

## **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 risk register was last reviewed by Audit Committee on 25 March 2019 and by Cabinet on 16 June. The Corporate Risk Register was fully updated in January 2019 to reflect the impact of the Secretary of State’s decision to implement a single unitary authority for Buckinghamshire. The table below shows the changing risk profile over time.

	Total	Low	Moderate	High	Extreme	Not yet assessed
<b>July 2019</b>	<b>23</b>	<b>4</b>	<b>8</b>	<b>8</b>	<b>3</b>	-
May 2019	23	4	8	9	2	-
March 2019	23	3	8	7	4	1
January 2019	23	3	8	7	4	1
October 2018	26	2	13	7	1	3
June 2018	25	2	12	9	1	1
March 2018	22	2	12	6	1	1

There are **23 risks** on the corporate risk register. The residual risk rating is summarised as follows:

Low risk (4)	Moderate risk (8)	High Risk (8)	Extreme risk (3)
<p>1) Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered</p> <p>10) Fail to manage and deliver major capital projects on budget and to time - The Exchange</p> <p>22) Fraud, corruption, malpractice by internal or external threats.</p> <p>23) Equalities is not considered in decisions resulting in Judicial Review and other litigation.</p>	<p>4) Staff morale, mental, physical wellbeing deteriorates, increased demand on HR resource to support staff</p> <p>12) Aylesbury Vale Estates (AVE) does not deliver capital receipts and objectives of business plan.</p> <p>13) Fail to deliver a sound Vale of Aylesbury Local Plan before the transition to new unitary council.</p> <p>17) Health &amp; Safety - Non-compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property and/or events.</p> <p>18) Fail to plan for a major or large scale incident. Risk to safety of public &amp; staff.</p> <p>19) Business interruption affecting the Council's resources and its ability to deliver critical services.</p> <p>20) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data</p> <p>21) Safeguarding arrangements, internal policies and processes are not adequate to address concerns about /protect vulnerable adults &amp; children.</p>	<p>5) Lack of clarity and/or political engagement with partners hinders ability to engage in &amp; influence next round of growth including consideration of CaMKOx Corridor, HS2, housing need targets. A Bucks wide plan could result in even more housing in the Vale geography.</p> <p>7) In-housing of Street and Horticulture service (Streetscene) is not completed by the end of the current contracts (January 2020), and in line with AVDC Council decision.</p> <p>8) Depot Transformation Programme fails to deliver commercial, customer, H&amp;S, Environmental objectives</p> <p>9) Pembroke Road Redevelopment programme is not delivered to time or budget - EA Fire Prevention Plan required resulting in possible extra capital cost up to £1m - risk assessing options to understand impact and time delay</p> <p>11) Decline in retail sector reduces ongoing viability of AVDCs Town Centre assets and limits success of regeneration programme</p> <p>14) Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell.</p> <p>15) Impact of BREXIT - financial (eg fuel costs), procurement, employment, regulatory, environmental, major projects//partnering arrangements</p> <p>16) Deterioration of quality of planning service delivery, decisions and timeliness of response to applications in the face of increasing growth demand; compounded by vacancies in the planning team, reliance on consultants and the national reduction in applicants; challenge locally due to job market and growth, unitary uncertainty</p>	<p>2) Loss of AVDC leadership and vision as the unitary programme progresses</p> <p>3) Loss of key staff (external or to Unitary programme) &amp; inability to recruit high performing individuals</p> <p>6) Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives within AVDC lifetime. Lack of alignment to wider strategic / unitary authority objectives. New and existing systems/processes are not fully integrated.</p>

### **Staff capacity**

The highest risk currently facing AVDC (represented on the CRR by risks 2,3,4) is the lack of staff capacity to maintain services and deliver priority projects. There is increasing recognition that there is no longer “business as usual”; we need to operate under a new model as we transition away from AVDC and towards the new Buckinghamshire Council.

We are currently operating in an environment of ambiguity over the shape and structure of the new Council. The likelihood of restructuring and potential job changes / losses leads to a threat to perceived job security in a high employment geography. In an environment where the organisation has been run on a lean basis, protecting public funds, the significant additional responsibilities of preparing for the new Buckinghamshire Council both in terms of direct involvement and backfilling has led to concerns over flight risk, the loss of discretionary effort and disengagement. The strain on the organisation and stress on individuals this engenders may manifest itself in increased sickness absence. This should also be viewed in the context of increasing challenges to hire into roles where there is so much uncertainty,

### **Support to Unitary Implementation**

We have already “lost” 5 full time staff members to the Unitary Implementation team and are aware of others who may be considering moves. This is a credit to the calibre of AVDC staff who have been successful in being recruited to these roles, and we should encourage our staff to take opportunities for development whenever they can; but this leaves a gap that can not easily be filled in most cases.

We are also experiencing significant demands on “Experts” to resource unitary work streams, in some cases, AVDC senior managers are providing 50% or more of their time to support unitary work. Across every area of operation the pressure is increasingly being felt, across front line services, and “back office”; Finance, HR, IT and Communications in particular, are heavily involved. Most of our Senior Managers and all of our Assistant Directors and Directors are spending considerable time, every week, engaging in Unitary activities.

The scope and scale of resource involvement is likely to increase over time. We have very little control over the demands of Unitary and the “pull” on our resources to support the various workstreams. None of our services are built or staffed to deliver this type of impact and also continue to manage services in a continuing entity context.

### **Staff retention and recruitment**

We are also losing key staff to outside organisations and there have been a number of recent management resignations. Staff may see that a more secure future lies outside the Buckinghamshire Council, and having recently gone through a major organisational transformation programme at AVDC, the thought of another, and the uncertainty in the meantime, may be a “push” factor.

We already have a number of hard to fill posts (Development Management for example), when the instability associated with the unitary transition is overlaid, recruitment is likely to be increasingly challenging, if not impossible.

Andrew Grant (Chief Executive) and Tracey Aldworth (Director) have already confirmed their plans to leave AVDC. Now that the process for recruitment to Tiers 2 and 3 is out for consultation, we may expect a second wave of leadership exits. There is an increasing risk that our existing leadership structures will no longer be sufficient to operate as they have done previously, and be able to provide the same levels of support to in-flight projects, new initiatives and day-to-day management.

## **Managing the risk**

It is essential that critical services are maintained, priorities delivered, and that AVDC transitions to the new Council in an orderly fashion. The risk of losing key staff on our ability to achieve this is greater in some areas than others at the current time, but is likely to increase everywhere as we approach April 2020.

A range of options are being applied to address the staff capacity issues on a case by case basis. Certain roles have been initially identified as 'key' either due to the nature of the service or the circumstances surrounding them. The loss of these individuals is being continually reviewed and a range of mitigations put in place, including succession planning, cross council working and retention packages.

We have also assessed the risk for each of our core activities (services/activities/programmes) and produced a "Transition Risk Register"; this highlights priority areas and actions. A process is now in place to prioritise work and resource allocation accordingly over the transition period. This is being reviewed regularly and there is ongoing consideration and decision about of priorities and scope of work. Cabinet members have been briefed on this process and will continue to engage as risks and priorities are reviewed and further actions required.

Additional support has also been identified to provide stability and consistency to the leadership team and take forward actions. Karen Jones is returning to AVDC (from the Unitary PMO) to provide leadership at a Director level. We have also engaged a consultant to provide programme management support for the transition of AVDC to the new Unitary Council and help establish a framework for decision making and a prioritisation process for the evaluation of current services and for proposed new projects and programmes. This will be overseen by Kate Mulhearn who, in addition to her existing responsibilities as Corporate Governance Manager, will provide oversight of the programme to ensure the "safe and legal", orderly transition of AVDC, reporting to the Directors.

This is not just an AVDC challenge. It is also worth recognising that as the Unitary Programme moves forward, there will be an increase in demands on all of the organisations and their resources to effectively gear up for the new Council, whilst at the same time managing the existing 5 Councils.

## **Risks associated with "No-deal Brexit"**

In line with advice from MHCLG, we have for some time been monitoring the potential risks associated with Brexit. Risk #15 on the CRR reflects the overall level of risk to AVDC. In recent months, we have focused on risks associated with a "no deal Brexit". The risks are regularly updated as more information is released from Central Government. In March 2019 Audit Committee received a report summarising the identified key risks that AVDC may face should the UK exit the EU without a deal. This provided a level of assurance to the Audit Committee that, as far as possible, appropriate planning and/or contingencies are in place should the UK exit the EU without a deal.

## Risk Scoring Methodology

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	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	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	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	Unacceptable; Immediate action must be taken to manage the risk; A number of control measures may be required.

### 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	Description
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	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	There are a number of areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
Limited	There are significant areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
None	There is a lack of clear arrangements in mitigation of the risk.

### Risk Rating - 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; 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	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;	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 £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 £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	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

**AVDC Corporate Risk Register**

Last review date: 3 July 2019

Ref	Risk Owner	Delegated Manager	Risk	Potential Consequences	Inherent Risk Rating			Capacity to Manage Risk	Existing Controls & Mitigation	Residual Risk Rating			DoT (up = increasing risk)	Proposed Actions/Comment	Completion Date
					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	Substantial	Longer term view, still maintain 4 years balanced budget, but working towards March 2020. Strategic Board monitoring the budget; regular reporting through Cabinet. Quarterly financial digest. Budget managers review cost centre reports.	1	3	3		Draft 19/20 budget and MTFP to 2023 to Cabinet in December, scrutiny in January and Full Council in Feb 2019. Balanced budget for the timeframe of AVDC.	
2	Tracey Aldworth	Strategic Board	Loss of AVDC leadership and vision as unitary programme progresses.	Uncertainty over future direction impacts all areas of activity; Impact felt through organisation, lack of vision/purpose, knock on effect to other staff, loss of discretionary effort, AVDC reputation for innovation and forward thinking is diminished.	5	5	25	Limited	Staff communication, smooth handover, additional support to leadership team; Ongoing monitoring of KPIs and metrics established to support AVDC updated "vision"	5	4	20		Internal & Member comms plan - strong message from leadership team. Additional support to Leadership Team in place. Risk may further increase following clarity on Snr Leadership Consultation for Tiers 2,3.	
3	Andrew Small	Strategic Board	Loss of key staff (external or to Unitary programme) & inability to recruit high performing individuals.	Core service - deterioration in delivery due to loss of key staff & inability to recruit or retain high performing staff Projects (capital, improvement, transformation) are delayed/cancelled; Financial cost of agency staff.	5	5	25	Moderate	Unitary HR protocols in place - recruitment aligned across all 5 councils. Behavioural Framework used for candidate selection and case studies refreshed. REACH relaunched, building behaviours more formally into the REACH process. Employee Relations - Collaboration and healthy challenge with trade union and staff representatives and challenges addressed in partnership. New E'ee reps added to current group Wellbeing -Outplacement scheme implemented. Coaching programme in place. Recruitment ongoing with a range of strategies - new roles updated to reflect Unitary decision. Use of contractors to cover permanent vacancies. Contractor (Agency) costs are monitored monthly.	5	4	20		Impacts across all areas of AVDC. Ongoing risk analysis and clear process for assessing priorities - continue/stop/delay. Member engagement in priorities and risks. Range of HR strategies considered to secure and recruit staff Tracking staff involvement in unitary and impact on "day job" Ongoing focus on staff development. £95k cap review ~ approx 90 staff over 55yrs, 60% current employees <2yrs.	
4	Andrew Small	Strategic Board	Staff morale, mental, physical wellbeing deteriorates, increased demand on HR resource to support staff	increased sickness, Increase in staff stress levels; impact on service delivery	4	3	12	Moderate	Staff development opportunities, promote flexible working, REACH	2	3	6	New	Continued focus on Staff Comms to maintain focus and discretionary effort. Increase in training spend Continued focus on Wellbeing and Mental Health including external providers for support. Consider potential for additional recognition opportunities, particularly for those staff taking on additional responsibilities to back-fill.	
5	Tracey Aldworth	Will Rysdale	Lack of clarity and/or political engagement with partners hinders ability to engage in & influence next round of growth including consideration of CaMKOx Corridor, HS2, housing need targets. A Bucks wide plan could result in even more housing in the Vale geography.	Lack of engagement in planning issues impacting the Vale geography; expose district to "planning by appeal"; developer challenge; Government sanctions; lack of ability to secure strategic infrastructure; additional housing growth absorbed by Aylesbury Vale.	4	4	16	Moderate	AVDC and other Bucks DCs are part of Central Area Growth Board . Close working with other neighbouring LA's.	3	4	12		AVDC is part of Econ & Regen Unitary workstream looking at how to tackle Bucks wide growth after 1 April 2020 - incl. CaMKOx, HS2 and response to consultation. Need focus on delivering local plans as a priority (refer risk #13) - Unitary HG&E Board to table policy paper (July19) for recommended approach. Clarity on comms with external partners and key stakeholders. Visibility of AVDC and "seat at the table" important to maintain.	
6	Andrew Small	Maryvonne Hassall	Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives within AVDC lifetime. Lack of alignment to wider strategic / unitary authority objectives. New and existing systems/processes are not fully integrated.	Unitary - AVDC achievements and plans for digitisation of services is not pursued. 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. Staff - capacity issues to implement changes whilst still delivering "day job" - flight risk of key people.	4	4	16	Moderate	CK Programme Board combined with wider Project Board (May19) to ensure prioritisation of all projects considering capacity and unitary. Funding agreed for 2019/20 Programme governance arrangements, steering group, regular reporting to CAVDC Board	4	4	16		Currently half way through Phase 2 of programme. Project prioritisation, across all projects, inc CK, review commenced June2019, and there are a number of projects which were not yet started which will not be delivered. The scope and scale of others is being reviewed inline with resources capacity and alignment to Unitary. A process is in place to agree with Members any changes to the previously agreed CK programme. Overriding goal is to deliver robust systems that can fully showcase the benefits of AVDC digital strategy and the efficiencies this can bring to the new Council. AVDC Digital programme lead is engaged with Unitary Workstream.	
7	Tracey Aldworth	Will Rysdale	Inhousing of Street and Horticulture service (Streetscene) is not completed by the end of the current contracts (January 2020), and in line with AVDC Council decision.	Failure to deliver services, financial costs, damage to AVDC reputation.	3	3	9	Substantial	Full Council approval, Project Manager, Operations Board for oversight & governance, budget approved, Project plan developed and work has commenced.	3	3	9		Need to ensure continued focus and relevant priority given to project given tight timescale and potential for delays. Need to consider implication of Unitary Waste Service review.	Jan-20
8	Tracey Aldworth	Will Rysdale	Waste & Operations Transformation Programme 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.	3	5	15	Moderate	Programme of works to March 2019 mapped out. Dedicated programme manager. Monthly Programme Board oversight; quarterly updates to Strategic Board	3	3	9		Governance processes being strengthened between Operations and Capital Projects to ensure alignment. Process in place to move to Competent Authority status to remove need for reliance on key individuals to ensure compliance with operating licence requirements. Also staff capacity review and wider training programme in progress. Original business plan for ATF lane to be reviewed as no more licences are being granted. Staff capacity may impact scope of programme.	Jul-19

Ref	Risk Owner	Delegated Manager	Risk	Potential Consequences	Inherent Risk Rating			Capacity to Manage Risk	Existing Controls & Mitigation	Residual Risk Rating			DoT (up = increasing risk)	Proposed Actions/Comment	Completion Date
					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating			
9	Andrew Small	Teresa Lane /Will Rysdale	Pembroke Road Redevelopment programme is not delivered to time or budget - EA Fire Prevention Plan required resulting in possible extra capital cost up to £1m - risk assessing options to understand impact and time delay	Delay to the scheme, and potential to fail to deliver part/all of scheme. This would allow us to maintain our current service provision but could cause a reduction of service linked to the level of growth in the district. Costs exceed budget; inability to expand services and generate commercial income (e.g. HGV MOTs); damage relationships with future/existing tenants; Reputation damage	3	5	15	Substantial	External specialist consultant and programme manager recruited to help assess appropriate mitigation measures. Working with the Env Agency to understand their requirements and re-designing scheme where appropriate. Major Capital Projects Member group – Highlight reports, challenge from legal, finance and risk; Project teams with external contractors in place with established governance processes.	3	3	9		Governance processes being strengthened between Operations and Capital Projects to ensure alignment. Paper presented to cabinet 1 July 19 to update and confirm priority in light of Unitary decision. Risk assessment of options complete and now consulting with EA on proposals - waiting on consultant feedback. Options presented on ways to manage costs within original budget envelope - waiting on further detail to confirm asap. Delays to workshop (2020) due to discharge of 2 reserve planning matters (archaeological & contamination) with requirements for additional surveys.	Jul-19
10	Andrew Small	Teresa Lane	Fail to manage and deliver major capital projects on budget and to time - The Exchange	Costs exceed budget; damage relationships with future/existing tenants; Reputation damage; impact on wider Town Centre Regeneration programme and ability to enhance existing assets.	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.	1	3	3		Exchange opened 8 March. 3/4 of the F&B units have been let with interest in fourth. More positive outcomes of recent negotiations with potential tenants. Commercial units let on Long Lional. Financial impact (2019/20) being monitored through budget pressures	
11	Andrew Small	Teresa Lane	Decline in retail sector reduces ongoing viability of AVDCs Town Centre assets and limits success of regeneration programme	Decline in town centre investment, vacant property, reduced return on investment, increasing unemployment, reduction in business rates income.	4	4	16	Moderate	Aylesbury Town Centre plan and regeneration programme; joint Officer Steering Group (AVDC, BCC, ATC) monitors progress against action plan and receives new ideas/challenges. AGT Board and Project Team is overseeing & reviewing the masterplan for the Garden Town which includes the town centre.	3	3	9		Need to consider future Regeneration plans in line with staff capacity and prioritise activities during AVDC transition year. AVDC investment in The Exchange will deliver new public space, restaurants, businesses, helping to change the town centre offering. AGT status is enabling bids for funding to support the town centre. Bids for the new £675m High Street fund are currently being considered. AVDC&BCC mtg to discuss future strategy for Ayl Town Centre.	
12	Andrew Small	Teresa Lane	Aylesbury Vale Estates (AVE) does not deliver capital receipts and objectives of business plan.	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	Internal audit review of AVE governance arrangements (Jan19). 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.	2	2	4		Private sector uncertainty. Unclear about working with new authority.	
13	Tracey Aldworth	Will Rysdale	Fail to deliver a sound Vale of Aylesbury Local Plan before the transition to new unitary council.	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		Examination held. Draft modifications and updated sustainability appraisal to the Inspector by the end of June. Modifications will be published for comment for at least six weeks towards the end of summer. Inspector is likely to consider the representations in the autumn, following which he will issue his final, binding, report (refer also risk #5).	Oct-19
14	Andrew Grant	Will Rysdale	Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell.	Death or injury to public; loss of public trust; damage to reputation	2	5	10	Substantial	Liaising with MHCLG, working with leaseholder and housing association	2	4	8		Friars House in Aylesbury is over 18 meters tall and is fitted with ACM cladding. We are working closely with Moreland Estate Management, the Vale of Aylesbury Housing Trust (VAHT), Bucks Fire and Rescue and MHCLG to ensure the safety of residents. New government guidance and powers issued January 2019 and in May Government announced £200m fund to remove cladding from private blocks. AVDC to take next steps accordingly.	TBA
15	Andrew Small	Andy Barton	Impact of BREXIT - financial (eg fuel costs), procurement, employment, regulatory, environmental, major projects/partnering arrangements	Impacts all areas of Council activities	4	4	16	Substantial	Detail risk register and action plan, working group monitoring	3	3	9		Brexit risk register updated to reflect possibility of "no-deal". Continue to monitor.	Ongoing
16	Tracey Aldworth	Jeff Membery	Deterioration of quality of planning service delivery, decisions and timeliness of response to applications in the face of increasing growth demand; compounded by vacancies in the planning team, reliance on consultants and the national reduction in applicants; challenge locally due to job market and growth, unitary uncertainty	Damage to reputation, customer complaints/appeals, delayed applications, status as Planning Authority.	4	4	16	Moderate	Planning Advisory Authority workshop, Planning performance report to Audit Committee October 18; customer journey analysis, member case load, planning updates & communications etc, range of recruitment strategies	3	4	12		Planning improvement is a priority as part of Transition year. Performance Improvement Plan presented to Cabinet June 19, including Proactive Customer Contact, Planning Advisory Authority invited to undertake review. Still vacant post and challenges to recruit. Resignation of Group Manager (June 19), responsibilities redistributed among management team. Jul19 - Reviewing risk/benefits of new system implementation vs retaining inferior legacy systems in light of resource capacity, system implementation challenges and unitary context.	



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17	Andrew Small	Andy Barton	Health & Safety - Non compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property and/or events.	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. 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 months. Management of contractors procedure in place and training provided. Ongoing training planned throughout 2018. New M&E service provider selected (Apr18) which will see a more uniformed and monitored approach to pre-planned maintenance and reactive work. New lone working devices and 3 year contract purchased.	2	3	6		Resource/capacity challenges - recruitment of full time H&S manager in May 19 and Operations H&S Manager appointed Jul19. Interviewing for H&S Advisor. When team is in place progress can be made on delivering the workplan. 1. Management of asbestos & legionella currently being reviewed in line with new M&S service contract. Statutory programme to be followed - ongoing. 2. Sector risk assessments and risk profiling in progress 3. Action plan developed following assessment visit in April from Counter Terrorism Prevention Advisor (CTPA) about the new CSC, safety of staff and general security of the building.	Aug-19
18	Andrew Small	Will Rysdale	Fail to plan for a major or large scale incident (accident, natural hazard, riot or act of terrorism). Risk to safety of public & staff	Public safety. Service delivery disruption and impact on the Council's ability to deliver critical services. Reputational damage to the council.	2	4	8	Moderate	Community Safety Manager appointed (Apr17) with responsibility for Emergency Plan and Community Resilience. Table top exercise run Dec2018. Public Events Management steering group set up & Duty holders established. Security contract in place and Silver command. Crowd Safety Management consultancy review. Resilience workshop with Local Resilience Forum to focus on long term response planning. Thames Valley Local Resilience Plan in place,	2	3	6		Events Safety Management Frame work agreed to ensure consistent approach and accountability. Crowd Safety consultancy has advised on Safety Plans prior to WhizzFiz. Future events will build on this.	
19	Andrew Small	Andy Barton	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.	2	4	8	Moderate	EP & BC Steering Group established to ensure coordination. Increased use of cloud technology, less paper documents.	2	3	6		All the BCPs being reviewed and updated to ensure fit for purpose. Work is aligning with Unitary workstreams.	Sep-19
20	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 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. Mandatory training; Investigations into data breaches. Periodic data sweep. HB Law supporting. Information Asset Registers, identified Information Asset Owners, retention schedules in place. Privacy Impact Assessments for all projects. Dual factor sign in.	2	3	6		GDPR programme targets achieved for compliance by May2018. Post GDPR programme to complete remaining tasks. No further work will be done on Policy Review as this all now falls under Unitary workstreams.	
21	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	Internal AVDC safeguarding board with membership across all sectors. Mandatory training rolled out to all staff. 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. Whistleblowing policy in place and Managing volunteers policy in place. Members training on Prevent (WRAP) (Oct17). Internal audit (May17). Member training on Safeguarding 2018. 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.	2	3	6		Training needs assessment for different is complete. Training for level 2,3,4, being developed. New starter mandatory induction eLearning rolled out and ongoing monitoring of completion.	Jul-19
22	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	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 risk assessment to be undertaken as part of 2019/20 internal audit plan	Dec-19
23	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			

**Corporate compliance/safety risks:**