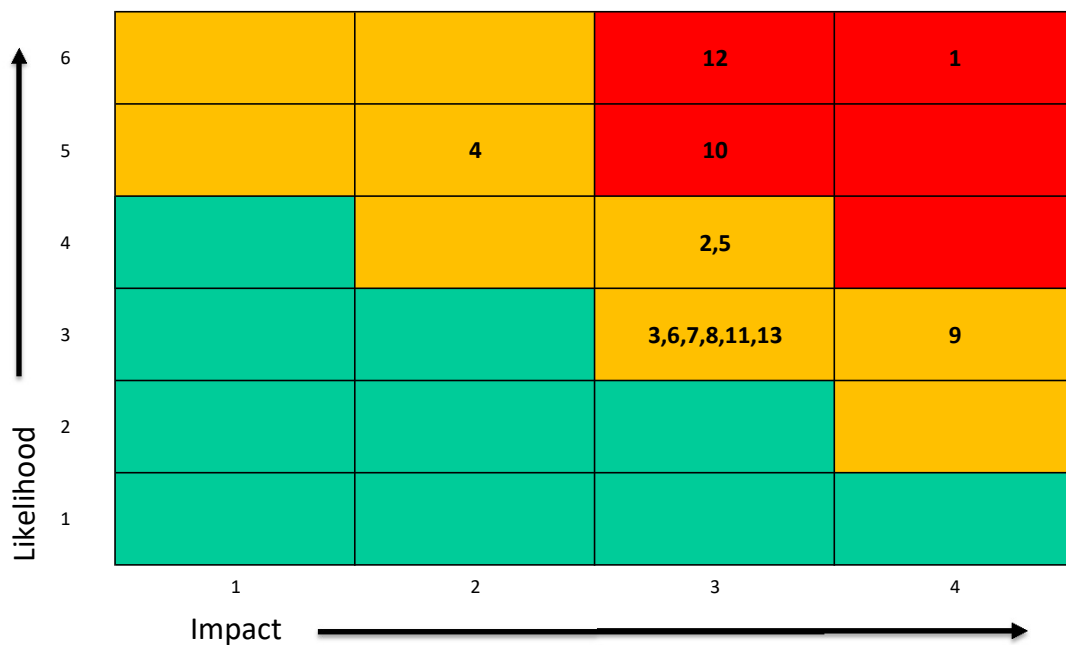


Risk Register



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
1	Failure to secure financial stability in the medium term	24	12
2	Future Provision of ICT services following end of current outsourced contract	12	9
3	Failure to deliver MMDR (in full or in part)	9	3
4	Financial pressures undermining partnerships (integrated working)	10	8
5	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	12	9
6	Failure to maintain Governance Framework	9	6
7	Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local	9	6
8	Failure to have contractual provisions in place for goods, works and services procured by the Council	9	2
9	The Council housing stock not being compliant to the property health and safety standards	12	6
10	General Data Protection Regulation (GDPR) compliance	15	6
11	Council unable to manage impact of Coronavirus (Covid-19) on council services	9	4
12	Impact of Coronavirus (Covid-19) on the business and communities of Melton	18	10
13	Instability and diversion of focus away from the Corporate Strategy created by the Devolution and Local Government Reorganisation debate	9	6

Risk Register

REF	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK VULNERABILITY AND CAUSE	RISK CONSEQUENCES	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths) (See next tab for guidance)			RISK OWNER	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
1	Failure to secure financial stability in the medium term	Government funding cuts. Fair funding Review and review of business rates baseline originally due to be effective from 2020/21 but timing now uncertain, NHB to be phased out but unclear what growth incentivised funding will replace this. Plan B due for a refresh and would be a last resort. Insufficient growth and share of growth used to assist with road funding. Partnership funding cuts. Demographics (increased demand). Cipfa financial resilience concerns primarily regarding the level and rate of depletion of reserves. This has been exacerbated by Covid meaning reserves have been depleted further and could be almost exhausted depending on future costs/income loss and level of government support. Need and desire to invest versus low level of capital receipts. Lack of asset condition information meaning capital strategy is not as well formed as it could be. HRA business plan is interim until stock condition surveys are complete.	Inability to achieve corporate objectives. Savings having to be made that impact service delivery. Low staff morale and high staff turnover as workforce is reduced leading to capacity issues. High cost services that fail to meet customer needs, demands and expectations. Poor customer satisfaction leading to high failure demand. Deterioration in asset conditions and no capital to invest in aspirations which could lead to increased income/reduced expenditure.	Priorities agreed through corporate strategy. Regular liaison and consultation with unions. Workforce Strategy e.g. staff training and support. Maximising partnership working to deliver better outcomes at reduced local cost. Regular review of MTFS. Well informed public and members around priorities, cost of services and resources available. Regularly review risk associated with partnership projects and funding. risk assessed working balance which takes into account potential fluctuations of income and expenditure levels against budget. MTFS is subject to sensitivity analysis. Ongoing review of any changes in government funding. Ongoing consideration to be given to public consultation to ensure the proposals are understood within the context of the financial position. Regular liaison and lobbying of government and other groups to recognise the need for funding for Covid costs.	6	4	24	Further Savings options are identified. Prioritise spending plans that will generate savings in return. Consider options for reducing failure demand e.g. prevention and demand reduction through service redesign. Continue to lobby government and other groups to ensure fair funding of covid and ongoing funding.	4	3	12	Director for Corporate Services	Feb-21
2	Future Provision of ICT services following end of current outsourced contract	Review of LICTP being undertaken which will help support direction re service delivery and closer working. In-house solution being considered, risk that we cannot recruit right experience and skills. Transition from current contractor is not amicable. Resources within the partnership to implement in a timely manner. Not all partners fully support the partnership and may be looking at alternative provision. Increased demand for ICT services due to need for more increased remote working.	Poor IT operational service leading to service issues and poor customer service, failure to invest in IT developments both strategic and operational leading to lack of service progress. Poor staff morale and frustration with IT provision. Failure of core systems resulting in loss of service.	Review by digital consultant. In house IT programme manager with technical skills to liaise with contractor/client to ensure Melton's IT needs are meeting business needs in place. Use of external support and guidance to ensure any service transition is resourced sufficiently. Consideration of phased transition. More regular strategic review meetings to ensure partnership is aligned.	4	3	12	Outcome of review by digital consultant needs to reach a conclusion and agree way forward for LICT as a result. Commence any discussions with IT supplier and transition to any new arrangement.	3	3	9	Director for Corporate Services	Feb-21
3	Failure to deliver MMDR (in full or in part)	Funding from DFT withdrawn e.g. by change in Government of Gov. Policy or unwillingness from LCC. To accept funding. Developer contributions not realised or forward funding agreement with LCC not secured. National political instability.	Undermines the growth agenda. More pressure for Housing growth in rural areas. Reputational impact.	DFT has awarded funding and there is a Project for the MMDR itself. Some s106 funds (£9 million) already secured. Planning permission granted for design and route of MMDR and contracts awarded for its construction 2021-2023. Permission granted for the road itself and housing sites it passes through (part) which include s106 provision to transfer the land and contribute funding. Key enabler of Strategic Growth Plan and referenced as a 'hook' for future finding bids. HIF bid for 'southern leg' now granted but declined by LCC on the basis of insecurity over recovery of investment. Work continues with them and Homes England to demonstrate required viability. Close working relationship with developers to establish ability to proceed without grant funding, over a longer term.	3	3	9	Ongoing delivery of the project plan with LCC and developer/land owners affected. Consider to include financial contributions in s106 for major developments in Melton. Developer Contributions SPD will interface with this as it will address s106 priorities - MMDR contributions anticipated to feature prominently, i.e. the highs priority in Melton. Further viability assessment for the southern masterplan has been commissioned to include sensitivity analysis to establish whether HIF bid could still be accepted.	1	3	3	Assistant Director for Strategic Planning and Delivery	Feb-21
4	Financial pressures undermining partnerships (integrated working)	Reduced funding from partners. Conflicting priorities between partners.	With ongoing financial pressures it is difficult to achieve effective partnership working that can have a real impact on key issues such as crime, ASB, substance misuse, social mobility, inclusive growth and homelessness.	Maintaining relationships with senior leaders from other organisations. Working through existing partnership structures. Take advantage of co-location and shared uses of buildings.	5	2	10	Further develop work of the People Board on outcomes framework in Covid 19 context. Work with local (Melton) partners to tackle this framework but also seek to work at the County level to influence key strategic partnerships. Overall focus should be on behaviour change and achievement of better outcomes.	4	2	8	Director for Housing and Communities	Dec-20
5	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	Supplier failure. Bankrupt.	Failure to deliver service. Reputational damage. Financial costs. Capacity to deal with the implications. Legal implications.	Robust procurement. Performance Bonds. Regular monitoring of the key suppliers and contracts.	4	3	12	Ongoing robust monitoring of key suppliers/contracts. Internal audit consultancy assignment commissioned to monitor the contract implementation for housing repair contract. Liaise with contractors for Covid impact and Brexit implications	3	3	9	Director for Housing and Communities	Dec-20
6	Failure to maintain Governance Framework	Council does not meet statutory requirements, laws and regulations and does not meet best value considerations. Risks not considered and mitigated against. Decision makers not properly informed of material facts. Publication requirements not complied with. Broad range of partnerships with variable degrees of formality.	Failure to comply with legislation. Fraud or corruption occurs. Failure to make safe and legal decisions. Partnership benefits are not maximised. Lack of transparency and accountability.	Constitution regularly reviewed. Corporate resources reviewed regularly. Risk framework considered by members and SLT on a rolling basis. 'Project Management Toolkit refreshed and promoted. Ongoing training on governance matters. SLT held regularly with clear reports and accountability for leading the organisation. Performance, complaints and risk reviewed by Cabinet and SLT. Corporate Strategy updated and comms plan in place.	3	3	9	A master list of Policies needs to be established so review dates as adhered to, Risks will continue to be monitored and updated by Directorates. Performance indicators to be reviewed and complaints data to be presented in new format. Project Management training will be undertaken. Accessibility of communications to be undertaken to comply with new legislation.	2	3	6	Director for Governance and Regulatory Services	Dec-20
7	Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local communities and businesses	Issues arising from no agreement with the EU resulting in similar impacts to those projected should the UK have exited the EU with no deal.	Impact on business continuity and organisational supply chains. Impact on communities and businesses increasing demands on council services. Reduced investment returns and complying with any regulations	Brexit impact assessment previously undertaken on local community and discussions taking place through the Local Resilience Forum. Will stand up again should this be necessary. Sharing on knowledge and implications through District Chief Execs meetings and the DCN. . Lessons learned session held following previous leave deadlines in March and April. Need to be mindful of reduced inability for businesses to have made the same preparations as previously due to Covid epidemic impacting on their supply chains already.	3	3	9	Arrangements currently stood down. Subject to progress of the negotiations, the Council and LRF will stand up contingency planning again later in the year. Directors and managers would be requested to avoid leave during key timescales around new deadline of 31st December 2020, though this will be more challenging due to Christmas period. Project team will be established including reps from comms, communities and economic development teams.	3	2	6	Chief Executive	Dec-20
8	Failure to have contractual provisions in place for goods, works and services procured by the Council	Contractual issues cannot be raised / managed due to no legal standing being in place	inconsistent service delivery, reputational damage, no recourse to recover financial loss.	The contracts register has been updated and published on the website. There will be quarterly reviews until the electronic system has been developed and is in place. This will be moved over to procurement to be managed through the electronic software system	3	3	9	Draft terms and conditions for higher value contracts have been drafted and will be rolled out with the amended Contract Procedure Rules	2	1	2	Director for Governance and Regulatory Services and Director for Corporate Services	Feb-21

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					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
9	The Council housing stock not being compliant to the property health and safety standards	Old stock, lack of details from stock condition surveys, a fully comprehensive compliance framework not being in place.	Council being non compliant and failing in the duty as a landlord; tenants being exposed to safety risk; potential financial and reputational risks	Housing Improvement Plan (HIP) is approved by the Council in November 2019. Recruitment for all new roles approved as part of this plan is underway. HIP board is created for on-going monitoring of progress related to compliance. The Social Housing Regulator (RSH) has been contacted and kept updated on the information related to non-compliance. New director for Housing and Communities is appointed following the approval of the new corporate structure. Housing Asset Manager role is created to increase focus on housing repairs and voids. Recommendations from the internal audit report on landlord health and safety are being implemented to improve the safety of council owned homes. Interim HRA Business Plan is approved by the Council in January 2020 and relevant resources are allocated to tackle non-compliance. Continued work and focus through lockdown and further Internal Audit to take place 20/21	3	4	12	This is managed as a key corporate priority with appropriate levels of resources being allocated through the Housing Improvement Plan. Regular monitoring of the Housing Improvement Plan for the compliance and quality of housing stock is managed through multiple governance structures such as board meetings, operational meetings which have senior leadership oversight. Clear communication is undertaken with key stakeholders to ensure that progress is communicated regularly	2	3	6	Director for Housing and Communities	Dec-20
10	General Data Protection Regulation (GDPR) compliance	Failure to invest in the required systems, equipment and posts required to ensure compliance. Failure to adequately train staff in the requirements of the Regulations. Lack of resource (capacity and expertise) to ensure data is accurate, retained in line with retention periods, documented and maintained.	Non compliance with statutory requirements.	Policies up to date, 'Data Protection guidance and training for staff/members undertaken on a rolling basis, Data Protection Officer in place, new systems procured for more accurate data retention.	5	3	15	Information Asset Register to be reviewed by managers on an annual basis, Information Champions established, Implement new IT systems. Look at resources to provide more support for the control of data and recording of data held.	2	3	6	Director for Governance and Regulatory Services	Dec-20
11	Council unable to manage impact of Coronavirus (Covid-19) on council services	Lack of capacity to cope with the increase in community needs as well as business as usual tasks as a result of the virus. This will be caused by increased needs from the community as well as reduced staffing availability due to staff becoming ill themselves or needing to self isolate or being unable to work due to caring for others. Technology constraints may also limited the amount of work able to be undertaken remotely. Availability of workforce from contractors as well as council will have a negative impact on continuing the compliance related work.	Work will need to be prioritised resulting in some services either being scaled back or not delivered at all. Delays to HIP projects and actions would lead to the Council being non-compliant to property health and safety standards.	In March 2020 the Council declared a major incident and business continuity and emergency planning arrangements have been in place ever since. The Council ceased non-essential services and redirected resources to support priority services and established new community and business support infrastructure. Parkside is a Covid-secure workplace with social distancing and hygiene protocols in place and the majority of the workforce continue to work from home where possible. Whilst technology remains a challenge, the Council has demonstrated its ability to function effectively in these circumstance. Council representatives continue to be linked into multi agency discussions as part of the Leics Local Resilience Partnership (LRF) enabling council is up to date with latest advice and taking a consistent approach as partners. Mutual aid arrangements in place with district colleagues. Regular bulletins and guidance being provided to staff to protect their health and well being.	3	3	9	Analyse data received from staff to identify any particular vulnerabilities ensuring national medical advice is followed. Gather further contact information. Continue to assess upcoming meetings and events and consider which need to be postponed/cancelled. Review approach and making preparations for increased homeworking should schools close or staff need to self isolate. Continue to ensure staff, members and the community are kept informed as the situation develops. Consider the business impacts and provide support where appropriate. Provide support to those in the community that are vulnerable through liaison with community groups. Review business continuity plans to ensure priority services are correctly assessed and continue to prioritise based on emerging needs and capacity. Regular meetings of multi agency groups and internal business continuity groups. Regular communication with all stakeholders.	2	2	4	Chief Executive	Dec-20
12	Impact of Coronavirus (Covid-19) on the business and communities of Melton	In the 3 months since the lockdown the economy has shrunk by 20%. Whilst the Furlough scheme has helped protect jobs in the short term there is an expectation that unemployment and dependency on welfare and support will increase over the coming months. This in turn may create greater financial, physical and mental health challenges and put pressure on housing. Whilst the Council has provided considerable support to businesses in Melton through government grant schemes there is a risk that some businesses do not survive. Further risk of local lockdowns increase uncertainty and dent consumer confidence	Higher unemployment, greater dependency on welfare, impacts on physical and mental health, impacts on business survival rates, increased homelessness	The Council has established recovery structures to fully assess impacts and identify appropriate responses. These have been discussed with members and with our partners. The Corporate Strategy has been reviewed to ensure it incorporates key recovery actions and is due for adoption in September. Resources are being diverted to those areas where the council anticipates greater demand but to an extent the Council, and the sector more generally, will require ongoing government support to mitigate the substantial impacts there will be. The Council continues to work closely with partner agencies in the LRF to ensure response are co-ordinated and as effective as possible	6	3	18	Revised Corporate Strategy to be approved in September. Scrutiny Recovery task and finish groups to be established for people and place shortly. Continued involvement, leadership and engagement within the LRF and support to local partners and businesses as required	5	2	10	Chief Executive	Dec-20
13	Instability and diversion of focus away from the Corporate Strategy created by the Devolution and Local Government Reorganisation debate	It is anticipated that the government will publish a Devolution White Paper in September. Whilst the exact contents remain unclear it is understood this will include some encouragement for areas to consider local government reorganisation. Whilst this may create opportunities which will need to be fully considered there may also be a risk that it consumes capacity and diverts focus away from the council's recently approved Corporate Strategy	Diversion of focus/ diversion of capacity/ Inability to deliver priorities articulated in the Corporate Strategy/ instability within the organisation/ loss of key staff	Regular dialogue between the leaders and Chief Executives of Leicestershire district councils. Invitation to secretary of state to discuss opportunities for Leicestershire.	3	3	9	Review of the actual White Paper and consideration of best response for Melton people and communities. Continuing dialogue with other local councils and government as required. Proactive and regular internal communications to ensure any change in the position is understood	2	3	6	Chief Executive	Dec-20

Risk Matrix and Scoring Guide

			Impact / Consequences			
			Negligible	Marginal	Critical	Catastrophic
Likelihood	Score/ definition	Probability	1	2	3	4
	6 Very High	More than 90%	Medium (6)	Medium (12)	High (18)	High (24)
	5 High	55% to 90%	Medium (5)	Medium (10)	High (15)	High (20)
	4 Significant	15% to 55%	Low (4)	Medium (8)	Medium (12)	High (16)
	3 Low	5% to 15%	Low (3)	Low (6)	Medium (9)	Medium (12)
	2 Very Low	1% to 5%	Low (2)	Low (4)	Low (6)	Medium (8)
	1 Almost impossible	0% to 1%	Low (1)	Low (2)	Low (3)	Low (4)

Likelihood		Impact	Description guide
Very High	> 90%	Negligible	Minor financial, no effect on service provision or reputation, limited physical consequences
High	55% to 90%	Marginal	£10k - £200K??, service slightly reduced broken bones/illness, objectives of one area not met, minor adverse local media, impact on inspection (s)
Significant	15% to 55%	Critical	£200K - £1M, service suspended short term / reduced, loss of life/major illness, area objectives not met, industrial action, adverse national publicity
Low	5% to 15%		
Very Low	1% to 5%	Catastrophic	£1M- £10M, service suspended long term, statutory duties not delivered, major loss of life/large scale major illness, corporate objectives not met, mass staff leaving/Unable to attract staff, Remembered for years!! Service taken over permanently