

Corporate Risk Register

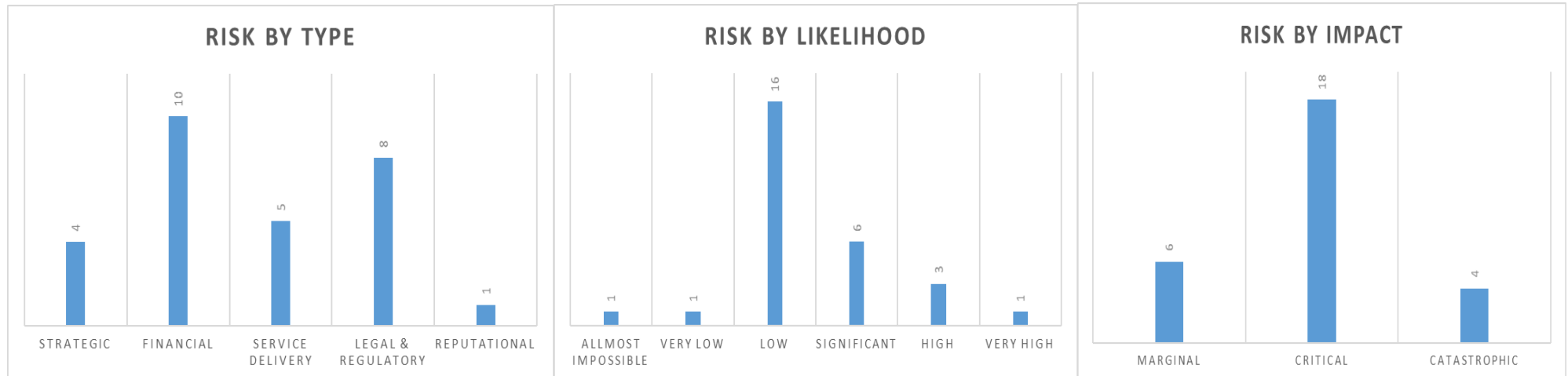
Date 12th February 2021



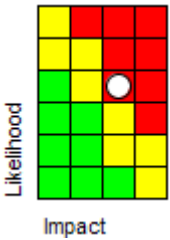
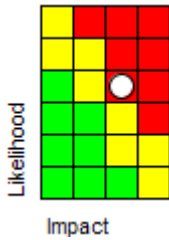
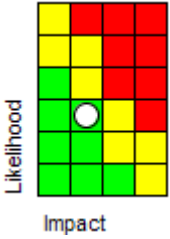
Summary

Risks High/Medium/Low

High - 13
Medium – 9
Low – 8

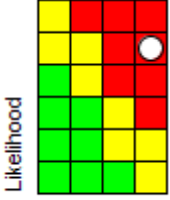
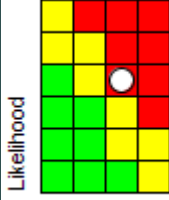


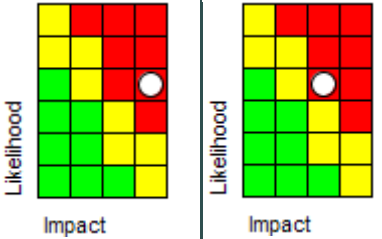
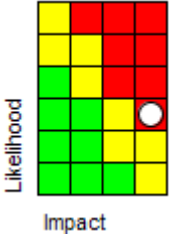
Cleaner and Greener

Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last updated
CRO72- Meeting Government's Waste strategy targets around recycling and service provision. Including the requirement to provide free garden waste service and separate food waste collections			Same	<ul style="list-style-type: none"> potential fines from EU reputational damage 	Discussions with County regarding innovative options is ongoing	Service Manager Neighbourhoods and environment	The outcome of central government's waste and resources strategy is still unknown. Discussions have started to take place across the county at the Waste Joint Officers Board to plan for the impacts of potential outcomes.	Legal & Regulatory Risk	12-Feb-2021
					Development of Scrutiny review in September 2016				
Sufficient resources to deliver the Annual big spring clean		New Jan 2021		<ul style="list-style-type: none"> Non- delivery Reputational impact Increased budget Longer term resource 	BASC campaigns booked out of garden waste season to ensure lorries and resource available.	Service Manager Neighbourhoods and environment	Issues around the pandemic including self-isolation of waste operatives has presented a challenge, this may have an adverse effect on collection times, at the moment the risk is contained.	Reputational	12-Feb-2021

				requirements for picking up BASC waste through garden waste season and during normal operations					
--	--	--	--	---	--	--	--	--	--

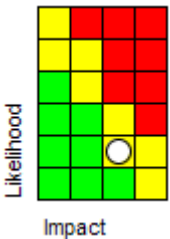
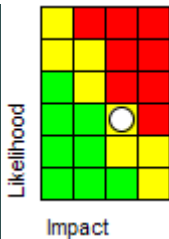
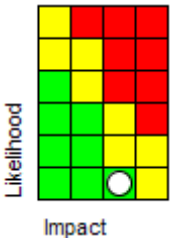
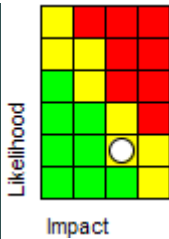
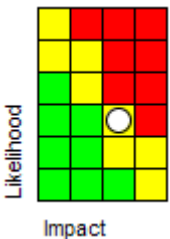
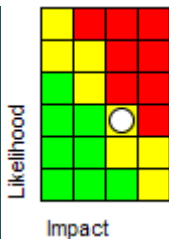
Economic Growth and Place

Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last updated
CR)-40 Having an adopted LDF / Local Plan	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Impact increased, remains significant	<ul style="list-style-type: none"> • Diminish ability to stimulate economic growth • Increase likelihood of a developer lead approach to devt. • Maximises potential for a significant award of costs against the authority • New approach to plan. High risk. Members Aware. • Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set 	<p>Need alternative approach to development with Members through adoption of Local Plan</p> <p>Regular engagement with Members to bring them on board</p> <p>Keeping abreast of latest challenges; work with Planning Advisory Service for proof-reading</p> <p>Keeping a clear audit trail of engagements with developers and consultees</p> <p>work with Elected Members to address concerns</p> <p>Provide professional guidance</p>	Christine Sarris	Likely to occur in year 2021/2022, not expected in 20/21. The local plan is running behind time due to changes in the housing standard methodology and delays to evidence base as a result of Covid. CHLG have written to ADC re progress and an update has been provided.	Legal & Regulatory Risk	10-Feb-2020

				back timetable. ·If plan requires subsequent revision, will add delays.					
CRO86- Planning appeals		Impact increased, remains significant		Councillor training	Christine Sarris	We have a number of major planning applications at this point in time also a couple of major appeals there is the possibility that if those major applications are refused and appeals lost we may move into special measures in one to two years time. The position is being monitored and managed internally with briefings to the Leader.	Legal & Regulatory Risk	10-Feb-2020	
				Officer training					
				Monitoring					
CRO91-Ability to deliver Town Centre Funding		New risk May 2020		Failure to secure up to £50m of funding for Kirkby and Sutton.	Sarah Daniel	Funding secured from Future High Streets Fund for Sutton. Towns Fund bid submitted for Kirkby and Sutton.	Financial	11-Feb-2021	
				Opportunity lost to regenerate and re-purpose town centres and local					Programme being developed to ensure milestones are met. Monitored through Pentana, Regen, Board and Discover Ashfield Board

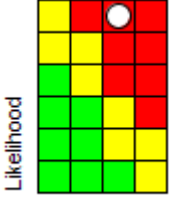
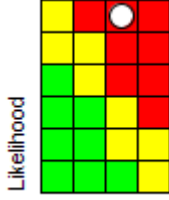
			centres	Specialists will be appointed to support business case development.				
			Reputational damage					

Health and Happiness

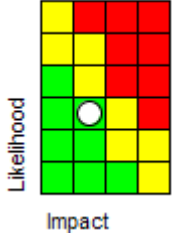
Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last updated
CR200- Leisure Centre - Ability to complete the project on time			Likelihood decreased, remains moderate	Reputational damage Delay on delivery benefits		Darowen Jones	The procurement phase has been completed and the successful contractor (Kier) have now commenced onsite. Contractual Completion date is as per original programmes of April 2022.	Reputational	21-Jan-2021
CR201- Leisure Centre - Ability to manage the project budget			Likelihood decreased, now low	Impact on budget and reduction in financial benefits		Darowen Jones	Funding from D2N2 and Sport England is due to be confirmed within the next week.	Financial	11-Feb-2021
CR202- Leisure Centre - Ability to secure match funding for Leisure Centre			Same	Financial impact on the Council		Daroween Jones	Following completion of the tender process the LEP funding application has been submitted and is due to be considered and decided upon during W/C	Financial	21-Jan-2021

							25th January 2021. The Sport England bid will be uploaded to their portal during W/C 25th January 2021. Sport England has given permission to the Council for works to commence onsite.		
--	--	--	--	--	--	--	--	--	--

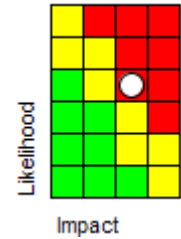
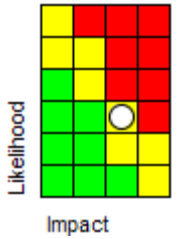
Homes and Housing

Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last updated
CR046- Introduction of Universal Credit	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Same	<p>Potential loss of HRA rented income if tenants receiving UC choose not to pay rent (Profiling of current tenants as at 20/2/17 show that there is a risk to the rent roll (circa £11 million) as there will be around 3200 tenants affected. (2380 – high risk and 820 medium risk). This does not include those tenants who have working age partners.</p>	<p>The Council operates an agency agreement with DWP to assist residents who wish to claim UC</p> <p>The Welfare Reform Group brings together a series of different disciplines and partners to ensure the Council's response to UC remains pro-active and robust</p> <p>The resources available to Housing have been increased to assist affected tenants</p> <p>There is a dedicated officer for Welfare Reform in the Tenancy Service Section. This Officer has close links with the DWP.</p> <p>There is a formalised internal process for</p>	Martin Guest; Nicky Moss; Paul Parkinson	The controls remain the same.	Financial	23-Dec-2020

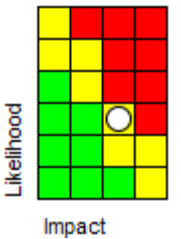
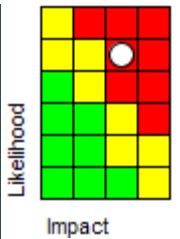
					managing UC cases				
					There is a UC action plan in place. This needs reviewing regularly especially around resource requirements to manage the process				
CR062-Ability to deliver affordable housing			same	<ul style="list-style-type: none"> • Targets not met • lack of new affordable housing going forward 	Use of S106 funding	Stuart Murray	Affordable Housing is still coming forward, although the vast majority is/will be on 100% affordable sites.	Strategic	28-Jan-2021
					Tackling empty homes				
					Close working with Planning Services				
					Work with private landlords via the Landlords Forum				
					Enforcement to tackle poor standard housing				
							ADC are still picking up s106 properties and existing privately owned properties but the pandemic is having an effect on the latter.		
							ADC now have a pipeline of developments – starting with the proposed purchase of dwellings at Davies Avenue, to start this year, followed by proposed infill schemes in Sutton, Kirkby and Hucknall. The infill schemes are		

							due to start in the new year. Risk reviewed. No change to likelihood or impact. No new concerns and actions in place to mitigate against those previously identified		
CR088- Sustainability of HRA business plan and ability to invest in current and new stock			Impact and likelihood increased, now significant	Reduction in stock numbers Reduced rental income Potential implications for the long term sustainability of the housing service	HRA health check April 2019 Monthly HRA Finance meeting Quarterly/Annual sector benchmarking	Phil Warrington	Likelihood remains high due to issues in collecting rent income, linked to pandemic and additional financial burden associating with meeting property H&S requirements of Housing White Paper.	Financial	06-Jan-2021
CR098-Ability to meet statutory obligation process timescales (eg gas servicing)		New risk May 2020		Loss of life through explosion or carbon monoxide Reportable breach to Housing Regulator Govt intervention and/or corporate manslaughter	Following current Govt guidelines in terms of evidencing all 'refusals' Tenants provided with safety leaflet relating to CO Weekly report to Housing Regulator	Chris Clipstone; Richard Davis	Due to the Coronavirus Pandemic a number of changes have been made to the Property Health and Safety Check / Service processes to adapt to the current situation. As a consequence of the Government's guidelines on social distancing / shielding	Legal & Regulatory	06-Jan-2021

							<p>etc. there is a number of gas services which are either currently past the anniversary date for completion or have been completed after the anniversary date.</p> <p>This is following the decision not to follow our usual processes to gain entry into a property whereby a Tenant does not wish to allow access due to them either shielding or their interpretation of the Government's guidelines in relation to social distancing etc.</p> <p>The decision associated with this revised gas servicing process is detailed in the following ODR:</p> <ul style="list-style-type: none">• HAA-TEC/RD-ODR183		
--	--	--	--	--	--	--	--	--	--

CR081- Temporary Accommodation – sufficient units to meet demand			Increased likelihood, now significant	Finance – higher bed and breakfast costs Statute – failure to meet statutory duty	Filter in more properties as they become available through tenancy voids. Find additional resources to manage properties.		Impact and likelihood high due to the challenges posed by high number of households seeking assistance through the pandemic. Additional units of TA sourced, winter provision in place and better move on arrangements minimise risk	Strategic	06-Jan-2021
---	---	---	---------------------------------------	--	--	--	--	------------------	-------------

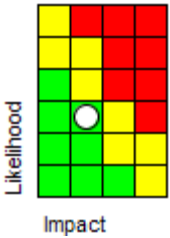
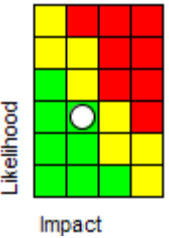
Innovate and Improve

Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last update
CR003– Ethical Governance – ability to implement changes to the Members' Code of Conduct and recommendations of the Committee on Standards in Public Life (CSPL) and Peer			Decreasing likelihood, now moderate	<ul style="list-style-type: none"> Significant resource to deal with implications of proposed Code of Conduct changes. Significant resource to deal with implications of implementing the recommendation of the CSPL 	<p>Ongoing work by the Standards and Personnel Appeals Committee in relation to the the Committee on Standards in Public Life – report on Local Government Ethical Standards</p> <p>Members received training regarding the Code of Conduct, their behaviours and roles and responsibilities as part of the induction in May 2019. In line with the Corporate Peer</p>	Ruth Dennis; Mike Joy	<p>Standards and Personnel Appeals Committee approves an annual work programme which includes an annual review. The next review will be taken to the March 2021 Committee.</p> <p>Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee</p> <p>Reports relating to the</p>	Legal & Regulatory	20-Jan-2021

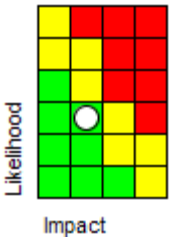
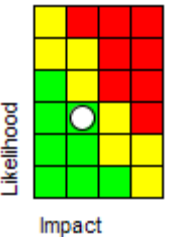
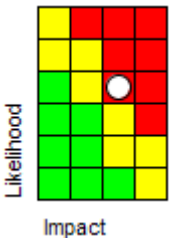
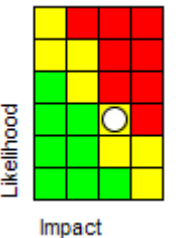
Challenge			<ul style="list-style-type: none"> · Potential for negative perception of the Council which impacts upon the Council's reputation · Potential for adverse impact upon the workings of the Council · Without new legislation does not provide holistic response to the recommendation of the CSPL 	<p>Challenge recommendation further training will be organised.</p> <p>Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee</p> <p>Responding to the LGA's consultation on its draft Model Code of Conduct.</p>		<p>Committee on Standards in Public Life – report on Local Government Ethical Standards were presented to Committee in March 2019, July 2019 and October 2019 to update members on potential changes to the current system and to consider what action the Council may be able to take to implement best practice proposals prior to any future legislative changes taking place. A further update report had been prepared for the cancelled meeting in March 2020.</p> <p>The Committee in July 2020 considered a further update report including the LGA's consultation relating to their proposed new model code of conduct which had been delayed due to Coronavirus. The Consultation was launched on 8 June. A Council response was</p>		
-----------	--	--	---	--	--	--	--	--

							submitted by the Committee. The final version was launched in December 2020 – to avoid abortive, the Council had decided not to consider adopting a new Code until after the LGA’s Model is finalised. The same was true of other related CSPL recommendations which rely upon the terms of the new Code. The finalised LGA Code was reported to Committee in December 2020 and a Working Group is being held to consider the Code and the CSPL recommendation further for reporting to Committee in March 2021.		
CR005- levels of sickness absence	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Same	<ul style="list-style-type: none"> • Productivity • Financial • Employee morale • Service delivery • Remaining staff placed under 	<p>Robust management of sickness absence procedures by managers and robust procedures – Revised Absence Mgt Policy implemented</p> <p>Effective monitoring – monthly monitoring reports highlighting</p>	Kate Hill	<p>Sickness Absence is closely monitored and HR Advisers work closely with Line Managers in supporting both managers and employees, in order for intervention to be as early as possible. Occupational Health</p>	Service delivery	18-Jan-2021

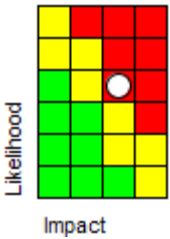
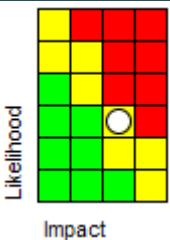
				<p>increased pressure</p> <ul style="list-style-type: none"> • Reputational damage 	<p>service area absence to assist CMG and managers in absence management</p> <p>Employee support mechanisms – Employee assistance programme implemented</p> <p>Appropriate occupational health support – Occupational Health provision reviewed</p>		<p>advice is sought to assist where applicable. Management reports are sent to managers monthly as well as quarterly meetings with Directors. Currently we are still under target</p>		
CR029–Ability to identify savings required by MTFS	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Reduced impact and likelihood, now low</p>	<ul style="list-style-type: none"> • Council cannot fund full range of services in future • Pressure on General Fund reserves 	<p>CLT and Cabinet work together to identify savings and income generation opportunities</p> <p>For 2017/18, £1m of savings have been identified, and these workshops will continue throughout 2017, with the aim of identifying a further £1m of savings/addition income for 2018/19.</p> <p>Generate additional income</p>	Pete Hudson	<p>Options to address the funding gap for 2021/22 have been identified which includes a combination of savings and use of reserves. Work will continue with CLT/Cabinet to identify further savings to address the forecast funding gaps for the future years of the MTFS. It is anticipated that there will be a significant contribution from efficiencies derived from the DST programme.</p>	Financial	06–Jan–2021

<p>CR032b-a Business Rates appeals within forecast</p>			<p>Same</p>	<p>Negative impact a MTFS ; further savings required</p>	<p>A prudent approach is taken to estimating likely successful appeals.</p>	<p>Diane Mitchell; Craig Scott</p>	<p>The VOA are currently processing all ATM assessments and removing them from the rating list, in accordance with a recent Supreme Court ruling that confirmed that ATM's should not be rated as separate assessments. As this was expected ADC was able to increase it's Appeals provision to cover these once the schedules were issued by the VOA. In addition to the ATM's we have also received some additional adjustments for Doctors Surgeries which have resulted in further reductions in the RV assessments of purpose built Doctor's Surgeries. We considered that this matter had been closed during 2019-20 as we had received a large number of adjustments (these were anticipated and covered by additional Appeals Provision). It</p>	<p>Financial</p>	<p>10-Feb- 2021</p>
--	---	---	-------------	--	---	--	--	-------------------------	-------------------------

							seems the VOA hadn't completed this task.		
CR032b-c Level of central government funding 2020 onwards	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Reduced likelihood, now moderate	Negative impact a MTFS ; further savings required	The Council will contribute to any consultation when proposals are announced, emphasising the need for resources to be allocated to deprived areas.	Pete Hudson	Due to the pandemic the Government has delayed implementing the Fair Funding Review, the Business Rates Reset and level of retention and any changes to the distribution of NHB. It is now expected that this will be implemented with effect from 2022/23. The MTFS does however assume reductions to the level of central government funding as it is expected that Districts will see a reduction, recognising the need to address national social care pressures. It is also expected that there will be financial implications as a consequence of the Government's funding response for the pandemic. These are as yet unknown.	Financial	06-Jan-2021

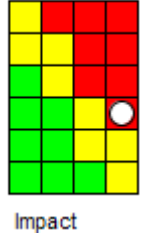
<p>CR033–Ability to achieve efficiencies and compliance from procurement reviews / improvement</p>			<p>Same</p>	<ul style="list-style-type: none"> Penalties for non-compliance with legislation Inability to meet MTFS savings targets if procurement savings not achieved 	<p>Agreement of a new Procurement Strategy setting out clear guidance for spending managers</p> <p>Particular emphasis on small value procurement (under £25k) to ensure that the Council has legally compliant processes in place</p> <p>Review of Procurement Arrangements (Shared Procurement Unit) to ensure objectives are being met</p>	<p>Chris Clarke</p>	<p>A procurement review is scheduled for 2021 and a PID has been prepared for the sign off of the sponsor (AD Corporate Services and Transformation). This will cover all facets of the procurement cycle in order to identify wastage and potential efficiencies.</p>	<p>Legal & Regulatory</p>	<p>04-Jan-2021</p>
<p>CR082– Commercial property investment</p>			<p>Increasing likelihood, now significant</p>	<ul style="list-style-type: none"> In alignment with Savings Strategy – expected reduced trading service costs/ increase income not realised Reputational impact of trading 	<p>Robust monitoring arrangements for portfolio – stability of tenant, stability of market and macro economics</p> <p>Ensure adequate lease length (greater than 7 years)</p> <p>Ensure property investment in most advantageous asset</p>	<p>Pete Hudson</p>	<p>All current Investment Property tenants are paying their rents in accordance with their contracts.</p> <p>A Leadership decision has been taken that no further out of District acquisitions will take place so as not to affect the Council's access to the PWLB as a source of borrowing.</p>	<p>Financial</p>	<p>06-Jan-2021</p>

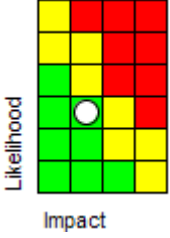
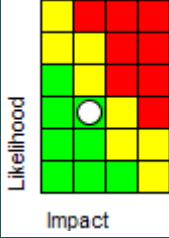
				services performing inconsistently with Council values • Alienation of customer base	class Ensure tenant has good financial standing and passes regular credit analysis (D+B) Property reserve to offset short term voids				
CR090- Workforce planning - ability to recruit and/or retain filled position to critical posts	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Same	Inability to provide critical service functions including statutory services whilst vacant Negative impact on delivery of critical functions that directly affect Corporate Plan priorities,, productivity, MTFS	Implementation of Workforce Plan Identify Critical Posts and implement strategic plan to mitigate against risks of failure to recruit/retain quality staff to these positions	Craig Bonar	Continual assessment of Impacts of Covid pandemic on delivery against essential/critical services. Targeted focus on covid information/enforcement/compliance and digital services through mix of direct employed, agency and secondments	Service delivery	21-Jan-2021

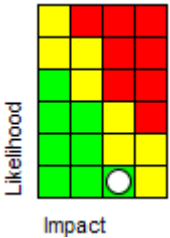
<p>CR093– Potential impact upon resource levels and capacity due to COVID 19</p>	 <p>Likelihood</p> <p>Impact</p>	<p>New risk May 2020</p>		<p>Ability to maintain service delivery both Essential Services and others Reduction in sufficient skills Reduced ability to Reduced ability to recruit</p>	<ul style="list-style-type: none"> • Maintain/update priority list of essential services • Weekly monitoring of required and available resources to provide all essential services • Highlight via monitoring of daily sit reps any ‘red flags’ • Implement contingency plans as required via redeployment, volunteers, agency, secondments to maintain required resource levels • Monitor impact on essential services weekly at CLT. 	<p>Karen Barke</p>	<p>All Essential Services continue to be provided across the Council</p>	<p>Service delivery</p>	<p>18–Jan– 2021</p>
<p>CR094–Ability to maintain service delivery due to absence levels related to COVID 19</p>	 <p>Likelihood</p> <p>Impact</p>	<p>New risk May 2020</p>		<p>Failure to temporarily maintain service delivery both Essential Services and Core Services</p>	<ul style="list-style-type: none"> • Maintain/update priority list of essential services • Weekly monitoring of required and available resources to provide all essential services • Highlight via 	<p>Karen Barke</p>	<p>Whilst the risk has remained the same there has been some impact in service areas especially in relation to employees self-isolating. The current strain of COVID– 19 is more contagious which is having an impact,</p>	<p>Service delivery</p>	<p>18–Jan– 2021</p>

				<p>Increased levels of anxiety amongst workforce</p> <p>Unsustainable work pressures on a reduced number of present employees</p> <p>Spikes in work pressures on managers and HR to manage spikes in absence including self-isolation requirements</p>	<p>monitoring of daily sit reps any 'red flags'</p> <ul style="list-style-type: none"> Implement contingency plans as required via redeployment, volunteers, agency, secondments to maintain required resource levels Monitor impact on essential services weekly at CLT. Robust monitoring and management of self-isolation requirements Robust application of HR policies and guidance to ensure timely, consistent approach Robust application of workplace Covid safe, risk assessments 		<p>although services are continuing</p> <p>All Essential Services and Core Services continue to be provided across the Council</p>		
CR096-Loss / delays in receipt of key income sources	 <p>Likelihood</p>	New risk May 2020		<p>Loss of income - increased write offs. Delays in receiving</p>	<p>Government deferral of paying Central Business Rates contribution until end of June 2020.</p> <p>Reserve to cushion</p>	Pete Hudson	<p>The impact of the pandemic will undoubtedly result in the permanent loss of some income and a delay in</p>	Financial	06-Jan-2021

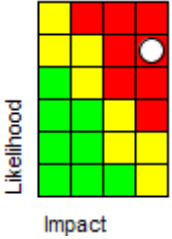
Impact

(Business Rates, Council Tax, Housing and Investment Property Rents)				income leading to potential cashflow issues. Increased debt management and recovery costs. Potential impact on payment of preceptors and having sufficient income to meet cost obligations as they fall due.	delays in payment of Investment Property income. Arrangements in place with some Investment Property tenants re agreed delays in rent income. (Exceptions basis only). Currently expected that all accounts will be up to date by 31/03/21. Healthy HRA balances to manage short term cashflow issues from reductions/delays in housing rent Option to scale back costs associated with non-critical functions.		recovering some income also. Some, but not all of this loss is being mitigated by additional Government funding. Measures are in place to continuously monitor this and pressures will be reported through to Cabinet via the periodic Financial Monitoring Reports.		
CR097-Ability to adhere to Data Protection regulations with increased remote working (physical and digital data)	 <p>Likelihood</p> <p>Impact</p>	New risk May 2020		Data Protection breaches could, if investigated by the ICO and the Council is found to be at fault could lead to significant fines.	IT Security Policies IT Security DPA/GDPR information and policies available on the intranet Staff training as part of GDPR implementation DP and Agile working Guidance and risk	Ruth Dennis	Close monitoring of breach reports continues and has not identified an increase in the number of breaches during the pandemic and of those breaches reported none have been so serious as to require reporting to the ICO or to have been specifically caused by remote working	Legal & Regulatory Risk	20-Jan-2021

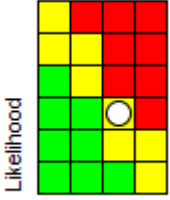
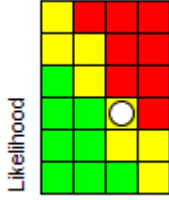
				Reputational issues Potential harmful consequences for the individuals whose data has been lost - could be financial, could be	assessment information produced and circulated to managers during the COVID 19 response		arrangements. Close monitoring will continue		
CR100-Brexit			Same		Internal officers working group monitoring impact and headline assessments of potential impact and risk levels	Craig Bonar	Internal Officers group focus now aligned to monitoring impacts of post EU Exit and negotiated trade deal especially on supply chains, fuel, materials, economic and business viability.	Strategic	21-Jan-2021
					Briefings to CLT				
					Input and participate in LRF contingency planning and measures including weekly Sit Rep Status Report and Monthly Tele-Conferences		Currently, Council is declaring a Green Flag status as is Nottinghamshire LRF. This means that there are no significant impacts or issues currently being monitored.		
					Internal Action Plan with lead officer being implemented				
					Input and participate in				

					<p>LRF contingency planning and measures including weekly Sit Rep Status Report and Monthly Tele-Conferences</p>		<p>Expected that impacts will start to flag once national contingency of stock piling supplies are utilised</p>		
<p>CR095- Governance and decision making-</p>		<p>New risk May 2020</p>	<p>During the COVID19 pandemic, increased risk of decisions being made outside "normal" governance structure due to the need to react quickly to constantly changing situation</p>	<p>Decision making guidance issued to officers</p> <p>Amended Constitution to give greater flexibility during emergency approved at the AGM 23 April 2020</p> <p>A COVID-19 decision log is being maintained to cross reference to mod.gov and records.</p> <p>Constant dialogue and communications across CLT to ensure tracking of decisions being taken</p> <p>Appropriate use of decision urgency provisions</p> <p>Cabinet Report on 30 June updated Members</p>	<p>Ruth Dennis</p>	<p>During the initial phase of the pandemic response in March 2020 the risk of decisions being made outside of the normal governance processes was high due to the quick moving situation when the Council was required to react immediately to ever changing government guidance - decisions taken during this time were made by the Leader or CEO in direct response to a government requirement. The Cabinet report for 30 June identified these decisions and where detailed in a Decision Log.</p> <p>In light of the mitigating actions put in place and the return to a normal schedule of meetings (held virtually) the level of risk has now significantly reduced such that decision making continues to fit within the appropriate governance processes at present.</p>	<p>Legal & Regulatory Risk</p>	<p>20-Jan-2021</p>	

							Urgency provisions and delegated powers are utilised for urgent decisions, such as when new lockdown measures or restrictions are put in place at short notice.		
CR099- Effective Strategic Leadership of a Robust Coronavirus recovery plan		New risk May 2020	<p>Failure to have effective recovery plans in place</p> <p>Failure to maximise partnerships and work with third sector to mitigate against Covid impacts</p> <p>Failure to review and prioritise key actions and activities to support recovery</p> <p>Ineffective allocation of capacity and resources</p> <p>Failure to embed new ways of working and delivery</p>	<p>CLT to act as ADC Recovery Plan drivers</p> <p>Weekly recovery update to CLT and Leadership meeting</p> <p>Ensuring suitable representation and input in LRF-Recovery Planning and Groups</p>	Craig Bonar	<p>Priority of LRF remains a key focus on Covid Response due to current spike in cases and Lockdown 3 restrictions.</p> <p>Recovery actions continue to be progressed in the background including embedding of remote working, developing digital services to enhance customer accessibility and on-line services, business support measures.</p>	Strategic	21-Jan-2021	

<p>Risks Associated with Holding Elections in May 2021 During Ongoing COVID Pandemic.</p>		<p>New Risk Jan 2021</p>		<p>Risk of costs not being covered</p> <p>Risk of exposure to COVID for officers and pollers.</p>	<p>County Wide NCC/PCC Elections Project Group established which meets regularly.</p>	<p>Ruth Dennis</p>	<p>Election costs for May 2021 should be split between NCC and Cabinet Officer funding. There is concern relating to full costs recover for COVID related expenditure in the event Cabinet Office does not accept the spend, and/or abortive costs recovery in the event the elections are postponed.</p> <p>Overarching to that there is a County Wide NCC/PCC Elections Project Group established which also meets regularly.</p> <p>The Council is now at the stage where it will incur actual costs in preparation for the scheduled elections in May 2021. Election costs for May 2021 will be split between NCC and Cabinet Officer funding.</p>	<p>Legal & Regulatory Risk</p>	<p>22-Jan-21</p>

Safer and Stronger

Title	Current Risk Matrix Q2/Q3	Previous Matrix Q2/Q3	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Risk type	Last update
CR083–Ability to Support and Safeguard Vulnerable people	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Same		Corporate Vulnerability and Safeguarding Working Groups meets quarterly to discuss legislative changes to Safeguarding practice	Nicky Moss	<p>The controls remain the same.</p> <p>There is an action plan in place for Corporate Safeguarding 2021.</p>	Service delivery	23-Dec-2020
					Mandatory training provided to all employees on Safeguarding				
					Tri-X Safeguarding Policy available to employees.				
					Safeguarding information available on the intranet for all employees.				
					Named safeguarding lead contacts available within the Council				
					Formal mechanisms in place to record and monitor referrals to manage reported cases and support and safeguard vulnerable people.				