

## Appendix 1 - Tewkesbury Borough Council: Corporate Risk Register (updated March 2024)

Code	Risk score	Risk Management view	Direction of travel key:
Red	16 – 25	Must be managed down to reduce risk scores in the next year	↑ risk level has increased since the last update.
Amber	5 – 15	Seek to improve the risk score in the medium term	↔ risk level is on par with the level with the last update.
Green	1-4	Tolerate and monitor	↓ risk level is showing improvement since the last update reported to Audit and Governance Committee.

Risk ref	Corporate risk identified	Impact assessment / comment	Impact Score (1-5)	Likelihood Score (1-5)	Gross risk score	Mitigating Controls	Current risk score	Risk Owner	Identified risk mgt action points	Target risk score	Direction of risk
1	Financial sustainability of the council.	<ul style="list-style-type: none"> <li>Uncertainty in financial planning due to lack of clarity from central govt</li> <li>Restricted growth</li> <li>Potential S114 notice and govt intervention</li> <li>Reputational impact – internal and external</li> <li>Legal and regulatory- unable to fulfil obligations as a council.</li> </ul>	5	5	25	<p>Expansion of business base within the Borough.</p> <p>Transformation programme.</p> <p>Development of other funding and income streams.</p> <p>Annual MTFS.</p> <p>MTFS reserve and General Fund balance.</p>	20	Executive Director: Resources	<p>Further development of alternative income streams and deficit reduction programme</p> <p>Due date: Continuous exercise given the medium-term financial outlook.</p> <p>Government clarification on future of local government finance including:</p> <p>Due date: Unknown.</p> <p>Star Chamber programme of service review</p> <p>Due date: ongoing</p>	9	↔

Comments:  
**There will be no clarity or certainty on the approach to funding local government until after the General Election. Even with clarity, given the national economic outlook and fiscal policy decisions being taken, it is likely that local government could see further reductions in funding particularly given funding commitments made to other parts of the public sector.**

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2	Cyber-security attack	<ul style="list-style-type: none"> <li>Loss of systems and significant downtime.</li> <li>Inability to deliver services.</li> <li>Financial recovery cost.</li> <li>Reputational impact</li> <li>Potential loss of data.</li> <li>Financial penalties</li> </ul>	5	5	25	Patch management. Annual penetration testing. Cyber awareness training- PSN compliance. Firewall management. Cyber insurance. Dedicated cyber posts within ICT Team.	12	Associate Director of Digital, IT and Cyber.	Finalise and test cyber response plan. Due date: Initial IT response plan drafted and to be finalised shortly. Wider, corporate plan needs to be developed in 2024. Implement network segmentation. Due date: Summer 2024 Penetration testing: Due date: January 2024 - <b>complete</b> Achieve cyber essentials accreditation. Due date: Post response to penetration testing & network segmentation. Renewed phishing awareness. <b>Complete</b>	9	↔
Comments:											

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Penetration testing completed in January by an external organisation revealed there was no significant issues identified. Cyber security training currently being rolled out to staff. The vacant Associate Director post has been re-designed to also include Digital and has now been appointed.											
3	Inadequate business continuity planning	<ul style="list-style-type: none"> <li>ICT downtime</li> <li>Major staff absence</li> <li>Property access</li> <li>Supply chain failure</li> </ul>	4	4	16	Individual service continuity plans.  Corporate plan.  ICT disaster recovery.	12	Director: Corporate Resources	Finalise and test draft plan. <b>Due date: February 2024</b> <b>August 2024</b>	9	↔
Comments: A review of individual service plans, supported by the Civil Protection Team is completed. These plans will now help form the ICT BCP by identifying service areas priority systems. Following this a review of the corporate business continuity plan will be finalised and tested.											
4	Non-compliance with General Data Protection Requirement (GDPR).	<ul style="list-style-type: none"> <li>Reputational – adverse publicity and internal impact on service and individuals</li> <li>Financial – potential fines from ICO or compensation claim from individuals</li> <li>Resource – time consuming to</li> </ul>	4	4	16	Data Protection Policy  Governance structure in place  Breach reporting framework.  Staff awareness training.  GDPR action plan.  Dedicated Information Governance Officer	12	Director: Corporate Resources	Rollout of e-learning module Due date: Complete (annual refresher training will be completed)  Implementation of GDPR action plan.  Due date: Ongoing	9	↔

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		<p>report, investigate and mitigate data breaches</p> <ul style="list-style-type: none"> <li>Staff morale – in case of data breaches, potential disciplinary action</li> </ul>									
<p>Comments: A data retention project is due to commence in April 2024. This is a key action identified on the GDPR action plan and will review data held across the authority. As well as ensuring that any data held in excess of requirements is disposed of, the project will also introduce an information classification and handling policy to ensure data is processed in the most secure way. Outcomes of the project will ensure that the council is upholding best practice and complying with the data protection principles of data minimisation and storage limitation, thus reducing the risk associated with potential data breaches.</p>											
5	Use of Swindon Road depot.	<ul style="list-style-type: none"> <li>Business operation- not having a depot could result in issues with the waste and recycling operation.</li> <li>Legislation- none compliance with government legislation to collect waste.</li> <li>Reputational damage from residents.</li> </ul>	5	2	10	Lease agreement in place.	5	Director: Communities	<p>Elements of the lease arrangement of the depot have been reviewed and changes made to formalise the arrangements with Cheltenham BC. Due date: Complete</p> <p><b>Consider where a temporary depot could operate from in an emergency. Due date: January 2024</b></p>	5	↔

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Comments: The element of depot use that is most at risk is the storage and transfer of our recyclate to our contractors Casepak. At Swindon Road there is only storage for just over one days' worth of recyclate and if the contractor's haulage partner does not collect in line with the contract then we will soon run out of space resulting in a service failure. A contingency plan has been put into place to store the recyclate with another provider if necessary. This contingency has been used on a few occasions and works well. The other elements of this risk remain low. With regard to using a temporary depot, this is not an easy ask as the various planning permissions / EA permits etc would take time to put in place.

6	Failure to maintain council assets and ensure ongoing tenancies	<ul style="list-style-type: none"> <li>Loss of income</li> <li>Impact on revenue budget</li> <li>Scrutiny of commercial decision making</li> <li>Resource to resolve issue</li> </ul>	5	4	20	<p>Recent refurbishment of service-related property.</p> <p>Commercial investment reserve including annual contribution.</p> <p>Trained and experienced staff.</p> <p>Appointment of external investment support.</p> <p>Dedicated property team.</p>	10	Director: Corporate Resources	<p>Establishment of long-term asset maintenance programme, including allocation of required funding. <del>Due date:</del> February 2024</p> <p>July 2024</p>	5	↔
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### Comments:

The council owns a property portfolio estimated to be worth approximately £86 million (as of March 2023), which produced an annual income of £4.8m in 2023/24. A new Strategic Asset Management Plan (SAMP) for 2024-2029 has been produced and is an update of the previous Asset Management Plan. This plan sets out the councils property strategy for managing our assets over the five year period. On 20 March the new SAMP will be taken to Executive Committee. Following approval a production of Annual Management Plans (AMP's) will be produced for each property/ asset.

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7	Garden Communities status	<ul style="list-style-type: none"> <li>• Reputation - Confidence from Government of TBC ability to deliver programme</li> <li>• Financial (loss of NHB from assumed delivery of homes).</li> <li>• Reduced delivery of homes and jobs required for community</li> <li>• Meeting the longer-term housing need.</li> </ul>	5	5	25	Enhanced governance arrangements introduced (gateway review recommendations)	20	Assoc Director – Garden Communities	<p><b>Delivery of gateway review recommendations. Due date: March 2024 (short term recs) eg development of charter, engagement programme, embed governance framework etc.</b></p> <p><b>New governance arrangements in-place with all groups now have had at least one meeting.</b></p> <p><b>Charter presented to Council and adopted on 27 February 2024.</b></p> <p><b>Funding has been awarded from HE to cover costs to end of year 23/24.</b></p>	9	↔
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Comments: **With the governance structure stood-up and the charter being adopted in February 2024 at Council, the focus now moves onto other aspects of the programme including coordination with developers who are bringing forward proposals with focus now on the detailed engagement and detailed delivery plans.**

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8	Non-delivery of the Ashchurch bridge project.	<p>The project under HIF funding had a time limit of March 2024 for complete funding draw-down. This however was not extendable and further HIF funding support has been withdrawn.</p> <p>As the infrastructure is required to un-lock the wider development based upon developer funding, work continues to support.</p>	5	3	15	<p>Re-submission of the planning application is under consideration as to what is the most effective planning proposal.</p> <p>work continues on the licence/access arrangements with the relevant landowners and discussions with Network Rail.</p>	12	Associate Director-Garden Towns	<p><del>Discussions continue with the developers in the northern area on how a masterplan (and subsequent planning application) would detail the bridge. Due date: March 2024</del></p> <p>To ensure a level of certainty, land and access agreements are being discussed with the relevant land-owners. Due date: on-going</p>	8	↔
<p>Comments: Based upon the withdrawal of the HIF funding opportunity, finance is now based upon developers. As critical un-locking infrastructure, work continues to support the project with flow-down of any termination agreements as well as ensuring certainty of eventual delivery including land agreement and Network Rail approvals.</p>											
9	Failure to deliver carbon neutrality ambition.	<ul style="list-style-type: none"> <li>• Reputation- council have committed to a climate change motion</li> <li>• Financial resource</li> <li>• Potential re-alignment of resources</li> </ul>	4	5	20	<p>Appointment of countywide coordinator.</p> <p>Approval of action plan for Council carbon neutrality.</p>	15	Executive Director: Resources	<p>Identification of specific actions to support wider carbon neutrality of whole council and the Borough. Due date: September 2024</p>	4	↔

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		<ul style="list-style-type: none"> <li>Need to influence wider community</li> </ul>			<p>Delivery of a new solar car parking canopy.</p> <p>2 x dedicated Carbon Reduction Officer.</p> <p>Allocation of £100,000 reserve to support small scale activities.</p> <p>Rollout of carbon literacy training.</p> <p>Green champions</p>		<p>Allocation of funding to support specific activities, both on an on-going and one-off basis. Due date: Additional resources allocated in September 2023 but further resources likely to be required to deliver actions.</p> <p>Source external grant funding opportunities. Due date: Ongoing</p> <p>Collaborative working with partners to maximise efficiency and reduce cost. Due date: ongoing through Climate Leadership Gloucestershire.</p>	
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<p>Comments: <b>The replacement of the heating system within the council offices has now been completed and an evaluation of the impact of the new air sourced heating system will be made over the next 12 months. The project was delivered on time and in budget and is expected to take the council offices close to being carbon neutral. A tender for the installation of electric vehicle charging points has been awarded with the appointed contractor expected to begin works in March. The new Climate Change Officer role has been appointed to with an expected start date of early May.</b></p>											
10	Additional demand placed upon the council through cost-of-living support.	<ul style="list-style-type: none"> <li>Potential increase in homelessness cases.</li> <li>Increase in benefit related cases eg council tax reduction applications/DHP etc</li> <li>Reduced council tax and business rate collection rates</li> <li>Increased business enquiries to growth hub</li> <li>Inflationary increases on council supplies and services</li> <li>additional resource to deliver govt schemes eg energy rebate/food vouchers/warm places</li> </ul>	4	5	20	<ul style="list-style-type: none"> <li>Re-instigate the Financial Inclusion Partnership.</li> <li>Dedicated Discretionary Housing Payments Officer.</li> <li>Re-target balance of £98k council tax hardship grant.</li> <li>additional external funding eg £55k to support warm places.</li> <li>Introduction of multi service cell to harness a cohesive response.</li> <li>New version of the household support grant being devised.</li> </ul>	20	Director: Community Services	Monitor the impact and consider what further actions can be taken working closely with other partners. Due date: ongoing	10	↔

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Comment: A number of support schemes are in place and these are kept under constant review. This risk will continue to be under review. **No change to this risk since the last update in November 2023.**

11	Sustained increase in migration and movement of people	<ul style="list-style-type: none"> <li>• Reputation - increased demand on services leading to service deterioration.</li> <li>• Increased demand in the Voluntary and Community Sector.</li> <li>• Increased financial pressure on budgets.</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>• member of the countywide strategic migration partnership.</li> <li>• Lobby MPs / Government to increase funding and support for all migration schemes.</li> <li>• Continued engagement with the South West Migration Partnership to stay informed on the Afghan dispersal.</li> <li>• Development of contingency plans for large numbers of homeless applications over the winter when pressures are already significant.</li> </ul>	20	Director: Community Services	Monitor the impact and consider what further actions can be taken working closely with other partners. Due date: ongoing	10	↔
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13	Non-delivery of the Development Management review.	<ul style="list-style-type: none"> <li>Reputational damage</li> <li>Failure to meet the national thresholds for 'major' and 'non-major' planning applications or quality metric on % of overturned appeals – govt intervention.</li> <li>Significant resource invested in the project.</li> <li>Staff morale and staff retention</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Approved project plan with dedicated workstreams</li> <li>Internal programme board chaired by Chief Executive and Lead Member representation</li> <li>£450K DLUHC grant funding</li> <li>New Executive Director and Associate Director.</li> </ul>	9	Associate Director: Planning	<p><b>Delivery of year three plan.</b>  <b>Due date: completion end of 2024/25</b></p> <p>Support service review.            Due date: Spring 2024</p> <p>Deliver new ways of working through Business Transformation, including expenditure of the DLUHC funding.            Due date: end of 2024/25</p> <p>£100k bid was successful for the Government launched Skills and Capacity Backlog Fund.</p>	4	↔
<p>Comments: Year three actions against each workstream identified, this includes new S106 work area.</p>											