APPENDIX 1 Last Review Date -041021

				Corpo	rate Risk Re	gister							
Ref No.	Risk Description	Consequence	Cause		nherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
					Likelihood	Rating	of	to		Impact	Likelihood	Rating	Movement of Risk
1	SOCIAL/	A serious case review arising from death/serious	Lack of response to a	4	3	12	Community	Head of	The organisation has the following	3	2	6	Stable
	POLITICAL/ LEGAL	harm to a vulnerable person. Reputational	safeguarding report.				Safety Team	Community	structures in place;				
	Death / serious harm to a	damage to council. Loss of confidence in ability of	Service failure.				Manager	Services	A recent audit with action plan of				
	vulnerable person	council to deliver services. Ensuring compliace	Markey days						reasonable assurance				
	receiving a council service	with Safeguarding legislation and practise.	Modern slavery.						An identified Corporate Lead (Head				
	and safeguarding								of Service) with a Portfolio Holder				
	compliance		poor safeguarding assurnace						lead An identified Team responsible for				
			poor safeguarding assurface						Safeguarding (Safer & Stronger)				
									with responsibility embedded into				
									Team Leader role and an officer				
									(Child & Adults at risk Officer)				
									(Crilid & Addits at risk Officer)				
									An agreed Safeguarding Policy				
									refreshed as required with				
									delegation Head of Community				
									Services for updates				
									An identified group of Designated				
									Safeguarding Officers (DSO's) in				
									most service areas				
									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.				
									A computerised system of				
									reporting and managing reports				
									introduced in 2019, will ensure				
									constant reminders of new cases,				
									sending alerts at all points in the				
	CINIANICIAL /	Control Coverse and Interview Indian	Min intermedia - Carri			4.5	Hand of F	Church :	procedure.				Ct-11
2	FINANCIAL/	Central Government intervention/special	Mis-interpreting of or not	4	4	16	Head of Finance	Strategic	Commitment to raise awareness of	4	1	4	Stable
	COMMERCIAL/ REPUTATIONAL	measures. Adverse publicity. Possible litigation.	responding appropriately to					Director	the scale and extent of modern				
	KEPUTATIONAL	Withdrawal of services.	a change in fiscal policy.						slavery in the UK and ensure our				
	Mismanagament of accord								contracts and supplies don't contribute to modern day slavery				
	Mismanagement of council		Poor budget planning /						Monthly management reviews				
	finances		management.						monitor actual spend against				
			management.						budgets and forecast to the end of				
									the year.				
									the year.				
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				Corpo	rate Risk Re	gister							
Ref No.	Risk Description	Consequence	Cause		nherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
			Internal financial systems and regulations not being properly applied.	Impact	Likelihood	Rating	of	to	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. Procurement of new finance system with increased controls and monitoring underway	Impact	Likelihood	Rating	Movement of Risk
	REPUTAITONAL/ LEGAL COMMERCIAL Insufficient resources due to unplanned / unforeseen absences / vacancies / changes to financial picture	Council unable to perform its statutory duties. Council's Partners unable to perform duties. Use of external resources at significantly higher cost. Short / Medium Term Exposure	Failure to horizon scan and interpret future needs in crucial roles. Changes to income or financial climate Inability to recruit to vacancies / retain staff. unexpected or unplanned event (eg pandemic)	4	3	12	Head of HR and OD	Chief Executive	Membership of CIPFA and engagement of Arling Close gives access to specialist advice, analysis and expertise. Current and forecasted balance MTFS, although uncertanty regarding future gov funding streams and impacts of changes such as DevCo/Freeport etc Advance planning will help to mitigate this risk; recent COVID expereince demonstrates NWL able to react and adjust Ability to divert resources from other services, bringing in additional resources from other sources (e.g. Agencies, Consultants, Voluntary/ Community sector etc.) would be Market conditions are tested through recruitment processes, and boyant at present. 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	Stable

				Corpo	rate Risk Re	gister							
Ref No.	Risk Description	Consequence	Cause		nherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
				Impact	Likelihood	Rating	of	to		Impact	Likelihood	Rating	Movement of Risk
4	LEGAL / FINANCIAL	Council liable to incur additional costs, contract	Failure to monitor	3	3	9	Finance Team		Oversight Board structure in place	2	3	6	Stable
	Contracts are not properly	overrun, litigation and potential health & safety	contractors appropriately.				Manager.	Service	to oversee major project work &				
	procured and managed	issues as well as service disruptions.					All Team		compliance group now in place to oversee these elements of				
							Managers.		contracted work.				
			Legal and procurement						Corporate procurement support				
			teams not consulted when						and legal team to support where				
			contractors are engaged.						necessary on contract				
									management.				
			Loss of key staff or supplier.						Corporate procurement team re-				
									established and charged with				
									reviewing Procurement Strategy as				
									part of MTFS.				
			Procurement procedures are						Analysis of sepnd undertaken and				
			not followed.						procurement toolkit to be				
									produced to cover majority of				
									lower value procurments with high				
			The council contributes to						value and complex procurements				
			modern slavery via it's contracts and supplies.						to be supported by specialised function.				
5	LEGAL / TECHNOLOGICAL	Monetary penalties from ICO, adverse publicity,	Systems not in place to	3	3	9	Legal Services	Head of Legal	Policies and procedures are in	2	2	4	Stable
	Loss or unlawful use of	private litigation and personal criminal liability of	protect sensitive data.	3	3	9	Team Manager	& Support	place and rolled out. Regularly			7	Stable
	personal data constituting	officers.	,				reall Manager	Services	reviewed and compliance is				
	breach of data protection							Services	monitored.				
	legislation		Staff are not properly trained						Corporate Governance training is				
			in managing information,						undertaken annually and includes				
			and do not follow internal						information governance as				
			procedures.						appropriate to reflect changes in				
									legislation. E-learning module updated in 2019 and rolled out as				
									mandatory annual training for all				
									staff.				
			Changes in working practises										
			casuing unintended						The Council has a dedicated SIRO and DPO.				
			risk/exposure						and DPO.				
									Corporate Governance Groups are				
									in place to scrutinise				
									impacts/issues arising.				
									Internal audit was carried out in December 2019. The outcome of				
									the audit was a Grade 1. One				
									medium risk recommendation				
									Information Governance Team to cooperate with the supervisory				
									authority and monitor compliance				
									with Data Protection laws.				
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ь	LEGAL / REPUTATIONAL / COMMERCIAL Failure to	General public at risk of harm or unable to access relevant services (e.g. emergency	Lack of planning, training and exercising of Emergency	4	3	12	Head of Human	Chief Executive	Business continuity plans have been documented, policies and	4	1	4	Stable
	respond to an emergency	accommodation or rest centre).	plans				Resources and	executive	procedures are in place.				
	in an appropriate manner	2230 modulon or rest sendej.	P10115				Organisation		process are in proces				
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				Corpo	orate Risk Re	egister							
Ref No.	Risk Description	Consequence	Cause		Inherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
		Adverse publicity. "Business as usual" not possible without appropriate business continuity plan in place. Breakdown in relationship with other responders.	Inadequate Corporate Business Continuity Management. Lack of procedural	Impact	Likelihood	Rating	of	to	The LRF partnership arrangement with all Leicestershire and Rutland authorities provide resilience during civil emergency situations. Business Continuity exercises show	Impact	Likelihood	Rating	Movement of Risk
			understanding						the readiness of the Council to deal with emergencies. System of ICO / FLM duty rotas is in place & continued reassessment for ongoing incidents.				
	TECHNOLOGICAL/ COMMERCIAL Infiltration of ICT systems	"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. Lapse in security awareness and basic processes from a technical and human perspective.	4	4	16	ICT Manager	Head of Customer Services	Fully resilient environment in place with no single points of failure for core systems, other critical systems use cold standby equipment. Yearly IT security health check and PEN (penetration) testing carried out, by a CREST security accredited supplier, with remediation action plan in place to mitigate any risks found. Phishing campaigns ran twice a year to test staff security awareness and feed back results to CLT, with improvement plans in place for those who have not passed the test. Quarterly Cyber Security awareness training held for staff and new starters, to protect staff at work and in the office. New business services are run in remote fully resilient data centres and existing systems are being progressively migrated to these cloud computing centres. Phishing campaigns ran twice a year to test staff security awareness and feed back results to CLT, with improvement plans in place for those who have not passed the test. Latest Audit / assessments all confirm secure environment	3	2	6	Stable

				Corpo	orate Risk Re	gister							
Ref No.	Risk Description	Consequence	Cause		Inherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
				Impact	Likelihood	Rating	of .	to	Improved business recovery arrangements have been implemented to minimise recovery time. Accreditation to Cyber Essentials Plus and the Public Services Network.	Impact	Likelihood	Rating	Movement of Risk
8	COMMERCIAL / POLITICAL / FINANCIAL 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 controls on expenditure and poor budget monitoring. Inadequate monitoring of external contracts. Failure to engage project management expertise when required.	3	4	12	Head of Human Resources and Organisation Development	Chief Executive	Greater use of professional project managers for key projects. Work ongoing to address project methodologies deployed across the council. Greater use of external / out of subject board members. Board structure covering all major porjects in place An annual external audit of IT assessed the organisation's IT arrangements in a range of areas against best practice. (The outcome of the audit in 2020 was, GRADE 1, with one recommendation, which has already been addressed and provides assurance that the	3	2	6	Stable
g	LEGAL / POLITICAL / REPUTATIONAL 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 without 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	Properly convened project teams with PID and project plan in place, including project risk registers. Progress on corporate projects scrutinised by CLT. Implementation of contract management framework for outsourced services. Scrutiny of quarterly monitoring reports on capital expenditure.	4	1	4	Stable

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				Corpo	orate Risk Re	egister							
Ref No.	Risk Description	Consequence	Cause		Inherent Ris		Responsibility	Responsible	Control Measures		Residual Risk		
				Impact	Likelihood	Rating	of	to	Information on how to report fraud is on the website including relevant links.	Impact	Likelihood	Rating	Movement of Risk
111	FINANCIAL / COMMERCIAL / ECONOMIC 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	Head of Finance. All Heads of Service.	Directors. Chief Executive.	Medium Term Financial Strategy in place, and will be reviewed in light of October 21 Comprehensive Spending Review. Change in budgeting focus from incremental to outcomes focussed expected to identify quick wins and pland for longer term self-sufficiency. Head of Finance monitoring of Local Government funding reviews. Funding advisor engaged. 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.	2	3	6	Stable
12	POLITICAL / ORGANISATIONAL The Council is affected by Local Government Reorganisation	a) Change to Local Government structure in Leicestershire/East Midlands, including potential merger of district councils/county council or development of a Combined Authority for the East Midlands, either of which could lead to: - Change in location for service delivery/staff - Reduction of control over local matters - Change in financial situation - Staff redundancies - Alternative political structure and governance arrangements - Changes in services to be provided and organisation culture - Deterioration in staff morale and negative effect on staff recruitment and retention - Ineffective engagement with staff, Members and residents in considering, and responding to, proposals. - Diversion of senior staff resources to respond to proposals.		4	3	12	Chief Executive and Head of Legal and Support Services.	Chief Executive	Active engagement with political leaders and Chief Executives across the County and East Midlands so NWL's needs are taken into account in any proposals. Open and transparent communication of NWL position to all stakeholders. Senior management and politicians stay close to project and monitor progress. Internal and external communication plans in place, including for key decision points. Gov stance changed to no longer pursue LGR - County Deals not linked to LGR.	1	3	3	Reduced

				Corpo	rate Risk Re	gister							
Ref No.	Risk Description	Consequence	Cause		nherent Ris	k	Responsibility	Responsible	Control Measures		Residual Risk		
				Impact	Likelihood	Rating	of	to		Impact	Likelihood	Rating	Movement of Risk
13	POLITICAL / ORGANISATIONAL The Council is affected by the UK's departure from the EU, including a potential 'no deal' Brexit	The UK's departure from the EU, including an inability to agree the terms of the exit by 31 October 2019 could lead to: - increase in checks on goods by Environmental Officers at East Midlands Airport meaning increase in resources / costs uncertainty and subsequent regime around tariffs, access to markets, migrant labour and transport of goods in / out of EU could impact on businesses in district / region leading to decline in business rates and employment levels potential need for increased storage facilities at entry / exit points and associated increases in freight traffic, putting pressure on local infrastructure - potential withdrawal of access to EU wide IT systems (e.g. relating to imported foodstuffs) - diversion of staff resources into contingency planning.	UK departure from EU, including inability of the EU and UK govt to agree terms by 31 January 2020 of the UK's exit. Deal then to be negotiated by End 2020.	Impact 4	4	Rating 16	of Chief Executive and Head of Economic Regeneration	Strategic Director & Chief Executive	Engage with National Local Authority steering groups for border control at strategic & operational levels. Implement communication strategy for local businesses so technical notices are shared, with appropriate signposting. Work with LLEP and Chamber of Commerce to provide business advice and support to address changes to legislation & certification. Establish contingency plans after scenario based assessment of resources required for increase in checks and controls, & access to alternative IT systems. Watching brief localised assessment of potential impact around East Midlands Airport. Participate in Multi-agency Leicestershire Resilience Forum framework, with risk assessment	Impact 2	3	Rating 6	Stable Stable
									and mitigation plan to be prepared. Applied for and gainted additional support funding for Port activity				
14	ORGANISATIONAL/FINANCI AL Council is subject to large scale and medium term reduction in staffing/supplies/increase in restrictions etc leading to risks and ongoing medium/long term impacts on either the financial or reputational standing of the Council	Financial, reputational and political damage to Council.	Pandemic, national/global infrastructure interruption, supply chain mass failure over medium / long time period	4	4	16	Chief Executive, Directors, Heads of Service	Chief Executive	Balanced budget achieved with additional government grant support. Continued active engagment and lobbying to ensure that all options for support are considered and actioned where possible. Are some serice areas that contiune to struggle to maintain services due to restrictions / staffing shortages.	3	2	6	Stable

				Corporate Risk Register					
Ref No.	Risk Description	Consequence	Cause	Inherent Risk	Responsibility	Responsible	Control Measures	Residual Risk	
				Impact Likelihood Rating	of	to		Impact Likelihood Rating	Movement of Risk
					of	to		lm	

Assessing the likelihood of a risk:

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

A+O71+B80:C93+O71+B80:C93+O71+B80:C93+B80:C93

A+O71+B80:C93+O71+B80:	C93+O71+B80:C93+B80:C93
1 Low	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
2 Medium	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
3 High	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
4 Very high	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