

Primary Risk Register Number	Specify Linked Corp. Objective	Risk	Initial Risk Category	Existing controls and/or Mitigation	Residual Risk Category	Further Action Planned	By Who?	Deadline	Target Risk Category
		Heading Risk Owner and Service/Team Risk Code(s) Overview/Description of risk(s) Include any financial Implications £	Without controls L x S	Documents, Policies, controls etc. currently in place	With controls L x S	What further action is proposed/necessary to control the risk? Include costs/resources required if known £.			L x S
1	All Objectives	<b>Property Management / Investment</b>	4 x 4	Empty Property Procedure (informal)	2 x 3	Asset Management Strategy under development - to include action plan, incorporating construction projects and management	AG	Date to be agreed as part of finalising the action plan from the recent internal audit in this area - meeting to take place w/c 22/01/18	1 x 3
		Ann Greaves Legal & Estate Services		Specialist contractor employed to manage empty properties		Budget review following completion of projects	AG	30/09/2017	
		LA, FL, RR, AR, OR, RR		Policy to bring empty properties back into use		To ensure investment strategy clearly includes: market knowledge/skills when assessing acquisitions, assessment of short & long term risks, not taking on undue or disproportionate risk in aggregate, continual monitoring of risks, ensuring a balanced investment portfolio - spreading risk, following CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes.	AG	TBC	
		Empty property management		Managing agents contracted in for commercial premises		Required to review process of property valuation, to ensure correct insurance cover	AG	30/06/2018	
		Managing commercial / leased properties		Formal leases in place for all tenants		Work programme to be developed to embed the revised Codes of Practice and outcome of DCLG's consultation exercise carried out during December. Results of the consultation and updated CIPFA guidance is awaited.	AF	TBC on receipt of updated guidance	
		In-house property construction / refurbishment projects		Small scale projects being tested before expansion		To consider how to secure and retain permanent property expertise/resource.	AG	Q1 2018/19	
		Significant financial risk Retaining adequate specialist property expertise in order to support this and regen programme		Property expertise acquired through agency arrangements					
2	Digital Strategy + All Objectives	<b>Information Assurance / Security</b>	4 x 4	Data/system access controls	3 x 4	Review security measures such as encryption/pseudonymisation	TBC	Following GDPR working group work	2 x 4
		Nigel Swan IT		Acceptable Use Policy		Corporate data classification/handling procedure/policy required	NS	To follow assey review.	
		LA, RR, FL, SR		Annual penetration testing		Security incident test required	RS / NS	Combine with Business Continuity exercise and breach procedures test by end Q4 2017/18	
		Public Services Network Standards		Perimeter firewalling		Information asset register initial work completed, incorporates base line information for data classification. Information to be risk rated for priority.	DM	In progress, risk rating to be completed by 2nd Feb 18	
		Sanction - risk of being disconnected from network able to process benefit claims etc		Patch management		MDM workstream - to increase security in use of Council and personal mobile devices.	NS	01/04/2018	
		Risk of system compromise / data breach / data loss and service loss. Loss of digital services. Risk of unannounced site audit, compliance with gaps identified over		Annual security elearning training for all staff Annual gap analysis audit In-house technical expertise Internal system audits		Email protective marking, software to be purchased and procedures implemented	NS	To follow asset review.	
3	All Objectives	<b>Information Governance</b>	4 x 4	Data Protection Policy	3 x 4	Address concern of physical confidential information e.g. waste bags prior to disposal not being secured, public accessing secure parts of building etc. To review and investigate inclusion in existing policies.	DM	As part of GDPR working group. May 2018	1 x 4
		Diane Milton Legal Services		Acceptable Use Policy		Retention guidelines to be reviewed/updated and to include electronic data.	DM	Following asset review. Deadline TBC	
		LA, RR, FL, SR		Physical security of servers		Identify the legal basis for data processing.	DM	To follow asset review.	
		Data Protection Act		Annual penetration testing		Third party tenants located within RBC Offices, access to confidential data and information. To review and include in an existing policy	DM	As part of GDPR working group. May 2018	
		General Data Protection Regulations, Law Enforcement Directive, E Privacy Regulations		Document strong room with restricted access		Evaluate methods of effectively deleting personal data upon request (all systems). Develop Council-wide system - for multiple systems.	DM/NS	As part of GDPR working group.	
		Reuse of Public Sector Information Regulations		Internal system audits		Review and update Data Protection Policy	DM	As part of GDPR working group.	
		Max fine 20 million euros (following GDPR May 2018 Euro 20'000'000)		Secure disposal of confidential waste		To put in place robust training scheme for all members of staff/members	DM	As part of GDPR working group. My 2018	
		Evidence of data loss within organisation Absence of training throughout organisation		In-house competent legal advice Retention guidelines		Privacy notices/online content/stationary to be designed/put in place for all services. Amanda Fahey appointed as SIRO, DPO appointment to be confirmed.	DM DM	As part of GDPR working group. May 2018 01/05/2017	
		Poor contract procedures		Secure door entry system CCTV Policy / Procedures		Data Governance Policy / Procedures to be put in place. Including rights of individuals, data breach handling, data sharing etc.	DM	As part of GDPR working group. May 2018 for priority areas following asset review.	

4	All Objectives	<p><b>Failure to maintain Financial Position</b></p> <p><u>Amanda Fahey Financial Services</u></p> <p>LA, RR, FL, PR, OR</p> <p>Financial - Effect on property market of Brexit Cost of borrowing increase, future of business rates retention scheme Interest rate crash, external audit by 'value for money conclusion' Further changes/reductions in Central Government funding - business rates retention scheme, fair funding review, new homes bonus, Legislative requirement to set a balanced budget, risk of step in from Central Government Risk to service delivery - particularly statutory services Capacity to resource transformation programme &amp; major projects</p>	4 x 4	<p>Medium term financial strategy in place</p> <p>Financial forecasting reports</p> <p>Treasury management policies</p> <p>Transformation programme / Steering group Income Generation Organisational Redesign</p> <p>Customer &amp; Digital Strategy</p> <p>Dedicated project accountant appointed to support Transformation</p> <p>Monitoring programme in place to ensure saving delivery.</p>	2 x 4	Improvement plan to go to cabinet for consideration.	PS	03/04/2018	1 x 4
5	Link to Objectives TBC	<p><b>Large Regeneration Projects</b></p> <p><u>Karen Edwards DMB - via Regen Hub</u></p> <p>LA, RR, FL, OR</p> <p>Risk to financial viability of schemes - external influences such as market values Affordability to Authority Holding costs during assembly of project Partner commitment e.g. other landowners &amp; competing priorities Risk of legal challenge during compulsory purchase Risk of further decline in town centres, effecting local economy</p>	4 x 4	<p>Using RegenCo to establish robust programme and deliver</p> <p>Farnborough Civic Quarter Master Plan</p> <p>Budgets established to enable access to external expertise. Regen team evolving, project accountant role established &amp;</p> <p>Regular oversight meetings with Elected Members Investigating short term use/income opportunities from acquired assets</p> <p>Bids being made for external funding</p> <p>Investigating sharing risk through partnership with private developers MOU with other public bodies/landowners Legal advice sought on CPO</p>	2 x 3	<p>Robust regeneration function with access to appropriate levels of expertise and resource to be fully established &amp;</p> <p>Follow through actions arising from January Cabinet Report.</p> <p>Regular communication with residents and public engagement around major projects.</p>	KE/PS KE KE	Q4 2018/19 Q1 2018/19 Ongoing, as part of setting robust programme.	2 x 2
6	None specific	<p><b>Safeguarding Arrangements</b></p> <p><u>Caroline Ryan Community</u></p> <p>LA, RR, PR, OR</p> <p>Safeguarding duties under Children's Act - adults and children, PREVENT etc. Rushmoor and all of its Contractors / funded orgs. Potential for serious injury, death etc. Would lead to inquest/investigation/bad publicity etc.</p>	3 x 3	<p>200 Staff trained in safeguarding Champions being provided enhanced training Referral process in place</p> <p>Safeguarding Children's Board return completed</p> <p>Policy in place approved by CLT and Members Inform site &amp; champions posters in place</p>	2 x 3	<p>Staff training scheduled to take place Q4 2017/18 - ongoing refresher training thereafter To define commissioned services and put in place audit process via Service Champions &amp; Audit E-learning module to be developed for staff</p> <p>Safeguarding to be included in staff contracts (new &amp; renewed)</p> <p>Safeguarding to be included in Induction Process - elearning module.</p>	CR CR CR HR CR	By the end of March 2018 Q1/2 2018/19 Q1/2 2018/19 TBC - Post policy Q1/2 2018/19	2 x 2
7	None specific	<p><b>Insurance Risks</b></p> <p><u>Morag McVey Payments &amp; Insurance</u></p> <p>FL, LA, RR, AR</p> <p><b>A</b> Discount rate on claims changing. Interest rate changes, potential for claim payouts to be significantly higher. Premium increases. Risk contractors may have insufficient cover. <b>B</b> Insurance Act 2015. Requirement to update insurer of material changes that are known or should be known by Senior Management. Risk of loss of insurance cover. <b>C</b> Undervaluing of Council Property. Risk of insufficient insurance cover.</p>	3 x 3	<p><b>A</b> Increased level of insurance to cover to £40M.</p> <p><b>B</b> Reported to CLT in Q3 2017/18 - for cascading to staff</p> <p><b>C</b> Third party evaluations carried out November 2016. Some accuracy concerns raised by Auditors.</p>	2 x 2 3 x 3 3 x 3	<p><b>A</b> Corporate response required to ensure all contractors have minimum insurance coverage, related to role and responsibilities/risks. Scoping works to identify main contractors required.</p> <p><b>B</b> Workshop to be arranged for middle managers to assist cascade of information. <b>B</b> To investigate utilising insurer risk management training days.</p> <p><b>C</b> Insurer affiliated third party company to be instructed to re-evaluate a selection of properties in order to assess general accuracy of all.</p>	TBC AF MM MM/AS	Jun-18 Jun-18 Mar-18 Jun-18	1 x 1 2 x 3 1 x 1
		<p><b>T19 HCC Transformation Programme - Significant Risks to RBC</b></p> <p><u>Peter Amies Community</u></p> <p>RR, PR, FL, OR</p> <p><b>A</b> Civil Parking Enforcement of on-street parking no longer carried out by RBC. Potential loss of jobs in back office (TUPE), possible downsize of support services and parking revenue surplus - circa £200k annually.</p>	3 x 4	<p><b>A</b> Meetings held with other LAs and HCC in December 2017. Ongoing meetings planned.</p>	3 x 3	2 year notice period for termination - beginning March 2018. Ongoing meetings planned to influence HCC decision. Potentially amend agency agreements rather than total loss.	Peter Amies	Next meeting end of January 2018	2 x 2

8	<b>Pledge on maintaining weekly collection. Cleaner, greener Rushmoor.</b>  <b>A cleaner, greener and more cultural Rushmoor</b>  <b>Supporting and empowering our communities and meeting local needs</b>	<b>B</b> Agency agreements with RBC ending. Potential loss of traffic management agency work and posts (TUPE). No financial impact - major loss in control/influence.	3 x 2	<b>B</b> Meetings held to discuss proposals in December 2017. Considered exemplary in Hampshire. Ongoing meetings planned.	3 x 2	1 year notice period for termination - beginning March 2018. Ongoing meetings planned to influence HCC decision. Potentially amended agency agreements rather than total loss.	Peter Amies	Next meeting end of January 2018	2 x 2
		<b>C</b> Changes in waste disposal contract, 5 year+ programme. Potentially significant impact on the RBC waste contract. Requirement for new disposal site may require significant capital support. Given RBC position on collections financial impact is likely to be minimal on contract. Possible Political considerations..	3 x 3	<b>C</b> Meetings held by IH with HCC to discuss proposals. Long-term minimum 5 year project.	3 x 3	Ongoing meetings being held by IH, long-term project with no immediate effects. Until such time as further detail on proposals are made, further mitigation is not possible.	Ian Harrison	Quarterly meetings planned	2 x 2
		<b>D</b> Household waste recycling centres, risk of reduced service or closure. Increased waiting times on already stretched services will result in increase in fly-tipping incidents, contamination of waste streams or littering. May also result in positive impact - increase demand for paid garden waste service. 2 year programme of change.	3 x 3	<b>D</b> Currently RBC not taking action to mitigate but actively keeping watching brief on proposals as made. Supportive of options that do not reduce service.	3 x 3	Plan to keep watching brief until such time as proposals become clearer, to then take action to mitigate impact on RBC if possible	Peter Amies	TBC	2 x 1
		<b>E</b> Changes to social inclusion service funding. Potential risk of reduction in support services for vulnerable homeless. In particular for stage 1 and stage 2 housing. Potential risk of increase in homelessness and associated temporary accommodation costs.	4 x 3	<b>E</b> Meetings held with HCC, awaiting draft proposals for services ending in March 2019, HCC working group established. Influencing outcome.	4 x 2	Seeking advice from LGA on provision of temporary accommodation for homeless people and exploring other housing options with regen and assets team, third party partners etc.	Qamer Yasin	Recommendations to be brought forward to CLT for consideration April 2018	4 x 2