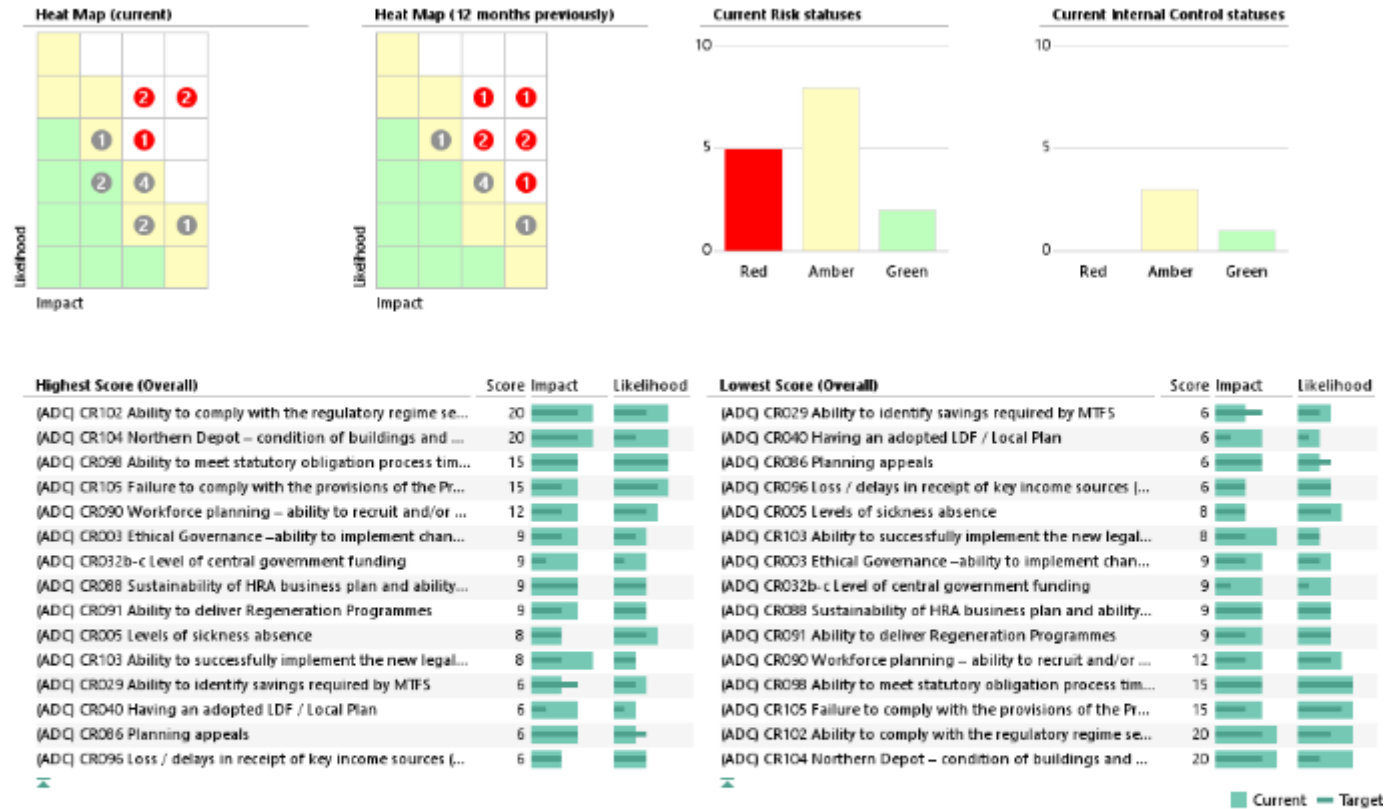


Corporate Risks



■ Current ■ Target

Rows are sorted by Objective

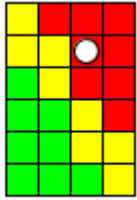
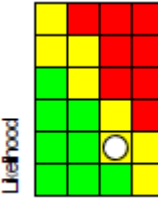
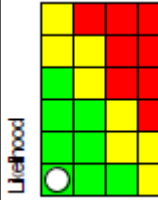
Trend: Constant 8 Decreasing 5 New Risk 2

ADC Corporate

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR105 Failure to comply with the provisions of the Procurement Act 2023	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	<p>Likelihood</p> <p>Impact</p>	New risk	If materialised this risk could result in potential claims against the Council from procurement bidders, intervention from the Procurement Review Unit at the UK Cabinet Office as well as reputational damage to the Council	The implementation of the new finance system will include a procurement module as well as a contract management module. This will assist in being able to manage both the procurement requirements as well as the contract management process. By introducing a system-based approach it is considered that this will further reduce the possibility of the risk materialising.	Chris Clarke	<p>The new Act comes into force in late October 2024 and all staff involved in procurement are undertaking intensive training through the UK Commercial College and this is being managed and monitored by L&D</p> <p>Regular project team meetings are being held involving Legal, L&D, NCC Procurement and the Procurement and Projects Officer.</p> <p>Internal processes are being developed in which to manage the provisions of the new Act including the consideration of a Contracts Administrator position to manage and monitor compliance with the publishing of notices which is a key</p>	20-May-2024	01-Jul-2024

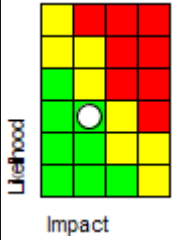
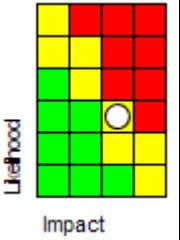
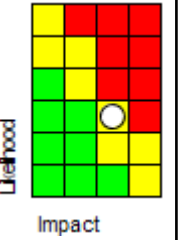
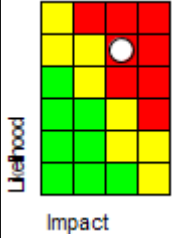
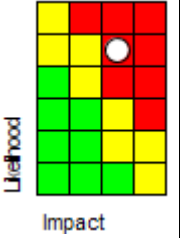
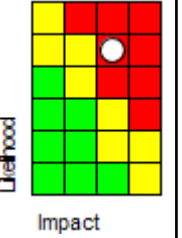
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
								output of the new Act. The Contract Procedure Rules are being updated to capture the changes as a result of the new Act.		

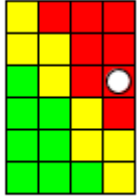

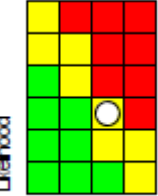
Economic Growth & Place

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR040 Having an adopted LDF / Local Plan	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">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 in association with the housing number and green belt issues. There are still likely to be some challenges but the Government is keen for Council's to progress plans.	08-Apr-2024	01-Jul-2024

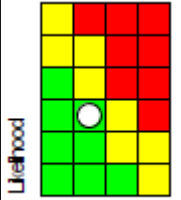
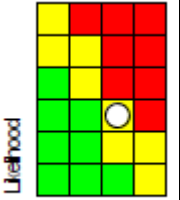
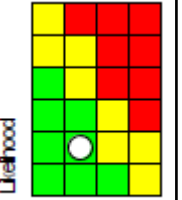
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR086 Planning appeals	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	Reduced from significant to medium	Surpass the 10% limit and end up in special measures	Councillor training, Officer training & monitoring	Christine Sarris	The Council have had refusal of a major application which will impact on our percentages significantly if allowed at appeal. The proposal at Teversal has the potential for a costs award.	08-Apr-2024	01-Jul-2024
(ADC) CR091 Ability to deliver Regeneration Programmes	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	Constant – remains medium	Opportunity lost to regenerate and re-purpose town centres and local centres Reputational damage	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	Sarah Daniel	There are some changes to project risks which are being addressed where required. No change to overall programmes delivery risk level. A recruitment drive for vacant posts in the Investment Team was successful with some key posts filled, some adjustments to the management structure are being implemented to further support programme delivery.	24-May-2024	01-Jul-2024

Homes & Housing

Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR088 Sustainability of HRA business plan and ability to invest in current and new stock				Constant - Remains medium	Inability to provide services and meet regulatory requirements Inability to build new housing stock Inability to cross fund general fund services	Regular review of HRA 30 Year Business Plan White Paper Action Plan	Phil Warrington	No change to impact or likelihood. Risk is reviewed regularly, as is early warning indicators. Seasonal rent arrears do create concern but monitored closely and no current concerns	25-Apr-2024	01-Jul-2024
(ADC) CR098 Ability to meet statutory obligation process timescales (eg gas servicing, CO alarm installation)				Constant – remains significant	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	Following the introduction of a new servicing Contractor we are experiencing a very challenging period in terms of Contractor performance. We are also still encountering numerous difficult access properties who are reluctant to provide access to their home for these essential services to be completed	02-May-2024	01-Jul-2024

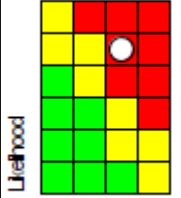
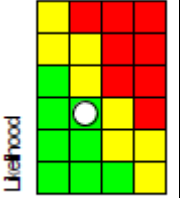
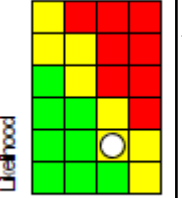
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR102 Ability to comply with the regulatory regime set out by the Regulator of Social Housing	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">Impact</p>	 <p style="text-align: center;">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>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>	09-Apr-2024	01-Jul-2024

Innovate & Improve

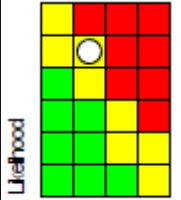
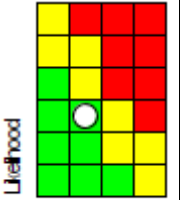
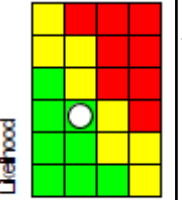
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
(ADC) CR003 Ethical Governance – ability to implement changes to the Members' Code of Conduct and recommendations of the Committee on Standards in Public Life (CSPL) and Peer 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 	<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</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 2024/25 work plan will be approved at the Committee meeting in July 2024.</p>	30-May-2024	01-Jul-2024

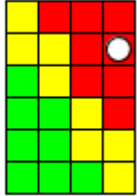
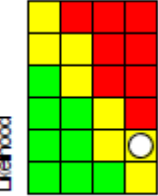
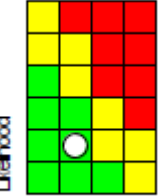
Title	Original Matrix	Current Risk Matrix	Target Risk Matrix	Trend last 12 months	Consequences	Mitigating Actions	Officer Responsible	Comments	Latest Assessment	Next Assessment Date
					of the CSPL	Conduct.		<p>The work plan for 2024/25 will include a significant programme of work to review the Members' Code of Conduct and related policies and procedure in line with the recommendations put forward as part of the Internal Audit Review undertaken during 2023/24..</p> <p>As part of the induction programme for Members after the elections in May 2023 ethical governance training was provided to Members which included the Code of Conduct and Members' roles and responsibilities; the LGA supported this training</p>		
(ADC) CR005 Levels of sickness absence	<p>Liability Impact</p>	<p>Liability Impact</p>	<p>Liability Impact</p>	Constant – remains medium	<ul style="list-style-type: none"> • Productivity • Financial • Employee morale • Service delivery • Remaining staff placed under increased pressure • Reputational damage 	Robust management of sickness absence procedures by managers and robust procedures - Revised Absence Mgt Policy implemented ; Effective monitoring - monthly monitoring	Nikki Morris; Rachel Ward	Average days of employee absence has reduced by 19% (8.88 days average per full time equivalent April 2023 to March 2024, compared to 10.93 days average per full time equivalent April 2022 to March 2023)	28-May-2024	01-Jul-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>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>		<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 managers accordingly. 4. Improved communications in regards to wellbeing 		

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>support mechanisms in place to facilitate employees back in to the workplace or remain in work.</p> <p>5. Review of wellbeing initiatives and working with Health and Wellbeing to look at targeted interventions to raise awareness and signpost for support</p> <p>6. Continue to provide statistical data and information to CLT for discussion</p> <p>7. Absence data reviewed within HR for targeted actions.</p>		
(ADC) CR029 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 medium to low	<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	Service Reviews and identification of income generating opportunities will continue throughout 2024/25 to aid the setting of a balanced budget for 2025/26 and a more sustainable MTFS.	13-May-2024	01-Jul-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
(ADC) CR032b-c Level of central government funding	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>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	There remains considerable uncertainty about the timing and potential effect of implementation of Local Government Funding Reform. 2024/25 was again a one-year funding settlement. With a General Election taking place during 2024/25 this is again indicating that LG Funding Reform will not take place in time for the 2025/26 Annual Budget round.	13-May-2024	01-Jul-2024
(ADC) CR090 Workforce planning – ability to recruit and/or retain filled position to critical posts	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>Impact</p>	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	LGA facilitated Workforce Planning review and action planning now being undertaken by all services involving identification of use of different approaches such as graduates, apprentices, grow our own, work shadowing job redesign. Digital Services are also participants in a separate National LGA facilitated Programme to review and assess approaches to help	17-May-2024	01-Jul-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
								mitigate the significant challenges with digital and ICT recruitment		
(ADC) CR096 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>	Reduced from significant to low	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 reductions/delays in housing rent ; Option to scale back costs associated with non-critical functions.	Pete Hudson	At present recovery levels overall are at an acceptable level. This will be continually monitored during 2024/25 and any change to this position will be reported through to SLT and Cabinet.	13-May-2024	01-Jul-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
(ADC) CR103 Ability to successfully implement the new legal requirements placed up on the Council as a result of the Elections Act 2022	 <p data-bbox="282 411 309 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="322 512 389 531">Impact</p>	 <p data-bbox="470 411 497 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="508 512 575 531">Impact</p>	 <p data-bbox="656 411 683 491" style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p data-bbox="689 512 757 531">Impact</p>	Constant – remains 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	The risk associated with the new requirements of the Elections Act 2022 and the impacts of embedding these into the election and electoral registration processes has significantly reduced following the successful delivery of elections during May 2023 and May 2024. Learning has been put in place to improve processes following these elections. The Parliamentary election in July 2024 will test how the requirements have been embedded and may provide further learning; the electorate may be more engaged in the Parliamentary elections and so we may see an increase in electoral registration, absent voter and voter authority certificate applications. Measures have been put in place to deal with a potential	30-May-2024	01-Jul-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
								increase in applications.		
(ADC) CR104 Northern Depot – condition of buildings and ability to adapt to changes in fleet energy requirements	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>Impact</p>	<p>Lielihood</p> <p>Impact</p>	New	Impact on delivery of key council services such as waste collection, grounds maintenance and housing repairs.	<p>Monthly assessment by structural engineers with recommended mitigations implemented – this currently includes scaffolding to the roof of the two main buildings.</p> <p>Project underway to consider the Depot including necessary repairs or construction of replacement facilities to be able to deliver future service requirements e.g. the new Environment Act which will impact on waste and recycling collections</p>	John Bennett	Identification of future service requirements underway to consider recent legislative amendments and service efficiencies. This will inform options for future use of the Depot site.	01-Apr-2024	01-Oct-2024