

**AUDIT & ACCOUNTS COMMITTEE**  
**1 DECEMBER 2021**

**RISK MANAGEMENT**

**1.0 Purpose of Report**

1.1 To provide an update to members on the status of the Council's 2021/22 Strategic Risk Register.

**2.0 Background Information - Risk Management**

2.1 Risk management is the management of business risk in a manner consistent with the virtues of economy, efficiency and effectiveness. In essence it is about making the most of opportunities, making the right decisions and about achieving objectives once those decisions are made. This is achieved through:

- Identifying risk
- Controlling and managing risks
- Transferring risks (including insurance)
- Living with risks

2.2 A certain amount of risk taking is both inevitable and essential if the council is to achieve its objectives. The council recognises that the way it manages the many risks facing it contributes towards the successful implementation and achievement of its objectives/priorities.

**3.0 Risk Management Performance**

3.1 The strategic risk register is reviewed annually to ensure it remains relevant and effective.

An annual strategic risk workshop was held with SLT in late November 2020 with formal approval achieved in February 2021. During this workshop the following actions were undertaken:

- Annual review of the strategic risk register
- Full overview of the last audit report actions
- Evaluation of the risk review process
- Evaluation and determination regarding management of project risks
- Evaluation and determination of corporate risk maturity and appetite

3.2 Following approval a draft strategic risk register was produced, subsequently adopted and commenced operation in April 2021.

3.3 Performance of all strategic risks continue to be reported to the Senior Leadership Team (SLT) quarterly via the Transformation team's assurance reporting system. This includes identification of failing or "red" risks.

3.4 The corporate Risk Management Group also continues to meet on a quarterly basis to review risk management performance. Members of this group are provided with an overview of the current status and performance of strategic and operational risks. In addition members of the group raise and discuss new and/or emerging risks.

3.5 A full review of the risk management policy, associated guidance document and processes has been completed. These documents have been shared with members of the Risk Management Group. After consultation with the Risk Management Group the updated documents will be shared and approved by SLT prior to implementation.

**4.0 Strategic Risks**

4.1 Strategic risks are those that have the potential to halt or interfere with the Council’s ability to achieve its priorities and/or deliver its statutory duties.

4.2 As detailed in 3.1 a risk workshop, involving members of SLT, was undertaken to agree risks that are strategic in nature for the forthcoming year. When reviewing strategic risks, consideration is given to how the whole organisation is positioned to deliver its objectives having regard to internal/external factors, some of which are out of the Council’s control e.g. economic downturn.

4.3 The current risk register has 14 strategic risks. These are listed in the table below.

<b>Strategic Risk Register – 2021/22</b>		
<b>Title</b>	<b>Description</b>	<b>Owner(s)</b>
<b>SR101 Financial sustainability – General Fund</b>	Ensuring financial sustainability of the general fund to allow the council to undertake its core functions, deliver services, meet its corporate priorities and objectives	Sanjiv Kohli
<b>SR102 Financial sustainability - HRA</b>	Financial sustainability of the HRA to ensure the council is able to provide, maintain and develop its housing stock.	Sanjiv Kohli Suzanne Shead
<b>SR103 Safeguarding</b>	Maintaining corporate safeguarding arrangements to ensure suitable and appropriate management of the councils safeguarding duties.	Matthew Finch
<b>SR104 Failure to deliver growth infrastructure</b>	Facilitating the provision of local infrastructure to ensure growth within the district to meet agreed plans & corporate priorities	Matthew Lamb
<b>SR105 Contract/supply failure</b>	Managing contracts with key suppliers, including NSDC wholly own companies, to ensure the continued delivery of an effective service and ensure delivery of the council’s priorities and objectives.	Deborah Johnson Suzanne Shead
<b>SR106 Workforce</b>	Ensuring the council is able to recruit, maintain and retain appropriate staffing resource to ensure it is able to deliver its services and meet its corporate objectives.	Deborah Johnson

<b>SR108 Emergency response</b>	The Council's ability to effectively respond as a category 1 responder to a major emergency and maintain a suitable response without affecting essential service delivery.	Matthew Finch
<b>SR109 Corporate governance</b>	Risk of failure in systems of governance within the council, council owned/influenced organisations and partnerships or other collaborative arrangements.	Sue Bearman
<b>SR110 Data management and security</b>	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential, business critical information or breach of information governance legislation.	Sanjiv Kohli
<b>SR111 Arkwood Development</b>	Managing performance and the relationship between the Council and Arkwood Developments in accordance with the governance agreement.	John Robinson
<b>SR112 Brexit</b>	Effects of BREXIT on the council's ability to deliver services and to the sustainability of its communities.	
<b>SR113 Community Issues - Pandemic</b>	Immediate and longer term economic and societal impact of global pandemic on NSDC communities and its business economy – specifically concerned with: deprivation, direct effect on specific communities/vulnerable persons and the local economy.	Matthew Finch
<b>SR114 Environment</b>	Ability to meet requirements of the government's green agenda and aspirations/expectations of the NSDC community in delivering a greener/carbon neutral service.	Matthew Finch
<b>SR115 Regulatory and Statutory compliance management</b>	Implementation and maintenance of suitable statutory safety compliance management systems.	Sanjiv Kohli Suzanne Shead

4.4 The following table identifies significant alterations to the strategic risk register as agreed at the SLT annual risk workshop.

<b>Risk</b>	<b>Summary of Change</b>
<b>SR103: Safeguarding</b>	Amended description to more accurately reflect the council's role.
<b>SR112: Brexit</b>	Suspended until next formal review. The content has been incorporated within relevant strategic risks.

<b>SR113: Community Issues – Pandemic</b>	A new risk to reflect the issues facing communities and service delivery due to the impact of COVID 19
<b>SR114: Environment</b>	A new risk addressing the challenges of meeting both the government green agenda requirements and the aspirations and expectations of the council and its communities in delivering carbon neutral services.
<b>SR115: Regulatory and statutory compliance management</b>	A new risk that focusses on ensuring the statutory compliance is suitable managed and embedded across the council.

- 4.5 All the strategic risk identified above are owned by a member of SLT. Risk owners, with the assistance of lead officers and Safety and Risk Manager meet on a quarterly basis to review and develop the risk.
- 4.6 All current risks have been reviewed and action plans developed.
- 4.7 All twelve Strategic Risk assessments have been appended to this report in full.
- 4.8 **Risk Scores-** The table below illustrates the current risk scores and location of each strategic risk within the agreed corporate risk matrix.

<b>Likelihood</b>	<b>4</b> Certain		SR105		
	<b>3</b> Very likely		SR101	SR108, SR110, SR113, SR114, SR115	SR104
	<b>2</b> Likely			SR102, SR103, SR106, SR109,SR111	
	<b>1</b> Remote				
		<b>1</b> Minor/ trivial	<b>2</b> Moderate	<b>3</b> Severe	<b>4</b> Critical
	<b>Impact</b>				

- 4.9 Strategic risks SR 104, SR108, SR110, SR113, SR114 and SR115 are currently all identified as red risks. Whilst every reasonable effort will be made to reduce the risk to a level to ensure compliance with the corporate risk appetite, it should be noted that the very nature of strategic risks are complex and influenced by many outside factors/controls. Some actions can be very long term and in other cases the ability to reduce the risk further may not be in the control of the council.

## **5.0 Equalities Implications**

5.1 There are no specific equalities implications arising from the details set out within this report. Where appropriate equalities are considered as part of the risk management process and where appropriate these are noted against the relevant risk and mitigation put in place to manage the risk along with any other risks identified.

## **6.0 Financial Implications**

6.1 None from this report

## **7.0 RECOMMENDATION**

Members of the Committee are recommended to note the content of this report.

### **Reason for Recommendations**

**To update the Committee on the Council's approach to risk management and provide an update on the status of the Council's strategic risks**

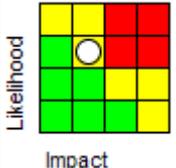
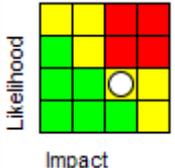
### **Background Papers**

Nil.

For further information please contact Richard Bates – Safety and Risk Manager on extension 5593.

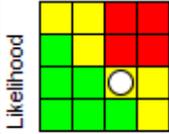
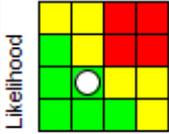
**Matthew Finch**  
**Director – Communities and Environment**

## Appendix 1

Code & Title	SR101 Financial sustainability – General Fund		Lead Officer	Kohli, Sanjiv (SLT)	
Description	Ensuring financial sustainability of the general fund to allow the council to undertake its core functions, deliver services, meet its corporate priorities and objectives		Supporting Officer(s)	Wilson, Nick (BM - FIN)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
		27-Sep-2021	2	C	Controlled

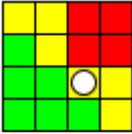
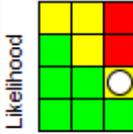
Controls/Actions In Place	<ul style="list-style-type: none"> <li>• Quarterly Capital monitoring meetings</li> <li>• Investments approved in line with the annually agreed Treasury Management Strategy</li> <li>• Annual refresh of Medium Term Financial Plan including management of reserves</li> <li>• Council approved Capital programme</li> <li>• Financial implications added to Committee reports by Financial Services and a unique reference given each time</li> <li>• Financial strategies and budget reviewed through Policy and Finance Committee annually</li> <li>• Use of external Medium Term Financial Plan tool which assists with forecasting future Business Rates income for the following year budget</li> <li>• Assigned project manager for each major project the Council is embarking on</li> <li>• Corporate Projects Team established to identify business opportunities in service areas</li> <li>• Director/Business Unit Manager quarterly meetings reviewing Directorate financial position</li> <li>• Approved Commercial strategy to support objectives set out in the MTFP</li> <li>• Approved Investment Plan to support the objectives set out in the Commercial Strategy</li> <li>• Nottinghamshire Business Rates Pool mitigating large impacts of reductions in Business Rates. This is kept under review by Nottinghamshire S151 officers</li> <li>• Quarterly budget monitoring report tabled at SLT and Policy and Finance Committee</li> <li>• Annual Financial Regulations training in place</li> <li>• Lead authority for administration around Notts Business rates pool</li> </ul>
Vulnerability	<ul style="list-style-type: none"> <li>• Financial</li> <li>• Meeting corporate objectives</li> <li>• Service delivery</li> <li>• Reputation</li> <li>• Governance</li> <li>• Compliance</li> </ul>
Trigger/Event	<ul style="list-style-type: none"> <li>• Unforeseen rise in interest rates over forecasted levels</li> <li>• Changes in national policy eg. fair funding review, change to government political parties</li> <li>• Banking crisis</li> <li>• Over reliance and poor decision making on investments</li> <li>• Member priorities diverging from corporate priorities</li> <li>• Increase CPI/RPI figures</li> <li>• Failure of subsidiary companies</li> </ul>

	<ul style="list-style-type: none"> <li>• Major contract failure</li> <li>• Failure of HRA</li> <li>• Reduction in Business Rates</li> <li>• Poor decision making and business planning</li> <li>• Budgeted income levels not meeting target</li> <li>• Impact on promised funding not as expected</li> <li>• Change in government policy significantly reducing income/funding</li> <li>• Changes in government policy/direction impacting resulting in additional costs</li> <li>• Failure in compliance/ governance</li> <li>• Fraud</li> <li>• Global Pandemic</li> <li>• Economic downturn</li> <li>• Cyber-attack/fraud see SR110</li> <li>• Utility price increase</li> <li>• Supply chain – significant sudden increase in costs</li> <li>• Levelling up Nottingham and Nottinghamshire project</li> </ul>
Impact	<ul style="list-style-type: none"> <li>• Inability to deliver service</li> <li>• Inability to meet corporate priorities/community plan</li> <li>• Inability to meet legislative requirements</li> <li>• External auditors review</li> <li>• Government taskforce</li> <li>• Negative media/reputation</li> <li>• Loss of ability to make local decisions</li> <li>• Division between members and officers</li> <li>• Greater division between political parties</li> <li>• Staff morale, loss of key staff and reduction in workforce</li> <li>• Staff morale and loss of key staff</li> <li>• Fines/ enforcement</li> <li>• S151 officer issues S114 notice</li> <li>• GF fails due to third party failure, i.e. HRA/subsidiaries</li> <li>• Curtailment of activities of the subsidiaries/HRA/Major projects</li> <li>• Impact on residents and communities</li> <li>• Impact on income streams</li> <li>• Reduction/disposal of assets</li> </ul>

Code & Title	SR102 Financial sustainability - HRA	Lead Officer	Kohli, Sanjiv (SLT); Shead, Suzanne (SLT)		
Description	Financial sustainability of the HRA to ensure the council is able to provide, maintain and develop its housing stock.	Supporting Officer(s)	Wilson, Nick (BM - FIN); Shead, Suzanne (SLT)		
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	12-Oct-2021	3	B	Control Pending

Controls/Actions In Place	<ul style="list-style-type: none"> <li>Quarterly Capital monitoring meetings</li> <li>Investments approved in line with the annually agreed Treasury Management Strategy</li> <li>Annual refresh of HRA financial business plan</li> <li>Council approved Capital programme</li> <li>Financial implications added to Committee reports by Financial Services</li> <li>Financial strategies and budget reviewed through Policy and Finance Committee annually</li> <li>Use of external HRABP tool allows scenario planning</li> <li>Assigned project manager for each major project the Council is embarking on</li> <li>Director/Business Unit Manager quarterly meetings reviewing Directorate financial position</li> <li>Quarterly budget monitoring report tabled at SLT and Policy and Finance Committee</li> <li>Annual Financial Regulations training in place</li> <li>Current development programme ensuring growth in house numbers, over and above the offsetting disposals through Right to Buy</li> <li>Attendance at Housing related horizon scanning events, in order to feed future impacts into HRABP</li> <li>Review on housing management completed and housing service brought back in house. Efficiencies generated through budget review.</li> </ul> <p><b>Recently Completed Actions</b></p> <ul style="list-style-type: none"> <li>Arrange for Welland Procurement to deliver Generic Procurement training (NW)</li> <li>Full refresh of HRA Financial plan (NW)</li> </ul>
Vulnerability	<p>Financial</p> <p>Meeting corporate objectives</p> <p>Service delivery</p> <p>Reputation</p> <p>Governance</p> <p>Regulation</p> <p>Compliance</p>
Trigger/Event	<ul style="list-style-type: none"> <li>Change in national policy &amp; legislative requirements</li> <li>Increase in interest rates</li> <li>Increased rent arrears</li> <li>Suitability of stock meeting future standards</li> <li>Increase or change in standards required</li> <li>Current stock does not meeting housing needs</li> <li>Workforce issues</li> <li>Failing to ensure compliance with relevant legislation causing regulatory bodies to intervene</li> <li>Non-compliance with RSH regulatory standards</li> <li>Meeting tenant priorities</li> <li>Ineffective strategic decision making and business planning</li> <li>Key HRA major projects failure</li> </ul>

	<ul style="list-style-type: none"> <li>• Ineffective management of housing maintenance function</li> <li>• Loss of critical income streams</li> <li>• Fraud</li> <li>• Failure to manage critical income streams/ invest</li> <li>• Global Pandemic</li> <li>• Supplier/contractor cost increases due to demand/supply issues changes in the economy</li> <li>• Inability to secure sufficient external funding to regenerate existing stock to meet enhanced standards</li> <li>• Conflicting strategic direction and lack of regular review of 30 year business plan</li> <li>• Zero carbon works identifies significant increase in costs</li> <li>• Stock condition survey identifies significant increases in costs</li> </ul>
Impact	<ul style="list-style-type: none"> <li>• Inability to maintain stock to acceptable level including development of future stock</li> <li>• Changes in national policy requiring internal funding above levels sustainable within business plan.</li> <li>• Increased requirement to use internal funding,</li> <li>• Reprioritisation of service delivery</li> <li>• Cash reserves used to right off rent arrears and voids</li> <li>• Substandard housing stock</li> <li>• Loss of morale and high staff turnover</li> <li>• Fines, notices, court cases and legal fees</li> <li>• Moratorium of services</li> <li>• Stakeholder Dissatisfaction with service delivery</li> <li>• Greater scrutiny on service slowing decision making</li> <li>• Poor local housing policy</li> <li>• Project failure</li> <li>• Contract disputes</li> <li>• S151 officer issues S114 notice</li> <li>• Failure to service debt</li> <li>• Legislative requirements not met</li> <li>• Impact on residents and tenants</li> <li>• Increase in void properties</li> </ul>

Code & Title	SR103 Safeguarding	Lead Officer	Finch, Matthew (SLT)		
Description	Maintaining corporate safeguarding arrangements to ensure suitable and appropriate management of the councils safeguarding duties.	Supporting Officer(s)	Batty, Alan (BM - PPR)		
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	18-Oct-2021	3	B	Controlled

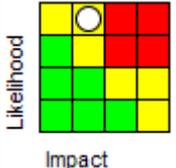
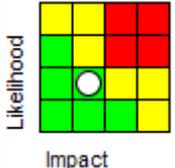
Controls/Actions In Place	<p><b>LEAD OFFICER: Director of Communities &amp; Environment - M Finch</b></p> <p>Countywide safeguarding policy adopted – and annual review  Disciplinary policy  Annual Review and Update of the Council’s Safeguarding Policy  Key Staff undertaken E-Learning  BMs and safeguarding specific training  Member training  PREVENT  Introduction to safeguarding training rolled out to all staff  Staff Induction training  Corporate safeguarding group meets quarterly  Safeguarding Support Officers in place  Shared safeguarding email  Annual completion of Section 11 return  Annual safeguarding review and report to SLT  DBS notification process for key risk areas- at recruitment/prior to appointment and at annual updates thereafter  Internal Audit  Notts wide network for referring information relating to PREVENT  Participating in serious case reviews as required  Learning from serious case reviews  Annual assurance report to committee with exception reporting if required  Undertake domestic homicide reviews as directed by CSP  Corporate Safeguarding group also assist in reviewing/developing this risk.  Modern day slavery training for front line staff  Corporate statement re Modern Day Slavery  County Lines multi agency meeting led by Police  Local NSDC group for County Lines</p>
Vulnerability	<p>Compliance /Legislation  Reputation  Financial  Resourcing  Partnerships  Governance  Vulnerable persons</p>
Trigger/Event	<p>Competing demands reducing managerial focus  Lack of provision of suitable training  Turnover of staff resulting in loss of continuity  Failure to identify a serious case (including County Lines, PREVENT, Modern day slavery, Domestic abuse)  Inappropriate response to a case or notification  Resurrection of a historic case  Lack of resources to respond to the safeguarding process (identification through to investigation and report)  Lack of corporate awareness and culture (members and officers)  Lack of communication with lead partner  Partnership failure  Non adherence to corporate policy</p>
Impact	<p>Harm is suffered by a vulnerable person  Serious case review by Nottinghamshire safeguarding board</p>

	<p>Litigation (criminal and civil) Disruption caused by targeting by groups/individuals - Pressure groups/family/individual(s) and other partner agencies Possible effect on future insurance costs depending on liability and claims history Personal Liability Staff Morale Radicalisation Reputational damage with community e.g. negative media Resourcing any additional works Child exploitation, domestic abuse, radicalisation, modern day slavery Organisational abuse (e.g. older people in Extra care homes)</p>
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Code & Title	SR104 Failure to deliver growth infrastructure	Lead Officer	Lamb, Matt (SLT)		
Description	Facilitating the provision of local infrastructure to ensure growth within the district to meet agreed plans & corporate priorities	Supporting Officer(s)	Business Manager (BM - HSR); Hughes, Lisa (BM - PDV); Norton, Matthew (BM - PPO)		
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	17-Sep-2021	4	C	Control Pending

Controls/Actions In Place	<ul style="list-style-type: none"> <li>Community Plan</li> <li>Infrastructure delivery plan</li> <li>CIL charging schedule and infrastructure list</li> <li>Development plan (Amended Core Strategy and Allocations and Development Management DPD)</li> <li>Local Development Framework Task Group</li> <li>Economic Development Committee and Full Council</li> <li>Planning Committee</li> <li>High performing planning service</li> <li>Active Lobbying</li> <li>Engagement with Developers, Stakeholders &amp; Partners</li> <li>Economic Growth Strategy – NewarkTown Investment plan &amp; Visitor economy strategy</li> <li>Continued liaison with Highways England to monitor progression of SLR and A1 overbridge.</li> <li>Southern link road – Continued liaison with Homes England re funding package</li> <li>Submitted Newark “levelling up” fund bid</li> </ul> <p><b>Consideration from Risk Management Review 25/11/20</b> Identify specifically which infrastructure is a risk under the vulnerabilities. Bring back to SLT.</p> <p><b>Recently Completed Actions</b></p> <ul style="list-style-type: none"> <li>A1 overbridge – Seek update from Highways Authorities on willingness to progress design and build. - ML</li> <li>Southern link road – Seek update from Homes England re funding package. – ML</li> <li>Continue Liaison with Highways England to monitor progress</li> <li>Publish annual infrastructure statement (CIL spend) – ML</li> <li>A46 duelling project – Seek update re delivery from Highways England - ML</li> <li>Appoint to Infrastructure Practitioner post – ML</li> <li>Prepare an SLT report setting out a framework for the production of an Infrastructure Funding Statement including processes for involving Members and infrastructure provider</li> <li>Develop and adopt Newark town place strategy: Develop and publish plan -ML</li> <li>Publish annual infrastructure statement (CIL spend) - ML</li> <li>Set up framework to produce infrastructure involving members</li> </ul>
Vulnerability	<p>Inability to deliver infrastructure projects to support growth. Specific projects include:</p> <p><b>Direct NSDC influence</b></p> <p>A1Overbridge (and inter-relationship with A46 Newark northern bypass)</p> <p><b>Indirect influence</b></p> <p>Southern link road - completion (grant funding) (and inter relationship with A46 Newark northern bypass)</p> <p>A614 roundabout – indirectly funding via section 106</p> <p>A46 improvement works – Influencing role</p> <p>Political Reputation Financial Partners and stakeholders</p>
Trigger/Event	<ul style="list-style-type: none"> <li>Government change in policy</li> </ul>

	<p>Partner funding withdrawn  Funding reduced  Funding bid failure  Withdrawal of Partners  Change in partnership priorities  Housing development stalls  Change in leadership  Poor strategic decision making  Failure of other related major infrastructure projects  Town fund delivery  A46 Newark northern bypass – Delivery and timing  A1 Overbridge – Technical constraints and increasing costs</p>
<p>Impact</p>	<p>Infrastructure not delivered  Inappropriate infrastructure delivered  Growth within district affected  Inadequate service provision  Government sanctions for inability to deliver housing growth  Housing development stalls  Social Inequality  Large Employer relocating outside district  Inward investment stalls  Newark devolution agreement  Impact on council's MTFP</p> <ul style="list-style-type: none"> <li>• Infrastructure not delivered</li> <li>• Inappropriate infrastructure delivered</li> <li>• Growth within district affected</li> <li>• Inadequate service provision</li> <li>• Government sanctions for inability to deliver housing growth</li> <li>• Housing development stalls</li> <li>• Social Inequality</li> <li>• Large Employer relocating outside district</li> <li>• Inward investment stalls</li> <li>• Newark devolution agreement</li> </ul>

Code & Title	SR105 Contract/supply failure		Lead Officer	Johnson, Deb (SLT); Shead, Suzanne (SLT)	
Description	Managing contracts with key suppliers, including NSDC wholly own companies, to ensure the continued delivery of an effective service and ensure delivery of the council's priorities and objectives.		Supporting Officer(s)	Wilson, Nick (BM - FIN); Business Manager (BM - HSR); Richardson, Dave (BM - ICT); Batty, Alan (BM - PPR); Brady, Ella (BM_TRC); Cook, Natalie (BM_TRC) Sue Bearman	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
		25/10/21	2	D	Control Pending

Controls/Actions In Place	<p><b>CONTRACT INCEPTION &amp; MANAGEMENT</b></p> <ul style="list-style-type: none"> <li>Contract register developed using Pro-Contract and actively managed by OD team (not fully populated or embedded yet see action)</li> <li>Contact renewal early warning provided by OD at quarterly meetings</li> <li>Procurement advice provided through Welland procurement</li> <li>Call off contract arrangements/template devised</li> <li>SLA template devised for consistency</li> <li>SLAs all reviewed</li> <li>SLA register devised and actively managed by OD</li> <li>Comprehensive audit undertaken of contracts</li> </ul> <p>Procurement rules</p> <ul style="list-style-type: none"> <li>Use of joint procurement service –Welland procurement</li> <li>Focus on local providers for some services</li> <li>Use of contract exemption forms where necessary</li> </ul> <p>WHOLLY OWNED COMPANIES</p> <ul style="list-style-type: none"> <li>Management agreements regularly reviewed</li> <li>Contract managers named for each</li> <li>Regular contract management meetings in place</li> <li>Active partnership approach embedded</li> </ul> <p>TRAINING</p> <ul style="list-style-type: none"> <li>Session delivered to BMs on contract management</li> <li>Session delivered to members on contract management</li> <li>Business continuity process/training</li> </ul> <p><b>RECENTLY COMPLETED ACTIONS FOR REVIEW</b></p> <ul style="list-style-type: none"> <li>Legal advice on developing contract templates</li> <li>Launch contract management training to all staff (DJ)</li> <li>Active4Today management and governance arrangement reviewed - Review current management and governance arrangement and make suitable changes subject to approval (KW)</li> <li>Contract management toolkit - Contract Management Toolkit complete and launched (DJ)</li> <li>Contract Novation from NSH to NSDC to take effect 1/2/2020(DJ)</li> <li>External legal advice to be used throughout contract novation process from Housing Management to NSDC (DJ)</li> <li>Legal are drawing up new contracts between the Council and suppliers of the Housing Management function to continue service provision from 1/2/2020 - Update Contracts 70% complete 07/02/2020 (DJ)</li> <li>Call off contracts deployed where appropriate - Identified business units to utilise call off contracts (SS/CCJ)</li> <li>Standard call off contract Standard call off contract</li> </ul>
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Vulnerability	Service delivery Financial Compliance (Regulatory, Health & Safety, Legislative) Governance Resources Reputational Procurement/lack of competition Project delivery
Trigger/Event	<p><b>CONTRACT INCEPTION</b></p> <ul style="list-style-type: none"> <li>. Lack of understanding of requirements and different provision mechanisms available</li> <li>. Lack of commercial approach and knowledge</li> <li>. Inadequate/ambiguous specification</li> <li>. Inadequate/ambiguous control/performance measures</li> <li>. Inadequate/ambiguous exit arrangements</li> <li>. Failure to engage relevant specialists in contract design</li> <li>. Contract is not signed and saved in corporate register</li> <li>. Limited market supply</li> <li>. Over reliance on single supplier(s)</li> <li>. Lack of competence in procurement</li> <li>. Lack of resource dedicated to procurement</li> <li>. Lack of preplanning for contracts</li> <li>. Lack of appropriate exit strategies</li> <li>. Limited availability due to emerging industries /concepts/technology/demand</li> </ul> <p><b>CONTRACT MANAGEMENT</b></p> <ul style="list-style-type: none"> <li>. No assigned contract manager</li> <li>. Contract manager is not appropriately trained/skilled</li> <li>. Contract manager resource is insufficient</li> <li>. Ineffective performance monitoring and reviews</li> <li>. Evergreen contracts in place</li> <li>. Change control/variations are not appropriately managed</li> <li>. Lack of ongoing challenge throughout the contract</li> <li>. Loss of key personnel/ key resilience</li> <li>. Relationship breakdown</li> <li>. Contractor fails to deliver/ isn't able to deliver (bankruptcy)</li> </ul> <p><b>WHOLLY OWNED COMPANIES</b></p> <ul style="list-style-type: none"> <li>. Management agreement not robust</li> <li>. Governance and oversight not appropriate</li> <li>. Inadequate/ambiguous governance arrangement</li> <li>. Contract management resource is insufficient/ unsuitable</li> <li>. Inadequate/ambiguous control/performance measures</li> <li>. Relationship breakdown and – objectives do not align</li> <li>. Lack of ongoing challenge throughout the contract</li> <li>. Board directors do not perform within required parameters</li> <li>. Lack of appropriate review of purpose of contract</li> </ul> <p><b>OTHER</b></p> <ul style="list-style-type: none"> <li>. Financial management not embedded as part of contract management process</li> <li>. Impact of Brexit (link to STRAT SR012 Brexit)</li> <li>. Business continuity/Emergency incident</li> <li>. Contracts not entered on contract register</li> <li>. Provision commences before contract is in place</li> <li>. Lack of appropriate overview of contract management</li> <li>. Pandemic</li> <li>. Link to SR106 - Workforce</li> </ul>
Impact	<b>FINANCIAL IMPACT</b> <ul style="list-style-type: none"> <li>. Additional costs to council (hidden costs, increased costs)</li> <li>. Best value not achieved</li> <li>. Fines</li> </ul>

- . Failure to utilise grant (repay grant because of failure to contract or contract failure)

#### SERVICE DELIVERY IMPACT

- . Provision is not timely/delayed
- . Poor/declining quality of service/provision
- . Increased unplanned demand
- . Inability to scale up/scale down provision to meet demand
- . Service failure
- . Not aligned to corporate objectives
- . Unable to procure

#### LEGISLATIVE IMPACT

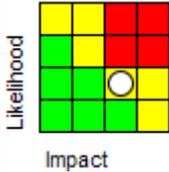
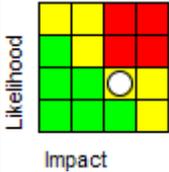
- . Data loss/GDPR compromised
- . Council's legislative obligations not met
- . Providers are not able to be challenged as contract not in place when service is commenced

#### REPUTATIONAL IMPACT

- . Customer/service user complaints increase
- . Member complaints increase
- . Negative media coverage

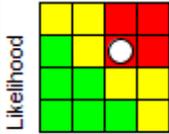
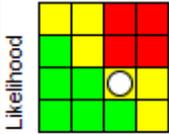
#### RESOURCE

- . Contract manager resource requirement is increased (leading to impact on other duties)
- . Other officer resource required to manage impacts (leading to impact on other duties)
- . Re-procurement additional resourcing
- . Project delay

Code & Title	SR106 Workforce	Lead Officer	Johnson, Deb (SLT)		
Description	Ensuring the council is able to recruit, maintain and retain appropriate staffing resource to ensure it is able to deliver its services and meet its corporate objectives.	Supporting Officer(s)	Glass, Caroline (BM - HR & Training)		
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
		26-Oct-2021	3	B	Controlled

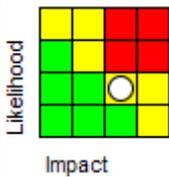
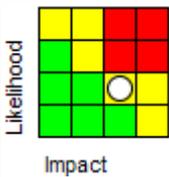
Controls/Actions In Place	<p>Business Planning embedded throughout the Council with clear links to Community Planning and Performance framework</p> <p>Managing absence standards and guidance</p> <p>Senior HR Officers provide support to Business Managers to manage staffing issues, e.g. sickness absence, capability etc.</p> <p>Effective communication arrangements are in place.</p> <p>Rolling programme of review for HR policies to ensure they remain robust and fit for purpose.</p> <p>Selima system provides Business Managers with ownership / control over staff sickness/Holiday approval etc. and provides corporate overview HR working closely with Business Managers to support organisational change.</p> <p>Partnership approach with recognised trade unions to support organisational change and current pandemic crisis (and any other similar extraordinary event).</p> <p>Counselling/therapy and welfare support services in place for staff.</p> <p>Visible inclusive leadership.</p> <p>Annual employee establishment planning process.</p> <p>Training and development programme to support ongoing development of skills and competencies and BM and other staff (i.e. change management, sickness and performance management and recruitment and softer skills)</p> <p>Targeted training interventions to support individual employee development and the facilitation of succession management.</p> <p>Family friendly policies and enhanced workplace entitlements to attract and retain quality candidates including hybrid working, flexible working, employee counselling and therapy services, health and wellbeing initiatives).</p> <p>Approved corporate priorities within the Community Plan 2019-23</p> <p>Comprehensive programme of activities to embed our culture and improve our sense of wellbeing and belonging</p> <p>Annual staff reward and recognition awards and a basket of seasonal activities</p> <p>Apprenticeships and graduate placements to support service succession management.</p>
Vulnerability	<p>Service delivery and resources</p> <p>Financial</p> <p>Compliance</p> <p>Governance</p> <p>Reputational</p> <p>Competence and Capability</p> <p>Leadership</p> <p>Mobility and agility of workforce</p> <p>Safety of workforce</p> <p>Increased instances of mental health problems in workforce</p>
Trigger/Event	<p>Key staff leaving e.g. with specific qualifications and/or experience and membership of professional body</p> <p>Number of staff leaving from one area/high turnover</p> <p>Inability to recruitment to key posts</p> <p>Lack of development opportunity</p> <p>Lack of team cohesion</p> <p>Lack of alignment with corporate values/behaviours/culture</p> <p>Pressure of work</p> <p>Demand in a specific skill set</p>

	<p>Uncompetitive in the job market place          Poor industrial relations and ineffective people management processes          Working environment          Key member of staff goes on long term sick          Uncertainty and/or significant change          Aging workforce/retirement planning          Pandemic or other significant emergency          Poor management/leadership          National shortages of specific skills (e.g. drivers, accountants, other professional)          Inability to provide equipment/tools to allow staff to effectively perform their duties (e.g. shortage of laptops due to global microchip shortages)</p>
Impact	<p>Service delivery impact –inability to deliver services or delivering reduced services          Reputational impact through poor service delivery          Reputation as an employer resulting in inability to recruit staff          Loss of capacity/under resourced          Loss of expertise and corporate memory          High recruitment costs          Additional time required to support recruitment activity and the induction of new staff and their development          Additional training costs          Impact on morale, culture and team performance          Increased levels of staff absence          Loss of opportunity through loss of networks          Increase in accidents          Impact of potential civil claim (e.g. employment tribunal. insurance) or criminal actions          Financial penalties/ombudsman decisions/other regulatory bodies          Increased demand on corporate services (e.g. HR,ICT)</p>

Code & Title	SR108 Emergency response		Lead Officer	Finch, Matthew (SLT)	
Description	The Council's ability to effectively respond as a category 1 responder to a major emergency and maintain a suitable response without affecting essential service delivery.		Supporting Officer(s)	Richardson, Dave (BM - ICT); Batty, Alan (BM - PPR)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Impact	 Impact	05-Nov-2021	3	C	Control Pending

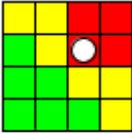
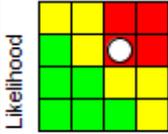
Controls/Actions In Place	<p><u>Emergency Plan/ Business Continuity</u></p> <ul style="list-style-type: none"> <li>• Emergency plans in place and securely stored on Resilience Direct</li> <li>• Incident specific emergency plans in place.</li> <li>• Periodic review of key services by EPO e.g. Emergency Planning and Business Continuity.</li> <li>• Management shows support for BCM through regular discussions in key meetings. Business Continuity is a regular agenda item - SLT Annual</li> <li>• Management shows support to appropriately prepare, maintain and exercise a Business Continuity Plan by assigning adequate resources, people and budgeted funds.</li> <li>• Periodic review of documents e.g. Emergency Plan, Business Continuity Plan.</li> <li>• Business Continuity Audit Review.</li> <li>• There is a Business Continuity Management (BCM) Policy and it is updated periodically. -</li> <li>• Managers and staff have been made aware of BCP and BCM and their responsibilities.</li> <li>• BCM – annual plan for BM and managers to attend training events on an annual basis</li> <li>• Managers have been consulted in developing the plan and key individuals who input is more important than others have been identified.</li> <li>• The Business Continuity Plan identifies all critical areas of the authority</li> </ul> <p>Regular BCP testing</p> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>• Corporate budget available to support existing flood alleviation schemes.</li> <li>• Council maintaining budget figure and reserve up to Belwin amount and beyond to cover emergency incidents.</li> <li>• Facilitation of government property level grant scheme in flood affected areas to enhance future resilience.</li> <li>• Proactive partners of district wide flood alleviation schemes</li> </ul> <p><u>Equipment/ Resources</u></p> <ul style="list-style-type: none"> <li>• Flood stores in some communities with provisions to self help and therefore not be as reliant on council.</li> <li>• Agile working arrangements.</li> <li>• Cyber security arrangements (See SR110)</li> <li>• Use and Audit of Resilience Direct as a Document Management System/repository</li> <li>• Load key documents onto Resilience Direct</li> <li>• Annual stock take of equipment in our Emergency Stores.</li> <li>• Scenario testing at least one exercise every two years</li> <li>• exercise carried out gap analysis of the testing.</li> <li>• Training &amp; LRF Training</li> <li>• Memorandum of Understanding for mutual aid.</li> <li>• Local Resilience Forum and annual assessment and review of plans.</li> <li>• BCP BCM training</li> <li>• Offering of Health &amp; Wellbeing advice e.g. offering flu vaccinations, mental health etc.</li> </ul> <p><u>Partners/Public</u></p> <ul style="list-style-type: none"> <li>• Work with EA (Environment Agency) on flood resilience work has mitigated/reduced the risk in some areas.</li> <li>• Improved monitoring systems by EA for earlier warning for floods.</li> <li>• Raised awareness of flood risk, therefore increased understanding self help and increasing resilience.</li> <li>• Attendance of LRF multi agency meetings for partners</li> <li>• East Midlands Group WARP group</li> </ul> <p>Emergency response data management tool move to correct location</p>
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Vulnerability	<ul style="list-style-type: none"> <li>Resourcing</li> <li>Reputation</li> <li>Expectations</li> <li>Partners</li> <li>Financial</li> <li>Suitability of response</li> <li>Service delivery</li> </ul>
Trigger/Event	<ul style="list-style-type: none"> <li>Extreme weather event of greater frequency and severity.</li> <li>Unpredictable district/regional/national emergency events.</li> <li>Council headquarters or key facilities are damaged.</li> <li>Pandemic Flu</li> <li>Cyber Attack</li> <li>Counter terrorist Attack</li> <li>Partners not playing part/full role</li> <li>Failure of resources / suppliers / supply chain</li> <li>Availability and resilience of key personnel</li> <li>Ineffective BCPs</li> <li>Concurrent events</li> <li>Loss of power/water to HQ</li> </ul>
Impact	<ul style="list-style-type: none"> <li>Drain on services and resources to provide an immediate and appropriate response/recovery.</li> <li>Managing and resourcing the longer term recovery process</li> <li>Business Continuity issues at Castle House and other council facilities - centres could be flooded, staff unable to get into work - loss of resources i.e. vehicles, premises.</li> <li>Reputational damage due to perceived failure to respond to emergency or maintain services</li> <li>Reputational damage to the District and attraction to place to live/work</li> <li>Failure to maintain critical services day to day</li> <li>Ceasing non-essential services</li> <li>Manage financial requirements of the emergency event</li> <li>Financial issues of being unable to claim back funding spent on assisting communities</li> <li>Financial implication of up front costs required during an emergency.</li> <li>Less likely to receive long term support to obtain government flood grants compared with high density areas due to cost benefit ratio.</li> <li>Effect on communities (commercial or domestic)</li> <li>Loss of key/ critical NSDC systems</li> <li>Inability to support critical projects and projects at a critical stage</li> </ul>

Code & Title	SR109 Corporate governance	Lead Officer	Bearman, Sue (SLT)		
Description	Risk of failure in systems of governance within the council, council owned/influenced organisations and partnerships or other collaborative arrangements.	Supporting Officer(s)	Hill, Nigel (BM - EDS); Wilson, Nick (BM - FIN); <del>Bearman, Sue (BM - LEG)</del> ; Brady, Ella (BM_TRC); Johnson, Deb (SLT)		
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
		11-Oct-2021	3	B	Controlled

Controls/Actions In Place	<p><b>S Bearman to review controls and update accordingly</b></p> <p>Code of corporate governance created, maintained and monitored in accordance with CIPFA guidance.</p> <ul style="list-style-type: none"> <li>. Corporate Governance self-assessment against the code of Corporate Governance undertaken periodically.</li> <li>. Periodic review of governance by 3 statutory officers.</li> </ul> <p>Annual review of Constitution which includes fit for purpose and up to date:</p> <ul style="list-style-type: none"> <li>. Officer code of conduct.</li> <li>. Officer registers of interests - Related third party transactions.</li> <li>. Section 151 officer/Monitoring officer/Head of Paid Service.</li> <li>. Gifts and hospitality - policy and register place.</li> <li>. Council Financial regulations and procedures,</li> <li>. Contract procedure rules</li> <li>. Whistle blowing policy</li> <li>. Anti-fraud and corruptions strategy</li> </ul> <p>Annual governance statement reviewed annually and reported to Audit and Accounts Committee. Annual Governance Statement goes to Feb meeting of Committee</p> <p>Creation of annual combined assurance report in conjunction with SLT and BMs.</p> <p>Internal Audit work including risk based Audit Plan.</p> <p>Effective use of External Auditor.</p> <p>Scrutiny by Audit and Accounts Committee</p> <p>Staff and member training in place</p> <ul style="list-style-type: none"> <li>. Training on governance issues including anti-fraud and financial regulations.</li> <li>. Counter fraud training delivered.</li> <li>. Member induction at the start of each new Council cycle.</li> </ul> <p>Complaints:</p> <ul style="list-style-type: none"> <li>. Localised standards framework and effective arrangements for dealing with complaints overseen by Policy and Finance Committee.</li> <li>. Internal complaints procedure.</li> </ul> <p>Fraud</p> <ul style="list-style-type: none"> <li>. Annual internal review of the Fraud Risk register to carry out proactive work, check on internal controls and is reported to members</li> <li>. Participation with National Fraud Initiative process</li> <li>. Options appraisal for counter fraud and implementation of preferred option.</li> </ul> <p>Appropriate insurance cover including Fidelity Guarantee.</p> <p>Oversight of Active4Today, Newark and Sherwood Homes, Arkwood and East Midlands Building Control.</p> <ul style="list-style-type: none"> <li>. Appropriate monitoring of performance of the third party or alternative service delivery methods.</li> </ul> <p>HR policies in place</p> <p>Recruitment process controls, e.g. References, Immigration, DBS.</p> <p>Horizon scanning at Business Manager briefings and effective communication between SLT and business managers.</p> <p>Measures in place to ensure IR35 compliance</p> <p>Schedules review of Corporate Governance (Q4 19/20)</p> <p>Governance review ongoing with support from LGA</p> <p><b>Recently Reviewed Actions</b></p> <ul style="list-style-type: none"> <li>• Initial meeting to discuss review of Audit and Accounts Committee remit (NW)</li> <li>• Annual Audit Plan produced, agreed and adopted</li> </ul>
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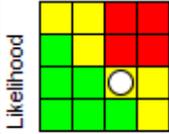
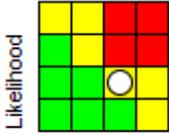
Vulnerability	<p>Service delivery  Governance  Fraud  Poor decision making/leadership  Reputation  Financial  Legal compliance  Partners/stakeholders</p>
Trigger/Event	<p>Failure to communicate, define, review and uphold governance standards policies to ensure fitness for purpose.  Failure of staff and councillors to understand their governance roles and responsibilities.  Failure to observe good governance.  Failure to adequately manage risk or monitor performance.  Failure in Policy adherence (All policies).  Malicious event e.g. Fraud, money laundering, etc.  Reduction in capacity and loss of key personnel and resources  Failure to adequately oversee governance standards of partnerships and other entities that the Council is involved in.  Failure of governance in wholly council owned companies  Failure of governance in partnership organisations  Negative findings identified by other organisations/bodies – Ombudsman and External Audit</p>
Impact	<p>Loss of opportunity and ability to meet corporate priorities  Financial resource loss.  Poor or inadequate decision making.  Service delivery issues.  Criminal or civil liability.  Regulator finding fault e.g. Internal Audit, External Audit, Ombudsman.  Government or peer intervention.  Failure of Council owned companies  Failure of partnerships  Ombudsman findings – Maladministration  Significant Audit findings – e.g. Public interest report  Reputational risk to the Council.  Negative media coverage.  Policies could be open to challenge.  Excessive legal costs incurred.  Poor staff morale.  High staff turnover.  Community disengagement.  Capacity redirected to address failures.  Inappropriate use of public office  Fraud and corrupt practice identified.  Fraud and corruption practices not identified or dealt with leading to an incident of fraud and corruption.</p>

Code & Title	SR110 Data management and security		Lead Officer	Kohli, Sanjiv (SLT)	
Description	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential, business critical information or breach of information governance legislation		Supporting Officer(s)	Baker, Jill (BM - CSC); Wilson, Nick (BM - FIN); Price, David (BM - HLM); Richardson, Dave (BM - ICT); Bearman, Sue (SLT)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Impact	 Impact	8/9/21	3	C	Control Pending

Controls/Actions In Place	<p><b><u>LEAD OFFICER - Sanjiv Kohli</u></b>  <b><u>Training/ Guidance/ Compliance/ Agreements</u></b></p> <ul style="list-style-type: none"> <li>. Data protection training including a section on information security and targeted training ongoing for staff located elsewhere and forms part of the induction process.</li> <li>. Guidance and training available for elected members. 3 GDPR sessions provided for newly elected members.</li> <li>. Guidance on security breach procedures for Business Managers as Information Asset Owners.</li> <li>. Ongoing training for all staff taking payments in line with PCI-DSS requirements.</li> <li>. Relevant training for ICT staff.</li> <li>. Weekly review of ICO guidance.</li> <li>. Compliance with the governments security arrangements.</li> <li>. PSN compliant data &amp; internet connections implemented.</li> <li>. Compliance with new Cabinet Office email standards achieved.</li> <li>. Information governance check on furniture that is being disposed of.</li> <li>. Information E Training completed by all staff.</li> <li>. Cyber Security now standing agenda item on monthly business unit management meetings.</li> <li>. Annual review of Information Asset Register.</li> <li>. Annual mandatory GDPR and cyber/phishing online training for all staff and councillors.</li> <li>. Governance arrangements established through CIGG with monthly review.</li> </ul> <p><b><u>ICT/Equipment</u></b></p> <ul style="list-style-type: none"> <li>. External Audit on ICT security annually.</li> <li>. Encryption for mobile devices.</li> <li>. VASCO tokens and Google Authenticator.</li> <li>. Quarterly ICT security checks internally.</li> <li>. Penetration test annually for external company - monthly scans of servers for weaknesses, monthly server updates and monthly scans of Microsoft Office and Windows.</li> <li>. Perimeter software - eg. mailmarshall &amp; webmarshall.</li> <li>. Hardening test on new virtual servers.</li> <li>. Documents scanned reducing the need for paper.</li> <li>. Secure server room.</li> <li>. East Midlands WARP membership - alerting networking facility regarding any breaches.</li> <li>. Monthly updates of Adobe products.</li> <li>. Program in place to ensure the continual maintenance &amp; upgrade of the ICT environment.</li> <li>. Secure portal for Members to access the Extranet.</li> <li>. Airwatch MDM (Mobile Device Management) implementation for mobile devices.</li> <li>. DMark, DKim SPF and TLS secure email authentication software.</li> <li>. Cryptshare for encrypting secure emails and large files for email.</li> <li>. Report &amp; record all cyber-attacks/attempts and escalate to CMT where appropriate Users own devices cannot connect to network</li> <li>. 'Consent' tick box on appropriate forms.</li> </ul> <p><b><u>Policies/Audit</u></b></p> <ul style="list-style-type: none"> <li>. Information management framework incorporating Security Policy and Security Breach Policy.</li> <li>. Annual SIRO audit.</li> <li>. Retention of document policy.</li> <li>. Data Protection policy.</li> <li>. Confidential waste handling procedure.</li> <li>. Review of policies and procedures to ensure compliance with latest Payment Card Industry- Data Security Standard (PCI-DSS)</li> </ul>
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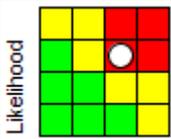
	<ul style="list-style-type: none"> <li>. Data security part of consideration as part of future strategic projects.</li> <li>. All aspects of GDPR action plan completed including compulsory e-learning for all staff.</li> <li>. SIRO audit completed confirming processes in place for identifying risks associated with any new project/process.</li> <li>. CIGG meeting every two months to review any new risks.</li> <li>. Periodic PCI/DSS compliance checks</li> <li>. Data Privacy Impact Assessment.</li> </ul> <p><b><u>Partners/ Stakeholders/ Staff</u></b></p> <ul style="list-style-type: none"> <li>. Non-disclosure agreements in place for third party access.</li> <li>. Use of data processing and agreements with partners.</li> <li>. CIO/SIRO/DPO appointed.</li> <li>. CIGG in place.</li> <li>. Use of licensed confidential waste handler.</li> <li>. Letters sent to all third parties who process personal data on behalf of NSDC advising of additional responsibilities under GDPR and data processing agreements in place.</li> <li>. Actions arising from report to SLT on third party users implemented.</li> <li>. Reviewed by CIGG.</li> </ul>
Vulnerability	<p>Loss of vulnerable, personal, sensitive valuable data  Legal compliance  Reputation  Financial  Partners/stakeholders  Disruption of service from a cyber attack</p>
Trigger/Event	<ul style="list-style-type: none"> <li>• Personal, confidential or corporately sensitive/business critical information disclosed unintentionally or through error of judgement when responding to requests for information, data breach - intentional (malicious) or unintentional.</li> <li>• Theft or loss of equipment/papers/data belonging to the council, partners or third party companies.</li> <li>• Cyber attack: (either targeted such as denial of service or unintentional access to link on another website).</li> <li>• Agile Working i.e. mobile/remote/home working/home printing/disposal of printed data/Outreach posts.</li> <li>• Reducing resources with less capacity for processing data.</li> <li>• Loss of key resources/staff.</li> <li>• Decommissioning of property</li> <li>• Collaborative working, sharing, outsourcing and partnership working (including external printing and hybrid mail)/involvement in other peoples' data</li> <li>• Partnership working and sharing new service locations/data sharing issues.</li> <li>• Partner's/contractor's/host's poor data management and information security leading to data breach/loss.</li> <li>• Government integration agenda e.g. Increased working between public bodies</li> <li>• Use of BYOD (Bring your own device).</li> <li>• Use of suppliers/third parties, etc.</li> <li>• Local government reorganisation/Combined authority/change in service delivery model.</li> <li>• Third party access to IT systems.</li> <li>• New and inexperienced staff/elected members with access to data.</li> <li>• Termination of PSN/GCSX standards by the Cabinet Office limiting options for securely sharing with some Public Sector organisations.</li> <li>• Failure to comply with relevant standards and legislation including PCI-DSS/Cyber Essentials/NCSC best practice/PSN.</li> <li>• Unsupported software/unforeseen loss of support</li> <li>• Housing management re-alignment and integration of services</li> <li>• Adoption of unsupported/dated systems from third parties</li> <li>• Emergency event/Pandemic – leading to increased reliance upon ICT systems</li> <li>• Accelerated delivery of digital agenda</li> </ul>
Impact	<ul style="list-style-type: none"> <li>• Individual loss/damage to an individual where the Council inappropriately released their personal data e.g. Civil claims.</li> </ul>

- Damage to reputation of the Council/trust by the public.
- Breach of Access to Information legislation bringing about financial/legal damage - imposed on the Council by the Information Commissioner and other Statutory Bodies.
- Financial/ resource impact of Information Commissioner investigation.
- Disciplinary action taken against a member of staff and elected members if a breach is found to be deliberate/malicious.
- Operational and resource issues eg. Service interruption - where focus has to be taken away from service delivery to dealing with the breach.
- Individual loss/damage to an individual where the Council inappropriately released their personal data eg. civil claims.
- Drain on resources to process and enable conformity in legislation.
- Greater demand on existing resource
- Impact on Agile working - lack of ability to work remotely and available physical resource
- Cyber-attack leading to system downtime/damage/loss of data (Ransom Ware) and financial loss/ resource drain
- Loss of provision to customers and partners e.g. Active4Today, DWP, CCTV (under current arrangements) leading to disputes over SLAs and contracts and potential loss of income, e.g. partner rent for Castle House.
- Negative media coverage
- Less control over data as service delivery models become more complex
- Loss of partner data where the council is the data processor - subsequent impact on partner's reputation.
- Loss of confidence with the Council
- Loss of confidence with partners and stakeholders
- Withdrawal of service from partners and stakeholder
- Increased demand on existing services
- Inability to deliver critical/key services
- Capability of infrastructure/system to deliver services – i.e. increased demand during emergencies

Code & Title	SR111 Arkwood Development		Lead Officer	Robinson, John (SLT)	
Description	Managing performance and the relationship between the Council and Arkwood Developments in accordance with the governance agreement.		Supporting Officer(s)	Marshall, Will (A2) Transformation; Wilson, Nick (BM - FIN); Brady, Ella (BM_TRC)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	10-Nov-2021	3	B	Control Pending

Controls/Actions In Place	<p><b>LEAD OFFICER - J Robinson</b></p> <p>Shareholder Committee established and membership agreed  Shareholder meetings scheduled  Shareholder Committee Members training session completed on 17/1/18  Company's Articles and shareholder agreement in place  Shareholder Committee approve business plan for company and business case for each development site  Monthly officer contract meetings between Arkwood and council  Internal Audit Report giving substantial assurance  Inclusion of risk register by company with business cases</p> <p><b>RECENTLY COMPLETED ACTIONS FOR REVIEW</b></p> <p>SLAs for HR, Finance, ICT, Information Governance and Administration to be agreed between company and council by end of financial year 19/20.</p>
Vulnerability	<p>Financial  Reputation  Service Delivery  Conflict of interest</p>
Trigger/Event	<p><u>Financial</u>  Loan repayments from the company are not made  Company failure to deliver approved Business Plan  Company failure to pay monies to the Council e.g. land transactions costs, SLA costs  Company failure to pay monies in a timely way  Company failure to manage cash flow</p> <p><u>Reputational</u>  Poor leadership  Company insolvency  Poor quality development leading to customer dissatisfaction  Secretary of State call in planning decisions made by council on company developments</p> <p><u>Compliance Issues</u>  Operational failure leading to non compliance/legislative failure  Compliance failure by the Company (ie. legislative &amp; policy)</p> <p><u>Lack of Delivery</u>  Failure to adhere to business plan  Lack of awareness of company purpose  Company failure to secure planning consent on developments</p> <p><u>Market &amp; External Factors</u>  Brexit - market volatility  Downturn in economy  Failure to understand and develop to meet market needs  Changes in local and national policy &amp; legislation e.g. restraints in legislation from Council  Lack of skills to deliver developments to quality and on time (e.g. skills shortage)  Market and external construction prices leading to increased cost of build</p> <p><u>Resource Demand</u>  Insufficient resourcing (e.g. internal capacity to deliver)  Over resourcing  Incorrect or over demanding SLA's</p>

	<p>Failure to deliver Council objectives due to increased amount of time spent by board of directors on company rather than substantive role</p> <p><u>Relationship with Company</u>  Lack of communication between Company and Council  Lack of regular updates/ assurance from company  Conflict of interest - failure of the council to demonstrate the company's independence</p>
Impact	<p><u>Financial</u>  Return on investment to the council not realised  Lack of sustainability and viability of company  Council not achieving aims &amp; objectives as set out in Council's Commercial strategy</p> <p><u>Resource Demand</u>  Substantive council roles of directors compromised  Council resource overstretched – poor quality service to council or company</p> <p><u>Reputational</u>  Adverse impact on reputation  Inability to contribute to local plan housing numbers  Impact on reputation with key partners and stakeholders</p> <p><u>Market &amp; External Factors</u>  Lack of housing that meets market demand</p> <p><u>Partners/Relationships</u>  Relationship breakdown between council and company</p>

Code & Title	SR113 Community issues - Pandemic		Lead Officer	Finch, Matthew (SLT); Shead, Suzanne (SLT)	
Description	Immediate and longer term economic and societal impact of global pandemic on NSDC communities and its business economy – specifically concerned with: deprivation, direct effect on specific communities/vulnerable persons and the local economy.		Supporting Officer(s)	Cuttell, Neil (BM - ECO); Wilson, Nick (BM - FIN); Batty, Alan (BM - PPR); Hardy, Andy (HHC); Lamb, Matt (SLT); Shead, Suzanne (SLT)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	18-Oct-2021	3	C	

Controls/Actions In Place	<ul style="list-style-type: none"> <li>• Lifting lock down action plan</li> <li>• Financial support for local businesses</li> <li>• Newark Towns Fund</li> <li>• Economic Growth &amp; Recovery Strategy 2020 (inc. Action Plan)</li> <li>• Sherwood Levelling Up Fund</li> <li>• Community Support Grants</li> <li>• Attendance of LRF county recover group</li> <li>• SLT – COVID regular weekly updates</li> <li>• Targeted communications</li> </ul>
Vulnerability	<ul style="list-style-type: none"> <li>• Financial</li> <li>• Local economy</li> <li>• Vulnerable persons / Communities</li> <li>• Reputation</li> <li>• Pressure on services</li> </ul>
Trigger/Event	<ul style="list-style-type: none"> <li>• Continuation of pandemic – further waves, variants of concern</li> <li>• End of Furlough</li> <li>• Continued or new restrictions and impact on key sectors</li> <li>• Changes in behaviour as a result of the pandemic into the medium term i.e. key sectors/high street/retail/hospitality/entertainment/ online/leisure/exercise preferences choices</li> <li>• Financial security/investment decisions</li> <li>• Recession and job losses</li> </ul>
Impact	<p><b>Financial impact –</b>  Government re-organisation  Changing to tax system and Local Government funding  Business failures leading to reduced business rates  Impact on fees and charge - reduced income  New business and sectoral opportunities</p> <p><b>Local Economy –</b>  Behavioural change: i.e. Retail economy – shrinkage (shift to online/reduced capacity due to restrictions/social distancing/over-provision and repurposing) including  Leisure/entertainment/culture/heritage/events activities</p> <p>Hospitality/night time economy – Change in habits  Recession  Town centre footfall Downturn in footfall in town centre</p>

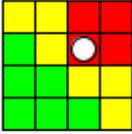
Office accommodation demand and vacancy– homeworking  
Empty properties  
Decline/change in town centre offer  
Rethinking use of Public realm and open spaces

**Vulnerable persons/communities-**

Greater deprivation in already vulnerable areas/sectors  
Welfare reform??  
Greater deprived areas/workforces are less able to be flexible re working arrangements  
Disadvantaged due employers sick pay arrangements and need to earn  
Younger persons – opportunities restricted/resilience/health/work types available  
Social mobility  
Possible reduced funding for supporting these communities  
Disproportionate sectoral impacts and those employed within affected sectors  
Mental health and wellbeing  
Impact on voluntary sector

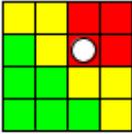
**Reputation –**

Lack of trust  
Questioning of organisations ability to deliver  
Value for money?  
Austerity messaging?  
Lack of understanding and messaging – degree to which we can change market forces

Code & Title	SR114 Environment		Lead Officer	Finch, Matthew (SLT)	
Description	Ability to meet requirements of the government's green agenda and aspirations/expectations of the NSDC community in delivering a greener/carbon neutral service.		Supporting Officer(s)	Ashton, Briony (A2); Brady, Ella (BM_TRC)	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Likelihood Impact	 Likelihood Impact	14-Oct-2021	3	C	Control Pending

Controls/Actions In Place	<ul style="list-style-type: none"> <li>• Climate emergency declared</li> <li>• Approved date for net neutral - 2035</li> <li>• Costed action plan to support net neutral date</li> <li>• Appointed Environmental Policy and Projects Officer</li> <li>• Climate emergency project working group – meets quarterly</li> <li>• Project working group for depot development</li> <li>• Annual report to P&amp;F – Activities undertaken and carbon footprint</li> <li>• Internal Audit</li> <li>• Urban tree challenge grant – 4000 trees planted</li> <li>• Developed business cases for kerb side food and glass collection</li> <li>• Financial planning - MTFP</li> <li>• Elected member working party utilised to develop climate emergency strategy plan</li> <li>• Community plan</li> </ul>
Vulnerability	<ul style="list-style-type: none"> <li>• Financial</li> <li>• Reputation</li> <li>• Statutory compliance</li> <li>• Disruption of service-Pressure groups /community action</li> <li>• Negative media/comms</li> </ul>
Trigger/Event	<ul style="list-style-type: none"> <li>• Climate change conference</li> <li>• Government policies and legislation- i.e. national waste and resources strategy, environment bill, 2030 internal combustion engine phase out, national tree strategy.</li> <li>• Budget pressure/planning/demand - MTFP</li> <li>• Lack of financial support from government to implement</li> <li>• Availability/cost/maturity of technology</li> <li>• Incentivising of tariffs – cost v return</li> <li>• Legacy issues -housing/fuels/infrastructure</li> <li>• Resident/User engagement/participation - Behaviour change</li> <li>• Active pressure groups</li> <li>• Political influence</li> <li>• Declaration of climate emergency</li> <li>• Impact of media/social media events/influential individuals</li> <li>• Poor communications</li> <li>• Partnership failure</li> <li>• Bidding arrangements/competition – restrictive nature of government funding to date</li> </ul>

Impact	<ul style="list-style-type: none"><li>• • Not meeting governmental targets</li><li>• Penalties -TBC</li><li>• Reputation</li><li>• Negative media</li><li>• Political/public pressure for improvement/campaigns against</li><li>• Increased scrutiny and workload</li><li>• Budget gaps</li><li>• Impact on other service provision</li><li>• Lack of infrastructure to improve</li><li>• Lack/loss of control in light of government mandated service provision</li><li>• Increased costs arising from emerging technology, reduced tariffs and government policy</li><li>• Unable to deliver due to access/obtain government funding/ technology</li><li>• Unable to deliver on climate strategy</li><li>• Customer disengagement</li></ul>

Code & Title	SR115 Regulatory and statutory compliance management		Lead Officer	Kohli, Sanjiv (SLT); Shead, Suzanne (SLT)	
Description	Implementation and maintenance of suitable statutory safety compliance management systems.		Supporting Officer(s)	Eyre, Mark (BM - AMP); Wagstaff, Caroline (BM - HMA); Mark, (A2) Plant	
Current Risk Status	Target Risk Status	Review Date	Impact Score	Likelihood	Risk Management
 Impact	 Impact	26-Oct-2021	3	C	

Controls/Actions In Place	<ul style="list-style-type: none"> <li>• Policies and procedures – (Need for policy review)</li> <li>• Dedicated Compliance teams and compliance reporting</li> <li>• Dedicated software –asset compliance/management software ICT systems</li> <li>• Contract management systems</li> <li>• Performance management systems</li> <li>• Training and competence Staff/tenants/contractor</li> <li>• Information/education to tenants</li> <li>• Enforcement of tenancy agreements</li> <li>• Assurance and scrutiny process – operational and committee levels</li> <li>• Use of specialist contractors/advisors</li> <li>• Competent/licenced/registered engineers/inspectors</li> <li>• Auditing and inspection processes</li> <li>• Reconciliation processes</li> <li>• Complaints processes</li> <li>• Tenant engagement</li> <li>• Maintenance/inspection programmes</li> <li>• Pre let inspections</li> <li>• Business planning</li> <li>• Compliance with regulatory standards</li> <li>• Legal/enforcement action/Fines/Regulatory judgement • H&amp;S</li> <li>• Civil claims</li> <li>• Service delivery - Loss of essential service &amp; System/equipment failure/out of use</li> <li>• Negative media coverage</li> <li>• Reputation</li> <li>• Customer satisfaction/impact</li> <li>• Financial impact (rectification)</li> <li>• Increased resource demand</li> </ul>
Vulnerability	<ul style="list-style-type: none"> <li>• Legal/enforcement action/Fines/Regulatory judgement • H&amp;S</li> <li>• Civil claims</li> <li>• Service delivery - Loss of essential service &amp; System/equipment failure/out of use</li> <li>• Negative media coverage</li> <li>• Reputation</li> <li>• Customer satisfaction/impact</li> <li>• Financial impact (rectification)</li> <li>• Increased resource demand</li> </ul>
Trigger/Event	<ul style="list-style-type: none"> <li>• Poor management systems</li> </ul>

	<ul style="list-style-type: none"> <li>• Failure to undertake statutory examinations</li> <li>• Poor record keeping /management</li> <li>• Remedial works not undertaken in a timely manner</li> <li>• Contract management – controls to manage/address poor performance/contract exit arrangements, use of evergreen contracts (non-ending), poor procurement</li> <li>• Poor contractor engagement</li> <li>• Cyber-attack/Ransom ware –denied/denying access to records</li> <li>• Data protection loss/GDPR</li> <li>• Routine inspection/audit identifies failure</li> <li>• Incorrect response to an accusation, complaint or request for service</li> <li>• Unauthorised repairs, Sabotage, maintenance, alterations and installations</li> <li>• Pandemic</li> <li>• Emergency incident – fire, gas, flood, etc.</li> <li>• Essential supplier chain failure/goes into administration.</li> <li>• Incorrect sub-contracting procedures</li> <li>• Change in legal/regulatory requirements</li> <li>• Failure of ICT and associated support systems</li> <li>• Recruitment – inability due to market demands</li> <li>• Loss of key personnel</li> <li>• Insufficient finance</li> <li>• Insufficient Resourcing</li> </ul>
Impact	<ul style="list-style-type: none"> <li>• Fines/enforcement action</li> <li>• Unable to deliver a suitable service/essential service</li> <li>• Resource demand/conflict</li> <li>• Financial – budget overspend, income generation/protection, rent loss, MTFP, viability of HRA business plan. Effect on GF income</li> <li>• Loss/reduction of service to Council, partners and tenants(commercial and domestic)</li> <li>• Reputation</li> <li>• Need to re home tenants</li> <li>• Leaseholders litigate</li> <li>• Negative local or national press coverage</li> <li>• Increased scrutiny – customer, committees, etc.</li> <li>• Self-referral to regulatory (co-regulation)</li> <li>• Commercial viability of building/site</li> <li>• Tenancy enforcement</li> <li>• Contract failure/suspension</li> <li>• Contract dispute</li> <li>• Increase turnover of staff</li> <li>• Inability to recruit the right staff</li> <li>• Poor morale/stress of workforce</li> <li>• Political engagement</li> <li>• Enforcement agency engagement</li> <li>• Accident/incident/poisoning</li> <li>• Civil claim due to failure</li> </ul>