

Ashfield District Council Corporate Risk Register – Analysis

Quarter 1 2017/18



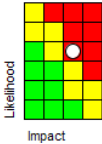
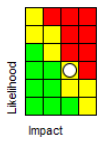
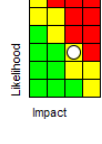
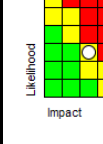
Place and Economic Growth Priority

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Qu1 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR040	Failure to have adopted LDF / Local Plan	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	No change	<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 ward of costs against the authority • New approach to plan. High risk. Members Aware. • Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set back timetable. • If plan requires subsequent revision, will add delays. 	<p>???</p> <hr/> <p>X</p>	<p>Need alternative approach to development with Members through adoption of Core Strategy</p> <hr/> <p>Regular engagement with Members to bring them on board</p> <hr/> <p>Keeping abreast of latest challenges; work with Planning Advisory Service for proof-reading</p> <hr/> <p>Keeping a clear audit trail of engagements with developers and consultees</p>	Christine Sarris	Date for the Local Plan Examination is 3rd October for two weeks at this time. Slippage is due to PINS resources. Local Development Scheme has been revised to reflect this change	12 Sept-2017
(ADC) CR073a	[Key Risk] Idlewells Market	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	Risk reduced and finishes in Quarter 3	<ul style="list-style-type: none"> *Loss of Trade *Low occupancy rates *New product doesn't sell *Contract dispute *Landlords dispute *Structural and ME failures 	High	<ul style="list-style-type: none"> *Contract Programme - Regular inspection and monitoring *Business plan produced and updated 	Theresa Hodgkinson	VAT will not be passed to the traders. Funding has been fully claimed. Monitoring reports	7 Sept 2017

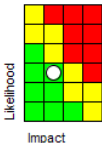
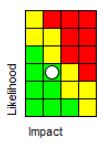

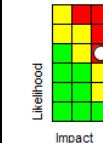
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							<ul style="list-style-type: none"> •Reputation (public expectations) •Financial – claims •VAT increase to traders •Increase on insurance costs *Delays on opening *Funding agreement not achieved -reclaim 		<ul style="list-style-type: none"> * Pre letting campaign * Communication plan – monitor/update 		<ul style="list-style-type: none"> continue to be submitted in a timely manner. Pre-letting campaign is underway. Communications Plan continues to be updated and implemented. 	
									<ul style="list-style-type: none"> Risk register in place for all aspects of the project/monitored 			
									<ul style="list-style-type: none"> Contract signed – Regular meetings/Site/ internal *Quarter monitoring D2N2 grant. 			

Communities and Environment Priority

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(ADC) CR071	[Corporate Risk] Failure to demonstrate compliance with TEEP assessment under Waste Framework Directive					No change	<ul style="list-style-type: none"> • Full redesign and expansion of waste services • Additional cost incurred 	Medium	<ul style="list-style-type: none"> TEEP assessment to be reviewed annually by JWMC Ensure TEEP compliance with trial review 	Sam Dennis	<ul style="list-style-type: none"> Uncertainty around the implications of Brexit make it difficult to predict the direction of travel for waste policy, however, assumptions at this point are that EU legislation will be taken on pending any review. The Council currently collects co-mingled dry recyclables, compostable garden waste and 	12 Sept-2017

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											separate glass recycling. there are no plans to change the service.	
(ADC) CR072	[Corporate Risk] Failure to meet requirement of Waste Directive to achieve 50% recycling rate by 2020					No change	<ul style="list-style-type: none"> potential fines from EU reputational damage 	High	<p>development of Scrutiny review in September 2016</p> <p>Discussions with County regarding innovative options is ongoing</p>	Sam Dennis	<p>Following the successful implementation of a free garden waste service and the reduction in the amount of waste sent for disposal, the Council's recycling rate is around 39%.</p> <p>In order to maintain or increase recycling a waste advisor has been mainstreamed in the service and an educational programme is being developed.</p>	12 Sept-2017

Housing Priority

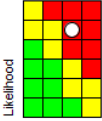
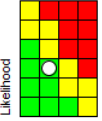
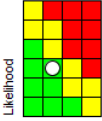
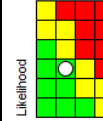
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(ADC) CR046	[Corporate Risk] Introduction of Universal Credit					No change	<ul style="list-style-type: none"> Potential loss of HRA rental income if tenants receiving UC choose not to pay rent (Profiling of current tenants as at 20/2/17 show that 	Low	There is a dedicated officer for Welfare Reform in the Tenancy Service Section. This Officer has close	Craig Scott/ Nikki Moss	Ashfield District will move onto the Full Service from August 2018. This will mean that all new Working Age claimants will claim UC, which will	18 Aug 2017

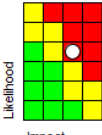
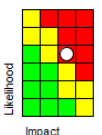
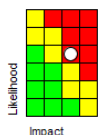
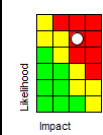
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							there is a risk to the rent roll (circa £11 million) as there will be around 3200 tenants affected. 2380 –high risk and 820 medium risk). This does not include those tenant who have working age partners.		links with the DWP. There is a formalised internal process for managing UC cases. There is a UC action plan in place. This needs reviewing regularly especially around resource requirements to manage the process. The Council operates an agency agreement with DWP to assist residents who wish to claim UC		include a housing element and HB will no longer be claimed by new claimants from August 2018. The exceptions include claimants living in Exempt (Specified) Accommodation, who will continue to claim HB with the local authority. Existing Working Age claims will continue to be managed by ADC until the DWP announce the migration programme, which will follow the completion of the Full Service roll-out expected to be from 2019-20. Pensioners will remain Housing Benefit. The government will at some point announce what is going to replace HB for Pensioners in 2020-21, although this may be left until after the next election in 2022. It is expected that HB will therefore still be in payment to Pensioners up to 2022 at least. Pensioners currently make up about 48% of the current HB caseload. The council will continue to be responsible for it's own	
								X	The Welfare Reform Group brings together a series of different disciplines and partners to ensure the Council's response to UC remains pro-active and robust			

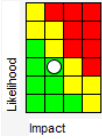
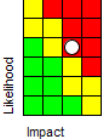
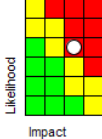
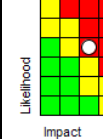
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											Local Council Tax Support scheme which currently mirrors the HB scheme. Additional resources will be required in the Tenancy Services Section to ensure that the necessary advice and assistance is provided to ADC tenants who are affected by UC.	
(ADC) CR062	Inability to deliver affordable housing					No change	<ul style="list-style-type: none"> Targets not met lack of new affordable housing going forward 	Low	Use of S106 funding Tackling empty homes Close working with Planning Services Work with private landlords via the Landlords Forum Enforcement to tackle poor standard housing	Phil Warrington	We are currently assessing the viability of ADC owned sites through the Housing Delivery Report. Most new provision in the District is through RP's own development or through RP's purchasing s106 properties on private developments. RP's are increasingly reluctant to purchase s106 properties and there is little ADC can do to influence this or change their position.	31 Aug-2017
(ADC) CRO79	[Corporate Risk] Impact of the impending 1% rent reduction on the Councils ability to invest in new build & existing housing stock	New 2015/16				No change	Reduced headroom / ability to borrow in the HRA Revisions required to the 30 year plan Changes / reduced capital programme in the short term	medium	Wider review of the way the Council manage its housing stock Reduce spend in the current capital programme	Paul Parkinson	The introduction of a weekly amenity charge for all tenants is being considered and a report has been drafted. If approved this will generate £225,000 additional income to the HRA.	1 Sept-2017

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							Fewer new affordable homes being delivered Reduced service delivery to existing tenants		Review viability of 30 year HRA plan			


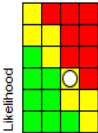
Organisational Improvement Priority

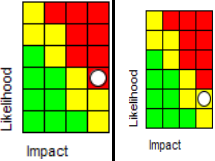

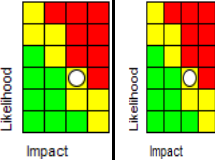

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(ADC) CR074	[Corporate Risk] Overpayment of Housing Benefit					No change	- loss of subsidy - increasing burden of debt collection	High	Mini re-structure Offsite processing capacity Improved training	Craig Scott	The £ value of Housing Benefit Overpayments created by claimant error is falling due to changes to the processing of Real Time Information provided through the RTI system. In 2017 the DWP are rolling out the WURTI system (Wider use of Real Time information), which provides up to date earnings information of all benefit claimants. Procedures for using this system have been implemented and these will be monitored for effectiveness. Changes in procedures will follow if necessary, to ensure that we are able to maximise the benefit of this	Aug-2017

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											information to reduce HB overpayments caused by claimant error. In addition to this, we have introduced new procedures for dealing with change of circumstances notifications within a short timeframe thereby ensuring that we avoid loss of income (HB Subsidy) due to delays in processing.	
(ADC) CR029	[Corporate Risk] Failure to make required savings as identified in MTFS					Reduced from high to medium	<ul style="list-style-type: none"> •Council cannot fund full range of services in future •Pressure on General Fund reserves 	Medium ✓	<p>CLT and Cabinet will work together to identify savings and income generation opportunities</p> <hr/> <p>Generate additional income</p>	Sharon Lynch	<p>Work is on-going to identify £1m of savings for 2018/19 budget process. Progress has been made but further proposals are required to achieve the level outlined.</p> <p>Significant savings have been made to date however this is becoming increasingly difficult.</p>	1 Sept-2017

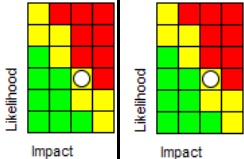
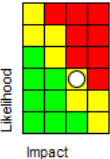
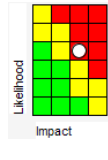
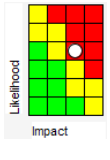
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									For 2017/18, £1m of savings have been identified, and these workshops will continue throughout 2017, with the aim of identifying a further £1m of savings/addition income for 2018/19.			
(ADC) CR033	[Corporate Risk] Ability to achieve efficiencies and compliance from procurement reviews / improvement					No change	<ul style="list-style-type: none"> •Penalties for non-compliance with legislation •Inability to meet MTFS savings targets if procurement savings not achieved 	Medium	<p>Agreement of a new Procurement Strategy setting out clear guidance for spending managers</p> <p>Review of Procurement Arrangements (Shared Procurement Unit) to ensure objectives are being met</p> <p>Particular emphasis on small value procurement (under £25k) to ensure that the Council has legally compliant processes in place</p>	Paul Parkinson	The procurement review is currently being progressed in alignment with Bassetlaw's review of their shared service. We are currently examining in-house improvement opportunities whilst awaiting the outcome of Bassetlaw's review.	23 Aug-2017

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(ADC) CR003	[Corporate Risk] Members' Ethical Framework – Failure to demonstrate high standards of behaviour					Slight increase, remains significant	<ul style="list-style-type: none"> •Significant resource to deal with implications of Code of Conduct Complaints. •Potential for negative perception of the Council which impacts upon the Council's reputation • Potentially adverse impact upon the workings of the Council •New legislation does not provide “strong” sanctions for breaches to the Code which may make regulation of poor ethical behaviour difficult and leave complainants dissatisfied with outcomes. 	High	<p>Standards and Personnel Appeals Committee approves an annual work programme which includes an annual review.</p> <p>A review of the Members' Code of Conduct Complaints Process will be carried out during 2017/2018 in accordance with the recommendations of the LGA Peer Challenge 2017.</p>	Ruth Dennis	The Standards and Personnel Appeals Committee has agreed in its 17/18 work plan to review the Complaints Process, the Code and guidance relating to social media use. The Committee has established a working group of members from the Committee to work with the Monitoring Officer to review best practice and make recommendations to the Committee. It is planned to report in the first instance to the Committee in December 2017	4 Sept 2017
(ADC) CR005	[Corporate Risk] High levels of sickness absence					No change	<ul style="list-style-type: none"> •Productivity •Financial •Employee morale •Service delivery •Remaining staff placed under increased pressure 	High	Robust management of sickness absence procedures by managers and robust procedures - Revised Absence	Craig Bonar	Sickness absence continues to be maintained below target and on improvement curve. Absence continues to be closely monitored	18-Aug-2017

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							•Reputational damage		Mgt Policy implemented		by CLT, managers and HR		
								√	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				
(ADC) CR032b-a	Business Rates appeals are higher than forecast	New 2016/17	New 2016/17			No change	Negative impact a MTFS ; further savings required		A prudent approach is taken to estimating likely successful appeals.	C Scott	The risk of Business rates Appeals being higher than the Appeals provision remains a slight possibility, however, we remain confident that the level of provision is realistic as it was calculated using historic data and is based on the appeals success rate and value of previous appeals.	23 Aug-2017	

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											This being the most appropriate and sensible approach to setting the Appeals provision.	
(ADC) CR032b-b	NHS Trusts successfully lobby for charitable status and pay significantly reduced business rates	New 2016/17	New 2016/17	 <p>Likelihood Impact</p>	 <p>Likelihood Impact</p>	Reduced to medium	Negative impact a MTFS ; further savings required		The Council is supporting the LGA's action against the hospitals.	C Scott	The claim by the NHS to be recognised for charitable status appears to have failed. However, we await definitive confirmation therefore the risk will remain, albeit at a lower rating.	23 Aug-2017
(ADC) CR032b-c	Ashfield loses resources under the Governments ' 100% retention / fair funding ' regime	New 2016/17	New 2016/17	 <p>Likelihood Impact</p>	 <p>Likelihood Impact</p>	No change	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.	S Lynch	There is still some uncertainty as to the financial impact of 100% Business Rates Retention. On 1/9/2017 the Government requested applications for 100% Business Rate Pilots. Nottinghamshire Finance Officers are working together to consider possible options. The re-setting of the business rates baseline from 2019 (possibly 2020) will be crucial to all Local Authorities particularly the methodology used and the degree to which any previous growth will be retained. The risk score is based on the data available at this time.	1 Sept-2017

NEW RISKS

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Qu1 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
New	Failure to deliver commercialism agenda	New 2016/17	New 2016/17			same	<ul style="list-style-type: none"> In alignment with Savings Strategy - expected reduced trading service costs/ increase income not realised Reputational impact of trading services performing inconsistently with Council values Alienation of customer base 		<p>Commercial programme aligned to savings strategy and progress monitored through Commercial Enterprise Board</p> <p>Commercial feasibility work informs future savings strategy</p>	Justin Henry	Priorities within the commercialism programme are focussed on commercial investments, land investment and determining the feasibility of establishing a lettings agency. Improvements are being made to internal processes and joint working in order to be able to respond more expediently to investment opportunity. Unfortunately the council is yet to be successful in their bidding.	August 2017
New	Failure to Support and Safeguard Vulnerable people	New 2016/17	New 2016/17				<ul style="list-style-type: none"> Significant adverse outcomes for vulnerable people suffering with mental health issues Reputation of the council and its partners Financial impact through lack of working in joined up manner 		Working with NCC and other districts to review opportunity to improve closer working with mental health services	Mike Manley	The positive relations with partners continues to grow with agencies increasing their collaboration and cooperation. There remain concerns around mental health provision however this is a national problem and were available local relations are positive and deliver benefit for service users. Due to the nature of community safety any new critical incident may reveal failing within cooperation however at this time we are	Sept 2017

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											operating above and beyond the work in other similar authorities,	

