APPENDIX B - Strategic Risk Register

PLYMOUTH CITY COUNCIL

RISK HEAT MAP

RISK ID	RISK EVENT	RISK STATEMENT	OVERALL INHERENT SCORE	RISK OWNER	MITIGATING CONTOLS/PROGRESS CAUSE CONTROLS	MITIGATING CONTOLS/PROGRESS IMPACT CONTROLS	CURRENT LIKELIHOOD SCORE	CURRENT IMPACT SCORE	OVERALL CURRENT SCORE
01	**Failure of financial planning and delivery undermining long term sustainability.**	Without effective financial management, governance, and control, the Council faces a significant risk of financial unsustainability. This could lead to substantial and potentially long-term consequences, severely undermining its ability to deliver statutory services and achieve its strategic objectives.	20-25. High	Service Director for Finance (s151 Officer)	CAUSE CONTROLS **Preventative controls:** • Medium-Term Financial Plan (MTFP) aligned with corporate priorities • Annual budget setting process with member scrutiny • Financial Regulations and Scheme of Delegation • Pervasive system of financial control as considered and assured through the Annual Governance Statement and self-assessment in line with CIPFA Financial Mgt Code • Reserves policy and review of financial resilience indicators • Strategic alignment between finance and service planning • Annual Governance Statement **Detective controls:** • Monthly budget monitoring and variance analysis • Quarterly financial reporting to Cabinet and Scrutiny • Internal audit programme covering financial controls • External audit of financial statements and value for money	• Financial recovery plans and in-year budget adjustments • Targeted support and training for budget holders • Action plans following audit recommendations • Use of contingency and earmarked reserves	4. Likely	4. Major	10-19. Medium
02	**Failure of cyber security protection framework to prevent data breaches, service disruption or loss of sensitive data.**	The Council faces a constant risk of being targeted by cyberattacks or data breaches involving its protected information. Without having specialist expertise and robust mitigation strategies, it is vulnerable to the loss of extremely sensitive data, disruption to statutory service delivery, and potentially severe financial consequences.	20-25. High	Chief Operating Office	The Council continues to invest and support Delt to implement cost effective technology to protect our systems and networks, recent improvements include: • E5 data loss protection • E5 end point detection • Asset management software tracking devices connecting to our network • Real time vulnerability scanning across our estate • 3rd party specialist monitoring and response to suspicious activity and threat analysis We also work to strengthen our "human firewall" with continued emphasis on: • Staff training and awareness, including our annual cyber security awareness week • Strong password rules • Multi factor authentication on accounts • Blocking of international access	The Council is implementing a strategy of diversification of our key systems across different hosting arrangements in order to minimise the chances of all systems being compromised simultaneously. Additionally the Council works closely with Delt to exercise business continuity plans and disaster recovery routines within Delt. We have a process to support and protect individuals whose accounts have been compromised to help them rebuild relationships and trust with 3rd parties that might have been sent infected messages. Delt have limited insurance cover for a cyber attack.	4. Likely	5. Catastrophic	20-25. High
03	**Failure to leverage strategic data effectively, resulting in poor decisions.**	Without effective processes and procedures for collecting, storing, updating, presenting, and utilising data, the Council risks being unable to respond to emerging trends, operate efficiently, and make informed decisions. This could result in increased costs, reduced service effectiveness, and poor strategic outcomes.	10-19. Medium	Chief Operating Office	The Council has recently created a new record store for physical files. The new store provides the right conditions to maintain paper files and has been catalogued to be clear about what data is contained there. Over the course of the next 18 months or so the Council will be seeking to migrate digital records from the locally hosted (by Delt) S: and F: drives to the Microsoft hosted Sharepoint and One Drive. This migration will give an opportunity to consider what data we are currently storing and remove the Duplicates, Redundant records, Obsolete data and Trivial (DROT). The Council is also refreshing its Record of Processing Activity (ROPA), this provides an index of all the data entities accessed and processed by the Council. Maintaining this index will provide a sound platform for exploiting our data in future.	Creating a Data, Insight and AI Service (DIAS) required to support both our City Help and Support (delivering prevention) and operational efficiencies across the Council will focus the organisation on data cleansing and management requirements as well as bringing the right skills to bear on opportunities to create single view and predictive models to help identify how and where interventions could be targeted to avoid residents falling into crisis.	2. Unlikely	4. Major	3 > 9. Low
04	**Failure to recruit, retain and support workforce capability and capacity, impacting service delivery and organisational performance.**	Unless the Council actively maintains and supports its existing workforce, it risks losing critical skills and knowledge essential for delivering statutory services and achieving strategic objectives. An additional risk lies in the Council's ability to position itself effectively to attract and retain individuals with the right skills, expertise, and behaviours needed to drive organisational success.	10-19. Medium	Service Director for HROD	• Use of pay mechanisms e.g. R&R premia, MFS • Promotion of benefits – key part of work at PCC • Update and attractive recruitment materials • Targeted advertising through e.g. LinkedIn • Analysis & benchmarking • Local training budgets, use of apprenticeship levy • Team conversations through charters • Review of support mechamisms • Workforce planning tools • Corporate training programmes - Management & Leadership Development, Digital Academy	• Apprenticeship/early careers strategy, development programmes, pay supplements • Developed skills using e.g. LinkedIn & similar • Workforce planning toolkits • Workforce planning in those areas • Quality Assurance of services • Updated People Strategy • Developing links with schools, colleges, universities • Work experience programmes, outreach to schools • Work with other agencies e.g. Armed Forces, DWP	2. Unlikely	4. Major	3 > 9. Low
05	**Failure to nurture and develop our key relationships leading to a breakdown affecting service delivery.**	Without sufficient attention to building, maintaining, and evolving strategic relationships with key partners, stakeholders, and service providers may lead to a breakdown in effective collaboration. This could result in fragmented service delivery, reduced effectiveness of joint initiatives and missed opportunities for innovation. The impact may be particularly acute in areas requiring multi-agency coordination, such as health, social care, and community safety.	3 > 9. Low	Strategic Director Adults, Health and Communities	• Investment in key partner relationship development and maintenance • Effective and clear governance arrangements that include escalation and resolution approaches • Safeguarding roles and responsibilities are clearly defined across services to ensure accountability and coordination. • Regular communication and engagement with key partners along with clearly established communication channels. • Quality assurance processes are in place to monitor the effectiveness of safeguarding interventions and care standards.	• A response framework is in place to escalate and address safeguarding concerns or issues, including established resolution process. • Internal audit and case review mechanisms help identify gaps and drive continuous improvement. • Use of wider partnerships to support navigation of issues	2. Unlikely	3. Moderate	3 > 9. Low

RISK ID	RISK EVENT	RISK STATEMENT	OVERALL INHERENT SCORE	RISK OWNER	MITIGATING CONTOLS/PROGRESS CAUSE CONTROLS	MITIGATING CONTOLS/PROGRESS IMPACT CONTROLS	CURRENT LIKELIHOOD SCORE	CURRENT IMPACT SCORE	OVERALL CURRENT SCORE
06	Failure to maintain and develop a robust and successful supply chain.	There is a risk that the Council may not adequately sustain or evolve its supply chain arrangements, including procurement frameworks, supplier relationships, and market engagement strategies. This could lead to service disruption, reduced value for money, delays in project delivery, and increased vulnerability to external shocks such as market volatility or supplier insolvency. A weakened supply chain may also hinder the Council's ability to respond flexibly to emerging needs and strategic priorities, impacting overall service quality and public outcomes.	10-19. Medium	Service Director for Finance (s151 Officer)	• Procurement Strategy explicitly identifies contract and supplier relationship management as a vital enabler to the successful delivery of public services. • Subject matter experts must be engaged at the earliest opportunity within a procurement process to provide advice and guidance on any risks and mitigations relevant to their area of expertise. Where appropriate subject matter experts should continue to be consulted at appropriate times throughout the procurement process and during the delivery of the contract. Any gaps in the Council's internal expertise must be noted in the business need analysis and plans for the appropriate mitigation of any associated risks put in place. • Business cases are required for all contracts valued over £50K to justify investment, ensure alignment with Council priorities and identify risks to be considered as part of procurement processes. • A sourcing strategy is required for all contracts valued over £50K to identify the procurement route to market which represents best value taking into consideration the value, nature and risk profile of the contract in question. This includes consideration of supplier diversification to reduce reliance on single providers and improve resilience. • Pre-procurement early market engagement is strongly encouraged to inform the contract specification and sourcing strategy and warm up potential suppliers including the encouragement to form partnerships to ensure resilience. • Procurement processes are standardised and subject to regular review to ensure transparency, consistency, compliance, and the incorporation of good practice. • Contacts are awarded based on 'Best Value' defined as the optimum combination of price, quality and social value. What is optimum is defined on a procurement-by-procurement basis according to the nature, value and risk profile of the contract. • Contracts are awarded on the Council's standard terms and conditions wherever possible to ensure consistent management and adherence to key risk areas such as Data Protection. • The setting of contract KPIs and related contract management requirements is a standard consideration within procurement processes and is mandatory for contracts subject to the Procurement Act above £5M (ex VAT). • Contract management and monitoring arrangements must be undertaken in a manner that is relevant and proportionate to the benefits and the risks associated with the specific requirement. Any Officer who is appointed a Contract Manager must have the appropriate skills and experience to ensure delivery of the Council's requirement in accordance with the contract. • Contract awarded under the Procurement Act must be monitored in accordance with legislation including the publication of mandatory notices. • Contract extensions, variations and novation cannot be executed without the engagement of Procurement and obtaining the necessary authorisations.	• In the event that a supplier breaches or fails to perform in accordance with their contract, the matter should be brought to the attention of the supplier at the earliest opportunity. Where the failure(s) is not serious or material in nature all reasonable steps should be taken to agree an improvement or performance management plan. • Where a failure is serious or material in nature, or a supplier has been given proper opportunity to improve performance and failed to do so discussion must take place with Legal Services and Procurement on next steps. • Service business continuity and contingency plans must be in place to ensure delivery of critical and statutory services during supplier disruption. • Financial oversight mechanisms, including cost tracking and contract reviews, help manage recovery costs and prevent unexpected increases. • Advice should be sought from Legal Services and Procurement prior to any contract being terminated. • Contracts must be terminated in accordance with the terms and conditions of contract and in accordance with the Legislation where applicable. • Consideration can be given to the use of the 'emergency' procurement procedure and use of 'waivers' to put in place alternative arrangements.	2. Unlikely	3. Moderate	3 > 9. Low
07	Failure to safeguard vulnerable adults from neglect and harm.	The Council holds a critical responsibility for safeguarding vulnerable adults from harm, abuse, and neglect. Without the implementation of high-quality care standards and robust safeguarding controls, there is a significant risk of failing to protect the wellbeing of vulnerable individuals. This includes shortcomings in coordinating safeguarding support mechanisms, developing effective procedures and processes, and responding appropriately to safeguarding enquiries.	10-19. Medium	Strategic Director Adults, Health and Communities	• Development and maintence of a social work practice model setting out the standards of practice in this area. • Training and Development Programme for staff delivering mandatory safeguarding and protection services and ensure attendance compliance. • Maintain the Plymouth Safeguarding Partnership for Adults, independently chaired, that brings all partners together to support ensuring people are safe in our City. • Deliver early intervention and prevention services • Promote Adult Safeguarding across our city and its provider including the comminuty and voluntary secotr • Strong Governance and Performance Management and quality assurance is in place, including by elected members and external challenge partners. Sector Led Improvement Partners are in place and performance management and quality assurance information is scrutinised regularly at all levels of management to drive practice.	• Robust referral and safeguarding processes in place. • Robust safeguarding arrangements in place across the Plymouth Safeguarding Partnership; safeguarding escalation process in place and effective emergency response. • Effective quality safeguarding practice. • Build and maintain effective relationships within the service and with service users; receive and act on feedback and learning from incidents. • Maintain good relationships with regulators; including Ofsted and ensure the service meets Ofsted standards. • Positive communication with stakeholders and public.	2. Unlikely	4. Major	3 > 9. Low
08	Failure to safeguard vulnerable children from neglect and harm.	The Council has a statutory duty to protect children from harm, abuse, and neglect. Failure to deliver this responsibility may result from inadequate early intervention, poor multi-agency coordination, insufficient training for professionals working with children, or ineffective safeguarding processes. Such failures could lead to serious physical or emotional harm, long-term developmental consequences, legal liability, reputational damage, and a loss of public trust in the Council's ability to protect children. Ensuring timely and appropriate responses to safeguarding concerns, alongside strong governance and oversight, is essential to maintaining the safety and wellbeing of children across the city.	10-19. Medium	Director Children's Services	• Implement Training and Development Programme for staff delivering mandatory safeguarding and protection services and ensure attendance compliance. • Implement values and behaviours framework, receive and act on staff feedback and deliver the Achieving Excellence 3 Year Improvement and Transformation Plan. • Deliver early intervention and prevention services and the Family First for Children Programme to reduce demand for statutory services and maintain caseloads at manageable levels. • Active permanent recruitment campaigns in place to fill staffing gaps and maintain manageable workloads that reduces staff turnover and sickness and maintains good staff morale. • Strong Governance and Performance Management and quality assurance is in place, including by elected members and external challenge partners. Sector Led Improvement Partners are in place and performance management and quality assurance information is scrutinised regularly at all levels of management to drive practice.	• Robust referral and safeguarding processes in place. • Well-functioning Partnership Integrated Front Door to Children's Services. • Robust safeguarding arrangements in place across the Plymouth Safeguarding Partnership; safeguarding escalation process in place and effective emergency response. • Effective quality safeguarding practice. • Build and maintain effective relationships within the service and with service users; received and act on feedback. • Maintain good relationships with regulators; including Ofsted and ensure the service meets Ofsted standards. • Positive communication with stakeholders and public.	2. Unlikely	4. Major	3 > 9. Low
09	Failure to maintain effective business continuity and prevention strategies hindering response to major disruptions	There is a risk that the Council may not sustain or adapt its business continuity arrangements to effectively respond to significant internal or external disruptions. This includes risks arising from climate-related challenges, severe weather events, cyber incidents, infrastructure failures, or other emergencies. Inadequate planning, testing, or resourcing of continuity strategies could lead to service disruption, delayed recovery, financial loss, and reputational damage. Ensuring resilient systems, clear response protocols, and cross-departmental coordination is essential to maintaining critical service delivery during periods of disruption.	10-19. Medium	Chief Operating Office	Introduce resource to ensure effective business continuity plans are in place across the organisation (BCP Officer); testing of plans at CMT and SLT level; ensure appropriate council response plans to mitigate against the causes is in place (e.g. response to adverse weather etc).	The mitigation for impact is predominantly around implementing a multi-layered approach that addresses both preparedness and resilience. • Assign clear ownership and accountability for continuity planning across directorates. • Integrate BCM into corporate risk management and strategic planning processes. • Use scenario planning to test responses to disruptions like floods, heatwaves, cyber incidents, or supply chain failures. • Deliver regular training and exercises for staff, including tabletop and live simulations. • Promote a culture of resilience through awareness campaigns and leadership engagement. • Continuous improvement through schedule annual reviews of BCPs and update them after any incident or exercise.	3. Possible	4. Major	10-19. Medium
10	Failure to respond effectively to emergencies or disasters, undermining community support.	Unless the Council establishes effective procedures to support response and recovery efforts following an emergency or local disaster, it risks undermining its ability to support the community and maintain continuity in service delivery.	3 > 9. Low	Director Of Public Health	• Emergency Planning: Comprehensive emergency response plans are developed and maintained, including site-specific arrangements for statutory sites like Devonport Dockyard and Cattedown Fuel Depots. These plans are regularly reviewed and tested against the Community Risk Register to ensure they remain relevant and effective. • Coordination: Multi-agency collaboration is strengthened through active participation in the Local Resilience Forum (LRF), which supports joint planning and exercises. Roles and responsibilities are clearly defined under the Civil Contingencies Act to ensure all stakeholders understand their emergency functions. • Resources: Resource and capacity limitations are managed through the Council's business continuity framework, which prioritises critical services. Mutual aid agreements with neighbouring authorities provide additional support when needed. • Training: Staff capability is enhanced through ongoing training and development programmes. Regular involvement in regional and national resilience exercises helps maintain a high level of preparedness. • Infrastructure: Infrastructure risks are addressed through targeted risk assessments and strategic investment planning. This ensures that critical infrastructure remains resilient and supported by appropriate emergency arrangements. • Communication: Internal and external communication challenges are mitigated through established protocols and multi-channel emergency notification systems. These enable timely and effective information sharing with staff, partners, and the public. • Awareness: The Civil Protection Service promotes awareness of business continuity planning by offering guidance and support to departments and local businesses. Online resources help integrate continuity planning into broader emergency preparedness efforts. • Continuity Planning: The risk of poor or absent continuity planning is reduced through regular audits and scenario-based exercises. A Council-wide framework ensures continuity arrangements are embedded across all services.	• Public Safety: Emergency plans coordinate with emergency services, health partners, and voluntary agencies for rapid support and safeguarding. • Environmental Protection: Site-specific plans and ecological risk assessments guide containment and remediation in sensitive areas. • Community Support: Resource mobilisation protocols and collaboration with VCSE and LRF ensure access to essential services and welfare. • Economic Stability: Business continuity and recovery coordination help local businesses resume operations and stabilise the economy. • Financial Management: Contingency funding, service prioritisation, mutual aid, and access to Bellwin scheme reduce financial strain. • Regulatory Compliance: Adherence to statutory duties (Civil Contingencies Act, REPPIR 2019, COMAH 2015); regular audits and risk register reviews. • Recovery Planning: Pre-identified recovery leads and frameworks support structured service restoration, guided by the Major Incident Recovery Plan. • Stakeholder Engagement: Transparent communication maintained via LRF's Warning and Informing Cell and Corporate Communications Team. • Reputational Risk: Managed through proactive communication, media protocols, and clear public messaging to shape accurate narratives.	2. Unlikely	3. Moderate	3 > 9. Low

RISK ID	RISK EVENT	RISK STATEMENT	OVERALL INHERENT SCORE	RISK OWNER	MITIGATING CONTOLS/PROGRESS CAUSE CONTROLS	MITIGATING CONTOLS/PROGRESS IMPACT CONTROLS	CURRENT LIKELIHOOD SCORE	CURRENT IMPACT SCORE	OVERALL CURRENT SCORE
11	Failure to effectively support and maintain local infrastructure.	Failure to maintain effective business continuity strategies may result in an inability to respond to significant internal or external disruptions, including climate-related challenges or severe weather events, potentially impacting service delivery	10-19. Medium	Strategic Director for Growth	CAUSE CONTROLS • PCC aligns with the Well-Managed Highway Infrastructure Code of Practice, adopting a risk-based asset management approach to ensure continuity and resilience. • Policies and strategies are signed off by the Portfolio Holder, regularly reviewed, and shared with the Department for Transport to ensure transparency and accountability. • Funding applications to DfT and Corporate are fully developed, risk-based, and supported by clear business cases that reflect a managed decline scenario. • Spend profiling is managed dynamically throughout the budget cycle to optimise resource allocation and delivery. • A robust data-driven approach is used for planned works, including detailed condition data, timely intervention, asset sweating, and prioritisation. • PCC prioritises its classified network, with red condition rates benchmarked favourably, and targets investment to address challenges in the unclassified network. • Preventative works are undertaken to slow or halt infrastructure decline, reducing vulnerability to climate-related events. • Strategy delivery is informed by national guidance and industry best practice, including the Highways Management Efficiency Programme. • Cross-departmental coordination is embedded in planning and delivery to ensure integrated responses to disruption. • Regular strategy reviews and updates ensure alignment with evolving regulations and policy requirements.	• Continuity considerations are built into asset management and procurement processes to address third-party dependencies. • Communication protocols and data systems support consistent messaging and informed decision-making during disruption events.	3. Possible	3. Moderate	3 > 9. Low
12	Failure of strategic asset management to support service delivery and value for money.	Without effective management of its assets, the Council risks a decline in asset value, reduced revenue from leased properties, increased maintenance and repair costs, and potential health and safety hazards affecting both staff and the public. Additionally, poor asset oversight may expose the Council to legal and liability issues.	10-19. Medium	Chief Operating Office	• Underperformance – lack of generated income. A maintenance strategy is being developed to benchmark against industry standards for achieving legal compliance, a full planned preventive maintenance schedule is being developed to ensure all assets are serviced in line with that developing strategy • Inadequate financial planning. Full condition and asset surveys are planned or have been undertaken, this data will inform a planned preventative maintenance programme to inform annual capital investment requirements. Lifecycle data will lead to a better short, medium and long term plan for known lifecycle asset replacement and better ability to budget and plan accordingly. • Depreciation/Market conditions. Developing a maintenance strategy and planned preventative programme will mitigate (where possible) accelerated asset depreciation. • Budgetary constraints restricting investment. A prioritisation matrix is being developed to assess items requiring investment against safety, financial, reputational and service delivery impacts. FM Governance Boards adds an additional layer of scrutiny to assess conflicting needs and agree those items requiring investment against a limited financial position. • Lack of/poor maintenance records/plans. Audits are being undertaken to identify and asset tag all serviceable assets. Risk assessments are being undertaken or updated and compliance documentation being sought if gaps are highlighted. The Civica Property asset management system is being developed to retain compliance documentation and will be a more controlled and auditable system than in place currently. • Neglect of safety protocols. Training on key compliance areas to be refreshed. Responsible persons to be identified, trained and appointed. Person in Control (PIC) system to be reviewed to ensure only those with the necessary competencies carry out relevant tasks. • Lack of communication to stakeholders. Staffing gaps and revised structure with new positions will better enable FM to deal with the workload and manage incoming tasks (including creation of a dedicated helpdesk). Review of procedures including developing the Civica system will enable clear communication protocols to be established. FM Governance Board acts at a higher level and can be used as a route to inform or consult with wider stakeholders where required.	• Asset Management Strategy is an essential mitigation measure that is yet to be addressed but will form part of mitigation of impact - to address areas of greatest risk. • Benchmarked assets, full maintenance schedule, prioritisation • Preventative maintenance programme, plan for lifecycle asset replacement. • Prioritisation matrix • FM Governance Board, including Communication representation. • Capital Programme Group • Development of Civica system for control and oversight • FM Improvement programme, compliance audits and checks • Relationship with Cabinet members & senior officers	4. Likely	3. Moderate	10-19. Medium
13	Failure to effectively implement devolution and local government reorganisation, undermining support for Plymouth communities.	The Council faces significant risks related to both the preparation for and implementation of devolution and local government reorganisation. If not proactively managed through effective governance and mitigating controls, these changes could impact all aspects of the Council's operations including funding, service delivery, housing provision, education services, and the preservation of a strong sense of local community in Plymouth.	3 > 9. Low	Chief Executive Officer	• Political consensus - Cross-Party Advisory Leadership Group (R001, R016) addresses undefined devolution preferences by creating structured political engagement and regular briefings, converting political uncertainty into managed consensus-building. • Structural clarity - Programme Board with defined governance (R004) tackles unclear structures and ambiguous responsibilities by establishing clear accountability lines and dedicated Programme Manager, transforming organisational confusion into structured delivery. • Inter-authority collaboration - Regular Lead Officer meetings and coordination protocols (R010) counter the lack of collaboration through systematic partnership working and task groups, replacing ad-hoc relationships with structured cooperation. • Resource management - Core team designation and subject matter experts (R011) addresses resource gaps by allocating dedicated expertise whilst maintaining BAU operations, ensuring adequate skills and capacity. • Financial planning - Prudent financial modelling with transparent assumptions (R006, R029) tackles budget inadequacy through realistic cost planning, benchmarking, and continuous review processes. • Data quality - Central data repository (R003) addresses poor data quality by establishing validated information sources and systematic data collection, enabling evidence-based decisions.	• Communication management: Multi-channel strategy with FAQs and social media (R007) prevents transition uncertainty cascading into public confusion by providing reliable information sources. • Service continuity: Clear separation of BAU and transformation activities with performance monitoring (R031) addresses service disruption risks whilst Employee Assistance Programme (R033) maintains staff morale. • Stakeholder confidence: Extensive engagement protocol with Parish Councils (R013) and cross-party consensus building manages public dissatisfaction and reputational risks by ensuring communities feel involved. • Quality assurance: Programme Board oversight aligned to government criteria (R020) prevents delivery failures through systematic milestone reviews and quality processes. • Legal/financial protection: Legal Services involvement (R024) and continual financial modelling review (R029) protects against compliance failures and budget overruns.	2. Unlikely	1. Negligible	0 > 2. Very Low
14	Failure to comply with statutory and regulatory requirements, and broader governance frameworks.	The potential failure to meet statutory and regulatory obligations that underpin key governance functions, including the lawful administration of elections and referendums, and adherence to procurement legislation. Such failures may arise from insufficient capacity, inadequate oversight, or pressures to accelerate decision-making and delivery. A breach could result in legal challenge, financial penalties, reputational harm, and erosion of public trust. It may also undermine democratic processes and compromise the integrity of governance arrangements, particularly where decisions are made without due process or transparency.	10-19. Medium	Service Director for Legal (Monitoring Officer)	• Governance and Oversight 1. Maintain and regularly review the local authority's constitution, standing orders, and scheme of delegation to ensure clarity of roles, responsibilities, and decision-making authority. 2.Audit and Governance Committee provides independent oversight by reviewing compliance, governance frameworks, and risk management. 3.Monitoring Officer ensures lawful decision-making and compliance with statutory requirements. 4. Section 151 Officer ensures sound financial management and compliance with the Local Government Finance Act 1988 and CIPFA standards. • In-house legal advisors to review decisions, contracts, and policy updates for compliance. • Implementation of clear procedures for key statutory functions (planning, housing, environmental health, finance, social care, etc.) and reviewed regularly. • Provision of regular mandatory training for councillors and staff on governance, ethics, data protection, health & safety, and equalities. • Internal and external assurance through audit, performance monitoring and risk recording. • Maintenance of stututory policies and procedure framework eg: whistleblowing policy; equalities and diversity policy etc	• Implement clear process for promptly reporting, logging, and escalating compliance breaches to the Monitoring Officer, Chief Executive, or Audit and Governance Committee to ensure swift limitation of damage and remediation; • Communication plan for managing legal, regulatory, or reputational incidents, including media handling and member/officer briefings. • Swift referral to legal team to advise on potential remedies actions to rectify any breach; • Ability to easily convene urgent committee/governance meetings to approve necessary actions; • Become familiar with external relevant regulators such as ICO, Local Government Omubdsman etc to be able to liaise and deal with external investigations easily; • Commissioning of independent or external reviews following significant governance breaches to ensure transparency and credibility. • Updating internal policies and procedures based on feeback received from any breaches/incidents. • Insurance policies and financial contingencies in place to limit impact.	2. Unlikely	3. Moderate	3 > 9. Low