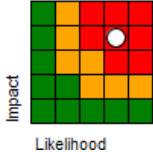
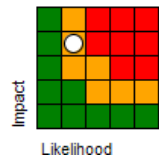
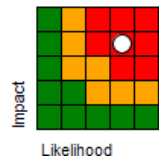
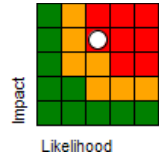


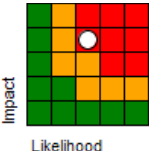
Strategic Risk Register - Quarter 3 – October- December 2019 Monitoring Report



Risk	Current Risk	Consequences	Internal Controls	Assurance Level	Evidence of Assurance	Actions	Latest Note	Managed By
SR01 Workforce skills and knowledge		10 <ul style="list-style-type: none"> • Work is not completed to expected quality standards • Loss of key staff • Increase in complaints • Poor or inconsistent services • Projects not delivered on time / budget /quality • Unrealistic workloads leading to absence/ increased sickness levels. • Failure to attract, recruit and retain suitable staff • Loss of knowledge and expertise 	Key specialist roles identified and service resilience plan in place	Level 1 - Operational Management (Policies & Procedures)	At a Unitary Level, reports are produced for Chief Executive Implementation Group and the Resource Board that outlines Turnover, Hard to Fill Vacancies and any HR related issues.	Unitary Council level Unitary Work Streams have completed individual Resource Plans that detail resource requirements to deliver individual work streams, to the Chief Executive Implementation Group - May 2019.	Mike Howard 03-Jan-2020 The Head of ICT, Facilities Mgt and HR has confirmed that the following: Resource requirements for the various unitary work streams continue to be regularly monitored by the Chief Executives Group and locally by the Strategic Management Board.	Head of ICT, Facilities Management and HR
			Up to date policies accessible to officers			The 5 Councils have introduced the Vacancy Management Protocol		
			Service based performance management information			Following submission of individual Work stream Resource Plans to Chief Executive Implementation Group - May 2019, retention payments, where applicable, are to be the responsibility of each sovereign Council and will be managed in line with existing HR processes, .		
			Periodic formal quality reviews undertaken by Management			Decisions as regards the Back filling of posts, are the responsibility of the sovereign Councils.		
SR02 External and internal regulatory framework (Brexit)		12 <ul style="list-style-type: none"> • Wrong or illegal decisions taken (Ultra Vires) • Complaints (justifiable) • Reputational damage breach of legislation 	Published contract register used for contract renewal	Level 2 - Internal Governance (Risk / Performance Management)	Complaint monitoring and reporting to SMB quarterly		Mike Howard 06-Jan-2020 The Head of Democratic Legal and Policy has confirmed the content of this risk entry for the purpose of monitoring, with	Head of Democratic., Legal and Policy
			Legal Service support					

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							the additional comment that in addition to Brexit, there is an ongoing risk that the Council could make unlawful decisions. This is monitored in the usual way through the Monitoring Officer comments on reports and the legal advice being provided.	
SR03 Reduction in Government funding	 <p>Impact Likelihood</p>	16 <ul style="list-style-type: none"> • Reduction in budgets • Loss / reduction of discretionary services • Reduction in service level for statutory services • Reputational damage • Inability to realise corporate plan/ priorities / transformation programme. 	<p>Monthly budgetary control reports</p> <p>Service based performance management information</p> <p>Medium Term Financial Plan</p> <p>Income Maximisation</p> <p>Assessed budget volatility</p>	Level 3 - Independent Assurance (Internal Audits, HSE)	<p>External Audit through statutory assessment of value for money (VFM).</p> <p>Quarterly budget reports to Cabinet.</p> <p>Monthly budget reports to Strategic Management Board</p> <p>Budget report presented to Full Council</p> <p>Audit Committee report on Statement of Accounts and Value for Money Opinion.</p>		<p>Mike Howard 06-Jan-2020</p> <p>The Head of Finance and Commercial has provided the following commentary:</p> <p>The draft 2020/21 budget is being prepared for consideration by the Shadow Executive. Early iterations show a balanced position based on the assumptions made. Budget scrutiny is programmed for January where wider member review will challenge the robustness and assumptions made and process.</p> <p>The draft budget takes a risk assessed view of assumptions and consequential impacts on reserves and contingencies and this is subject to review by the Corporate Management Team (CMT), Shadow Executive and full Authority at the budget setting meeting in February.</p>	Head of Finance and Commercial

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SR05 Partnership working		8	<ul style="list-style-type: none"> • Missed opportunities for funding streams (LEP) • Restricted range of services offered • Failure to realise economies of scale • Duplication of work • Impact on public perception of the wider public sector 	<ul style="list-style-type: none"> Regular contract meetings/ dialogue Periodic formal quality reviews undertaken by Management Partnership oversight 	Level 1 - Operational Management (Policies & Procedures)	Strategic Management Board receive periodic updates on partnership relations	<p>Mike Howard 06-Jan-2020</p> <p>The Head of Democratic Legal and Policy has provided the following update:</p> <p>This work is now picked up entirely by the transition work looking at partnerships and membership of outside bodies as part of the relevant governance workstream. There is no need for WDC to continue to monitor this as a corporate risk.</p>	Head of Democratic, Legal and Policy
SR06 Investment in infrastructure		16	<ul style="list-style-type: none"> • Lack of investment in infrastructure could lead to issues as regards both the short and long term sustainability of the local community and economy. • Deterioration of the Councils image and reputation as a place to live, work, visit and invest in. • Restriction in economic growth could impact on service provision & funding through reduced business rate growth. • Programmes /Project are funded by external borrowing rather than internal funds. 	<ul style="list-style-type: none"> Periodic formal quality reviews undertaken by Management Established Programme Boards Assessed budget volatility 	Level 1 - Operational Management (Policies & Procedures)		<p>Mike Howard 06-Jan-2020</p> <p>Corporate Director has confirmed the content of this risk entry for the purpose of monitoring.</p>	Corporate Director
SR07 Data and Information security		12	<p>Internal Information Governance</p> <ul style="list-style-type: none"> • Information Commissioners Office (ICO)infringements/fines • Criminal proceedings against the Council and individuals. • Reputational damage 	<ul style="list-style-type: none"> Internal Information Governance (Suite of Internal Controls) External Information Governance (Suite of Internal Controls) 	Level 2 - Internal Governance (Risk / Performance Management)		<p>Mike Howard 03-Jan-2020</p> <p>In relation to External IT governance, the Head of ICT, Facilities and HR has confirmed the content of the risk entry for the purpose of quarter 3</p>	Head of Democratic Legal and Policy; Head of ICT, Facilities Management and HR

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		<ul style="list-style-type: none"> Complaints leading to ICO findings against the Council. Complaints leading to Ombudsman findings against the Council. Loss of sensitive data Unlawful release of personal data <p>External IT Governance Loss of IT services</p>					monitoring.	
SR08 Waste Contract - Vehicle Fleet Management	 <p>Impact</p> <p>Likelihood</p>	12 Public safety put at risk through a failure to ensure that any and all vehicles used in the delivery of the waste contract are maintained properly. Service provision put at risk due to loss of vehicles due to mechanical issues. Reputational damage to the Council(s) caused by the failure of the Councils' appointed contractor. Failure to maintain properly audited systems that ensure vehicle safety could lead to legal action against an individual employee, the Contractor and the individual Councils. Potential breach of Health and Safety legislation as regards vehicle safety could lead to fines, vehicle prohibition notices. Poorly designed and embedded operating procedures including defined role and responsibilities for the posts of Duty Holder and Fleet /Contract Manager are not in place, adhered too or capable of being used to demonstrate compliance and discharge of duties.	Detailed procedure notes are in place for key tasks.	Level 2 - Internal Governance (Risk / Performance Management)	Periodic written assurance of robust vehicle management arrangements provided by the Duty Holder to the Client Management team at CDC regarding inspection, maintenance & servicing. Periodic written assurance of robust vehicle management arrangements provided by the Contractor to the Client Management team at CDC regarding inspection, maintenance & servicing. Client Management team at CDC to ensure that effective governance arrangements are in place quickly that address any issues/recommendations arising from any fleet condition reviews. Client Management team at CDC to ensure that robust and secure systems for recording details of servicing, maintenance and inspection are in place. Client Management team at CDC to ensure that periodic compliance / quality reviews are undertaken to demonstrate the efficacy of the systems used for recording servicing, maintenance and inspection records.	Formal assurance to WDC from the Client Management team at CDC that the Contractor can evidence the following: <ul style="list-style-type: none"> Daily vehicle inspections & recording system Maintenance records - per vehicle Servicing records - per vehicle on a four-week cycle. MOT records - per vehicle. Records of 'tool box' talks Client Management team at CDC to ensure that detailed & timely action plans to address findings of any fleet inspections are enacted. Client Management team at CDC to undertake annual inspection to assess effectiveness of inspections / servicing and maintenance process and underpinning records. Formal assurances to be sought by the Client team at CDC from the Contractor as regards the discharge of the Duty Holder role by employees of the contractor regarding vehicle fleet management. WDC to request that Client team at CDC investigate and encourage use of IT based	Mike Howard 07-Jan-2020 The Head of Housing, Environment and Community Services has detailed the Actions that are required of the Client Management Team at Chiltern District Council and will continue to be involved in there delivery.	Head of Housing, Environment and Community Services

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						solution to be used by driver of each vehicle for undertaking daily vehicle inspections.		
			Regular contract meetings/ dialogue					
			Service based performance management information					
			Periodic formal quality reviews undertaken by Management					
			Identification and levying of penalty terms /points					