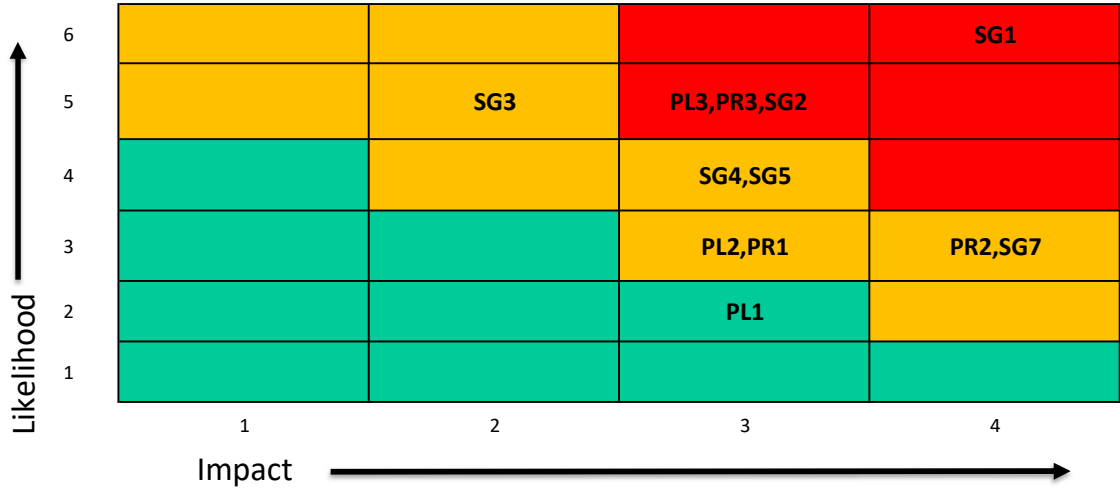




Risk Register



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
PL1	Impact of Coronavirus (Covid-19) on the business and communities of Melton	6	4
PL2	Inability to influence, secure and then maximise the benefit to Melton residents from Devolution, County Deal and UK Shared Prosperity Fund	9	6
PL3	Cost of Living - Impact on households and businesses across Melton	15	4
PR1	Failure to deliver MMDR (in full or in part) and the financial and legal impacts on Melton Borough Council arising from any agreement with the County Council which seeks to support delivery.	9	3
PR2	Failure of the Housing Revenue Account Business Plan	12	6
PR3	Uncertainties regarding future leisure provision in Melton	15	4
SG1	Failure to secure financial stability in the medium term	24	12
SG2	Stability of future provision of ICT services following new arrangements.	15	9
SG3	Financial pressures undermining partnerships (integrated working)	10	8
SG4	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	12	9
SG5	General Data Protection Regulation (GDPR) / Request for Information compliance	12	6
SG7	ICT Security Breaches	12	8

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	CATERGORY FOCUS	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING			
PL1	Impact of Coronavirus (Covid-19) on the business and communities of Melton	Since the lockdown the economy has shrunk by 20%. Whilst the Furlough scheme helped protect jobs in the short term unemployment has increased and the number of claimants for universal credit in Melton has doubled. Over the coming years there will be greater financial, physical and mental health challenges and greater 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. The risk of draconian national measures has reduced, however the potential for future variants of concerns or increasing infections cannot be reduced fully, particularly as we enter the autumn/winter period	Higher unemployment, greater dependency on welfare, impacts on physical and mental health, impacts on business survival rates, increased homelessness	The Council had robust recovery structures in place which were subject to an audit and received significant assurance. The Corporate Strategy has incorporated key recovery actions and was adopted in September 2020 and the UKSPF Plan was submitted in August 2021, again which seeks to respond to challenges created during the pandemic. The Council recently adopted a Town Centre Vision and submitted a Levelling Up Fund bid. The Council held a State of Melton debate in October 2021 and incorporated covid impacts and mitigations into its budget development process for 2022/23. The Council continues to work closely with partner agencies in the LRF and will monitor winter pressures over the coming months	2	3	6	The Council will continue delivering the aspirations set out in the approved Town Centre vision and will await the outcome from the Levelling Up Fund bid and UKSPF submissions. Whilst the risk has reduced, working with LRF partners, we will continue to monitor this risk over the winter period as the risk of new variants rises.	2	2	4	Chief Executive	PLACE	Feb-23
PL2	Inability to influence, secure and then maximise the benefit to Melton residents from Devolution, County Deal and UK Shared Prosperity Fund	The Levelling Up White Paper was published in January 2022. It sets out 12 Missions which it seeks to achieve by 2030. 9 pathfinder locations were confirmed as having the opportunity to negotiate a County Deal. Leicestershire has been confirmed as one of the pathfinders. The White Paper has confirmed that any 'deals' will be with upper tier authorities only. The Levelling Up and Regeneration Bill has also now been published. It remains unclear what any deal would include though the County Councils have confirmed they are only able to pursue a level 2 deal and therefore the prospect of early progress has reduced. The extent to which District Councils will have an opportunity to influence, contribute to and support remain unclear though assurance have been provided. The anticipated change in Prime Minister will also lead to a review of policy though it is unclear what impact this will have on devolution at this stage.	Inability to achieve corporate objectives / In ability to secure additional funding to support priorities / Duplication of focus / Breakdown in relationships and partnerships.	The 7 District Council Leaders previously provided written support to the County Council's submission of a County Deal proposal. Further discussions have taken place and the at this stage the focus is on governance and the County Council have confirmed they will be pursuing a level 2 deal. D2N2 have recently confirmed finalisation of their level 3 deal	3	3	9	Future meetings of District and County leadership arranged for September. Chief Executives reviewing options for joint strategic meetings to explore key strategic themes.	2	3	6	Chief Executive	PLACE	Feb-23
PL3	Cost of Living - Impact on households and businesses across Melton	High levels of inflation likely to continue, high energy costs. Likely impact across the Borough leading to reduce financial resilience and vulnerability. Potential recession, loss of jobs and financial hardship	Vulnerable households, financial pressures on households and businesses, risk of ill health and inability to make healthy choices, risk of poverty, food poverty. Increased household stress. Risk of rent and council tax arrears, inability to pay bills. Risk of increased reliance on high interest loans or illegal lending. Impact on mental health; health, wellbeing and resilience across communities.	Cost of Living project group in place (cross directorate) and cost of living plan in place, agreed by cabinet with clear focus on: Communication and information Insight and Evidence Support (including direct route to case management team, and high rate referrals through the household support fund) UKSPF - community supermarket proposal	5	3	15	Implement discretionary energy rebate scheme. Maintain cost of living project group and monitor progress against actions. Continue to review customer feedback and gov metric data to understand impacts and pressure points. Work through cross-district groups to share best practice and support initiatives	2	2	4	Director for Housing and Communities Director for Growth and Regeneration	PEOPLE PLACE	Oct-22

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	CATERGORY FOCUS	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING			
PR1	Failure to deliver MMDR (in full or in part) and the financial and legal impacts on Melton Borough Council arising from any agreement with the County Council which seeks to support delivery.	Cost escalation risk due to inflation puts additional burdens on County Council finances that make affordability a greater challenge. Funding from DFT withdrawn e.g. by change in Government, LCC refuse to accept this grant or the Housing Infrastructure fund for the southern section. LCC refuse to forward fund the required infrastructure. Developer contributions not realised.	Undermines the Melton Local Plan and broader growth aspirations. More pressure for Housing growth in rural areas. Reputational impact. Legal Challenge and financial implications which affect services and the Council's sustainability through any agreement with the County Council.	DfT has awarded £50m funding for the north and east sections and the business case to confirm the funding is due to be submitted by the County Council later in 2022. The Council has agreed and approved a Masterplan for the Northern SUE, and this has been subject to viability testing which the County Council has accepted. Alongside this the Council has agreed and approved a Masterplan for the Southern SUE and entered an Infrastructure Funding agreement with the County Council which has enabled them to accept the Housing Infrastructure Fund. Alongside this the Council has also adopted a Developer Contributions SPD. All this achieved within the timetable agreed with the County Council of December 2021. Project teams for both the North and South MMDR sections are progressing and initial work was undertaken on the northern section (clearance of Sysonby Farm) in the Spring 2022.	3	3	9	Continue to work with LCC on the MMDR project and support delivery of the planning applications	1	3	3	Chief Executive	PRIORITIES	Feb-23
PR2	Failure of the Housing Revenue Account Business Plan	Possible failure of the HRA BP include: outdated or unfit business plan; lack of stock condition information; failure to deliver capital programmes; failure to meet Decent Homes Standard; failure of compliance in respect of Health and Safety; failure to collect income due; incorrect assumptions used in BP, incomplete stock condition data and housing management system, lack of meaningful tenant engagement. Staffing changes create a key risk in leadership and continuity. Government consultation on rent increase cap being less than inflation creates a risk.	Council being non compliant and failing in the duty as a landlord; tenants being exposed to safety risk; potential financial, regulatory and reputational risks, inability to robustly plan to ensure decent and safe homes, impact of aspirations to develop new homes. Gaps in leadership and continuity. Impact on available resource if rents cannot be increased in line with inflation	HRA Business Plan developed and approved by Full Council. Externally reviewed by sector financial experts, Savills and stress tested. Described as a robust plan, with a sustainable HRA, however resources will need to be carefully managed. Set within context of emerging regulatory change. Based on stock condition data, and tenant feedback. Scrutiny committee engagement and support in developing plan. Asset management plan now in development and will be key to show future capital programme and investment requirements. HRA Business Plan includes its own risk assessment and mitigation.	3	4	12	Move to Business as Usual. Development of Asset Management Plan Annual review of HRA business plan. Assessment and analysis of impact of potential cap on rent increases (consultation at 3%, 5% and 7%) to be carried out. Respond to Government consultation	2	3	6	Director for Housing and Communities	PRIORITIES	Dec-22
PR3	Uncertainties regarding future leisure provision in Melton	Ageing facilities, identification of need for improved leisure facilities, service and reputational associated with them. Need for improved leisure facilities and identification of funding to support this.	Reputational, continuity of provision and services, cost of enabling new facilities, costs to address dilapidation issues link to age of existing facilities	Contract management in place with SLM as current service provider. Dialogue between key teams and contractor on asset related issues to ensure remedial action on a case by case basis at Waterfield Leisure Centre. Ongoing work on health and leisure vision progressing (in line with corporate strategy commitment) and is necessary to appropriately address this risk item. Health and safety audit completed at WLC.	5	3	15	Health and Leisure Vision project progress will be key to longer term resolution and risk reduction. Ongoing dialogue between appropriate teams regarding Waterfield Leisure Centre including contract management, health, property and assets teams to address any building / asset issues on a case by case basis. The Council has a wider focus on active lives, and enables this in other ways too - this work will continue.	2	2	4	Director for Housing and Communities Director for Growth and Regeneration	PRIORITIES	Dec-22

Risk Register

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					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING			
SG1	Failure to secure financial stability in the medium term	Government funding cuts and uncertainty regarding longer term funding position alongside inflationary pressures on Council and local community increasing costs which could pose a risk to income streams. Fair funding Review and review of business rates baseline originally due to be effective from 2020/21 but timing now delayed and unclear if still going ahead, what form it will take and from when. Retained business rates more volatile due to government policy changes, impact of covid and inflationary pressures. NHB to be phased out but unclear what if any growth incentivised funding will replace this. Partnership funding cuts. Demographics (increased demand). Cipfa financial resilience and LGA financial review concerns primarily regarding the level and rate of depletion of reserves although these have stabilised there is a need to increase reserve levels to provide more resilience. Need and desire to invest versus low level of capital receipts. Capital strategy is not as well formed as it could be due to HRA and corporate Asset management Plan being in development and GF asset repair needs means only essential repairs are affordable.	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. People 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. Move to increase the working balance to the higher level of the range identified through the risk assessment. 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 fair funding. Development of financial sustainability programme through Be The Change initiative.	6	4	24	Further Savings options are identified as part of Be the Change. Prioritise spending plans that will generate savings in return. Consider options for reducing failure demand e.g. prevention and demand reduction through service transformation. Continue to lobby government and other groups to ensure fair funding of covid and ongoing funding.	4	3	12	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-23
SG2	Stability of future provision of ICT services following new arrangements.	LICTP recently moved to an in house service provision via HBBC and loss of one partner. Documentation from outgoing contractor is poor and there has been a loss of senior engineers post move. Risk that we cannot recruit right experience and skills and there is ongoing disruption following transition. Resources within the partnership to support smooth post transition support. Increased demand for ICT services due to need for more increased remote working. Customer impact / accessibility when ICT is unstable.	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.	Additional resources provided by partners to support post transition. Regular strategic review meetings to ensure partnership is aligned. Governance reviewed to support the new service arrangements. New business analysts provided as part of new structure to work with partner services to develop future IT provision.	5	3	15	Regular monitoring and review of planned activities and consideration of further investment in ICT. Implementation of planned ICT improvements. Update to documentation. Training and support to existing and newly recruited staff.	3	3	9	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-23
SG3	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 and commissioners from other organisations. Working through existing partnership structures. Take advantage of co-location and shared uses of buildings. Proactive engagement with key partners to support outcomes for communities including leadership role in key health and wellbeing partnerships and Melton Helping People Partnership. Increased collaboration with Lightbulb project and homelessness partnerships. Continued investment in Community Grants Scheme with policy aligned to evidence based Council priorities and outcomes means the council can continue to support local community and voluntary sector organisations.	5	2	10	Continue to develop the Melton Helping People partnership and engage proactively with key strategic partnerships and system developments across the county (for example, the emerging Integrated Care System). Overall focus should be on behaviour change and achievement of better outcomes through collaboration. Insights and analysis linked to vulnerabilities post Covid 19 will be important. Increased challenge regarding ASB in Melton will require partners to consider solutions and is likely to be a focus for the next quarter.	4	2	8	Director for Housing and Communities	SERVICE AND GOVERNANCE	Dec-22
SG4	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	Supplier failure. Bankruptcy. Volatility of construction sector, vulnerability inflationary/recessionary pressures	Failure to deliver service. Reputational damage. Financial costs. Capacity to deal with the implications. Legal implications.	Robust procurement. Performance Bonds. Regular dialogue with and 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, Brexit implications, construction and labour challenges	3	3	9	Director for Housing and Communities	SERVICE AND GOVERNANCE	Dec-22
SG5	General Data Protection Regulation (GDPR) / Request for Information compliance	Failure to invest in the required systems 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 have been updated, data protection guidance and training for staff/members undertaken on a rolling basis, Data Protection Officer in place.	4	3	12	Information Asset Register to be reviewed by managers on an annual basis, Information champions to be established. Information Governance Strategy to be drafted. Look at resources to provide more support for the control of data and recording of data held. Post to be recruited to due to staffing changes and training to be provided to BSO's	2	3	6	Director for Corporate Services Assistant Director for Governance & Democracy	SERVICE AND GOVERNANCE	Dec-22
SG7	ICT Security Breaches	Data loss or inability to deliver systems and services from internal or external ICT Security breaches. Internal breaches by employees may be malicious or accidental, either compromising data or systems by deliberate action or inaction. External breaches are by Cyber actors deliberately attempting or breaching ICT perimeter controls, or by misleading staff to take action that compromises ICT security, to remove data, encrypt systems, extort monies, or disable the authorities ability to deliver its services	Data loss, loss of ability to deliver systems and services to employees and citizens,	Perimeter Security, Systems and data is backed up, Annual IT Health checks, Cyber Essentials and PSN accreditation, Security Working Group, policies in place to support and advise staff, ICT monthly articles and newsletters aimed at increasing staff cyber awareness, Encryption detection software, Antivirus software, Mail Filtering, Sophos Unified Threat Manager, Intrusion detection software	3	4	12	Additional Cyber security appliances to reduce the likelihood of successful intrusion and unusual behaviour, Network Access Control to secure the network from unauthorised devices, Privilege Access Management to mitigate internal threats	2	4	8	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-23

Risk Matrix and Scoring Guide

			Impact / Consequences			
			Negligible	Marginal	Critical	Catastrophic
			1	2	3	4
Likelihood	Score/definition	Probability				
	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