

Appendix D - Corporate Business Plan - Risk Register

Negative Risks

| Ref | Risk Description | Key Causes | Key Consequence | Status Open / Closed | Strategic Theme | Risk Category | Risk Owner | What we have done | Direction of travel | Current Risk Level | | | Monetary Impact of Risk £k | Risk Tolerance | | | Management Action, Control and Fallback Plans | | | Management Status/ Comments | |
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| | | | | | | | | | | Likelihood | Impact | Risk Rating | | Likelihood | Impact | Risk Rating | Date | Actions to be undertaken | Resp. Officer | | Due date |
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| 1 | The corporate business plan is not approved or published. | 1. This would happen if the decision pathway breaks down, the officers leading the project fail to produce a plan, or leave their roles without continuity planning, or if the service areas fail to produce plans to feed into the overall corporate plan. | The council does not demonstrate how it is meeting its commitments as set out in the Corporate Strategy 2018-2023. The process is not followed correctly or robustly. The final output does not adequately or accurately reflect the programme of the Council | Open | Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing | Reputation | Tim Borrett, Director: Policy, Strategy and Partnerships | 1. Developed a rigorous process to ensure service plans are created and approved by Executive Directors, that the leading officers produce a plan which is socialised with members of scrutiny (pre-decision), the Mayor and Cabinet, executive directors prior to final approval. 2. Build capacity within the responsible teams (policy and public affairs; performance, intelligence and insight) to ensure knowledge is disseminated and understanding of the process is held more broadly. 3. Approved the plan via Corporate Leadership Board. | ↔ | 1 | 1 | 1 | | 1 | 1 | 1 | 15/03/19 | 1. Noting of Business Plan 2019/20 at Cabinet. 2. Publication on council website, accompanied with appropriate pro-active internal and external communications. | Jean Candler, Head of Policy and Public Affairs | Mar-19 | Good progress has been made in developing the corporate business plan, building on learning from the previous year and having 'stock takes' within leadership forum (service managers and above), and at Executive Director Meetings. Oversight provided by CLB, Cabinet, as well as engagement with Scrutiny. We will undertake a review as well as receiving recommendations from an internal audit report of the process. |
| 2 | The corporate business plan does not include all material actions. | 1. If Service Plans have not captured all relevant actions, or these are not adequately or accurately covered in the corporate business plan. 2. If the compiling team, Directors, Executive Directors and Cabinet Members all miss omissions during checking and sign-off. 3. Priorities or available resources change between publication (April 2019) and implementation during the year. | The published corporate business plan does not include all relevant actions or set them out accurately, resulting in reduced transparency. | Open | Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing | Reputation | Tim Borrett, Director: Policy, Strategy and Partnerships | 1. Included a series of checks into the process providing many opportunities for checks by service managers, Directors, Executive Directors and Cabinet. 2. Invited internal audit to conduct a review of the process. 3. Included narrative in the plan explaining that things can change during the year; for example as a result of Brexit outcome. | ↔ | 1 | 1 | 1 | | 1 | 1 | 1 | 15/03/19 | 1. In-year 'stock take' exercises and performance monitoring with managers. 2. Inclusion of narrative 'year in review' in next year's Business Plan, offering an opportunity to highlight what was achieved, what changed and why, | Jean Candler, Head of Policy and Public Affairs | Apr-20 | Good progress has been made in developing the corporate business plan, building on learning from the previous year and having 'stock takes' within leadership forum (service managers and above), and at Executive Director Meetings. Oversight provided by CLB, Cabinet, as well as engagement with Scrutiny. We will include a review of the 2019/20 year in the 2020/21 business plan. |
| 3 | If we cannot resource the actions identified in the Business Plan, we may not achieve the linked outcomes in the Corporate Strategy. | 1. Brexit outcomes are unclear and uncertain, and a disorderly EU Exit might incur significant cost and have personnel implications. 2. If there are national funding or political changes. 3. If there are any emerging unpredictable pressures not accounted for in annual budget or Medium Term Financial Plan. | The council needs to make changes to its priorities and actions reflecting financial or national changes, and this takes it off course in delivering its Corporate Strategy outcomes, future planning and aspirations. | Open | Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing | Finance/ Reputation | Tim Borrett, Director: Policy, Strategy and Partnerships | 1. No Deal Brexit Scenario Planning has been conducted and a response group established to manage any outcomes as a result of Britain Exiting the EU. 2. The business planning cycle was aligned to the budget cycle, enabling managers to highlight any known uncontainable pressures and align their Service Plans with their annual budget envelope. 3. Budget and reserves/contingency reviewed as part of 2019/20 budget process. | ↔ | 3 | 5 | 15 | | 2 | 5 | 10 | 15/03/19 | 1. In-year monthly monitoring of progress and financial forecasts, enabling managers to highlight potential areas of pressure. 2. Continued Brexit planning via the council's Brexit Project Board, utilising national funding streams and/or allocated reserves to contain pressures insofar as possible. Continuing to make the case to government for fair funding, particularly in mitigating any impacts of a disorderly Brexit. | Tim Borrett, Director: Policy, Strategy and Partnerships | Mar-19 | The continued uncertainty around Brexit and increased risk of a disorderly Brexit makes this a higher risk issue. It is hoped, but not certain, that any costs relating to a disorderly Brexit can be funded centrally by HM Government. |
| 4 | There may be insufficient strategic focus on the delivery of core statutory and regulatory functions as these are not identified as 'Key Commitments'. | 1. If people adhere to the Corporate Strategy themes and commitments too rigidly as the 'only' priorities, overlooking 'Our Principles', 'Organisational Priorities' and/or statutory, regulatory or legal obligations. 2. Not including a full list of services and obligations in the Corporate Strategy and annual Corporate Business Plan to avoid it being 'everything to everyone' or a less strategically prioritised list of 'everything a council does'. | 1. Failure to adequately resource or deliver core duties and/or other organisational priorities. 2. Risk of service impacts and/or legal challenge and/or reputational damage if this occurs. | Open | Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing | Finance/ Legal/ Reputation | Tim Borrett, Director: Policy, Strategy and Partnerships | 1. This is the second year of the business planning for delivery of the Corporate Strategy. We have learnt lessons from year one. We have captured inputs on progress throughout the year, ensuring that core statutory and regulatory functions are prioritised, and will continue to refine the process, including receiving recommendations from Internal Audit on what further actions we can take to mitigate this risk. | ↔ | 1 | 5 | 5 | | 1 | 5 | 5 | 16/03/19 | 1. Continue to refine our process for business planning, including reviewing recommendations of an audit of the process. 2. Ongoing performance and compliance monitoring throughout the year. 3. Normal management oversight and action within services and at a senior leadership level. | Tim Borrett, Director: Policy, Strategy and Partnerships | Mar-20 | This risk is largely contained via 'business as usual' good practice in management and process, but we will undertake an informal self-led review of our business planning process (i.e. 'lessons learned') as well as receiving recommendations from an internal audit inspection of the process. |

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| 5 | The council fails to meet the targets it has set itself. | <ol style="list-style-type: none"> 1. If there is a lack of clarity within the corporate business plan between commitments, actions, measures and targets. 2. If links are not made by managers from the Business Plan through to individual objective setting for staff. 3. If there is not robust ongoing performance management. 4. If issues outside of the council's control affect performance and/or deliverability of actions. 5. If targets are not realistic. 6. If there is not adequate scrutiny of targets and performance. | <ol style="list-style-type: none"> 1. Poor understanding of the difference between targets, measures and what is being measured (Corporate Strategy commitments not actions). Failing to convey this, leading to misunderstandings. 2. Failing to fully deliver the aims of the council's Corporate Strategy. | Open | Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing | Reputation | Tim Borrett, Director: Policy, Strategy and Partnerships | <ol style="list-style-type: none"> 1. We have updated the wording in the plan to differentiate more clearly what is being measured and how. We will produce a separate set of targets, expected by July 2019, which will sit as a supplementary document to this plan. 2. We have designed a quarterly performance reporting process where all appropriate managerial layers (and councillor-led equivalents) are able to assess performance and take mitigating action. 3. We have engaged scrutiny members in pre-decision scrutiny on the Business Plan and Performance Framework, raising awareness and enabling them to consider scrutiny arrangements for 2019/20. 4. Targets for 2019/20 will need to be agreed at Executive Director level (for directorate measures) and Corporate Leadership Board (for shared corporate measures). | ↔ | 2 | 3 | 6 | | 1 | 3 | 3 | 15/03/19 | <ol style="list-style-type: none"> 1. Target setting and sign-off for 2019/20 by July 2019; with targets and results published online. 2. Reporting on 2018/19 year end performance to relevant senior officer and member forums. 3. Ongoing quarterly reporting of performance to relevant senior officer and member forums. | Mark Wakefield, Head of Insight, Performance and Intelligence | Jun-20 | This requires robust ongoing oversight and management leading to constructive support and challenge across the council; reaching from the corporate level down to individual performance management. To date in 2018/19 performance against Key Performance Indicators is approximately 50/50 in terms of being under or over target, so there are several areas requiring ongoing attention and this is reported as a matter of course to Executive Director Meetings, Corporate Leadership Board, Directorate Scrutiny Commissions, Overview and Scrutiny Management Board and Cabinet. |
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