

Report For:	Audit Committee
Meeting Date:	Audit 10 October 2019
Part:	Part 1 - Open
If Part 2, reason:	Choose a reason

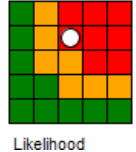
<b>Title of Report:</b>	Strategic Risk Register - Monitoring Report
Officer Contact: Direct Dial: Email:	Michael Howard – Business Assurance Manager 01494 421357 Mike.howard@wycombe.gov.uk
Ward(s) affected:	All
Reason for the Decision:	<p>Risk Management is the process of identifying and addressing the risks that either impact on the long term direction and sustainability of the Councils (strategic risks), or arise from the delivery of objectives as set out in the Councils Corporate plan (corporate /operational risks).</p> <p>Risk Management forms part of Wycombe District Council's approach to effective governance and is an essential element of good management.</p> <p>The Strategic Risk Register contains the most significant risks that could have an effect or impact on the delivery of the Councils' Corporate Plan and in doing so damage the Councils financial standing and its reputation.</p> <p>No new risks were identified during the reporting period.</p> <p>A previous risk relating to Unitary District Council Status (Pre-structural Change Orders) has been superseded in that the governance arrangements for the new Unitary Council are responsibility of the Shadow Authority and relevant Workstreams.</p> <p>Further information has been provided as regards Brexit as part of the External and Internal Regulatory framework ( SR02)</p> <p>Strategic Board via the respective designated Risk Owners have provided their commentary as regards the content of individually assigned risks. .</p>

<b>Proposed Decision/Recommendation:</b>	<p>That:</p> <p>The Committee is asked to NOTE the Monitoring Report for the Councils Strategic Risk Register.</p>
Sustainable Community Strategy/Council Priorities – Implications.	<p>Risk: Not applicable</p> <p>Equalities: Not applicable</p> <p>Health &amp; Safety: Not applicable</p>
Monitoring Officer/ S.151 Officer Comments	<p><b>Monitoring Officer:</b></p> <p>The Strategic Register contributes to the Council’s suite of processes to support good governance.</p> <p><b>S.151 Officer:</b></p> <p>There are no direct financial implications of this report.</p>
Consultees:	None
Options:	None
Next Steps:	None
Background Papers:	None
Abbreviations:	

## Strategic Risk Register - Monitoring Report - September 2019

Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Assigned To
SR01 Workforce skills and knowledge	<div><div><div>Impact</div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><di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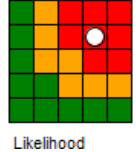
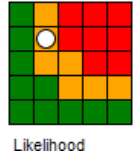
## Strategic Risk Register - Monitoring Report - September 2019

Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Assigned To
						<ul style="list-style-type: none"> <li>Decisions as regards the back filling of posts, are the responsibility of the sovereign Councils.</li> </ul>		
SR02 External and internal regulatory framework (Brexit)	 <p>Impact</p> <p>Likelihood</p>	12	<ul style="list-style-type: none"> <li>Wrong or illegal decisions taken (Ultra Vires)</li> <li>Complaints (justifiable)</li> <li>Reputational damage breach of legislation</li> </ul>	Published contract register used for contract renewal Legal Service support	Level 2 - Internal Governance (Risk / Performance Management)	Complaint monitoring and reporting to SMB quarterly	<b>Brexit</b> <ul style="list-style-type: none"> <li>Council is a member of the Thames Valley Local Resilience, as a defined Category 1 Responder under the Civil Contingency Act 2004 (CCA).</li> <li>TVLRF memberships consists of Category 1 Responders: Principal Local Authorities Emergency Services, Health Bodies, Public Health England and the Environment Agency. Category 2 Responders: Local Utility Companies, Transport operators, Voluntary Sector, Food Standards Agency and Health and Safety Executive. CAT 1 Responders are required to assess risk and undertake joint exercises with CAT 2 Responders.</li> <li>TVLRF are currently holding weekly teleconferences with</li> </ul>	Head of Environment

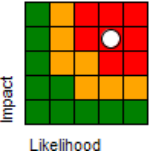
## Strategic Risk Register - Monitoring Report - September 2019

Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Assigned To
							<p>MHCLG. This will be the reporting mechanism into MCHLG on a national template which is to be released shortly.</p> <ul style="list-style-type: none"> <li>• Interim Chief Executive is the Councils Lead Brexit Officer with MHCLG.</li> <li>• A legal duty under the CCA requires that Responders carry out risk assessments and maintain them in a Community Risk Register.</li> </ul> <p>TVLRF have a number of strategic plans for the identified risks (including Brexit). Tactical plans are then developed at a County level to co-ordinate response with Operational Plans to deliver specific responses developed and implemented at district level (none currently exists for Brexit). These are managed by the Emergency Planning Officer in the Environmental Health Service.</p>	

## Strategic Risk Register - Monitoring Report - September 2019

Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Assigned To
SR03 Reduction in Government funding	 <p>Impact</p> <p>Likelihood</p>	16	<ul style="list-style-type: none"> <li>• Reduction in budgets</li> <li>• Loss / reduction of discretionary services</li> <li>• Reduction in service level for statutory services</li> <li>• Reputational damage</li> <li>• Inability to realise corporate plan/ priorities / transformation programme.</li> </ul>	Monthly budgetary control reports Service based performance management information Medium Term Financial Plan Income Maximisation Assessed budget volatility	Level 3 - Independent Assurance (Internal Audits, HSE)	External Audit through statutory assessment of value for money (VFM). Quarterly budget reports to Cabinet. Monthly budget reports to Strategic Management Board Budget report presented to Full Council Audit Committee report on Statement of Accounts and Value for Money Opinion.	The Head of Finance and Commercial has provided the following update:  The risk profile is still valid and reflects the on-going challenges of ensuring a balanced budget is delivered for 2019/20.  Work is ongoing with other Councils as part of the creation of the new Buckinghamshire Council in setting out the MTFS process to ensure a balanced budget for 2020/21.  The 2018/19 Outturn position and Statement of Accounts will be presented to Cabinet and Audit Committee in line with agreed timescales.	Head of Finance and Commercial
SR05 Partnership working	 <p>Impact</p> <p>Likelihood</p>	8	<ul style="list-style-type: none"> <li>• Missed opportunities for funding streams (LEP)</li> <li>• Restricted range of services offered</li> </ul>	Regular contract meetings/ dialogue Periodic formal	Level 1 - Operational Management (Policies & Procedures)	Strategic Management Board receive periodic updates on	No update on the commentary provided by the Head of DLP, 10th May 2019, that the range of partnerships that the Council participates in is being reviewed as part of the Legal	Head of DLP

## Strategic Risk Register - Monitoring Report - September 2019

Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Assigned To
		<ul style="list-style-type: none"> <li>• Failure to realise economies of scale</li> <li>• Duplication of work</li> <li>• Impact on public perception of the wider public sector</li> </ul>	quality reviews undertaken by Management Partnership oversight		partnership relations		and Governance work stream, which is part of the Resource work stream.  An extract for the Legal and Governance work stream work programme - August 2019 recorded that the following was in progress: <b>Develop a draft significant strategic partnership register identifying key member leads / senior officer leads.</b>	
SR06 Investment in infrastructure		16	<ul style="list-style-type: none"> <li>• Lack of investment in infrastructure could lead to issues as regards both the short and long term sustainability of the local community and economy.</li> <li>• Deterioration of the Councils image and reputation as a place to live, work, visit and invest in.</li> <li>• Restriction in economic growth</li> </ul>	Periodic formal quality reviews undertaken by Management Established Programme Boards Assessed budget volatility	Level 1 - Operational Management (Policies & Procedures)		Corporate Director has confirmed the content of this risk entry for the purpose of monitoring.  Work is ongoing to continue the delivery of the following: <ul style="list-style-type: none"> <li>• HIF funded schemes: Abbey Barn Lane, Princes Risborough Expansion Area</li> <li>• Future High Street Fund</li> <li>• Regeneration Strategy</li> </ul>	Corporate Director

## Strategic Risk Register - Monitoring Report - September 2019

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		could impact on service provision & funding through reduced business rate growth. • Programmes /Project are funded by external borrowing rather than internal funds.						
SR07 Data and Information security	<p>Impact</p> <p>Likelihood</p>	12	<p><b><u>Internal Information Governance</u></b></p> <ul style="list-style-type: none"> <li>• Information Commissioners Office (ICO)infringements /fines</li> <li>• Criminal proceedings against the Council and individuals.</li> <li>• Reputational damage</li> <li>• Complaints leading to ICO findings against the Council.</li> </ul>	Internal Information Governance (Suite of Internal Controls)	Level 2 - Internal Governance (Risk / Performance Management)		<p>As part of the Legal and Governance work stream, a review of: paper records, closed and archived records is to be undertaken and consideration is to be given as to a methodology for the management of digital/electronic records.</p> <p>As part of the Legal and Governance work stream, a review key policies has been requested:</p> <p>Records Management - October,</p> <p>GDPR – November, all of which are part of a wider</p>	Head of DLP; ICT and Facilities Management Head of HR



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		<ul style="list-style-type: none"> <li>• Complaints leading to Ombudsman findings against the Council.</li> <li>• Loss of sensitive data</li> <li>• Unlawful release of personal data</li> </ul> <p><b><u>External IT Governance</u></b> Loss of IT services</p>	External Information Governance (Suite of Internal Controls)				<p>review to be implemented by March 2020 in advance of the new Unitary Council.</p> <p>Wycombe is currently developing a Cyber Risk register.</p>	

