

# Risk Assessment Form

Organisation/Department/Function/Project: **Corporate Risks**

Manager: **Sandra Whiles, Chief Executive**

Date: **18 June, 2012**

Risk (Threat to achievement of business objective)	Assessment of Current Risk (Assume CURRENT controls in place)			Risk Control Measures	Assigned To	Target Date (Priority)	Assessment of Controlled Risk (With controls in place)		
	Impact	Likelihood	Risk Rating				Impact	Likelihood	Risk Rating
<p><b>CPA0066 - Physical</b> Failure to identify, record and monitor health and safety risks.</p> <p>This links to Service Blueprints</p>	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Effective Health &amp; Safety procedures</b> H&amp; S procedures on ISIS</li> <li><b>Service blueprints</b> Updated to Mark 2 Blueprint rolled out to all Services Annual update Reports to Management Board. Services have been assessed for their degree of health and safety risk.</li> </ul>	Jon Wells  Jon Wells		Major Impact 4	Unlikely 2	Low 8
<p><b>CPA0069 - Legislative</b> Failure to ensure adequate fraud and corruption prevention arrangements are in place will leave the council open to potential financial losses, wrong doing, breaches of the council's procedures and policies, and legal responsibilities.</p> <p>This can affect contracts with outside suppliers, fraudulent claims for benefits, employment of staff with false records and theft etc.</p>	Major Disaster 5	Very Likely 4	High 20	<ul style="list-style-type: none"> <li><b>Anti fraud and corruption and Benefit Fraud policies reviewed and adopted</b> Policies reviewed and adopted by Cabinet April 2010, Fraud response plan, whistle blowing policy, prosecution policy</li> </ul>	Alison Moran		Medium Impact 3	Unlikely 2	Low 6

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				<ul style="list-style-type: none"> <li><b>Staff and Member awareness and training</b> Ongoing  New Member training  Fraud awareness training included in staff induction training</li> <li><b>HR policies and practice in place to prevent, deter and deal with fraud and corruption</b> Liaise with Alison about new policy and possibility of slot/raise awareness at Corporate Induction. Discuss approach for raising awareness amongst current workforce.  Fraud listed in the disciplinary procedure as an example of an act of gross misconduct.</li> </ul>	Alison Moran  Amanda Barron	28/09/2012 (Normal)			
<b>CPA0075 - Economic</b> Future levels of external grant funding may affect ability to deliver services	Major Impact 4	Very Likely 4	<b>High</b> 16	<ul style="list-style-type: none"> <li><b>Revised Corporate Plan 2011-2014</b> Plan in place</li> </ul>	Sandra Whiles		Major Impact 4	Unlikely 2	<b>Low</b> 8

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				<ul style="list-style-type: none"> <li>• <b>Revised MTFS</b></li> <li>• <b>Efficiency programme</b></li> <li>• <b>Open up communication with government</b> Opening up communication with government</li> <li>• <b>Clear strategy to maximise use of new homes bonus</b> Clear strategy to maximise use of new homes bonus</li> <li>• <b>Agree transformation programme</b> Agree transformation programme</li> </ul>	Jim Holden Jim Holden Jim Holden Jim Holden Sandra Whiles				
<b>CPA0091 - Customer / Citizen</b> Structural changes in other Public Sector organisations (eg DWP, Health, Police)	Major Impact 4	Almost Certain 5	<b>High</b> 20				Major Impact 4	Almost Certain 5	<b>High</b> 20

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				<ul style="list-style-type: none"> <li>• <b>Maintaining awareness and responding to the implications of emerging changes across public sector delivery organisations</b></li> </ul>	Management Board				
<b>CPA0092 - Financial</b> Failure to maximise income from the new homes bonus over the next 6 years	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li>• <b>Support good development</b></li> <li>• <b>Local Authority Mortgage Scheme</b></li> </ul>	Sandra Whiles  Sandra Whiles		Medium Impact 3	Very Likely 4	Medium 12
<b>CPA0093 - Customer / Citizen</b> Failure to comply with the Equalities Act 2010	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li>• <b>Leicestershire Equalities Forum</b> Membership of LEF</li> <li>• <b>Corporate Equalities &amp; Access Group</b> Meetings of the CEAG every 6 weeks Now monthly until EFLG assessment-no longer being carried out</li> </ul>	Alison Moran  Alison Moran		Medium Impact 3	Likely 3	Medium 9

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				<ul style="list-style-type: none"> <li>• <b>Equalities Action Plan in Place</b> Adopted by Cabinet 6th November 2010 Reviewed August 2011.</li> <li>• <b>Equalities action plan progressed</b> To be progressed through Corporate Equality and Access Group</li> <li>• <b>increase capacity</b> Knowledge Shared service - post advertised mid august. In Post 1 November 2010 - 6hr/week- No longer in place from March 2012.</li> <li>• <b>Customer Excellence Award</b> Achieve Customer Excellence Award</li> </ul>	Alison Moran	28/03/2014 (Normal)			
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<b>CPA0094 - Political</b> Failure to achieve an adopted Local Plan for Blaby District	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Delivery of the Local Development Scheme</b> Core Strategy will be submitted for public examination in Autumn 2012. The Local Development Scheme was approved at Cabinet in September 2011 and Full Council in December 2011.</li> </ul>	Sandra Whiles		Major Impact 4	Unlikely 2	Low 8
<b>CPA0096 - Customer / Citizen</b> Failure to consider and adopt a Local Council Tax Discount Scheme	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Referencing Group Established</b> Understanding the implications of the change. Looking at Countywide scheme</li> <li><b>Working with other Councils</b> Working with other Councils and monitoring progress from Government</li> </ul>	Steve Beard  Steve Beard		Major Impact 4	Unlikely 2	Low 8
<b>CPA0098 - Political</b> Non determination of the Lubbesthorpe Planning Application	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Ensure application determined</b> Ensure that the application is determined as quickly as possible.</li> </ul>	Andrew Senior		Major Impact 4	Unlikely 2	Low 8

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<b>CPA0099 - Technological</b> Failure to Implement a transactional website	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Project Plan</b> Project Plan/Team and time line in place</li> </ul>	Colin Jones		Medium Impact 3	Unlikely 2	Low 6
<b>CPA0100 - Political</b> Management & delivery of Section 106 agreements to ensure adequate infrastructure around new housing developments to support sustainable communities  (this risk has been merged with former risk CPA0070 as discussed at SMT 9/11/11)	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li><b>Working group set up</b> A working group has been set up (Jon Wells, Sarah Penelli &amp; Quin Quinney) to ensure delivery of S106 agreements</li> <li><b>Database set up</b> A database up and running to monitor active S106 agreements. Public reporting channels via Cabinet 2012</li> <li><b>Appropriate resources</b> A new post has been established to progress current active S106 agreements and ensure there is a framework in place for the future.</li> </ul>	Jon Wells  Jon Wells  Jon Wells		Major Impact 4	Unlikely 2	Low 8

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<b>CPA0101 - Economic</b> Sustaining and improving the future economic viability of the district	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li>• <b>Economic Development Strategy</b> Preparation &amp; delivery of the Economic Development Strategy for the District.  Monthly reports to Management Board</li> <li>• <b>Establish resources</b> Establish resources to deliver economic development priorities</li> </ul>	Jim Holden     Jim Holden		Medium Impact 3	Unlikely 2	Low 6
<b>CPA0103 - Financial</b> Failure to understand the impact of the introduction of Universal Credit.	Major Impact 4	Very Likely 4	High 16	<ul style="list-style-type: none"> <li>• <b>Working with other Councils and monitoring progress from Government</b> Most issues are outside our control and influence, timescales are very tight. Impacts on wider areas as well as financial risk</li> </ul>	Steve Beard		Major Impact 4	Likely 3	Medium 12