




IMPACT		
Level	Score	Description
Insignificant	1	<ul style="list-style-type: none"> <li>no impact on service</li> <li>no impact on reputation</li> <li>complaint unlikely</li> <li>litigation risk remote</li> </ul>
Minor	2	<ul style="list-style-type: none"> <li>slight impact on service</li> <li>slight impact on reputation</li> <li>complaint possible</li> <li>litigation possible</li> </ul>
Moderate	3	<ul style="list-style-type: none"> <li>some service disruption</li> <li>potential for adverse publicity - avoidable with careful</li> <li>complaint probable</li> <li>litigation probable</li> </ul>
Major	4	<ul style="list-style-type: none"> <li>service disrupted</li> <li>adverse publicity not avoidable (local media)</li> <li>complaint probable</li> <li>litigation probable</li> </ul>
Extreme / Catastrophic	5	<ul style="list-style-type: none"> <li>service interrupted for significant time</li> <li>major adverse publicity not avoidable (national media)</li> <li>major litigation expected</li> <li>resignation of senior management and board</li> <li>loss of beneficiary confidence</li> </ul>

LIKELIHOOD		
Level	Score	Description
Remote	1	<ul style="list-style-type: none"> <li>may only occur in exceptional circumstances</li> </ul>
Unlikely	2	<ul style="list-style-type: none"> <li>expected to occur in a few circumstances</li> </ul>
Possible	3	<ul style="list-style-type: none"> <li>expected to occur in some circumstances</li> </ul>
Probable	4	<ul style="list-style-type: none"> <li>expected to occur in many circumstances</li> </ul>
Highly probable	5	<ul style="list-style-type: none"> <li>expected to occur frequently and in most circumstances</li> </ul>

		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




Strategic Risk Register																					
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					Likelihood	Impact	Overall risk rating				Likelihood	Impact	Overall risk rating								
CR1	<b>Decreasing Financial resources / Increasing Financial Pressures</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li>□ Increase demand for services e.g. benefits</li> <li>□ Continuing Austerity</li> <li>□ Political promises</li> <li>□ Change in priorities</li> <li>□ Deflated housing market</li> <li>□ Lack of business growth</li> <li>□ Further changes in legislation</li> <li>□ Pooling/Unpooling of NNDR</li> <li>□ Universal Credit</li> <li>□ Political hesitancy in decision making for fundamental service reform.</li> <li>□ Cost-of-living crises</li> <li>□ Supplier price variations as a result of inflation</li> </ul>	<ul style="list-style-type: none"> <li>□ Cuts in services</li> <li>□ Political and customer expectations not met</li> <li>□ Quality of service</li> <li>□ Reputation damage</li> <li>□ Knock on impact on the local community and economy e.g. spiral effect</li> <li>□ Legal challenge,</li> <li>□ Reduction in rent/monies owed to the council through the introduction of UC.</li> <li>□ Increased homelessness adding stresses to council finances and the local economy.</li> <li>□ Supplier price variations significant.</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>□ Budgetary Control processes and committee reporting</li> <li>□ Medium Term Financial Strategy and HRA Business Plan - including scenario planning</li> <li>□ Setting and monitoring of savings and efficiency targets</li> <li>□ Annual Fees and Charges review</li> <li>□ Disclosure of expenditure over £250</li> <li>□ Review of reserves and balances</li> <li>□ Treasury Management and Investment Strategy</li> <li>□ Prudential Indicators</li> <li>□ Revised Financial Regulations</li> <li>□ Business Rates Pooling</li> <li>□ Procurement Policy.</li> <li>□ Homelessness team increased</li> <li>□ Assessment of viability of capital projects.</li> <li>□ Financial Inclusion Officer in post.</li> <li>□ Service/Review Transformation Programme across the council to improve service</li> <li>□ Ongoing impacts of inflation captured in medium term financial plan.</li> <li>□ New MTFS approved September 2022</li> <li>□ Engagement with MP, LGA and DLUHC about the council's unique financial Sustainability Programme now</li> <li>□ Project Initiation Documents (PIDS) completed for all projects in the sustainability programme.</li> <li>□ Improve engaged to support the outcome based budgeting approach to align budgets and Corporate Plan</li> <li>□ CMT/SLT Financial Sustainability session held 5th Sept 2023</li> <li>□ Budget Monitoring report 2023/24 and Budget Approach including MTFP/ sustainability programme update and taken to PFD 12/9.</li> <li>□ Members workshop held on Corporate plan and MTFP update 13/9</li> <li>□ Star Chamber</li> <li>□ Draft budget and MTFP update presented at PFD and Full Council Dec 2024</li> <li>□ approved not to use reserves to balance budget</li> <li>□ Service Delivery Changes - Financial Sustainability Plan approved</li> <li>□ Provisional local government finance settlement for 2024/25 received and consultation will be responded to.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>□ Review of Financial Regulations</li> <li>□ June 2024</li> <li>□ Final Approval of 2024/25 budget</li> <li>□ February 2024</li> <li>□ September 2024</li> <li>□ Delivery of Service Delivery Changes – Financial Sustainability Plan.</li> </ul>	4	4	16	Chief Financial Officer	Jan-24	Updated existing controls to reflect Star Chamber, approval of no use of reserves to balance budget and Service Delivery Changes – Financial Sustainability Plan. Further controls/actions updated for final approval of 2024/25 budget and delivery of Service Delivery Changes – Financial Sustainability Plan.			
CR2	<b>Key Supplier Failure</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li>□ Change in circumstances</li> <li>□ Capacity and competency</li> <li>□ Further decline of the Economy</li> <li>□ Relationship breakdown</li> <li>□ Changes in legislation</li> <li>□ Changes in personnel</li> <li>□ Liability issues</li> <li>□ Economic conditions - inflation and interest rates</li> </ul>	<ul style="list-style-type: none"> <li>□ Cost implications</li> <li>□ Business Continuity</li> <li>□ Loss of revenue</li> <li>□ Service failure</li> <li>□ TUPE issues</li> <li>□ Potential court action</li> <li>□ Increased complaints</li> <li>□ Reputation issues</li> <li>□ Political damage</li> <li>□ Delays</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>□ Formal contracts and agreements including realistic notice periods</li> <li>□ Tender arrangements and pre qualification financial assessments</li> <li>□ provisional local government finance settlement received</li> <li>□ Qualified internal officers to provide legal advice</li> <li>□ Use of external counsel</li> <li>□ Performance management of contracts, Comprehensive Contract Register, Partnership working with Local Authority Partners</li> <li>□ Welland Procurement also providing support.</li> <li>□ Part of management Board to oversee delegated services such as Lightbulb and Building Control.</li> <li>□ Creation of Project and Procurement Team</li> <li>□ Partnership and contract risk registers</li> <li>□ Contract term renegotiation with key providers as necessary</li> <li>□ Contract Management review will be undertaken as part of the Sustainability Programme</li> <li>□ Contracts information has been incorporated into draft service plan template.</li> <li>□ Contracts an item on 1-2-1's.</li> <li>□ Specialists engaged where required i.e. Leisure Operator Contract (LOC) negotiations.</li> <li>□ LOC Contract renegotiation approved at Council 12 December 2023</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>□ Improving contract management processes (sustainability programme).</li> <li>□ Complete renegotiation for LOC</li> </ul>	□ March 2024	□ Feb 2024	2	2	6	Head of Law and Democracy/ Monitoring Officer	Jan-24	Updated existing controls to reflect LOC Contract renegotiation approved at Council 12 December 2023. Target Date for LOC contract negotiation to be fully complete updated from Oct 2023 to Feb 2024. (The approval to accept the new LOC position had been feedback to SLM we are now waiting for their confirmation of accepting the new arrangements).	
CR3	<b>Failure to work effectively with other public sector partner organisations (PSOs) and 3rd sector organisations</b>	Building, Protecting and Empowering Communities (CO1); Growing the Borough Economically (CO2)	<ul style="list-style-type: none"> <li>□ Poor service delivery from PSOs the Council has agreements with</li> <li>□ Lack of engagement from partner PSOs</li> <li>□ Governance arrangements which foster effective relationships may be inadequate leading to relationship breakdown</li> <li>□ Failure of relationships at strategic level in County &amp; across members</li> </ul>	<ul style="list-style-type: none"> <li>□ Loss of public confidence in Community Safety Partnership</li> <li>□ Loss of funding for LLR Sports Alliance partnership</li> <li>□ May not realise potential economies of scale</li> <li>□ Impact on staff morale</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>□ Formal agreements with public sector partners which clearly identify roles &amp; responsibilities</li> <li>□ Governance arrangements which manage performance against agreements</li> <li>□ Lead officer arrangements/contract manager</li> <li>□ Financial controls ensuring payments are only authorised where service being delivered by partner organisation is received and is of appropriate quality</li> <li>□ Strategic Planning Group - governance arrangements are in place for this. Member Advisory Group also in place</li> <li>□ Performance of these arrangements is formally reviewed and changes are made if necessary.</li> <li>□ Regular account meetings with contracted 3rd sector organisations.</li> <li>□ Service Level Agreements in place where necessary.</li> <li>□ Cost of Living support programme has funded 3rd sector organisations and support for warm hubs.</li> </ul>	2	3	6	□ Sustainability Programme - Contract Management Project	□ March 2024		2	3	6	Chief Executive	Jan-24	No changes	

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					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating									
CR4	<b>Hard to reach demographics feel disenfranchised through lack of specific communication and engagement.</b>	Building, Protecting and Empowering Communities (CO1)	<ul style="list-style-type: none"> <li>Staff capacity could impact on engagement</li> <li>hard to reach communities</li> <li>some resident groups not digitally connected</li> <li>change in political power could result in non-statutory service being stopped</li> <li>Citizens panel not representative of demographic.</li> <li>Funding changes impacting on roles</li> <li>Digital exclusion as a result of cost of living crises</li> </ul>	<ul style="list-style-type: none"> <li>Reputational damage</li> <li>lack of support for community initiatives</li> <li>missed opportunity to impact on equalities agenda and HWB of residents</li> <li>Citizens panel not representative of demographic.</li> <li>Services may not meet the needs of this demographic</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>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</li> <li>Refreshed Communications Strategy launch due June 2022</li> <li>Gov Delivery digital e-mail system – targeted delivery on specific topics e.g. tenants newsletter – launch June 2022</li> <li>Financial Inclusion Officer</li> <li>Volunteer community champion Digital Newsletter - specifically relating to health and wellbeing targeting socially vulnerable</li> <li>Events programme run by Community Health Improvement Officers to target vulnerable and hard to reach residents/communities.</li> <li>Statement of community involvement in place</li> <li>Residents Forums reinstated</li> <li>Sports and physical activity commission plan to target hard to reach</li> <li>Customer Experience Strategy consultation outcome due to be reviewed by members in March includes an Action Plan to introduce Appointment Hubs.</li> <li>Tenant Engagement Review taking place to support Tenant Satisfaction Review through gov legislation launched April 2023.</li> <li>Appointment hubs going live 5th June 2023.</li> <li>Reception point to open when relocate to Brockshill</li> <li>Community events held to mark the Kings Coronation.</li> <li>Our Borough paper Comms going to all residents end of Summer 2023.</li> <li>Website offers the facility to change language.</li> <li>Use language line for translation services.</li> <li>Tenant &amp; Leaseholder focus group established and meeting on a quarterly basis.</li> <li>Language Translation Service incorporate</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Customer Experience Strategy Action Plan to be monitored against</li> <li>Housing Regulators new Tenant Satisfaction measures to be collected throughout 2023/24.</li> </ul>	<ul style="list-style-type: none"> <li>March 2024</li> <li>March 2024</li> </ul>	1	2	3	Head of Customer Service and Transformation	Jan-24	No changes	
CR5	<b>Political Dynamics</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li>Change in political power</li> <li>Change in leader</li> <li>New members</li> <li>Public perception changes</li> </ul>	<ul style="list-style-type: none"> <li>Change in priorities</li> <li>Change in member/officer engagement</li> <li>Breakdown in communication</li> <li>Inability to meet expectations</li> <li>Reputation issues (organisational and political)</li> <li>Reactive decision making (rather than planned)</li> <li>Failure to follow legislative requirements e.g. equalities</li> <li>Further strain on council finances</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li>Member development programmes</li> <li>New Code of Conduct has been adopted which comes into force on 1/4/22, with training planned to familiarise members with its content</li> <li>Policies e.g. Safeguarding/Equalities and DBS checks</li> <li>Provision of chairing skills training</li> <li>Constitution, which is in the process of being reviewed to reflect new management structure</li> <li>Public consultation,</li> <li>Development of member enquiry system</li> <li>Training for members covering a range of areas including IT and Planning</li> <li>Buddying system</li> <li>Members bulletin</li> <li>Service training - June 2022</li> <li>Political awareness training for officers June 2022</li> <li>Member and officer training undertaken with Centre for Governance and Scrutiny November 2022</li> <li>Full review of members induction programme has been completed.</li> <li>Induction training delivered for members during May to July 2023.</li> <li>SLT/Member workshops July, Sept, Nov</li> <li>CMT/Member training sept 'meet the teams'.</li> <li>Introductory Best Value OFLOG report at Full Council 26/9.</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>Best Value OFLOG self assessment to be completed</li> <li>Planning Member training externally facilitated</li> </ul>	<ul style="list-style-type: none"> <li>Feb 2024</li> <li>Jan 2024</li> </ul>	2	3	6	Head of Law and Democracy/Monitoring Officer	Jan-24	Existing controls updated for in SLT/Member workshop in Nov 2023. Further Management action updated for externally facilitated members training.	
CR6	<b>Reputation Damage</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li>Litigation</li> <li>Breakdown in a partnership</li> <li>Failure to have regard to officers advice</li> <li>Whistle blowing</li> <li>Freedom of Information (FoI)</li> <li>Inconsistent decision making</li> <li>Poor Media Relations</li> <li>Poor communication</li> <li>Failure to provide or reduce services</li> <li>Poor performance</li> <li>Poor business planning and consideration of financial implications</li> </ul>	<ul style="list-style-type: none"> <li>Intervention</li> <li>Loss of public confidence</li> <li>Ombudsman findings</li> <li>Court costs</li> <li>Quality of service affected</li> <li>Breakdown in a partnership</li> <li>Adverse publicity</li> <li>Lower public satisfaction level</li> <li>Time spent mitigating damage/rectifying the situation</li> <li>Low Morale</li> <li>Difficulties to recruit/retain staff</li> <li>Inadequate budget provision, inappropriate financial decisions made</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Review of external communication by Heads of Service</li> <li>Use of modern gov</li> <li>Whistle blowing and Anti Fraud and Corruption policies</li> <li>Freedom of Information log</li> <li>Qualified in house legal team</li> <li>Officer complaints training &amp; new complaints process</li> <li>Performance reporting and Key Performance Indicators</li> <li>Public and media consultation</li> <li>Achieved accreditation for customer service excellence award</li> <li>Communications Policy and Communications Plan in place</li> <li>Online customer care training in place for all new staff and a separate module also in place for managers.</li> <li>Partnership working eg Lightbulbs &amp; Local Plan</li> <li>Marketing &amp; Communications Manager</li> <li>Social Media Policy</li> <li>Service Standards</li> <li>Project Comms Plans</li> <li>Performance Review Plans</li> <li>Standardised project appraisal and affordability approach as per Corporate Peer Review Action Plan built into new MTFS</li> <li>Complaints handling and investigation training for all managers undertaken November 2022</li> <li>Safety Risk assessments always consider reputational damage as a risk.</li> <li>Anti Fraud Policy reviewed and approved PFD July 2023.</li> <li>Good relationships built with media i.e. cemetery</li> <li>Consultations conducted i.e budget</li> </ul>	2	2	4			2	2	2	Chief Executive	Jan-24	Existing Controls updated for public consultations taking place.	


**Strategic Risk Register**

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					Likelihood	Impact	Overall risk rating		Likelihood	Impact	Overall risk rating			Likelihood	Impact	Overall risk rating				
CR7	<b>Effective utilisation of Assets/Buildings (non housing)</b>	Building, Protecting and Empowering Communities (CO1); Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Failure to follow Health and Safety</li> <li><input type="checkbox"/> Insurance/Public Liability</li> <li><input type="checkbox"/> Financial Investment</li> <li><input type="checkbox"/> Contractor going into liquidation</li> <li><input type="checkbox"/> Political will</li> <li><input type="checkbox"/> Facility Management</li> <li><input type="checkbox"/> Depreciation</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Loss of investment opportunities</li> <li><input type="checkbox"/> Loss of income</li> <li><input type="checkbox"/> Loss of capital</li> <li><input type="checkbox"/> Higher revenue costs</li> <li><input type="checkbox"/> Costs</li> <li><input type="checkbox"/> Death or injury</li> <li><input type="checkbox"/> Higher insurance premiums</li> <li><input type="checkbox"/> Reputation damage</li> <li><input type="checkbox"/> Public liability</li> <li><input type="checkbox"/> Personal liability for corporate team e.g. corporate manslaughter</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li><input type="checkbox"/> Physical controls (e.g. Door Codes, fire alarms)</li> <li><input type="checkbox"/> Designated first aiders</li> <li><input type="checkbox"/> Capital Programme and HRA Business Plan - annual reiteration and regular monitoring</li> <li><input type="checkbox"/> Fixed Asset Register</li> <li><input type="checkbox"/> Annual valuation of property by external valuer</li> <li><input type="checkbox"/> Designated Health and Safety Officer</li> <li><input type="checkbox"/> Implementation of controls within Health and Safety Executive review</li> <li><input type="checkbox"/> Health and Safety risk assessments</li> <li><input type="checkbox"/> Designated Facilities Manager</li> <li><input type="checkbox"/> Accommodation Reviewed</li> <li><input type="checkbox"/> Health and safety assessments carried out on all buildings</li> <li><input type="checkbox"/> Move to Bushloe House to Brooks Hill complete</li> <li><input type="checkbox"/> Repurposing of public toilets business case currently in development with member engagement underway via PFD.</li> <li><input type="checkbox"/> Asset Management a theme as part of the Sustainability Programme</li> <li><input type="checkbox"/> Health and Safety Action Plan approved by full Council April 2023.</li> <li><input type="checkbox"/> Budget established for H&amp;S works at the depot.</li> <li><input type="checkbox"/> Asset Review received end of November</li> <li><input type="checkbox"/> 5 member working group to be established to assess assets for disposal.</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Revision of Asset Management Policy and Capital Expenditure Plan</li> <li><input type="checkbox"/> Asset review</li> <li><input type="checkbox"/> Holistic Asset Management database/system purchased and timetabled for implementation.</li> <li><input type="checkbox"/> Completion of the sale of Bushloe House and Gadbby Pool site.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> March 2024</li> <li><input type="checkbox"/> Jan 2024</li> <li><input type="checkbox"/> March 2024</li> <li><input type="checkbox"/> Dec 2024</li> </ul>	2	2	4	Head of Law and Democracy/ Monitoring Officer	Jan-24	Existing Controls updated for Asset Review received end of November and ad-hoc 5 member working group to be established to assess assets for disposal.	
CR8	<b>Regulatory Governance</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li><input type="checkbox"/> New or changes to legislation</li> <li><input type="checkbox"/> Resources (staff)</li> <li><input type="checkbox"/> Failure to identify new legislation</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Substantial fines e.g. Data Protection</li> <li><input type="checkbox"/> Judicial review</li> <li><input type="checkbox"/> Reputation</li> <li><input type="checkbox"/> Code of conduct</li> <li><input type="checkbox"/> Financial loss</li> <li><input type="checkbox"/> Cost orders</li> <li><input type="checkbox"/> Personal liability</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li><input type="checkbox"/> Data Protection Policy and log</li> <li><input type="checkbox"/> Freedom of Information log</li> <li><input type="checkbox"/> Code of Conduct and training</li> <li><input type="checkbox"/> HR Induction</li> <li><input type="checkbox"/> Statutory Monitoring Officer</li> <li><input type="checkbox"/> Subscriptions (e.g. legal journals and LGA) and CPD of legal officers</li> <li><input type="checkbox"/> Prosecution Policy</li> <li><input type="checkbox"/> Dedicated Policy, Compliance and Data Protection Officer</li> <li><input type="checkbox"/> Purchased GDPR/DPA learning modules to be rolled out in the future.</li> <li><input type="checkbox"/> Appraisal training and 1-2-1 training has been rolled out to all managers.</li> <li><input type="checkbox"/> New Social Housing Regulation Act 2023 strengthens the regulation regime associated with the Council as a social landlord. A full inspection by the regulator can be expected by end of 2026</li> <li><input type="checkbox"/> Building Safety Act 2022 places increased compliance responsibilities and scrutiny on Building Control and the construction industry generally.</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refresher training on GDPR/DPA to be completed by all.</li> <li><input type="checkbox"/> New starter course (office and manual workers) to be implemented for GDPR</li> <li><input type="checkbox"/> Review and improve HR induction</li> </ul> <p><b>Resources in Housing Team to be focused around meeting the requirements of the new act. Leicestershire Building Control Partnership has put in place an action plan to manage this risk</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Summer 2024</li> <li><input type="checkbox"/> February 2024</li> <li><input type="checkbox"/> February 2024</li> </ul>	1	1	1	Head of Law and Democracy/ Monitoring Officer	Jan-24	Existing Control and further actions have been updated in relation to the Social Housing Regulation Act 2023 and Building Safety Act 2022. Target dates on existing further actions have been updated.	
CR9	<b>Failure to respond to significant incident</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Loss of staff</li> <li><input type="checkbox"/> Loss of ICT</li> <li><input type="checkbox"/> Loss of Building</li> <li><input type="checkbox"/> Loss of Key supplier</li> <li><input type="checkbox"/> Loss of facilities</li> <li><input type="checkbox"/> Loss of systems</li> <li><input type="checkbox"/> Loss of public confidence</li> <li><input type="checkbox"/> Act of God</li> <li><input type="checkbox"/> Adverse Weather</li> <li><input type="checkbox"/> Pandemic</li> <li><input type="checkbox"/> Adverse staff impact as a result of cost of living</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Insurance – higher premiums</li> <li><input type="checkbox"/> Loss of essential services</li> <li><input type="checkbox"/> Adverse publicity</li> <li><input type="checkbox"/> Reputation damage</li> <li><input type="checkbox"/> Loss of public confidence</li> <li><input type="checkbox"/> Loss of income</li> <li><input type="checkbox"/> Financial damage</li> <li><input type="checkbox"/> Death and injury</li> <li><input type="checkbox"/> Litigation risks</li> <li><input type="checkbox"/> Insurance – higher premiums</li> <li><input type="checkbox"/> Loss of essential services</li> <li><input type="checkbox"/> Adverse publicity</li> <li><input type="checkbox"/> Loss of public confidence</li> <li><input type="checkbox"/> Financial damage</li> <li><input type="checkbox"/> Death and injury</li> <li><input type="checkbox"/> Litigation risks</li> <li><input type="checkbox"/> Staff unavailable after major incident</li> <li><input type="checkbox"/> large proportion of staff becoming ill</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li><input type="checkbox"/> Insurance policies and annual review - new insurers from 1 Jan 2024</li> <li><input type="checkbox"/> Risk Management policies and procedures</li> <li><input type="checkbox"/> Membership of Local Resilience Forum</li> <li><input type="checkbox"/> Standby rota</li> <li><input type="checkbox"/> IT backup, Business Continuity Plans in place</li> <li><input type="checkbox"/> Community Engagement with Health professionals</li> <li><input type="checkbox"/> Agile Working Policy</li> <li><input type="checkbox"/> Coordination of Out of Hours Service</li> <li><input type="checkbox"/> Additional training from Leicestershire Resilience Partnership underway (incl power loss scenario)</li> <li><input type="checkbox"/> Business Continuity training exercise and refresh undertaken December 2022</li> <li><input type="checkbox"/> BC Plans refresh and incorporation into service plans Dec 2022</li> <li><input type="checkbox"/> SLT and CMT additional training scheduled with LRF</li> <li><input type="checkbox"/> Mighty Oak national power outage LRF Training exercise</li> <li><input type="checkbox"/> Brockhill project has incorporated business continuity improvements inc generator if power outage.</li> <li><input type="checkbox"/> New accident investigation form</li> <li><input type="checkbox"/> Refresher of Health and Safety Training</li> <li><input type="checkbox"/> Health and Safety face to face training for manual workers delivered.</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li><input type="checkbox"/> LRF training course attendance to be reviewed by SLT</li> <li><input type="checkbox"/> Risk Management Training via the new insurers to be investigated</li> <li><input type="checkbox"/> New insurance processes being rolled out to operational staff</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Jan 2024</li> <li><input type="checkbox"/> July 2024</li> <li><input type="checkbox"/> Feb 2024</li> </ul>	2	3	6	Head of Law and Democracy/ Monitoring Officer	Jan-24	Existing controls updated to reflect new insurers from 1 Jan 2024 and refresher and manual worker Health and Safety Training. Further management actions updated to reflect SLT review of LRF training attendance, Risk Management Training and new insurance processes.	

**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				
CR10	<b>Organisational/ Transformational Change</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restructure</li> <li><input type="checkbox"/> Transformational change</li> <li><input type="checkbox"/> Transferable skills</li> <li><input type="checkbox"/> Reduction in funding</li> <li><input type="checkbox"/> Change in personnel</li> <li><input type="checkbox"/> Change in the way the council delivers services</li> <li><input type="checkbox"/> Redundancy</li> <li><input type="checkbox"/> Less controls in place due to limited resources</li> <li><input type="checkbox"/> Change in office location</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Redundancy</li> <li><input type="checkbox"/> Staff morale</li> <li><input type="checkbox"/> Staff retention</li> <li><input type="checkbox"/> Change in working practices</li> <li><input type="checkbox"/> Impact on quality of services</li> <li><input type="checkbox"/> Legal implications</li> <li><input type="checkbox"/> HR implications</li> <li><input type="checkbox"/> Regulation</li> <li><input type="checkbox"/> Financial loss</li> <li><input type="checkbox"/> Possible litigation</li> <li><input type="checkbox"/> Increased fraud</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organisation review policy</li> <li><input type="checkbox"/> Recruitment and selection policies and procedures</li> <li><input type="checkbox"/> Union and staff consultation</li> <li><input type="checkbox"/> Wellbeing Group and Wellbeing Teams</li> <li><input type="checkbox"/> Staff Health and Wellbeing Action Plan</li> <li><input type="checkbox"/> Internal Audit</li> <li><input type="checkbox"/> Staff newsletters</li> <li><input type="checkbox"/> Monitoring and supervision of management/1.1's</li> <li><input type="checkbox"/> Training and professional qualification support</li> <li><input type="checkbox"/> Performance appraisal process</li> <li><input type="checkbox"/> Formal induction programme</li> <li><input type="checkbox"/> Staff engagement (Brocks Hill staff engagement day)</li> <li><input type="checkbox"/> Comms plans for key projects - i.e. Brocks Hill, includes PR, Public, Staff and member and other stakeholder comms plans</li> <li><input type="checkbox"/> Staff engagement on organisational culture and values as part of People Strategy underway</li> <li><input type="checkbox"/> Introduction of live vacancy management plan with SLT</li> <li><input type="checkbox"/> People Strategy approved by PFD 12/09/2023</li> <li><input type="checkbox"/> Organisation Change Policy update completed.</li> <li><input type="checkbox"/> Clean &amp; Green / Corporate Assets Service Review concluded.</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organisation Strategy to be approved.</li> <li><input type="checkbox"/> Service Reviews being undertaken.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> On hold/ TBC</li> <li><input type="checkbox"/> Ongoing</li> </ul>	2	2	4	Strategic Director	Jan-24	Existing controls updated for Organisation Change Policy update and Clean & Green / Corporate Assets Service Review. Further actions updated as draft Org Strategy on hold following December PFDC.	
CR11	<b>Economy/ Regeneration</b>	Growing the Borough Economically (CO2)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Further decline in the economy</li> <li><input type="checkbox"/> BREXIT COVID Ukraine/Russia conflict and also energy costs crisis (uncertainty of cost impact)</li> <li><input type="checkbox"/> Pooling/Unpooling of NNDR</li> <li><input type="checkbox"/> Cost of living Crisis</li> </ul> <p>Economic Regeneration Manager and Economic Development posts removed from establishment to enable savings to Council budget</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Relocation (Business and Domestic)</li> <li><input type="checkbox"/> Lack of inward investment</li> <li><input type="checkbox"/> Increased demand for certain services e.g. benefits</li> <li><input type="checkbox"/> Loss of value in public assets</li> <li><input type="checkbox"/> Need to continually adapt/change</li> <li><input type="checkbox"/> Conflicting pressures - decreased funding – increased demand</li> <li><input type="checkbox"/> Spiral effect</li> <li><input type="checkbox"/> Short term decision making – uncertainty</li> <li><input type="checkbox"/> Increased autonomy leads to greater risk</li> <li><input type="checkbox"/> Decrease in collection levels</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li><input type="checkbox"/> Demand management of services that come under pressure as a result of decline in economy</li> <li><input type="checkbox"/> Debt Recovery Policy in place</li> <li><input type="checkbox"/> Local Council Tax and Business Rate Retention scheme in place</li> <li><input type="checkbox"/> Contract monitoring of bailiffs</li> <li><input type="checkbox"/> Paying out business grants to support local businesses during pandemic</li> <li><input type="checkbox"/> Regular programme of business webinars to provide information and support to businesses</li> <li><input type="checkbox"/> Monthly newsletter issued to businesses</li> <li><input type="checkbox"/> Helping Hands - energy champion</li> <li><input type="checkbox"/> Business microsite live and accessible via Council's website.</li> <li><input type="checkbox"/> Economic Regeneration Team restructured to maximise opportunities to bring forward regeneration and revenue generating projects</li> <li><input type="checkbox"/> UKSPF Investment Plan 2022 to 2025 being implemented</li> <li><input type="checkbox"/> Levelling Up bid developed in partnership with The University of Leicester and ready to submit if an opportunity arises</li> <li><input type="checkbox"/> Capital Projects Sub-committee established</li> <li><input type="checkbox"/> Specialist support procured to advise on the deliverability of regeneration projects (Oadby Pool and Horsewell Lane)</li> <li><input type="checkbox"/> Cost of Living report to members sets our proposal to review discretionary rates relief which may provide additional relief to businesses.</li> <li><input type="checkbox"/> Business Networking Event held 14/09/2023 - 80 businesses attended. Another one planned for Spring 2024</li> <li><input type="checkbox"/> Business Improvement District - Phase feasibility completed and to be progressed during 2024</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop the Tourism offer for the Borough</li> <li><input type="checkbox"/> BID</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> On-going</li> <li><input type="checkbox"/> July 2024</li> </ul>	3	3	9	Head of Built Environment	Jan-24	Economic Regeneration Manager and Economic Development Officer posts removed from establishment to enable savings to Council budget. Likelihood scores increased because there is no longer the resource to fully deliver on the objective of 'Growing the Borough Economically'.	
CR12	<b>Increased Fraud</b>	Providing Excellent Services (CO3)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Dilution of internal controls due to less staff</li> <li><input type="checkbox"/> Increase in unemployment</li> <li><input type="checkbox"/> Reduction in benefits</li> <li><input type="checkbox"/> Inflation</li> <li><input type="checkbox"/> Debt</li> <li><input type="checkbox"/> Opportunity</li> <li><input type="checkbox"/> March 16</li> <li><input type="checkbox"/> Sub-letting of Council properties</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Homelessness, poverty and social deprivation</li> <li><input type="checkbox"/> Financial loss</li> <li><input type="checkbox"/> Resources of the authority to investigate fraud issues</li> <li><input type="checkbox"/> Reputation impact</li> <li><input type="checkbox"/> Litigation</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li><input type="checkbox"/> Internal and External Audit</li> <li><input type="checkbox"/> Financial Regulations</li> <li><input type="checkbox"/> Segregation of Duties</li> <li><input type="checkbox"/> Supervision and Management</li> <li><input type="checkbox"/> Investigation and disciplinary procedures</li> <li><input type="checkbox"/> Litigation</li> <li><input type="checkbox"/> Anti Fraud and Corruption Policy</li> <li><input type="checkbox"/> Whistle blowing process</li> <li><input type="checkbox"/> Tone from the top - no tolerance</li> <li><input type="checkbox"/> Budgetary Control</li> <li><input type="checkbox"/> Participation in National Fraud Initiative</li> <li><input type="checkbox"/> Transaction review (e.g. invoices/mileage)</li> <li><input type="checkbox"/> All related Policies to be reviewed and an annual rolling training programme to be implemented.</li> <li><input type="checkbox"/> Anti Fraud Policy reviewed and approved</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement internal audit recommendations</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> March 2024</li> </ul>	2	2	4	Chief Financial Officer	Jan-24	Existing Controls updated to reflect the fraud training has been rolled out. Target date for implementation of further action updated to reflect capacity of officers.	

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				
CR13	<b>Cyber Threat/Security</b> <b>Cyber security is seen as an ICT risk and not a corporate risk that needs to be managed and monitored by senior management.</b>	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.	<input type="checkbox"/> Financial loss <input type="checkbox"/> Resources of the authority to investigate fraud issues <input type="checkbox"/> Reputation impact <input type="checkbox"/> Litigation, Loss of data, breaches of GDPR, SMT lack of oversight	4	5	20	<input type="checkbox"/> As part of the new ICT Team, there is a dedicated IT Security Manager and cyber threats and security fall within his remit. <input type="checkbox"/> A range of IT Security Policies are in place and will be reviewed and approved by SLT. <input type="checkbox"/> 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. <input type="checkbox"/> Increased cyber threat security technology implementation underway <input type="checkbox"/> Cyber Training rolled out across the organisation <input type="checkbox"/> BCP has been reviewed by IT Security Manager. <input type="checkbox"/> LRF exercise re cyber threats attended in July 2023 by one Technical Officer and one none Technical Officer.	2	3	6	<input type="checkbox"/> Cyber Threat training for members	Feb-24	2	3	6	Head of Finance	Jan-24	Target date for further action updated to reflect capacity.	
CR14	<b>19. Staff lone working including out of hours</b>	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	<input type="checkbox"/> Council has Lone Worker Policy & Procedure <input type="checkbox"/> Equipment is available such as panic alarms & body cameras <input type="checkbox"/> Records are maintained of challenging residents which are reviewed prior to visits taking place <input type="checkbox"/> Relationship with local Police, who will attend visits where there is a potential for aggression & violence <input type="checkbox"/> DBS checks undertaken for relevant staff <input type="checkbox"/> Training session undertaken for lone working staff on (pick Protect) system <input type="checkbox"/> Contract ended for Solo Protect and moved to Pick Protect. <input type="checkbox"/> 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	Jan-24	No changes	