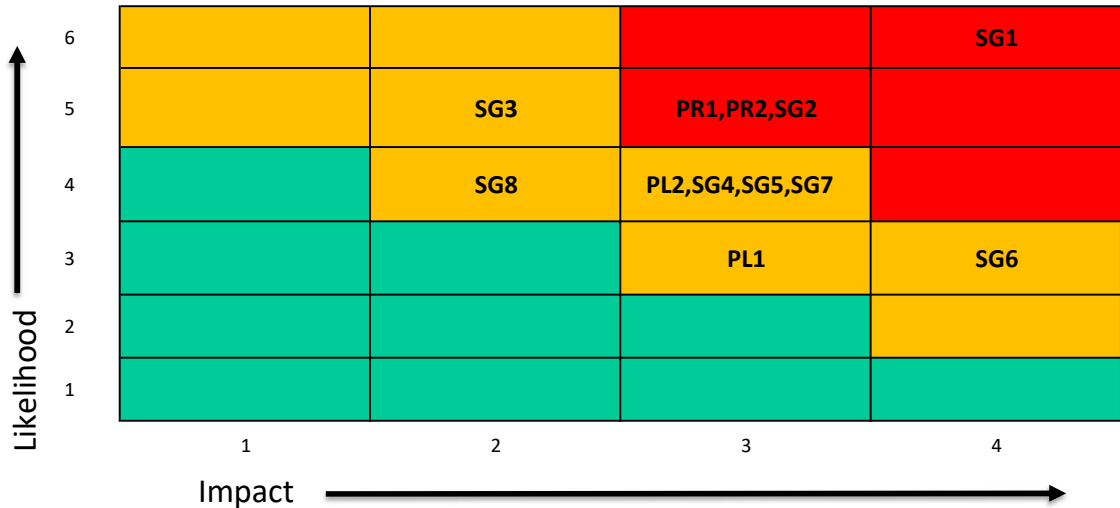




**Risk Register**



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
PL1	Inability to influence, secure and then maximise the benefit to Melton residents from Devolution, County Deal and UK Shared Prosperity Fund	9	6
PL2	Cost of Living - Impact on households and businesses across Melton	12	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.	15	3
PR2	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.	15	12
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
SG6	ICT Security Breaches	12	8
SG7	Resourcing of the LUF, UKSPF, ADP and Leisure developments	12	6
SG8	Lack of capacity to deliver services and projects due to resourcing issues in specific teams	12	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	CATERGORY FOCUS	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING			
PL1	<b>Inability to influence, secure and then maximise the benefit to Melton residents from Devolution, County Deal and UK Shared Prosperity Fund</b>	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.	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. The County Council have advised that limited progress is currently being made in this area and it is unclear when that will change. District Leaders recently met with the City Mayor to maintain ongoing dialogue.	3	3	9	The House of Lords recently added an amendment to the draft Bill which would require district councils to be part of any governance structure that emerged. This would be a welcome amendment but now requires consideration by the House of Commons. All Leicestershire District Leaders have collectively written to our MPs seeking their support to retain the amendment in the final legislation. We understand Parliament will debate the legislation in the Autumn. Alongside this Government has confirmed that LEP powers will transfer to upper tier authorities from April 2024. The Chief Executive is the District's representative on the LLEP Transition Board and will actively seek to influence discussions to ensure districts are not disadvantaged through any new arrangements	2	3	6	Chief Executive	PLACE	Dec-23
PL2	<b>Cost of Living - Impact on households and businesses across Melton</b>	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, 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 of referrals through the household support fund)  UKSPF - Rural Food Hub project in development. Leadership of countywide groups on cost of living.	4	3	12	REDUCED TO MEDIUM RISK. Maintain cost of living project group and monitor progress against actions. Work through cross-district groups to share best practice and support initiatives. Continue to refer to Household Support Fund. Rural Cost of Living Event	2	2	4	Director for Housing and Communities Director for Growth and Regeneration	PEOPLE PLACE	Mar-24
PR1	<b>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.</b>	Following some recent uncertainty due to cost inflation, the funding for the North and East is largely in place and the final steps for securing the DFT funding are currently being taken by LCC. Initial work on the north and east is underway. The Southern section is less well developed and subject to similar cost escalation and a risk remains that LCC fail to receive the Housing Infrastructure fund for the southern section. LCC could also refuse to forward fund the required infrastructure or developer contributions are not realised. There is also a risk that in seeking to reduce cost a sub-optimal option is pursued which doesn't meet local needs or expectations fully.	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 funding has now been confirmed and construction has started. In relation to the Southern section 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. Work continues with the county council on delivery of the southern section but inflationary pressures will undoubtedly make affordability a greater challenge.	5	3	15	The Council is working with the County Council and Homes England on a remediation plan to address the cost escalation risks. At this stage it is unclear whether a resolution will be found but all parties are committed to addressing and a report is due to be considered by MBC's Cabinet in September updating on the latest position (LIKELIHOOD RAISED BY ONE)	1	3	3	Chief Executive	PRIORITIES	Dec-23

# 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			
PR2	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. Leisure procurement project underway, set within financial context. Currently no financial support from government for the leisure sector - key risk.  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. Remains a key strategic risk due to financial climate. Application to Swimming Pool Support Fund in development.	5	3	15	Procurement of leisure contract (to go live 1st April 2024). Key decision making milestones in March 2023 and November 2023.  Develop longer term vision and plan for leisure centre capital financing. Consider investment options for current facilities to extend lifespan and improve facilities, Submit application to Swimming Pool Support Fund.	2	2	4	Director for Housing and Communities Director for Growth and Regeneration	PRIORITIES	Mar-24
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. Decline in 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 when it will go ahead, what form it will take. Retained business rates more volatile due to government policy changes including a review of how reliefs are funded, revaluation and inflationary pressures also some changes to the councils higher valued businesses. NHB to be phased out but unclear what if any growth incentivised funding will replace this. Partnership funding cuts. Demographics (increased demand). Structural deficit in the budget relying on reserves to balance in 2023/24 followed by further forecast budget gaps in later years. Cipfa financial resilience and LGA financial review concerns primarily regarding the level and rate of depletion of reserves. Ability to fund unexpected events such as enforcement action and appeals. Need and desire to invest versus low level of capital receipts. Capital strategy is not as well formed as it could be due to corporate Asset management Plan not in place and only essential repairs affordable, other capital asset needs	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.	6	4	24	Development of the financial sustainability plan that is realistic and achievable and sufficient to meet budget gap. 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 ongoing funding.	4	3	12	Director for Corporate Services	SERVICE AND GOVERNANCE	Dec-23
SG2	Stability of future provision of ICT services.	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 there is instability whilst documentation is improved and infrastructure is updated. 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 service needs and escalate infrastructure improvements. Independent diagnostic review to ensure roadmap will address core infrastructure improvements required. 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	Improved regular monitoring and review of planned activities and consideration of further investment in ICT. Clear action plan developed from diagnostic review and adapt plans accordingly. Implementation of planned ICT improvements. Update to documentation. Training and support to existing and newly recruited staff. Backup restoration through full disaster recovery test.	4	3	12	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-24
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. Current budget consultation with county council proposes potential reduction to public health funding (possible impact on healthy and active communities service	5	2	10	Relaunch of helping people partnership as Community, Health and Wellbeing Partnership. Community grants pot maintained and support to community and voluntary sector included as part of UKSPF. Monitor impacts of LCC budget reductions on services such as homelessness and healthy / active communities	4	2	8	Director for Housing and Communities	SERVICE AND GOVERNANCE	Mar-24
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. Ongoing dialogue with leisure provider regarding affordability of current contract.	4	3	12	Ongoing monitoring of key suppliers/contracts. Audit of leisure contract management in 23/24 audit programme. Waste contract proposed 24/25 (one strategic contract audited per year proposed)	3	3	9	Director for Housing and Communities	SERVICE AND GOVERNANCE	Mar-24
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	Feb-24

## 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			
SG6	<b>ICT Security Breaches</b>	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	Loss of data, security breach introducing a virus into council systems, breach of legislation such as data protection resulting in prosecution or fine and reputational damage. System loss leading to interruption in services being delivered to customers.	Perimeter Security, Systems and data is backed up, Annual IT Health checks and penetration testing, 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 security awareness, Encryption detection software, Antivirus software, Mail Filtering, Sophos Unified Threat Manager, Intrusion detection software. Dark Trace antigen in place identifying unusual activity and autonomously blocking activities, also Intercept X detecting and unauthorised encryption and protecting files 3-2-1 Backups in place 3 copies, 2 locations, 1 Off-site	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. Implement additional internal protections such as Zero Trust or Mico segmentation to stop employees or attackers with a foot hold in the network from being able to laterally move across the network, implement Managed SOC (Security Operations Centre) as well as a PAM (privilege access management) to reduce the ability of privileged users to access and exfiltrate data or perform unaudited changes. implementation of audit recommendations including cyber security training and learning from other organisations.	2	4	8	Director for Corporate Services	SERVICE AND GOVERNANCE	Jan-24
SG7	<b>Resourcing of the LUF, UKSPF, ADP and Leisure developments (CPA 16 and Regen 07)</b>	Delivery of these projects will require a different set of experience, knowledge and skill set at various stages of the projects. Not all skill sets are available within the existing teams. Involvement from Property, Regeneration, Housing and Communities and Corporate services will be required to implement these projects. The teams are busy with the day to day and operational activities and will be stretched with key strategic priorities being delivered simultaneously.	Stretched resources or lack of relevant skill sets could lead to delays in delivery, mistakes, lack of compliance to regulations, and reputational damage	Additional resource needs are included in the ask for external grant funding such as LUF and UKSPF to increase capacity within the team and seek external support where required. Any future capital funding need for delivery of large scale projects will include additional resources for project management and niche technical advice.	4	3	12	A resource plan will be prepared identifying focus areas. SLT will maintain oversight of projects delivery to ensure resource pressure are considered at all stages of the projects. New posts will be recruited at relevant stages in accordance with the resource and project plan.	2	3	6	Director for Growth & Regeneration	PLACE	Jan-24
SG8	<b>Lack of capacity to deliver services and projects due to resourcing issues in specific teams</b>	High levels of sickness absence coupled with evidence from the Staff Survey that suggests some colleagues are experiencing pressure from high level of workloads, additional work pressures arising from the establishment of the new council and expectations arising from it, increase in customer expectations due to cost of living, difficulties in recruiting to certain posts and the impact from Single Points of Failure due to lack of resilience. Difficulty in recruitment in some technical areas such as legal, planning and environmental health is another contributing factor to capacity issues.	Inability to deliver statutory and discretionary services to the public and to deliver on corporate priorities and projects. increased sickness and mental health issues due to the pressure of work, high turnover as staff leave and poor morale. Lack of resilience whereby the loss of a single member of the team can quickly create a significant issue. vacant posts and high cost of interim staff.	Programme Boards to manage projects across the council, corporate strategy to set priorities, regular team meetings and 1 to 1s to identify areas of concern, range of mental health initiatives to support staff with mental wellbeing.	4	2	8	New corporate strategy to take into account resources available. Reset priorities and non priorities and ensure clear focus provided across the organisation.	3	2	6	Chief Executive	SERVICE AND GOVERNANCE	Apr-24

## Risk Matrix and Scoring Guide

			<b>Impact / Consequences</b>			
			Negligible	Marginal	Critical	Catastrophic
		Probability	1	2	3	4
<b>Likelihood</b>	Score/ definition					
	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)

<b>Likelihood</b>		<b>Impact</b>	<b>Description guide</b>
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