

Risk Register - risk level and scoring

IMPACT		
Level	Score	Description
Insignificant	1	<ul style="list-style-type: none"> no impact on service no impact on reputation complaint unlikely litigation risk remote
Minor	2	<ul style="list-style-type: none"> slight impact on service slight impact on reputation complaint possible litigation possible
Moderate	3	<ul style="list-style-type: none"> some service disruption potential for adverse publicity - avoidable with careful handling complaint probable litigation probable
Major	4	<ul style="list-style-type: none"> service disrupted adverse publicity not avoidable (local media) complaint probable litigation probable
Extreme / Catastrophic	5	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> may only occur in exceptional circumstances
Unlikely	2	<ul style="list-style-type: none"> expected to occur in a few circumstances
Possible	3	<ul style="list-style-type: none"> expected to occur in some circumstances
Probable	4	<ul style="list-style-type: none"> expected to occur in many circumstances
Highly probable	5	<ul style="list-style-type: none"> expected to occur frequently and in most circumstances

		Impact				
		1	2	3	4	5
Likelihood	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

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

Risk Register - 2021/22

08/12/2021

Finance and Resources

Risk No.	Major Heading	Risk	Brief Description	Before Mitigating Risk			Mitigating action	Update October/November 2021	Risk Owner	Action Completion by	After Mitigating Risk			Target Risk			Date Updated (mm/dd/yy)	Update By:	Days since last review
				Likelihood	Impact	Score					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	2	4	8	26/10/2021	KW	-42
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	Existence of 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.	All WTEs in the Finance Team currently being covered by some permanent and some temporary staff. AFTER MITIGATION SCORE REDUCED FROM 12 TO 4	CC		2	2	4	2	2	4	26/10/2021	KW	-42
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.	Team has grown since last update. Some agency staff being used but all are qualified accountants and can provide cover as necessary. AFTER MITIGATION SCORE REDUCED FROM 9 TO 4	CC		2	2	4	2	2	4	26/10/2021	KW	-42
4	Financial	Capital Programme not delivered	Significant underspends 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.	Capital Strategy being developed due to be submitted to February 2022 PFD then full Council for approval.	CC		2	2	4	2	2	4	26/10/2021	KW	-42
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.	Internal Audit have completed reviews of various grants paid out from March 2020 onwards and have not raised significant concerns.	CC		2	2	4	2	2	4	26/10/2021	KW	-42
6	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.	Permanent Revs and Benefits Manager has been appointed and currently has full team (permanent and agency staff) supporting him in delivery of the Revs & Benefits function.	JO		2	3	6	2	2	4	26/10/2021	KW	-42
7	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 being undertaken more regularly and additional capacity has been provided through an additional member of staff undertaking budget monitoring role. MITIGATED RISK REDUCED FROM 9 TO 4	CC		2	2	4	2	2	4	26/10/2021	KW	-42
8	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. No significant concerns noted. MITIGATED RISK REDUCED FROM 6 TO 4	JO		2	2	4	2	2	4	26/10/2021	KW	-42
9	Financial	Failure to collect Council Tenant Rents	Housing Revenue Account resources diminish to leading to a reduction in service provision	3	4	12	Staff in the Income team are focusing on recovering debt through visiting and chasing poorest payers and also manage those who are falling into arrears and signposting them into appropriate support.	Rent arrears currently not as high as expected bearing in mind impact of Covid-19.	AT		2	4	8	2	4	8	03/11/2021	KW	-35
10	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.	Bi-monthly meetings being held with Civica but not formally documented. PF to organise a formal review process for the contract by 31/1/22.	PF	31/1/22	2	3	6	2	2	4	26/10/2021	KW	-42

Risk Register - 2020/21

Community and Wellbeing

Community and Wellbeing				Before Mitigating Risk			08/12/2021				After Mitigating Risk			Target Risk			Date Updated (mm/dd/yy)	Update By:	Days since last review
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	Update October/November 2021	Risk Owner	Action Completion by	Likelihood	Impact	Score	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.	County Safeguarding Officer Group has developed an online training module which is in the process of being localised. Safeguarding & PREVENT training is now as up to date as it needs to be. Training events will be organised once current restrictions come to an end.	MS	31/2/22	2	4	8	2	4	8	25/10/2021	KW	-43
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	2	3	6	29/11/2021	KW	-9
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.	Forums not taking place at present due to COVID but are expected to recommence in January 2022.	AD		2	3	6	2	3	6	23/11/2021	KW	-15
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. ASB Officer fully aware of Lone Working Policy, uses safety equipment where appropriate & ensures at least 1 other member of staff is aware of his diary appointments.	No changes since last review	TM		2	4	3	2	4	8	25/10/2021	KW	-43
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. Vehicles kept at least 200 metres apart.	No changes since last review	BK		2	2	4	2	2	4	23/11/2021	KW	-15

Risk Register - 2020/21

Built Environment

				Before Mitigating Risk			08/12/2021	After Mitigating Risk					Target Risk			Date Updated (mm/dd/yy)	Update By:	Days since last review	
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	Update October/November 2021	Risk Owner	Action Completion by	Likelihood	Impact	Score	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.	Need to complete a stock condition review. Looking to recruit a temporary resource to deliver this review. An Asset Management system has been purchased to ensure a better data set is maintained - will assist in identifying required works.	CE	31/3/2022	2	4	8	2	4	8	05/11/2021	KW	-33
2	Operations	Homelessness	Significant increase in people presenting as homeless	3	3	9	The Council is required to develop Homeless Strategy, implementation of which will manage this risk.	There is a 2019-2024 Homelessness & Rough Sleeping Strategy. Review needs to be undertaken in terms of where the Council is in terms of delivering the Strategy following the impact of Covid-19, which required immediate action to find accommodation for homeless people.	CE	30/4/2022	2	3	6	2	3	6	05/11/2021	KW	-33
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. Produced most up to date Housing Implementation Strategy (published Sept 2021) which sets out that the Council has a healthy 5 year land supply. MITIGATING SCORE REDUCED FROM 8 TO 4	JC		1	4	4	2	4	8	22/10/2021	KW	-46
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	Ongoing	3	4	12	2	2	4	03/11/2021	KW	-35
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. Council has been considering potential for delegated structure where 5 Councils will delegate responsibility to Blaby to lead on service.	Action: Proposal for the delegated service to become operational from 1/4/22 going to full Council in December 2021	AT	04/01/2022	2	4	8	2	2	4	03/11/2021	KW	-35
6	Operations	Lightbulb	Failure of Delegated Service	3	4	12	Partnership Structure and Service Agreement in place.	Partnership arrangement is being extended; Council satisfied with the way the partnership is working.	CE		2	4	8	2	4	8	05/11/2021	KW	-33
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	2	4	8	22/10/2021	KW	-46
8	Operations	2023 Local Plan Production	Dependent on Leics. City Council's unmet housing need being met within Leicestershire & reduced timescale for completion	4	4	16	Weekly meetings of partners involved in meeting LCC's unmet housing need. Staffing resource has been refocused to ensure sufficient time is available for production of Local Plan. Also budget has been identified to support production of Plan if necessary. Members have been fully appraised of position.	New Risk added 22/10/21	JC		3	4	12	3	4	12	22/10/2021	KW	-46

Risk Register - 2021/22

Law and Democracy

Law and Democracy				Before Mitigating Risk			08/12/2021		After Mitigating Risk			Target Risk			Date Updated (dd/mm/yy)	Update By:	Days since last review		
Risk No.	Major Heading	Risk	Brief Description	Likelihood	Impact	Score	Mitigating action	November 2021 Update	Risk Owner	Action Completed By:	Likelihood	Impact	Score	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)	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. AFTER MITIGATING SCORE REDUCED FROM 9 TO 8	SLT	N/A	2	4	8	2	4	8	26/10/2021	KW	-42
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	As of the end of November 2021 Democratic & Electoral is at full strength. One short in Environmental Health, and one short in Selective Licensing. Action: Ongoing discussions about solutions to manage vacancies.	DG	DG	3	2	6	2	2	4	11/11/2021	KW	-27
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	Creating a health and safety and resilience post to replace part time post.	DG	N/A	1	3	3	1	3	3	11/11/2021	KW	-27
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	Face to face meetings have resumed due to the legislative requirement to do so, although Covid-19 remains a risk and is therefore causing an increase in the level of mitigated risk versus target risk. No additional actions beyond what is already being done to manage the Covid-19 risk are, however, required.	DG	N/A	2	4	8	2	3	6	11/11/2021	KW	-27
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	1	5	5	11/11/2021	KW	-27
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.	Now have a Corporate Policy Officer to ensure that they are reviewed and updated as necessary	DG	N/A	2	2	4	2	2	4	11/11/2021	KW	-27
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.	No major concerns have been raised in respect of Council's application of COVID-19 legislation to date. MITIGATING RISK REDUCED FROM 8 TO 6	DG	N/A	2	3	6	2	2	4	11/11/2021	KW	-27