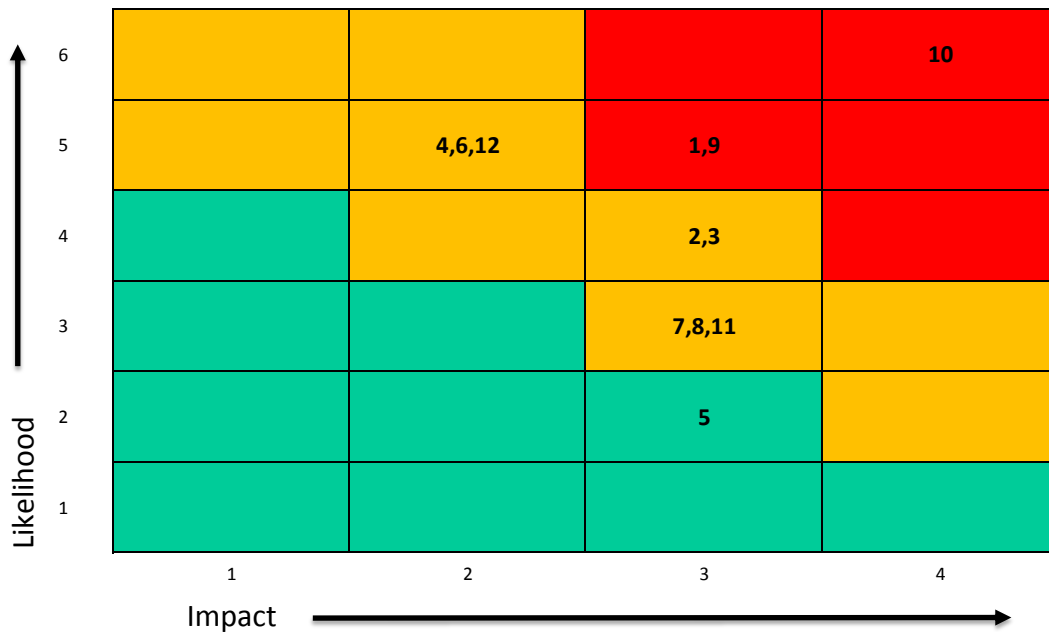


### Risk Register



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
1	Failure to secure financial stability in the medium term	15	9
2	Future Provision of ICT services following end of current outsourced contract	12	9
3	Lack of People and Skills to deliver (Capacity and Resilience)	12	12
4	Failure to deliver inclusive growth	10	8
5	Failure to deliver MMDR	6	6
6	Financial pressures undermining partnerships (integrated working)	10	8
7	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	9	6
8	Failure to govern the organisation effectively	9	6
9	Adverse impact of 'no deal' EU Exit on the Council and local communities and businesses	15	6
10	The Council housing stock not being compliant to the property health and safety standards	24	6
11	Failure to have contractual provisions in place for goods, works and services procured by the Council	9	2
12	Non-compliance to safety and regulatory standards, unplanned expenditure requirements and unexplored income potential of Council's assets	10	3

# Risk Register

REF	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK VULNERABILITY AND CAUSE	RISK CONSEQUENCES	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths) (See next tab for guidance)			RISK OWNER	RISK REVIEW DATE
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
1	<b>Failure to secure financial stability in the medium term</b>	Government funding cuts. Fair funding Review and review of business rates baseline due to be effective from 2020/21 but timing now uncertain, Non achievement budget savings Plan B whilst available is a last resort. Insufficient growth and share of growth used to assist with road funding. Partnership funding cuts. Demographics (increased demand). Copa financial resilience concerns.	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.	Range of budget savings proposals to be agreed. Priorities agreed through corporate strategy. Regular liaison and consultation with unions. Workforce Strategy e.g. staff training and support. Maximising partnership working to deliver better outcomes at reduced local cost. Regular review of MTFs. Well informed public and members around priorities, cost of services and resources available. Regularly review risk associated with partnership projects and funding. Ongoing review of any changes in government funding. Ongoing consideration to be given to public consultation to ensure the proposals are understood with the context of the financial position.	5	3	15	Consider savings options identified through review of corporate delivery plan. Look at options for reducing demand e.g. prevention and demand reduction through service redesign. Look at CIPFA financial management code requirements once consultation closed.	3	3	9	Director for Corporate Services	Oct-19
2	<b>Future Provision of ICT services following end of current outsourced contract</b>	In-house solution being considered, risk that this is not affordable or cannot recruit right experience and skills. Transition from current contractor is not amicable. Resources within the partnership to implement in a timely manner	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 such as telephony resulting in loss of service.	Use of external support and guidance to ensure service transitions and is resourced sufficiently already started with support from SOCITM, consideration of phased transition.	4	3	12	Discussions with existing supplier led by client to be informed by partners to lead to a solution that improves operational service delivery. More regular strategic group meetings	3	3	9	Director for Corporate Services	Oct-19
3	<b>Lack of People and Skills to deliver (Capacity and Resilience)</b>	Failure to recruit - affordability and availability. Lack of opportunities - retention. Ineffective performance management. Poor project planning. Pace of change/diversification - skills gap. Economic and societal issues.	Failure to deliver in key areas affected and high levels of pressure and workload. Frustration from members, partners and the public.	Delivery of actions in the Workforce Strategy action plan. New corporate structure. Prioritisation exercise. Embedding corporate mission, vision, priorities and values. Existing performance management framework.	4	3	12	Delivery of action plan supporting the Workforce Strategy. Review impact of actions taken. Reorientation of staff culture to support commercial ambitions	4	3	12	Director for Corporate Services	Jan-20
4	<b>Failure to deliver inclusive growth</b>	Businesses not attracted to the area. Not the right skills, infrastructure, technology available. Lack of available space (land assembly). Competition from other authorities. External funding/priorities (doesn't include inclusive growth)	Low skill, low wage economy. Employers leave the area. Social consequences. Reduced health and well being of citizens. Maintains a high demand on council services. Infrastructure under greater pressure/or risk of closure. Undermines the growth agenda.	Local Plan. Growth and Prosperity Plan 2018-2022. Structural realignment and increasing capacity to support. Prioritisation of growth. Manufacturing Zone grant funding received to take proactive measures to deliver employment sites and create jobs.	5	2	10	Delivery of the various strategies and plans already on track. Updated Project management framework being piloted to help ensure projects are delivered on time and to budget. Consultants are being procured for development of employment sites.	4	2	8	Director for Growth and Regeneration	Apr-20
5	<b>Failure to deliver MMDR</b>	Funding from DFT withdrawn e.g. by change in Government of Gov. Policy. Developer contributions not realised or forward funding agreement with LCC not secured. National political instability.	Undermines the growth agenda. More pressure for Housing growth in rural areas. Community cohesion. Reputational impact.	DfT has awarded funding and there is a project for the MMDR itself. wide Political support. County, Borough and MP support. Some s106 funds (£9 million) already secured. Planning permission granted for design and route of MMDR. Permission fronted for housing sites it passes through (part). Key enabler of Strategic Growth Plan and referenced as a 'hook' for future finding bids. Alternative funding strategies., i.e HIF. Tax incremental funding to guarantee match funding. Model finalisation.	2	3	6	Ongoing delivery of the project plan. Work to be developed to reach an agreement with LCC around financial contributions. Result of HIF bid awaited for south section.	2	3	6	Assistant Director for Strategic Planning and Regulatory Services	Oct-19
6	<b>Financial pressures undermining partnerships (integrated working)</b>	Reduced funding from partners. Conflicting priorities between partners.	Partners withdraw from existing projects that remain a priority for MBC leading to service reduction, increased financial pressure and resident dissatisfaction. Failure to secure new funding streams including grant funding.	Maintaining relationships with senior leaders from other organisations. Working through existing partnership structures.	5	2	10	Mapping out existing partnership relationships and identifying any vulnerabilities. Review of assets.	4	2	8	Deputy Chief Executive	Sep-19
7	<b>Failure of a key supplier e.g. Housing Repairs, Waste and Leisure</b>	Supplier failure. Bankrupt.	Failure to deliver service. Reputational damage. Financial costs. Capacity to deal with the implications. Legal implications.	Robust procurement. Performance Bonds. Regular monitoring of the key suppliers and contracts.	3	3	9	Contracts are signed for the Waste and Housing Repairs contracts. Ongoing robust monitoring of key suppliers/contracts.	2	3	6	Director for Growth and Regeneration	Apr-20

## Risk Register

REF	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK VULNERABILITY AND CAUSE	RISK CONSEQUENCES	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths) (See next tab for guidance)			RISK OWNER	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
8	<b>Failure to govern the organisation effectively</b>	Lack of effective professional and member leadership. Capacity issues.	Failure to comply with legislation. Fraud or corruption occurs. Failure to make decisions based on robust information. Poor processes, ineffective systems. Failure to meet demand. Poor customer satisfaction. Inability to affect change/transformation. Poor Audit reports. Government intervention. Ineffective policy development and corporate planning.	Priority theme boards established. Project Management Toolkit refreshed and promoted. Establishment of Melton Leadership Team and recruitment to a number of key senior positions. Established internal communications and engagement mechanisms. LGA Peer Challenge (December 2017) and subsequent LGA Governance Review (March 2018). New Corporate Structure in place and new Director for Legal and Democratic Services created with in-house legal team. Prioritisation exercise undertaken and approval of Corporate Delivery Plan. New governance structure has been approved and will be implemented from May 2019. Fraud and corruption policy and response plan, regular training and awareness and good communication of implications of fraud and corruption. risk assessed audit plan. annual fraud risk assessment.	3	3	9	Following the decision in November 2018 to move to Executive Arrangements, preparations are now complete to implement the new arrangements. A Democratic Services team have been established which will help to embed the new governance processes. Constant monitoring will be undertaken to ensure that adequate procedures and processes are in place to ensure that the decision making processes ensure good governance.	2	3	6	Director for Legal and Democratic Services	Nov-19
9	<b>Adverse impact of 'no deal' EU Exit on the Council and local communities and businesses</b>	Issues arising from 'no deal' EU Exit affecting local service delivery depending on the deal/no deal agreed. Snap general election/ referendum, impact on supply chains and investments	Impact on business continuity and organisational supply chains. Impact on communities and businesses increasing demands on council services. Reduced investment returns and complying with any regulations	Brexit impact assessment undertaken on local community and discussions taking place through the Local Resilience Forum. Lead Brexit Officer identified as per government request. Sharing on knowledge and implications through District Chief Execs meetings and the DCN. Reviewed government's technical notices relating to no deal. Lessons learned session held following previous leave deadlines in March and April. Directors and managers requested to avoid leave during key timescales before and after 31st October. Project team established including reps from comms, communities and economic development teams.	5	3	15	Project team co-ordinating communication campaign to be initiated in early September to signpost key information to businesses and communities. Resource plans being re-considered in anticipation of expected 31st October 2019. Planning underway for potential snap general election	3	2	6	Chief Executive	Dec-19
10	<b>The Council housing stock not being compliant to the property health and safety standards</b>	Old stock, lack of details from stock condition surveys, a fully comprehensive compliance framework not being in place.	Council being non compliant and failing in the duty as a landlord; tenants being exposed to safety risk; potential financial and reputational risks	A compliance officer post is being created in the housing asset team with a view to create a comprehensive framework with procedure and guidance notes for staff, tenants and contractors to follow. A comprehensive plan for management of housing assets is being prepared that proposes to create a compliance framework with policies, procedures and guidance notes.	6	4	24	This to be managed at corporate level with appropriate levels of resources to be allocated through the HRA programme and prioritised as a key corporate action. Regular monitoring of action plan for the compliance and quality of housing stock.	2	3	6	Director for Growth and Regeneration	Jun-20
11	<b>Failure to have contractual provisions in place for goods, works and services procured by the Council</b>	Contractual issues cannot be raised / managed due to no legal standing being in place	inconsistent service delivery, reputational damage, no recourse to recover financial loss.	Updated process has been reviewed with T3 managers following redesign by Corporate Services Manager, Principal Solicitor and Head of WPU. Increased central control to monitor contract completion. Terms and Conditions now in place for Purchase Orders.	3	3	9	Draft terms and conditions for higher value currently being drafted for approval	2	1	2	Director for Legal and Democratic Services and Director for Corporate Services	Dec-19
12	<b>Non-compliance to safety and regulatory standards, unplanned expenditure requirements and unexplored income potential of Council's assets</b>	Lack of available information on compliance, condition and investment requirement for Council's assets. Lack of capability and capacity within the team to update the database	Under-investment in repair and maintenance, reduced asset values, health and safety risk, penalty from regulatory bodies, lack of consumer trust	A Housing Improvement Plan is being prepared with an action plan with recommendations to create a central database	5	2	10	Implementation and monitoring of actions front eh Housing Improvement Plan	3	1	3	Director for Growth and Regeneration	Apr-20

## Risk Matrix and Scoring Guide

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

<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