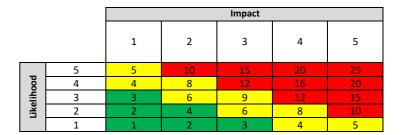| IMPACT		
Level	Score	Description
Insignificant	1	• no impact on service • no impact on reputation • complaint unlikely • litigation risk remote
Minor	2	• slight impact on service • slight impact on reputation • complaint possible • litigation possible
Moderate	3	• some service disruption • potential for adverse publicity - avoidable with careful • complaint probable • litigation probable
Major	4	• service disrupted • adverse publicity not avoidable (local media) • complaint probable • litigation probable
Extreme / Catastrophic	5	• service interrupted for significant time • major adverse publicity not avoidable (national media) • major litigation expected • resignation of senior management and board • loss of beneficiary confidence

LIKELIHOOD		
Level	Score	Description
Remote	1	• may only occur in exceptional circumstances
Unlikely	2	• expected to occur in a few circumstances
Possible	3	• expected to occur in some circumstances
Probable	4	• expected to occur in many circumstances
Highly probable	5	• expected to occur frequently and in most circumstances

Impact					
	1	2	3	4	5
5	5	10	15	20	25
4	4	8	12	16	20
3	3	6	9	12	15
2	2	4	6	8	10
1	1	2	3	4	5

(Likelihood shown on vertical axis)

Risks that are red require mitigating action to reduce to amber or white

| Ref | Risk Definition

What is the headline risk/issue? | 2019-2024 | Root Cause:

What is the root cause or problem?

What could go wrong? | Consequence /effect: What could occur as a result, how much of a problem would it be? | Inherent Risk Score

(no controls) | | | Existing Controls (sources of assurance) | Mitigated Risk Score

(with controls) | | | Further management actions/controls | Target Implementation date for further mgt actions | Target Score with further management actions/ | | | Risk Owner | Review Date | Review Commentary | Direction of Travel of mitigated risk score |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | Likelihood | Impact | Overall risk rating | | Likelihood | Impact | Overall risk rating | | | Likelihood | Impact | Overall risk rating | | | | |
| CR1 | **Decreasing Financial resources / Increasing Financial Pressures** | Providing Excellent Services (CO3) | ⬜Increase demand for services e.g. benefits ⬜ Continuing Austerity ⬜ Political promises ⬜ Change in priorities ⬜ Deflated housing market ⬜ Lack of business growth ⬜ Further changes in legislation ⬜ Pooling/Unpooling of NNDR ⬜ Universal Credit ⬜ Political hesitancy in decision making for fundamental service reform. ⬜ Cost-of-living crises ⬜ Supplier price variations as a result of inflation | ⬜ Cuts in services ⬜ Political and customer expectations not met ⬜ Quality of service ⬜ Reputation damage ⬜ Knock on impact on the local community and economy e.g. spiral effect ⬜ Legal challenge, ⬜ Reduction in rent/monies owed to the council through the introduction of UC, ⬜Increased homelessness adding stresses to council finances and the local economy. ⬜ Supplier price variations significant. | 5 | 4 | 20 | ⬜ Budgetary Control processes and committee reporting ⬜ Medium Term Financial Strategy and HRA Business Plan - including scenario planning ⬜ Setting and monitoring of savings and efficiency targets ⬜ Annual Fees and Charges review ⬜ Disclosure of expenditure over £250 ⬜ Review of reserves and balances ⬜ Treasury Management and Investment Strategy ⬜ Prudential Indicators ⬜ Revised Financial Regulations ⬜ Business Rates Pooling ⬜ New Procurement Policy, ⬜ Homelessness team increased ⬜ Assessment of viability of capital projects. ⬜ Financial Inclusion Officer in post.   ⬜ Scenario planning for budgets ⬜ Transformation Programme across the council to improve service ⬜ Ongoing impacts of inflation captured in medium term financial plan. ⬜ New MTFS approved September 2022 ⬜Provisional local government finance settlement received and consultation will be responded to.   ⬜ Engagement with MP, LGA and DLUHC about the council's unique financial outlook⬜ Project Initiation Documents (PIDS) completed for all projects in the sustainability programme. ⬜Q2 and Q3 2022/23 monitoring included repurposing of earmarked reserves.   ⬜Q3 2022/23 included an update on Cost of Living crisis support actions. ⬜The final local Government Settlement has been received ⬜23/24 budget Set and MTFP updated.   ⬜Finalised outturn report for 22/23.   ⬜LGimprove engaged to support the outcome based budgeting approach to align budgets and Corporate Plan ⬜ CMT/SLT Financial Sustainability session held 5th Sept 2023 ⬜   Budget Monitoring report 2023/24 and Budget Approach including MTFP/ sustainability programme update and taken to PFD 12/9. ⬜ Members workshop held on Corporate plan and MTFP update 13/9 | 4 | 4 | 16 | ⬜Review of Financial Regulations ⬜ Delivering and reporting on the sustainability programme and MTFP | ⬜ December 2023 ⬜December 2023 | 4 | 4 | 16 | Chief Financial Officer | Sep-23 | **Updated existing controls to reflect Q1 Budget Monitoring report 2023/24 and budget approach including MTFP/ sustainability programme update and taken to PFD 12/9 and SLT/CMT workshop and Members workshop. Review of Financial Regulations date moved from Sept to Dec due to capacity.** | |
| CR2 | **Key Supplier Failure** | Providing Excellent Services (CO3) | ⬜ Change in circumstances ⬜ Capacity and competency ⬜ Further decline of the Economy ⬜ Relationship breakdown ⬜ Changes in legislation ⬜ Changes in personnel ⬜ Liability issues ⬜ Economic conditions - inflation and interest rates | ⬜ Cost implications ⬜ Business Continuity ⬜ Loss of revenue ⬜ Service failure ⬜ TUPE issues ⬜ Potential court action ⬜ Increased complaints ⬜ Reputation issues ⬜ Political damage ⬜ Delays | 5 | 4 | 20 | ⬜ Formal contracts and agreements including realistic notice periods ⬜ Tender arrangements and pre qualification financial assessments   ⬜ provisional local government finance settlement received ⬜ Qualified internal officers to provide legal advice ⬜ Use of external counsel ⬜ Performance management of contracts, Comprehensive Contract Register, Partnership working with Local Authority Partners ⬜ Welland Procurement also providing support. ⬜ Part of management Board to oversee delegated services such as Lightbulb and Building Control. ⬜ Creation of Project and Procurement Team ⬜ Partnership and contract risk registers ⬜ Contract term renegotiation with key providers as necessary ⬜ Contract Management review will be undertaken as part of the Sustainability Programme ⬜ Contracts information has been incorporated into draft service plan template. ⬜Contracts an item on 1-2-1's. ⬜ Specialists engaged where required i.e. Leisure Operator Contract negotiations. | 4 | 3 | 12 | ⬜Improving contract management processes (sustainability programme). ⬜ Complete renegotiation for LOC | ⬜March 2024 ⬜ Oct 2023 | 2 | 2 | 4 | Head of Law and Democracy/M onitoring Officer | Sep-23 | **Updated existing controls to reflect contract info being added to Service Plans and 1-2-1's and specialist used where required and further management actions to include completing the LOC renegotiation.** | |

Strategic Risk Register

Ref	Risk Definition — What is the headline risk/issue?	2019-2024	Root Cause: What is the root cause or problem? What could go wrong?	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk Score (no controls)			Existing Controls (sources of assurance)	Mitigated Risk Score (with controls)			Further management actions/controls	Target Implementation date for further mgt actions	Target Score with further management actions/			Risk Owner	Review Date	Review Commentary	Direction of Travel of mitigated risk score
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR3	Failure to work effectively with other public sector partner organisations (PSOs) and 3rd sector organisations	Building, Protecting and Empowering Communities (CO1); Growing the Borough Economically (CO2)	☐ Poor service delivery from PSOs the Council has agreements with ☐ Lack of engagement from partner PSOs ☐ Governance arrangements which foster effective relationships may be inadequate leading to relationship breakdown Failure of relationships at strategic level in County & across members	☐ Loss of public confidence in Community Safety Partnership ☐ Loss of funding for LLR Sports Alliance partnership ☐ May not realise potential economies of scale ☐ Impact on staff morale	4	3	12	☐ Formal agreements with public sector partners which clearly identify roles & responsibilities ☐ Governance arrangements which manage performance against agreements ☐ Lead officer arrangements/contract manager ☐ Financial controls ensuring payments are only authorised where service being delivered by partner organisation is received and is of appropriate quality ☐Strategic Planning Group - governance arrangements are in place for this. Member Advisory Group also in place Performance of these arrangements is formally reviewed and changes are made if necessary. ☐Regular account meetings with contracted 3rd sector organisations. ☐Service Level Agreements in place where necessary. ☐ Cost of Living support programme has funded 3rd sector organisations and support for warm hubs.	2	3	6	☐Sustainability Programme - Contract Management Project	☐March 2024	2	3	6	Chief Executive	Sep-23	**No changes**	⟷
CR4	Hard to reach demographics feel disenfranchised through lack of specific communication and engagement.	Building, Protecting and Empowering Communities (CO1)	☐ Staff capacity could impact on engagement ☐ hard to reach communities ☐ some resident groups not digitally connected ☐ change in political power could result in non-statutory service being stopped ☐ Failure to consult when appropriate to do so ☐ Funding changes impacting on roles ☐ Digital exclusion as a result of cost of living crises	☐ Reputational damage ☐ lack of support for community initiatives ☐ missed opportunity to impact on equalities agenda and HWB of residents ☐ Citizens panel not representative of demographic. ☐ Services may not meet the needs of this demographic	4	4	16	☐ Public consultation surveys to obtain feedback for influencing strategy/policy through Citizens Panel and other communication channels, compliant with the Code of Practice on Consultations ☐ Refreshed Communications Strategy launch due June 2022 ☐ Gov.Delivery digital e-mail system – targeted delivery on specific topics e.g. tenants newsletter – launch June 2022 ☐ Financial Inclusion Officer ☐ Volunteer community champion Digital Newsletter - specifically relating to health and wellbeing targeting socially vulnerable ☐ Events programme run by Community Health Improvement Officers to target vulnerable and hard to reach residents/communities. ☐ Statement of community involvement in place ☐ Residents Forums reinstated ☐ Sports and physical activity commission plan to target hard to reach Customer Experience Strategy consultation outcome due to be reviewed by members in March includes an Action Plan to introduce Appointment Hubs. ☐ Tenant Engagement Review taking place to support Tenant Satisfaction Review through gov legislation launched April 2023. ☐ Appointment hubs going live 5th June 2023. ☐ Reception point to open when relocate to Brockshill ☐ Community events held to mark the Kings Coronation. ☐ Our Borough paper Comms going to all residents end of Summer 2023. ☐Website offers the facility to change language. ☐Use language line for translation services. ☐Tenant & Leaseholder focus group established and meeting on a quarterly basis.	2	2	4	☐Customer Experience Strategy Action Plan to be monitored against ☐ Housing Regulators new Tenant Satisfaction measures to be collected throughout 2023/24. ☐ To explore Community engagement through the Community Wellbeing Partnership ☐Language Translation Service incorporated into Committee.	☐ September 2023 ☐ March 2024 ☐Oct 2023 ☐Aug 2023	1	2	3	Head of Customer Service and Transformation	Sep-23	**Update to existing control to reflect the website offers the facility to change language and the access to language line for translation services and establishment of a quarterly Tenant and Leaseholder focus group.**	⬇
CR5	Political Dynamics	Providing Excellent Services (CO3)	☐ Change in political power ☐ Change in leader ☐ New members ☐ Public perception changes	☐ Change in priorities ☐ Change in member/officer engagement ☐ Breakdown in communication ☐ Inability to meet expectations ☐ Reputation issues (organisational and political) ☐ Reactive decision making (rather than planned) ☐ Failure to follow legislative requirements e.g. equalities ☐ Further strain on council finances	3	4	12	☐ Member development programmes ☐ New Code of Conduct has been adopted which comes into force on 1/4/22, with training planned to familiarise members with its content ☐ Policies e.g. Safeguarding/Equalities and DBS checks ☐ Provision of chairing skills training ☐ Constitution, which is in the process of being reviewed to reflect new management structure ☐ Public consultation, ☐ Development of member enquiry system ☐ Training for members covering a range of areas including IT and Planning ☐ Buddying system ☐ Members bulletin ☐ Customer Service training - June 2022 ☐ Political awareness training for officers June 2022 ☐ Member and officer training undertaken with Centre for Governance and Scrutiny November 2022 ☐ Full review of members induction programme has been completed. ☐ Induction training delivered for members during May to July 2023. ☐ SLT/Member workshops July and Sept. ☐ CMT/Member training sept 'meet the teams'. ☐Introductory Best Value OFLOG report at Full Council 26/9	3	3	9	☐ SLT/Member workshops ☐ Best Value OFLOG self assessment to be completed	Nov 2023 Dec 2023	2	3	6	Head of Law and Democracy/Monitoring Officer	Sep-23	**Existing controls updated for induction training, SLT/Member workshops being delivered and Best Value OFLOG report. Further actions updated for future planned SLT/member workshops and Best Value OFLOG self assessment.**	⟷

Ref	Risk Definition What is the headline risk/issue?	2019-2024	Root Cause: What is the root cause or problem? What could go wrong?	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk Score (no controls)			Existing Controls (sources of assurance)	Mitigated Risk Score (with controls)			Further management actions/controls	Target Implementation date for further mgt actions	Target Score with further management actions/			Risk Owner	Review Date	Review Commentary	Direction of Travel of mitigated risk score
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR6	Reputation Damage	Providing Excellent Services (CO3)	☐ Litigation ☐ Breakdown in a partnership ☐ Failure to have regard to officers advice ☐ Whistle blowing ☐ Freedom of Information (FoI) ☐ Inconsistent decision making ☐ Poor Media Relations ☐ Poor communication ☐ Failure to provide or reduce services ☐ Poor performance ☐ Poor business planning and consideration of financial implications	☐ Intervention ☐ Loss of public confidence ☐ Ombudsman findings ☐ Court costs ☐ Quality of service affected ☐ Breakdown in a partnership ☐ Adverse publicity ☐ Lower public satisfaction level ☐ Time spent mitigating damage/rectifying the situation ☐ Low Morale ☐ Difficulties to recruit/staff retention ☐ Inadequate budget provision, inappropriate financial decisions made	4	4	16	☐ Review of external communication by Heads of Service ☐ Use of modern.gov ☐ Whistle blowing and Anti Fraud and Corruption policies ☐ Freedom of Information log ☐ Qualified in house legal team ☐ Officer complaints training & new complaints process ☐ Performance reporting and Key Performance Indicators ☐ Public and media consultation ☐ Achieved accreditation for customer service excellence award ☐ Communications Policy and Communications Plan in place ☐ Online customer care training in place for all new staff and a separate module also in place for managers. ☐ Partnership working eg Lightbulb & Local Plan ☐ Marketing & Communications Manager ☐ Social Media Policy ☐ Service Standards ☐ Project Comms Plans ☐ Performance Review Plans ☐ Standardised project appraisal and affordability approach as per Corporate Peer Review Action Plan built into new MTFS ☐ Complaints handling and investigation training for all managers undertaken November 2022 ☐ Anti Fraud Policy to be reviewed and presented to SLT April 2023. ☐Safety Risk assessments always consider reputational damage as a risk. ☐Anti Fraud Policy reviewed and approved PFD July 2023. ☐Good relationships built with media i.e. cemetery	2	2	4			2	2	4	Chief Executive	Sep-23	**Existing Controls updated for Anti Fraud Policy approval by PFD and building positive relationships with media.**	⟷
CR7	Effective utilisation of Assets/Buildings (non-housing)	Building, Protecting and Empowering Communities (CO1); Providing Excellent Services (CO3)	☐ Failure to follow Health and Safety ☐ Insurance/Public Liability ☐ Financial investment ☐ Contractor going into liquidation ☐ Political will ☐ Facility Management ☐ Depreciation	☐ Loss of investment opportunities ☐ Loss of income ☐ Loss of capital ☐ Higher revenue costs ☐ Costs ☐ Death or injury ☐ Higher insurance premiums ☐ Reputation damage ☐ Public liability ☐ Personal liability for corporate team e.g. corporate manslaughter	4	3	12	☐ Physical controls (e.g. Door Codes, fire alarms) ☐ Designated first aiders ☐ Capital Programme and HRA Business Plan - annual reiteration and regular monitoring ☐ Fixed Asset Register ☐ Annual valuation of property by external valuer ☐ Designated Health and Safety Officer ☐ Implementation of controls within Health and Safety Executive review ☐ Health and Safety risk assessments ☐ Designated Facilities Manager ☐ Accommodation Reviewed ☐ Health and safety assessments carried out on all buildings ☐ Move to Bushloe House to Brocks Hill complete ☐ Repurposing of public toilets business case currently in development with member engagement underway via PFD. ☐ Asset Management a theme as part of the Sustainability Programme ☐ Health and Safety Action Plan approved by full Council April 2023. ☐Budget established for H&S works at the depot.	3	3	9	☐ Revision of Asset Management Policy and Capital Expenditure Plan ☐ Asset review ☐ Holistic Asset Management database/system purchased and timetabled for implementation. ☐Completion of the sale of Bushloe House and Oadby Pool site.	☐ Dec 2023 ☐Nov 2023 ☐ March 2024 ☐Dec 2024	2	2	4	Head of Law and Democracy/Monitoring Officer	Sep-23	**Existing Controls updated for approved budget for essential health and Safety works at depot. Further management controls updated for completion of Bushloe House sale and Oadby Pool. Target dates updated for Holistic Asset Management database and asset review implementation due to capacity.**	⟷
CR8	Regulatory Governance	Providing Excellent Services (CO3)	☐ New or changes to legislation ☐ Resources (staff) ☐ Failure to identify new legislation	☐ Substantial fines e.g. Data Protection ☐ Judicial review ☐ Reputation ☐ Code of conduct ☐ Financial loss ☐ Cost orders ☐ Personal liability	3	4	12	☐ Data Protection Policy and log ☐ Freedom of Information log ☐ Code of Conduct and training ☐ HR Induction ☐ Statutory Monitoring Officer ☐ Subscriptions (e.g. legal journals and LGA) and CPD of legal officers ☐ Prosecution Policy ☐ Dedicated Policy, Compliance and Data Protection Officer ☐Purchased GDPR/DPA learning modules to be rolled out in the future. ☐Appraisal training and 1-2-1 training has been rolled out. to all managers.	1	1	1	☐ Refresher training on GDPR/DPA to be completed by all. ☐ Review and improve HR induction	☐ Oct 2023 ☐ Dec 2023	1	1	1	Head of Law and Democracy/Monitoring Officer	Sep-23	**Further actions updated for Appraisal training and 1-2-1 training being rolled out. to all managers.**	⟷

Ref	Risk Definition What is the headline risk/issue?	2019-2024	Root Cause: What is the root cause or problem? What could go wrong?	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk Score (no controls)			Existing Controls (sources of assurance)	Mitigated Risk Score (with controls)			Further management actions/controls	Target Implementation date for further mgt actions	Target Score with further management actions/			Risk Owner	Review Date	Review Commentary	Direction of Travel of mitigated risk score
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR9	Failure to respond to a significant incident	Providing Excellent Services (CO3)	☐ Loss of staff ☐ Loss of ICT ☐ Loss of Building ☐ Loss of Key supplier ☐ Loss of facilities ☐ Loss of systems ☐ Act of God ☐ Adverse Weather ☐ Pandemic ☐ Adverse staff impact as a result of cost of living	☐ Insurance – higher premiums ☐ Loss of essential services ☐ Adverse publicity ☐ Reputation damage ☐ Loss of public confidence ☐ Loss of income ☐ Financial damage ☐ Death and injury ☐ Litigation risks☐ Insurance – higher premiums ☐ Loss of essential services ☐ Adverse publicity ☐ Loss of public confidence ☐ Financial damage ☐ Death and injury ☐ Litigation risks ☐ Staff unavailable after major incident ☐ large proportion of staff becoming ill	4	4	16	☐ Insurance policies and annual review ☐ Use of Zurich Risk Management Service ☐ Risk Management policies and procedures ☐ Membership of Local Resilience Forum ☐ Standby rota ☐ IT backup, Business Continuity Plans in place ☐ Community Engagement with Health professionals ☐ Agile Working Policy ☐ Coordination of Out of Hours Service ☐ Additional training from Leicestershire Resilience Partnership underway (incl power lose scenario) ☐ Business Continuity training exercise and refresh undertaken December 2022 ☐ BC Plans refresh and incorporation into service plans Dec 2022 ☐ SLT and CMT additional training scheduled with LRF ☐Mighty Oak national power outage LRF Training exercise ☐Brockshill project has incorporated business continuity improvements inc generator if power outage. ☐New accident investigation form	2	3	6	LRF training course attendance to be reviewed by SLT	☐ Oct 2023	2	3	6	Head of Law and Democracy/Monitoring Officer	Sep-23	Existing controls updated to reflect new accident investigation form and further management actions updated to reflect SLT review of LRF training attendance.	
CR10	Organisational/ Transformational Change	Providing Excellent Services (CO3)	☐ Restructure ☐ Transformational change ☐ Transferable skills ☐ Reduction in funding ☐ Change in personnel ☐ Change in the way the council delivers services ☐ Redundancy ☐ Less controls in place due to limited resources ☐ Change in office location	☐ Redundancy ☐ Staff morale ☐ Staff retention ☐ Change in working practices ☐ Impact on quality of service ☐ Legal implications ☐ HR implications ☐ Reputation damage/perception ☐ Financial loss ☐ Possible litigation ☐ Increased fraud	3	3	9	☐ Organisation review policy ☐ Recruitment and selection policies and procedures ☐ Union and staff consultation ☐ Staff Wellbeing Group and Wellbeing Teams ☐ Staff Health and Wellbeing Action Plan ☐ Internal Audit ☐ Staff newsletters ☐ Monitoring and supervision of management/1:1's ☐ Training and professional qualification support ☐ Performance appraisal process ☐ Formal induction programme ☐ Staff engagement (Brocks Hill staff engagement day) ☐ Comms plans for key projects - i.e. Brocks Hill, includes PR, Public, Staff and member and other stakeholder comms plans ☐ Staff engagement on organisational culture and values as part of People Strategy underway ☐ Introduction of live vacancy management plan with SLT ☐ People Strategy approved by PFD 12/09/2023	3	2	6	☐Organisation Review Policy being updated. ☐Service Reviews being undertaken.	☐ Oct 2023 ☐ Ongoing	2	2	4	Strategic Director	May-23	Existing controls updated to reflect PFD approval of Peoples Strategy and further management actions updated for Organisation Review Policy review and Service Reviews.	

Ref	Risk Definition What is the headline risk/issue?	2019-2024	Root Cause: What is the root cause or problem? What could go wrong?	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk Score (no controls)			Existing Controls (sources of assurance)	Mitigated Risk Score (with controls)			Further management actions/controls	Target Implementation date for further mgt actions	Target Score with further management actions/			Risk Owner	Review Date	Review Commentary	Direction of Travel of mitigated risk score
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR11	**Economy/ Regeneration**	Growing the Borough Economically (CO2)	☐ Further decline in the economy ☐ BREXIT COVID Ukraine/Russia conflict and also energy costs crisis (uncertainty of cost impact) ☐ Pooling/Unpooling of NNDR ☐ Cost of living	☐ Relocation (Business and Domestic) ☐ Lack of inward investment ☐ Increased demand for certain services e.g. benefits ☐ Loss of value in public assets ☐ Need to continually adapt/change ☐ Conflicting pressures - decreased funding – increased demand ☐ Spiral effect ☐ Short term decision making – uncertainty ☐ Increased autonomy leads to greater risk ☐ Decrease in collection levels	5	4	20	☐ Demand management of services that come under pressure as a result of decline in economy ☐ Debt Recovery Policy in place ☐ Local Council Tax and Business Rate Retention scheme in place ☐ Contract monitoring of bailiffs ☐ Paying out business grants to support local businesses during pandemic ☐ Regular programme of business webinars to provide information and support to businesses ☐ Monthly newsletter issued to businesses ☐ Economic Regeneration Team increased to include 2 Project Managers who have been recruited to focus on bringing forward some revenue generating projects. ☐ Helping Hands - energy champion ☐ Business microsite being developed with an aim to go live late summer 2022. ☐ Economic Regeneration Team restructured to maximise opportunities to bring forward regeneration and revenue generating projects ☐ UKSPF Investment Plan submitted. ☐ Levelling Up bid submitted ☐ Sub-committees established to provide a focus on key regeneration projects ☐ Specialist support procured to advise on the deliverability of regeneration projects (Oadby Pool) '☐ as per Corporate Peer Review Action Plan, approach to maximising funding set out '☐ Cost of Living report to members sets our proposal to review discretionary rates relief which may provide additional relief to businesses.　　　　　'☐ UKSPF funding announced ☐ Next round of levelling up bidding announced　☐Economic Dev Team designed ☐Business Networking Event 14/09/2023 - 80 businesses attended. ☐ Starting develop tourism offer for the Borough ☐Business Improvement District Foundation Phase feasibility completed	4	3	12	☐ Develop tourism offer for the Borough ☐ Reconsideration of Economic Dev Team design (two posts Regen Manager and Regen project Officer held under vacancy freeze and budget pressures) ☐BID Development Stage	☐ On-going ☐ Dec 2023 ☐ July 2024	4	2	8	Head of Built Environment	Sep-23	**Existing controls updated to reflect business event held, BID development/feasibility stage completed and starting to develop the tourism offer. Further actions updated to reflect continuing to develop tourism offer, potential redesign of the Regen Team, BID development stage.**	⬌
CR12	**Increased Fraud**	Providing Excellent Services (CO3)	☐ Dilution of internal controls due to less staff ☐ Increase in unemployment ☐ Reduction in benefits ☐ Inflation ☐ Debt ☐ Opportunity ☐ March 16 ☐ Sub-letting of Council properties	☐ Homelessness, poverty and social deprivation ☐ Financial loss ☐ Resources of the authority to investigate fraud issues ☐ Reputation impact ☐ Litigation	3	3	9	☐ Internal and External Audit ☐ Financial Regulations ☐ Segregation of Duties ☐ Supervision and Management ☐ Investigation and disciplinary procedures ☐ Litigation ☐ Anti Fraud and Corruption Policy ☐ Whistle blowing process ☐ Tone from the top - no tolerance ☐ Budgetary Control ☐ Participation in National Fraud Initiative ☐ Transaction review (e.g. invoices/mileage) ☐ All related Policies to be reviewed and an annual rolling training programme to be implemented. ☐Anti Fraud Policy reviewed and approved PFD July 2023 includes Bribery Act.	2	3	6	☐ Fraud Awareness Training ☐ Implement internal audit recommendations	☐ Oct 2023 ☐ Oct 2023	2	2	4	Chief Financial Officer	Sep-23	**Existing Controls updated to reflect the updated fraud strategy approved and target dates for implementation of further actions updated to reflect capacity of officers.**	⬌

Ref	Risk Definition What is the headline risk/issue?	2019-2024	Root Cause: What is the root cause or problem? What could go wrong?	Consequence /effect: What could occur as a result, how much of a problem would it be?	Inherent Risk Score (no controls)			Existing Controls (sources of assurance)	Mitigated Risk Score (with controls)			Further management actions/controls	Target Implementation date for further mgt actions	Target Score with further management actions/			Risk Owner	Review Date	Review Commentary	Direction of Travel of mitigated risk score
					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR13	**Cyber Threat/Security, Cyber security is seen as an ICT risk and not a corporate risk that needs to be managed and monitored by senior management.**	Providing Excellent Services (CO3)	Cyber threats are increasing on a worldwide basis, with criminals known to target public sector organisations in an attempt to obtain personal data on a significant scale. The Council is thus at high risk of being attacked.	▢ Financial loss ▢ Resources of the authority to investigate fraud issues ▢ Reputation impact ▢ Litigation, Loss of data, breaches of GDPR, SMT lack of oversight	4	5	20	▢ As part of the new ICT Team, there is a dedicated IT Security Manager and cyber threats and security fall within his remit. ▢ A range of IT Security Policies are in place and will be reviewed and approved by SLT. ▢ Also part of Leicestershire Resilience Forum and have access to their specialisation if a breach occurs. In addition as partner their role is to act as 'check and balance' on policies. They also provide training events on cyber security matters. ▢ Increased cyber threat security technology implementation underway ▢Cyber Training rolled out across the organisation ▢BCP has been reviewed by IT Security Manager. ▢LRF exercise re cyber threats attended in July 2023 by one Technical Officer and one none Technical Officer.	2	3	6	▢ Cyber Threat training for members	Dec-23	2	3	6	Head of Finance	Sep-23	**Existing Controls updated to reflect completion of LRF Cyber Threat training exercise. Target date for further actions updated to reflect capacity.**	⟺
CR14	**19. Staff lone working including out of hours**	Providing Excellent Services (CO3)	Increased risk of staff harm from violence & aggression from service users.	Staff could suffer physical and emotional harm, which could lead to long periods of sick leave.	4	5	20	▢ Council has Lone Worker Policy & Procedure ▢ Equipment is available such as panic alarms & body cameras ▢ Records are maintained of challenging residents which are reviewed prior to visits taking place ▢ Relationship with local Police, who will attend visits where there is a potential for aggression & violence ▢ DBS checks undertaken for relevant staff ▢ Training session undertaken for lone working staff on (pick Protect) system ▢Contract ended for Solo Protect and moved to Pick Protect. ▢Risk Assessment for appointment hubs included consideration of lone working and guidance provided.	2	3	6	Include in induction and also carry out training awareness exercise for all current staff Need to review utilisation and cost of equipment	Mar-24	2	3	6	Head of Law and Democracy/Monitoring Officer	May-23	▢**Existing control updated for change for lone working system contract and lone working implications considered at appointment hubs.**	⟺