVE &amp; AVB) fail to achieve the Council's objectives. Inadequate governance arrangements.</p> <p>7) Waste Transformation Project fails to deliver commercial, customer, H&amp;S, Environmental objectives.</p> <p>8) Fail to manage and deliver major capital projects - Waterside North, Pembroke Road.</p> <p>10) Fail to deliver a sound Vale of Aylesbury Local Plan.</p> <p>11) Health &amp; Safety - Non-compliance with Fire and Health and Safety legislation.</p> <p>14) Safeguarding arrangements, internal policies and processes are not adequate to address concerns about /protect vulnerable adults &amp; children.</p> <p>18) Failure to manage and deliver the requirements of the SLA for HS2.</p> <p>20) Failure to effectively engage with members and the community around the Council's vision and strategy.</p> <p>21) Failure to respond to new legislation on Homelessness Duty, enforceable from 1 April 2018. Inability to recruit and train staff in complex new legislation.</p> <p>22) Failure to adequately plan for next round of growth following adoption of VALP; including consideration of CaMKOx Corridor and need to meet updated OAN housing targets.</p>	<p>2) Organisational culture does not enable the strategy.</p> <p>3) Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives.</p> <p>9) Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.</p> <p>12) Fail to plan for a major or large scale incident. Risk to safety of public &amp; staff. Business interruption affecting the Council's resources and its ability to deliver critical services.</p> <p>13) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data</p> <p>15) Failure to manage a major partnership (e.g. LEAP, Enterprise Zones) or a significant council contractor.</p>	<p>19) Modernising Local Government: i) fails to achieve an outcome that addresses community needs ii) disruption to service delivery due to resource detracting from day-job and ongoing uncertainty impacting all areas. Potential impact on retention and recruitment.</p>

**Notes:**

- 5) *Fail to deliver the Commercial Property Investment strategy and achieve planned return on investment* - has not yet been fully assessed and rated.
- *Impact of Brexit* - We continue to assess the potential risks arising following the Brexit decision. At this stage there is too much uncertainty about the specific implications on the strategic objectives and day to day operations of the Council to put anything meaningful on the CRR.

**Risk Matrix**

Impact	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5
Score			Rare	Unlikely	Possible	Likely	Very Likely
			1	2	3	4	5
			Likelihood				

	1-3	Low Risk	Acceptable risk; No further action or additional controls are required; Risk at this level should be monitored and reassessed at appropriate intervals
	4 - 6	Moderate Risk	A risk at this level may be acceptable; If not acceptable, existing controls should be monitored or adjusted; No further action or additional controls are required.
	8 – 12	High Risk	Not normally acceptable; Efforts should be made to reduce the risk, provided this is not disproportionate; Determine the need for improved control measures.
	15 - 25	Extreme Risk	Unacceptable; Immediate action must be taken to manage the risk; A number of control measures may be required.

**Risk Ratings - Impact**

Score	Descriptor	Compliance	Finance	Health and safety	Internal Control	Political	Reputational	Staffing & Culture
1	Negligible	No or minimal impact or breach of guidance/ statutory duty	Small loss risk of claim remote	Minor injury; Cuts, bruises, etc.; Unlikely to result in sick leave	Control is in place with strong evidence to support	Parties work positively together with occasional differences; Members & executive work co-operatively	Rumours; Potential for public concern	Short-term low staffing level that temporarily reduces service quality (<1 day)
2	Minor	Breach of statutory legislation; Reduced performance rating from external/internal inspector	Loss of 0.1-0.25 per cent of budget; Claim less than £20k	Moderate injuries; Likely to result in 1-7 days sick leave	Control in place with tentative evidence	Parties have minor differences of opinion on key policies; Members and executive have minor issues	Local media coverage short term reduction in public confidence; Elements of public expectation not met	Low staffing level that reduces the service quality
3	Moderate	Single breach in statutory duty; Challenging external or internal recommendations or improvement notice	Loss of 0.25-0.5 per cent of budget; Claims between £20k - £150k.	Major injuries; More than 7 days sick leave – notifiable to HSE	Control in place with no evidence to support	Members begin to be ineffective in role; Members and Executive at times do not work positively together	Local media coverage – long term reduction in public confidence	Late delivery of key objective/service due to the lack of staff; Low staff morale; Poor staff attendance for mandatory/key training
4	Major	Enforcement action; Multiple breaches of statutory duty; Improvement notices; Low performance ratings	Uncertain delivery of key objectives/loss of 0.5 – 1.0 percent of budget; Claims between £150k to £1m	Death; Single fatality	Partial control in place with no evidence	Members raise questions to officers over and above that amount tolerable; Strained relationships between Executive and Members	National media coverage with key directorates performing well below reasonable public expectation	Uncertain delivery of key objective/service due to lack of staff; Unsafe staffing level or competence; Loss of key staff; Very low staff morale; No staff attending training
5	Catastrophic	Multiple breaches in statutory duty; Prosecution; Complete system changes required; Zero performance against key priorities and targets	Non delivery of key objective/loss of >1 percent of budget; Failure to meet specification/slippage; Loss of major income contract	Multiple deaths; More than one Fatality	No control in place	Internal issues within parties which prevent collaborative working; Que from members shift resources away from corporate priorities	National media coverage, public confidence eroded; Member intervention/action	Non-delivery of key objective/service due to lack of staff; Ongoing unsafe staffing levels or competence; Loss of several key staff; Staff not attending training on ongoing basis

**Risk Rating – Likelihood**

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Rare	May occur only in exceptional circumstances	Less than 10%
2	Unlikely	Do not expect it to happen/recur but it is possible it may do so	Less than 25%
3	Possible	Might happen or recur occasionally	Less than 50%
4	Likely	Will probably happen/recur but it is not a persisting issue	50% or more
5	Very Likely	Will undoubtedly happen/recur, possibly frequently	75% or more

**Capacity to Manage**

Capacity to Manage	Description
Full	Full – all reasonable steps have been taken to mitigate the risk and are operating effectively. The cost / benefit considerations on implementing additional controls have been considered and no additional actions are proposed.
Substantial	Substantial – there are sound arrangements to manage the risk with some scope for improvement. Arrangements have had a demonstrable impact in reducing either the likelihood or consequence of the risk.
Moderate	Moderate – there are a number of areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
Limited	Limited – there are significant areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
None	None – there are a lack of clear arrangements in mitigation of the risk.

**AVDC Corporate Risk Register**

Last review date: 13 March 2018

Ref	Risk Owner	Delegated Manager	Risk	Potential Consequences	Inherent Risk Rating			Capacity to Manage Risk	Existing Controls	Residual Risk Rating			DoT (up = increasing risk)	Proposed Actions/Comment	Completion Date	Connected Vision
					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating				
1	Andrew Small	Strategic Board	Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered.	Failure to meet statutory obligations and business objectives; Pressure on budgets increase; Inefficient and ineffective use of resources; Poor publicity and reputation damage; Inability to meet the demands of the future and ensure continuous improvement of services.	4	5	20	Moderate	Balanced MTFP to 2021/22 (approved Feb18). Strategic Board monitoring the budget; regular reporting through Cabinet. Quarterly financial digest. Budget managers review cost centre reports.	1	4	4	↓	Developing corporate & sector budget dashboard to facilitate reporting.	Apr-18	Financially Fit
2	Andrew Grant	Strategic Board	Organisational culture does not enable the strategy (Connected Vision, Connected Knowledge & commercial targets). Behaviour framework and Values are not embedded. Lack of clarity on AVDC "Brand" and what a "Commercial Culture" means.	Failure to achieve strategy, lack of staff commitment to implement change, poor morale & performance.	4	3	12	Moderate	Behavioural Framework used for candidate selection. REACH performance development becoming embedded. Employee Relations - Collaboration and healthy challenge with trade union and staff representatives and challenges addressed in partnership. Wellbeing -Outplacement scheme implemented. Coaching programme in place.	3	3	9	→	1.Regular staff comms from Directors to be re-established to engage on corporate vision and direction (first Mar18). 2.People & Culture Strategy in development - due Mar18. 3.Connected Working Strategy development is progressing and reflecting feedback from staff. Workstreams are being identified and then priority will be determined. 4. Consider programme of work on BAU process improvement, with regular comms on actions & progress 5.Procuring new HR system which will address user and reporting issues (go live Oct18). 6. Need to formally build behaviours into the REACH process.	Mar 18 Mar 18 Oct18	Commercially Minded
3	Andrew Grant	Maryvonne Hassall	Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives. Lack of alignment to wider strategic objectives.	Operational - New systems lack robust business processes and controls; poor integration between systems; failure to comply with GDPR and other legislative requirements exposing the Council to potential breaches; Data sharing of personal & sensitive information, cyber risk. Financial - VFM & unbudgeted costs Reputational - damage to reputation and standing as a "Digital Council", relationship with suppliers, disengage community through lack of access to digital services	3	4	12	Moderate	CK Strategic Board set up to ensure alignment and oversight (Sept 17). Funding agreed for 2018/19 Programme governance arrangements, steering group, regular reporting to CAVDC Board	2	4	8	→	Include CK in 2018/19 internal audit work programme		Customer & Innovation
4	Andrew Grant	Strategic Board	Portfolio of commercial (profit generating/cost recovery) activities and opportunities fails to produce the return on investment needed to support a sustainable Council.	Failure to meet statutory obligations and business objectives; Pressure on budgets increase; Inefficient and ineffective use of resources; Poor publicity and reputation damage; Inability to meet the demands of the future and ensure continuous improvement of services.	4	3	12	Moderate	"Commercial Oversight" group established to monitor activity and income. Income and costs included in budget and monitored.	2	3	6	New	SEED business plan for 18/19 and strategy in development. Similar approach to be followed for other commercial activities.	Mar-18	Financially Fit
5	Andrew Small	Teresa Lane	Fail to deliver the Commercial Property Investment strategy and achieve planned return on investment.		4	4	16	Limited	Property Investment Strategy approved by Cabinet Sept 17			TBA	New	Refine the investment strategy in line with the new Govt financial guidance and regulations regarding LA investment in commercial acquisitions. Risk assessment will be updated as the team and processes develop.		Commercially Minded
6	Andrew Small	Andy Barton	Council owned or partly owned companies (VC, AVE & AVB) fail to achieve the Council's objectives. Inadequate governance arrangements over Companies.	Inability to achieve expected distribution from the partnerships and grow AVDC's investments; security of loans. Satisfaction/relationship with existing customers/community deteriorates; Reputational damage to Council and Members if high profile ventures fail; negative impact of "commercial" decisions on Council's wider strategic & community objectives.	4	4	16	Moderate	Information to be included in Qly Digest to reflect all investments & performance. AVDC role of Corporate Commercial Strategy Manager appointed to ensure oversight/coordination of commercial activities. AVE - AVE 18/19 business plan went to Scrutiny & Cabinet Jan18. Robust challenge and stretch targets to deliver. Held Risk Workshop with AVE (Jan17) and developed risk register. Independent legal advice taken on Members' Agreement. Partnership Agreement in place, business plan process in place and plan subject to scrutiny and cabinet approval. AVDC representatives on AVE abreast of issues. On-going monitoring and monthly meetings taking place. Asset Managers have been directly advised of performance concerns. AVB - sale of AVB business completed 30.12.17. VC - Jan18 Cabinet approved Board recommendation to place Company into dormancy and transfer operational activities to AVDC. Activity absorbed into SEED and reported with standard budget processes.	2	3	6	→	AVB - sale of AVB business completed 30.12.17. Internal audit in progress in accordance with Council motion (6.12.17). Full report to Audit Committee in May18 AVE -Internal audit review in 2018/19 during which any lessons learned from AVB review will be considered.	April 18 by Mar 19	Financially Fit
7	Tracey Aldworth	Isabel Edgar Briancon	Waste Transformation Project fails to deliver commercial, customer, H&S, Environmental objectives.	Inability to deliver services to public; death or injury to public or staff; regulatory fines; criminal prosecution or civil litigation; reputational damage; financial cost.	5	4	20	Moderate	Programme of works to March 2019 mapped out. Dedicated programme manager. Monthly Programme Board oversight; quarterly updates to Strategic Board	2	3	6	↓	Operations H&S officer in post. Programme is on target.	Mar-19	Customer & Innovation
8	Andrew Small	Teresa Lane / Isabel Edgar Briancon	Fail to manage and deliver major capital projects on budget and to time - The Exchange & Pembroke Road redevelopment	Costs exceed budget; damage relationships with future/existing tenants; Reputation damage	3	3	9	Substantial	Major Capital Projects Member group – Highlight reports, challenge from legal, finance and risk; Project teams with external contractors in place with established governance processes for Exchange Phase 1 & Pembroke Rd.	2	3	6	→	Review governance arrangements if and when Exchange Phase 2 starts to ensure still adequate	Feb-18	Commercially Minded



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					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating				
9	Strategic Board	Jeff Membro/Teresa Lane/Isabel Edgar Briancon	Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.	Impact on service delivery; Increase in staff stress levels; financial cost of agency staff.	5	3	15	Moderate	Active recruitment ongoing with a range of strategies. Use of contractors to cover permanent vacancies. Contractor costs are monitored.	3	3	9	↓	Currently have 7 technical specialist vacancies that we haven't been able to recruit, 5 of which are Planning. Range of actions being taken: Recruitment, Graduate Fairs, review of reward packages Exit strategies for consultants. Working with County and Districts on opportunities for Planning officer recruitment. P&C involvement in consultancy contract extensions. IR35 review group established to monitor ongoing compliance.	Ongoing April 18	Financially Fit
10	Tracey Aldworth	Will Rysdale	Fail to deliver a sound Vale of Aylesbury Local Plan; Strategic partner objections	Opportunistic planning applications; Loss of local control; Government send in own planning team; Loss of New Homes Bonus.	3	3	9	Moderate	VALP approved by Council 18 October. Project manager in place. Weekly action plans and progress monitoring. Regular engagement and communication with CLG to discuss timeframes. Early engagement of QC. Support from the Planning Officers Society; Advice from Planning Inspectorate; Working with the Bucks Planning Officers Group.	2	3	6	→	VALP submitted. On target subject to inspection	Jul-18	Community Focused
11	Andrew Small	Isabel Edgar Briancon	Health & Safety - Non compliance with Fire and Health and Safety legislation.	Death or injury to public or staff; criminal prosecution or civil litigation; Service stopped; Loss of public trust; Action by Health and Safety Executive or Bucks Fire and rescue, e.g. fine up to £4m, corporate manslaughter charges; Insurance claims/ financial loss	2	4	8	Moderate	Revised H&S policy & strategy approved Sept 17. Fully staffed: Corporate H&S Manager, part-time H&S Advisor, Operations H&S Officer at Pembroke Road. Fire Risk Assessments performed for all property (Apr17) and reviewed (Dec17). Strategic Health and Safety Board monitor risk and performance. H&S Committee meets every 3 mths. Management of contractors procedure in place and training provided. Ongoing training planned throughout 2018.	2	3	6	→	1. Legionella and lone working assessment currently being undertaken 2. Sector Managers to receive IOSH Working Safely accreditation during 2018 to provide competency for carrying out their own risk assessments and risk profiling 3. New M&E service provider selected which will see a more uniformed and monitored approach to pre-planned maintenance and reactive work	Mar 18 Sep 18 Apr 18	Financially Fit
12	Andrew Small	Isabel Edgar Briancon (BC) / Will Rysdale (EP)	Fail to plan for a major or large scale incident (accident, natural hazard, riot or act of terrorism). Risk to safety of public & staff. Business interruption affecting the Council's resources and its ability to deliver critical services. Loss of IT due to failure or cyber attack.	Service delivery disruption and impact on the Council's ability to deliver critical services. Reputational damage to the council. Public safety.	2	4	8	Moderate	Community Safety Manager appointed (Apr17) with responsibility for Emergency Plan and Community Resilience. Manager responsible for BC coordination appointed (Aug17). Public Events Management steering group set up & Duty holders established. Increased use of cloud technology, less paper documents. Resilience workshop with Local Resilience Forum to focus on long term response planning. Thames Valley Local Resilience Plan in place, with AVDC representation at District level.	2	4	8	→	1. BC - workshop planned for key services to review documents on 6th Feb. Then draw together the corporate BCP that links all the services BCP's together. 2. Events safety Management plan being developed. 3. EP & BC Steering Group to be established to ensure coordination. First mtg Mar then every qtr	Mar 18	Community Focused
13	Andrew Small	Andy Barton	Information Governance - Non compliance with legislation, a significant data breach, inappropriate access, corruption or loss of data.	Exposure of confidential information or corruption of data; Prosecution or fine for statutory breach; Loss of public trust	3	4	12	Substantial	Data Governance Officer appointed May17 with responsibility for DP and info governance. IGG monitors specific risks and has its own action plan. Information Management Strategy has been revised in readiness for GDPR. IGG Workshop on GDPR to raise awareness. Mandatory training; Investigations into data breaches. Periodic data sweep. HB Law supporting GDPR.	2	4	8	→	GDPR readiness assessment undertaken (Oct 17) sets out the roadmap for compliance by May2018. Programme of work started Nov17. Information Asset Register, with identified Information Asset Owners - project has started (Jan18) Dual factor sign in roll-out commenced Oct17. Privacy Impact Assessments for all projects. Ensure due diligence for all suppliers who will be accessing/handling AVDC data	May-18	Financially Fit
14	Andrew Grant	Will Rysdale	Safeguarding – arrangements are not adequate to effectively address concerns about vulnerable adults & children who may be at risk of significant harm. Requirements of "Prevent" are not implemented and applied. Internal processes and controls are inadequate to effectively prevent dangerous individuals from gaining access to opportunities where that may place vulnerable adults and children at harm (e.g. Taxi licensing).	Failure to refer concerns to the appropriate agency for investigation; Damage to reputation; Harm to vulnerable adult or child as a result of failure to refer. Reputational damage to the council should perpetrator of terrorism be living or radicalised within the borough. A known sex offender is not prevented from having access to vulnerable adults and children.	2	4	8	Moderate	Use self reporting template/ RAG framework (S11); Meeting with Chair of Bucks safeguarding board – questions asked about current safeguarding arrangement and recommendations made; AVDC Chairs Community Safety Partnership (Prevent). Check applications for taxi licenses with disclosure Scotland. Mandatory training is in place for all staff. Whistleblowing policy in place and Managing volunteers policy in place. Members training on Prevent (WRAP) (Oct17)	2	3	6	→	Internal audit of safeguarding complete and actions identified to improve internal controls and processes (May17). When these actions are implemented risk should reduce. Manager awareness session took place 20 Jun17 Internal AVDC safeguarding board re-established with wider membership across all sectors. Mandatory training being rolled out to all staff, with training sessions to be provided to elected members too.	Mar-18	Community Focused
15	Andrew Small	Isabel Edgar Briancon	Failure to manage a major partnership (e.g. LEAP, Enterprise Zones) or a significant council contractor.	Financial Loss; Damage to Reputation; Impact on service provision; Unable to achieve Commercial AVDC objectives.	4	3	12	Substantial	Proforma high and low value contracts T&Cs developed. Contracts register developed and risk assessment of portfolio completed. Contracts & Procurement Manager & 2 officers in post. Silverstone Park Enterprise Zone Infrastructure funding has business rates retention recovery plans in pace.	4	3	12	↑	Performance issues with Street Cleaning Contract - Escalated with Contractor, Improvement plan due end Feb, legal advice on contract position 1.Roll out of procurement criteria (includes finance, data, risk assessment etc.) 2.Develop contract management procedures - differentiated for key suppliers to ensure risks are managed. 3.Review of contract register/database (update and standardise) and assign contract owners	Mar-18	Financially Fit
16	Andrew Small	Andy Barton	Fraud, financial impropriety or improper business practices. Potential for fraud, corruption, malpractice or error, by internal or external threats.	Immediate financial loss; reputational harm; inquiry costs and penalties.	2	3	6	Substantial	Compliance team focus on CT liability, Housing Benefit, Tax Reduction entitlement, exemptions and discounts. New Fin Regs & Procedures update financial controls. Internal audit reviews and oversight of fraud action plan. Fraud Awareness session provided at Manager Training.	1	3	3	→	Fraud policies to be reviewed. Finance processes training to be reviewed	Jul-18	Financially Fit
17	Andrew Small	Andy Barton	Equalities - Decisions taken by the Council do not consider equalities resulting in Judicial Review and other litigation	Reputational risk to the authority and inability to progress with strategic objectives of the organisation; potential cost to the Council if decisions made against the authority.	2	3	6	Moderate	Equalities steering group. Equality Impact Assessments performed. Annual Equalities report to Cabinet Jan18Post restructure, AVDC profile has been reviewed and is broadly consistent.	1	2	2	→	P&C Manager coordinating and setting out action plan	TBC	Community Focused
18	Tracey Aldworth	Susan Kitchen	Failure to manage and deliver as a qualifying authority the requirements of the SLA for HS2.	Loss of local control, power of qualifying authority status removed or power reverts to HS2	3	3	9	Moderate	Ensuring adequate resources, Working with HS2 and other authorities on changes in managing process.	2	3	6	→	SLA not yet signed but agreed. Challenge in recruiting appropriate planning staff, recruitment in progress.		Community Focused



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19	Andrew Grant		Modernising Local Government: i) fails to achieve an outcome that addresses community needs ii) disruption to service delivery due to resource detraction from day-job and ongoing uncertainty impacting all areas. Potential impact on retention and recruitment.	Adverse impact on service delivery due to deflection of resource to reorganisation; loss of key staff; inability to attract staff during time of uncertainty; uncertainty over future direction impacts all areas of activity.	5	4	20	Moderate	Minded to decision announced 12 Mar in support of a single unitary for Bucks. Ongoing comms to update members and staff. Prep work done to enable timely response to decision.	5	4	20	↑	Minded to decision announced 12Mar in support of a single unitary for Bucks. Special Council meeting 21 Mar, action plan reviewed and updated, Mgr briefings and staff comms commenced, message sent to recruitment applicants		Community Focused
20	Andrew Grant		Failure to effectively engage with members and the community around the Council's overall vision and strategy.	Poor decision making/decisions based on inadequate information; reputational risk; plans do not address needs.	4	3	12	Moderate	Comms strategy, community survey	2	3	6	→	Project starting around Member engagement (Nov17). "Connected Vision" will be live from 1 Apr. Communications strategy in development.	Apr-18	Community Focused
21	Tracey Aldworth	Jeff Membery	Failure to respond to new legislation on Homelessness Duty, enforceable from 1 April 2018. Inability to recruit and train staff in complex new legislation.	Legal challenge / breach; Reputational and political risk; Financial cost; inefficient use of resources.	5	3	15	Moderate	Budget ring-fenced for first 2 yrs. Staff recruitment programme ongoing with P&C support.	3	2	6	→	Recruitment ongoing. Then need for training for existing and new staff in revised duties NB - Universal Credit comes in Sept 2018	Mar-18	Community Focused
22	Tracey Aldworth		Failure to adequately plan for next round of growth following adoption of VALP; including consideration of CaMKOx Corridor and need to meet updated OAN housing targets.	Expose district to "planning by appeal"; developer challenge	2	3	6	Moderate		2	3	6	New	Ongoing need or coordination. Consider impact of final unitary decision on growth strategy.		Community Focused