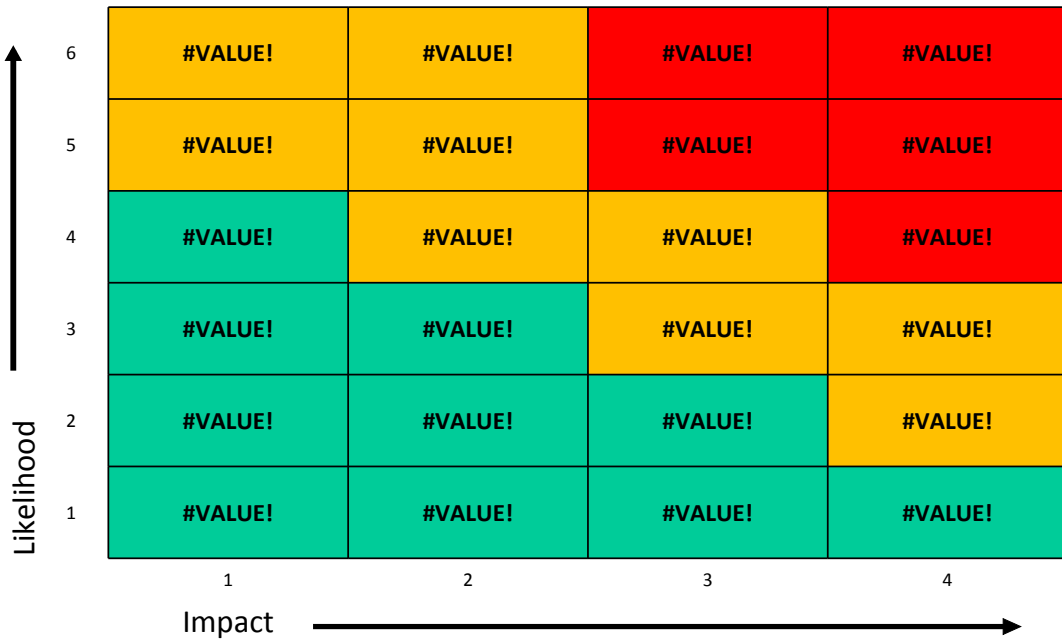


### Risk Register



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
1	Failure to secure financial stability in the medium term	20	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)	6	6
4	Failure to deliver inclusive growth	10	8
5	Failure to deliver MMDR	3	3
6	Financial pressures undermining partnerships (integrated working)	10	8
7	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	12	9
8	Failure to govern the organisation effectively	9	6
9	Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local communities and businesses	9	6
10	The Council housing stock not being compliant to the property health and safety standards	20	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
13	lack of data management within the organisation leaving the Council at risk of breaching data protection legislation.	15	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	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	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 originally due to be effective from 2020/21 but timing now uncertain, NHB to be phased out but unclear what growth incentivised funding will replace this. 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). Cipa financial resilience concerns primarily regarding the level and rate of depletion of reserves. Need and desire to invest versus low level of capital receipts. Lack of asset condition information meaning capital strategy is not as well formed as it could be. HRA business plan is interim until stock condition surveys are complete.	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. 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 within the context of the financial position.	5	4	20	Savings options are identified and considered through review of the Corporate Delivery Plan. Prioritise spending plans that will generate savings in return. Consider options for reducing failure demand e.g. prevention and demand reduction through service redesign. Consider the CIPFA financial management code requirements once final version has been issued.	3	3	9	Director for Corporate Services	Sep-20
2	<b>Future Provision of ICT services following end of current outsourced contract</b>	Review of LICTP being undertaken which will help support direction re service delivery and closer working. In-house solution being considered, risk that we cannot recruit right experience and skills. Loss of ICT client manager a risk/disruption to progression. Transition from current contractor is not amicable. Resources within the partnership to implement in a timely manner. Not all partners fully support the partnership and may be looking at alternative provision.	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.	Review by digital consultant. Proposals to create an in house IT programme manager with technical skills to liaise with contractor/client to ensure Melton's IT needs are meeting business needs. Use of external support and guidance to ensure any service transition is resourced sufficiently. Consideration of phased transition. More regular strategic review meetings to ensure partnership is aligned.	4	3	12	Outcome of review by digital consultant needs to reach a conclusion and agree way forward for LICTP as a result. Commence any discussions with IT supplier and transition to any new arrangement.	3	3	9	Director for Corporate Services	Jul-20
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.	3	2	6	Delivery of action plan supporting the Workforce Strategy. Review impact of actions taken. Reorientation of staff culture to support commercial ambitions	3	2	6	Director for Corporate Services	Apr-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	Skill audit for local businesses and identifying gaps and high risk areas. Collaboration with skill providers such as BMC and universities in neighbouring regions to provide skill enhancement. Improve access to skills and apprenticeships by considering transport arrangements with employers and skill providers.	4	2	8	Director for Growth and Regeneration	Jun-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. Some s106 funds (£9 million) already secured. Planning permission granted for design and route of MMDR and contracts awarded for its construction 2021-2023. Permission granted for the road itself and housing sites it passes through (part) which include s106 provision to transfer the land and contribute funding. Key enabler of Strategic Growth Plan and referenced as a 'hook' for future finding bids. HiF bid for 'southern leg' now granted and LCC are leading on project management to add this part to the construction of north and east elements, working with MBC and landowners/developers affected by the route. Forward funding mechanism agreed between MBC and LCC. Continued examples of funds secured within various s106 agreement for development in Melton	1	3	3	Ongoing delivery of the project plan with LCC and developer/land owners affected. Consider to include financial contributions in s106 for major developments in Melton. Developer Contributions SPD will interface with this as it will address s106 priorities - MMDR contributions anticipated to feature prominently, i.e. the high priority in Melton.	1	3	3	Assistant Director for Strategic Planning and Delivery	Jun-20
6	<b>Financial pressures undermining partnerships (integrated working)</b>	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 from other organisations. Working through existing partnership structures. Take advantage of co-location and shared uses of buildings.	5	2	10	Further develop work of the People Board on outcomes framework. Work with local (Melton) partners to tackle this framework but also seek to work at the County level to influence key strategic partnerships. Overall focus should be on behaviour change and achievement of better outcomes.	4	2	8	Deputy Chief Executive	Sep-20
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.	4	3	12	Ongoing robust monitoring of key suppliers/contracts. Internal audit consultancy assignment commissioned to monitor the contract implementation for housing repair contract.	3	3	9	Director for Growth and Regeneration	Apr-20

# Risk Register

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					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
8	<b>Failure to govern the organisation effectively</b>	Lack of appropriate digital infrastructure may not support governance procedures. Lack of effective professional and member leadership to ensure compliance. Lack of capacity may mean that governance processes are not complied with.	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.	Project Management Toolkit refreshed and promoted. Establishment of Melton Leadership Team and recruitment to a number of key senior positions. New Corporate Structure in place and new Director for Housing and Communities recruited to. Established internal communications and engagement mechanisms are supported by additional staff and implementation of LGA Communications Review is continuing. LGA Peer Challenge (December 2017) and subsequent LGA Governance Review (March 2018) identified actions that have been implemented. Governance structure continues to ensure transparency and better decision making and introduction of Democratic Services Team has improved advice and support. Ongoing training for key staff on decision making. 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. SLT held regularly with clear reports and accountability for leading the organisation.	3	3	9	Further monitoring will be undertaken with regard to the governance arrangements to ensure effective decision making. Policies will be updated in accordance with review dates. Risks will continue to be monitored and updated by Directorates. Work will continue to be undertaken to ensure that governance processes are clear for key staff so that there is compliance at all times. Project Management training will be undertaken. Accessibility of communications work is being undertaken to ensure compliance with new legislation.	2	3	6	Director for Governance and Regulatory Services	Oct-20
9	<b>Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local communities and businesses</b>	Issues arising from no agreement with the EU resulting in similar impacts to those projected should the UK have exited the EU with no deal.	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 previously undertaken on local community and discussions taking place through the Local Resilience Forum. Will stand up again should this be necessary. Sharing on knowledge and implications through District Chief Execs meetings and the DCN. Lessons learned session held following previous leave deadlines in March and April.	3	3	9	Arrangements currently stood down. Subject to progress of the negotiations, the Council and LRF will stand up contingency planning again later in the year. Directors and managers would be requested to avoid leave during key timescales around new deadline of 31st December 2020, though this will be more challenging due to Christmas period. Project team will be established including reps from comms, communities and economic development teams.	3	2	6	Chief Executive	Sep-20
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	Housing Improvement Plan (HIP) is approved by the Council in November 2019. Recruitment for all new roles approved as part of this plan is underway. HIP board is created for on-going monitoring of progress related to compliance. The Social Housing Regulator (RSH) has been contacted and kept updated on the information related to non-compliance. New director for Housing and Communities is appointed following the approval of the new corporate structure. Housing Asset Manager role is created to increase focus on housing repairs and voids. Recommendations from the internal audit report on landlord health and safety are being implemented to improve the safety of council owned homes. Interim HRA Business Plan is approved by the Council in January 2020 and relevant resources are allocated to tackle non-compliance.	5	4	20	This is managed as a key corporate priority with appropriate levels of resources being allocated through the Housing Improvement Plan. Regular monitoring of the Housing Improvement Plan for the compliance and quality of housing stock is managed through multiple governance structures such as board meetings, operational meetings which have senior leadership oversight. Clear communication is undertaken with key stakeholders to ensure that progress is communicated regularly	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.	The contracts register has been updated and published on the website. There will be quarterly reviews until the electronic system has been developed and is in place.	3	3	9	Draft terms and conditions for higher value contracts have been drafted and will be rolled out with the amended Contract Procedure Rules	2	1	2	Director for Legal and Democratic Services and Director for Corporate Services	Jun-20
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	Through Corporate restructure, a new role for Corporate Assets Manager is created to provide clear focus. New shared roles are created to increase capacity within the team. Recruitment of vacant positions is underway. A business case for IT investment in asset management database and systems is being prepared.	5	2	10	Implementation and follow-up of actions and approvals to achieve the agreed outcomes.	3	1	3	Director for Growth and Regeneration	Jun-20
13	<b>lack of data management within the organisation leaving the Council at risk of breaching data protection legislation.</b>	Lack of capacity or skills within the workforce to implement a knowledge management system, Lack of IT capacity to support a knowledge and information management system, lack of capacity to update systems and information asset register, non compliance with GDPR	Non compliance with GDPR, records not being up to date, personal data being held on systems which is incorrect, lack of consistent data keeping	Data Protection guidance and training for staff, IT Security Policies in place, Plans in place to meet Government standards(PSN/GDPR), Staff and Member training on Information Security Policies and practice and sign up to policies, Data Protection Officer in place, Information Asset Register and processes for its management in place. Managements of systems reviews are being undertaken	5	3	15	Focussed data protection training for high risk areas to be rolled out. Records retention to continue to be reviewed and regularly rolled out. Information Asset Register to be reviewed by managers on an annual basis. Implement new IT systems and reconfigure resources in Corporate Improvement Team to support improved data retention on systems	2	3	6	Director for Governance and Regulatory Services	Aug-20

## Risk Matrix and Scoring Guide

			Impact / Consequences			
			Negligible	Marginal	Critical	Catastrophic
Likelihood	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)

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