Melton Borough Council

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
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	15	3
PR2	Uncertainties regarding future leisure provision in Melton	12	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	ICT Security Breaches	12	8
SG6	Resourcing of the LUF, UKSPF, ADP and Leisure developments	12	6
SG7	Lack of capacity to deliver services and projects due to resourcing issues in specific teams	8	6
PL2	Implementation of food waste collection arrangements	15	4
PR3	Regulatory Change in Housing - Preparedness and Compliance	12	4
PL3	Capacity to respond to a major incident	12	9
SG8	Capacity to deliver the new Vision 36 and the Corporate Delivery Plan	12	6

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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
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PL1	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 set 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 was 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 Act gained royal ascent in 2023. Discussions are taking place with the County and City Councils regarding the prospect of a Level 2 deal. It remains unclear what role that District Councils would have in any future governance arrangements. Discussions are also underway regarding the LEP Transition arrangements, which, when finalised, are likely to be a foundation of any Combined Authority.	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 District Leaders continue to engage with the County and City Leader & Mayor on the role of districts. MBC's Chief Executive is the District Council rep on the LEP Transition Board and is actively working to ensure District Council representation on any future governance arrangements.	3	3	9	Discussions are ongoing to secure an appropriate place for district councils to be represented in any future combined authority. 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 continue to actively seek to influence discussions to ensure districts are not disadvantaged through any new arrangements	2	3	6	Chief Executive	PLACE	Jul-24
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.	Following some recent uncertainty due to cost inflation, the funding for the North and East is in place and initial work on the north and east is underway. The Southern section is less well developed and subject to similar cost escalation and as a consequence LCC have been unable to reach agreement with Homes England, and have refused to accept the Housing Infrastructure fund for the southern section. The delivery mechanism for the southern section is therefore uncertain, although LCC have confirmed they remain supportive of Melton's Local Plan strategy and will continue to work to identify the required funding. Whilst the Staged Payment Agreement has now fallen away, the Developer Contributions SPD remains in place.	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 a Developer Contributions SPD. Work continues with the county council on delivery of the southern section but without the HIF and continuing inflationary pressures, affordability remains a continuing challenge.	5	3	15	The Council is working with the County Council and developers on identifying alternate delivery mechanisms. At this stage it is unclear whether a resolution will be found but the work locally continues	1	3	3	Chief Executive	PRIORITIES	Jul-24
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. Assessment of facilities and dilapidation survey carried out / served on operator. Successful leisure procurement, securing future of facilities for next 10 years. Successful capital bids to SPSF and LLEP. Ongoing work on health and leisure vision progressing (in line with corporate strategy commitment) and is necessary to appropriately address this risk item.	4	3	12	Mobilise new leisure contract and capital improvements to be implemented, Strong contract management arrangements required. Develop longer term vision and plan for leisure centre capital financing,	2	2	4	Director for Housing and Communities Director for Growth and Regeneration	PRIORITIES	May-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. non recurring grant funding ending. 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 difficult to estimate due to appeals and empty properties. . 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 and 2024/25 followed by further forecast budget gaps in later years. Cipfa financial resilience and Oflog indicate comparatively low level of reserves. Ability to fund unexpected events such as enforcement action and appeals and costs of change Need and desire to invest versus low level of capital receipts. Affordability of assets repairs an issue.	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 a 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 funding ongoing funding.	4	3	12	Director for Corporate Services	SERVICE AND GOVERNANCE	Sep-24

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SG2	Stability of future provision of ICT services.	Following move to an in house service provider via HBBC identified poor infrastructure that requires investment, poor documentation and gaps in skill levels of team. Risk that there is instability whilst documentation is improved and infrastructure is updated. Increased demand for ICT services due to development of digital services. 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 escalate infrastructure improvements. Regular strategic review meetings to ensure partnership is aligned. Business analysts provided as part of new structure to work with partner services to develop future IT provision. Independent support to ICT Manager to implement required changes.	5	3	15	Review of resources to ensure they meet partner needs. 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	Sep-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.	5	2	10	Monitor impacts of LCC budget reductions on services such as homelessness and healthy / active communities. Engage ICB to secure funding. Consider future of shared service arrangements to ensure value for money and resilience - CCTV, Out of Hours, Waste and Environmental Services.	4	2	8	Director for Housing and Communities	SERVICE AND GOVERNANCE	May-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.	3	3	9	Director for Housing and Communities	SERVICE AND GOVERNANCE	May-24
SG5	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	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 provided by Firewalls and firewall policies, systems and data is backed up using industry best practice. Annual IT Health checks and penetration testing, Cyber Essentials and PSN accreditation, External Vulnerability scanning tools, Security Working Group, policies in place to support and advise staff, ICT articles and newsletters aimed at increasing staff cyber security awareness, Simulated phishing tools and learning to increase staff awareness of the risks of Phishing. Encryption detection software, Antivirus software, Mail Filtering, Sophos Unified Threat Manager, Intrusion detection software, Intercept X detecting and unauthorised encryption and protecting files. Password management tool ensuring passwords are secure and less likely to be defeated by social engineering or brute force or dictionary/spraying attacks. 3-2-1 Backups in place 3 copies, 2 locations, 1 Off-site	3	4	12	Additional Cyber security services in the form of a Managed Detect and Response Service to reduce the likelihood of successful intrusion and unusual behaviour, Privilege Access Management to mitigate internal threats. Implement additional protections such as Zero Trust to protect employees or attackers with a foot hold in the network from being able to laterally move across the network. Implement 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. Procure and implement proactive threat management technologies to enable MBC to see intelligence on Cyber threats before they become manifest.	2	4	8	Director for Corporate Services	SERVICE AND GOVERNANCE	Jun-24
SG6	Resourcing of the LUF, UKSPF, ADP and Leisure developments (CPA 16 and Regen 07)	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

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SG7	Lack of capacity to deliver services and projects due to resourcing issues in specific teams	Workload pressures increasing on particularly teams due to increasing demand, coupled with the 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, and 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, recent review of Team Charters and regular team meetings and 1 to 1s to identify areas of concern, range of mental health initiatives to support staff with mental wellbeing. Existing Way We Work Strategy approved in December 2021.	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. Refresh the Way We Work Strategy and maintain positive and supportive culture.	3	2	6	Chief Executive	SERVICE AND GOVERNANCE	Jul-24
PL2	Implementation of food waste collection arrangements	New requirement, details of requirements, sufficiency of funding and delivery options currently being assessed. New service - large project. Linked to this, high demand may affect availability of vehicles, caddies etc. Resourcing to lead and oversee project currently unclear due to staffing change / partnership change.	Unable to implement a food waste collection service in time.	Include resource requirement within budget setting process. Assessment of requirement, budget sufficiency and delivery options currently underway. Initial dialogue with Biffa underway. Collaboration between districts working with Welland procurement on joint procurement options.	5	3	15	SLT and Cabinet briefings - Feb / March. Recruit to role of Programme Manager, Waste and Environment. Need to set out key project milestones, risks, decisions required. Need to add as a corporate project and identify lead officer.	2	2	4	Director for Housing and Communities	PLACE	Apr-24
PR3	Regulatory Change in Housing - Preparedness and Compliance	Need to ensure readiness and clarity on changes and improvements needed. Important to be able to demonstrate and provide assurance of compliance, and transparency on areas of risk . mitigating actions	Regulatory intervention. Reputational risks. Poor complaints management. Ineffective landlord services.	Good progress made in terms of appraising MBC's current Housing Consumer Standards (currently being reviewed) in preparation for the launch of the new standards. the learning from this has been captured in a detailed action which the consultant is leading on. further specialist work such as Tenant Profile Data is being progressed as a project, and additional days have been commissioned from the consultant to assist with capacity issued.	3	4	12	Successful recruitment to post of regulatory assurance lead. Self assessment undertaken and action plan in place, with progress monitored via housing leadership team and reported to members as required. UPDATE Feb 24 progress with preparation has been shared with both councillors and tenants via the Your Choice group, and corporate insight will be enhanced through the implementation of the Landlord Assurance Board.\n\nAudit or readiness for regulatory change - audit planning record agreed, audit due to commence.	2	2	4	Director for Housing and Communities\n\nAssistant Director Housing Management	PRIORITIES	Apr-24
PL3	Capacity to respond to a major incident	to be prepared for and have the ability to respond to a major incident impacting on both the council's ability to deliver services and on the community as a whole. A major incident may include severe weather, notifiable diseases, major incidents and business continuity incidents	Homes and businesses are damaged, disruption to transport and travel in the borough, disruption to communication infrastructure, health and wellbeing of young, elderly and other vulnerable members of the community, severe loss of livestock and livelihood of rural businesses, ability for the council to deliver services,	Support and partnership/multi agency working with Local Resilience Forum. Training for Senior Officers in managing major incidents. Emergency plan in place. Dedicated Resilience Officer in post. Various plans in place and regularly reviewed for example Adverse Weather Plan. Close liaison and mutual aid available with neighbouring authorities and partners. Met Office weather warnings in place and public warning messages issues through social media. Links with Parish Councils, local flood wardens and other community groups.	4	3	12	Preparedness for a major incident. Further multi agency training to be undertaken. Continue to review plans and ensure these are communicated. Continued working through the LRF with local officers. Plan for increased incidents due to adverse weather and learning from previous incidents	3	3	9	Assistant Director for Planning\n\nAssistant Director for Organisational Development	PLACE	Jan-25
SG8	Capacity to deliver the new Vision 36 and the Corporate Delivery Plan	to be able to deliver the commitments outlined in the Council's Vision 36 and the Corporate Delivery Plan through the activity, projects and actions. The commitments will require resources both financial and non-financial (staffing, assets etc) to enable delivery.	We fail to deliver on the commitments made in Vision 36 and Corporate Delivery Plan. Resources used to deliver on the commitments are taken away from existing services and this impacts on the quality to residents. Resources used may also impact on the Council's long term financial sustainability and the capacity of officers to deliver services to existing levels of quality.	The commitments made have been developed with members to meet the future needs of the borough and as part of the process of this the resources required have been developed with finance. Monitoring of the commitments will take place over the duration of the plan through the budget process and through the Council's Performance Management Framework.	4	3	12	Monitoring of the resources required to deliver on the commitments. Continue to review the commitments and how we are able to deliver on these and maintain service quality across the Council.	3	2	6	Chief Executive	SERVICE AND GOVERNANCE	Feb-25

Risk Matrix and Scoring Guide

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