

# Corporate Risk Register

9<sup>th</sup> February 2023



Rows are sorted by Objective

Trend: Constant 9 Decreasing 4 Increasing 3

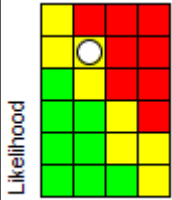
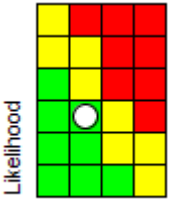
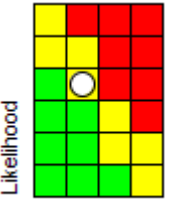
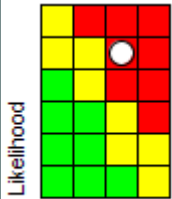
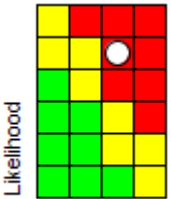
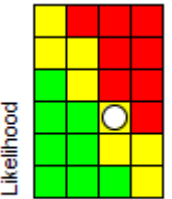
## Financial

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Ability to identify savings required by MTFS				increasing	<ul style="list-style-type: none"> <li>• Council cannot fund full range of services in future</li> <li>• Pressure on General Fund reserves</li> </ul>	CLT and Cabinet work together to identify savings and income generation opportunities and to consider use of reserves in setting the budget for each year	Pete Hudson	The Council will continue with its ongoing Service Review Programme, DST Programme and reviewing opportunities to generate additional or new income streams. These will continue to deliver efficiencies and savings going forward to help address future financial challenges. The December 2022 Provisional Finance Settlement confirmed	12-Jan-2023

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
								<p>that Local Government Finance Reform will not now happen for at least the next two financial years which provides greater core funding certainty for at least another two years.</p> <p>The Council has set aside some funding in reserves to help cushion the impact of expected reductions in central government funding but this will be insufficient on its own without some significant cost efficiencies from service reviews, the DST programme efficiencies, procurement savings and additional income generation.</p>	

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Business Rates appeals within forecast				Constant	Negative impact a MTFS ; further savings required	A prudent approach is taken to estimating likely successful appeals.	Tammy Fox; Diane Mitchell	The Business Rates Appeals provision is set based upon a careful assessment of outstanding appeals, taking into account as far as possible, new Appeals received during the current financial year. The Appeals provision is always set to be sufficient to cover the expected successful appeals during the financial year.	04-Jan-2023
Level of central government funding 2022 onwards				Increasing	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	The December 2022 Provisional Finance Settlement confirmed that Local Government Finance Reform will not now happen for at least the next two financial years which provides greater core funding certainty for at least another two years. However, core funding level certainty	12-Jan-2023

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
								<p>beyond 2024/25 remains uncertain. The current and forecast level of inflation in the economy is also placing pressure on Council resources. The Council has healthy reserves which will help to mitigate funding pressures in the short term. Additionally, the Council's Outturn for 2022/23 is currently expected to be within budget..The next 2 years will be critical to identify recurrent savings to meet expected financial challenges beyond 2024/25 when core Government funding is expected to significantly reduce.</p>	

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Introduction of Universal Credit	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Decreasing	<ul style="list-style-type: none"> <li>Potential loss of HRA rental income if tenants receiving UC choose not to pay their rent e.g. they spend this on elsewhere.</li> </ul>	<p>The CAB operates an agency agreement with the DWP to assist residents who wish to claim UC. The Council has referral arrangements in place with the CAB. ; Income Officers within the Income Team have all been trained to deal with UC cases. ; There is a formalised internal process for managing UC cases</p>	Nicky Moss; Paul Parkinson	The impact, likelihood and controls have been reviewed and remain unchanged. Managed migration of UC from HB is progressing.	16-Dec-2022
Sustainability of HRA business plan and ability to invest in current and new stock	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Constant	<ul style="list-style-type: none"> <li>Inability to provide services and meet regulatory requirements</li> <li>Inability to build new housing stock</li> <li>Inability to cross fund general fund services</li> </ul>	<p>Regular review of HRA 30 Year Business Plan</p> <p>White Paper Action Plan</p>	Phil Warrington	<p>No change to likelihood or impact.</p> <p>Rent cap determined (nationally) and currently modelling implications for the Business Plan using different scenarios. Cabinet approval of proposed rent</p>	12-Dec-2022

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								increase to be considered in the New Year. Pressures on expenditure remain higher given spending on CO2 alarms and future carbon reduction targets.	
Ability to deliver Towns Fund and Future High Streets Programme				Constant	<p>Opportunity lost to regenerate and re-purpose town centres and local centres</p> <p>Reputational damage</p>	<p>Specialists appointed to support business case development for Towns Fund and Future High Streets Funding projects ; Future High Streets Fund and Towns Fund delivery monitored through Pentana, Regen, Board and Discover Ashfield Board ; Team structure being reviewed to ensure sufficient resource</p>	Sarah Daniel	The 21 projects within the programme were reviewed and recommendations were approved by ADC/Discover Ashfield Board to move funding between projects to help address the issues caused by inflation. This included the removal of one project – Portland Street Sustainable Housing as the business case showed that the project wasn't viable, the funding was reallocated to other projects. All changes	04-Jan-2023

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								are subject to approval by DLUCH, expected Jan/Feb 2023.	
Loss / delays in receipt of key income sources (Business Rates, Council Tax, Housing and Investment Property Rents)				Constant	Loss of income – increased write offs. Delays in receiving 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.	Government deferral of paying Central Business Rates contribution until end of June 2020. ; Reserve to cushion 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	Pete Hudson	The impact of increasing inflation in the economy is likely to result in some permanent reductions in some income sources and delays in income receipts. This is monitored on an ongoing basis and key impacts reported through to CLT and Cabinet via Financial Monitoring reports. CIWG also receives regular update reports regarding Investment and Commercial Property income performance with twice yearly reports to Audit Committee, although it is not currently anticipated that income from	12-Jan-2023

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						reductions/delays in housing rent ; Option to scale back costs associated with non-critical functions.		these will be reduced. Any significant permanent loss of income will be reflected in updates to the MTFS.	

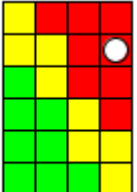
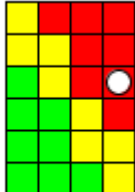



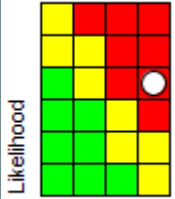
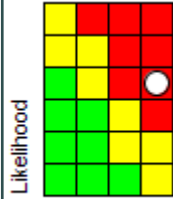
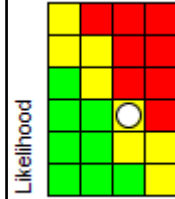
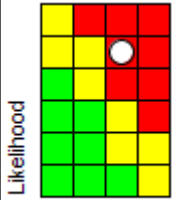
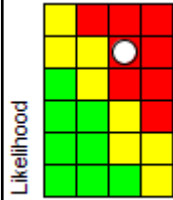
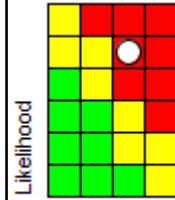
Legal & Regulatory Risk

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
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 Challenge				Constant	<ul style="list-style-type: none"> <li>• Significant resource to deal with implications of proposed Code of Conduct changes.</li> <li>• Significant resource to deal with implications of implementing the recommendation of the CSPL</li> <li>• Potential for negative perception of the Council which impacts upon the Council's reputation</li> <li>• Potential for adverse impact upon the</li> </ul>	<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 ; Members received training regarding the Code of Conduct, their behaviours and roles as part of the induction in May 2019. In line with the Corporate Peer Challenge recommendation further training will be organised.</p> <p>; Present Quarterly Complaint</p>	Ruth Dennis; Michael Joy	<p>Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee</p> <p>Numerous reports relating to the Committee on Standards in Public Life - report on Local Government Ethical Standards have been presented to Committee in 2019, 2020, 2021 and 2022.</p> <p>The Standards and Personnel Appeals Committee approves a work plan each municipal year. Items for approval were presented at the Committee meetings during 2021/22</p>	12-Jan-2023

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					<p>workings of the Council</p> <ul style="list-style-type: none"> <li>Without new legislation does not provide holistic response to the recommendation of the CSPL</li> </ul>	<p>Monitoring reports to Standards and Personnel (Appeals) Committee ; Responding to the LGA's consultation on its draft Model Code of Conduct.</p>		<p>relating to use of resources and gifts and hospitality. The approved work plan for 2022/23 includes further work relating to the implementation of the CSPL best practice recommendations which remain outstanding.</p> <p>The Committee in March 2021 recommended a revised Code of Conduct to the Council AGM. The Council at its AGM on 20 May 2021 approved the revised Code which incorporates elements of the LGA Model Code. The LGA has produced a toolkit to facilitate training which will be reviewed</p>	

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								<p>and implemented as part of the induction programme for Members following the elections in May 2023.</p> <p>The Corporate Peer Challenge team recommended training for Members and Officers in relation to the roles and responsibilities of Members and officers. A revised Members' Development Strategy was approved in December 2021. SOLACE has facilitated training with Cabinet Members in the first instance regarding their roles and responsibilities.</p> <p>As part of the 2022/23 work plan, the Standards Committee will also be</p>	

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								looking to develop the induction programme for Members following the May 2023 District Elections. As part of the induction programme for Members after the elections in May 2023 further training will be provided regarding the Code of Conduct and Members' roles and responsibilities; the LGA will provide support regarding this training.	
Having an adopted LDF / Local Plan	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Decreasing	<ul style="list-style-type: none"> <li>• Diminish ability to stimulate economic growth</li> <li>• Increase likelihood of a developer lead approach to devt.</li> <li>• Maximises potential for a significant award of costs against the authority</li> </ul>	Regular engagement with Members to bring them on board ; Keeping abreast of latest challenges; work with Planning Advisory Service and Planning Inspectorate ; Keeping a clear audit trail of engagements with	Christine Sarris	The cabinet has agreed scenario B which means officers can now progress to the next stage of consultation in developing the final Local Plan. Government is producing more guidance which appears to suit the	01-Jan-2023

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					<ul style="list-style-type: none"> <li>Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set back timetable.</li> <li>If plan requires subsequent revision, will add delays.</li> </ul>	developers and consultees ; work with Elected Members to address concerns ; Provide professional guidance		direction of the Council better in that there is more suggested flexibility around housing numbers. This has yet to go into legislation and will be explored with the planning inspectorate in February. -CS	
Planning appeals	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Constant			Christine Sarris	There have been no major decisions to influence the current position. -CS	01-Jan-2023
Ability to meet statutory obligation process timescales (eg gas servicing, CO alarm installation)	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Constant	Loss of life through explosion or carbon monoxide poisoning Reportable breach to Housing Regulator Govt intervention and/or corporate	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	The completion of the PH&SC/S still remains challenging and encounters numerous difficult access properties who are reluctant to provide access to their home for these essential services to be completed and we are	12-Dec-2022

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					manslaughter			<p>encountering more situations where we are having to seek Court action.</p> <p>With regards to CO installations, there are a small number of installs outstanding despite numerous attempts to engage with the occupants.</p>	
Ability to comply with the regulatory regime set out by the Regulator of Social Housing	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Increasing	<ul style="list-style-type: none"> <li>• Health and Safety prosecutions.</li> <li>• Appearing on the Regulator of Social housing's 'Watch List'.</li> <li>• Regulator Inspections.</li> <li>• Inspection downgrade following inspections.</li> <li>• Regulatory downgrade from current status.</li> </ul>	<ul style="list-style-type: none"> <li>. Monthly updates at DMT against the Housing and Asset Corporate Risks to identify early warning indicators and tolerances</li> <li>. Monthly review/updates against Social Housing White Paper Action Plan</li> <li>. Quarterly reports on performance on Complaints</li> <li>. Monthly updates to DMT on</li> </ul>	Nicky Moss	<p>A Housing Performance and Insight Officer is currently being advertised (4th time)</p> <p>The DMA review will determine the way forward with the responsible Health and Safety Officer. Work is underway across Housing in order to meet the requirements of the Regulator of Social Housing.</p>	16-Dec-2022

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					<ul style="list-style-type: none"> <li>• Unlimited fines.</li> <li>• Removal of the Housing Stock.</li> <li>• Reputational damage to the Council.</li> </ul>	determinations from the Housing Ombudsman and failings from the Regulator of Social Housing for the sector . Quarterly updates on our position against Regulatory Consumer Standards . Quarterly key performance indicator report . Quarterly review of Tenant Satisfaction Measures . Quarterly FLEGAL update report		There has been recent increased regulatory interest in areas such as CO alarms and Damp and Mould have identified that the data within the Assets database is incomplete and not readily available, leading to re-prioritisation of work on each occasion within IT and Assets – this is due to being under resourced in these areas.	
Ability to successfully implement the new legal requirements placed up on	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Decreasing (six months – New Risk)	Risk of non-compliance with new legislation due to lack of timely clarity and detailed guidance	Service Review to implement new structure in accordance with Council process to ensure the Council	Ruth Dennis	The likelihood of failing to implement the new legal requirements brought about by the Elections Act 2022 had reduced	09-Feb-2023

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the Council as a result of the Elections Act 2022					from Government in relation to new requirements under the Elections Act 2022 and lack of information of new burdens funding in order to plan resourcing accurately.	has the right resources in place to meet existing and new service demands ; Develop and implement project plan for the implementation of the Election Act requirements. ; Develop and keep under review detailed Risk Register as part of Project Plan ; Regular project meetings with key staff across the Council ; Communications / engagement plan as part of the project plan ; Keep abreast of Government and sector guidance and advice. ; Collaborate with		in recent weeks following the release of guidance and further guidance is expected. The inability to accurately predict the level of applications and resource needed to deal with voter authority certificates and other impacts of the new legal requirements continue to make it incredibly difficult to accurately plan, however. Voter authority certificate applications went live a couple of weeks ago and Government has commenced its national publicity campaign. The Council has also commenced its own communications to encourage people to	



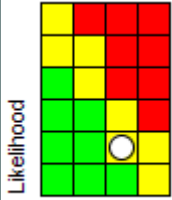

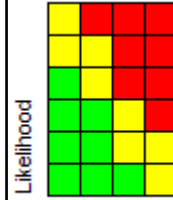
Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
						peers		make applications as early as possible which will assist with the flow and resourcing of applications. The Council will also be publishing information in the next Ashfield Matters. An engagement strategy is being finalised. Staff have attended training sessions regarding the Voter ID application process. The Council has started to receive small numbers of Voter Authority Certificate applications and the processing of these applications has not cause any concerns to date; plans are being formulated to ensure sufficient capacity in the event of significant numbers of	

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								<p>applications being received over a short period of time and for the issuing of temporary voter authority certificates in the final days before the election. The Government has providing initial confirmation of grant funding for additional resources and equipment for 2022 and 2023. Detailed information regarding justification led bids for additional funding is expected. It is also understand further grants will be made available in April but the full extent of funding is not yet known. As concerns remain regarding the adequacy of funding the Council is looking to ensure adequate</p>	

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								<p>funding is available to enable appropriate levels of resource are available to ensure the Council can meet its legal duties.</p> <p>In light of the vacancy in the team, consultant resource is now in place until the election to provide expert guidance and planning.</p> <p>Project Groups and plans are now in place in respect of both the Elections Act requirements and for the Election itself. An election risk register, integrity plan and project plan are all now in place and plans for additional resourcing both in terms of the day to day requirements and as emergency back stops in the event of</p>	

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								very high application/registration demands. Officers meet with the Electoral Commission this week to discuss plans and contingencies.	

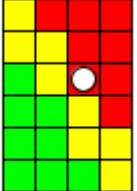
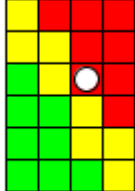

Reputational

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Leisure Centre - Ability to complete the project on time, within budget and within scope	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Constant	Reputational damage Delay on delivery benefits	Project programme established, with realistic timescales set, allowing for delays. Regular meetings held with project group where programme is monitored. When construction starts progress will be reviewed at fortnightly site meetings and monthly Steering Group meetings. Liquidated damages included in contract documents. Contractor required to produce detailed programme of works and to produce action plan to rectify delay if work falls behind programme.	Theresa Hodgkinson; Darowen Jones	Project programme established, with realistic timescales set, allowing for delays. Regular meetings held with project group where programme is monitored. When construction starts progress will be reviewed at fortnightly site meetings and monthly Steering Group meetings. Liquidated damages included in contract documents. Contractor required to produce detailed programme of works and to produce action plan to rectify delay if work falls behind programme.	12-Jan-2023

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
						Reputational Damage due to cost/ time overrun and all Publicity and contact with media to be managed by Corporate Communications section. Project manager being appointed to ensure that the project is kept to programme and costs.		Reputational Damage due to cost/ time overrun and all Publicity and contact with media to be managed by Corporate Communications section. Project manager being appointed to ensure that the project is kept to programme and costs.	

Service Delivery

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Levels of sickness absence	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	Decreasing	<ul style="list-style-type: none"> <li>• Productivity</li> <li>• Financial</li> <li>• Employee morale</li> <li>• Service delivery</li> <li>• Remaining staff placed under increased pressure</li> <li>• Reputational damage</li> </ul>	Robust management of sickness absence procedures by managers and robust procedures – Revised Absence Mgt Policy implemented ; Effective monitoring – monthly monitoring reports highlighting service area absence to assist CMG and managers in absence management ; Employee support mechanisms – Employee assistance programme implemented ; Appropriate occupational health support – Occupational Health	Kate Hill; Nikki Morris	Absence data for Quarter 3 is only for 2 months (October and November 2022 only)  As of November's stats absence is reporting at 7.29 FTE, over the target of 7 FTE	22-Dec-2022

Title	Matrix 12 months ago	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
						provision reviewed			
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>	 <p>Likelihood</p> <p>Impact</p>	Constant	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	<p>Remains a significant risk due to ongoing challenges with recruitment and retention within an increasingly competitive market, reduced candidate pool, lifestyle changes.</p> <p>Fundamental review of recruitment (by external consultant) within the Council now completed c/w recommendations and action plan. Consideration being given to implementing priority actions.</p> <p>Redesigning adverts and content to make more attractive to potential applicants</p> <p>Support to managers</p>	15-Dec-2022



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								<p>in mitigating against recruitment challenges through 'grow our own', succession planning, career grading, use of graduates, apprentices, trainees.</p> <p>Support to managers to increase pool of applicants through identifying candidates with 'potential' to develop within role, given development support.</p> <p>Use of market supplements ongoing where appropriate.</p> <p>External benchmark and assessment of pay and grading structure underway.</p>	