Risk Register - risk level and scoring

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

	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

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

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CR1	Decreasing Financial resources / Increasing Financial Pressures	All Objectives	☐Increase demand for services e.g. benefits ☐ Continuing Austerity ☐ Political promises ☐ Change in priorities ☐ Reduction in recycling value ☐ Deflated housing market ☐ Lack of business growth ☐ Further changes in legislation ☐ Pooling/Unpooling of NNDR ☐ Universal Credit ☐ Inefficient running costs of Bushloe House **☐ Political hesitancy in decision making for fundamental service reform.**	☐ 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.	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 ☐ New income collection team created ☐ Assessment of viability of capital projects. ☐ Members have approved move out of Bushloe House to Brocks Hill.	2	3	6	☐ Scenario planning for budgets ☐ Transformation Programme across the council to improve services ☐Review of Financial Regulations ☐ Training on Contract Procedure Rules; ☐ enhance budget monitoring		2	2	4	Chief Financial Officer	Oct-21	**Residual risk reduced in October 2021 from 8 to 6; CFO expects the Council to deliver against its financial targets in 2021/22.**
CR2	Key Supplier Failure	All Objectives	☐ Change in circumstances ☐ Capacity and competency ☐ Further decline of the Economy ☐ Relationship breakdown ☐ Changes in legislation ☐ Changes in personnel ☐ Liability issues	☐ Cost implications ☐ Business Continuity ☐ Loss of revenue ☐ Service failure ☐ TUPE issues ☐ Potential court action ☐ Increased complaints ☐ Reputation issues ☐ Political damage ☐ Delays	3	3	9	☐ Formal contracts and agreements including realistic notice periods ☐ Tender arrangements and pre qualification financial assessments ☐ 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.	3	3	9	☐ Creation of Project and Procurement Team (currently one individual) ☐ Partnership and contract risk registers ☐ Periodic VfM reviews of contracts when re-tendering occurs		2	2	4	SLT	Nov-21	
CR3	Failure to work effectively with other public sector partner organisations (PSOs)	All Objectives	☐ 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 stratgic level in County & across members	☐ Loss of public confidence in Community Safety Partnership ☐ Loss of funding for LLR Sports Alliance partnership ☐ Impact on service delivery of poor ICT service ☐ May not realise potential economies of scale ☐ Impact on staff morale	3	4	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 Southern Alliance (OWBC, HDC, Blaby & Hinckley working together)	3	3	9	☐ Insourcing of ICT provision previously provided under agreement with H&B & Blaby Councils ☐ Procurement of project management support for transition of ICT service		2	2	4	SLT	Nov-21	

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CR4	Failure to effectively engage with residents of OWBC	All Objectives	◻ Staff changes 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	◻ Reputational damage ◻ lack of support for community initiatives ◻ lack of communication ◻ missed opportunity to impact on equalities agenda and HWB of residents ◻ Citizens panel unable to influence plans/strategies	4	3	12	◻ Statement of community involvement in place. ◻ Compliance with statutory responsibility for PPI relating to development control and the local plan. ◻ Citizens Panel sends out public consultation surveys to obtain feedback for influencing strategy/policy. ◻ Website & social media presence (Comms). ◻ Draw down external funding to recruit officers to engage with the community. ◻ Volunteer community champion training. ◻ Compliance with Code of Practice on Consultations	3	2	6	Training a key element and is a continuous action against a changing agenda.		2	2	4	SLT	Nov-21	
CR5	Political Dynamics	All Objectives	◻ 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 ◻ Code of Conduct ◻ Policies e.g. Safeguarding/Equalities and DBS checks ◻ Provision of chairing skills training ◻ Constitution ◻ Public consultation,	3	3	9	◻ Personal training/action plans ◻ Training for members covering a range of areas including IT and Planning ◻ Development of member enquiry system ◻ Political awareness training for officers		3	2	6	SLT	Nov-21	

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CR6	Reputation Damage	All Objectives	☐ 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	☐ 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	3	3	9	☐ 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 in post since 5/7/21 ☐ Social Media Policy	2	2	4			2	1	2	SLT	Nov-21	
CR7	Effective utilisation of Assets/Buildings	All Objectives	☐ 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 ☐ Accomodation Reviewed ☐ Health and safety assessments carried out on all buildings	3	3	9	☐ Revision of Asset Management Policy and Capital Expenditure Plan ☐ Accommodation review ☐ Consideration of holistic Asset Management database/system ☐ Production of a Health and Safety Action Plan		2	2	4	SLT	Nov-21	
CR8	Regulatory Governance	All Objectives	☐ 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 Compliance Officer	1	1	1			1	1	1	Monitoring Officer	Nov-21	

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CR9	Failure to respond to a significant incident	All Objectives	▢ 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	▢ 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 ▢ Reputation damage ▢ Loss of public confidence ▢ Loss of income ▢ Financial damage ▢ Death and injury ▢ Litigation risks ▢ Staff unavailable after major incident ▢ large proportion of staff becomming ill	2	4	8	▢ 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	2	3	6	▢ Paperless office and increased scanning through ERDMS ▢ Officers working from home to stop spread of illness ▢ Coordination of Out of Hours Service ▢ Staff working from home		2	1	2	Heads of Service	Nov-21	Also see separate COVID-19 risk. **Residual risk score reduced from 9 to 6 reflecting implementation of Agile Working Policy**
CR10	Organisational/Transformational Change	All Objectives	▢ 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	▢ 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	2	3	6	▢ Organisation review policy ▢ Recruitment and selection policies and procedures ▢ Union and staff consultation ▢ Internal Audit ▢ Staff group ▢ Staff newsletters ▢ Monitoring and supervision of management/1:1's ▢Training and professional qualification support ▢ Performance appraisal process	2	2	4	Workforce Strategy, Skills Matrix		1	1	1	Head of Customer Service and Transformation	Nov-21	

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CR11	Economy/ Regeneration	All Objectives	☐ Further decline in the economy BREXIT COVID (uncertainty of cost impact) ☐ Pooling/Unpooling of NNDR ☐	☐ 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	☐ Medium Term Financial Strategy and scenario planning ☐ Budget consultation ☐ Utilisation of Treasury Management advice ☐ Setting and monitoring of savings and efficiency targets ☐ 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.	4	3	12	Continue to review the opportunity to maximise funding sources.		4	2	8	Head of Built Environment, Marketing and Comms Manager	Nov-21	
CR12	Increased Fraud	All Objectives	☐ 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 ☐ UPDATED 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)	2	2	4	☐ Bribery Act Risk Assessment ☐ Fraud Awareness Training		1	1	1	Chief Financial Officer	Nov-21	

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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.	All Objectives	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 draft for sign-off by PFD. 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.	2	3	6	BCP is currently being reviewed by IT Security Manager	31/01/2022	1	3	3	Head of Customer Service and Transformation	Nov-21	**Risk narrative and scoring updated to reflect increased risk associated with cyber attacks but also control environment which is being put in place to manage this risk. Residual risk score increased from 4 to 6.**
CR14	**18. Coronavirus (SARS coronavirus-2 (SARS-CoV-2))** locally results in significant loss of staff at any one time and/or wider national measures designed to slow the spread of COVID-19 cause significant impacts on service delivery and the wider city	All Objectives	Major world pandemic identified by the WHO. This has spread to UK . The virus could spread to a large proportion of the populus casuing widespread illness and, in some server cases, death.	Council is unable to deliver any services including essential/critical services, or only deliver to a significantly reduced extent. Significant risk to the health, safety and welfare of vulnerable services users. Significant impacts on the local economy causing resulting impacts financially on the Council from reduced revenue including loss of income for commercially traded services. Reputational damage should the Council not be able to respond adequately	4	4	16	The Council has a corporate business continuity plan and arrangements and services each have their own business continuty plans. The corporate plan and arrangements have been invoked and all service areas are reviewing their business continuity plans in the light of this specific threat. A corporate business continuity major incident response group is meeting weekly to review the current situation and to identify actions and decisions needed to manage the response as well as determining what is needed in relation to internal and external communications. The Council is following closely the guidance provided by PHE and Government and sharing / promoting this as appropriate with key stakeholders eg schools, suppliers, staff, councillors and MPs etc. The Council is an active partner in the LRF arrangements and response. The LRF has established an SCG, TCG and	2	3	6	Continue to utilise the corporate business continuity plan and incident response group to oversee and co-ordinate the Council's response taking into account the wider guidance from PHE and Govt. Continue to engage in the LRF response and act on guidance from PHE and Govt		2	3	6	SLT	Nov-21	Staff are now working from home and services are being delivered. Business Continuity Plans in place so services are continuing.
CR15	**19. Staff lone working including out of hours**	All Objectives	Increased risk of staff harm from violence & agression 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	2	3	6	Include in induction and also carry out training awareness exercise for all current staff		2	3	6	SLT	Nov-21	