

**RISK MANAGEMENT**

**1.0 Purpose of Report**

1.1 To update members of the Committee of the Council's Risk Management progress and to advise re the status of Strategic Risks for the council.

**2.0 Risk Management**

2.1 The Risk Management Group continues to meet on a quarterly basis. Members of this group are provided with an overview re the current situation/performance of strategic and operational risks. Emerging/ongoing risks are also discussed.

2.2 The Risk Management Policy is currently up to date with a review due in April 2018.

2.3 Internal audit are currently undertaking a programmed audit of the council's risk management systems. This is due to be completed before the end of this financial year.

**3.0 Strategic Risks**

3.1 Strategic risks are those significant risks faced by the Council that have the potential to halt or interfere with its ability to achieve its priorities and deliver its statutory duties.

3.2 Strategic risks are determined at CMT level during a facilitated workshop and should support the objectives and direction of the Council. They are concerned with how the whole organisation is positioned in relation to achieving its aims and are affected by numerous internal and external factors, some of which will be out of the control of the Council for example economic downturn.

3.3 Action plans are produced for each of the individual strategic risks. The purpose of actions plans is to control or mitigate risks to an acceptable risk level (i.e. target risk) determined appropriate by CMT. Action plans are reviewed quarterly and recorded/managed within covalent.

3.4 The next annual strategic risk review is to be undertaken late spring/early summer 2018. A date for this review is yet to be agreed. All current strategic risk will be reviewed by CMT at this workshop to determine if they remain appropriate and, if appropriate, define new risk scores. Consideration will also be given to possible new/emerging risks that may require inclusion on the risk register.

3.5 A quarterly risk management assurance report continues to be provided to CMT for their consideration/information. This report provides an overview of the risks, outstanding actions and areas of concern.

3.6 The Council currently has nine Strategic Risks. These are listed below.

<b>Risk Name and Code</b>	<b>Risk Description</b>
<b>STRAT_SR001</b> Financial sustainability.	Effective management of finances through ongoing austerity and increasing demand on services.
<b>STRAT_SR002</b>	Impact on the delivery of Council services due to the failure of major

Major projects.	projects e.g. new headquarters or investment and borrowing decisions. A major project being any project that can cause significant financial, legal, reputational or compliance issues or prevent the Council from delivering a strategic priority or key objective.
<b>STRAT_SR003</b> Facilitating growth.	The inability of the Council to facilitate the market to deliver the Council's growth agenda. This failure may reduce investment in infrastructure, inward investment, job opportunities, new housing and commercial development therefore impacting on communities and businesses.
<b>STRAT_SR004</b> Supply chain failures and contract management.	Failure of key suppliers, key service providers to deliver contracted or agreed services, leading to failure to achieve Council priorities and outcomes.
<b>STRAT_SR005</b> Transformational change.	Ensuring that the Council and it's workforce has the skills, ability and capacity to adequately respond to current and future organisational change meaning the Council is able to deliver its services in the most efficient and effective manner.
<b>STRAT_SR006</b> Sustainable communities.	The risk of various communities within NSDC feeling excluded, disengaged or being unable to access available services and opportunities including, rural, deprived, minority and vulnerable communities and local businesses etc.  NB. Services and opportunities to include health and wellbeing, early intervention and prevention.
<b>STRAT_SR007</b> Continuity of service (Civil Contingency & Emergency).	NSDC's ability to effectively respond to a major emergency and maintain that response without affecting essential day to day service delivery.  The risk is to both NSDC as a business continuity issue and to our at risk communities.
<b>STRAT_SR008</b> Corporate governance.	The risk of failures in systems of governance within the Council, within Council owned/influenced organisations and partnerships and other collaboration arrangements, leading to governance issues, fraud and corruption, failures in management systems, poor policy and decision making.
<b>STRAT_SR009</b> Data management and security.	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential or business critical information or breach of Information Governance Legislation

- 3.5 Ownership of each risk is assigned to a relevant director(s) who have, with the assistance of business managers, developed action plans to manage, mitigate or reduce the risk accordingly. However, as the very nature of strategic risks are complex and influenced by many outside factors/controls, some actions can be very long term and the ability to reduce the risk level may be limited. Having risks that are either shown as high risk or above target risk level does not necessarily mean that the Council is not actively managing the risk.
- 3.6 Beneath the strategic risks, the Council have operational risks for all business units. These have been developed between business managers and the Risk and Safety Management Officer and have been recorded on Covalent for management purposes. Both managers and directors have

responsibility to manage/monitor these and are required to formally review them at least quarterly.

### 3.7 Current Strategic Risk Levels

3.7.1 As required by the Council’s Risk Management Policy, all strategic risks continue to be formally reviewed quarterly by risk owners and assignees. This review also requires that the current risk score is reviewed.

All strategic risks are given a target risk score. This is determined and agreed by CMT annually during the facilitated strategic risk workshop.

3.7.2 The table below illustrates the current strategic risk profile.

Likelihood	High				
	Significant		7,2	3	
	Low		6	1,4,5,8,9	
	Very Low				
		Negligible	Marginal	Critical	Catastrophic
		Impact			

#### Key

	High risk
	Medium risk
	Low risk

3.7.3 The table below illustrates changes in risk scores during the previous 12 months.

Risk name and code	Direction of travel	Details
<b>STRAT_SR001</b> Financial sustainability.	↓	Likelihood has reduced from 3 to 2. This has reduced the overall risk from red to amber.
<b>STRAT_SR002</b> Major projects.	↓	Impact has reduced from 3 to 2. This has reduced the overall risk from red to amber.
<b>STRAT_SR003</b> Facilitating growth.	=	No change
<b>STRAT_SR004</b> Supply chain failures and contract management.	=	No change
<b>STRAT_SR005</b> Transformational change.	=	No change
<b>STRAT_SR006</b> Sustainable communities.	=	No change
<b>STRAT_SR007</b> Continuity of service (Civil Contingency & Emergency).	=	No change

<b>STRAT_SR008</b> Corporate governance.	=	No change
<b>STRAT_SR009</b> Data management and security.	=	No change

3.7.4 All nine Strategic Risk assessments have been appended to this report.

#### **4.0 RECOMMENDATION**

That the Committee consider this report.

##### **Reason for Recommendations**

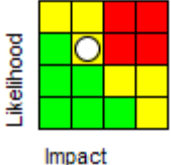
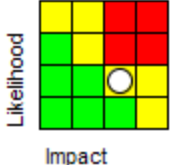
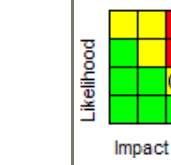
**To update the Committee on the Council’s risk management approach and related assurance processes.**

##### **Background Papers**

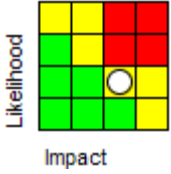
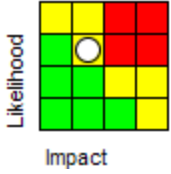
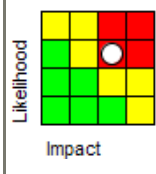
Nil.

For further information please contact Richard Bates – Safety and Risk Management Officer on ext: 5593

# Strategic Risks

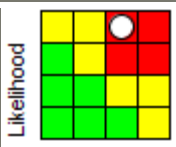
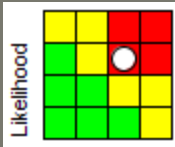
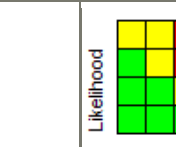
<b>Management Action Plan</b>	STRAT_SR001 Financial Sustainability		<b>Risk Owner</b>	Wilson, Nick (BM - FIN-SERV); Kohli, Sanjiv (CMT); Muter, Andrew (CMT); <del>Lovely, Nicola (BM - FIN-SERV); Test 1 (BM - FIN-SERV)</del>		
<b>Description</b>	Ineffective management of finances leading to lack of financial resilience as government funding reduces and demand increases		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			19-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB & Owners 02/12/16					
<b>Vulnerability</b>	<p>Inability to respond to significant drop in income                  Increased demand for services                  Unrealistic expectations                  Inability to deliver and maintain service                  Unable to meet objectives outlined in the strategic priorities                  Inability to plan long term - beyond 4 years                  Failure to comply with Financial Procedures resulting in works and services not appropriately procured and leading to budget overspends.</p>					
<b>Trigger/Event</b>	<p>Projects undertaken to mitigate funding cuts are unsuccessful in producing the necessary savings.                  Contractions in the provision of other public services, leading to increased expectations and demand on the district council.                  Reduced customers for income generating services.                  Service failure leading to loss of income.                  Competition - Local competitor seeking increased market share.                  Inability to compete due to financial constraints, eg. political decisions, legal decision, staff retention.                  Further cuts in Government funding.                  Unexpected increase in costs.                  Reduction in Business Rates received.                  Re-set of Business Rates in 2020 leading to loss of growth to be included in the budget.                  Business Rates revaluation and subsequent appeals (backdated to last revaluation).                  Large scale applications for mandatory relief eg. NHS.                  100% Business Rates retention                  Poor revenue planning of new projects.                  Increase in demand for non-income-generating services.                  Changing legislation or government policy reducing grants or increasing costs (eg New Homes Bonus, Apprenticeship levy)                  Enterprize Zone status attracts local businesses to relocate outside of the district (eg. proposed Robin Hood line extension).                  Local authorities and/or elected mayors commence using business rates as competitive tools.                  Inability to attract businesses for future business rates growth.                  Global economic shocks having negative effect on Government finances and local economy.                  Profiling of Capital Programme.                  Income volatility Large number of projects underway at any one time</p>					
<b>Impact</b>	<p>Increased costs/lower level of service provided.                  Decline in outcomes eg. crime and health major issues around vulnerability.                  Reduced capacity to maintain service delivery.                  Public dissatisfaction with Council performance.                  Failure of collaborative or joined up approaches.                  Failure of relationships.                  Loss of local services/facilities.                  Strategic direction of the Council changes or becomes unclear.                  Need to change existing policies.                  Loss of reputation of the Council.                  Service closure.                  Failure of one or more projects.</p>					

	<p>Negative media coverage.  Loss of staff morale.  Reduction in ability to invest locally.  Restriction of service choices, eg. sustainable procurement.  Inability to produce a balanced budget  Inability to financially plan beyond 4 years. Council becomes financially unsustainable</p>
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Sanjiv Kohli</b>  <u>Objective:</u>  Critical success factors are maintaining and improving services whilst delivering an acceptable level of Council Tax  <u>Controls:</u>  Income forecasting e.g. New Homes Bonus and Business Rates and using a third party organisation to support the business rates appeals forecasting.  Horizon scanning to identify long term implications.  Respond to Government consultations.  Well established officer budget process.  Refreshed Medium Term Financial Plan including restructure of reserves  Council Approved Capital Programme.  Ongoing work on Council's objectives - Corporate Plan Revised  Major income streams monitored by CMT.  SLA's with voluntary sector providers.  Regular assessment of all available resources by S151 officer.  Annual review of Budgets and Medium Term Financial Plan  Financial comments added to reports  Financial advice provided to management and Members  Financial strategies and budget reviewed through Policy Committee annually - Budget Strategy report to Policy Committee and presentations to Committee Chairman and opposition Leader.  Member communication to manage expectations and inform future financial planning.  Collaboration agreement in place between NSDC, Rushcliffe BC, Gedling BC.  Active4Today set up to deliver leisure services with a reducing management fee.  Devolution to Newark and other areas. Monitoring of Funding agreements.  Consultation &amp; Communication plan to manage political and public expectations.  Further consideration of alternative means of service provision underway.  Regular review of Treasury issues to improve rate of return on investments.  Exercising caution over future financing in short to medium term.  Service and process improvements to generate efficiencies.  Review of empty business properties to identify missed income opportunities.  Business Rates – keeping appeals provision under continual informal review.  Business Rates - Annual formal review of appeals provision to Government  Consideration of methods to grow Business Rates base  Approved Efficiency Statement meaning Revenue Support Grant fixed over the forthcoming years  Analysis of Government policy announcements on local authority funding within Autumn Statement, Budget and provisional settlement  Nottinghamshire Business rates Pool kept under review.  Ongoing review of projects  Approved Commercial Strategy to support objectives set out in the MTFP  Approved Investment Plan to support the objectives set out in the Commercial Strategy Prepare business case  Corporate Projects Development Team established to identify business opportunities in service areas.  Prepare Business case for wholly owned development company and present to Policy and Finance Committee for approval.</p>
<b>Further control/actions required</b>	<p>The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.</p>
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR001 Financial Sustainability - Risk Action Plan	<input type="text" value="42%"/>
<b>Linked PIs</b>	<b>Status</b>

<b>Management Action Plan</b>	STRAT_SR002 Major Projects		<b>Risk Owner</b>	Wilson, Nick (BM - FIN-SERV); Cole, Kirsty (CMT); Finch, Matthew (CMT); Kohli, Sanjiv (CMT); Muter, Andrew (CMT); Mellors, Tracey 1 Admin; Lovely, Nicola x(BM - FIN -SERV); Test 1 x(BM - FIN -SERV)		
<b>Description</b>	Impact on the delivery of Council services due to the failure of major projects. A major project being any project that can cause significant financial, legal, reputational or compliance issues or prevent the Council from delivering a strategic priority or key objective.		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			06-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB 13/03/17					
<b>Vulnerability</b>	<p>Projects overdue, over budget, undelivered or project creep. Staffing issues. Financial management. Reputational damage. Managing expectations of the stakeholders and the public. Project is unsuccessful. Community assets/services are lost eg. Devolution Project</p>					
<b>Trigger/Event</b>	<p>Significant changes in interest rates. Investment arising from "prosperity" agenda which hasn't already been identified eg. land/property. Delays in decision making process. Loss of key personnel leading to inability to drive project. Procurement failure/legal challenge if we follow an open procurement route. Political change. Partnership/Contractual failures. Change in NSDC/Community needs in relation to longer term projects. Failure to adequately manage expectations politically and in the Community. Inadequate Governance arrangements. Failure to produce appropriate and adequate specifications. Adverse/severe weather disrupting building. Asset sales do not materialise. Capacity to deliver and co-ordinate a range of major projects to time and budget. Lack of availability of finance. Changing capital priorities. Changing Government policy.</p>					
<b>Impact</b>	<p>May need to borrow further monies - Long term impact of level of debt. Reduced flexibility and the impact on the delivery of future priorities depends on if we have the ability to borrow more or if we can afford to borrow more. Loss of a service. Increased costs affecting the ability to deliver revenue budget savings and impacting on the delivery of other services. External intervention - the Government may stop us from borrowing/investing may affect project delivery eg. HRA strategy. Delays or failures in project delivery and potential increase in cost. The Project delivered is not within specification/scope or does not meet the required needs. Possible impact on medium term financial plan. Loss of public/community support &amp; engagement. Savings may not materialise from projects. Potential reputational damage. Poor staff morale Community/organisations being required to take on assets may not materialise or may fail. Service/assets of the Council may be lost.</p>					

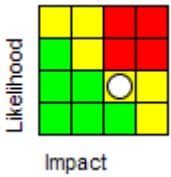
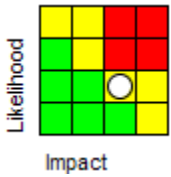
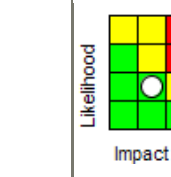
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Sanjiv Kohli</b>  Robust project management procedures in place  Project Boards for life of projects  Robust individual project plans and risk assessments for major projects  Member groups where applicable  Regular monitoring and reporting of progress throughout the committee structure  Trained project managers  Buy in expertise as required  Appropriate governance arrangements (See SR008)  MTFP  Annual Treasury strategy covering next three years plus mid year review  Treasury estimates covering next five years, treasury management reports taken to A&amp;A Committee (ALSO UNDER SR001) Development of a Consultation &amp; Communication Strategy to help manage Member and public expectations on future service levels/delivery.  Resource Plan for Major Projects  Every major project is subject to a comprehensive internal audit part way through its delivery.  New Council priorities agreed by Council, 12 July 2016  Monitor project identification and revenue impact from new Strategic Priorities.  Review guidance on contract management by 30 June 2016 - JK  Investigate provision for project management training.  Ensure monthly review of Major Projects Risk - to be added to the monthly CMT meeting  Identify major projects that require overview being visible to CMT - Develop Register  SR001 owners to review the major projects supplied by BM's and develop list of risks seen as critical to the Council taken from the initial register  CMT to amend and approve the list of Critical Major Projects  Commercialisation and Investment Strategies created to guide decision making around potential projects  Strategy Development Manager Post Recruited to</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR002 Major Projects - Risk Action Plan	0%
<b>Linked PIs</b>	<b>Status</b>



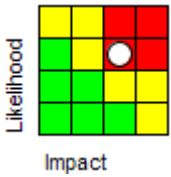
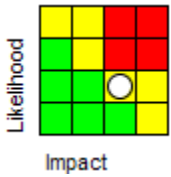
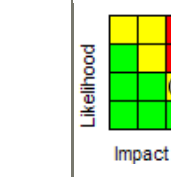
<b>Management Action Plan</b>	STRAT_SR003 Facilitating and enabling growth		<b>Risk Owner</b>	Reader-Sullivan, Julie (BM - ECO-GRO); Deputy, Russell, Martin (BM - GROWTH&R); Lamb, Matt (BM - GROWTH&R); Norton, Matthew (BM - PLAN-P); Main, Rob (BM - STRAT-HG); Cole, Kirsty (CMT); <del>Statham, Andy x (CMT)</del>		
<b>Description</b>	The inability of the Council to facilitate and enable the market to deliver the Council's growth agenda. This failure may reduce investment in infrastructure, inward investment, job opportunities, new housing and commercial development therefore impacting on communities and businesses.		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			21-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB & Owners 13/03/17					
<b>Vulnerability</b>	<p>Inability of the market to deliver Growth agenda including housing, infrastructure, commercial, health and leisure requirements affecting the investment potential.</p> <p>Low confidence in house building sector.</p> <p>Low growth locally.</p> <p>No investment due to the economic climate locally and nationally.</p> <p>Limited development for infrastructure/technology for rural locations.</p> <p>Change in National policy and known/unintended consequences.</p> <p>Lack of capacity/funding to facilitate local growth (support and infrastructure).</p> <p>Skill set shortages in some sectors.</p> <p>Demographic change.</p>					
<b>Trigger/Event</b>	<p>Delay of delivery of project due to investors/financial climate.</p> <p>Impact of Government forecasts and predictions.</p> <p>Changing political focus or direction at local, county and national level.</p> <p>Impact of Community Infrastructure Levy on future development.</p> <p>Non availability of funding streams.</p> <p>Change in Bank of England interest rates which reduce appetite to invest.</p> <p>Fluctuations in inflation.</p> <p>Reducing level of Grant settlement.</p> <p>Land availability</p> <p>The consequences of service reductions introduced by other public sector providers.</p> <p>Planning objections delaying progress.</p> <p>Planning consents not started.</p> <p>Poor or non-delivery of infrastructure.</p> <p>Non-delivery by housebuilders.</p> <p>Climatic events severe weather events.</p> <p>Impact of closure of a major local employer.</p> <p>Loss of significant business resulting in loss of confidence in investing in local area - also knock on effect to suppliers and supportive businesses.</p> <p>Loss of key train and bus services.</p> <p>Brexit uncertainty.</p> <p>New Homes Bonus consultation and policy framework.</p> <p>Legislation eg. privatisation of planning.</p> <p>Combined Authority/local government reorganisation/devolution.</p> <p>Insufficient capacity to support growth.</p> <p>Supply chain failures.</p> <p>Uncertainty over proposals for 100% retention of business rates.</p> <p>Developments not viable without reduction in community benefits.</p>					
<b>Impact</b>	<p>Insufficient homes being built in the district to meet demand, including affordable housing Infrastructure not provided.</p> <p>Jobs not created (loss of employment/jobs not created).</p>					

	<p>Failure to hit Growth aspirations and the consequential loss of income.  Growing inability of NSDC to respond to increased need or support in the community.  Reduced Council Income from fees and charges.  Reduced funding/income will constrict service delivery.  Increased homelessness.  Increased unemployment.  Lack of external investment in the District Insufficient businesses / roles to support expansion of community.  Sustainability of community not improved.  Loss of control of planned development.  Pressure for growth leading to sacrifice of transport, healthcare facilities, schools, etc.  Increase in grant funding paid to Newark Town Council for devolution.  Deepening skills shortages exacerbated by full employment in localities and poor public transport.</p>
<p><b>Measures in Place</b></p>	<p><b>LEAD OFFICER - Matt Lamb</b>  Reviewing Core Strategy and Allocations DPDs to ensure they continue to be appropriate and facilitate growth in housing and employment over the coming years.  Regular liaison with strategic site owners.  Land south of Newark publically funded by £2.5m from NSDC and £7m from LEP. Work onsite started and as at 13 June 2016 £1m received from the LEP. Phase one open, drawdown of £6m Further funding being sought.  Ongoing discussions with partners regarding support for strategic infrastructure.  The Council's Think BIG loan scheme is operating and 15 loans have been made, with further loans being considered.  Partnership with LEP and local businesses growing and improving.  Monitoring of key economic data is undertaken regularly and some additional updated research to be undertaken in Jan 2018 by intern and NTU  Partnership arrangements with local colleges and universities eg. memorandum of understanding with Nottingham Trent University.  Nottinghamshire Economic Prosperity Committee.  Engaging with Marketing Nottinghamshire - JRS working with Annette Thornley so contact established.  Prosperity Agenda is the main priority for the council including funding scheme for new business development (Starter units in the Newark Area)  Local Investment Plan and Local Delivery Plan in place  Local Housing plan and priorities in place.  Working in partnership with Registered Providers, Homes and Communities Agency and other bodies to develop new build housing schemes across the district  Developing the Housing Growth Strategy for additional new build Council and market housing.  Revised Economic development Strategy with continued focus on Inward Investment, Business Growth, Employability &amp; Skills, key sectors and infrastructure. Agreed with Ec Dev Committee in Nov 2017 and incorporates some social mobility issues.  Identification of local NSDC Land for development.  Undertake Regeneration activities currently focussed on Bridge Ward, Ollerton and Boughton &amp; Hawtonville.  Sale of Kelham Hall and relocation and construction of new Council offices will help to stimulate local economic growth.  Skills Summit plus pilots for Transport and training for HGV and FLT.  Education partnerships; Together for Newark and Sherwood Forest Education Partnership.  Nottinghamshire Business Rates pool to be used for economic growth.  Working with community groups to deliver community benefits.  HRA 5 year programme to build 335 units.  Ongoing officer monthly meeting to review and monitor consider all strategic sites to include Southern Relief Road issues (quarterly until 2018)  Development company (housing and commercial) project plan report to P&amp;F committee. Workshop sessions with key members.  Working with Severn Trent to reduce impact of sewer project on town. Project impact updates to be provided. Working with businesses, Totally Newark, retail club and ST to monitor impact and raise concerns. Shuttle bus route agreed - one way system now mid Feb to mid June 2018.  Business Growth reporting system  Ollerton Hall planning brief commissioned - ML  Q4 ongoing officer meeting to review and monitor consider Southern Link Road issues (quarterly until 2018) - JRS  Contractor appointed to deliver 5 year HRA development Programme  Develop a flexible policy on exercise of discretion on business rates to support future growth. (JRS)  HRA Development Programme - Delivery Partner appointed, Planning Consent for First Year Sites  Inward Investment - ongoing activity, mini strategic commissioning process to review process and outcomes - JRS  Regular meetings of the Ollerton Hall working party  Feasibility study (Constraint study) for the development and disposal of Ollerton Hall (ml)  Development Plan - Consultation on Draft Plan Amendments (MN)  Development Plan - Submission of the amended Core Strategy for Independent Inspection (MN)</p>

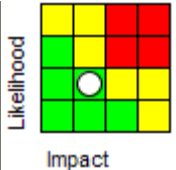
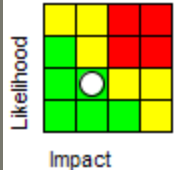
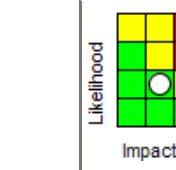
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.	
<b>Linked Actions</b>		<b>Progress Bar</b>
RP-SR003 Facilitating and enabling growth - Risk Action Plan		58%
<b>Linked PIs</b>		<b>Status</b>

<b>Management Action Plan</b>	STRAT_SR004 Supply Chain Failures and Contract Management		<b>Risk Owner</b>	King, John (A2 - PROC); Johnson, Deb (BM - CPDT); Wilson, Nick (BM - FIN-SERV); Kohli, Sanjiv (CMT); Muter, Andrew (CMT); White, Karen (CMT); <del>Lovely, Nicola x(BM - FIN-SERV)</del> ; <del>Fest 1 x(BM - FIN-SERV)</del>		
<b>Description</b>	Failure of key suppliers, key service providers to deliver contracted or agreed services or poor contract management, leading to failure to achieve Council priorities and outcomes.		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			19-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB, JK, TCB 19/12/. SK Email 21/12/17					
<b>Vulnerability</b>	<p>Inability to deliver key priorities and services.  Failure to meet legal requirements.  Reputational issues.  Impact on delivering statutory services.  Quality of the service provision may not be in line with regulatory/Council's requirements and or expectations.  Resource capacity to turn around a failing contract.</p>					
<b>Trigger/Event</b>	<p>Partners withdrawing.  Contracts fail to deliver outcomes.  Funding and financial management issues e.g. loss of funding, failure of financial management, termination of contract and requirement to recommission/procure.  Governance issues.  Poor specification/contract design.  Inadequate contract management/failure leading to failure to deliver outcomes.  Legal challenge of procurement route and or contract award.  Business Continuity/Emergency Planning issues occurring.  Failing to consult with the relevant experts and follow appropriate advice and guidance.  Litigation and regulatory action following non-compliance.  Lack of/poor effective exit strategies.  Poor quality of services.  Insufficient provider availability.  lack of corporate memory and expertise.</p>					
<b>Impact</b>	<p>Cost overruns, hidden costs, increased costs.  Delays in delivering services - crisis management.  Reputational issues and/or negative media.  Reduction in quality of service delivery.  Failure in service provision - performance management issues.  Increase resource demand that will have an impact on capacity.  Rising complaints from service users.  Non compliance with legislative requirements.  Data loss/privacy.</p>					
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Sanjiv Kohli</b>  Robust procurement polices and procedures to include: financial assessment, performance bonds, insurance, health and safety, equalities, safeguarding and business continuity planning.  Evaluation of Insurance needs.  Audit.  Business continuity insurance where required.  Flexible procurement for energy.  Ensuring appropriate Contract Management expertise is in place.  Performance bonds in place for major projects where required.  Parent company guarantees.  The risks of major projects are also covered within the projects themselves.  Annual Governance Statement which is reviewed every 6 months.</p>					

	<p>Annual assurance mapping.  Revised Contract Procedure Rules (every 2 years).  Time based contracts with robust exit clauses.  Legal Service assess all contracts.  Contract reviews.  Regular contract review meetings with key suppliers eg. NSH, Active4Today, Urban&amp;Civic, EMBC, Assurance Lincolnshire  Use of intermediaries for contract expertise.  CMT oversight of large contracts.  Consideration of more frequent contractor checks and alerts for significant projects and escalation process eg Equifax.  Develop an assurance model for contractor checks - JK  Improve contract manager understanding of ongoing contract management - JK  Recurring Contracts Register and Major Contracts Register (Over 500k) established.  Key services and suppliers List developed  Strategy Development Manager Post Recruited to SLA's in place  Named contract Manager highlighted for each contract.  Change control process.</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR004 Supply Chain Failures and Contract Management - Risk Action Plan	0%
<b>Linked PIs</b>	<b>Status</b>

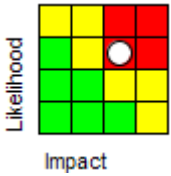
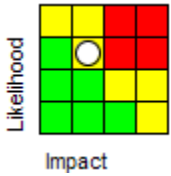
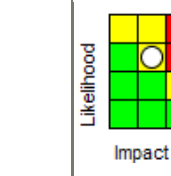
<b>Management Action Plan</b>	STRAT_SR005 Transformational Change		<b>Risk Owner</b>	Baker, Jill (BM - CUST-SERV); Parkinson, Sharon (BM - ICT); Cole, Kirsty (CMT); White, Karen (CMT); Mellors, Tracey 1 Admin		
<b>Description</b>	Ensuring that the Council, its Members and its workforce have the skills, resources, ability and capacity to adequately respond to current and future organisational change meaning the Council is able to deliver its services in the most efficient and effective manner.		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			06-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB & Owners 09/03/17					
<b>Vulnerability</b>	<p>Lack of appropriate skills, leadership, ability and capacity to deliver and transform services, address competing priorities and exploit new opportunities.  Ensuring appropriate capacity retained within the Council to ensure that contracts are delivered and outcomes achieved.  Managing and increasing range of delivery models.  Change processes may stall, be lengthy, may not meet needs or fail.  Not meeting council objectives and priorities.  Inability to respond to the public's needs.  Lack of succession/capacity to support unexpected resource change/losses.  Mismatch between reduced building capacity and working patterns of workforce.  New remote/lone working requirements impacting on service delivery, morale and potential health and safety issues.  Governance arrangements not supporting or facilitating the change processes.</p>					
<b>Trigger/Event</b>	<p>Recruitment / retention issues, key staff leaving and inability to recruit appropriate skills set.  Increased levels of absenteeism.  Inability to succession plan effectively.  Increased pressure on resources and time through change period and exploring emerging issues.  Changes to terms and conditions.  Government Policy changes.  Poor change management.  Further funding cuts required - further restructure and collaboration.  Commissioning and reviews of service delivery models.  Devolution.  Providing services to/via an increasing range of contractors eg. Active4Today, Newark and Sherwood Homes and East Midland Building Control eg. ICT providing services to a range of external organisations under SLAs.  Service failure.</p>					
<b>Impact</b>	<p>Increased staff stress levels.  Increase in sickness absence levels.  Morale reduced resulting in lower outputs.  Loss of critical staff/ appropriate skills.  Reduced capacity and ability to deliver.  Failure to meet objectives (corporate).  Service delivery failure.  Increased cost/possible reduction in income.  Lack of momentum and impetus in developing the change process.  Unclear understanding of responsibilities.  Savings not achieved.  Lack of capacity to meet demand.  Failure to deliver change in culture.  Loss of opportunity to work differently.  Reputational issues leading to difficulty in recruitment.  Increase of civil and criminal claims.  Safety of Employees.</p>					

	Breakdown of strong member/officer relationships.
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Kirsty Cole</b></p> <p>Robust risk management process in place to ensure ongoing projects and initiatives are supported. Business Managers have individual development plans to help them manage change and risk. Senior HR Officers have adopted "business partner" approach to support business managers in managing sickness absence, capability etc.</p> <p>Effective communications by way of monthly Chief's Brief, blog, improved intranet and JCC meetings to ensure staff regularly. updated of changes within the Council and two way communication/feedback, Staff Workshop sessions. Staff communication processes including roadshows, Chief's Briefing, internet updates, information emails, workshops and staff survey.</p> <p>Rolling programme of review for HR policies to ensure they remain robust and fit for purpose.</p> <p><b>Moving Ahead My Themes. have these been completed</b></p> <p>Selima system continuously upgraded to give business managers ownership / control over staff sickness Efinancials and other systems upgraded to facilitate management and practice of agile working. HR working closely with Business Managers to support organisational change.</p> <p>Declutter, Bin it days, file structure reviews.</p> <p>Partnership approach with recognised trade unions to support organisational change.</p> <p>Counselling/therapy and welfare support for staff.</p> <p>Commissioning process refined to improve staff involvement.</p> <p>Visible leadership.</p> <p>Ongoing collaborative and shared services activities.</p> <p>Training and development programme to support ongoing development of skills and competencies and BM and other staff change management such as recruitment.</p> <p>MPA programme.</p> <p>Agile working policies adopted and action plan developed.</p> <p>Timewise – emphasizing flexibility/agility of working conditions at the point of recruitment eg. Condensed hours contract.</p> <p>Apprenticeships.</p> <p>Revised pay and grading arrangements for NS17 post holders.</p> <p>Regular meetings between Chief Executive and political leaders.</p> <p>Directors aligned to committees.</p> <p>Political cabinet meeting.</p> <p>Nominated lead officers for contracts with external providers eg. Active4Today.</p> <p>Monitoring of the completion of the initial phase of the review of the performance management framework to support agile working.</p> <p>Peer Challenge undertaken and Action Plan drafted and approved, including proposed review of Governance arrangements.</p> <p>Reviewed performance management framework to support agile working.</p> <p>Councillors Commission meetings.</p> <p>GNSR partnership including Talent Management Strategy, National Graduate Development Programme, secondments and resource sharing.</p> <p>CMT to undertake review of requirements for client side roll during next off site day</p> <p>Pursue recognition through national awards where appropriate</p> <p>Take a proactive approach to engaging with media and the community in demonstrating the Council's successes</p> <p>Build the Council's reputation through promotion of our achievements.</p> <p>Nominated Champions are in place at Castle House to assist transition to new building,</p> <p>Review/update of communications strategy to ensure that it remains fit for purpose</p> <p>Review membership of / attendance by officers on outside bodies to determine relevance and review member representation on outside bodies</p> <p>Medium Term Financial Plan puts aside sufficient funds to resource transformational change</p> <p>Continue to take a pro-active approach to engaging with media and the community in demonstrating the Council's successes</p> <p>Build the Council's reputation through promotion of our achievement</p> <p>Pursue recognition through national awards where appropriate</p> <p>CPDT</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR005 Transformational Change - Risk Action Plan	<input type="text" value="34%"/>
<b>Linked PIs</b>	<b>Status</b>



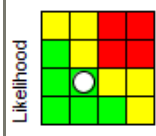
<b>Management Action Plan</b>	STRAT_SR006 Sustainable Communities		<b>Risk Owner</b>	Adams, Ben (BM - COM-SAF); Batty, Alan (BM - ENV-H); Monger, Leanne (BM - HSG&SAF); White, Karen (CMT)		
<b>Description</b>	<p>The risk of various communities within NSDC feeling excluded, disengaged or being unable to access available services and opportunities including, rural, deprived, minority and vulnerable communities and local businesses etc.</p> <p>NB. Services and opportunities to include health and wellbeing, early intervention and prevention.</p>		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			19-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	Reviewed 19/12/17 RB, BA, KW, Cheska, TC					
<b>Vulnerability</b>	<p>Disengagement between Council and Community. Breakdown within and between Communities. Disengagement between Council and partners in delivering and planning services. Austerity leading to reduced effectiveness of collaboration and partnership working. Leadership role of the Council where the community disengages from a provider.</p>					
<b>Trigger/Event</b>	<p>National/local incident ie Safeguarding issue, emergency/environmental event and/or civil disruption leading to cultural tensions/incidents/crime. Crime and/or radicalisation. Withdrawal/changes to services/budgets – eg. supported housing/homelessness, CAB support, policing, social care and adult services. Local decision making - eg. contentious planning decision, major breakdown within a Parish council splitting a community. Community experiencing rapid change eg. economic recession. Change in benefits systems leading to reduced household income. Increased unemployment due to economic downturn. Increase in migrant workers perception in competition for jobs, housing, welfare. Syrian resettlement programme and asylum dispersal. Post Brexit related issues.</p>					
<b>Impact</b>	<p>Remote risk of tension/unrest. Increase in deprivation and inequalities in health and life expectancy across different communities. Fracture and discontent within communities. Lack of community cohesion/community brought together around a common cause. Disengagement with service providers. Crime and antisocial behaviour. Reputational damage for district and Council. Financial exclusion. Increased demand for services. Strained partnership relationships. Unemployment.</p>					
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Karen White</b></p> <ul style="list-style-type: none"> <li>* Community Impact Assessments.</li> <li>* Gypsy and traveller liaison officer in place through NCC. – <b>BA -Currently this post does not exist and the rumour I have heard is that it will not be replaced by NCC</b></li> <li>* National monitoring of all tensions through police forces - updated through local residence forums whenever necessary and actions then dealt with by Nottinghamshire local resilience forum (LRF) with rep from district councils.</li> <li>* Single Point of Contact for Council and police intelligence sharing.</li> <li>* Internal links with housing, planning, homelessness and benefits to ensure understanding of potential impact of service provision changes.</li> <li>* CCTV regarding day to day ongoing issues.</li> <li>* Continued funding and support to Sherwood and Newark Citizens Advice Bureau.</li> </ul>					



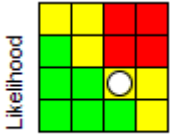
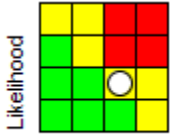
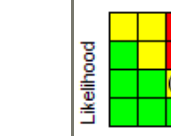
	<p>* PREVENT training. – <b>BA - Is training once run and completed worth keeping in the RA? We are running 'Project Griffin' training which is more to do with how to respond in the event of a terrorist incident and I wouldn't link with this RA as it seems to be more about prevention rather than response(?)</b></p> <p>* Safeguarding: policies, procedures, training and referral mechanisms; Corporate Safeguarding Group; Safeguarding boards.</p> <p>* Anti Slavery Board - <b>BA - This is now known as 'Modern Day Slavery' but I'm not aware of a 'board'. MDS is still discussed at the various CSP meetings and we have taken some action in N&amp;S to target potential hot spots e.g. car washes.</b></p> <p>* New and Emerging communities Board - <b>BA - Similar to above 'New and Emerging Communities' is still a 'theme' of the Safer Notts Board and we have it as a theme of the BNSCSP as a consequence.</b></p> <p>* Neighbourhood studies and resulting actions - <b>BA- Is this the same as below?</b></p> <p>* Consider and where appropriate plan the implement action plans for the Neighbourhood Studies completed (Bridge, Hawtonville, Ollerton &amp; Boughton) - <b>RM - BA - Is this the same as above?</b></p> <p>* Equality Strategy, Equality Impact Assessments, Quarterly Equality Steering Group.</p> <p>* Greater integration and access with service providers e.g. Castle House</p> <p>* Notts Warm Homes on prescription programme.</p> <p>* Actively monitor/manage Communications: Voice, active on social media channels and networks eg. Spotted Newark</p> <p>* Community leadership role of councillors.</p> <p>* Annual Parish Conference.</p> <p>* Syrian resettlement coordination group.</p> <p>* Community cohesion event for eastern European communities - <b>BA - I would delete this as it has not been possible to run one.</b></p> <p>* Notts Trent uni project looking at post Brexit Issues - <b>BA -This has been completed and was a one off piece of work. I would therefore remove this.</b></p> <p>* Cultural Orientation Workshops e.g. Syrian Cultural Training.</p> <p>* Modern Day Slavery Action Day's in partnership with Newark Police, the National Crime Agency and the Gang Masters and Labour Abuse Authority – to gain intelligence on people working within car washes and nail bars - <b>BA -This is a specific action that comes out of the themed work of the SNB and perhaps it should therefore be a milestone?</b></p> <p><b><u>SNB/CSP:</u></b></p> <p>* Regular meetings are held by the Community Safety Partnership where issues of vulnerability and community tensions may be raised by a variety of partner agencies in attendance. Actions to address any identified tensions are then taken.</p> <p>* Safer Notts Board and themed groups - <b>BA suggested replacement with - Active participation in the Safer Notts Board (SNB) and its themed groups e.g. Modern Day Slavery, New and Emerging Communities.</b></p> <p><b><u>CCG/HEALTH THEMED:</u></b></p> <p>* Connections with health governance structures: Housing and Health Commissioning Group; Health and Wellbeing Board; Sustainable and Communities Housing/Better Care Fund Programme Board; county public health team.</p> <p>* Improved communications with Mid Notts CCG - <b>BA -I would suggest that this is very vague and question the value of including it in this form.</b></p> <p>* Emerging works from the CCG meetings - Quarterly senior officer meetings, annual health forum, GP practitioners get together.</p> <p>* Develop Mid Notts CCG relationship with senior officers and members</p> <p>* CCG Quarterly senior officer meetings (LM)</p> <p>* CCG GP practitioners get together Scheduled (LM)</p> <p>* CCG Annual Health Forum (LM)</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
COM-SAF_E&D2.03 Understand our communities through Bassetlaw and Newark & Sherwood Community Safety Partnership	0%
RP-SR006 Sustainable Communities - Risk Action Plan	42%
<b>Linked PIs</b>	<b>Status</b>

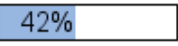
<b>Management Action Plan</b>	STRAT_SR007 Continuity of Service (Civil contingency/Emergency)		<b>Risk Owner</b>	Adams, Ben (BM - COM-SAF); White, Karen (CMT)		
<b>Description</b>	<p>NSDC's ability to effectively respond to a major emergency and maintain that response without affecting essential day to day service delivery.</p> <p>The risk is to both NSDC as a business continuity issue and to our at risk communities.</p>		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			11-Dec-2017	31-Mar-2018	Control Pending	
<b>Risk Officer Review</b>	RB & Owners 27/03/17 ***Review of the ICT BC arrangements for Partners at Castle House					
<b>Vulnerability</b>	<p>Limited and reducing resources to respond to an event - especially in the longer term.  Reduced staff for on call/standby.  Inability for NSDC to deliver on services or respond to events appropriately.  Sustainability/capacity issues.  Effect on communities (commercial or domestic).  Large rural and elderly populations making flood defence systems and support more difficult.  Our reputation with community or partners  Dispersed Rural locations across the district and the extent/size of flood plains make it difficult to respond.</p>					
<b>Trigger/Event</b>	<p>Extreme weather event of greater frequency and severity.  Unpredictable district/regional/national emergency events.  Council headquarters or key facilities are damaged.  Limited resource or key personnel.</p>					
<b>Impact</b>	<p>Drain on services and resources to provide an immediate and appropriate response.  Business Continuity issues at Kelham Hall 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 reduced capacity to respond to emergency or maintain services  Reputational damage to Newark and Sherwood as a whole - reduced growth due to issues with flooding, people and businesses moving out or not relocating to area.  Financial issues due to inability to carry out other income generating services and requirement to support the communities  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 grants due to cost benefit ratio.</p>					
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Karen White</b>  Emergency plans in place with county council support.  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.  Flood stores in some communities with provisions to self help and therefore not be as reliant on council.  Improved understanding of snow implications and therefore better plans in place.  Council maintaining budget figure and reserve up to Belwin amount to cover emergency incidents.  Work carried out with EA and national/regional/local organisations on flood resilience during community events.  Memorandum of Understanding for mutual aid.  Local Resilience Forum and annual risk assessment.  Incident specific emergency plans in place.  Signed up and access to Resilience Direct.  Corporate budget available to support flood alleviation schemes.  Facilitation of government grant scheme in flood affected areas to enhance future resilience.  New HQ designed with potential flooding in mind.  Agile working arrangements.  Business Continuity Audit Review.  Internal Audit of Business Continuity (Audit)</p>					

	<p>Initial roll out of Resilience Direct (OV)  Load key documents onto Resilience Direct (OV)  Develop emergency response management tool (BA)  Equipment Audit (Emergency Stores) (BA)  *****Annual review of documents, contacts and stocks for flood wardens.  ***** Contributing to a multiagency approach to flood alleviation.  *****updated control centre in light of move  *****Review of EP Plans</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	
RP-SR007 Continuity of Service (Civil Contingency/Emergency) - Risk Action Plan	<b>Progress Bar</b> 25%
<b>Linked PIs</b>	
	<b>Status</b>

<b>Management Action Plan</b>	STRAT_SR008 Corporate Governance		<b>Risk Owner</b>	Wilson, Nick (BM - FIN-SERV); Cole, Kirsty (CMT); Kohli, Sanjiv (CMT); Muter, Andrew (CMT); Mellors, Tracey 1 Admin; <del>Lovely, Nicola x(BM - FIN-SERV); Test 1 x(BM - FIN-SERV)</del>		
<b>Description</b>	The risk of failures in systems of governance within the Council, within Council owned/influenced organisations and partnerships and other collaboration arrangements, leading to governance issues, fraud and corruption, failures in management systems, poor policy and decision making.		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
			<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			06-Dec-2017	31-Mar-2018	Controlled	
<b>Risk Officer Review</b>	RB & Owners 16/03/17					
<b>Vulnerability</b>	Failures in service delivery. Potential for fraud and corruption. Poor policy and decision making. Lack of clarity about decision making.					
<b>Trigger/Event</b>	Failure to set out governance standards, define and review policies to ensure fitness for purpose. Failure to uphold governance standards. Failure to communicate standards and policies to staff and councillors. 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. Fraud and corrupt practice identified. Fraud and corruption practices not identified or dealt with leading to an incident of fraud and corruption. Failure in Policy adherence (All policies). Malicious event eg. Fraud, money laundering, etc. Gaps in procedures and/or failure to manage leading to governance failure such as an incident of fraud and corruption. Reduction in capacity. Failure to adequately oversee governance standards of partnerships and other entities that the Council is involved in.					
<b>Impact</b>	Financial resource loss. Service delivery issues. Criminal or civil liability. Government or peer intervention. Reputational risk to the Council. Negative media coverage. Policies could be open to challenge. Excessive legal costs incurred. Poor or inadequate decision making. Poor staff morale. High staff turnover. Regulator finding fault eg. Internal Audit, External Audit, Ombudsman. Community disengagement. Capacity redirected to address failures. Loss of opportunity.					
<b>Measures in Place</b>	<b>LEAD OFFICER - Kirsty Cole</b> Code of corporate governance created, maintained and monitored in accordance with CIPFA guidance. Related third party transactions. Internal Audit work including risk based Audit Plan. Effective use of External Auditor. Audit and Accounts Committee. Training on governance issues including anti-fraud and financial regulations.					

	<p>Localised standards framework and effective arrangements for dealing with complaints overseen by Policy and Finance Committee.  Internal complaints procedure.  External regulators.  Appropriate insurance cover including Fidelity Guarantee.  Oversight of Active4Today, Newark and Sherwood Homes and East Midlands Building Control.  Appropriate monitoring of performance of the third party or alternative service delivery methods.  Recruitment process controls, eg. References, Immigration, CRB.  Participation with National Fraud Initiative process.  Gifts and hospitality - policy and register place.  Corporate Governance self-assessment against the code of Corporate Governance undertaken periodically.  Annual governance statement reviewed annually and reported to Audit and Accounts Committee.  Section 151 officer/Monitoring officer/Head of Paid Service.  Periodic review of governance by 3 statutory officers.  Officer code of conduct.  Officer register of interests.  Combined assurance report (annual).  Counter fraud training delivered.  Fraud risk register reviewed and reported to members.  Collaboration agreement between NSDC, Rushcliffe BC and Gedling BC.  Annual internal review of Fraud Risks and internal audit check on controls.  Horizon scanning at Business Manager briefings and effective communication between CMT and business managers.  Peer Challenge undertaken which included a focus on governance with recommendations to review and action plan developed.  Options appraisal for counter fraud and implementation of preferred option.  Member induction at the start of each new Council cycle.  IR35 Compliance</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR008 Corporate Governance - Risk Action Plan	<input type="text" value="33%"/>
<b>Linked PIs</b>	<b>Status</b>

<b>Management Action Plan</b>	STRAT_SR009 Data Management & Security		<b>Risk Owner</b>	Baker, Jill (BM - CUST-SERV); Parkinson, Sharon (BM - ICT); Finch, Matthew (CMT)		
<b>Description</b>	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential or business critical information or breach of Information Governance Legislation		<b>Assigned To</b>	Clipsham-Brown, Tracey 1 Admin		
<b>Original Risk Matrix</b>	<b>Current Risk Matrix</b>	<b>Target Risk Matrix</b>	<b>Risk Review Period</b>	Quarterly		
 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	<b>Last Review Date</b>	<b>Target Date</b>	<b>Management</b>	
			11-Dec-2017	31-Mar-2018	Control Pending	
<b>Risk Officer Review</b>	RB & Owners 11/12/17					
<b>Vulnerability</b>	<p>Loss of vulnerable, personal, sensitive, valuable data</p> <p>Legal action</p> <p>Reputation with partners</p> <p>Negative media coverage</p> <p>Less control over data as service delivery models become more complex</p> <p>Loss of ability to maintain a service subject to cyber attack</p>					
<b>Trigger/Event</b>	<p>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.</p> <p>Theft or loss of equipment/papers/data</p> <p>Targeted cyber attack.</p> <p>Move towards Agile Working ie. greater use of mobile/remote/home working/home printing/disposal of printed data/GCSX accounts.</p> <p>Open Plan Offices, partners co-locating into Castle House, more opportunities for joint working with partners.</p> <p>Reducing resources with less capacity for processing data</p> <p>Collaborative working, sharing, outsourcing and partnership working (including external printing and hybrid mail)/involvement in other peoples' data</p> <p>Use of BYOD (Bring your own device)</p> <p>Government integration agenda</p> <p>Use of suppliers/third parties, etc</p> <p>De-commissioning Kelham Hall and other locations</p> <p>Partnership working and sharing new service locations/data sharing issues</p> <p>Partner's/contractor's/host's poor data management and information security leading to data breach/loss.</p> <p>Pending information governance legislative change.</p> <p>Devolution/change in service delivery model.</p>					
<b>Impact</b>	<p>Damage to reputation of the Council/trust by the public.</p> <p>Breach of Access to Information legislation bringing about financial/legal damage - imposed on the Council by the Information Commissioner and other Statutory Bodies.</p> <p>Disciplinary action taken against a member of staff and elected members if a breach is found to be deliberate/malicious.</p> <p>Operational and resource issues eg. service interruption - where focus has to be taken away from service delivery to dealing with the breach.</p> <p>Individual loss/damage to an individual where the Council inappropriately released their personal data eg. civil claims.</p> <p>Drain on resources to process and enable conformity in legislation.</p> <p>Possibility of falling foul of legislation in other areas due to the drain on resources dealing with information governance legislation changes.</p> <p>Financial impact of Information Commissioner investigation.</p> <p>Impact on Agile working - lack of ability to work remotely.</p> <p>Cyber attack leading to system downtime/damage/loss of data (Ransom Ware) and financial loss.</p> <p>Loss of provision to customers and partners eg. NSH, Active4Today, DWP, CCTV (under current arrangements) leading to disputes over SLAs and contracts.</p>					
<b>Measures in Place</b>	<p><b>LEAD OFFICER - Matt Finch</b></p> <p>Data protection training including a section on information security and targeted training ongoing for staff located elsewhere and forms part of the induction process.</p> <p>Guidance and training available for elected members.</p>					

	<p>Guidance on security breach procedures for Business Managers as Information Asset Owners.  Specific training completed for all staff taking payments in line with new PCI-DSS Version 3 requirements.  Information management framework incorporating Security Policy and Security Breach Policy.  Training for ICT staff.  External Audit on ICT security annually.  Information Governance audit - periodic.  Weekly review of ICO guidance.  Following move to Castle House the Council is much more paper light  Staff only have 1 linear M of storage, which reduces the amount of paper stored.  Corporate drive restructure.  Retention of document policy.  Encryption for laptops.  VASCO tokens and Google Authenticator.  Quarterly security checks internally.  Penetration test annually for external company - monthly scans of servers for weaknesses, monthly server updates and monthly scans of Microsoft Office and Windows.  Perimeter software - eg. mailmarshall &amp; webmarshall.  Hardening test on new virtual servers.  Scanning documents as part of the IDOX transfer therefore removing 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 &amp; upgrade of the environment.  Compliance with the governments security arrangements.  Dual Factor Authentication for accessing OWA (Outlook Web Access).  PSN compliant data &amp; internet connections implemented.  PCI/DSS gap analysis completed - see Corporate risk for further details.  Cyber Security now standing agenda item on monthly business unit management meetings.  Secure portal for Members to access the Extranet.  Airwatch MDM (Mobile Device Management) implementation for mobile devices.  GCSx secure email.  Cryptshare for encrypting secure emails and large files for email.  Information governance check on furniture that is being disposed off.  Shuffle Up- Information Governance &amp; ICT checking and signing off rooms when emptied IDS installed on the Council's firewall (x2) to improve security layer &amp; enable the implementation of Geo Location blocking to help prevent targeted attacks from abroad.  All relevant staff to have received the Information E Training rolled out and completed to staff on  Information Governance Responsible Officer: J Baker, S Parkinson, A Tuplin &amp; D Clarke  Consideration of enhancements to firewall protection such as geo-location. SP  Data Protection policy - JB  Record retention module implemented for IDOX document management system - JB  Review of targeted training for Data Protection and PCI/DSS. - JB  Data Protection training for Elected Members - DC  Report cyber-attacks/attempts - historic information on unsuccessful attacks is not available &amp; we are now logging any incidents going forward.  Review of policies and procedures to ensure compliance with new Payment Card Industry- Data Security Standard V3 (PCI-DSS) Responsible Officer: SP/JB/DC  Users own devices cannot connect to network  A gap analysis is underway to assess the compliance against ISO27001</p>
<b>Further control/actions required</b>	The further actions required to be undertaken for this risk (if any) are detailed within the Strategic Risk Action Plan under the Actions Module of Pentana.
<b>Linked Actions</b>	<b>Progress Bar</b>
RP-SR009 Data Management & Security - Risk Action Plan	
<b>Linked PIs</b>	<b>Status</b>