

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
1	<b>SOCIAL/ POLITICAL/ LEGAL</b> Death / serious harm to a vulnerable person receiving a council service and safeguarding compliance	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. Ensuring compliance with Safeguarding legislation and practise.	Lack of response to a safeguarding report. Service failure.  Modern slavery.  poor safeguarding assurance	4	3	12	Community Safety Team Manager	Head of Community Services	The organisation has the following structures in place; A recent audit with action plan of reasonable assurance 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 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 procedure.	3	2	6	Stable
2	<b>FINANCIAL/ COMMERCIAL/ REPUTATIONAL</b>  Mismanagement of council finances	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.  Poor budget planning / management.	4	4	16	Head of Finance	Strategic Director	Commitment to raise awareness of the scale and extent of modern slavery in the UK and ensure our contracts and supplies don't contribute to modern day slavery Monthly management reviews monitor actual spend against budgets and forecast to the end of the year.	4	1	4	Stable

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			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. Procurement of new finance system with increased controls and monitoring underway				
3	<b>REPUTATIONAL/ LEGAL COMMERCIAL</b> <b>Insufficient resources due to unplanned / unforeseen absences / vacancies / changes to financial picture</b>	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 uncertainty regarding future gov funding streams and impacts of changes such as DevCo/Freeport etc Advance planning will help to mitigate this risk; recent COVID experience 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 buoyant 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

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4	<b>LEGAL / FINANCIAL</b> Contracts are not properly procured and managed	Council liable to incur additional costs, contract overrun, litigation and potential health & safety issues as well as service disruptions.	<p>Failure to monitor contractors appropriately.</p> <p>Legal and procurement teams not consulted when contractors are engaged.</p> <p>Loss of key staff or supplier.</p> <p>Procurement procedures are not followed.</p> <p>The council contributes to modern slavery via it's contracts and supplies.</p>	3	3	9	Finance Team Manager. All Team Managers.	All Heads of Service	<p>Oversight Board structure in place to oversee major project work &amp; compliance group now in place to oversee these elements of contracted work.</p> <p>Corporate procurement support and legal team to support where necessary on contract management.</p> <p>Corporate procurement team re-established and charged with reviewing Procurement Strategy as part of MTFS.</p> <p>Analysis of sepnd undertaken and procurement toolkit to be produced to cover majority of lower value procurments with high value and complex procurements to be supported by specialised function.</p>	2	3	6	Stable
5	<b>LEGAL / TECHNOLOGICAL</b> Loss or unlawful use of personal data constituting breach of data protection legislation	Monetary penalties from ICO, adverse publicity, private litigation and personal criminal liability of officers.	<p>Systems not in place to protect sensitive data.</p> <p>Staff are not properly trained in managing information, and do not follow internal procedures.</p> <p>Changes in working practises causing unintended risk/exposure</p>	3	3	9	Legal Services Team Manager	Head of Legal & Support Services	<p>Policies and procedures are in place and rolled out. Regularly reviewed and compliance is monitored.</p> <p>Corporate Governance training is undertaken annually and includes information governance as appropriate to reflect changes in legislation. E-learning module updated in 2019 and rolled out as mandatory annual training for all staff.</p> <p>The Council has a dedicated SIRO and DPO.</p> <p>Corporate Governance Groups are in place to scrutinise impacts/issues arising.</p> <p>Internal audit was carried out in December 2019. The outcome of the audit was a Grade 1. One medium risk recommendation</p> <p>Information Governance Team to cooperate with the supervisory authority and monitor compliance with Data Protection laws.</p>	2	2	4	Stable
6	<b>LEGAL / REPUTATIONAL / COMMERCIAL</b> Failure to respond to an emergency in an appropriate manner	General public at risk of harm or unable to access relevant services (e.g. emergency accommodation or rest centre).	Lack of planning, training and exercising of Emergency plans	4	3	12	Head of Human Resources and Organisation Development	Chief Executive	Business continuity plans have been documented, policies and procedures are in place.	4	1	4	Stable

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		Adverse publicity. "Business as usual" not possible without appropriate business continuity plan in place.	Inadequate Corporate Business Continuity Management.						The LRF partnership arrangement with all Leicestershire and Rutland authorities provide resilience during civil emergency situations.				
		Breakdown in relationship with other responders.	Lack of procedural understanding						Business Continuity exercises show the readiness of the Council to deal with emergencies. System of ICO / FLM duty rotas is in place & continued reassessment for ongoing incidents.				
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.  Lapse in security awareness and basic processes from a technical and human perspective.	<b>4</b>	<b>4</b>	<b>16</b>	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	<b>3</b>	<b>2</b>	<b>6</b>	<b>Stable</b>

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									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 Projects are poorly managed</b>	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 projects 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
9	<b>LEGAL / POLITICAL / REPUTATIONAL Council makes ultra vires (beyond the council's powers and functions) decisions</b>	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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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.  Poor monitoring of / adherence to financial systems  Changes in working practises casuing unintended risk/exposure	4	3	12	Head of Finance. All Team Managers & Heads of Service.	Directors	Utilising Internal Audit to conduct audits of individual projects or Project management more widely. Use of external resources to be used to support the Coalville and Leisure projects. Scrutiny of risk registers or project management framework of individual projects by Risk Scrutiny Group. Policies & procedures in place, governance processes are documented and in operation, ongoing assessments and reviews are performed. Completion of the Annual Governance statement. A policy framework that includes Anti-Fraud and Corruption Policy, Confidential Reporting (Whistleblowing) Policy and Anti-Money Laundering Policy. Policy Refreshed late 2020 - refresh of training underway. 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. New Covid related Grants all subject to external audit and compliance checks. Internal control and governance arrangements such as segregation of duties, schemes of delegation, bank reconciliations of fund movements, and verification processes. Participation and strengthening of involvement in National Fraud Initiative (mandatory) and Leicestershire Fraud Intelligence Hub (voluntary and due to cease from April 2020). 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.	3	2	6	Stable

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									Information on how to report fraud is on the website including relevant links.				
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	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 plan 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	<b>POLITICAL / ORGANISATIONAL</b> 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.	Political direction to consolidate local government tiers to potentially seek greater efficiency and co-ordination	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

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13	<b>POLITICAL / ORGANISATIONAL</b> 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.	4	4	16	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 and mitigation plan to be prepared. Applied for and gained additional support funding for Port activity	2	3	6	Stable
14	<b>ORGANISATIONAL/FINANCIAL</b> 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 engagement 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



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Assessing the likelihood of a risk:

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

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

<b>1 Low</b>	<p>Loss of a service for up to one day, Objectives of individuals are not met No injuries</p> <p>Financial loss below £10,000 No media attention No breaches in council working practices No complaints / litigation</p>
<b>2 Medium</b>	<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>
<b>3 High</b>	<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>
<b>4 Very high</b>	<p>An incident so severe in its effects that a critical service or project will be unavailable permanently</p> <p>Strategic priorities of a critical nature are not met</p> <p>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>