



Report to: Audit & Governance Committee Meeting 23.11.22
Director or Business Manager Lead: Matthew Finch – Communities and Environment
Lead Officer: Richard Bates – Safety and Risk Manager.

Report Summary	
Report Title	Strategic Risk Review
Purpose of Report	To provide an update to members on the status of the Council's 2022/23 Strategic Risk Register.
Recommendations	Members of the Committee are asked to note the content of this report and to highlight any issues of concern.
Reason for Recommendation	To ensure Committee members are aware of the status of the Council's strategic risks.

1.0 Background

- 1.1 The Risk Management function is the process of identification and management of significant risks faced by the Council which have the potential to prevent it from achieving its key/agreed objectives. Proactively identifying potentially significant risks and implementing suitable control strategies help prevent these risks from being realised, or this is not possible, mitigate to a tolerable level.
- 1.2 Strategic risks are those risks that have the potential to halt or significantly interfere with the ability of the Council to achieve its core objectives, priorities and/or ambitions.
- 1.3 The contents of the Strategic Risk Register were reported to Members in April 2022. The content of the current risk register has not changed since this last report and continues to have 13 strategic risks. These are listed in the table below.

Strategic Risk Register – 2022/23		
Title	Description	Owner(s)
SR201 Financial sustainability – General Fund	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
SR202 Financial sustainability - HRA	Financial sustainability of the HRA to ensure the council is able to provide, maintain and develop its housing stock.	Sanjiv Kohli Suzanne Shead
SR203 Safeguarding	Preventing failures within safeguarding arrangements to ensure protection of vulnerable persons.	Matthew Finch
SR204 Failure to deliver growth infrastructure	Facilitating the provision of local infrastructure to ensure growth within the district to meet agreed plans & corporate priorities	Matthew Lamb
SR205 Contract/supply failure	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
SR206 Workforce	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
SR207 Emergency response	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
SR208 Corporate governance	Risk of failure in systems of governance within the council, council owned/influenced organisations and partnerships or other collaborative arrangements.	Sue Bearman
SR209 Data management and security	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential, business critical information or breach of information governance legislation.	Sanjiv Kohli
SR210 Arkwood Development	Managing performance and the relationship between the Council and Arkwood Developments in accordance with the governance agreement.	John Robinson
SR211 Community Issues - Pandemic	Understanding trends in the local COVID infection rates and its impact on local communities	Matthew Finch
SR212 Environment	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

SR213 Regulatory and Statutory compliance management	Implementation and maintenance of suitable statutory safety compliance management systems.	Sanjiv Kohli Suzanne Shead
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- 1.4 It has recently been identified that the current strategic risk register does not address the issues/risks posed by the current cost of living crisis to the council, its services, and the communities it serves. This risk has recently been considered by SLT, who have subsequently agreed to its inclusion within the current risk register. It is envisaged that a drafted version of this risk will shortly be considered by the newly assigned risk owner and supporting officers, with a view to include within the next quarter reviews.
- 1.5 All current risks have been fully developed and action plans produced.
- 1.6 The table below illustrates the current risk scores and location of each strategic risk within the agreed corporate risk matrix.

Likelihood	4 Certain		SR205		
	3 Very likely		SR201	SR206, SR209, SR212, SR213	SR204
	2 Likely			SR202, SR203, SR207, SR208, SR210, SR211	
	1 Remote				
		1 Minor/ trivial	2 Moderate	3 Severe	4 Critical
Impact					
Green Risks - Generally acceptable and require only monitoring with no further action.					
Yellow Risks - Present a higher level of risk /failure. They require an action plan that identifies how the risk is to be mitigated, managed or if possible eliminated.					
Red Risks - These risks present the highest risk of failure/loss and therefore require the greatest level of management.					

- 1.7 Strategic risks SR204, SR206, SR209, SR212 and SR213 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.
- 1.8 All 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.

1.9 All strategic risks continue to be reported to SLT, via our agreed assurance process, on a quarterly basis. The purpose of this process is to identify those risks that are red, failing or not reviewed during the previous quarter, for consideration by SLT.

1.10 All thirteen strategic risk assessments have been appended to this report in full.

2.0 Proposal/Options Considered

2.1 It is proposed that a risk workshop will take place in January 2023. The workshop will lead SLT through the regional, national and international issues that may impact on the likelihood of a new risks developing. SLT will then review all the current risks to ensure they are still applicable to the Council and will identify any additional emerging risks that will need to be added to the register.

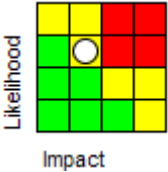
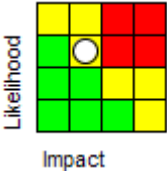
3.0 Implications

In writing this report and in putting forward recommendation's officers have considered the following a range of implications. This report in itself does not have any implications. During the risk reviewing process any controls that are identified are considered in terms of the implications they may have before they are agreed as an appropriate control.

Background Papers and Published Documents



None for this report

APPENDIX 1 – Strategic Risks

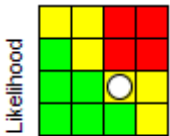
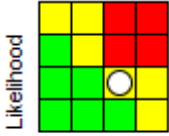
SR201 Financial sustainability – General Fund					
Description	Ensuring financial sustainability of the general fund to allow the council to undertake its core functions, deliver services, meet its corporate priorities and objectives				
Lead Officer	Kohli, Sanjiv (SLT)				
Support Officers	Nick Wilson				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	02-Aug-2022	2	C	Controlled	
Controls/Actions In Place	<p>Quarterly Capital monitoring meetings</p> <p>Investments approved in line with the annually agreed Treasury Management Strategy</p> <p>Annual refresh of Medium-Term Financial Plan including management of reserves</p> <p>Council approved Capital programme</p> <p>Financial implications added to Committee reports by Financial Services and a unique reference given each time</p> <p>Financial strategies and budget reviewed through Policy and Finance Committee annually</p> <p>Use of external Medium Term Financial Plan tool which assists with forecasting future Business Rates income for the following year budget</p> <p>Assigned project manager for each major project the Council is embarking on</p> <p>Corporate Projects Team established to identify business opportunities in service areas</p> <p>Director/Business Unit Manager quarterly meetings reviewing Directorate financial position</p> <p>Approved Commercial strategy to support objectives set out in the MTFP</p> <p>Approved Investment Plan to support the objectives set out in the Commercial Strategy</p> <p>Nottinghamshire Business Rates Pool mitigating large impacts of reductions in Business Rates. This is kept under review by Nottinghamshire S151 officers</p> <p>Quarterly budget monitoring report tabled at SLT and Policy and Finance Committee</p> <p>Annual Financial Regulations training in place</p> <p>Lead authority for administration around Notts Business rates pool</p> <p>Contract procedure rules in Constitution refreshed May 22</p> <p>Acquisition and disposal policy</p> <p>Internal Audit</p>				
Risk Categories	<p>Financial</p> <p>Meeting corporate objectives</p> <p>Service delivery</p> <p>Reputation</p> <p>Governance</p> <p>Compliance</p>				
Trigger/Event	<p>Unforeseen rise in interest rates over forecasted levels</p> <p>Changes in national policy e.g. fair funding review, change to government political parties</p> <p>Banking crisis</p> <p>Over reliance and poor decision making on investments</p> <p>Member priorities diverging from corporate priorities</p> <p>Increase CPI/RPI figures</p> <p>Failure of subsidiary companies</p> <p>Major contract failure</p> <p>Failure of HRA</p> <p>Reduction in Business Rates</p> <p>Poor decision making and business planning</p>				

	<p>Budgeted income levels not meeting target Impact on promised funding not as expected Change in government policy significantly reducing income/funding Changes in government policy/direction impacting resulting in additional costs Failure in compliance/ governance Fraud Global Pandemic Economic downturn Cyber-attack/fraud Utility price increase Supply chain – significant sudden increase in costs Levelling up Nottingham and Nottinghamshire project</p>
Impact	<p>Inability to deliver service Inability to meet corporate priorities/community plan Inability to meet legislative requirements External auditors review Government taskforce Negative media/reputation Loss of ability to make local decisions Division between members and officers Greater division between political parties Staff morale, loss of key staff and reduction in workforce Staff morale and loss of key staff Fines/ enforcement S151 officer issues S114 notice GF fails due to third party failure, i.e. HRA/subsidiaries Curtailed activities of the subsidiaries/HRA/Major projects Impact on residents and communities Impact on income streams Reduction/disposal of assets</p>

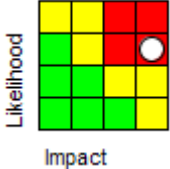
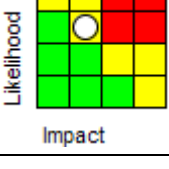
SR202 Financial sustainability - HRA

Description	Financial sustainability of the HRA to ensure the council is able to provide, maintain and develop its housing stock.				
Lead Officer	Kohli, Sanjiv (SLT); Shead, Suzanne (SLT)				
Support Officers	Nick Wilson				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
 <p style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">Impact</p>	17-Oct-2022	3	B	Control Pending	 <p style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">Impact</p>
Controls/Actions In Place	<ul style="list-style-type: none"> Quarterly Capital monitoring meetings Investments approved in line with the annually agreed Treasury Management Strategy Annual refresh of HRA financial business plan Council approved Capital programme Financial implications added to Committee reports by Financial Services Financial strategies and budget reviewed through Policy and Finance Committee annually Use of external HRABP tool allows scenario planning Assigned project manager for each major project the Council is embarking on Director/Business Unit Manager quarterly meetings reviewing Directorate financial position Quarterly budget monitoring report tabled at SLT and Policy and Finance Committee Annual Financial Regulations training in place Current development programme ensuring growth in house numbers, over and above the offsetting disposals through Right to Buy Attendance at Housing related horizon scanning events, in order to feed future impacts into HRABP Review on housing management completed and housing service brought back in house. Efficiencies generated through budget review Reserves in place 				
Risk Categories	Financial Meeting corporate objectives Service delivery Reputation Governance Regulation Compliance				
Trigger/Event	Change in national policy & legislative requirements Increase in interest rates Increased rent arrears Suitability of stock meeting future standards Increase or change in standards required Current stock does not meeting housing needs Workforce issues Failing to ensure compliance with relevant legislation causing regulatory bodies to intervene Non-compliance with RSH regulatory standards Meeting tenant priorities Ineffective strategic decision making and business planning Key HRA major projects failure Ineffective management of housing maintenance function				

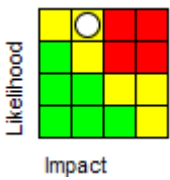
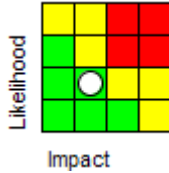
	<p>Loss of critical income streams Fraud Failure to manage critical income streams/ invest Global Pandemic Supplier/contractor cost increases due to demand/supply issues changes in the economy Inability to secure sufficient external funding to regenerate existing stock to meet enhanced standards Conflicting strategic direction and lack of regular review of 30 year business plan Zero carbon works identifies significant increase in costs Stock condition survey identifies significant increases in costs</p>
Impact	<p>Inability to maintain stock to acceptable level including development of future stock Changes in national policy requiring internal funding above levels sustainable within business plan. Increased requirement to use internal funding, Reprioritisation of service delivery Cash reserves used to right off rent arrears and voids Substandard housing stock Loss of morale and high staff turnover Fines, notices, court cases and legal fees Moratorium of services Stakeholder Dissatisfaction with service delivery Greater scrutiny on service slowing decision making Poor local housing policy Project failure Contract disputes S151 officer issues S114 notice Failure to service debt Legislative requirements not met Impact on residents and tenants Increase in void properties</p>

SR203 Safeguarding					
Description	Preventing failures within safeguarding arrangements to ensure protection of vulnerable persons.				
Lead Officer	Finch, Matthew (SLT)				
Support Officers	Alan Batty				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
 <p>Likelihood</p> <p>Impact</p>	10-Aug-2022	3	B	Controlled	 <p>Likelihood</p> <p>Impact</p>
Controls/Actions In Place	<ul style="list-style-type: none"> • Countywide safeguarding policy adopted – and annual review • Annual Review and Update of the Council's Safeguarding Policy • Corporate Safeguarding group also assist in reviewing/developing this risk. • Corporate safeguarding group meets quarterly • Safeguarding Support Officers in place • County Lines multi agency meeting led by Police • Local NSDC group for County Lines • Annual assurance report to committee with exception reporting if required • Undertake domestic homicide reviews as directed by CSP • Corporate statement re Modern Day Slavery • Notts wide network for referring information relating to PREVENT • Participating in serious case reviews as required • Learning from serious case reviews • DBS notification process for key risk areas- at recruitment/prior to appointment and at annual updates thereafter • Shared safeguarding email • Annual completion of Section 11 return • Annual safeguarding review and report to SLT • Internal Audi • Disciplinary 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 • Modern day slavery training for front line staff 				
Risk Categories	Compliance /Legislation Reputation Financial Resourcing Partnerships Governance Vulnerable persons				
Trigger/Event	Competing demands reducing managerial focus Lack of provision of suitable training Turnover of staff resulting in loss of continuity				

	<p>Failure to identify a serious case (including County Lines, PREVENT, Modern day slavery, Domestic abuse)</p> <p>Inappropriate response to a case or notification</p> <p>Resurrection of a historic case</p> <p>Lack of resources to respond to the safeguarding process (identification through to investigation and report)</p> <p>Lack of corporate awareness and culture (members and officers)</p> <p>Lack of communication with lead partner</p> <p>Partnership failure</p> <p>Non adherence to corporate policy</p>
Impact	<p>Harm is suffered by a vulnerable person</p> <p>Serious case review by Nottinghamshire safeguarding board</p> <p>Litigation (criminal and civil)</p> <p>Disruption caused by targeting by groups/individuals - Pressure groups/family/individual(s) and other partner agencies</p> <p>Possible effect on future insurance costs depending on liability and claims history</p> <p>Personal Liability</p> <p>Staff Morale</p> <p>Radicalisation</p> <p>Reputational damage with community e.g. negative media</p> <p>Resourcing any additional works</p> <p>Child exploitation, domestic abuse, radicalisation, modern day slavery</p> <p>Organisational abuse (e.g. older people in Extra care homes)</p>

SR204 Failure to deliver growth infrastructure					
Description	Facilitating the provision of key local infrastructure projects to ensure growth within the district to meet agreed plans & corporate priorities.				
Lead Officer	Lamb, Matt (SLT)				
Support Officers	Lisa Hughes, Matthew Norton				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	08-Nov-2022	4	C	Control Pending	
Controls/Actions In Place	<p>Community Plan Infrastructure delivery plan CIL charging schedule and infrastructure list Development plan (Amended Core Strategy and Allocations and Development Management DPD) Planning policy board Cabinet and Full Council Planning Committee High performing planning service Active Lobbying Engagement with Developers, Stakeholders & Partners Economic Growth Strategy – Newark Town Investment plan & Visitor economy strategy Continued liaison with National Highways to monitor progression of SLR and A1 overbridge. Southern link road – Continued liaison with Homes England re funding package Newark “levelling up” fund governance</p>				
Risk Categories	<p>Inability to deliver infrastructure projects to support growth. Specific projects include: Direct NSDC influence A1 Overbridge (and inter-relationship with A46 Newark northern bypass) Indirect influence Southern link road - completion (grant funding) (and inter relationship with A46 Newark northern bypass) A614 roundabout – indirectly funding via section 106 A46 improvement works – Influencing role Political Reputation Financial Partners and stakeholders Economy, business and residents</p>				
Trigger/Event	<p>Government change in policy Partner funding withdrawn Funding reduced/costs increased 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>Change in delivery method and/or partner Non-strategic major road network fund priority junctions(A614/A617/A6097 corridor) Lack of coordination of delivery</p>
Impact	<p>Infrastructure not delivered/ delivery delayed 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 Increased congestion MTFP assumptions not realised</p>

SR205 Contract/supply failure					
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.				
Lead Officer	Johnson, Deb (SLT); Shead, Suzanne (SLT)				
Support Officers	Andrew Kirk, Nick Wilson, Caroline Wagstaff, Dave Richardson, Alan Batty				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	15-Aug-2022	2	D	Control Pending	
Controls/Actions In Place	<p>CONTRACT INCEPTION & MANAGEMENT Contract register developed using Pro-Contract and actively managed by OD team (not fully populated or embedded yet see action) Contact renewal early warning provided by OD at quarterly meetings Procurement advice provided through Welland procurement Call off contract arrangements/template devised SLA template devised for consistency SLAs all reviewed SLA register devised and actively managed by OD .Comprehensive audit undertaken of contracts</p> <p>PROCUREMENT RULES Use of joint procurement service –Welland procurement Focus on local providers for some services Use of contract exemption forms where necessary</p> <p>WHOLLY OWNED COMPANIES Management agreements regularly reviewed Contract managers named for each Regular contract management meetings in place Active partnership approach embedded</p> <p>TRAINING Session delivered to BMs on contract management Session delivered to members on contract management</p>				
Risk Categories	Service delivery Financial Compliance (Regulatory, Health & Safety, Legislative) Governance Resources Reputational Procurement/lack of competition Project delivery				
Trigger/Event	CONTRACT INCEPTION Lack of understanding of requirements and different provision mechanisms available Lack of commercial approach and knowledge Inadequate/ambiguous specification Inadequate/ambiguous control/performance measures Inadequate/ambiguous exit arrangements Failure to engage relevant specialists in contract design Contract is not signed and saved in corporate register				

	<p>Limited market supply Over reliance on single supplier(s) Lack of competence in procurement Lack of resource dedicated to procurement Lack of preplanning for contracts Lack of appropriate exit strategies Limited availability due to emerging industries/concepts/technology/demand</p> <p>CONTRACT MANAGEMENT No assigned contract manager Contract manager is not appropriately trained/skilled Contract manager resource is insufficient Ineffective performance monitoring and reviews Evergreen contracts in place Change control/variations are not appropriately managed Lack of ongoing challenge throughout the contract Loss of key personnel/ key resilience Relationship breakdown Contractor fails to deliver/ isn't able to deliver (bankruptcy)</p> <p>WHOLLY OWNED COMPANIES Management agreement not robust Governance and oversight not appropriate Inadequate/ambiguous governance arrangement Contract management resource is insufficient/ unsuitable Inadequate/ambiguous control/performance measures Relationship breakdown and – objectives do not align Lack of ongoing challenge throughout the contract Board directors do not perform within required parameters Lack of appropriate review of purpose of contract</p> <p>OTHER Financial management not embedded as part of contract management process Impact of Brexit (link to STRAT SR012 Brexit) Business continuity/Emergency incident Contracts not entered on contract register Provision commences before contract is in place Lack of appropriate overview of contract management Pandemic Impact of inflation</p>
Impact	<p>FINANCIAL IMPACT Additional costs to council (hidden costs, increased costs) Best value not achieved Fines Failure to utilise grant(repay grant because of failure to contract or contract failure)</p> <p>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</p> <p>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</p>

REPUTATIONAL IMPACT

Customer/service user complaints increase

Member complaints increase

Negative media coverage

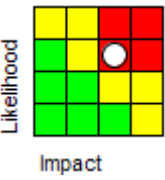
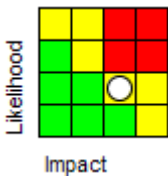
RESOURCE

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

SR206 Workforce					
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.				
Lead Officer	Johnson, Deb (SLT)				
Support Officers	Sarah Lawrie				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	16-Jun-2022	3	C	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>				
Risk Categories	<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> <p>Culture – One council</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 Lack of development opportunity Lack of team cohesion Lack of organisational culture/collaboration Lack of alignment with corporate values/behaviours/culture Pressure of work External Demand in a specific skill set 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/succession planning Pandemic or other significant emergency Poor management/leadership Inability to provide equipment/tools to allow staff to effectively perform their duties (e.g. shortage of laptops due to global microchip shortages) Other external factors – cost of living, national shortages. Projected national living wage increase leads to inability on pay structure to accommodate National bargaining is protracted and leads to staff being disadvantaged Current JE process is not fit for purpose – outdated.</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 (ill health) Increased levels of non-attendance in nominated workplace (lack of cohesion/culture) 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>

SR207 Emergency response

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.

Lead Officer Finch, Matthew (SLT)

Support Officers Dave Richardson, Alan Batty

Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	10-AUG2022	3	B	Control Pending	

Controls/Actions In Place

Emergency Plan/ Business Continuity

- Emergency plans in place and securely stored on Resilience Direct
- Incident specific emergency plans in place.
- Periodic review of key services by EPO e.g. Emergency Planning and Business Continuity.
- Management shows support for BCM through regular discussions in key meetings. Business Continuity is a regular agenda item - SLT Annual
- Management shows support to appropriately prepare, maintain and exercise a Business Continuity Plan by assigning adequate resources, people and budgeted funds.
- Periodic review of documents e.g. Emergency Plan, Business Continuity Plan.
- Business Continuity Audit Review.
- There is a Business Continuity Management (BCM) Policy and it is updated periodically. -
- Managers and staff have been made aware of BCP and BCM and their responsibilities.
- BCM – annual plan for BM and managers to attend training events on an annual basis
- Managers have been consulted in developing the plan and key individuals who input is more important than others have been identified.
- The Business Continuity Plan identifies all critical areas of the authority

Regular BCP testing

Financial

- Corporate budget available to support existing flood alleviation schemes.
- Council maintaining budget figure and reserve up to Belwin amount and beyond to cover emergency incidents.
- Facilitation of government property level grant scheme in flood affected areas to enhance future resilience.
- Proactive partners of district wide flood alleviation schemes

Equipment/ Resources

- Flood stores in some communities with provisions to self help and therefore not be as reliant on council.
- Agile working arrangements.
- Cyber security arrangements (See SR110)
- Use and Audit of Resilience Direct as a Document Management System/repository
- Load key documents onto Resilience Direct
- Annual stock take of equipment in our Emergency Stores.
- Scenario testing at least one exercise every two years
- exercise carried out gap analysis of the testing.
- Training & LRF Training
- Memorandum of Understanding for mutual aid.
- Local Resilience Forum and annual assessment and review of plans.
- BCP BCM training
- Offering of Health & Wellbeing advice e.g. offering flu vaccinations, mental health etc.

Partners/Public

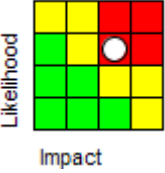
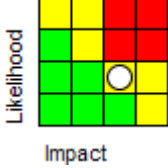
	<ul style="list-style-type: none"> • Work with EA (Environment Agency) on flood resilience work has mitigated/reduced the risk in some areas. • Improved monitoring systems by EA for earlier warning for floods. • Raised awareness of flood risk, therefore increased understanding self help and increasing resilience. • Attendance of LRF multi agency meetings for partners • East Midlands Group WARP group <p>Emergency response data management tool move to correct location</p>
Risk Categories	<p>Resourcing Reputation Expectations Partners Financial Suitability of response Service delivery</p>
Trigger/Event	<p>Extreme weather event of greater frequency and severity. Unpredictable district/regional/national emergency events. Council headquarters or key facilities are damaged. Pandemic Flu Cyber Attack Counter terrorist Attack Partners not playing part/full role Failure of resources / suppliers / supply chain Availability and resilience of key personnel Ineffective BCPs Concurrent events Loss of power/water to HQ Harder to draw on goodwill/reduced availability of staff</p>
Impact	<p>Drain on services and resources to provide an immediate and appropriate response/recovery. Managing and resourcing the longer term recovery process 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. Reputational damage due to perceived failure to respond to emergency or maintain services Reputational damage to the District and attraction to place to live/work Failure to maintain critical services day to day Ceasing non-essential services Manage financial requirements of the emergency event Financial issues of being unable to claim back funding spent on assisting communities Financial implication of up front costs required during an emergency. Less likely to receive long term support to obtain government flood grants compared with high density areas due to cost benefit ratio. Effect on communities (commercial or domestic) Loss of key/ critical NSDC systems Inability to support critical projects and projects at a critical stage Impact on income generation/loss of income</p>

SR208 Corporate Governance

Description Risk of failure in systems of governance within the council, council owned/influenced organisations and partnerships or other collaborative arrangements.

Lead Officer Bearman, Sue (SLT)

Support Officers Nigel Hill, Nick Wilson, Ella Brady, Deb Johnson

Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	05-Oct-2022	3	C	Control Pending	

Controls/Actions In Place

- Code of corporate governance created, maintained and monitored in accordance with CIPFA guidance.
- Corporate Governance self-assessment against the code of Corporate Governance undertaken periodically.
- Periodic review of governance by 3 statutory officers.
- Annual review of Constitution which includes fit for purpose and up to date

-Officer code of conduct
 -Officer registers of interests - Related third party transactions.
 -Section 151 officer/Monitoring officer/Head of Paid Service.
 -Gifts and hospitality - policy and register place.
 -Council Financial regulations and procedures,
 -Contract procedure rules
 -Whistle blowing policy
 -Anti-fraud and corruptions strategy

- Annual governance statement reviewed annually and reported to Audit and Governance Committee. Annual Governance Statement goes to November meeting of Committee
- Creation of annual combined assurance report in conjunction with SLT and BMs.
- Internal Audit work including risk-based Audit Plan.
- Effective use of External Auditor.
- Under executive arrangements with Cabinet structure and portfolio holders:

-Publishing of forward plan and all delegated decisions
 -Mechanism for call in of all executive decisions
 -Overview by Audit and Governance Committee
 -Dedicated scrutiny committee under executive arrangements – Policy and performance improvement committee
 -Tenant engagement board which ensures appropriate tenant involvement

- Staff and member training in place

-Training on governance issues including anti-fraud and financial regulations.
 -Counter fraud training delivered
 -Member induction at the start of each new Council cycle.

- Complaints:

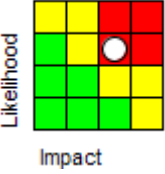
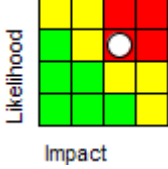
-Localised standards framework and effective arrangements for dealing with complaints overseen by Audit and Governance Committee.
 -Internal complaints procedure.

- Fraud

	<ul style="list-style-type: none"> -Annual internal review of the Fraud Risk register to carry out proactive work, check on internal controls and is reported to members -Participation with National Fraud Initiative process -Options appraisal for counter fraud and implementation of preferred option. -Appropriate insurance cover including Fidelity Guarantee. -Oversight of Active4Today, Newark and Sherwood Homes, Arkwood and East Midlands Building Control. -Appropriate monitoring of performance of the third party or alternative service delivery methods. <ul style="list-style-type: none"> • HR policies in place -Recruitment process controls, e.g. References, Immigration, DBS. <ul style="list-style-type: none"> • Horizon scanning at Business Manager briefings and effective communication between SLT and business managers. • Measures in place to ensure IR35 compliance • Schedules review of Corporate Governance (Q4 19/20) • Governance review ongoing with support from change to Executive Arrangements completed in May 2022 – 6-month review of effectiveness of arrangements to be considered by Audit and Governance Committee in November 2022 • Internal Audit of governance arrangements for Council-owned companies in 2022-3 audit programme
Risk Categories	<ul style="list-style-type: none"> • Service delivery • Governance • Fraud • Poor decision making/leadership • Reputation • Financial • Legal compliance • Partners/stakeholders
Trigger/Event	<ul style="list-style-type: none"> • 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 • Overuse of “Call-in”, “Call for action” or “Urgency provision” • Inexperience with new system – procedures set out in constitution not followed
Impact	<ul style="list-style-type: none"> • Loss of opportunity and ability to meet corporate priorities • Financial resource loss. • Poor or inadequate decision making. • Service delivery issues.

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| | <ul style="list-style-type: none">• Criminal or civil liability.• Risk of successful judicial review• 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.• Slowing down of decision making |
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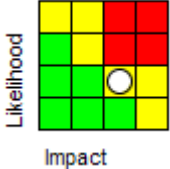

SR209 Data management and security

Description	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential, business critical information or breach of information governance legislation				
Lead Officer	Kohli, Sanjiv (SLT)				
Support Officers	Jill Baker, Nick Wilson, David Price, Dave Richardson, Sue Bearman				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	17-Aug-2022	3	C	Control Pending	
Controls/Actions In Place	<p><u>Policy and Guidance</u></p> <ul style="list-style-type: none"> • Policy suite and supporting guidance including: <ul style="list-style-type: none"> a) Email Policy / Data Breach Policy b) Information management framework incorporating Security Policy and Security Breach Policy. c) Retention of document policy. d) Data Protection policy. e) Confidential waste handling procedure. <p><u>Training/ Guidance</u></p> <ul style="list-style-type: none"> • Training for all staff taking payments in line with PCI-DSS requirements. • Training for ICT staff. • Data protection training including a section on information security and targeted training ongoing for staff located elsewhere and forms part of the induction process. • Information governance check on furniture that is being disposed of. • Information E Training completed by all staff. • Annual review of Information Asset Register. • Annual mandatory GDPR, cyber and spear phishing online training for all staff and councillors. • Guidance and training available for elected members. 3 GDPR sessions provided for newly elected members. • Guidance on security breach procedures for Business Managers as Information Asset Owners. <p><u>Governance and Compliance</u></p> <ul style="list-style-type: none"> • CIO/SIRO/DPO appointed • Compliance with the government's security arrangements. • PSN compliant data & internet connections implemented • Compliance with new Cabinet Office email standards achieved. • Weekly review of ICO guidance. • Periodic PCI/DSS compliance checks • Data Privacy Impact Assessment. • Annual SIRO audit. • Review of policies and procedures to ensure compliance with latest Payment Card Industry-Data Security Standard (PCI-DSS) • Cyber Security now standing agenda item on monthly business unit management meetings. • Governance arrangements established through CIGG with monthly review. • CIGG meeting every quarter to review risks. <p>External Audit on ICT security annually.</p>				

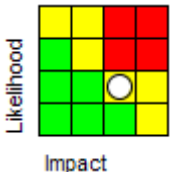
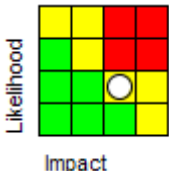
	<p><u>ICT/Equipment specific controls</u> Encryption for mobile devices.</p> <ul style="list-style-type: none"> • VASCO tokens and Google Authenticator. • Quarterly ICT security checks internally. • Penetration test annually by external company - monthly scans of servers for weaknesses, monthly server updates and monthly scans of Microsoft Office and Windows. • Perimeter software - eg. mailmarshall & webmarshall. • Hardening test on new virtual servers. • Documents scanned reducing the need for paper. • Secure server room. • East Midlands WARP membership - alerting networking facility regarding any breaches. • Monthly updates of Adobe products. • Program in place to ensure the continual maintenance & upgrade of the ICT environment. • Secure portal for Members to access the Extranet. • Airwatch MDM (Mobile Device Management) implementation for mobile devices. • DMark, DKim SPF and TLS secure email authentication software. • Cryptshare for encrypting secure emails and large files for email. • Report & record all cyber-attacks/attempts and escalate to CMT where appropriate Users own devices cannot connect to network • 'Consent' tick box on appropriate forms. • <p><u>Partners and Stakeholder specific controls</u></p> <ul style="list-style-type: none"> • Non-disclosure agreements in place for third party access. • Use of data processing and agreements with partners. • Use of licensed confidential waste handler. • 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. • Actions arising from report to SLT on third party users implemented.
<p>Risk Categories</p>	<p>Loss of vulnerable, personal, sensitive valuable data Legal compliance Reputation Financial Partners/stakeholders Disruption of service from a cyber attack</p>
<p>Trigger/Event</p>	<ul style="list-style-type: none"> • 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. • Theft or loss of equipment/papers/data belonging to the council, partners or third party companies. • Cyber attack: (either targeted such as denial of service or unintentional access to link on another website). • Agile Working i.e. mobile/remote/home working/home printing/disposal of printed data/Outreach posts. • Reducing resources with less capacity for processing data. • Loss of key resources/staff. • Decommissioning of property • Collaborative working, sharing, outsourcing and partnership working (including external printing and hybrid mail)/involvement in other peoples' data • Partnership working and sharing new service locations/data sharing issues.

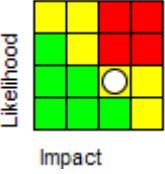
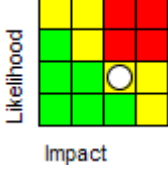
	<ul style="list-style-type: none"> • Partner's/contractor's/host's poor data management and information security leading to data breach/loss. • Government integration agenda e.g. Increased working between public bodies • Use of BYOD (Bring your own device). • Use of suppliers/third parties, etc. • Local government reorganisation/Combined authority/change in service delivery model. • Third party access to IT systems. • New and inexperienced staff/elected members with access to data. • Termination of PSN/GCSX standards by the Cabinet Office limiting options for securely sharing with some Public Sector organisations. • Failure to comply with relevant standards and legislation including PCI-DSS/Cyber Essentials/NCSC best practice/PSN. • Unsupported software/unforeseen loss of support • Housing management re-alignment and integration of services • Adoption of unsupported/dated systems from third parties • Emergency event/Pandemic – leading to increased reliance upon ICT systems • Accelerated delivery of digital agenda • Failure to respond to subject access requests/information requests accurately and within statutory timeframes • Failure to identify and respond to a data breach promptly and effectively • Failure to protect information from accidental loss, corruption or disclosure or other non compliance with Data Protection Principles, by NSDC or a third party, involving large volumes of personal data or smaller volumes of sensitive personal data • Failure to protect information assets from an internal malicious attack leading to a data breach, corruption of data assets, loss of asset or service. • Failure to adopt appropriate technical security measures for keeping data secure within our systems and platforms which results in a significant data breach • Accidental data breach through any electronic source
<p>Impact</p>	<ul style="list-style-type: none"> • Individual loss/damage to an individual where the Council inappropriately released their personal data e.g. Civil claims. • 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

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| | <ul style="list-style-type: none">• 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 |
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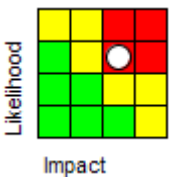
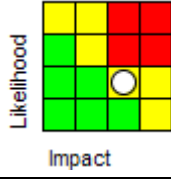
SR210 Arkwood Development					
Description	Managing performance and the relationship between the Council and Arkwood Developments in accordance with the governance agreement.				
Lead Officer	Robinson, John (SLT)				
Support Officers	Will Marshall, Nick Wilson, Ella Brady				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	27-Jun-2022	3	B	Control Pending	
Controls/Actions In Place	<p>Shareholder Committee established and membership agreed</p> <p>Shareholder meetings scheduled</p> <p>Shareholder Committee Members training session completed on 17/1/18</p> <p>Governance Training given to Members for when Shareholder will be taken to Cabinet meetings from May 2022.</p> <p>Company's Articles and shareholder agreement in place</p> <p>Shareholder Committee approve business plan for company and business case for each development site</p> <p>Bi-monthly officer contract meetings between Arkwood and council</p> <p>Internal Audit Report giving substantial assurance</p> <p>Inclusion of risk register by company with business cases</p>				
Risk Categories	<p>Financial</p> <p>Reputation</p> <p>Service Delivery</p> <p>Conflict of interest</p>				
Trigger/Event	<p><u>Financial</u></p> <p>Loan repayments from the company are not made</p> <p>Company failure to deliver approved Business Plan</p> <p>Company failure to pay monies to the Council e.g. land transactions costs, SLA costs</p> <p>Company failure to pay monies in a timely way</p> <p>Company failure to manage cash flow</p> <p><u>Reputational</u></p> <p>Poor leadership</p> <p>Company insolvency</p> <p>Poor quality development leading to customer dissatisfaction</p> <p>Secretary of State call in planning decisions made by council on company developments</p> <p><u>Compliance Issues</u></p> <p>Operational failure leading to non compliance/legislative failure</p> <p>Compliance failure by the Company (ie. legislative & policy)</p> <p><u>Lack of Delivery</u></p> <p>Failure to adhere to business plan</p> <p>Lack of awareness of company purpose</p> <p>Company failure to secure planning consent on developments</p> <p><u>Market & External Factors</u></p> <p>Brexit - market volatility</p> <p>Downturn in economy</p> <p>Failure to understand and develop to meet market needs</p> <p>Changes in local and national policy & legislation e.g. restraints in legislation from Council</p>				

	<p>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 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 & 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 & External Factors</u> Lack of housing that meets market demand</p> <p><u>Partners/Relationships</u> Relationship breakdown between council and company</p>

SR211 Community issues - Pandemic					
Description	Understanding trends in the local COVID infection rates and its impact on local communities				
Lead Officer	Finch, Matthew (SLT);				
Support Officers	Alan Batty				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	7/11/22	3	B	Control Pending	
Controls/Actions In Place	<p>Monthly review of local COVID infection rates</p> <p>Regular discussion with PHE</p> <p>Monitoring of staff absence</p> <p>Review of GOV guidance as issued</p> <p>Emergency plans in place</p> <p>Working from home plans in place</p> <p>Working group to be formulated if necessary</p>				
Risk Categories	<p>Financial</p> <p>Local economy</p> <p>Vulnerable persons / Communities</p> <p>Reputation</p> <p>Pressure on services</p>				
Trigger/Event	<p>Continuation of pandemic – further waves, variants of concern</p> <p>New restrictions and impact on key sectors</p> <p>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</p> <p>Financial security/investment decisions</p> <p>Recession and job losses</p>				
Impact	<p>Financial impact – Impact on fees and charge - reduced income</p> <p>Vulnerable persons/communities- Greater deprivation in already vulnerable areas/sectors Greater deprived areas/workforces are less able to be flexible re working arrangements</p> <p>Reputation – Lack of trust Change of mood/tolerance within our communities Lack of tolerances to COVID and future restrictions Community concerns raised/resistance to new messaging</p>				

SR212 Environment					
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.				
Lead Officer	Finch, Matthew (SLT)				
Support Officers	Briony Ashton, Ella Brady				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	03-Nov-2022	3	B	Control Pending	
Controls/Actions In Place	<ol style="list-style-type: none"> 1) Climate emergency declared 2) Approved date for net neutral – 2035 3) Costed action plan to support net neutral date 4) Appointed Environmental Policy and Projects Officer 5) Climate emergency project working group – meets quarterly 6) Project working group for depot development 7) Annual report to P&F – Activities undertaken and carbon footprint 8) Internal Audit 9) Urban tree challenge grant – 4000 trees planted 10) Developed business cases for kerb side food and glass collection 11) Financial planning – MTFP 12) Elected member working party utilised to develop climate emergency strategy plan 13) Community plan 14) Bid to public sector de-carbonisation fund 15) Successful bidding - LAD2 funding allocation (£750k) 16) 2 x posts agreed for decarbonisation 				
Risk Categories	Financial Reputation Statutory compliance Disruption of service-Pressure groups /community action Negative media/comms Capacity to deliver on successful funding				
Trigger/Event	Climate change conference Government policies and legislation- i.e. national waste and resources strategy, environment bill, 2030 internal combustion engine phase out, national tree strategy. Budget pressure/planning/demand - MTFP Lack of financial support from government to implement Availability/cost/maturity of technology Incentivising of tariffs – cost v return Legacy issues -housing/fuels/infrastructure Resident/User engagement/participation - Behaviour change Active pressure groups Political influence Declaration of climate emergency Impact of media/social media events/influential individuals Poor communications Partnership failure Bidding arrangements/competition – restrictive nature of government funding to date Future resourcing to deliver Knowledge/skills gap within workforce				
Impact	Not meeting governmental targets/internal targets Penalties -TBC				

	Reputation Negative media Political/public pressure for improvement/campaigns against Increased scrutiny and workload Budget gaps Impact on other service provision Lack of infrastructure to improve Lack/loss of control in light of government mandated service provision Increased costs arising from emerging technology, reduced tariffs and government policy Unable to deliver due to access/obtain government funding/ technology Unable to deliver on climate strategy Customer disengagement Greater demand on external expertise leading to greater costs lower internal expertise
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SR213 Statutory compliance management					
Description	Implementation and maintenance of suitable statutory safety compliance management systems.				
Lead Officer	Kohli, Sanjiv (SLT); Shead, Suzanne (SLT)				
Support Officers	Mark Plant, Mark Eyre, Caroline Wagstaff				
Current Risk Matrix	Date Last Reviewed	Impact	Likelihood	Risk Management	Target Risk Matrix
	27-Jun-2022	3	C	Control Pending	
Controls/Actions In Place	<ul style="list-style-type: none"> • Policies and procedures – (Need for policy review) • Dedicated Compliance teams and compliance reporting • Dedicated software –asset compliance/management software ICT systems • Contract management systems • Performance management systems • Training and competence Staff/tenants/contractor • Information/education to tenants • Enforcement of tenancy agreements • Assurance and scrutiny process – operational and committee levels • Use of specialist contractors/advisors • Competent/licenced/registered engineers/inspectors • Auditing and inspection processes • Reconciliation processes • Complaints processes • Tenant engagement • Maintenance/inspection programmes • Pre let inspections • Business planning • Compliance with regulatory standards • Legal/enforcement action/Fines/Regulatory judgement • H&S • Civil claims • Service delivery - Loss of essential service & System/equipment failure/out of use • Negative media coverage • Reputation • Customer satisfaction/impact • Financial impact (rectification) • Increased resource demand 				
Risk Categories	<ul style="list-style-type: none"> • Legal/enforcement action/Fines/Regulatory judgement • H&S • Civil claims • Service delivery - Loss of essential service & System/equipment failure/out of use • Negative media coverage • Reputation • Customer satisfaction/impact • Financial impact (rectification) 				

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