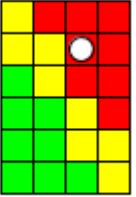
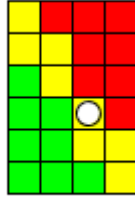

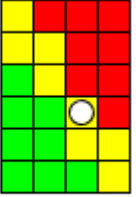
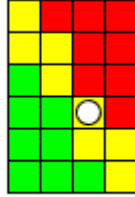
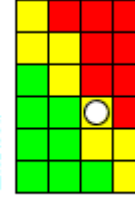
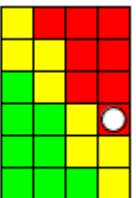
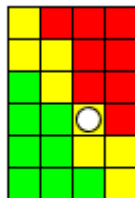



Rows are sorted by Objective

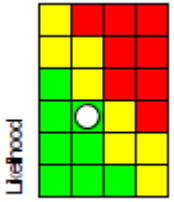
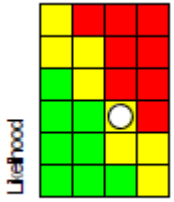
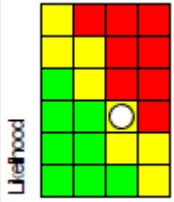
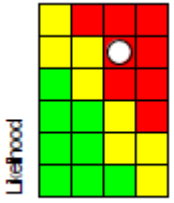
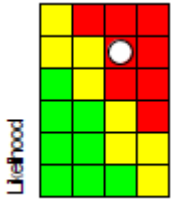
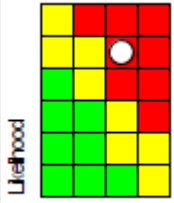
Trend: Constant 6 Decreasing 7

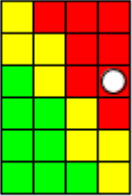
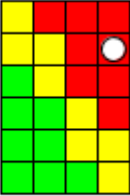
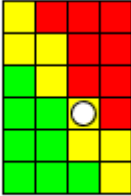
Economic Growth and Place Priority

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Having an adopted LDF / Local Plan	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium	<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 • Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set back timetable. • If plan requires subsequent revision, will add delays. 	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	The Local Plan has progressed to the Regulation 19 stage. Currently awaiting Full Council approval to consult. There are risks associated with the plan moving forward. These have been identified in reports. Members and officers have worked hard together to minimise the risks particularly is association with the housing number and green belt issues. There are still likely to be some challenges but we Govt (Mr Gove) is keen for Council's to progress plans.	07-Nov-2023	01-Apr-2024

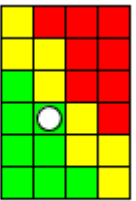
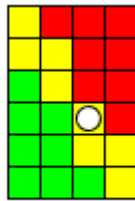

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Planning appeals	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium			Christine Sarris	Moving into the third quarter we have no outstanding appeals against us and only two majors at appeal. this has decreased the likelihood of going into special measures this year. There are however more major planning applications to be determined over the next two years and we cannot afford for more than four to go against us during this period.	07-Nov-2023	01-Jan-2024
Ability to deliver Regeneration Programmes	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Constant – remains medium	<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>Some changes to project risks which are being addressed where required. No change to overall programme delivery risk level.</p> <p>New recruitment drive to vacant posts in Investment Team is being implemented through specialist place-making agency which is part-funded by the Department for Levelling Up, Housing and Communities. .</p>	07-Nov-2023	01-Jan-2024

Homes and Housing Priority

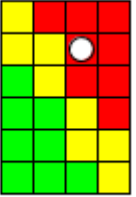
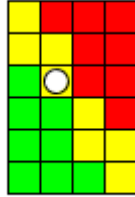

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Sustainability of HRA business plan and ability to invest in current and new stock	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium	<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	No change to impact or likelihood. continue to monitor ongoing new and emerging pressures on HRA funds.	03-Nov-2023	01-Jan-2024
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 – remains significant	<p>Loss of life through explosion or carbon monoxide poisoning</p> <p>Reportable breach to Housing Regulator</p> <p>Govt intervention and/or corporate manslaughter</p>	<p>Following current Govt guidelines in terms of evidencing all 'refusals' Tenants provided with safety leaflet relating to CO</p> <p>Weekly report to Housing Regulator</p>	Chris Clipstone; Richard Davis	<p>Following our servicing Partner going into Administration the completion of the PH&SC/S remains challenging and we are currently managing the delivery of this process internally.</p> <p>We are still encountering numerous difficult access properties who are reluctant to provide access to their home for these essential services to be completed</p>	17-Oct-2023	01-Jan-2024

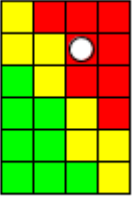
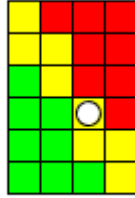

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Ability to comply with the regulatory regime set out by the Regulator of Social Housing	 <p data-bbox="271 411 300 496" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="309 512 383 533">Impact</p>	 <p data-bbox="456 411 486 496" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="495 512 568 533">Impact</p>	 <p data-bbox="642 411 672 496" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="680 512 754 533">Impact</p>	Constant – remains significant	<ul style="list-style-type: none"> • Health and Safety prosecutions. • Appearing on the Regulator of Social housing's 'Watch List'. • Regulator Inspections. • Inspection downgrade following inspections. • Regulatory downgrade from current status. • Unlimited fines. • Removal of the Housing Stock. • Reputational damage to the Council. 	<ul style="list-style-type: none"> . Monthly updates at DMT against the Housing and Asset Corporate Risks to identify early warning indicators and tolerances . Monthly review/updates against Social Housing White Paper Action Plan . Quarterly reports on performance on Complaints . Monthly updates to DMT on 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 	Nicky Moss	<p>The Housing Performance and Insight Officer is now in place.</p> <p>Work continues to be undertaken across the Operations Directorate (Housing) to ensure we meet the requirements of the Regulator of Social Housing and prepare for forthcoming inspections.</p> <p>An action plan is in place.</p>	21-Oct-2023	01-Jan-2024

Innovate and Improve Priority

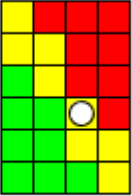
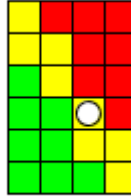

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Ethical Governance – ability to implement changes to the Members' Code of Conduct and recommendations of the Committee 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 – remains medium	<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 •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>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 and responsibilities 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 Monitoring reports to Standards and Personnel (Appeals) Committee ; Responding to the LGA's consultation on its draft Model Code of Conduct.</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> <p>The Standards and Personnel Appeals Committee approves a work plan each municipal year. The 2023/24 work plan was approved at the Committee meeting in June 2023. The work plan for 2023/24 includes a piece of work reviewing the Members' Code of Conduct and related policies and</p>	07-Nov-2023	01-Jan-2024

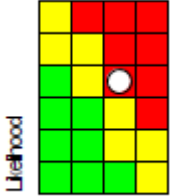
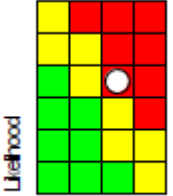
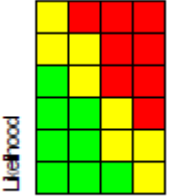
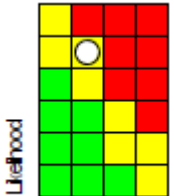
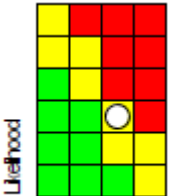
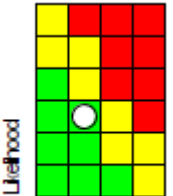
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
								<p>procedure. An Internal Audit Review is underway to inform this work.</p> <p>The Corporate Peer Challenge team recommended training for Members and Officers in relation to the roles and responsibilities of 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 was provided to all Members which included the Code of Conduct and Members' roles and responsibilities; the LGA supported this training.</p>		

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Levels of sickness absence	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium	<ul style="list-style-type: none"> • Productivity • Financial • Employee morale • Service delivery • Remaining staff placed under increased pressure • Reputational damage 	<p>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 provision reviewed</p>	Nikki Morris;	<p>YTD absence is currently 3.81FTE which is currently under target. The main cause of absence is long term.</p> <p>A number of interventions have been put in place to support employees. These include:</p> <ol style="list-style-type: none"> 1. Review of Attendance Management Policy to ensure a more streamline, fit for purpose policy is embedded 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 3. Ongoing robust management of absence cases and HR work closely with 	13-Nov-2023	01-Jan-2024

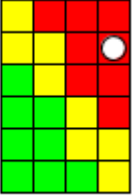
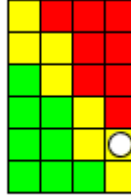
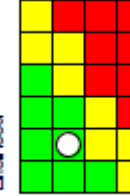
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
								managers accordingly. 4. Improved communications in regards to wellbeing support mechanisms in place to facilitate employees back in to the workplace or remain in work. 5. Review of wellbeing initiatives and working with Health and Wellbeing to look at targeted interventions to raise awareness and signpost for support 6. Continue to provide statistical data and information to CLT for discussion 7. Absence data reviewed within HR for targeted actions.		
Ability to identify savings required by MTFS	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	Reduced from significant to medium	<ul style="list-style-type: none"> • Council cannot fund full range of services in future • Pressure on General Fund reserves 	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.	07-Nov-2023	01-Jan-2024

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
								<p>These will continue to deliver efficiencies and savings going forward to help address future financial challenges. The December 2023 Provisional Finance Settlement is expected late December and will aid clarification of the size of the funding gap.</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 last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Level of central government funding 2022 onwards	 <p data-bbox="271 411 293 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="309 512 383 528">Impact</p>	 <p data-bbox="456 411 479 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="488 512 562 528">Impact</p>	 <p data-bbox="636 411 658 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="680 512 754 528">Impact</p>	Reduced from significant to medium	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	<p>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.</p> <p>The current and forecast level of inflation in the economy is also placing pressure on Council resources.</p> <p>The Council has healthy reserves which will help to mitigate funding pressures in the short term. The next 2 years will be critical to identify recurrent savings to meet expected financial challenges beyond 2025/26 when core Government funding is expected to significantly reduce.</p>	07-Nov-2023	01-Jan-2024

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
								The December 2023 Provisional Finance Settlement is expected late December and will aid clarification of the size of the funding gap.		
Workforce planning – ability to recruit and/or retain filled position to critical posts	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	Constant – remains significant	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	The Council has now engaged LGA support to undertake an assessment of the Councils workforce planning capability against the LGA Workforce Planning Maturity Matrix. This will be conducted through a series of workshops which have now commenced.	07-Nov-2023	01-Jan-2024
Loss / delays in receipt of key income sources (Business Rates, Council Tax, Housing and Investment Property Rents)	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	Constant – remains medium	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	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).	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 SLT and Cabinet via Financial Monitoring reports. CIWG also receives regular update reports regarding Investment	07-Nov-2023	01-Jan-2024

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
					as they fall due.	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.		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 losses arising from void periods. Should there be any significant permanent loss of income, this will be reflected in updates to the MTFS. Wilkos recently went into administration however a new tenant has been secured and a legal agreement is currently being finalised.		

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
Ability to successfully implement the new legal requirements placed up on the Council as a result of the Elections Act 2022	 <p data-bbox="271 411 300 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="309 512 383 533">Impact</p>	 <p data-bbox="450 411 479 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="488 512 562 533">Impact</p>	 <p data-bbox="636 411 665 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="663 512 736 533">Impact</p>	Reduced from significant to medium	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 funding in order to plan resourcing accurately.	<p>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</p> <ul style="list-style-type: none"> ; 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 peers ; 	Ruth Dennis	A Member Working Group has been established the scope of which includes 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.	14-Sep-2023	01-Jan-2024