

# Risk Assessment Form

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

Manager: **Sandra Whiles, Chief Executive**

Date: **6 December, 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 will link 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/corruption inserted into new corporate induction in Athena. Need to discuss policies and procedures around risk/corruption and HR input with Alison  Fraud listed in the disciplinary procedure as an example of an act of gross misconduct. - this has been completed</li> </ul>	Alison Moran	30/11/2012 (Normal)			
					Amanda Barron				

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<b>CPA0075 - Economic</b> Future levels of external grant funding may affect ability to deliver services	Major Impact 4	Very Likely 4	High 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	Low 8
				<ul style="list-style-type: none"> <li>• <b>Revised MTFS</b></li> </ul>	Jim Holden				
				<ul style="list-style-type: none"> <li>• <b>Efficiency programme</b></li> </ul>	Jim Holden				
				<ul style="list-style-type: none"> <li>• <b>Clear strategy to maximise use of new homes bonus</b> Clear strategy to maximise use of new homes bonus</li> </ul>	Jim Holden				
<b>CPA0091 - Customer / Citizen</b> Structural & legislative changes in other Public Sector organisations (eg DWP, Health, Police) - impact on BDC service delivery	Major Impact 4	Almost Certain 5	High 20				Major Impact 4	Almost Certain 5	High 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>Customer Excellence Award</b> Achieve Customer Excellence Award</li> </ul>	Alison Moran  Alison Moran  Alison Moran	28/03/2014 (Normal)			
<b>CPA0094 - Political</b> Failure to achieve an adopted Local Plan for Blaby District	Major Impact 4	Very Likely 4	<b>High</b> 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	<b>Low</b> 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>CPA0103 - Financial</b> Failure to respond to and manage 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