

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	SOCIAL/ POLITICAL/ LEGAL 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 compliace with Safeguarding legislation and practise.	Lack of response to a safeguarding report.	4	3	12	Environmental Health and Community Safety Team Manager	Head of Community Services	The organisation has the following structures in place;	3	2	6	Increasing												
			Service failure.						An audit in 2021 with action plan of reasonable assurance																
			Modern slavery.						An identified Corporate Lead																
			poor safeguarding assurnace						An identified Team responsible for Safeguarding (Community Safety) with responsibility embedded into Team Leader role and an officer (Child & Adults at risk Officer)																
									An agreed Safeguarding Policy refreshed as required																
									An identified group of Designated Safeguarding Officers (DSO’s)																
									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 by the Head of Community Services of all cases to check progress/close cases																
									Annnual report to CLT and Corporate Scrutiny as required by exception.																
									A weekly case management review meeting by Environmental Health & Community Safety Team Leader to ensure all cases progressed																
									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 and exploitation.																
									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.																
			2						FINANCIAL/ COMMERCIAL/ REPUTATIONAL Mismanagement of council finances					Central Government intervention/special measures. Adverse publicity. Possible litigation. Withdrawal of services. Inability to deliver council objectives	Mis-interpreting of or not responding appropriately to a change in fiscal policy.	2	4	8	Head of Finance/Ds151	Director of Resources	Statutory compliance with CIFPA codes, accounting codes, and audit processes (external and internal) Updated to reflect new constitution	4	1	4	Stable
															Poor budget planning / management.						Regular management reviews monitor actual spend against budgets and forecast to the end of the year.				
Internal financial systems and regulations not being properly applied.	Regular 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.																								
	New finance system implemented with increased controls and planned dashboard reporting																								
3	REPUTAITONAL/ COMMERCIAL Insufficient resources due to	LEGAL Council unable to perform its statutory duties and/or deliver objectives. Council's Partners unable to perform duties. Inflationary pressures.	Failure to horizon scan and interpret future needs in crucial roles.	3	3	9	Head of HR and OD & Head of Finance Ds151	Chief Executive	Membership of CIPFA and engagement of Arling Close gives access to specialist advice, analysis and expertise.	3	2	6	Stable												

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	unplanned / unforeseen absences / vacancies / changes to financial picture	Use of external resources at significantly higher cost. Short / Medium Term Exposure.	Changes to income or financial climate						Current and forecasted balance MTFs, although uncertainty regarding future gov funding streams and impacts of changes such as DevCo/Freeport etc				
Inability to recruit to vacancies / retain staff globally or in spacialist areas .			Advance planning to mitigate this risk; recent COVID experience demonstrates NWL able to react and adjust										
			Recruitment and retention report considered by CLT and non pay benefits improved during the last year to attract and develop the right skills, and promoting existing staff talent through secondments and tailored development programmes. IIP. silver award achieved in 2022. New focus on Apprenticeships development to allow the Council to 'grow our own' and to tackle ageing workforce distribution.										
unexpected or unplanned event (eg pandemic)			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, some challenges in some specialist areas										
			The Council can offer a package of additional benefits to enhance the recruitment offer.										
			Mitigations in place for variety of staffing related aspects - eg mental health awareness, overall wellbeing work etc										
			The Council has developed innovative partnering relationships with other sectors including the private sector to make posts uniquely attractive.										
4	LEGAL / FINANCIAL 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.	Failure to monitor contractors appropriately.	3	3	9	Finance Team Manager. All Team Managers.	All Heads of Service	Oversight Board structure in place to oversee major project work & compliance group now in place to oversee these elements of contracted work.	2	3	6	Stable
Legal and procurement teams not consulted when contractors are engaged.			Corporate procurement support and legal team to support where necessary on contract management.										
Loss of key staff or supplier.			Review of procurement compliance undertaken leading to enhanced contract register and updated strategy										
Procurement procedures are not followed.			Recasting procurement functions activity, processes and focus of training and education for staff in 2023										
The council contributes to modern slavery via it's			Procurement toolkit to be produced to cover majority of lower value procurements with high value and complex procurements to be supported by specialised function.										
5	LEGAL / TECHNOLOGICAL 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.	Systems not in place to protect sensitive data.	4	3	12	Legal Services Team Manager	Head of Legal & Support Services	Policies and procedures are in place and rolled out. Regularly reviewed and compliance is monitored.	2	2	4	Stable
			Staff are not properly trained in managing information, and do not follow internal procedures.						Corporate Governance training is undertaken annually and includes information governance as appropriate to reflect changes in legislation. E-learning module updated and rolled out as mandatory annual training for all staff.				
			Changes in working practises						The Council has a dedicated SIRO and DPO.				

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									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.				
6	LEGAL / REPUTATIONAL / COMMERCIAL 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. LRF and Council resilience discussions to consider plans in light of possible impacts of power outages. Exercises local and national planned in early 2023 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 & continued reassessment for ongoing incidents. COVID experience shows capability and ability to perform.	4	1	4	Stable
		Adverse publicity. “Business as usual” not possible without appropriate business continuity plan in place.	Inadequate Corporate Business Continuity Management.										
		Breakdown in relationship with other responders.	Lack of procedural understanding										
7	LEGAL/ 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	Directors. Chief Executive.	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. In 2023 we had 0 critical, 0 high, 4 medium and 8 Low issues, which have now been remediated. Phishing campaigns ran twice a year to test staff security awareness and feedback 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. Diversity of environments used to avoid single point of failure risk, with backups now in the cloud, moving away from tapes Improved business recovery arrangements have been implemented to minimise recovery time. Accreditation to Cyber Essentials and the Public Services Network.	3	2	6	Stable

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									<p>Latest Audit / assessments all confirm secure environment with reasonable assurance. Some formalisation of processes required and review of backups restoration window. Purchase of external vulnerability scanner now in place which allows us to scan and monitor our external perimeter on a daily basis and proactively mitigate issues. CCOE latest scan showed 27 medium and 102 Low Vulnerabilities, which we are working to mitigate using the tool which we have purchased</p> <p>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 2023 was, reasonable assurance, with 3 high recommendations and 4 mediums, mainly around backup and formalisation of processes, plans have been put in place to address these and provides assurance that the organisation's IT arrangements are solid, sound and secure.</p>				
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.	<p>Failure to implement project management techniques.</p> <p>Poor corporate oversight of projects.</p> <p>Inadequate controls on expenditure and poor budget</p>	3	3	12	Strategic Directors	Chief Executive	<p>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</p> <p>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.</p> <p>Utilising Internal Audit to conduct audits of individual projects or Project management more widely. Use of external resources to be used to support the major projects. Scrutiny of risk registers or project management framework of individual projects by Risk Scrutiny Group.</p> <p>2022 audit has identified areas of weakness in controls and upon implementation of these the risk will be reduced and therefore these will continue to be monitored</p>	3	2	6	Stable
9	LEGAL / POLITICAL / REPUTATIONAL Council makes ultra vires (beyond the council's powers and functions) decisions or those which it does not have the correct permissions to undertake	Potential litigation against the Council, resulting in increased costs / compensation. Reputational damage.	<p>Staff / Members proceeding without established governance arrangements.</p> <p>Failure to consult with Legal / Monitoring Officer.</p> <p>Lack of understanding of the implications of dealing with a particular matter or conditions of service delivery.</p>	4	3	12	Legal Services Team Manager & Service Managers	Head of Legal & Support Services	<p>Policies & procedures in place, governance processes are documented and in operation, ongoing assessments and reviews are performed. Completion of the Annual Governance statement.</p>	4	1	4	Stable
10	FINANCIAL / LEGAL / REPUTATIONAL Council is subject to serious	Financial, reputational and political damage to Council.	Lack of checks and balances within financial regulations.	4	3	12	Head of Finance. All Team Managers &	Directors	A policy framework that includes Anti-Fraud and Corruption Policy, Confidential Reporting (Whistleblowing) Policy and Anti-Money Laundering	3	2	6	Stable

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	fraud, corruption or theft		Poor budget / contract management.			16	Heads of Service.		Policy. Policies refreshed annually last update February 2023			6	
			Poor monitoring of / adherence to financial systems						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.				
			Changes in working practises casuing unintended risk/exposure						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) Information on how to report fraud is on the website including relevant links.				
									Staff training. Including Induction Training for new starters and annual Corporate Governance Traning				
11	FINANCIAL / COMMERCIAL / ECONOMIC The Council is subject to a reduction in income long term	Services are unable to be delivered. Potential staff redundancies. Funding of external groups is withdrawn. Potential breach of statutory duties/ability to delvier objectives compromised	Gov plans reduction in business rates share to NWL. Changes to the local authority financial settlement. Economic downturn / recession. Commercial opportunities not progressed. Changing rent policies.	4	4	16	Head of Finance. All Heads of Service.	Directors. Chief Executive.	Medium Term Financial Strategy in place, and will be reviewed at key events. 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 Pooling. Accessing external funding where appropriate. Income collection procedures in Revs & Bens Service and Housing sound. 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.	2	3	6	Stable

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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, or elected Major 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 wholesale LGR - County Deals not linked to LGR. Leicestershire Cat 2 County Deal	1	3	3	Stable
13	POLITICAL / ORGANISATIONAL The Council is affected by the UK's departure from the EU	The UK's departure from the EU, leads to impacts on supply of goods, staff, services generally. Specifically increase in checks on goods by Environmental Officers at East Midlands Airport meaning increase in resources / costs.	UK departure from EU/Brexit	4	4	16	Chief Executive and Head of Economic Regeneration & Team Manager for Environmental Health	Directors & 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. 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 up to 31 March 2024	2	2	4	Stable
14	ORGANISATIONAL/FINANCIAL 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 additonal government grant support. Continued active engagment and lobbying to ensure that all options for support are considered and actioned where possible. COVID 19 expereince has led to myriad of changes to make service provision more robust . Further mitigations for other similar events in place - eg promotion of vaccinations, system readiness and demployment remotely, updating Business Continuity plans etc Enagment with LRF processes and training	2	2	4	Stable

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15	ORGANISATIONAL//POLITICAL No overall control of the Council following the May 2023 elections could lead to instability in the decision making process which could impact adversely on service delivery	Financial, reputational and political damage to the Council. Slower decision making.	The election in May 2023 changed the political make up of the Council	3	3	9	Chief Executive, Directors, Heads of Service	Chief Executive	There has been extensive work by officers to work with all Groups to minimise the impact. This work has been supplemented by external engagement with the Local Government Association. The work undertaken to date includes: regular briefings with all Groups, a member induction programme, a continuing training programme for councillors, clarity on the roles of councillors on each committee and engaging with staff to raise their awareness in dealing with/responding to/working with councillors.	2	3	6	Stable
16	ORGANISATIONAL/REPUTATIONAL There is greater focus from Government and regulators on the local government sector. There is a risk of an impact of an adverse external assessment on the Council. If this risk materialised it could impact on service delivery, performance levels, governance and decision making arrangements	Financial, reputational, legal and political damage to the Council.	Greater focus on the local government sector from Government and regulators following high profile council 'failures'	4	2	8	Chief Executive, Directors, Heads of Service	Chief Executive	The Council has in place a range of controls including financial procedures, governance framework, performance management framework, project management methodology, strategies, controls underpinning its operations, clear communication with staff, Statutory officer meetings and internal audit plan. The Council is aware of the creation of the Office for Local Government and is actively working to understand the implications/requirements for the Council.	2	2	4	Stable
17	SOCIAL/POLITICAL/REPUTATIONAL - Climate Change / Zero Carbon delivery	The failure of the Council to Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050. This may have long term impacts on both the financial picture of the council and the ability of key service provision in the long term.	Inability to deliver programme due to resource / financial / operational / procedural process. Inability to gain action by partners	3	4	12	Chief Executive, Directors, Heads of Service	Chief Executive	Achievement of the carbon reduction ambitions are mainly vested in our Climate and Environment Strategy and Zero Carbon Programme. The Action Plan contains planned and programmed actions and will be reviewed annually. It will quantify the estimated net financial costs and net carbon savings associated with the contents of the Plan. Attaining the targets in the Plan is one of the Corporate Plan Key Performance Indicators. Whilst the action plan has been agreed it does contain several actions where funding hasnot been committed. The Strategy and Plan have identified the main carbon	2	2	4	Stable

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Assessing the likelihood of a risk:

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

1 <i>Low</i>	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 <i>Medium</i>	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 <i>High</i>	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 <i>Very high</i>	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