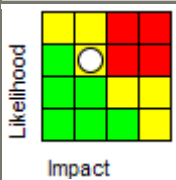
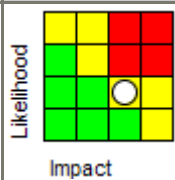
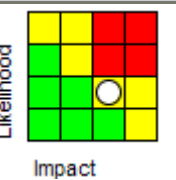


Appendix 1

RISK - Register - Strategic Risk

Risk Name & Code	SR001 Financial Sustainability	Risk Owner	Wilson, Nick (BM - FIN); Kohli, Sanjiv (SLT)		
Risk Description	Uncertain changes in Central Government funding increased and demand in service resulting in lack of financial resilience.	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			19-Dec-2018	31-Mar-2018	Control Pending

BM Commentary - Risk Remaining in Red Status

Risk Officer Review	RB, SK, NW, MZM - 18/12/2018
Vulnerability	Financial sustainability/planning Resource demand Partnerships/stakeholder failure Meeting corporate priorities Legal and compliance
Trigger/Event	<p><u>Financial</u> Projects undertaken to mitigate funding cuts are unsuccessful in producing the necessary savings. Service failure leading to loss of income. 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. Non payment of debt charges. Increase in borrowing rates (treasury management). Unforeseen financial burden due to implementation of national policy: 1. Implementation of Works & Welfare Reform Act 2016. 2. Governmental Policy affecting council's approved rent policy. 3. Implementation of the Housing and Planning Act 2016. 4. Pending Social Housing Green Paper 2018 5. Change in supported housing funding. 6. Changes to the level of borrowing headroom allowable. Reduced customers for income generating services. HRA development programme failure. 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). Poor revenue planning of new projects. 100% Business Rates retention Profiling of Capital Programme. Global economic shocks having negative effect on Government finances and local economy. Income volatility Large number of projects underway at any one time Inability to attract businesses for future business rates growth.</p> <p><u>Partnership/Stakeholder</u> Failure by Housing Management Company to deliver contract and effectively manage assets. Change in local political strategy. failure of a lead principal partnership failure of stock management failure in delivery of new stock NSH housing management business plan failing Large scale applications for mandatory relief eg. NHS. Competition - Local competitor seeking increased market share. Local authorities and/or elected mayors commence using business rates as competitive tools. Enterprise Zone status attracts local businesses to relocate outside of the district (eg. proposed Robin Hood</p>

	<p>line extension).</p> <p><u>Resources</u> Contractions in the provision of other public services, leading to increased expectations and demand on the district council. Lack of sites to deliver HRA development programme. Reduction in rental income beyond HRA BP assumptions. Loss of stock through RTB beyond anticipated levels Lack of resources (financial and key NSDC staff) Lack of skill/qualified staff. Inadequate systems to monitor NSH & BP. Increase in demand for non-income generating services. Increased demand for services Potential changes to housing management and maintenance priorities Considering reviews and identifying opportunities.</p> <p><u>Legal & Compliance</u> Changing legislation or government policy reducing grants or increasing costs (eg New Homes Bonus, Apprenticeship levy) Don't use the 1-4-1 receipts in accordance with government timeline.</p>
<p>Impact/Consequence of Trigger</p>	<p><u>Financial</u> Increased costs/lower level of service provided. Inability to produce a balanced budget Inability to financially plan beyond 4 years. Council becomes financially unsustainable Increase payments of loan portfolio. Loss of income. Possible effect on housing tenants ability to pay rent and sustain their tenancy. Inability to respond to significant drop in income Failure to comply with Financial Procedures resulting in works and services not appropriately procured and leading to budget overspends. Failure to service the housing debt (£110m), deliver capital investment in the housing stock and enable an effective housing management service. Potential liabilities to the general fund Inability to plan long term - beyond 4 years Failure to deliver HRA Development programme (£30m) Service closure. Failure of one or more projects bring it back in house not suing NSH Reduction in the investment of the housing stock (inability to deliver Newark & Sherwood decent homes standard). Desirability and letting of stock, increasing average relet times = loss of rental income. HRA bails out the HM Company Return of the 1-4-1 receipts plus interest back to gov should we not use this. Plus the additional contributions to capital funds.</p> <p><u>Priorities</u> Decline in outcomes eg. crime and health major issues around vulnerability. Strategic direction of the Council changes or becomes unclear. Need to change existing policies. Loss of reputation of the Council. Reduction of the management housing service. Not meeting changing populations needs Unable to deliver outcomes of Neighbourhood Studies and/or regeneration programmes Unable to meet objectives outlined in the strategic priorities Identifying and reviewing potential opportunities for inclusion in the Business Plan Failure to meet the councils strategic priorities and housing vision. Inability to deliver statutory housing policies</p> <p><u>Partnerships/Stakeholders</u> Failure of collaborative or joined up approaches. Failure of relationships. Negative media coverage. Reduction in tenant satisfaction and management/repairs service to tenants. Reputation with partners and Gov bodies. Greater Political scrutiny. Government Intervention/General fund intervention.</p> <p><u>Resources</u> Reduced capacity to maintain service delivery. Loss of local services/facilities. Loss of staff morale. Reduction in ability to invest locally. Inability to deliver and maintain service</p>

	<p>Restriction of service choices, eg. sustainable procurement. The housing needs of local residents are not met and there is no adequate alternative for residents eligible for affordable housing. Additional pressure on other Council functions, such as housing options (lack of move on accommodation) and the allocation of social housing (increase in numbers on the housing register). External organisations for example Registered Providers and support providers unable to meet demands. Additional burden to administration of re-letting properties due to impact of national policy. Reduction in the ability to deliver HRA development programme. Estate regeneration programmes not taken forward. Deterioration in condition and quality of housing stock and neighbourhood.</p>
<p>Measures already in place</p>	<p><u>LEAD OFFICER - Director of Resources & Deputy Chief Executive - S Kohli</u> <u>Objective:</u> Critical success factors are maintaining and improving services whilst delivering an acceptable level of Council Tax <u>Controls:</u> <u>Management Agreement:</u> -Monitor and Review of the 5 year HRA Development programme. -Monitor/review the progress of the 30 year management agreement with Newark & Sherwood Homes -Housing Performance Framework, monitoring of these and reporting to SHLP and Homes & -Communities Committee. -NSH Annual Delivery Plan -Re-basing management fee every three years. -Strategic/Operational liaison meetings with NSH discuss Management Agreement, Operational issues, review of HRA BP. -HRA asset review/utilisation undertaken and ongoing monitoring of this. Active4Today set up to deliver leisure services with a reducing management fee. 30 year HRA business plan produced and reviewed annually. Developed and agreed a 5 year HRA development programme to deliver 335 units. Rent setting, Capital Programme, NSH Annual delivery plan, update on the HRA Development Programme, NSH Performance, Tenants scrutiny. Reports to Members through the Committee cycle (Policy & Finance and Homes & Communities) and individual liaison with appropriate Member(s) as required. Scrutinising reports to Newark & Sherwood Homes Board. Strategic Liaison Housing Panel (NSDC Members/NSH Board. SHLM Meetings with both NSDC Officers and NSH Officers. Shared documentation between the council and the company. SLA's with voluntary sector providers.</p> <p><u>Financial Management:</u> -Council Capital monitoring meetings. -Investments approved in line with the annually agreed/reviewed Treasury Management Strategy. -Annual production and submission of report on rent setting policy. -£2m General HRA reserve. -S106 Officer ensuring HRA S106 monies utilised correctly. -Ensuring the 1-4-1 Capital Receipts are utilised pre deadline. -Headroom for borrowing together with Government announcements on levels of debt monitored -Well established officer budget process. -Refreshed Medium Term Financial Plan including restructure of reserves -Council Approved Capital Programme. Major income streams monitored by CMT. 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. Regular review of Treasury issues to improve rate of return on investments. Exercising caution over future financing in short to medium term. Analysis of Government policy announcements on local authority funding within Autumn Statement, Budget and provisional settlement Prepare Business case for wholly owned development company and present to Policy and Finance Committee for approval.</p> <p><u>Projects</u> Assigned project manager for each project. Ongoing review of projects Corporate Projects Development Team established to identify business opportunities in service areas.</p> <p><u>Reporting/Meeting</u> Director/Business Unit Manager review meetings. Exception Reports to CMT.</p> <p><u>Plan/Strategy</u> Agreed and reviewed Asset Management Strategy. 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</p>

Ongoing work on Council's objectives - Corporate Plan Revised
Consultation & Communication plan to manage political and public expectations.

Business rates

Income forecasting e.g. New Homes Bonus and Business Rates and using a third party organisation to support the business rates appeals forecasting.

Business Rates – keeping appeals provision under continual informal review.

Business Rates - Annual formal review of appeals provision to Government

Nottinghamshire Business rates Pool kept under review.

Horizon scanning to identify long term implications.

Devolution to Newark Town Council and other areas. Monitoring of Funding agreements.

Service and process improvements to generate efficiencies.

Review of empty business properties to identify missed income opportunities.

Growth grp meets qtrly to develop growth strategy and encourage BR Growth

Approved Efficiency Statement meaning Revenue Support Grant fixed over the forthcoming years **to 2019/2020**

Keeping a watching brief

RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:

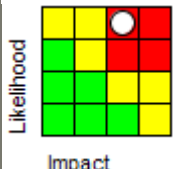
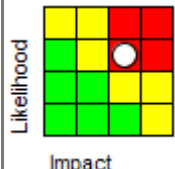
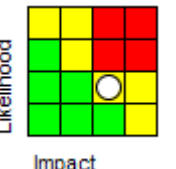
Consideration of a housing investment vehicle. RM

Refresh the financial model to inform the updated HRA business plan (NW)

Linked Actions	Progress Bar
RP-SR001 Financial Sustainability - Risk Action Plan	

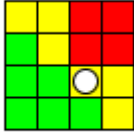
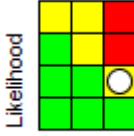
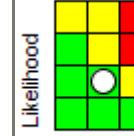
Risk Name & Code	SR002 Safeguarding Management	Risk Owner	Adams, Ben (BM - COM-SAF); Monger, Leanne (BM - HHC); Browser BM		
Risk Description	Inappropriate Management of a Safeguarding Issue	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			20-Dec-2018	31-Mar-2018	Controlled
BM Commentary - Risk Remaining in Red Status					

Risk Officer Review	16/3/18 RB, LM, TCB; 17/9/18 BA, RB, MZM, HG				
Vulnerability	Legislative policy and compliance Mismanagement of cases Partners Reputation Resource				
Trigger/Event	Reduction of Managers means that relevant officers may not be available Lack of Training Turnover of staff resulting in loss of continuity Failure to identify a serious case Resurrection of a historic case Lack of resources to respond to the safeguarding process (identification through to investigation and report) Inappropriate response to a case Lack of corporate awareness and culture (members and officers) lack of communication / Partnership failure Non adherence to corporate policy, not escalating and not reporting				
Impact/Consequence of Trigger	Foreseeable and avoidable harm is suffered by a vulnerable person Serious case review by Nottinghamshire safeguarding board Reputational Damage Litigation (criminal and civil) Disruption caused by targeting by group/individual Possible effect on future insurance costs depending on liability and claims history Personal Liability Staff Morale Radicalisation reputational damage with community e.g. negative media resourcing any additional works child exploitation, domestic abuse, radicalisation, modern day slavery, older people				
Measures already in place	<p><u>LEAD OFFICER: Director of Communities & Environment - M Finch</u></p> <p><u>Policies</u> Countywide safeguarding policy adopted – and reviewed / updated March 2018 Disciplinary policy Annual Review and Update of the Council’s Safeguarding Policy</p> <p><u>Training</u> Key Staff already undertaken E-Learning BMS and safeguarding specific training PREVENT introduction to safeguarding training rolled out to all staff Staff Induction training organised Member / represented on the Notts Safeguarding Children’s Board and Notts Safeguarding Adults</p> <p>Local procedures in place Corporate safeguarding group meet regularly Safeguarding Support Officers in place Shared safeguarding email Annual completion of Section 11 return DBS notification process Internal Audit Board and Partnership</p>				
Linked Actions					Progress Bar

Risk Name & Code	SR003 Facilitating and enabling growth		Risk Owner	Reader-Sullivan, Julie (BM - ECO-GRO); Lamb, Matt (BM - GROWTH&R); Main, Rob (BM - HSD); Norton, Matthew (BM - PPO)		
Risk Description	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.		Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly		
			Last Review Date	Target Date	Management	
			17-Jan-2019	31-Mar-2018	Controlled	
BM Commentary - Risk Remaining in Red Status						

Risk Officer Review	RB & Owners 13/03/17 RB, ML, JRS, MN, RM, MZM, HG 6/9/18
Vulnerability	Inability of the market to deliver Growth agenda including housing, infrastructure, commercial, health and leisure requirements affecting the investment potential. Local market conditions and environment Reputation Financial stability of local authority Partners and stakeholders
Trigger/Event	<p><u>Financial</u> Financial Climate Delay of delivery of project due to investors/financial climate. Non availability of funding streams. Change in Bank of England interest rates which reduce appetite to invest. Fluctuations in inflation. Climate / environment change event Loss of significant business resulting in loss of confidence in investing in local area - also knock on effect to suppliers and supportive businesses. Uncertainty over proposals for 100% retention of business rates. Lack of capacity/funding to facilitate local growth (support and infrastructure). No investment due to the economic climate locally and nationally. Reducing level of Grant settlement. Planning objections delaying progress Planning consents not started. Impact of Community Infrastructure Levy on future development. Supply chain failures Developments not viable without reduction in community benefits.</p> <p><u>Partners/ Stakeholders</u> Changing political focus or direction at local, county and national level. The consequences of service reductions introduced by other public sector providers. Partners and stakeholders withdrawing services Impact of closure of a major local employer. Combined Authority/local government reorganisation/devolution.</p> <p><u>Resource</u> Land availability Deterioration in transport infrastructure Lack of professional staff to deliver growth Insufficient capacity to support growth. Skill set shortages in some sectors Suitability of local workforce Limited development for infrastructure/technology for rural locations. Impact of Government forecasts and predictions. Delay in development infrastructure and provision Demographic change.</p> <p><u>Policy/ Legislation</u></p>

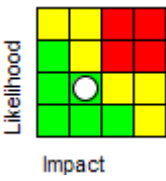
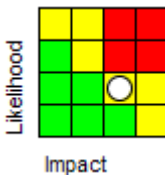
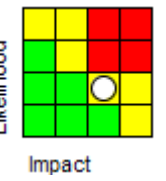
	<p>Brexit uncertainty. Legislation changes Change in National policy or legislation and known/unintended consequences. New Homes Bonus consultation and policy framework. Legislation eg. privatisation of planning.</p>
<p>Impact/Consequence of Trigger</p>	<p>Insufficient homes being built in the district to meet demand, including affordable housing Infrastructure not provided. Jobs not created (loss of employment/jobs not created). 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. Low confidence in house building sector.</p> <p>Low growth locally.</p>
<p>Measures already in place</p>	<p><u>LEAD OFFICER - Director of Growth & Regeneration - M Lamb</u></p> <p><u>Financial</u> 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. Inward Investment - ongoing activity Southern Link Road Duelling of the A46 Local NSDC Land for development identified Arkwood Development Nottinghamshire Business Rates pool to be used for economic growth. HRA 5 year programme to build 335 units.</p> <p><u>Partners/Stakeholders</u> Regular liaison with strategic site owners. Ongoing discussions with partners regarding support for strategic infrastructure. Partnership with LEP and local businesses growing and improving. Partnership arrangements with local colleges and universities eg. memorandum of understanding with Nottingham Trent University. Nottinghamshire Economic Prosperity Committee. Working in partnership with Registered Providers, Homes England and other bodies to develop new build housing schemes across the district Undertake Regeneration activities currently focussed on Bridge Ward, Ollerton and Boughton & Hawtonville. Education partnerships; Together for Newark and Sherwood Forest Education Partnership. 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. Feasibility study (Constraint study) for the development and disposal of Ollerton Hall (ml)</p> <p><u>Strategy/ Policy/ Reporting</u> Reviewing Core Strategy and Allocations DPDs to ensure they continue to be appropriate and facilitate growth in housing and employment over the coming years. Monitoring of key economic data is undertaken regularly Business Growth reporting system Prosperity Agenda is the main priority for the council including funding scheme for new business development Housing Growth Strategy in place Implementing Economic development Strategy with continued focus on Inward Investment, Business Growth, Employability & Skills, key sectors and infrastructure. Agreed with Ec Dev Committee in Nov 2017 and incorporates some social mobility issues. Regular growth and prosperity meetings Ollerton Hall planning brief commissioned - ML Developed a flexible policy on exercise of discretion on business rates to support future growth. (JRS) Agreement of the forward work plan for Economic Growth Support for strategic infrastructure</p> <p><u>RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:</u></p>
<p>Linked Actions</p>	<p>Progress Bar</p>
<p>RP-SR003 Facilitating and enabling growth - Risk Action Plan</p>	<p>0%</p>

Risk Name & Code	SR004 Supply Chain Failures and Contract Management	Risk Owner	Johnson, Deb (BM - CMP); Wilson, Nick (BM - FIN); Kohli, Sanjiv (SLT); White, Karen (SLT)		
Risk Description	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.	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			17-Dec-2018	31-Mar-2018	Control Pending

BM Commentary - Risk Remaining in Red Status	
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Risk Officer Review	RB, JK, TCB 19/12/. SK Email 21/12/17 - RB,DJ,KW,NW,JK,MZM,HG - 3/9/18
Vulnerability	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. Financial management
Trigger/Event	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 noncompliance. Lack of/poor effective exit strategies. Poor quality of services. Insufficient provider availability. lack of corporate memory and expertise. Lack of procurement resource Inadequate monitoring of quality and finance of contract through its life Contract management not embedded Outcome of BREXIT - link to STRAT_SR012 - BREXIT
Impact/Consequence of Trigger	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. Knock on effect on other contracts Inconsistent approach to contracts
Measures already in place	LEAD OFFICER: Business Manager, Commercialisation & Major Projects - D Johnson 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 of individual contracts Business continuity insurance where required. Flexible procurement for energy. Performance bonds in place for major projects where required. Parent company guarantees.

	<p>The risks of major projects are also covered within the projects themselves. Revised Contract Procedure Rules (every 2 years). The principle of time based contracts with robust exit clauses Legal Service assessed all pro contract contracts. Regular contract review meetings with key suppliers eg. NSH, Active4Today, Urban&Civic, EMBC, Assurance Lincolnshire Use of intermediaries for contract expertise. The ability to more frequent contractor checks and alerts for significant projects and escalation process eg Equifax. Recurring Contracts Register and Major Contracts Register (Over 500k) established. (under development) Key services and suppliers List developed Lead officer in post to take control of contracts Council use of SLA's and monitored Named contract Manager highlighted for each contract. Change control process in place for selected contracts</p> <p><u>RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:</u> All new contracts awarded after the 25th May 18 need to include appropriate GDPR clauses - legal are to enshrine GDPR clauses in to standard contract terms and conditions. (JK/M Pinnington)</p>
Linked Actions	Progress Bar
RP-SR004 Supply Chain Failures and Contract Management - Risk Action Plan	7%

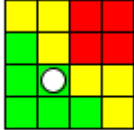

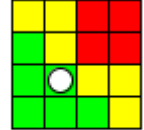
Risk Name & Code	SR005 Organisational Development		Risk Owner	Baker, Jill (BM - CSC); Parkinson, Sharon (BM - ICT); White, Karen (SLT); Piper, Tracey 1 Admin		
Risk Description	Ensuring that the Council, its Members and its workforce have the skills, resources, ability and capacity to adequately respond to current and future organisational change meaning the Council is able to deliver its services in the most efficient and effective manner.		Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly		
			Last Review Date	Target Date	Management	
			17-Dec-2018	31-Mar-2019	Control Pending	
BM Commentary - Risk Remaining in Red Status						

Risk Officer Review	RB & Owners 09/03/17
Vulnerability	Maintaining and Developing appropriate skills Resource Expertise Service delivery Capacity Reputational Inability to adapt to change Meeting objectives & priorities Health & Safety (linked to agile working)
Trigger/Event	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. Local changes in political leadership. 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. Business continuity or emergency planning incident- refer to Strategic Risk STRAT_SR007 - Continuity of Service.
Impact/Consequence of Trigger	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. Difficulty in recruitment. Increase of civil and criminal claims. Safety of Employees. Breakdown of strong member/officer relationships.
Measures already in place	LEAD OFFICER - Kirsty Cole 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 provide support to Business Managers to manage staffing issues, e.g. sickness absence, capability etc.
 Effective communication arrangements are in place.
 Rolling programme of review for HR policies to ensure they remain robust and fit for purpose.
 Selima system upgraded to provide Business Managers with ownership / control over staff sickness/Holiday approval etc. Efinancials and other systems upgraded to facilitate management and practice of agile working.
 HR working closely with Business Managers to support organisational change.
 Partnership approach with recognised trade unions to support organisational change.
 Counselling/therapy and welfare support services in place for staff. Visible leadership.
 Annual employee planning process.
 Ongoing collaborative and shared services activities.
 Training and development programme to support ongoing development of skills and competencies and BM and other staff change management such as recruitment.
 Review of training requirements linked to appraisal process to ensure that appropriate development is sourced and implemented for staff to include facilitation of succession management.
 Agile working policies implemented. Timewise – emphasizing flexibility/agility of working conditions at the point of recruitment eg. Condensed hours contract.
 Use of Apprenticeships to support service areas and support succession management.
 Regular meetings between Chief Executive and political leaders.
 Directors aligned to committees.
 Review of the Council's corporate priorities to feed into a re-refresh of the Corporate Plan (on-going).
 Nominated lead officers for contracts with external providers eg. Active4Today.
 Review of the Performance Appraisal process to ensure that it supports agile working and is aligned to the wider needs of the organisation.
 Adoption of a more proactive approach in engaging with the media and the community in demonstrating the Council's successes as a mechanism to improve the Council's reputation.
 Medium Term Financial Plan puts aside sufficient funds to resource transformational change
 On-going review of pay and grading arrangements in support of implementation of the national scale points.
 Restructure of services following implementation of transitional arrangements to support delivery of the corporate priorities.

RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:

Linked Actions	Progress Bar
RP-SR005 Organisational Development - Risk Action Plan	

Risk Name & Code	SR006 Sustainable Communities	Risk Owner	Adams, Ben (BM - COM-SAF); Baker, Jill (BM - CSC); Reader-Sullivan, Julie (BM - ECO-GRO); Batty, Alan (BM - ENV-H); Monger, Leanne (BM - HHC); White, Karen (SLT); Browser BM		
Risk Description	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.	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			26-Feb-2019		Control Pending



BM Commentary - Risk Remaining in Red Status	
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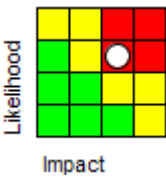
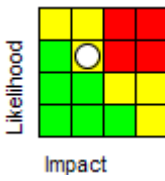
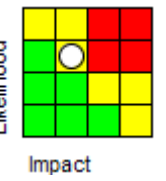
Risk Officer Review	Reviewed 26/02/2019 - JB, LM, RB, HG
Vulnerability	Disengagement between Council and Community. Breakdown within and between Communities. Disengagement between Council and partners in delivering and planning services. Austerity leading to reduced effectiveness of collaboration and partnership working. Community Leadership Financial and funding issues Partnerships and stakeholders Reputation
Trigger/Event	National/local incident e.g. Safeguarding issue, emergency/environmental event and/or civil disruption leading to cultural tensions/incidents/crime. Crime and/or radicalisation/ politicians Withdrawal/changes to services/budgets – eg. supported housing/homelessness, third sector support, policing, social care and adult services/ Loss of transport links Loss of significant community services loss of significant infrastructure/ communications Local decision making - eg. contentious planning decision, major breakdown within a Parish council splitting a community. Community experiencing rapid change eg. economic recession. Change/ or failure in benefits systems leading to reduced household income. Increased unemployment Economic downturn Perception that migrant workers leads to competition for jobs, housing, welfare. Syrian resettlement programme and asylum dispersal. Post Brexit related issues. Partners/ government funding streams reduced Perceived poor/inequality health provision Health and sustainable places Social mobility Unauthorised encampments
Impact/Consequence of Trigger	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/ partners/ third sector Crime and antisocial behaviour. Reputational damage for district and Council. Increased media interest Financial impact on the community and the services provided to the community Resourcing services Increased demand for services.

	<p>Strained partnership relationships. Unemployment. Leadership role of the Council where the community disengages from a provider.</p>
<p>Measures already in place</p>	<p>LEAD OFFICER - Matt Finch * Community Impact Assessments.</p> <p>* 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. * Single Point of Contact for Council and police intelligence sharing. * Internal links with housing, planning, homelessness and benefits to ensure understanding of potential impact of service provision changes. * CCTV regarding day to day ongoing issues. * Continued funding and support to Citizens Advice Sherwood and Newark. * Prevent training has been delivered. Project Griffin training has been delivered. * Safeguarding: policies (county wide policy reviewed annually), procedures, training and referral mechanisms; Corporate Safeguarding Group; District/Borough Safeguarding Leads meeting, Member on both Adults and Children's, Safeguarding boards. Safeguarding Quarterly reports to CMT.</p> <p>*Modern Day Slavery (MDS) is a theme of the Safer Notts Board which NSDC are represented at. The Community Safety Partnership will then action various tasks around MDS such as running 'days of action' around various types of premises where MDS may have a greater potential prevalence.</p> <p>* New and Emerging Communities is a theme of the Safer Notts Board which NSDC are represented at. The Community Safety Partnership will then action various tasks around this issue such as community engagement events in partnership with Notts County Council.</p> <p>* Neighbourhood studies and resulting action plans. Consider and where appropriate plan the implement action plans for the Neighbourhood Studies completed (Bridge, Hawtonville, Ollerton & Boughton) * Equality Strategy, Equality Impact Assessments, Quarterly Equality Steering Group. * Greater integration and access with service providers e.g. Castle House * Notts Warm Homes on prescription programme. * Actively monitor/manage Communications: Voice, active on social media channels and networks eg. Spotted Newark * Community leadership role of councillors. * Annual Parish Conference. * Syrian resettlement coordination group. * Cultural Orientation Workshops e.g. Syrian Cultural Training. * 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. * Street outreach team for rough sleepers. Developed Training Strategy for staff below Business Manager Level to include reference to and understanding of the Council's Equality and Diversity Strategy when strategy was relaunched in 2016. Tolney Lane Project/Working group - Voluntary sector built relationships with the community. (BA) Equality & Diversity Audit Action Plan and Equality Strategy (TM, BA).</p> <p>* Regular Community & Environment Team Meetings</p> <p><u>SNB/CSP:</u> * 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. * Active participation in the Safer Notts Board (SNB) and its themed groups e.g. Modern Day Slavery, New and Emerging Communities.</p> <p><u>CCG/HEALTH THEMED:</u> * Representation on health governance structures; Health and Wellbeing Board; Sustainable Transformation Plan and Better Care Fund Programme Board; * Maintain close links with county public health team. * CCG Quarterly senior officer / Member meetings – influencing commissioning intentions(LM) * One Public Estate Strategic Project in the West</p> <p>Cleaner, Safer, Greener initiatives Social mobility - see growth risk Community wellbeing officer Community & arts function Child poverty network Support sports facilities eg. through the Sports Hub, YMCA</p> <p>Homeless Strategy Newark and Sherwood Health and Wellbeing partnership Social Mobility Strategy Unauthorised Encampment Policy Annual Rough Sleepers Count undertaken with partners and reported to government</p>

RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:

To continue to develop the Tolney Lane Working Group
Syrian Cultural Training in place
ASB Policy reviewed

Linked Actions	Progress Bar
COM-SAF_E&D2.03 Understand our communities through Bassetlaw and Newark & Sherwood Community Safety Partnership	 100%
RP-SR006 Sustainable Communities - Risk Action Plan	 31%

Risk Name & Code	SR007 Continuity of Service (Civil contingency/Emergency)	Risk Owner	Manley, Mike (BM - COM-SAF) Deputy; Adams, Ben (BM - COM-SAF); Parkinson, Sharon (BM - ICT); White, Karen (SLT); Piper, Tracey 1 Admin		
Risk Description	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.	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			07-Dec-2018	31-Mar-2018	Control Pending
BM Commentary - Risk Remaining in Red Status					

Risk Officer Review	RB, SP, KW, MM, AB 18/09/2018
Vulnerability	Partners Reputation Resourcing Public expectation Geography of the district Financial impact
Trigger/Event	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 A "no deal" Brexit (further information see Strategic Risk Brexit)
Impact/Consequence of Trigger	Drain on services and resources to provide an immediate and appropriate response. 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 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 systems
Measures already in place	LEAD OFFICER - Karen White <u>Emergency Plan/ Business Continuity</u> Emergency plans in place and securely stored on Resilience Direct Incident specific emergency plans in place. The plan is regularly reviewed and tested. 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. 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. 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
 There is an up to date Business Continuity Plan.

Financial

Corporate budget available to support flood alleviation schemes.
 Council maintaining budget figure and reserve up to Belwin amount to cover emergency incidents.
 Facilitation of government grant scheme in flood affected areas to enhance future resilience.

Equipment/ Resources

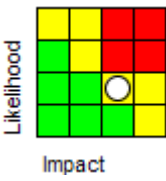
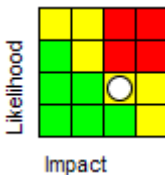
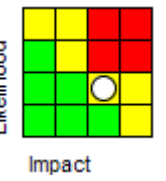
Flood stores in some communities with provisions to self help and therefore not be as reliant on council.
 Agile working arrangements.
 Cyber security arrangements
 Use and Audit of Resilience Direct as a Document Management System/repository
 Load key documents onto Resilience Direct
 Annual stock take of equipment in our Emergency Stores.
 exercise carried out gap analysis of the testing.
 Training & LRF Training
 Improved understanding of snow implications and therefore better plans in place.
 Memorandum of Understanding for mutual aid.
 Local Resilience Forum and annual risk assessment.
 Produced BCP BCM training timetable
 Offering of Health & Wellbeing advice e.g. offering flu vaccinations

Partners/Public

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.

RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:

Linked Actions	Progress Bar
RP-SR007 Continuity of Service (Civil Contingency/Emergency) - Risk Action Plan	<div style="border: 1px solid black; padding: 2px; display: inline-block;">7%</div>

Risk Name & Code	SR008 Corporate Governance		Risk Owner	Wilson, Nick (BM - FIN); Kohli, Sanjiv (SLT); Piper, Tracey 1 Admin		
Risk Description	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.		Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly		
			Last Review Date	Target Date	Management	
			19-Feb-2019	31-Mar-2019	Controlled	
BM Commentary - Risk Remaining in Red Status						

Risk Officer Review	RB, TM & NW 06/03/2018 RB, NW, MZM, HG 18/9/18
Vulnerability	Failures in service delivery. Potential for fraud and corruption. Poor policy and lack of clarity about decision making. Legal compliance Reputation Financial resource Resources Partners/Stakeholder
Trigger/Event	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 eg. 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. Partners poor governance
Impact/Consequence of Trigger	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 and ability to meet corporate priorities Inappropriate use Fraud and corrupt practice identified. Fraud and corruption practices not identified or dealt with leading to an incident of fraud and corruption. Failure of partnerships
Measures already in place	LEAD OFFICER - KAREN WHITE 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 Accounts 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.
Scrutiny by Audit and Accounts Committee

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 Policy and Finance Committee.
- . Internal complaints procedure.

Fraud

- . 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.

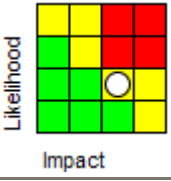
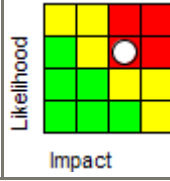
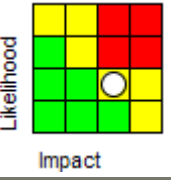
- . Appropriate monitoring of performance of the third party or alternative service delivery methods.

HR policies in place
Recruitment process controls, e.g. References, Immigration, DBS.

Horizon scanning at Business Manager briefings and effective communication between SLT and business managers.

Measures in place to ensure IR35 compliance

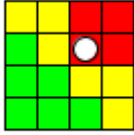
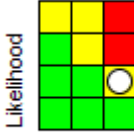
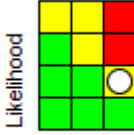
Linked Actions	Progress Bar
RP-SR008 Corporate Governance - Risk Action Plan	

Risk Name & Code	SR009 Data Management & Security	Risk Owner	Baker, Jill (BM - CSC); Wilson, Nick (BM - FIN); Parkinson, Sharon (BM - ICT); Finch, Matthew (SLT)		
Risk Description	Deliberate or unintentional loss/disclosure of personal, sensitive, confidential or business critical information or breach of Information Governance Legislation	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			26-Feb-2019	31-Mar-2018	Control Pending


BM Commentary - Risk Remaining in Red Status	
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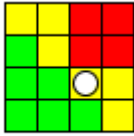
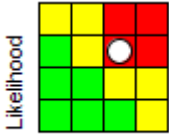
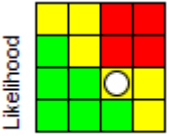
Risk Officer Review	RB & Owners 11/12/17 RB, JB, DC, SP, MF MZM, HG - 7/9/18
Vulnerability	Loss of vulnerable, personal, sensitive, valuable data Legal action Reputation Partners and stakeholder Disruption of service from a cyber attack
Trigger/Event	Personal, confidential or corporately sensitive/business 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. Targeted cyber attack. Agile Working ie. mobile/remote/home working/home printing/disposal of printed data/GCSX accounts/Outreach posts Reducing resources with less capacity for processing data Collaborative working, sharing, outsourcing and partnership working (including external printing and hybrid mail)/involvement in other peoples' data Use of BYOD (Bring your own device) Government integration agenda e.g. grater working between public bodies Use of suppliers/third parties, etc De-commissioning of property Partnership working and sharing new service locations/data sharing issues Partner's/contractor's/host's poor data management and information security leading to data breach/loss. Devolution/change in service delivery model. Loss of key resources Third party access to IT systems
Impact/Consequence of Trigger	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 eg. NSH, Active4Today, DWP, CCTV (under current arrangements) leading to disputes over SLAs and contracts and potential loss of income, e.g. partner rent for Castle House. Negative media coverage Less control over data as service delivery models become more complex Loss of partner data where the council is the data processor - subsequent impact on partner's reputation. Loss of confidence with the Council Loss of confidence with partners and stakeholders withdraw of service from partners and stakeholder

Measures already in place	<p>Grater demand on existing services</p> <p><u>LEAD OFFICER - Karen White</u></p> <p><u>Training/ Guidance/ Compliance/ Agreements</u> Data protection training including a section on information security and targeted training ongoing for staff located elsewhere and forms part of the induction process. Guidance and training available for elected members. Guidance on security breach procedures for Business Managers as Information Asset Owners. Specific training completed for all staff taking payments in line with PCI-DSS requirements. Training for ICT staff. Weekly review of ICO guidance. Compliance with the governments security arrangements. PSN compliant data & internet connections implemented. Information governance check on furniture that is being disposed off. Information E Training completed by all staff Cyber Security now standing agenda item on monthly business unit management meetings. Annual review of Information Asset Register GDPR Training - Elected Member Training Session (2 Sessions) and Briefing Document</p> <p><u>ICT/Equipment</u> External Audit on ICT security annually. Encryption for mobile devices VASCO tokens and Google Authenticator. Quarterly ICT 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 & 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. GCSx secure email. 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> <p><u>Policies/Audit</u> Information management framework incorporating Security Policy and Security Breach Policy. Annual SIRO audit Retention of document policy. Data Protection policy Confidential waste handling procedure Review of policies and procedures to ensure compliance with latest Payment Card Industry- Data Security Standard (PCI-DSS) Responsible Officer: SP/JB/NW Data security part of consideration as part of future strategic projects GDPR Audited GDPR action plan reviewed by Internal Audit January 2018. No recommendations All aspects of GDPR action plan completed including compulsory e-learning for all staff. SIRO audit completed confirming processes in place for identifying risks associated with any new project/process. CIGG meeting every two months to review any new risks Periodic PCI/DSS compliance checks - see Corporate risk for further details. Data Privacy Impact Assessment Action plan for new Data Protection regulations implemented</p> <p><u>Partners/ Stakeholders/ Staff</u> Non-disclosure agreements in place for third party access use of data processing and agreements with partners CIO/SIRO/DPO appointed CIGG in place 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</p>			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #cccccc; text-align: left;">Linked Actions</th> <th style="background-color: #cccccc; text-align: right;">Progress Bar</th> </tr> </thead> <tbody> <tr> <td style="text-align: left;">RP-SR009 Data Management & Security - Risk Action Plan</td> <td style="text-align: right;"> <div style="border: 1px solid black; padding: 2px;"> <div style="background-color: #4f81bd; color: white; padding: 2px; display: inline-block;">27%</div> </div> </td> </tr> </tbody> </table>	Linked Actions	Progress Bar	RP-SR009 Data Management & Security - Risk Action Plan
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RP-SR009 Data Management & Security - Risk Action Plan	<div style="border: 1px solid black; padding: 2px;"> <div style="background-color: #4f81bd; color: white; padding: 2px; display: inline-block;">27%</div> </div>			

Risk Name & Code	SR010 Impact of welfare reform changes		Risk Owner	Monger, Leanne (BM - HHC); Ward, Phil (BM - R&B); Brower BM		
Risk Description	Internally: Impact of welfare reform changes on a number of business units including revs/bens, customer services and housing options. Externally: Impact of welfare reform changes on residents and registered providers		Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly		
			Last Review Date	Target Date	Management	
			03-Dec-2018	31-Mar-2019	Control Pending	
BM Commentary - Risk Remaining in Red Status						

Risk Officer Review	Welfare Reform Meeting & RB 27/02/18
Vulnerability	<ul style="list-style-type: none"> . Financial Impact . Reputational Impact . Resource Demand
Trigger/Event	<ul style="list-style-type: none"> . Welfare Reform Act April 2013 . HRA - intro of the Homelessness Reduction Act April 2018 . Not being prepared. . Not having proper plan. . Indecision. . 2023 migration of all claims onto UC (currently it is just new claims for working age people). . Change in government policy on delivery of UC – whether a new political party change the delivery of UC or abandon the benefit. . volume of daily downloads from DWP concerning stop notices and changes in circumstances . loss of Assisted Digital Support (ADS) (and Personal Budgeting Support (PBS)) service and funding to Citizens Advice . challenges of different approaches across DWP sites.
Impact/Consequence of Trigger	<ul style="list-style-type: none"> . Increased volume of enquires in particular for Customer Services, Revenues and Benefits and Housing options . . Increase customer comments, MP and member enquires – . Impact on collection rates (watching brief) and levels of homelessness. . This will impact on the performance of the contact centre and waiting times at Castle House. . Increased workload, potential for impact on staff e.g. sickness (stress) and morale. . Failure to meet statutory processes and deadlines . Potential for current resources to be overwhelmed and cause backlog. . Impact on Newark & Sherwood homes re: rent collection, leading to greater enforcement and increased homelessness. . Increased usage of temporary accommodation, lack of availability, potential increase in length of stay. . Potential need to look to amend the Council Tax Support Scheme, and possibly amend to reflect DWP input. (watching brief) . Inability to recover outstanding monies. . Possible budgetary impact due to changes in recovery rate. . Increase in DHP payments. . Risk of DHP threshold being breached. . Loss of funding and potential resource issues following transfer of ADS and PBS service to Citizens Advice
Measures already in place	<p>Lead Officer - M Finch</p> <p>A Project Team has been established and meet monthly. Project Team review and update the project plan and risk register monthly. Regular meetings with DWP. Reports To CMT providing assurance on preparation for full service. Agreement with Citizens Advice to provide personal budgeting service Agreement with DWP for NSDC to provide assisted digital service. Co-location of NSDC and DWP to new HQ Ongoing discussions with Citizens Advice Citizens Advice Annual Report Consideration of credit options watching brief on discretionary housing payments</p> <p>RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:</p>


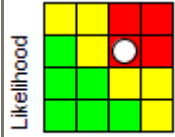
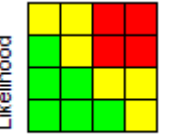
	Landlord and Stakeholder Briefings delivered by the DWP (PW) Training of staff - Customer Services (TS) Training of Staff - Housing & Safeguarding Training of Staff - Revenues & Benefits (PW) Closing of the housing benefit gateway for Newark postcodes (PW) Closing of the housing benefit gateway for west of the district postcodes. (PW)	
Linked Actions		Progress Bar
RP-SR010 Impact of Welfare Reform changes (Universal Credit)		

Risk Name & Code	SR011 Arkwood Development Limited		Risk Owner	Wilson, Nick (BM - FIN); White, Karen (SLT)		
Risk Description	Managing the performance relationship between the council and Arkwood Developments in line with the Governance agreement		Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly		
			Last Review Date	Target Date	Management	
			08-Oct-2018			

BM Commentary - Risk Remaining in Red Status

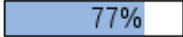
Risk Officer Review	8/10/18 - RB, KC, KW, NC
Vulnerability	<p>Financial implications</p> <p>Reputational</p> <p>Compliance issues</p> <p>Failure to adhere to business plan</p> <p>Market and external factors</p> <p>Resource demand</p> <p>Relationship with company</p>
Trigger/Event	<p><u>Financial</u></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)</p> <p>Market and external construction prices leading to increased cost of build</p> <p><u>Resource Demand</u></p> <p>Insufficient resourcing (e.g. internal capacity to deliver)</p> <p>Over resourcing</p> <p>Incorrect or over demanding SLA's</p> <p>Failure to deliver Council objectives due to increased amount of time spent by board of directors on company rather than substantive role</p> <p><u>Relationship with Company</u></p> <p>Lack of communication between Company and Council</p> <p>Lack of regular updates/ assurance from company</p>
Impact/Consequence of Trigger	<p><u>Financial</u></p> <p>Return on investment to the council not realised</p>

	<p>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>
Measures already in place	<p>LEAD OFFICER - Karen White. Support: N Cook</p> <p>Shareholder Committee established and membership agreed Future Shareholder Committee Meetings arranged Shareholder Committee Members training session completed on 17/1/18 Shareholder Committee authority to approve reserved matters in accordance with signed Governance Arrangement</p> <p><u>RECENTLY COMPLETED RISK ACTIONS TO APPROVE/ADOPT AS A CONTROL WITH LEAD OFFICER:</u></p>
Linked Actions	Progress Bar
RP-SR011 Arkwood Development Limited	0%

Risk Name & Code	SR012 Brexit	Risk Owner	Organisational Development (A2); Syddall, Steven (BM - ASSET); Johnson, Deb (BM - CMP); Reader-Sullivan, Julie (BM - ECO-GRO); Wilson, Nick (BM - FIN); Lamb, Matt (BM - GROWTH&R); Monger, Leanne (BM - HHC); Main, Rob (BM - HSD); Norton, Matthew (BM - PPO); Ward, Phil (BM - R&B); Kohli, Sanjiv (SLT); Piper, Tracey 1 Admin		
Risk Description	Inadequate processes in place for the identification and management of Brexit implications	Assigned To	Heather Grover 1 Admin		
Original Risk Matrix	Current Risk Matrix	Target Risk Matrix	Risk Review Period	Quarterly	
			Last Review Date	Target Date	Management
			17-Dec-2018	29-Mar-2019	Control Pending

BM Commentary - Risk Remaining in Red Status	Maintained in red status due to uncertainty of the pending deal. Once further information is available, a further review will be undertaken with BM's
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Risk Officer Review	RB - 25 Sept 2018 - TM/NC/EB/HG/TA
Vulnerability	Economic downturn Regulatory impact Financial Implications Uncertainty Reputational Resource demand Service Delivery
Trigger/Event	<p><u>Economic downturn</u> Cost of goods and services increase Lack of investment from businesses in the lead up to Brexit due to uncertainty in the economy Weak currency due to 'drawn out negotiations of brexit'</p> <p><u>Regulatory impact</u> New legislation/guidance that will be enforced as part of Brexit will cause major delays</p> <p><u>Financial Implications</u> Lack of funding for EU related initiatives</p> <p><u>Uncertainty</u> Brexit negotiations resulting in uncertainty (e.g. No Deal) Delaying Article 50 leading to uncertainty Leadership contest causing further delay on outcome of Brexit</p> <p><u>Reputational</u> Lack of planning</p> <p><u>Resource Demand</u> Lack of resource (financial and staffing) to maintain services resulting from Brexit</p> <p><u>Service Delivery</u> Lack of awareness of the implications of any Brexit scenario (not sharing crucial data internally) Lack of business continuity planning for any Brexit scenario Delays in announcements on wider Domestic policies such as social care, public transport, homelessness, waste strategy due to Brexit negotiations still ongoing</p>
Impact/Consequence of Trigger	<p><u>Economic Development</u> Cost of living – food prices higher than the price of inflation. Businesses that are offering offers are not making profits. House prices increases as cost of materials increase making housing unaffordable Increase in zero hours contracts</p> <p><u>Uncertainty</u></p>

	<p>Civil Unrest</p> <p><u>Financial Implications</u> Certain initiatives funded by the EU will no longer continue Impact on farming/agriculture (Funding) Impact on HRA development programme</p> <p><u>Service Delivery</u> Increase in homelessness Increase in those relying on universal credit Legislative changes impact heavily on how the waste management service is delivered</p> <p><u>Resource Demand</u> Lack of workforce in specific roles such as social care, service industry Skills shortage in key industries</p> <p><u>Impact on residents</u> Potential for unrest and increase in hate crime Demographic changes due to shifts in immigration and migration</p>
<p>Measures already in place</p>	<p><u>LEAD OFFICER - T Piper</u></p> <p>Horizon scanning – look at the key messages relating to Brexit from Central government. Quarterly update reviews with BM’s to update a register of risks and associated mitigating actions to be fed into the strategic risk and maintained in risk log. Update Reports to CMT. Market trend analysis report developed to highlight differences between East and West regions of NSDC and reporting to Growth and Prosperity meetings. Work with NFU to understand implications of Brexit. Ad hoc responses to media. Responsive risk review in light of central government information. Regular updates through engagement with the Local Resilience Forum.</p>
<p>Linked Actions</p>	<p>Progress Bar</p>
<p>RP-SR012 Brexit</p>	<p> 77%</p>

