

# Corporate Risk Register

6<sup>th</sup> June 2023



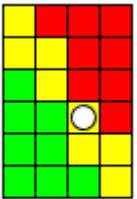
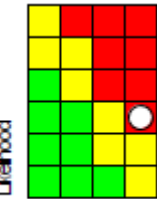
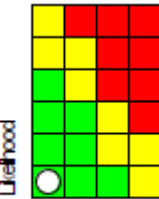
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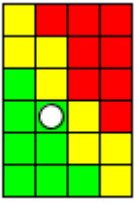
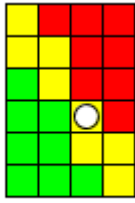
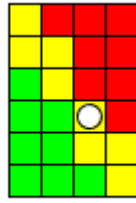
Annual Trend: Constant Decreasing 6 Increasing 3

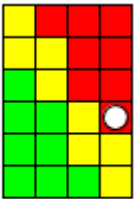
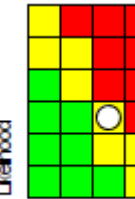
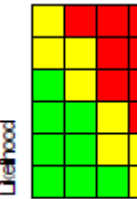
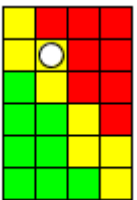

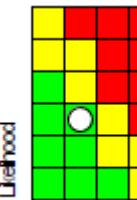
## Financial

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Ability to identify savings required by MTFS				Constant	<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	<p>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</p>	11-Apr-2023

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	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	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Level of central government funding 2022 onwards	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Increased from medium to significant over last 12 months	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 now provides greater core funding certainty for at least another two years (23/24 and 24/25). However, core funding level certainty 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	11-Apr-2023

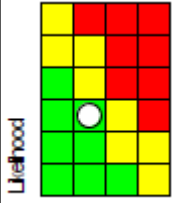
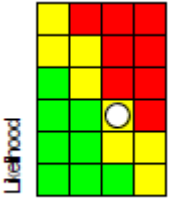
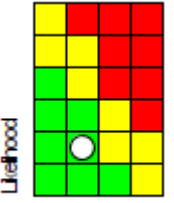
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
								2022/23 is currently expected to be within budget. The next 2 years will be critical to identify recurrent savings to meet expected financial challenges beyond 2024/25 when core Government funding is expected to significantly reduce.	
Sustainability of HRA business plan and ability to invest in current and new stock	 <p>Lielihood</p> <p>Impact</p>	 <p>Lielihood</p> <p>Impact</p>	 <p>Lielihood</p> <p>Impact</p>	Reduced from significant to medium over last 12 months.	<p>Inability to provide services and meet regulatory requirements</p> <p>Inability to build new housing stock</p> <p>Inability to cross fund general fund services</p>	<p>Regular review of HRA 30 Year Business Plan</p> <p>White Paper Action Plan</p>	Phil Warrington	Review conducted. Will continue to be ongoing pressures on the HRA from H&S related and carbon reduction obligations but under constant review and being managed effectively.	04-Apr-2023

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Ability to deliver Regeneration Programmes	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	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	<p>Risk is generally reducing as all business cases have been completed and build projects are reaching later stages of RIBA. Project management arrangements have been reviewed to ensure projects progress at the required pace</p>	02-June-2023
Loss / delays in receipt of key income sources (Business Rates, Council Tax, Housing and Investment Property Rents)	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Increased from medium to significant – increasing impact	<p>Loss of income – increased write offs.</p> <p>Delays in receiving income leading to potential cashflow issues. Increased debt management and recovery costs.</p>	<p>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</p>	Pete Hudson	<p>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</p>	11-Apr-2023

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
					Potential impact on payment of preceptors and having sufficient income to meet cost obligations as they fall due.	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.		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. Due to the impact of the Covid pandemic the Hotel Investment Property will need some financial support in 2023/24 with the expectation that this financial support will be recouped over the remaining term of the lease. The Investment Property at Rotherham is now vacant and a new tenant is currently being sourced. Funding has been set aside in a reserve to help meet the income	

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								losses arising from void periods. Should there be any significant permanent loss of income, this will be reflected in updates to the MTFS.	

Legal & Regulatory Risk

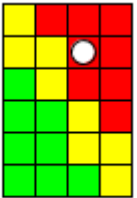

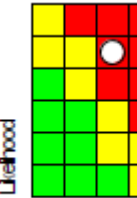
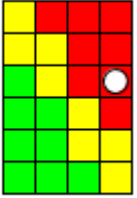

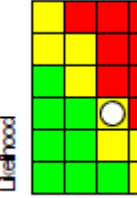
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Ethical Governance - ability to implement changes to the Members' Code of Conduct and recommendations of the Committee on Standards in Public Life (CSPL) and Peer Challenge	 <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>• 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>Quarterly Complaint Monitoring reports presented 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 over the past 4 years.</p> <p>The Council at its AGM on 20 May 2021 approved the revised Code which incorporates elements of the LGA Model Code.</p>	19-May-2023



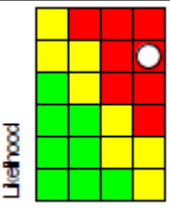
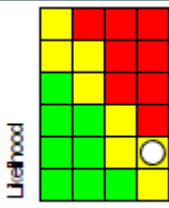
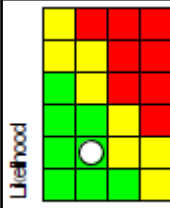
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
					<p>workings of the Council</p> <ul style="list-style-type: none"> <li>Without new legislation does not provide holistic response to the recommendation 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>The Standards and Personnel Appeals Committee approves a work plan each municipal year. Items for approval for 2023/24 will be presented at the Committee meeting in June 2023. The proposed work plan for 2023/24 will include a piece of work reviewing the Members' Code of Conduct and related policies and procedure. An Internal Audit Review will be undertaken shortly to inform this work.</p> <p>The Corporate Peer Challenge team recommended training for Members and Officers in relation to the roles and responsibilities of</p>	

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								<p>Members and officers. A revised Members' Development Strategy was approved in December 2021. SOLACE has facilitated training with Cabinet Members regarding their roles and responsibilities.</p> <p>As part of the induction programme for Members after the elections in May 2023 ethical governance training will be provided to all Members which included the Code of Conduct and Members' roles and responsibilities; the LGA supported this training.</p>	

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Having an adopted LDF / Local Plan				Remains significant with reducing likelihood	<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> <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>	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 developers and consultees ; work with Elected Members to address concerns ; Provide professional guidance	Christine Sarris	Uncertainty around government housing numbers and legislation/local political agenda	27-Apr-2023
Planning appeals				Constant			Christine Sarris	The position has slightly improved however there is limited room for manoeuvre	27-Apr-2023

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
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 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	<p>The completion of the PH&amp;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 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>	04-Apr-2023
Ability to comply with the regulatory regime set out by the Regulator of	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Remains significant, probability has increased	<ul style="list-style-type: none"> <li>Health and Safety prosecutions.</li> <li>Appearing on the Regulator of Social housing's</li> </ul>	. Monthly updates at DMT against the Housing and Asset Corporate Risks to identify early warning indicators	Nicky Moss	The Housing Performance and Insight Officer (a key new post which is required to work on regulatory	30-May-2023

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Social Housing					<p>‘Watch List’.</p> <ul style="list-style-type: none"> <li>• Regulator Inspections.</li> <li>• Inspection downgrade following inspections.</li> <li>• Regulatory downgrade from current status.</li> <li>• Unlimited fines.</li> <li>• Removal of the Housing Stock.</li> <li>• Reputational damage to the Council.</li> </ul>	<p>and tolerances</p> <ul style="list-style-type: none"> <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 determinations from the Housing Ombudsman and failings from the Regulator of Social Housing for the sector</li> <li>. Quarterly updates on our position against Regulatory Consumer Standards</li> <li>. Quarterly key performance indicator report</li> <li>. Quarterly review of Tenant Satisfaction Measures</li> <li>. Quarterly FLEGAL</li> </ul>		<p>requirements) has been advertised with a market supplement 4 times, without success. A review of the market supplement is being undertaken by HR with a view to increasing this, so that the salary is comparable with other social housing landlords. The responsible Health and Safety Officer is now in place. Work is underway across Housing in order to meet the requirements of the Regulator of Social Housing. Additional resources (agency worker) are being sought to assist with the work required.</p> <p>There has been recent increased regulatory</p>	

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						update report		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 the Council as a result of the Elections Act 2022	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium over the last 12 months	Risk of non-compliance with new legislation due to lack of timely clarity and detailed guidance from Government in relation to new requirements under the Elections Act 2022 and lack of information of new burdens	Service Review to implement new structure in accordance with Council process to ensure the Council has the right resources in place to meet existing and new service demands ; Develop and implement project plan for the	Ruth Dennis	The likelihood of failing to implement the new legal requirements brought about by the Elections Act 2022 has significantly reduced following the successful implementation of these during the District Elections in May 2023.	19-May-2023

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					funding in order to plan resourcing accurately.	<p>implementation of the Election Act requirements.</p> <ul style="list-style-type: none"> <li>; Develop and keep under review detailed Risk Register as part of Project Plan</li> <li>; Regular project meetings with key staff across the Council</li> <li>; Communications / engagement plan as part of the project plan</li> <li>; Keep abreast of Government and sector guidance and advice.</li> <li>; Collaborate with peers</li> </ul> <p>Establish a Member Working Group</p>		<p>Voter authority certificate applications were processed by the Council in the lead up to the election. Due to the low numbers of applications, the resources the Council put in place were able to deal with these successfully The Council carried out its own varied communications plan to encourage people to make applications as early as possible which may have assisted with the flow and resourcing of applications.</p> <p>The Council has submitted required data collected on election day in respect of Voter ID, the used of Voter Authority Certificates, use of</p>	

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								<p>privacy areas and other accessibility measures.to DLUHC. The Government will reflect on the implementation of the new requirements and will publish findings in due course which might require changes to the Council's approached in future years.</p> <p>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 also expected. The costs of the new legal requirements for the May 2023 elections and projections for</p>	



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								<p>elections scheduled in 2024 will be analysed following the election to assess against funding already received and expected with a view to maximising justification led bids as appropriate for costs incurred (or which we expect to incur) which are not covered already by grant funding.</p> <p>Lessons learnt from the elections in May 2023 will be taken in account for the preparation of the election risk register, integrity plan and project plan for elections due to take place in 2024.</p> <p>A Member Working Group will be</p>	

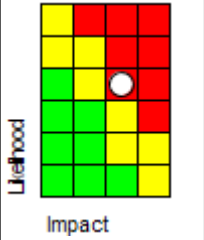
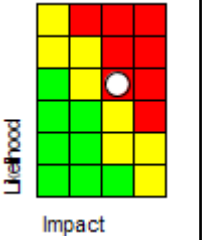
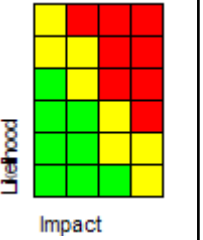
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								established at the July Council meeting the scope of which will include a review of the ongoing risks (level of risk and ongoing monitoring) associated with the new requirements of the Elections Act 2022 and the impacts of embedding these into the election and electoral registration processes for future elections including funding	

Service Delivery

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment
Levels of sickness absence				Remains medium over the last 12 months with reducing impact and increasing probability	<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	Nikki Morris; Rachel Ward	Year to date absence is currently 9.62FTE which is over target by 0.87FTE, as of February 2023, March absence is still to be included. At this rate the estimated yearly outturn will be c.10.5 FTE. The main cause of absence is long term.  A number of measures are being taken to address rising absence stats such as:  1. Review of Attendance Management Policy to ensure a more streamline, fit for purpose policy is embedded	02-May-2023

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						provision reviewed		<p>2. HR are undertaking training for new managers and refresher training current managers to help them apply AMP and manage absence. This is currently on an adhoc basis however there will be a full training program as part of the launch of the revised policy</p> <p>3. Ongoing robust management of absence cases and HR work closely with managers accordingly.</p> <p>4. Improved communications in regards to wellbeing support mechanisms in place to facilitate employees back in to the workplace or remain in work.</p>	

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								<p>5. Well Being day undertaken at Northern Depot and Council Offices which focussed on muscular skeletal, mental health and menopause</p> <p>6. Review of wellbeing initiatives and working with Health and Wellbeing to look at targeted interventions to raise awareness and signpost for support</p> <p>7. Continue to provide statistical data and information to CLT for discussion</p> <p>8. Absence data reviewed within HR for targeted actions.</p>	

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Workforce planning - ability to recruit and/or retain filled position to critical posts				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 in mitigating against</p>	26-Apr-2023

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								<p>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>	