

APPENDIX 2

Corporate Risk Register															
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Target Risks		
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	Impact	Likelihood	Rating
1	SOCIAL/ POLITICAL/ LEGAL Death / serious harm to a vulnerable person receiving a council service	A serious case review arising from death/serious harm to a vulnerable person. Reputational damage to council. Loss of confidence in ability of council to deliver services.	Lack of response to a safeguarding report.  Service failure.	4	4	16	Community Safety Manager	Head of Communities	The organisation has the following structures in place; An identified Corporate Lead (Head of Service) with a Portfolio Holder lead  An identified Team responsible for Safeguarding (Safer & Stronger) with responsibility embedded into Team Leader role and an officer (Child & Adults at risk Officer) An agreed Safeguarding Policy refreshed as required with delegation to Director of Housing and Customer Services for updates  An identified group of Designated Safeguarding Officers (DSO's) in most A programme of regular DSO meetings which consider training, best practice and case issues An annual training programme to ensure new DSO's are well informed and trained A quarterly senior management review of all cases to check progress/close cases A quarterly briefing with the Chief Executive, a 6 monthly report to CLT and an annual report to Cabinet  Annual report reviews previous year and endorses an action plan for the year ahead.	4	2	8			
2	FINANCIAL/ COMMERCIAL/ REPUTATIONAL  Mismanagement of	Central Government intervention/special measures. Adverse publicity. Possible litigation. Withdrawal of services.	Mis-interpreting of or not responding appropriately to a change in fiscal policy.	4	4	16	Financial Services Team Manager	Strategic Director of Housing and Customer Services	Monthly management reviews monitor actual spend against budgets and forecast to the end of the year.	4	1	4			

	council finances		Poor budget planning / management.  Internal financial systems and regulations not being properly applied						Monthly reporting and challenging at CLT, and reported to Cabinet quarterly Sound policies and procedures are in place.  Financial planning processes have been documented and are reviewed regularly. Internal and External audit of systems and accounts. Membership of CIPFA and engagement of Arling Close gives access to specialist advice, analysis and expertise.					
3	REPUTATIONAL/ LEGAL COMMERCIAL Insufficient resources due to unplanned / unforeseen absences / vacancies	Council unable to perform its statutory duties. Use of external resources at significantly higher cost.	Failure to horizon scan and interpret future needs in crucial roles. Inability to recruit to vacancies / retain staff.	4	2	8	Head of HR and OD	Chief Executive	Advance planning will mitigate this risk;  Ability to divert resources from other services, bringing in additional resources from other sources (e.g. Agencies, Consultants, Voluntary/Community sector etc.) would be activated. Market conditions are tested through recruitment processes. The Council can offer a package of additional benefits to enhance the recruitment offer. The Council has developed innovative partnering relationships with other sectors including the private sector to make posts uniquely attractive.  Best Employee Experience is a programme to attract and develop the right skills, and promoting existing staff talent through secondments and tailored development programmes. Apprenticeships allow the Council to 'grow our own'.	3	2	6		
4	LEGAL / FINANCIAL Contracts are not properly procured and managed	Council liable to incur additional costs, contract overrun, litigation and potential health & safety issues.	Failure to monitor contractors appropriately.	3	4	12	All Team Managers	All Heads of Service	Corporate procurement officer and legal team to support where necessary on contract management.	3	2	6		

			Legal and procurement teams not consulted when contractors are engaged.  Procurement procedures are not followed.						Policies and procedures are in place.  A Senior Procurement Officer oversees a procurement planning process. Training programme in place for staff.						
5	<b>LEGAL / TECHNOLOGICAL Loss or unlawful use of personal data constituting breach of data protection legislation</b>	Monetary penalties from ICO, adverse publicity, private litigation and personal criminal liability of officers.	Systems not in place to protect sensitive data.  Staff are not properly trained in managing information, and do not follow internal procedures.	3	3	9	Business Improvement Team Manager	Head of Legal & Support Services	Policies and procedures are in place although not yet rolled out and fully embedded. Corporate Governance training is undertaken annually and includes information governance as appropriate to reflect changes in legislation. The Council has a dedicated SIRO. Corporate Governance Groups are in place to scrutinise impacts/issues arising.	3	2	6			
6	<b>LEGAL / REPUTATIONAL / COMMERCIAL Failure to respond to an emergency in an appropriate manner</b>	General public at risk of harm or unable to access relevant services (e.g. emergency accommodation or rest centre).  Adverse publicity. "Business as usual" not possible without appropriate business continuity plan in place.  Breakdown in relationship with other responders.	Lack of planning, training and exercising of Emergency plans  Inadequate Corporate Business Continuity Management  Lack of procedural understanding	4	3	12	Head of Human Resources and Organisation Development	Chief Executive	Business continuity plans have been documented, policies and procedures are in place.  The LRF partnership arrangement with all Leicestershire and Rutland authorities provide resilience during civil emergency situations.  Business Continuity exercises show the readiness of the Council to deal with emergencies. System of ICO / FLM duty rotas is in place.	4	1	4			
7	<b>LEGAL/ TECHNOLOGICAL/ COMMERCIAL Infiltration of ICT systems</b>	"Business as usual" would not be possible. Cost of repelling cyber threat and enhancing security features.	Systems not in place or kept current to deflect any foreseeable cyber attack  Limited staff awareness of possible threats.	4	4	16	ICT Manager	Strategic Director of Housing and Customer Services	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 run in remote fully resilient data centres and existing systems are being progressively migrated to these cloud computing centres.	3	2	6			

									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. Accreditation to Cyber Essentials Plus and the Public Services Network.						
8	<b>COMMERCIAL / POLITICAL / FINANCIAL</b> Projects are poorly managed	Failure of proposed projects could result in failure to achieve overall objectives. Inefficient use / waste of resources.	Failure to implement project management techniques. Poor corporate oversight of projects.  Inadequate or poorly performing Project Management Office function.	3	4	12	BIT Team Manager	Head of Legal & Support Services	Properly convened project teams with PID and project plan in place, including project risk registers. Progress on corporate projects scrutinised by CLT.  Use of external resources is also being used to support the Coalville and Leisure projects.	3	3	9			
9	<b>LEGAL / POLITICAL / REPUTATIONAL</b> Council makes ultra vires (beyond the council's powers and functions) decisions	Potential litigation against the Council, resulting in increased costs / compensation. Reputational damage.	Staff / Members proceeding outwith established governance arrangements. Failure to consult with Legal / Monitoring Officer. Lack of understanding of the implications of dealing with a particular matter.	4	3	12	Legal Services Team Manager	Head of Legal & Support Services	Policies & procedures in place, governance processes are documented and in operation, ongoing assessments and reviews are performed. Completion of the Annual Governance statement.	4	1	4			
10	<b>FINANCIAL / LEGAL / REPUTATIONAL</b> Council is subject to fraud, corruption or theft	Financial, reputational and political damage to Council.	Lack of checks and balances within financial regulations.  Poor budget / contract management.	4	3	12	All Team Managers  &	Directors	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. The Council is also subject to External Audit.	3	2	6			

			Poor monitoring of / adherence to financial systems				All Heads of Service	Internal control and governance arrangements such as segregation of duties, schemes of delegation, bank reconciliations of fund movements, and verification processes. Information on how to report fraud is on the website including relevant links.  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.						
11	<b>FINANCIAL / COMMERCIAL / ECONOMIC</b> The Council is subject to a reduction in income	Services are unable to be delivered. Potential staff redundancies. Funding of external groups is withdrawn. Potential breach of statutory duties.	Reduction in government grant. Changes to the local authority financial settlement. Economic downturn / recession. Commercial opportunities not progressed. Changing rent policies.	3	4	12	All Heads of Service.	Directors. Chief Executive.	Medium Term Financial Strategy in place, including Self Sufficiency initiative. Economic Development Team promotes business offer. Participation in Business Rates Pilots. Accessing external funding where appropriate. Income collection procedures in Revs & Bens Service and Housing.	3	3	9		

Assessing the likelihood of a risk:

1 <b>Low</b>	Likely to occur once in every ten years or more
2 <b>Medium</b>	Likely to occur once in every two to three years
3 <b>High</b>	Likely to occur once a year
4 <b>Very high</b>	Likely to occur at least twice in a year

Assessing the impact of a risk:

1 <b>Low</b>	Loss of a service for up to one day, Objectives of individuals are not met No injuries Financial loss below £10,000 No media attention No breaches in council working practices No complaints / litigation
--------------	--

<p><b>2 Medium</b></p>	<p>Loss of a service for up to one week with limited impact on the general public  Service objectives of a service unit are not met  Injury to an employee or member of the public requiring medical treatment  Financial loss over £10,000  Adverse regional or local media attention – televised or newspaper report  Potential for a complaint litigation possible  Breaches of regulations / standards</p>
<p><b>3 High</b></p>	<p>Loss of a critical service for one week or more with significant impact on the public and partner organisations  Service objectives of the directorate of a critical nature are not met  Non- statutory duties are not achieved  Permanent injury to an employee or member of the public  Financial loss over £100,000  Adverse national or regional media attention – national newspaper report  Litigation to be expected  Breaches of law punishable by fine</p>
<p><b>4 Very high</b></p>	<p>An incident so severe in its effects that a critical service or project will be unavailable permanently  Strategic priorities of a critical nature are not met  Statutory duties are not achieved  Death of an employee or member of the public  Financial loss over £1m.  Adverse national media attention – national televised news report  Litigation almost certain and difficult to defend  Breaches of law punishable by imprisonment</p>