

Corporate Risk Register – requires CLT approval							
Risk Area	Inherent Risk			Control Measures	Residual Risk		
	Impact	Likelihood	Rating		Impact	Likelihood	Rating
Safeguarding Adults at risk and Children	4	4	16	<p>The organisation has the following structures in place;</p> <p>An identified Corporate Lead (Head of Service) with a Portfolio Holder lead</p> <p>An identified Team responsible for Safeguarding (Safer & Stronger) with responsibility embedded into Team Leader role and an officer (Child & Adults at risk Officer)</p> <p>An agreed Safeguarding Policy refreshed as required with delegation to Director of Services for updates</p> <p>An identified group of Designated Safeguarding Officers (DSO's) in most service areas</p> <p>A programme of regular DSO meetings which consider training, best practice and case issues</p> <p>An annual training programme to ensure new DSO's are well informed and trained</p> <p>A quarterly senior management review of all cases to check progress/close cases</p> <p>A quarterly briefing with the Chief Executive, a 6 monthly report to CLT and an annual report to Cabinet</p> <p>Annual report is to review previous year and endorse an action plan for the year ahead</p>	4	3	12
Finance & Budget	4	4	16	<p>Monthly management reviews are performed of actual against budgets and forecast to the end of the year.</p> <p>Monthly reporting and challenging at CLT, and reported to Cabinet quarterly Sound policies and procedures are in place.</p> <p>Financial planning processes have been documented and are reviewed regularly.</p> <p>Internal and External audit of systems and accounts.</p> <p>This risk may also need to be reviewed further once the outcome of the Governments spending review is known particularly in the light of the impact it could have on major projects being developed by the Council such as the Coalville project.</p>	4	1	4

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Resource Capacity & Capability	4	4	16	<p>Advance planning will mitigate this risk; However should it occur diverting resources from other services, bringing in additional resources from other sources (e.g. Agencies, Consultants, Voluntary/Community sector etc.) would be activated.</p> <p>Market conditions are tested through recruitment processes.</p> <p>The Council offers a package of additional benefits to enhance the recruitment offer.</p> <p>Linked to the above, the Council has developed innovative partnering relationships with other sectors including the private sector to make posts uniquely attractive.</p> <p>Best Employee Experience is a programme to attract and develop the right skills. It is a programme developing the talent within the staff resource through secondments and tailored development programmes.</p>	3	2	6
Contract Management & Procurement	4	4	16	<p>Corporate procurement staff and legal team to support where necessary on contract management.</p> <p>Policies and procedures are in place.</p> <p>A Senior Procurement Officer oversees a procurement planning process.</p> <p>Training programme in place for staff.</p> <p>Given the progress that has been made to date the likelihood of this risk materialising could potentially be reduced although this needs to be balanced against future key staffing changes.</p>	3	3	9
Information Governance & Data Protection	4	4	16	<p>Policies and procedures are in place although not yet rolled out and fully embedded.</p> <p>Corporate Governance training is undertaken annually and includes information governance as appropriate to reflect changes in legislation.</p> <p>The Council has a dedicated SIRO. Corporate Governance Groups are in place to scrutinise impacts/issues arising.</p>	4	3	12

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Emergency Planning & Business Continuity arrangements	4	4	16	Business continuity plans have been documented, policies and procedures are in place. Currently however the Council does not have access to alternative arrangements in the event of an incident affecting the Council offices. CLT will consider a report into this matter A Business Continuity exercise showed the Council had a good understanding of business continuity.	4	1	4
Effective IT Systems & Procedures	4	4	16	Fully resilient environment in place with no single points of failure for core systems, other critical systems use cold standby equipment. New business services are being run in remote fully resilient data centres and existing systems are being progressively migrated to these cloud computing centres. Data is backed up to a second disk unit offsite at Hermitage Leisure Centre Improved business recovery arrangements have been implemented to minimise recovery time.	3	2	6
Project & Programme Management	4	4	16	Progress is shared regularly with CLT, experienced PRINCE 2 staff are used on projects. Use of external resources is also being used to support the Coalville project.	4	3	12
Governance, Policies & Procedures	4	4	16	Policies & procedures in place, governance processes are documented and in operation, ongoing assessments and reviews are performed.	4	1	4
Fraud, Corruption and Theft	4	3	12	A policy framework that includes Anti-Fraud and Corruption Policy, Confidential Reporting (Whistleblowing) Policy and Anti-Money Laundering Policy. The Internal Audit annual planning process takes into account high risk areas, which considers fraud risks. Fraud risks are considered as part of specific audits with testing designed to detect fraud where possible. Internal control and governance arrangements such as segregation of duties, schemes of delegation and verification processes. Information on how to report fraud is included on the website including relevant links to do so. Participation in National Fraud Initiative (mandatory) and Leicestershire Fraud Intelligence Hub (voluntary). Leicestershire Revenues and Benefits Partnership have two trained officers working solely on Council Tax Reduction Scheme Fraud and act as Single Point of Contact for DWP referrals.	4	2	8