

Risk Register - 2021/22

20/07/2021 Finance and Resources

Risk No.	Major Heading	Risk	Brief Description	Before Mitigating Risk			Mitigating action	Update April 2021	Risk Owner	Action Completion by	After Mitigating Risk			Date Updated (dd/mm/yy)	Update By:	Days since last review
				Likelihood	Impact	Score					Likelihood	Impact	Score			
1	Operations	Major Failure of ICT systems.	Finance and Resources relies heavily on the provision of Robust ICT. A major failure would result in failure to collect local taxes, pay benefits and provide sound financial management.	3	5	15	ICT have comprehensive disaster recovery plans (Steria partnership) and each section a Business Continuity Plan. Servers are generally off site with backups held elsewhere. Income Management system is now being managed off site by Civica. BCPs have been updated with generic officers titles.	Risk scoring reviewed and updated - BCPs would likely have a positive effect on reducing the impact of a failure of ICT systems, allowing service to continue with disruption. After Mitigation score reduced from 10 to 8. BCP plans have been tested following cyber attack on 12/3/21 and were updated prior to recent local election.	PF		2	4	8	28/05/2021	KW	-52
2	Financial	Lack of capacity to provide effective financial support	Failure to provide financial management across the services leaving the MTFs unsecured	4	4	16	Development of a trainee accountant post to produce qualified staff. Continuous personal development for all staff. Use of support networks both locally with other districts and nationally with CIPFA's advice services.	Finance Team continues to experience challenges in recruiting to senior roles and now also needs to recruit to S151 role following departure of previous officer. Head of Finance has adopted interim S151 Officer role and a small level of support being provided by previous FSM. Currently recruiting to permanent FSM role.	CC		3	4	12	28/05/2021	KW	-52
3	Operational	Lack of capacity to provide effective financial support	Small Finance team leave it vulnerable to long term sickness	4	4	16	Officers trained to cover each other.	Amended after mitigation score due to increasing knowledge across whole team, which will reduce impact of long term sickness should it occur. Action: There is an ongoing action to train members of the team to provide cover for each other's roles so that unplanned absences do not impact on the operation of the team.	CC	Ongoing	3	3	9	28/05/2021	KW	-52
4	Financial	Capital Programme not delivered	Significant underspend on capital programme leading to priorities not being addressed.	4	2	8	Regular monitoring and reporting to PFD committee. Project officers regularly reporting progress to project board.	No change since last review.	CC		2	2	4	28/05/2021	KW	-52
5	Financial	Falling victim to fraud/scams	Payment of business grants, which has significantly increased as a result of Covid-19 pandemic	4	3	12	Application must be completed, which is checked against known data; spotlight check required of company data. Data also submitted to National Fraud Initiative.	New risk added in response to changing risk profile for fraud as a result of significant increase in payouts of grants.	CC		2	3	6	28/05/2021	KW	-52
6	Operational	Failure to retain key staff	Leading to disruption of services and internal controls such as reconciliations which in turn make the Council vulnerable	3	3	9	Skilling up all staff to provide cover as required. DELETE RISK	No change since last review. 2019/20 review by Internal Audit did not identify any major concerns with completion of control account reconciliations.	CC		2	3	6	28/05/2021	KW	-52
7	Operational	Failure to retain key staff	Loss of experience staff in Tax collection and benefits leads to collection rate not being made or benefits incorrectly awarded	4	4	16	Temporary staff have been brought in assist with increased workloads due to payouts of grants related to Covid-19 and areas where skillsets needed improvement.	Review of skillset within team has been completed. Two members of staff on long term sick leave; situation is being monitored.	CC	30/06/2020	2	3	6	28/05/2021	KW	-52
8	Financial	Overspends against budgets	Indicates a lack of internal control and poor internal judgements. Council resources threatened	3	4	12	Regular reviews and meetings with budget holders.	Budget monitoring now being undertaken more regularly and additional capacity has been provided through an additional member of staff undertaking budget monitoring role. Mitigated risk therefore decreased to 9	CC	31/3/21	3	3	9	28/05/2021	KW	-52
9	Reputational	Personal hardship caused by inaccurate payment of benefits	Impact of individuals receiving benefits. Overpayment and the need for recovery procedures.	3	3	9	Quality checks carried out each month to check for financial accuracy.	Payments are being made on time. Additional support being provided by a temporary member of staff.	CC	Ongoing	2	3	6	28/05/2021	KW	-52
10	Financial	Failure to collect Council Tenant Rents	Housing Revenue Account resources diminish to leading to a reduction in service provision	3	4	12	Trainee income officer taken on to take the income team up to three officers allowing more senior staff to concentrate on visiting and chasing poorest payers.	No change since last review.	AT		2	4	8	28/05/2021	KW	-52
11	Financial	VAT return not being completed on time	Where staff are absent due to unexpected circumstances, need to complete return may be missed	2	3	6	Staff being trained in each other's roles so that cover can be provided where necessary and the need to ensure that the return is completed on time is understood.	This is a new risk - the previous risk associated with completing the VAT return was focused on implementation of the process for electronic submission of the VAT return. DELETE	CC		1	3	3	28/05/2021	KW	-52
12	Operational	New relationship with income system supplier Civica	Issues were identified with Civica's system during implementation and confidence in their ability to deliver an effective service needs to be established.	3	4	12	Contract Specification. Operational Accounts Manager to have quarterly meetings to monitor and ensure compliance with contract spec.	New income system supplied by Civica finally went live in November 2020 following identification of some deficiencies in the system during implementation. Action: Formally review operational delivery from Civica in 6 months to obtain assurance that they are delivering an effective service.	PF	30/6/21	2	3	6	28/05/2021	KW	-52

Risk Register - 2020/21

Community and Wellbeing				Before Mitigating Risk			20/07/2021				After Mitigating Risk			Date Updated (dd/mm/yy)	Update By:	Days since last review
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	Update May 2021	Risk Owner	Action Completion by	Likelihood	Impact	Score			
CW1	Compliance	Safeguarding. Legal repercussions and reputational damage.	That the council does not fulfil its statutory safeguarding responsibilities.	4	4	16	Adherence to policy. Regular policy review and appropriate staff training. The requirement for a robust referral mechanism.	An online training module is being developed by County Safeguarding Officer Group. Safeguarding & PREVENT training needs updating and training events organised once current restrictions come to an end.	MS	31/3/22	2	4	8	28/05/2021	KW	-52
CW2	Operations	Events. Public injury or property damage and reputational damage.	To ensure all events are suitably risk assessed and subject to appropriate planning procedures.	5	5	25	Production of event plans and risk assessments through the County-wide Safety Advisory Group. Consultation with external partners (e.g. Police, Fire Service and EMAS). Appropriate staffing levels for event.	Additional national guidelines issued re holding events (eg sports) due to COVID which are being complied with. Outdoor up to 30. Outdoor sports activities have resumed but still within guidelines. Council needs to continue to support organisations where appropriate to carry out risk assessments and ensure activities are COVID-safe.	JW	N/A	2	3	6	28/05/2021	KW	-52
CW3	Operations	Direct public engagement .e.g residents' forums, public meetings	Injury to staff, and a loss of working hours. Reputational damage.	4	4	16	Awareness of current issues, and staff training on de-escalation plus political neutrality.	Not really engaging with the public at the moment due to COVID	KR	N/A	3	3	9	28/05/2021	KW	-52
CW4	Operations	Anti-Social Behaviour	Injury to staff, and a loss of working hours. Reputational damage. Lone Working	3	5	15	Researching known perpetrators; involve police where known problems. Corporate Alert List kept up to date. Application of Lone Working Policy & appropriate staff equipment e.g. panic alarms based on situation	This risk was added to the Register in October 2020. All actions that were identified in October 2020 (ASB Officer to review Lone Working Policy, & ensure compliance with Policy in full; use safety equipment where appropriate and ensure that at least one other member of staff has access to ASB Officer's diary) have been implemented.	TM		2	4	8	28/05/2021	KW	-52
CW5	Operations	Fire	Vehicles catching fire. Unable to deliver a collection service	3	4	12	Refuse vehicles kept separate from recycling vehicles & vehicles kept at furthest point away from the fuel pump.	Some adjustments to depot so vehicles now kept at least 200 metres apart whereas previously 50 metres. Updated impact score in after mitigation risk.	BK	N/A	2	2	4	28/05/2021	KW	-52

Risk Register - 2020/21

Built Environment

Built Environment				Before Mitigating Risk			20/07/2021	After Mitigating Risk			Date Updated (dd/mm/yy)	Update By:	Days since last review			
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	Update	Risk Owner	Action Completion by	Likelihood	Impact	Score			
1	Operations	Housing Capital Programme	Delivery of Housing Capital Programme	3	4	12	A specific staff resource in in place to delivery the Programme (Housing Capital Programme Manager). Budget will be regularly monitored. Frameworks to be used to procure external contractors when necessary.	Work on delivering the Programme now operating in full. Property Services Manager role now in place.	CE		2	4	8	02/06/2021	KW	-48
2	Operations	Homelessness	Significant increase in people presenting as homeless	3	3	9	The Council has developed a formal Homelessness Accommodation Strategy which will address this risk. The Strategy is due for review and final sign-off to the Service Delivery and Policy, Finance & Development Committees.	The Strategy refers to a number of initiatives, implementation of which will address the risk. Action: Strategy to be formally adopted by the end of 2020/21. Focus during pandemic has been on the 'Everyone In' Scheme, which ensured that between 17-20 homeless people were temporarily housed, mostly in B&B facilities	CE	04/01/2021	3	3	9	02/06/2021	KW	-48
3	Operations	5 Year Housing Land Supply	Failure of sites coming forward	3	4	12	Officer led Development Co-ordination Working Group meets monthly. Keep in regular contact with developers as a monitoring mechanism particularly since Covid-19 pandemic.	Actively working with Developers to bring forward Directions for Growth. Progressing Container and Modular options. Progressing Town Centre sites and former Oadby Pool site In early stages of producing of 5 year council housing land programme. Still Relevant. Annual Monitoring Report published in December 2020	JC		2	4	8	02/06/2021	KW	-48
4	Operations	Recruitment	Failure to recruit professional skilled staff	4	3	12	A variety of recruiting initiatives are being used to attract professional skilled staff.	Development Control currently an issue with three vacancies. Action: Currently working with agencies to seek interim & permanent replacements.	AT	30/6/21	3	4	12	02/06/2021	KW	-48
5	Operations	Leicestershire Building Control Partnership	Failure of Shared Service	2	4	8	Partnership Structure and Service Agreement in place. Regularly attend Partnership Meetings and are an active partner	Action: Looking at potential for moving to a delegated structure whereby the 5 Councils would delegate to Blaby to lead on service.	AT	10/01/2021	2	4	8	02/06/2021	KW	-48
6	Operations	Lightbulb	Failure of Delegated Service	3	4	12	Partnership Structure and Service Agreement in place.	Actively working to improve the Council's position in the Partnership and to improve the reputation of Lightbulb	CE		2	4	8	02/06/2021	KW	-48
7	Operations	Strategic Growth Plan	Failure of Strategic Planning Group partnership to deliver the Plan	3	4	12	Partnership Structure in place (All Leicester & Leicestershire Authorities). Sub-groups meet monthly.	Strong commitment amongst partners to work together and achieve delivery	JC		2	4	8	02/06/2021	KW	-48

Risk Register - 2021/22

Law and Democracy

Law and Democracy				Before Mitigating Risk			20/07/2021		After Mitigating Risk			Date Updated (dd/mm/yy)	Update By:	Days since last review		
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	October 2020 Update	Risk Owner	Action Completed By:	Likelihood	Impact	Score			
LD1	Extended loss of IT	Unable to gain access to records/provide statutory services	An event that has a material impact on the ability of the section to function effectively	3	4	12	Business Continuity Plan in Place with Steria. Developing a new IT infrastructure (Steria finishing Dec 2021)	No changes from last review	SLT	N/A	3	3	9	28/05/2021	KW	-52
LD2	Loss of Key Member of Staff	Unable to provide statutory services	A loss of a key member of staff that has a material impact on the ability of the section to perform its statutory duties	3	2	6	Monitor current staff work/life balance and provide adequate training	No changes from last review	DG	N/A	3	2	6	28/05/2021	KW	-52
LD3	Health and Safety incident ie Legionella	Serious accident results in death or injury	An event that has a material impact on the reputation of the Council as a result of a failure to adequately control H and S risks on council assets resulting in death or serious injury	2	5	10	Inspection of all council assets by appropriately trained staff and maintenance of inspection records. Regular audit of inspection regimes and work of H and S officer	No changes from last review	DG	N/A	1	3	3	28/05/2021	KW	-52
LD4	Changes in Legislation	Unbudgeted costs	New legislation alters service delivery requirements at a cost to the council	5	5	25	Monitoring of new legislation and advising on adaptations to service delivery. Regular monitoring of proposed legislative changes via subscription to on-line services	Risk increased since last review due to need to implement increased legislation emerging from COVID-19 response. (Potential for changes to holding of meetings if current legislation doesn't actually allow meetings by Zoom)	DG	N/A	2	4	8	28/05/2021	KW	-52
LD5	Litigation	Unbudgeted costs	Litigation arising out of a decision by the council that results in unbudgeted costs and reputational damage	3	5	15	Ensuring appropriate legal advice is provided to all committees, report authors and decision making bodies	No changes from last review	DG	N/A	1	5	5	28/05/2021	KW	-52
LD6	Failure to follow agreed policies or procedures	Legal challenge	An event that arises from a failure to follow agreed policies and procedures resulting in a financial or legal consequence	3	3	9	Regular Monitoring and updating of policies & procedures and staff training. Rolling programme of policy reviews and monitoring of staff.	Scores have not been changed from last review but it is relevant to note that COVID-19 pandemic has resulted in some Policies being amended (eg housing) so ensuring staff are aware of changes is a priority.	DG	N/A	2	2	4	28/05/2021	KW	-52
LD7	Failure to enforce, improper enforcement or sanction applied to a member of the public	Legal challenge and Reputational damage	Litigation arising out of a decision by the council that results in unbudgeted costs and reputational damage	4	4	16	Legal review of all decisions to impose sanction/initiate legal proceedings. COVID-19 Marshalls in place to ensure enforcement of rules introduced through legislation to minimise spread of disease.	Risk increased since last review to reflect increased likelihood of challenge to Council's decisions relating to application of COVID-19 legislation.	DG	N/A	2	4	8	28/05/2021	KW	-52