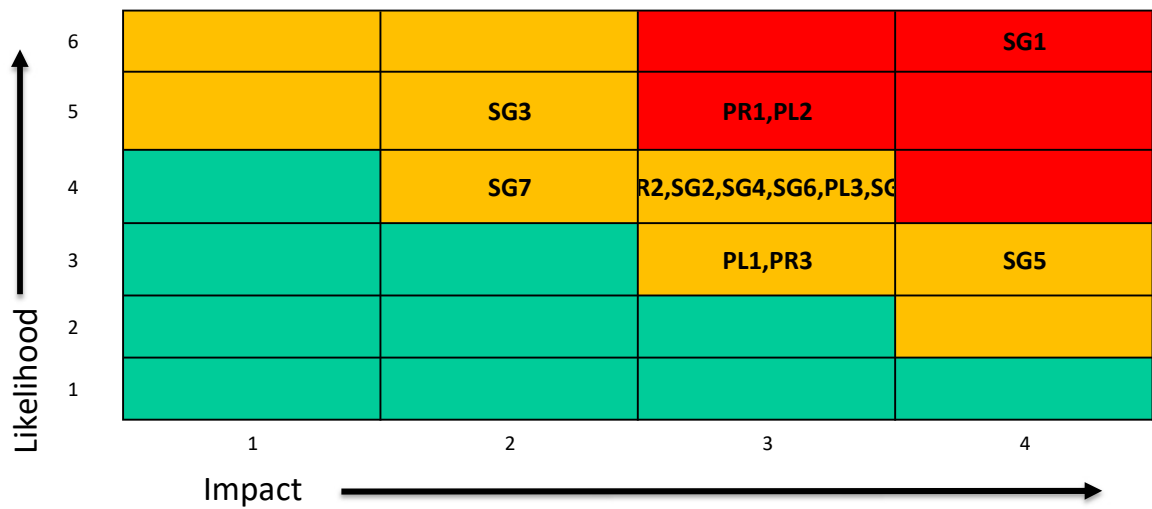


Risk Register



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) and the financial and legal impacts on Melton Borough Council arising from any agreement <u>with the County Council which seeks to support delivery.</u>	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.	12	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	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	9	4
PL3	Capacity to respond and recover to a major incident	12	9
SG8	Capacity to deliver the new Vision 36 and the Corporate Delivery Plan	12	6
15	N/A	N/A	N/A

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			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths)			RISK OWNER	CATEGORY FOCUS	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING			
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 and Regeneration Act gained royal ascent in 2023. Previously the County and City Councils have indicated the only a level 2 deal would be possible for Leicestershire. The East Midlands County Combined Authority (EMCCA) has now been established with a Mayor (Level 3). Following the General Election in July 2024, the new Government has confirmed their support for Devolution and a desire to streamline and standardise the approach. Plans to bring forward and English Devolution Bill were confirmed in the King's Speech. The new Deputy Prime Minister wrote to all Council Leaders in July 2024 inviting those not subject to current deals to express interest by September. It remains unclear what roles district councils would have in any combined authority and devolution deal. The LEP Transition process has concluded and a new Business Board is being formed which will include one district leader representative. The future of UKSPF remains unclear.	Inability to achieve corporate objectives / In ability to secure additional funding to support priorities / Duplication of focus / Breakdown in relationships and partnerships / Loss of UKSPF funding.	District Leaders meeting regularly to discuss and building relationship with local MPs. DCN actively promoting the role of districts and liaising with relevant ministers. District Leader representation in place on the Business Board.	3	3	9	Further engagement with MPs and Ministers directly. Explore opportunities to discuss future devolution arrangements with City, County and Rutland Councils.	2	3	6	Chief Executive	PLACE	Dec-24
PR1	Failure to deliver MMDR (in full) and the financial and legal impacts on Melton Borough Council arising from any agreement with the County Council which seeks to support delivery.	The funding for the North and East is in place and construction work is underway. The Southern section is less well developed and subject to similar cost escalation and as a consequence LCC were unable to reach agreement with Homes England, and 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.	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. Opportunities to discuss further with Homes England and the new government will be explored	1	3	3	Chief Executive	PRIORITIES	Dec-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	Successful leisure procurement, securing future of facilities for next 10 years. Contract commenced 1st April 2024. Planned leisure improvement works as part of the new contract are taking place and remain on track, supported by successful capital bids to SPSF and LLEP. Grand opening of 'new look and feel facilities' during August 2024. New contract management arrangements in place. First meeting of Leisure Strategic Partnership Board took place on 31st July 2024. This will support robust and strategic contract management approach, and will include leisure and property colleagues. New corporate strategy commits to a new leisure centre by 2036. 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	Develop longer term vision and plan for leisure centre capital financing, and as part of this, a clear timeline and understanding of the finances required.	2	2	4	Director for Housing and Communities Director for Place and Prosperity	PRIORITIES	Nov-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 and 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. Cifa 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. 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.	4	3	12	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-25

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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, 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 the Head of ICT to implement required changes.	4	3	12	Delivery of planned improvements and documentation of systems and review and update of associated policies. Review of operating model following move to 2 partner model and investment in infrastructure to ensure resources are at right level and skills to support technology in place and demand. Appointment of programme manager to provide robust programme management support to ensure delivery of projects on time and to scope and budget. Development of partner IT strategy and roadmap highlighting areas for consideration of further investment in ICT. Training and support to existing and newly recruited staff. Backup restoration through full disaster recovery test.	3	3	9	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-25
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	Nov-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. Successful risk mitigation during transition of gas and heating contract provides confidence that risks of this nature can be managed.	4	3	12	Ongoing monitoring of key suppliers/contracts.	3	3	9	Director for Housing and Communities	SERVICE AND GOVERNANCE	Nov-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, corporate training linked to the NCSC guidance rolled out corporately. 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 a manage detect and response solution monitors the ICT estate for threats and anomalous behaviour.	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. Multi Factor Authentication to be rolled out.	2	4	8	Director for Corporate Services	SERVICE AND GOVERNANCE	Feb-25
SG6	Resourcing of the LUF, UKSPF, ADP and Leisure developments	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 Place & Prosperity	PLACE	Dec-24
SG7	Lack of capacity to deliver services and projects due to resourcing issues in specific teams	Workload pressures increasing on particular 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. New Corporate Strategy 2024-2036 and 4 year Corporate Delivery Plan approved and in place.	4	2	8	Monitoring of progress against Corporate Delivery Plan to assess progress. Ongoing Corporate Governance Meetings. Plan to refresh the Way We Work Strategy and maintain positive and supportive culture.	3	2	6	Chief Executive	SERVICE AND GOVERNANCE	Dec-24

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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.	Successful recruitment o the role of Waste and Environmental Service Mangar, postholder has relevant skills, knowledge and expertise, starts in post in September 2024. Challenge to DEFRA regarding capital funding remains in progress - commitment to maintain change of sufficiency if capital funding. Evidence base also being reviewed to support understanding of capital and revenue requirements. Initial dialogue with Biffa underway - to be accelerated when new service manager is in post. Collaboration between districts working with Welland procurement on joint procurement options for caddies. Engagement with countywide groups and discussions.	5	3	15	Project plan to be progressed by new service manager. when in post - preparatory work is being done ahead of this. Submit further DEFRA challenge and consider outcome / implications of outcome on delivery of this service and financial impact for the council. This is a high risk and high profile programme of work. Proposed as part of scrutiny committee workplan in 24/25.	2	2	4	Director for Housing and Communities	PLACE	Nov-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 assurance opinion received on internal audit - preparing for regulatory change - four actions arising, three have been completed and one remains in progress. Corporate plan provides strong focus on tenant outcomes and high quality housing and landlord services. Housing service plan has now been developed and consultation underway with tenants. Includes key programmes of work aligned to corporate plan and development areas of the consumer standards. Landlord Assurance Board has been launched, first meeting has taken place and scheduled quarterly. Tenant recruitment to the board is due to commence. Tenants' corner website launched and positively received. Key information including Tenant Satisfaction Measures published. Complaints self assessment and annual performance report completed and approved by cabinet. Scrutiny committee considered 2 x reports on regulatory change and preparedness during 23/24. Tenant workshop also took place with the committee. Formal reporting to Cabinet on regulatory change, and quarterly updates on performance and complaints. Regulatory inspection took place during Q1 of 24/25. Initial feedback in line with the council's assessments of areas of strength and areas for further development. Extensive work has taken place to ensure a constructive and co-regulatory approach to inspection.	3	3	9	Complete recruitment to the post of 'Tenant Engagement and Regulatory Compliance Lead'. Review formal feedback from the regulatory inspection team and regulatory judgement, publish this and ensure service and development plans incorporate areas identified through the inspection process. Review of resourcing and prioritisation to ensure sufficient resource and focus on key areas to maintain progress and momentum. Delivery of the tenant data profile project. TPAS review of tenant engagement to progress. Commission next TSM survey.	2	2	4	Director for Housing and Communities Assistant Director Housing Management	PRIORITIES	Nov-24
PL3	Capacity to respond and recover 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, community unrest 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, death/injury to members of the community	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 including blue light services . Communications cell is well established and incident and 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. Emergency Centre plans in place	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. Multi agency communication and learning from previous incidents. Keep oversight of national picture with regard to unrest and consider/assess local implications	3	3	9	Assistant Director for Planning Assistant 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

			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