

# Strategic Risk Register

## OVERVIEW

RISK		OWNER	INHERENT RISK			RESIDUAL RISK		
			Likelihood	Impact	Total	Likelihood	Impact	Total
<b>SR1</b>	Risk that there is a lack of adequate business continuity and recovery arrangements, leading to major internal and/or external disruption to services in the event of an incident (i.e. major ICT fail, fire etc), resulting in injury and/or loss of life and/or reputation	Director of Finance, Governance and Contracts	3	4	12	3	3	9
<b>SR2</b>	Risk that there is a lack of robust civil contingency arrangements established leading to a failure to respond appropriately to a major incident (e.g. flooding, terrorism etc) resulting in injury and/or loss of life	Chief Executive	4	4	16	3	3	9
<b>SR3</b>	Risk that there is a lack of external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives resulting in not being able to delivery services or being financially solvent	Director of Finance, Governance and Contracts	3	3	9	2	3	6
<b>SR4</b>	Risk that the Council does not attract suitable or capable staff or resources or there is a high sickness level or there are capacity issues from contractors and suppliers leading to a high number of vacancies or staff available resulting in poor service provision	Chief Executive	3	4	12	3	3	9
<b>SR5</b>	Risk that the Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal	Chief Executive	2	3	6	2	2	4

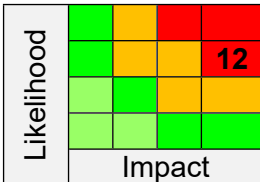
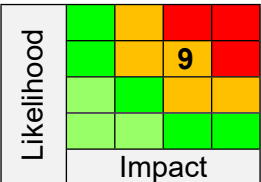
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			Likelihood	Impact	Total	Likelihood	Impact	Total
	process leading to service delivery issues and/or reputation damage and/or criminal charges							
<b>SR6</b>	Risk that partnerships with key stakeholders are not developed or maintained leading to a failure to deliver shared outcomes and a lack of delivery to the public resulting in service delivery issues and/or reputational damage	Chief Executive	2	2	4	1	2	2
<b>SR7</b>	Risk that adequate data sharing and data security arrangements are not implemented leading to an increase in cyber-attacks resulting in service disruption or data loss or damage	Director of Finance, Governance and Contracts	3	3	9	2	3	6
<b>SR8</b>	Risk that the Council does not establish effective strategic communication arrangements leading in the public not being informed about Council activity resulting in reputational damage	Chief Executive	3	3	9	2	3	6
<b>SR9</b>	Risk that the Council does not lead by example and manage the ongoing impact of climate change leading to a lower than anticipated reduction in carbon output	Chief Executive	2	3	6	2	2	4
<b>SR10</b>	Risk that new legislation or external factors cause negative financial or reputational impact on the Council leading to a reduction in service provision (i.e., Environment Bill) resulting in service delivery issues and/or reputational damage	Chief Executive	3	4	12	3	3	9
<b>SR11</b>	Risk that there is an inability to meet increased housing demand arising from inflationary pressures, and asylum and	Chief Executive	3	4	12	3	3	9

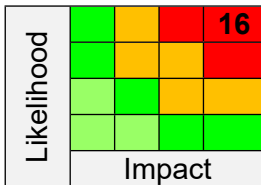
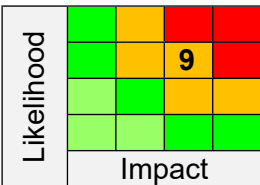
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			Likelihood	Impact	Total	Likelihood	Impact	Total
	refugee dispersal, in the context of constrained supply of public and private rented sector housing resources, leading to increased homelessness and associated costs, services unable to meet demand, and consequential reputational damage.							

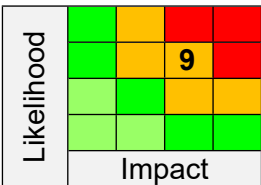
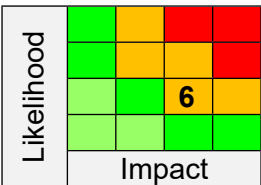
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR1-Business Continuity</b> Risk that there is a lack of adequate business continuity and recovery arrangements, leading to major internal and/or external disruption to services in the event of an incident (i.e. major ICT fail, fire etc), resulting in injury and/or loss of life and/or reputation	Strategic	<ul style="list-style-type: none"> <li>Inability to deliver key/critical services e.g. benefits, refuse collection, homelessness applications, emergency repairs.</li> <li>Reduction in access channels available to residents / customers i.e. contact centre, customer services, telephony</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>Business Continuity Planning</li> <li>IT Disaster Recovery Plan</li> <li>Website hosted externally</li> <li>Off-site data back-up arrangements</li> <li>Stand-by generator for ICS building and back up power for the Southfields site</li> <li>Cloud based telephony infrastructure</li> <li>Contingency planning for failure of major contractor</li> <li>Joined with other Leicestershire Districts in recruiting a shared Countywide Business Continuity Officer - the partnership are currently recruiting however, recruitment does appear to have stalled</li> <li>Possibility of Industrial Action across the organisation and in third party contractors</li> </ul>				
<b>Risk Owner</b>	Director of Finance, Governance and Contracts				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Link to work regarding concurrent incidents	<u>Responsible Officer:</u> Head of Governance	<u>Target Date:</u> Ongoing		
	Link to workforce mental health	Head of Transformation, Strategy and Performance	Ongoing		
	Need to review our Business Continuity Plans	All Heads of Service	Ongoing		

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR2-Civil Contingencies</b> Risk that there is a lack of robust civil contingency arrangements established leading to a failure to respond appropriately to a major incident (e.g. flooding, terrorism etc) resulting in injury and/or loss of life	Strategic	<ul style="list-style-type: none"> <li>• Inability to respond to affected peoples' basic needs (food, shelter etc)</li> <li>• Adverse effect on the local economy</li> <li>• Major reputational damage and loss of public confidence</li> <li>• Extending the recovery phase longer than necessary</li> <li>• Dealing with the COVID pandemic will have a negative effect on the management of concurrent incidents</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Participation in the Local Resilience Partnership and Forum (LRP and LRF)</li> <li>• Appropriate emergency and incident planning in place</li> <li>• Regular testing and exercising of emergency plans</li> <li>• Training and awareness for relevant staff</li> <li>• 24/7 call-out arrangements for senior managers (SLT / CLT)</li> <li>• Participation in county-wide Events Safety Group (SAG)</li> <li>• Reviews periodically undertaken within current Treatments and Controls</li> <li>• Number of Emergency Centre Managers has increased</li> <li>• Committed to undertake Charnwood specific training in early 2024</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u>		<u>Responsible Officer:</u>	<u>Target Date:</u>	

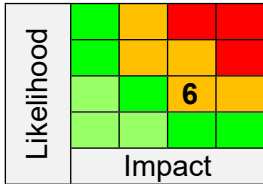
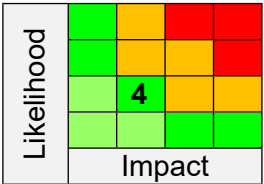
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<b>SR3 – Funding</b> Risk that there is a lack of external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives resulting in not being able to delivery services or being financially solvent	Strategic	<ul style="list-style-type: none"> <li>• Inability to meet demand for services</li> <li>• Inability to meet statutory duties</li> <li>• Ceasing or reducing some services</li> </ul>			Direction of Travel increased due to impact of the revenue from the Town Hall and Car Parks
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Annual production and monitoring of Medium Term Financial Strategy (MTFS)</li> <li>• Treasury Management Strategy</li> <li>• Budget and revenue monitoring processes</li> <li>• Maintenance of reserves at specified required levels</li> <li>• Monitor, consider and respond to government proposals affecting budgets and/or income</li> <li>• Monitor the implications of the COVID pandemic on the financial situation</li> <li>• Active work around Supported Living costs</li> <li>• Established Structural Deficit Group</li> <li>• Review the financial risks to third party contractors</li> </ul>				
<b>Risk Owner</b>	Director of Finance, Governance and Contracts				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Monitor inflationary pressures	<u>Responsible Officer:</u> Director - Commercial Development, Asset and Leisure	<u>Target Date:</u> Ongoing		

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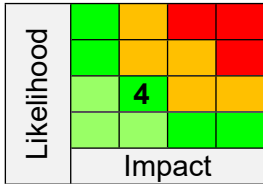
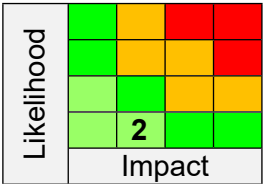
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<b>SR4 – Staffing</b> Risk that the Council does not attract suitable or capable staff or resources or there is a high sickness level or there are capacity issues from contractors and suppliers leading to a high number of vacancies or staff available resulting in poor service provision	Strategic	<ul style="list-style-type: none"> <li>• Inability to meet demand for services</li> <li>• Inability to meet statutory duties</li> <li>• Ceasing or reducing some services</li> <li>• Financial implication for agency / temporary staff</li> </ul>	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>12</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	Yellow	12	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>9</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	9	Red	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				Increased due to issues around recruitment and retention
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<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Benchmarking with other Districts</li> <li>• Seeking guidance from established organisations such as Jobs Go Public, East Midlands Councils, District Councils Network and Local Government Association – especially relating to services which are hard to recruit to</li> <li>• Marketing the Council / Local Authority</li> <li>• Local Government Pay Award – still outstanding for NJC for 2023</li> <li>• Establishment of Workforce Board and associated work programme</li> <li>• Establishment of Recruitment and Retention Working Group</li> <li>• Specific issues in Building Control but recognised in all service areas</li> </ul>																																																
<b>Risk Owner</b>	Chief Executive																																																
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Internal review of Recruitment		<u>Responsible Officer:</u> Head of Transformation, Strategy and Performance		<u>Target Date:</u> July 2024																																												
	Workforce report to Finance and Performance Scrutiny Committee – November				November 2023 – Completed																																												

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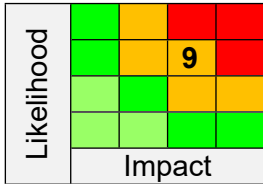
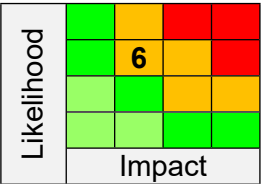
Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR5 – Governance</b> Risk that the Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal process leading to service delivery issues and/or reputation damage and/or criminal charges	Strategic	<ul style="list-style-type: none"> <li>Financial damage</li> <li>Reputational damage</li> <li>Not complying with legislation</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>Annual review of the constitution</li> <li>Ensure that the Council’s processes address the governance requirements</li> <li>Established governance arrangements for Risk Management, Performance Management, Projects and Programme Management</li> <li>Modern.gov had now been rolled out which provided good democratic governance</li> <li>Annual governance statement</li> <li>Internal audit programme</li> <li>External Audit process</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Recruitment of new Monitoring Officer	<u>Responsible Officer:</u> Director of Finance, Governance and Contracts	<u>Target Date:</u> January 2024		



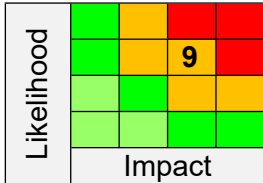
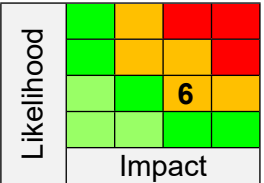
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR6 – Partnerships</b> Risk that partnerships with key stakeholders are not developed or maintained leading to a failure to deliver shared outcomes and a lack of delivery to the public resulting in service delivery issues and/or reputational damage	Strategic	<ul style="list-style-type: none"> <li>• Reputational Damage</li> <li>• Lack of joined up working</li> <li>• Damage to relationships with partners</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Joint working with key organisations with clearly identified terms of reference and joint outcomes</li> <li>• Up to date contact details within partner organisations</li> <li>• Six monthly parish clerk meetings</li> <li>• Community Safey Partnership Review</li> <li>• Consider Partnership Register</li> <li>• Maintain relationships across Leicester, Leicestershire and Rutland</li> <li>• Strategic Partner reviews</li> <li>• Maintain an overview of the budget situation of key partners within Leicestershire</li> <li>• Lightbulb review in progress</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Map and register partnerships and shared services	<u>Responsible Officer:</u> Chief Executive	<u>Target Date:</u> Ongoing		

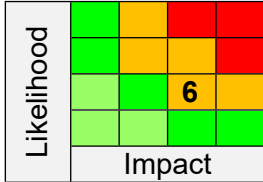
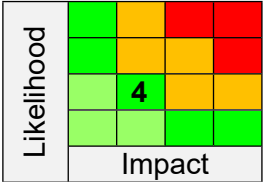
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<b>SR7 – Data Security</b> Risk that adequate data sharing and data security arrangements are not implemented leading to an increase in cyber-attacks resulting in service disruption or data loss or damage	Strategic	<ul style="list-style-type: none"> <li>Ineffective processes for sharing data with other agencies / authorities leading to data breaches</li> <li>Reputational damage and loss of public confidence</li> <li>Potentially significant fines</li> <li>Increased risk due to the operating processes and people possibly taking documents home</li> </ul>			Direction of travel improved due to more robust treatments and controls
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>Information sharing agreements in place with key agencies and authorities</li> <li>Annual IT health checks including penetration testing</li> <li>Data protection training and awareness for staff and councillors</li> <li>Data Protection Impact Assessment form developed and circulated</li> <li>IT security policies in place</li> <li>Policies are reviewed on a regular basis</li> <li>Information Security Group established with CLT</li> <li>Checking the location of data storage post Brexit – EU / UK</li> <li>Cyber Security insurance procured</li> <li>Increased move to the Cloud</li> <li>Review CPNI Information</li> <li>ICS Manager has undertaken a qualification regarding cyber security</li> </ul>				
<b>Risk Owner</b>	Director of Finance, Governance and Contracts				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> 	<u>Responsible Officer:</u> 	<u>Target Date:</u> 		

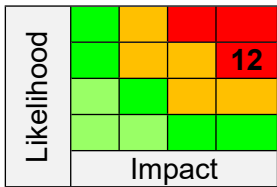
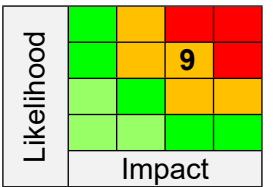
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<b>SR8 – Communication</b> Risk that the Council does not establish effective strategic communication arrangements leading to the public not being informed about Council activity resulting in reputational damage	Strategic	<ul style="list-style-type: none"> <li>• Reputational damage</li> <li>• Adverse social media coverage</li> <li>• Damage to relationships with partners</li> <li>• Damage to staff morale</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Adequately staffed and experienced corporate communications team</li> <li>• Communications Strategy and Plan in place</li> <li>• Regular monitoring of all media sources</li> <li>• Continue to expand social media use and reach</li> <li>• ‘Horizon scanning’ for potential communication issues at each Corporate Leadership Team meeting and as part of the Corporate Delivery Plan setting</li> <li>• Joint working with partners including LRF Comms Cells</li> <li>• Monitor the effectiveness of communications channels and posts</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u>	<u>Responsible Officer:</u>	<u>Target Date:</u>		

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR9 – Climate Change</b> Risk that the Council does not lead by example and manage the ongoing impact of climate change leading to a lower than anticipated reduction in carbon output	Strategic	<ul style="list-style-type: none"> <li>• Reputational damage</li> <li>• Environmental damage</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>• Cabinet pledge regarding climate change</li> <li>• Climate Change Action Plan</li> <li>• Caring for the Environment as a Corporate Strategy Theme and associated actions</li> <li>• Delivery of the new Strategy</li> <li>• Presenting the new Strategy to Cabinet in October and Council in November 2023</li> <li>• Climate Emergency</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u>	<u>Responsible Officer:</u>	<u>Target Date:</u>		

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
<b>SR10 – External Factors</b> Risk that new legislation or external factors cause negative financial or reputational impact on the Council leading to a reduction in service provision resulting in service delivery issues and/or reputational damage	Strategic	<ul style="list-style-type: none"> <li>Financial damage</li> <li>Reputational damage</li> <li>Not complying with legislation</li> </ul>			Remains the same
<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>Monitoring legislation through Parliament</li> <li>Liaise with other Districts</li> <li>Reviewing and understand the financial implications</li> <li>Regular briefings to Cabinet</li> <li>The implementation of voter ID is now completed, further requirements of the Elections Act to be introduced</li> <li>Reviewing the requirements of Martyn’s Law</li> <li>Review of the Housing regulatory standards and preparing for inspection</li> <li>Recruitment of new Head of Landlord Services</li> <li>Monitoring of Levelling up and Regeneration Act</li> <li>Direction of travel from central Government re the Environment Act</li> </ul>				
<b>Risk Owner</b>	Chief Executive				
<b>Planned Future Actions and Responsible Officer(s).</b>	<u>Description:</u> Environment Act – monitoring		<u>Responsible Officer:</u> Head of Contracts: Leisure, Waste and Environment / Head of Regulatory and Community Safety		<u>Target Date:</u> Ongoing
	Supported Accommodation programme legislation		Director of Housing and Wellbeing / Director of Customer Experience		Ongoing
	Potential Planning changes		Head of Planning		Ongoing

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<b>SR11 – Housing Demand</b> Inability to meet increased housing demand arising from inflationary pressures, and asylum and refugee dispersal, in the context of constrained supply of public and private rented sector housing resources, leading to increased homelessness and associated costs, services unable to meet demand, and consequential reputational damage.	Strategic	<ul style="list-style-type: none"> <li>Financial damage</li> <li>Reputational damage</li> </ul>	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>12</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	Yellow	12	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>9</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	9	Red	Green	Green	Yellow	Yellow	Green	Green	Green	Green		Impact				Initially established
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<b>Current Treatments and Controls</b>	<ul style="list-style-type: none"> <li>Review the acquisitions process for HRA property</li> <li>Work with local lettings agents and landlords to increase the supply of private rented sector accommodation</li> <li>Work with developers to provide more affordable housing through the planning system</li> <li>Council stock used a temporary accommodation</li> <li>Action plan in place to support faster re-let of HRA property</li> <li>Work with local advice and support agencies to prevent / reduce homelessness</li> <li>Review of low demand (sheltered and non-sheltered) HRA properties to ensure the best use of stock</li> <li>Develop an action plan to support faster void turnaround / faster letting of HRA properties</li> <li>Review of Housing Needs team staffing resources and service procedures to increase resilience and efficiency</li> <li>Recent Home Office arrangements regarding Asylum Seekers</li> <li>Exploration of Simplyphy (organisation who assist with acquisitions)</li> <li>Falcon Centre cessation of LCC funding</li> </ul>																																																
<b>Risk Owner</b>	Chief Executive																																																

# Strategic Risk Register

Planned Future Actions and Responsible Officer(s).	Description: Review of housing development strategy	Responsible Officer: Head of Strategic Housing	Target Date: 2023/2024
	Review of Homelessness and Rough Sleeping Reduction Strategy		2023/2024