

CORPORATE RISK REGISTER – JUNE 2018
Councillor Mordue
Cabinet Member for Resources, Governance and Compliance

1 Purpose

- 1.1 To report to Cabinet on the updated Corporate Risk Register.

2 Recommendations/for decision

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| 2.1 To consider and note the Corporate Risk Register and identify any issues for further consideration. |
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3 Corporate Risk Register – Supporting information

- 3.1 The Corporate Risk Register provides evidence of a risk aware and risk managed organisation, and records and considers the significant risks it is believed exist that might hinder, or indeed prevent, the Council from delivering its statutory duties or core objectives.
- 3.2 The Register 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 Audit Committee has a role to monitor the effectiveness of risk management and internal control across the Council and as part of discharging this role it regularly reviews the Corporate Risk Register. The Audit Committee last considered the CRR on 26 June 2018 and comments made at that meeting have mentioned at the start of the CRR Update.
- 3.4 The risk register is reviewed regularly by Strategic Board and reported to the Audit Committee. Additionally, it is now reported twice yearly to Cabinet for review to help inform the budget setting and monitoring process.

4 Reasons for Recommendation

- 4.1 To allow members of the Cabinet 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 June 2018.

The CRR is regularly reported to the Audit Committee and the version attached to this report was reviewed by them on 26 June 2018. Audit Committee requested that Strategic Board add a risk relating the quality of planning service delivery, decisions and timeliness of response to applications; reflecting that this is compounded by vacancies in the planning team (although reducing), reliance on consultants and the rate of growth within the Vale.

Risk Ref	Change	Comment
22) Failure to provide Universal Credit applicants with the support needed to successfully claim; could result in increased rent arrears locally and subsequent pressure on homelessness services	New M	Changes relating to Universal Credit will come into effect from September 2018.
24) Fail to work with stakeholders to ensure safety of residential buildings following Grenfell. Lessons learned from Grenfell are not implemented.	New M	New risk relating to one building in the Vale.
8) Fail to manage and deliver major capital projects on budget and to time -Pembroke Road redevelopment	New H	Specific risk relating to Pembroke Road redevelopment.
9) Fail to manage and deliver major capital projects on budget and to time - The Exchange	New H	Specific risk relating to The Exchange development.
25) Implementation of new HR & Payroll system may not go live with 100% accuracy	New H	Risk reflects AVDCs own payroll and also that provided as a contracted service to others.
10) Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.	Reduced H → M	The number of vacant technical specialist positions has reduced.
15) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data	Reduced H→ M	Changes to comply with GDPR have been implemented on time.
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.	Increased M→ H	
Failure to manage and deliver the requirements of the SLA for HS2.	Removed	Team is in place to manage.
Failure to respond to new legislation on Homelessness Duty, enforceable from 1 April 2018. Inability to recruit and train staff in complex new legislation.	Removed	Staff have been recruited and trained. Compliance with legalisation monitored through operational processes
Fail to manage and deliver major capital projects - Waterside North, Pembroke Road.	Removed	Replaced with specific risks #8 & #9

There are **25 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 9	Extreme risk 1
<p>18) Fraud, corruption, malpractice by internal or external threats.</p> <p>19) 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 (AVE & AVB) fail to achieve the Council's objectives. Inadequate governance arrangements.</p> <p>7) Waste Transformation Project fails to deliver commercial, customer, H&S, Environmental objectives.</p> <p>10) Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.</p> <p>11) Fail to deliver a sound Vale of Aylesbury Local Plan.</p> <p>12) Health & Safety - Non-compliance with Fire and Health and Safety legislation.</p> <p>15) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data</p> <p>16) Safeguarding arrangements, internal policies and processes are not adequate to address concerns about /protect vulnerable adults & children.</p> <p>21) Failure to effectively engage with members and the community around the Council's vision and strategy.</p> <p>22) Failure to provide Universal Credit applicants with the support needed to successfully claim; could result in increased rent arrears locally and subsequent pressure on homelessness services</p> <p>24) Fail to work with stakeholders to ensure safety of residential buildings following Grenfell. Lessons learned from Grenfell are not implemented.</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>8) Fail to manage and deliver major capital projects on budget and to time -Pembroke Road redevelopment</p> <p>9) Fail to manage and deliver major capital projects on budget and to time - The Exchange</p> <p>13) Fail to plan for a major or large scale incident. Risk to safety of public & staff.</p> <p>14) Business interruption affecting the Council's resources and its ability to deliver critical services.</p> <p>17) Failure to manage a major partnership (e.g. LEAP, Enterprise Zones) or a significant council contractor.</p> <p>23) Failure to adequately plan in an appropriate timeframe for the next round of growth following adoption of VALP; including consideration of CaMKOx Corridor and need to meet updated Objectively Assessed Need housing targets included in the National Planning Policy Framework.</p> <p>25) Implementation of new HR & Payroll system may not go live with 100% accuracy</p>	<p>20) Modernising Local Government decision: Disruption to service delivery due to resource detraction from day-job and ongoing uncertainty impacting all areas incl. retention and recruitment, procurement, working relationships across all stakeholders.</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 June 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.	Jul-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.	3	3	9	Moderate	Behavioural Framework used for candidate selection and case studies being refreshed and new "cloud" introduced REACH performance development becoming embedded and REACH toolkit produced. This includes 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. Connected Working programme linked with other projects to support CK and IT Strategy. Regular staff comms from Directors to engage on corporate vision and direction.	3	3	9		1.People & Culture Strategy developed and due to be communicated as part of wider corporate communication in June. 2.Connected Working Strategy development is progressing with project briefs completed. 3.Procuring new HR system which will address user and reporting issues (go live Oct18) (see risk below) 4. Focus on behaviours in training and induction planned Note - ongoing uncertainty over Unitary decision impact on staff - risk is reflected under specific MLG risk #21	July 18 July 18 Oct 18 Sept 8	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. New and existing systems/processes are not fully integrated.	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"	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. SEED strategy and business plan in place. KPIs to measure and track performance.	2	3	6				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. Delivery of strategy deferred to take account of consultation and subsequent revised Prudential Code. Meeting held with Montague Evans to review strategy in light of the new Code and strengthen governance arrangements. Proposed that most roles and tasks relating to delivery will be outsourced for at least the first year.			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	Teresa Lane	Council owned or partly owned companies (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.	2	3	6		AVB - sale of AVB business completed 30.12.17. Audit Committee approved independent review report and recommendations in May18. Recommendations to be reflected in "Guide to working with companies" document. AVE -Internal audit review in 2018/19 during which any lessons learned from AVB review will be considered.	Jul 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.	3	4	12	Moderate	Programme of works to March 2019 mapped out. Dedicated programme manager. Operations H&S officer in post. Monthly Programme Board oversight; quarterly updates to Strategic Board	2	3	6		Majority of programme will be completed Nov 18. Continue to monitor progress on CRR until then. Currently on target.	Nov-18	Customer & Innovation
8	Andrew Small	Teresa Lane / Isabel Edgar Briancon	Fail to manage and deliver major capital projects on budget and to time - Pembroke Road redevelopment	Costs exceed budget; inability to expand services and generate commercial income (e.g. HGV MOTs); damage relationships with future/existing tenants; Reputation damage	3	4	12	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.	2	4	8	New	Working to ensure all planning objections are overcome to obtain planning permission. Continuing to progress informally with contactors to mitigate impact of delays		Commercially Minded
9	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.	3	3	9	New	Public realm work delayed approx. 2 months - expected completion end Nov18 - uncertainties for prospective tenants and pre-Christmas marketing. Softening of F&B market - challenges in letting vacant units. More flexible terms and targeting of operators with small but expanding portfolios. Financial impact (2019/20) being monitored through budget pressures		Commercially Minded

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					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating				
10	Strategic Board	Jeff Membro/Te resa 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: Graduate Fairs, review of reward packages etc. Working with County and Districts on opportunities for Planning officer recruitment. Use of contractors to cover permanent vacancies. Contractor (Agency) costs are monitored monthly.	2	3	6	↓	Currently have 6 technical specialist vacancies that we haven't been able to recruit (1xIT, 1xBC, 3xPL, 1xPrpty) - recently recruited 1x Principle Planning Officer, and 1 x Building control. IR35 review group established to monitor ongoing compliance.	Ongoing Aug 18	Financially Fit
11	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
12	Andrew Small	Isabel Edgar Briancon	Health & Safety - Non compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property.	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. New M&E service provider selected (Apr18) which will see a more uniformed and monitored approach to pre-planned maintenance and reactive work	2	3	6	↑	1. New lone working devices and 3 year contract purchased. Roll out to be completed end July 2018. Management of legionella currently being reviewed in line with new M&S service contract. Statutory programme to be followed - ongoing. 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. Ongoing work following assessment visit in April from Counter Terrorism Prevention Advisor (CTPA) about the new CSC, safety of staff and general security of the building. Report is expected and then full review risk assessments, policy and procedures.	Jul 18 Dec 18 TBA	Financially Fit
13	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. Public Events Management steering group set up & Duty holders established. EP & BC Steering Group established to ensure coordination. 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	→	Events Safety Management Framework agreed. Will be rolled out for Whizzfizz as a case study then updated to reflect any learnings before finalising.	Jul 18	Community Focused
14	Andrew Small	Isabel Edgar Briancon	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	4	8	→	New manager appointed (May18) to carry forward all the BCPs prepared and ensure fit for purpose. Meeting of the EP and BCP board demonstrated a need for closer integration of the plans. A schedule of verifying and prioritising plans over the next 3 months. Desktop exercise will be run to test strength of plan.	Aug 18 Oct 18	Community Focused
15	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	2	3	6	↓	GDPR programme targets achieved for compliance by May2018. Post GDPR programme to complete remaining tasks, including full policy review and breach procedures. Dual factor sign in roll-out in progress, almost finished. Programme for Member email usage compliance in progress.	Dec 18 Sep 18	Financially Fit
16	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).	2	3	6	→	-Training sessions to be provided to elected members. -Training needs assessment for different roles to be completed -New starter mandatory induction training - IT solution to monitor & enforce completion	Jul 18 TBA	Community Focused
17	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.	3	3	9	↓	1. Performance issues with Street Cleaning Contract - Improvement plan is in place for Contractor. New Manager appointed by SUEZ to oversee rest of the contract. Improvements to H&S already being seen. 2. Sign off of the approach to procurement and purchasing criteria. Training being roll out for managers, and a how to guide on connect. New set of KPI's being reported Quarterly to monitor contracts and procurement across AVDC.	Sep-18	Financially Fit
18	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 polices to be reviewed. Finance processes training to be reviewed	Jul-18	Financially Fit
19	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

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					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating				
20	Andrew Grant	Tracey Aldworth	Modernising Local Government decision: Disruption to service delivery due to resource detraction from day-job and ongoing uncertainty impacting all areas incl. retention and recruitment, procurement, working relationships across all stakeholders.	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		Representation from 4 districts submitted to Secretary of State. Mgr briefings and staff comms, message sent to recruitment applicants		Community Focused
21	Andrew Grant	Will Rysdale	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.	Jul-18	Community Focused
22	Tracey Aldworth	Jeff Membery	Failure to provide Universal Credit applicants with the support needed to successfully claim; could result in increased rent arrears locally and subsequent pressure on homelessness services	Vulnerable people are not adequately supported; increased homelessness; legal challenge / appeals; Reputational and political risk; Financial cost; inefficient use of resources.	3	3	9	Moderate	Training for legislation & process changes.	2	2	4	New	Universal Credit comes in Sept 2018.		Community Focused
23	Tracey Aldworth	Will Rysdale	Failure to adequately plan in an appropriate timeframe for the next round of growth following adoption of VALP; including consideration of CaMKOX Corridor and need to meet updated Objectively Assessed Need housing targets included in the National Planning Policy Framework.	Expose district to "planning by appeal"; developer challenge; Government sanctions; lack of ability to secure strategic infrastructure.	3	3	9	Moderate	Working with other L.As. Council agreed to join Central growth Board	3	3	9		Ongoing need for coordination. Infrastructure grant bid for £200m. Exploring potential for growth deal with government to help secure funding for future growth. Potential impact of final unitary decision on growth strategy.		Community Focused
24	Andrew Grant	Will Rysdale	Fail to work with stakeholders to ensure safety of residential buildings following Grenfell. Lessons learned from Grenfell are not implemented.	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	3	6	New	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.		Community Focused
25	Andrew Small	Andy Barton	Implementation of new HR & Payroll system may not go live with 100% accuracy.	AVDC staff will not get paid, or paid incorrectly. Provision of external service may be impacted; errors/inaccurate which may lead to reputational damage and potential loss of payroll customers. HR data may be incorrect for line managers and staff to use. People will therefore not trust the system. Could also impact the next stages of the project - T&A and Recruitment.	4	4	16	Substantial	Planned in parallel running for 3 months. Test data load before parallel running is being done. Close working with supplier. Joint ownership of risk & new resource to focus on client liaison.	3	3	9	New	Weekly board meetings, Fortnightly with supplier (Inc MD of supplier). Detailed plans for AVDC elements of work. Temporary increases in available staff resource and prioritisation of work, with options for supplier to undertake more. Dedicated customer rep for customer accounts. daily project management contact between AVDC Project Managers and suppliers.	Apr-19	Financially Fit