

Corporate Risk Register

Risk Register Completed:
Date of Revision: October 2020



Priority / Objective	Risk No.	Owner	Risk	Cause	Effect	Gross score			Current Mitigating Controls	Current score			Planned Risk Actions	Target score		
						Likelihood	Impact	Total Score = L*I		Likelihood	Impact	Total Score = L*I		Likelihood	Impact	Total Score = L*I
Health & Well-being	1	GL	Covid-19 Global Pandemic Second Wave	Social Distancing and other preventative measures not used or not effective	New lockdown measures, potentially localised Support/response planning commenced for most vulnerable	5	5	25	<ul style="list-style-type: none">Local Outbreak PlanPartnership working with CCG, AGMAExperience and planning for first outbreak and lockdownLessons learned evaluationRegular liaison with Public Health EnglandSocial Distancing including face covering guidance	4	5	20	<ul style="list-style-type: none">Review current mitigating controlsFollow PHE guidanceKeep under review	3	5	15
				Increase in localised cases due to mass gatherings	Significant pressure on Public Health and NHS Excess deaths											
	2	GL	Council liability for the death of an employee or member of the public	Failure to implement appropriate health & safety measures	Senior officers held accountable and potentially imprisoned	4	5	20	<ul style="list-style-type: none">Health & Safety PoliciesRegular maintenance and inspection scheduling	4	4	16	<ul style="list-style-type: none">Review of current facilities management procedures in light of recent Town Hall maintenance issuesRegular maintenance and inspection scheduling	3	4	12
				Failure to manage effectively manage	Significant reputational damage Financial redress											
Value for Money	3	LK	Section 151 Officer compelled to issue a Section 114 Notice	Failure to set a balanced budget Poor financial management and governance Running down reserves	Moratorium on non-essential spend Reputation damage Potential government intervention	4	5	20	<ul style="list-style-type: none">Constitution/Schemes of DelegationBudget Risk Register developed and subject to regular monitoringFinancial Management and reporting and refresh MTFSInternal and External Audit	3	5	15	<ul style="list-style-type: none">Review current mitigating controlsKeep under review	3	5	15
	4	LK	Council forced to step in/rescue one of its Companies (e.g. Six Town Housing)	Commercial Failure Poor financial management and governance	Council takes services back 'in-house' Council accepts company liabilities	4	4	16	<ul style="list-style-type: none">Appropriate management and operational structuresFinancial Management and operational reportingBudget Risk Register developed and subject to regular monitoringInternal and External Audit	2	4	8	<ul style="list-style-type: none">Regular review of KPIs and Financial PerformanceInternal Audit Reviews	2	3	6
Health & Well-being	5	KD	Council implicated in the death or serious injury of a child or vulnerable adult	Safeguarding measures not in place or not observed	Individuals held accountable and/or prosecuted Significant reputational damage Government intervention	5	5	25	<ul style="list-style-type: none">Appropriate safeguarding measures, processes and proceduresRegular monitoring and supervisionUnannounced monitoring and inspection	4	5	20	<ul style="list-style-type: none">Regular monitoring and supervisionMock inspection	3	5	15
Efficiency & Effectiveness	6	LR	Serious data breach	Failure to follow GDPR provisions	Individuals' identity/location compromised Reputational Damage ICO Review and/or fine	5	5	25	<ul style="list-style-type: none">GDPR and Data Management PolicyDocument retention and disposal policyGDPR/Data Training & DevelopmentFair Use Notices	4	4	16	<ul style="list-style-type: none">Regular training and developmentRegular review and updates to policies and proceduresInternal Audit review subject to risk assessment	3	3	9
				Failure to follow Council's own data management policies Negligent or unlawful use of data												
Legal and Governance	7	JW	Monitoring Officer compelled to issue governance notice	Failure to comply with legislative requirements and acting unlawfully	Reputational Damage	4	5	20	Council's rules and procedures observed Effective involvement of the Monitoring Officer Council Constitution Defined Scheme of Delegation and Codes of Practice	4	4	16	Proper training and development Regular updates of policies and procedures	3	4	12

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	8	JW	Serious legal findings against council	Court, tribunal or inquiry decisions resulting in significant adverse outcomes	Reputational Damage	4	5	20	Defined Scheme of Delegation and Codes of Practice Major decisions approved by members	4	4	16		3	4	12
Investment in Bury	9	PL	No Deal Brexit	Failure of the UK Government to negotiate an acceptable trade agreement with the EU	Economic Uncertainty Failure to attract inward investment Economic targets for Bury missed Timescales for recovery lengthened	3	4	12	• EU withdrawal Bill passed • Monitoring of negotiation of future trade agreement developments with the EU	3	2	6	• Regular review of progress and respond accordingly	2	2	4
Value for money	10	DB	Significant income losses in Departmental Services (i.e. Civics, Market, Car Parking)	Covid Pandemic Systemic Budget Reductions Lack of investment over decades	Future uncertainty for Services Increased ongoing subsidy	5	5	25	Budget saving proposals re: future viability	5	5	25	Planned Cabinet reports	5	3	15
Value for money Legal and Governance	11	DB	Property Infrastructure Standards - Corporate Risks	Lack of investment over decades Failure to comply with legal / statutory requirements	Buildings in significant disrepair - emergency repairs required Compliance concerns Risk to workforce	5	5	25	Recruitment to Head of Corporate Landlord underway Corporate Landlord Board established Development of Corporate Landlord Model Repairs being undertaken	5	4	20	Full compliance system Procurement of Concerto system Full procurement exercise for FM contracts Future rationalisation plans	3	4	12
Efficiency & Effectiveness	12	DB	Carbon Neutrality / Climate Agenda	Global Climate Agenda Bury Climate Manifesto - 2030 targets	Targets for Bury missed Impact on the public Efficiencies not made	4	4	16	Climate Strategy being produced Recruitment to Climate Team	3	4	12	Climate action plan Long term walking / cycling initiatives Infrastructure projects	3	2	6
Efficiency & Effectiveness Value for money Investment in Bury	13	DB	Provision of Leisure Services	Covid Pandemic Systemic Budget Reductions Lack of investment over decades	Future uncertainty for Services Increased ongoing subsidy	5	5	25	Leisure Recovery Plan Future regeneration options Budget saving proposals re: future viability	5	5	25	Working collaboratively with BGI re: Regeneration Planned Cabinet reports	5	3	15
Efficiency & Effectiveness	14	WB	Failure to ensure adequate safeguarding Vulnerable Adults arrangements are in place	Demand for services exceeding its capacity and capability. Failure to commission safe care for vulnerable adults and the elderly. Limited available budget	Risk of poor outcomes for vulnerable residents. Failure of Council to meet statutory duty	3	7	14	Safeguarding Vulnerable Adults Board Internal management controls, training, development, and professional support Good quality commissioning arrangements and standards with providers Financial monitoring Recovery and Transformation programme	2	5	10	Good quality market management and provider engagement arrangements	3	4	12
Efficiency & Effectiveness	15	WB	Non Delivery of Health and Care Recovery Programme	Covid Pandemic Budget Restrictions in NHS and Council Growth in demand from demography and Covid 19 Effect Financial and Structural Uncertainty in NHS	Failure to transform services and realising required cost savings Sub optimal outcomes for residents	5	5	25	Routine monitoring and oversight of all aspects of the programme. Close financial review of delivery of savings and outcomes. Reporting to System Board and Strategic Commissioning Board and Health Scrutiny Committee.	5	5	25	Working closely with CCG and GM Health and Social Care Partnership	5	3	15

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Key:

GL	Geoff Little
MW	Mike Woodhead
LR	Lynne Ridsdale
DB	Donna Ball
KD	Karen Dolton
JW	Janet Witkowski
PL	Paul Lakin
WB	Will Blandamer

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Financial Resilience	1	MW	Impact of CCG Funding Framework impacts adversely on council RPs	Hospital Discharge Schemes Cease due to funding cuts Financial Strain does not reflect all short term costs CCG Funding Strategy Changes	Increased patient waiting times Further budgeted reductions	3	4	12	CCG Funding Updates	3	4	12	Updates received and reflected in MTFS	2	4	8
	2	MW	DSG Deficit increases significantly	Demand increases Accountability for future not accurately reflected in budget School costs is met from reserves	DfE warning and intervention Budget reductions	4	4	16	Medium Term Financial Strating Updated Monthly Monitoring Escalation to Executive Team and Members	4	4	16	DfE Recovery Plan Submitted DfE Engagement Review of Expenditure and Releasing Re-estimate of capital programme	3	4	12
	3	LK	Capital Schemes not delivered in line with programme	Uncertainty over funding Hazardous financial position and outlook of existing schemes Capacity for project delivery not fully specified	Significant slippage Reputational risk Schemes not delivered	4	4	16	Capital Programme Approved Annually Quarterly Monitoring	4	4	16	Capital Strategy progress Established	3	4	12
	4	LK	Statutory Policies are out of date and not compliant with legislation	Specialist expertise not available	Adverse external audit	3	4	12	Specialist advice sought	3	3	9	New Capital Strategy being developed	2	3	6
	5	LK	Lack of Training	Significant increases in demand for services	Reputational Damage	3	4	12	Training of permanent staff	3	3	9	New Strategy, Management, Director, Senior Managers & STS	3	4	12
	6	LK	Financial Resilience and Sustainability not achieved	Ineffective S79partnership Arrangements Traded Services loss income and do not cover on Government intervention	Adverse External Audit Government intervention	4	4	16	Robust Strategy Monthly monitoring Budget Strategy Principles	4	4	16				

CCMT Risk Register

Risk Register Completed: 30/10/2020
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ICT / Digital		KW	Failure of infrastructure	Outdated systems; hardware failure; lack of availability of support or maintenance due to staffing shortages or products being out of licence / support contracts	Loss of functionality and reduction in productivity; Impact on customer and user experience	3	5	15	<ul style="list-style-type: none"> Infrastructure replacement programme extended support purchase for older servers 	3	5	15	<ul style="list-style-type: none"> Infrastructure replacement programme to be rolled out / completed Migration to cloud storage / back-up 	2	5	10
		KW	Failure of applications and / or software programmes	Outdated systems; hardware failure; lack of availability of support or maintenance due to staffing shortages or products being out of licence / support contracts	Loss of functionality and reduction in productivity; Impact on customer and user experience	3	4	12	<ul style="list-style-type: none"> system back-up strategy in place 	3	4	12	<ul style="list-style-type: none"> Cloud migration plan in design phase for software and applications 	2	1	2
		KW	Failure of TH Data Centre	External damage e.g. fire, flood, electric supply failure	Potential data breach if records lost on permanent basis; loss of productivity due to quality of connection to back-up data centre	3	5	15	<ul style="list-style-type: none"> Data management strategy in place re. backups; Textile Hall back up data centre 	3	5	15	<ul style="list-style-type: none"> cloud migration plan to move data into Azure relocation of data centre; 	2	5	10
		KW	Failure to delivery new Digital Strategy	lack of resources e.g. funding, staff or delivery partner (e.g. GMSS)	Inability to achieve ambition for new ways of working and improved customer and staff experience; inability to deliver data management and business intelligence model required for improved decision making and performance management	3	4	12	<ul style="list-style-type: none"> Placement of Digital strategy in Transformation programme to ensure visibility and deliverability SLA with GMSS 	3	4	12	<ul style="list-style-type: none"> Review of resources across Council and CCG IT/Digital functions 	2	4	8
		KW	Cyber attack	External threat to data and systems	Potential loss of data resulting in significant data breach; potential significant loss of functionality if systems were damaged or shut down	3	5	15	<ul style="list-style-type: none"> Training and updated Cyber Essentials Toolkit in place. PCN accreditation renewed annually 	3	5	15	<ul style="list-style-type: none"> Further training and investment in cyber security to be progressed PSN accreditation of the Council Cyber Essentials accreditation for Council and CCG to be achieved 	2	4	8
Elections		MC	Failure to deliver an efficient Election 2021	insufficient capacity (shortage of staff / standby resource) to meet increased business (due to covid) and customer demands; lack of robustness of ICT support; ability of printers to meet high postal vote demands	Legal challenge/reputational damage/people unable to vote - do not get vote needed / printers cannot meet increased high volume of demand for postal votes	3	5	15	<ul style="list-style-type: none"> National (Government and Electoral Commission), regional (AGMA and GM Elections Managers) and local guidance Elections Project Board in place with agreed delivery plan Lessons Learned (from previous election) action plan delivered Approved printers as part of AGMA consortium 	2	5	10	<ul style="list-style-type: none"> Review current mitigating controls Follow PHE / EC / AGAM / Government guidelines Monthly update and agreed action at Elections Project Board. Early preparation and planning already commenced. Develop network of internal back up staff. 	1	5	5
		MC	Ability to deliver the Canvass 2020.	Covid preventing use of personal canvassers new procedure introduced nationally electorate apathy	reputation integrity of register	3	4	12	<ul style="list-style-type: none"> Process in place and applied consistently Mechanisms to secure contact with remaining non-responders agreed Baseline register in place following December 2019 General Election 	3	3	9	<ul style="list-style-type: none"> Follow EC and Government guidance Follow best practice Follow PHE guidance 	2	1	2
		MC	Adverse impact on resources (people and money)	National changes in respect to the central land charges database and central scanning of files by HMLR	Loss of income potential redundancies / redeployment / role redesign	5	3	15	<ul style="list-style-type: none"> Integrated Elections / Land registry Team 	5	3	9	<ul style="list-style-type: none"> Review need for land charges posts and impact on Elections if loss of staff due to shared role/support provided. 	3	3	9
Land Charges		MC	Failure to allow / action searches	Covid restrictions temporarily closed down service preventing personal searches to be undertaken	Legal challenge from failure to deliver service reputational damage increased pressure on staff resources loss of income	5	3	15	<ul style="list-style-type: none"> Revised processes in place enabling searches to be carried out by staff 	5	3	15	<ul style="list-style-type: none"> Review current mitigating controls. Follow PHE guidance. Look to safe return of personal searchers, taking into account all safety precautions. 	5	2	10
Legal		JW	Failure to provide an effective and timely legal service	Reduction/loss of service due to absence from covid or other illness, lack of capacity due to increase in instructions and/or lack of capability due to new/novel matters	not meeting statutory Court dates / staffing/ failure in ICT; Error in law and legal advice.	3	5	15	<ul style="list-style-type: none"> Deployment of other team members Links with counsel & other local authorities Continuing professional development and training, review of capacity and workloads with team and client departments 	3	5	15	<ul style="list-style-type: none"> Review business continuity plan, staffing levels, workloads and capacity monthly 	2	5	10

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Registrars		HK	Failure to provide an effective and timely BMD service	Reduction/loss of service due to absence from covid or other illness, increase in customer demand above capacity levels local restrictions (Possible suspension of Births, Marriages and Citizenship ceremonies by Government.)	Unable to meet legislative requirement creation of backlogs, increased complaints from customer, elected members and GRO	4	3	12	●BCP arrangements in place ●Mutual Aid with other localities ●processes in place which reflect Covid safe delivery	3	3	9	●BCM to be reviewed monthly or following changes in PHE / Covid Guidance	2	3	6
Transformation		KW	Partnership	Insufficient buy-in to Bury 2030 to enable partnership priorities to be delivered. Lack of resource across the Team Bury partnership to support delivery of Bury 2030.	Outcomes would not be achieved; new ways of working not implemented; demand management targets would not be met resulting in high costs	3	4	12	●Consultation and engagement programme for Bury 2030	3	4	12	●Engagement on consultation to be progressed ●performance framework to be co-designed ●delivery plan to be developed KPIs to be agreed	2	3	6
		KW	Failure to introduce new neighbourhood model	Work programme of public service reform insufficient to generate commitment to implement neighbourhood model; unable to deliver constituent parts of the NM e.g. data warehouse; MDT integrated working	Limited ability to implement commitment in Bury 2030 to public service reform; impact on the potential for re-shaping demand and achieving improved outcomes	3	4	12	●Strategic resource in place ●Investment approved for addition resource (in AD PSR) ●Community Hub model approved ●VCFA and community sector aligned	3	4	12	●Appoint of new posts to support development and implementation of Neighbourhood Model. ●Work with GMCA to share best practice and obtain advice and support on implementation.	2	3	6
Service Delivery		KW	Failure to deliver Inclusion Strategy	Lack of expertise or resources to support deliver of the work programme and culture change required to implement action plan and policy commitments	Negative impact on workforce moral and community trust; lack of engagement from communities in the co-design and delivery of Bury 2030; breach of statutory duties; increased health inequalities; poor decision making	3	4	12	●Inclusion integrated into Bury 2030 and Corporate Plan	3	4	12	●Inclusion Strategy to be approved ●Listening events to be implemented ●Action plan to be delivered ●recruitment to key posts to support programme delivery ●reporting scheduled to be prepared	2	3	6
Governance		JW / JW	Failure to deliver effective governance and decision making	Reduction/loss of service due to absence from covid or other illness, Instability of Governance arrangements/lack of understanding of delegations/ process/ constitution/ incorrect recording of decisions	Judicial challenge / inability to deliver / reputational damage / financial impact	3	5	15	●constitution and governance arrangements in place ●guidance on decision making and supporting decision record templates ●JET Pre-Governance process to review all agenda	3	5	15	refreshed Constitution to be approved and implements Training programme to be implemented governance arrangements to be revised	2	5	10
		LF/ JW	failure to meet the requirements of data protection legislation and good information governance practice	Polices out f date/staff capability due to lack of training/lack of staff	Judicial / or ICO challenge / inability to deliver / reputational damage / financial impact due to fine or compensation	5	5	25	●DPO/IG Lead oversight of processes ●DSPT 2019/20 submission ●Policies	4	5	20	●IG strategy to be developed ●IG processes to be mapped ●IG resources to be identified ●comprehensive training programme to be implemented ●IG policies and Procedures to be reviewed ●DPST 2020/21 requirements to be assessed	2	5	10
Value for Money		SJ	Contracts with external suppliers fail to deliver best value for money	Inadequate procurement processes Supplier failures Poor contract management Impact of Covid-19 - supplier failure, increased lead-times, increased costs Impact of Brexit - supplier failure, increased lead-times, increased costs	Increased pressure on budgets resulting in cuts to services and jobs	4	4	16	● Contract Procedure Rules ● Professional Support via Strategic Procurement Team ● Contracts Register	3	4	12	● Review and revise Procurement Operating Model and CPR ● Develop corporate approach to improve contract management	1	4	4
Legal Compliance		SJ	Failure to follow procurement rules or use approved contracts	insufficient capacity and skills/knowledge of relevant procedures insufficient Capacity of Strategic Procurement Team	Legal Challenge Impact on service delivery Reputational impact	3	4	12	● CPR & Procurement guidance ● Professional Support via Strategic Procurement Team	2	4	8	● Review current mitigating controls ● Keep under review	1	4	4
HR		SB	Breakdown of Employee Relations	Inability to reach agreement over budget savings options due to perceived negative impact upon the workforce	industrial action, which may include strike. Low levels of staff engagement and performance. Poor levels of recruitment and staff retention. Reputational damage.	4	4	16	●Agreed TU Consultation Framework, comprising DJCC & CJCC meetings and regular TU/Management meetings ●Good existing relationship between the Council and Trade Unions. ●Regular employee communications.	3	4	12	●Review existing processesfor consultation and agreement ●Refresh voluntary exit schemes.	2	4	8

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		SB	Lack of relevant skills, knowledge and experience across the organisation	Inadequate appraisal and talent management arrangements Lack of workforce planning failure to invest in employee development Unexpected change in skills requirement due to unanticipated change to working practices	Ineffective workforce and low levels of performance. Inability to meet service demands. Increased costs through buying in skills and knowledge to achieve aims.	4	4	16	<ul style="list-style-type: none"> Annual Appraisal policy Mandatory Training Apprenticeship Leadership Programme 	2	3	12	<ul style="list-style-type: none"> New leadership, structures and staffing arrangements to be finalised People Strategy, including organisational development plan to be developed System to support improved performance management data to be enhanced (investment) 	3	3	9
Communications		KJ	Loss of trust and confidence in the council to deliver services	Worsening public perception of council. Lack of understating about what the council does Instant perceptions via social media High profile policy and strategy development wit significant reputation risks - GMSF, CAZ, MLS Performance not meeting expectations	Impact on our value by residents and businesses	5	4	20	<ul style="list-style-type: none"> Vision and strategy set out in Bury 2030 (under consultation) Clear emergency response and business continuity arrangements in place to effectively react in the event of a crisis Agreed Comms and engagement management for high profile policy development Relationships with Media to effectively manage Council reputation 	3	4	12	<ul style="list-style-type: none"> Communication and engagement strategy to be approved Review and revise comms and engagement plans develop Brand and ensure consistently linked to services internal communications channels to be improved Expectations of public to be managed particularly via social media and other online 	2	4	8
Engagement		KJ	Consultations not delivered to required standard	Unable to use usual channels and processes because of Covid restrictions in meeting people A number of high profile consultations due this Autumn	Bias towards digital and online methods Open to legal challenge on basis of Gunning Principles Unable to effectively make decisions Reputational impact	5	4	20	<ul style="list-style-type: none"> Clear comms and engagement plan for each of the Autumn consultations EIAs completed for GMSF, CAZ and MLS consultations Availability of alternative provision to digital Statement of Community Involvement for GMSF revised 	3	4	12	Consultation Feedback kept under review Comms and Engagement Strategy to be refreshed	2	4	8
		PC	Failure to meet Homelessness Statutory Function & Delivery	<ul style="list-style-type: none"> Increasing pressures on the service that impacts (reduces) capacity across the service Increase in homelessness - stat and non stat provision Lift on ban on evictions will result in further increases of homeless cases, pressures on the service and temp accommodation. 	<ul style="list-style-type: none"> Unable to meet statutory requirements as per Homelessness & HRA legislation. Legal challenge with potential judicial reviews resulting in increased legal costs and reputation damage 	4	5	20	<ul style="list-style-type: none"> HRA adhered to Robust processes and operating procedures in place CBL system suspended Direct Let priority. 	3	5	15	<ul style="list-style-type: none"> Review structure of team / service Framework of regular monitoring and KPI reviews to be developed external funding opportunities to be maximised 	2	5	10
		PC	Insufficient resources (staffing) to meet increased responsibilities / pressures on service	<ul style="list-style-type: none"> Changing ways of working due to Covid increasing demand on the service Increasing expectations for rough sleepers 	<ul style="list-style-type: none"> Non compliance with current Govt directives for rough sleepers impact on staff well-being 	4	5	20	<ul style="list-style-type: none"> BCM in place supported by Agile and Flexible Team Additional resource secured through BCM Greater partnership working aligned to Emergency 10 point plan for RS's - enabler role. Service delivery models adapted to Covid 	3	5	15	<ul style="list-style-type: none"> Channel shift services through IT solutions and software, telephone options to create capacity and smarter working. Comprehensive staff development and progression programme to be implemented undertake Service review and restructure 	2	5	10
Housing Needs & Options		PC	Available provision unable to meet local demand for rough sleeper / homeless service	<ul style="list-style-type: none"> Increase in rough sleepers locally, regionally and nationally due to numerous factors Gov'ts 'Everyone in' directive requires provision of emergency accommodation with support to reduce the risk of Covid infection. 	<ul style="list-style-type: none"> Greater pressure on current services Increases in temp accommodation provision needed. Demand & Lack of engagement by the cohort to provide support and help into sustained accommodation. Lack of emergency and sustainable move on properties. adverse impact on the Councils ability to respond to statutory duty Compounds demand for move on properties 	5	4	20	<ul style="list-style-type: none"> funding to continue with ABEN approved for phase 3 provision NSAP revenue funding approved Stepping Stones emergency provision extended with support until 31/3/21 Rough sleeper outreach provision funded Arrangements agreed with GM Housing First initiative multi agency panel in place to assist and support rough sleepers Created MHCLG NSAP capital & revenue bid approved Robust links to the Councils supported accommodation provision 	3	4	12	<ul style="list-style-type: none"> Identify future funding opportunities to sustain / increase resources - NSAP phase 2 (2021/22) & ABEN phase 4 Develop Bury Homeless Partnership Affordable social housing to be included within New Housing Strategy Submit future robust bid for RSi funding and outreach provision to continue for 2021/22 Maximise opportunities to influence local, regional and central Govt in relation to funding Progress, develop business case and build homeless hub for emergency & interim accommodation. 	2	4	8

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		PC	Lack of sustainable permanent accommodation to meet Homelessness and housing register demands.	<ul style="list-style-type: none"> Lack of investment and strategy to recognise and address the lack of social and affordable housing needs Historical Govt approach to social housing generally with RTB and home ownership approach has restricted growth and opportunities for social housing. Reduced availability of affordable and social housing through existing stock Increased demand for affordable and social housing 	<ul style="list-style-type: none"> Increase in housing register demands and priority need Blockages in temporary accommodation for both single and families Challenges to meet the statutory duties around timescales in temp accommodation Councils ability to discharge homeless duty Demand and supply misalignment 	4	5	20	<ul style="list-style-type: none"> Developing PRS to engage better with PRS landlords Strategic Group established with remit to develop PRS engagement Help to rent scheme in place insurance product offered as prevention tool. Proactive intervention / team in place Partnership working with STH Nomination agreements with RSL's / HA's 	4	4	16	<ul style="list-style-type: none"> New Housing Strategy to be developed Allocations policy / housing options to be reviewed Common housing register to be developed funding opportunities with the new affordable homes programme to be identified HRA opportunities and capital receipt rule changes to be reviewed PRS and landlord offer to be further developed ELA options for Bury to be developed 	3	4	12
Adult Learning		JK	Inability to operate service effectively and deliver GMCA and ESFA contracts	Failure of ICT infrastructure	Inability to submit data to GMCA/ESFA and therefore breach of contract Inability to enrol learners Impact on learners due to lack of digital teaching resources Increase in staff workload due to lack of MIS in place and requirement to complete all information on paper Restricted ability for most staff to work from home	3	5	15	<ul style="list-style-type: none"> Business Continuity Plan in place Teaching platform hosted in the Cloud to allow learners where possible to continue learning Classroom based teaching still possible 	2	5	10	<ul style="list-style-type: none"> Review current mitigating controls Learners provided with laptops to support learning 	1	5	5
		JK	the Bury ALS Centre building becomes unfit for purpose and unable to meet required minimum standards	Lack of clarity / contract for existing facilities management arrangements Lack of building maintenance programme Significant ongoing issues with building including toilets, blockages, drains	Impact on staff who are tasked to deal with overburdensome building maintenance with little support Lack of knowledge to oversee works carried out Increased pressure on budget due to maintenance costs and frequent, repeated, expenditure in certain areas Potential temporary closure of building due to lack of facilities being available Loss of delivery if building closed Impact on learners and staff Reputational Impact	3	5	15	<ul style="list-style-type: none"> facilities management contract in place Processes to sign-off repairs in place and followed (Careful monitoring of essential repairs and maintenance and checking where possible the quality of the work carried out so as not to incur addition cost) 	2	5	10	<ul style="list-style-type: none"> Exploration of where Adult Learning Service sits with One Public Estate in the long term Follow up results of exercise completed by People too on improving the efficiency and compliance levels of the Bury Estate Move to online learning where possible Work with Facilities Management Group to determine the position of Adult Learning Centre 	1	5	5
Community Hubs		NP	unable to resource Community Hubs to meet local demand in response to national requirements / changes around shielding	staff returned to substantive posts volunteers have gone back to work as furlough has ended	unable to deliver national requirement	5	5	25	<ul style="list-style-type: none"> Redeployed staffing resources into Community Hubs Network of Community / NHS Volunteers 	3	5	15	review business continuity plans use of government funding to quickly employ Reed agency staff advertise for volunteers and approach national voluntary organisations negotiate a scheme with NHS Volunteers for Bury	2	5	10
		NP	contact centre unable to meet demand of CEVs seeking to register for supermarket delivery slots	change in delivery model of contact / support with full delegation to LAs and national call centre closed	long queues at contact centre high rate of abandoned calls up to 2000 residents anxious and more vulnerable additional pressure on Contact centre staff	3	5	15	<ul style="list-style-type: none"> Redeployment of staff from core roles to support contact cent 	3	5	15	mobilise hub staff, redeploy staff into contact centre, review P3 services, recruit more staff with shielding or T3 funding boost capacity in contact centre to register people by phone, persuade people to do telephone shopping at Morrisons or Sainsbury's	2	5	10

Priority / Objective	Risk No.	Owner	Risk	Cause	Effect	Gross score			Current Mitigating Controls	Current score			Planned Risk Actions	Target score		
						Likelihood	Impact	Total Score = L*I		Likelihood	Impact	Total Score = L*I		Likelihood	Impact	Total Score = L*I
		NP	Increased demand on Community Hubs to provided support with supermarket shopping (up to 2000 residents)	CEVs do not have external networks CEVs do not register for supermarket delivery slots CEVs do not have ICT access at home CEVs do not have plastic payment methods	would need to mobilise 100s of volunteers to go shopping for 2000 people and wont have enough volunteers up to 2000 residents anxious and more vulnerable	4	5	20	●Contact Centre receiving calls and supporting registration	4	5	20	●digital helpers to be recruited ●funding to place kit and connectivity into people's homes to be secured ●recruit more volunteers	2	5	10
HR		LR	Failure of itrent system	Failure to switch from on premise to host environment before on premise systems fall out of support from Midland HR due to lack of resource, insufficient testing time and failure to develop suitable hosted environment within the timeframe	Unable to access staff records and undertake HR functions effectively. Unable to update UNIT 4 with payment and year end information.	4	5	20	●Project Board meetings in place ●External consultant[appointed to review implementation plan.	3	5	15	●Appointment of independent Project Management and technical support to oversee transition to hosted environment	1	5	5

Finance Service Risk Register

Risk Register Completed: 30/10/2020

Date of Revision: 30/10/2020



						Gross score		
Priority / Objective	Risk No.	Owner	Risk	Cause	Effect	Likelihood	Impact	Total Score = L*I
Accountancy			Treasury Management/Cash Flow	Inadequate levels of cash in the bank.	Paymens cannot be made.	4	5	20
Revenues and Benefits		ID	Council Tax and Business rates letters not issued.	Invoices not issued. System failure. Loss of staff.	Loss of Income. Financial resilience of the Council affected. More budget redcutions maty be required.	4	5	20
			Debt Recovery not in place.	Remiders not issued. No debt recovery or enforcement	Loss of income. Increased debt profile. More budget reductions may be required.	4	5	20

			Inability to provide benefit and welfare advice and support.	Loss of staff with specialist knowledge. Increased demand as a result of Covid.	Residents not accessing support they need. Increase in arrears on council tax.	3	4	12
Pay Services		RF	Failure to pay people and suppliers	Breakdown in systems. Loss of staff due to sickness	Staff and suppliers not paid. Financial hardship and Reputational risks.	5	3	15
Audit		JS	Failure to provide an effective internal audit service.	Weak governance and control environment across the council, financial loss, reputation of the Council, qualified accounts from the external auditors.	Qualified Accounts. Incidences of fraud.	4	5	20
		EH	Failure to establish adequate Insurance arrangements for the Council and all its functions	Tender / Renewal exercise not completed in a timely manner	Reputation of Risk Exposure to financial losses	5	5	25
		EH	Negligence claims against the Council	Lack of Department Inspection Poor workmanship Defective Premises Change of staff	Financial impact on budgets Reputation damage Increase of Insurance Premiums Legal costs	5	4	20

Insurance		EH	Property uninsured or under insured	Not informed of changes and cannot update insurance programme accordingly Inadequate property values	Financial impact on budgets Reputation damage Increase of Insurance Premiums	4	4	16
		EH	Breach of Data Protection Act Claims	Failure to follow GDPR provision Failure to follow Council's own data protection policies	Individuals identity / location compromised Reputation damage ICO review and / or fine Increase of Insurance Premiums	5	5	25
		EH	Covid 19 Negligence Claims	Failure to comply with relevant Government Guidelines. Failure to have adequate Risk Assessments in place with the relevant documentation	Financial impact on budgets Reputation damage Increase of Insurance Premiums	5	5	25
Value for Money		LK	Contracts with external suppliers fail to deliver best value for money	Inadequate procurement processes Supplier failures	Increased pressure on budgets resulting in cuts to services and jobs	4	4	16
				Poor contract management				
				Impact of Covid-19 - supplier failure, increased lead-times, increased costs				
				Impact of Brexit - supplier failure, increased lead-times, increased costs				

Current Mitigating Controls	Current score			Planned Risk Actions	Target score		
	Likelihood	Impact	Total Score = L*I		Likelihood	Impact	Total Score = L*I
cash flow projections updated weekly/daily. On call cash/borrowing.	3	5	15	Staff training. Resilience in place.	3	5	15
External provider for council tax billing. Resilience part of contract. Investment in current systems and ensure upgrades are actioned. In house technical expertise.	3	5	15	Upgrades up to date. Systems roadmap being developed.	3	5	15
External provider for council tax billing. Resilience part of contract. Investment in current systems and ensure upgrades are actioned. In house technical expertise.	3	5	15	Upgrades up to date. Systems roadmap being developed.	3	6	18

Use of Civica On demand. Contract with Citizen's Advice Bureau.	3	4	12	Staff reviews. Performance monitoring	3	3	9
● Revised processes in place enabling searches to be carried out by staff	5	3	15	● Review current mitigating controls.	5	2	10
<ul style="list-style-type: none"> ●Deployment of other team members ●Risk based approach to audit planning and regular reporting to the audit committee and executive Team ●Continuing professional development and training, review of capacity and workloads with team and client departments 	3	5	15	<ul style="list-style-type: none"> ●Review of processes and practices. Specialist support as part of the service improvement plan. 	2	5	10
Insurance Brokers support activity Insurance Officers are experienced Insurance Tender completed Completion of the 20/21 annual renewal	2	5	10	Reminder to all managers to make Insurance team aware of any changes which would affect the Councils insurance. Build increased resilience within the team by involving staff in tender and renewal exercise	2	3	6
Request for Departmental reports along with inspection reports, Risk Assessments etc. Advise the need for a system of inspection with the relevant documentation to assist in the defending of claims . Staff training	3	3	9	Continue dialog with departments on the need for Inspections and documentation to assist in defending claims. Department training	2	2	4

Notices from Property Services re addition or deletion of properties not always received	3	4	12	Reminder to managers to make Insurance team aware of any changes made as soon as possible. Updated property Insurance valuations needed	2	3	6
GDPR and Data Management Policy Document retention and disposal policy GDPR/Data training & Development	3	4	12	Regular review and updates to policies and procedures. Reminder to Schools and Departments on strong passwords and sensitivity of data.	2	3	6
Advice to follow Government guidelines with documented Risk Assessments and training.	4	5	20	Continued advice on Training/Risk assessments and the need for documentation.	3	5	15
<ul style="list-style-type: none"> Contract Procedure Rules Professional Support via Strategic Procurement Team Contracts Register 	3	4	12	<ul style="list-style-type: none"> Training on Procurement Rules Develop approach to improve contract management 	1	4	4