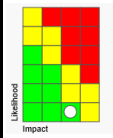
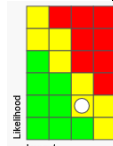
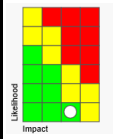
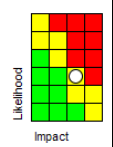
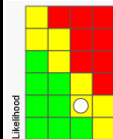
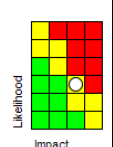


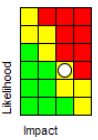
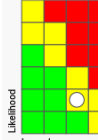
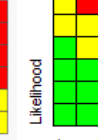
Ashfield District Council Corporate Risk Register

Quarter 4 2019/20

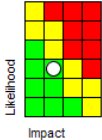
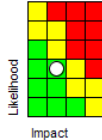
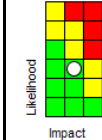
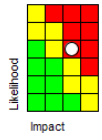
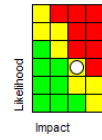
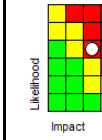
Health and Happiness Priority

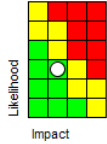
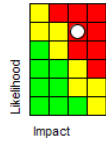
Code	Title	Year end 17/18	Year end 18/19	Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Resp for Action	Mitigating Actions	Comments	Last Reviewed
							BC Link				
CR200	Kirkby Leisure Centre VFM project – failure to complete the project on time				Increased to medium	Reputational damage Delay on delivery benefits		Sarah Daniel/ Darowen Jones	Project programme set, reviewed on a monthly basis at internal project team meetings and meetings with project manager	The project continues within the necessary parameters and key milestones including RIBA 3 and the submission of the Planning Application have been completed within the applicable timescales. Planning application now approved – June 2020. This risk will be reviewed more closely when onsite and further along with project	20-Apr-2020
CR201	Kirkby Leisure Centre VFM project – overspend impacts the finances of the council				medium	Impact on budget and reduction in financial benefits		Sarah Daniel/ Darowen Jones	Budget set-working to the agreed budget. Regular review of capital costs and business case.	The RIBA 3 cost plan has been developed and where necessary Value Engineering items have been identified and actioned. Further options are available once an Operator has been identified. This risk will be reviewed more closely when onsite and further along with project	20-Apr-2020
CR202	Kirkby Leisure Centre VFM project – failure to secure match funding				same	Financial impact on the Council		Sarah Daniel/ Darowen Jones	LEP funding - working closely with the LEP to secure £1.5m. . Sport England funding - Committed to £1.5m subject to submission of successful bid.	Ongoing conversations with the funding agencies remain positive. Match funding is still to be completely secured, however Sports England are commenting favourably upon the Planning Application.	20-Apr-2020

Housing and Homes Priority

Code	Title	Year end 17/18	Year end 18/19	Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
							BC Link				
(ADC) CR046	[Corporate Risk] Introduction of Universal Credit				Significant increase	<p>• Potential loss of HRA rental income if tenants receiving UC choose not to pay rent (Profiling of current tenants as at 20/2/17 show that there is a risk to the rent roll (circa £11 million) as there will be around 3200 tenants affected. 2380 –high risk and 820 medium risk). This does not include those tenant who have working age partners.</p>	Low	<p>There is a dedicated officer for Welfare Reform in the Tenancy Service Section. This Officer has close links with the DWP.</p> <p>There is a formalised internal process for managing UC cases.</p> <p>There is a UC action plan in place. This needs reviewing regularly especially around resource requirements to manage the process.</p> <p>The Council operates an agency agreement with DWP to assist residents who wish to claim UC</p> <p>The Welfare Reform Group brings together a series of different</p>	Nikki Moss	<p>At the end of the financial year, UC claiming tenants contributed to 42% of the total arrears cases and 60% of the arrears value.</p> <p>The total arrears value attributed to UC at week 53 = £230,733.06 (549 cases).</p> <p>The COVID-19 crisis is likely to increase in more UC claimants than we have estimated, which will impact on the support required for tenants/residents and rent collection/income recovery. The government/DWP have confirmed that there has been a significant increase in UC claims due to the lockdown.</p> <p>During March 2020 (when the lockdown was announced), we saw a significant increase in number of tenants making new claims for UC. 140 tenants made new claims for UC, compared to the average of 57 new claimants per month between April 19 and Feb 20.</p> <p>We previously estimated that 3500 tenants would move across to UC. 1202 tenants have moved across to UC so far (549 in arrears as above).</p>	16 April 2020
							X				

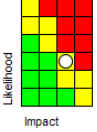
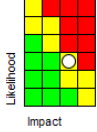
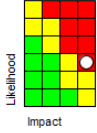
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							BC Link				
								disciplines and partners to ensure the Council's response to UC remains pro-active and robust		<p>Collection of rent for both current and former tenants has become increasingly difficult since the implementation of full service Universal Credit and even more so since the COVID-19 lockdown. Some tenants are choosing not to prioritise payment of rent and there are long delays in receiving managed and arrears payments from the DWP which is contributing to a decline in income collection and arrears performance. The MHCLG announced on the 18/3/20 a package of measures to protect renters affected by the coronavirus. The measures include suspending new evictions and a ban on possession proceedings. At the end of the period, landlords and tenants will be expected to establish an affordable repayment plan, taking into account tenants' individual circumstances.</p> <p>To further mitigate the risk to the HRA, income recovery processes have been reviewed and adapted in light of COVID-19. We need to review further over the coming weeks. In the medium to long term, we need to review the income team structure.</p> <p>Value of COVID impact - £50k reduction in rent collected during last 2 weeks of March</p>	

Code	Title	Year end 17/18	Year end 18/19	Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
							BC Link				
(ADC) CR062	Inability to deliver affordable housing				No change	<ul style="list-style-type: none"> • Targets not met • lack of new affordable housing going forward 	Low	Use of S106 funding Tackling empty homes Close working with Planning Services Work with private landlords via the Landlords Forum Enforcement to tackle poor standard housing	Phil Warrington /Stuart Murray	Current restrictions due to COVID-19 are delaying plans for delivery of new affordable housing, including ADC development, S106 and acquisitions. Officers doing as much as possible to keep the service moving forward but very much dependent on other agencies, out of whom are currently closed. Also need to consider impact of COVID-19 on housing market, land prices. Potential for both to fall that will bring problems from a viability point of view but also opportunities. Officers assessing these with the aim of ensuring we are in the best position to move forward once restrictions are lifted.	17-Apr-2020
(ADC) CR081	CR081 Temporary Accommodation – insufficient units to meet demand				Increased to significant	<ul style="list-style-type: none"> • Finance – higher bed and breakfast costs • Statute – failure to meet statutory duty 	Yes	Filter in more properties as become available through tenancy voids Find additional resource to manage properties	P Warrington	Risk reviewed and likelihood increased to significant in response to Govt's 'everybody in' directive. Additional 10 ADC properties being used for purpose of TA but unclear at this stage as to whether will meet demand. B&B being used to cover shortfall. Expecting further early prison release, hospital discharge and entrenched rough sleeper cases but numbers have slowed over last week. Key will be moving people on from TA into supported housing, PRS or social housing. Now a priority for the team but a struggle as partners and agencies currently closed.	17-Apr-2020

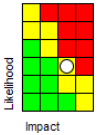
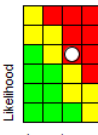
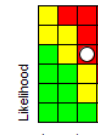
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							BC Link				
CR088	Sustainability of HRA business plan and ability to invest in current and new stock				Increasing to significant	<p>Reduction in stock numbers</p> <p>Reduced rental income</p> <p>Potential implications for the long term sustainability of the housing service</p>		<p>HRA health check April 2019</p> <p>Monthly HRA Finance meeting Quarterly</p> <p>Annual sector benchmarking</p>	P Warrington	<p>Rent increase now approved. Will allow for longer term planning in respect of investment in new and existing stock.</p> <p>Post covid - cost pressures will be felt due to rent default leading to bad debt and higher turnover of properties. A number of properties used as TA expected to come back requiring extensive repair.</p> <p>It is highly likely the new major improvement works contract (tender imminent) will come at a premium.</p> <p>Costs can be absorbed out of reserves, however this will foreshorten the viability date of the HRA.</p>	17-Apr-2020

Economic Growth and Place Priority

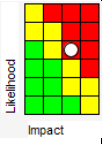
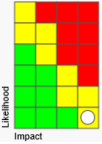
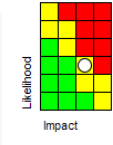
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							BC Link				
(ADC) CR040	Failure to have adopted LDF / Local Plan	<p>Likelihood Impact</p>	<p>Likelihood Impact</p>	<p>Likelihood Impact</p>	Significant	<ul style="list-style-type: none"> • Diminish ability to stimulate economic growth • Increase likelihood of a developer lead approach to devt. • Maximises potential for a ward of costs against the authority •New approach to plan. High risk. Members Aware. •Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set back timetable. •If plan requires subsequent revision, will add delays. 	The level of this risk is outside of our influence currently due to awaiting evidence based commissioning	Christine Sarris	<p>Need alternative approach to development with Members through adoption of Core Strategy</p> <p>Regular engagement with Members to bring them on board</p> <p>Keeping abreast of latest challenges; work with Planning Advisory Service for proof-reading</p> <p>Work with elected members to address concerns</p> <p>Provide professional guidance</p> <p>Keeping a clear audit trail of engagements with developers and consultees</p> <p>Recruit staff</p>	<p>The Local Plan is being assessed against our current Local Development Scheme timetable. Not achieving a local plan within agreed timescales would lead to a poor reputation it could also result in the loss of autonomy in plan making. There is an increased risk to the timetable as evidence base commissioning has been impacted on by the pandemic It is thought that this will however be managed and understood by MHCLG through reporting processes. . The risk remains significant until we are able to review our position, which is likely to be September. MHCLG will still be reviewing our progress despite the pandemic. By September we will have a more realistic timetable, and the Greater Notts evidence base will have been commissioned.</p>	17 June 2020

Code	Title	Year end 17/18	Year end 18/19	Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Resp for Action	Mitigating Actions	Comments	Last Reviewed
							BC Link				
(ADC) CR086	Loss of planning appeals	new			same	surpass the 10% limit and end up in special measures		Christine Sarris	Councillor training, Officer training & monitoring	Although the percentage is low at the moment. There are a number of appeals on majors working their way through the system still. The Council needs to be very careful in its decision making as we may enter into special measures next year if a number of decisions go against the Council	17 June-2020
CR091	Town Centre Funding – inability to deliver	New	New		N/A	Failure to secure up to £50m of funding for Kirkby and Sutton. Opportunity lost to regenerate and re-purpose town centres and local centres Reputational damage		Sarah Daniel	Programme being developed to ensure milestones are met. Monitored through Pentana, Regen, Board and Discover Ashfield Board Internal resource requirements under review, to ensure sufficient capacity. Specialists will be appointed to support business case development.	On track with development of programme for delivery. Cross reference to project plan risks. Also consider risk that scheme might be withdrawn by govt due to COVID and redirection of funds Pete to raise with Finance Cell for reference to govt for further clarity	7 th May 2020

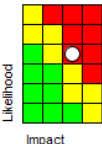
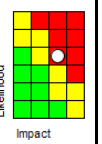
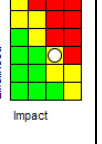
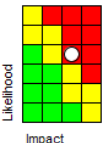
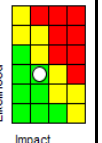
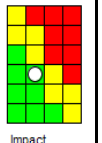
Cleaner and Greener Priority

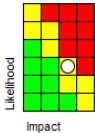
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(ADC) CR072	[Corporate Risk] Risk of Government's Waste strategy setting unattainable targets around recycling and service provision. Including the requirement to provide free garden waste service and separate food waste collections	 <p>Likelihood Impact</p>	 <p>Likelihood Impact</p>	 <p>Likelihood Impact</p>	same	<ul style="list-style-type: none"> • potential fines from EU • reputational damage 	High	Discussions with County regarding innovative options is ongoing	Sam Dennis	There are no changes to risk ratings relating to waste strategy as all national decisions have been postponed due to Covid-19.	29-May-2020

Safer Priority

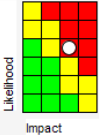
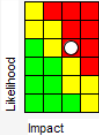
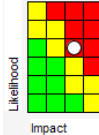
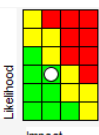
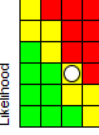
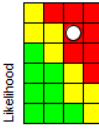
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(ADC) CR083	Failure to Support and Safeguard Vulnerable people				Still medium	<ul style="list-style-type: none"> • Significant adverse outcomes for vulnerable people suffering with mental health issues • Reputation of the council and its partners • Financial impact through lack of working in joined up manner 		<p>Working with NCC and other districts to review opportunity to improve closer working with mental health services</p> <p>Development of a strategy to support and safeguard vulnerable people</p>	Nicky Moss	<p>Update due to COVID - 19:-</p> <p>Potential for increased risk of Financial abuse (reliance on others to purchase food etc), Domestic abuse (lack of access to services and contact with family etc), neglect (as the Council is unable to visit tenants) and other types of abuse (due to residents self-isolating and not being in contact with possible alertors).</p> <p>Controls include:-</p> <ul style="list-style-type: none"> •Message of the day about Safeguarding update and Lead Officers •Contact is being made with vulnerable residents (by phone/letter) offering support •Vetting of volunteers by NCC •Humanitarian Aid Support Team set up within the Council to assist residents •NCC advising the Council of EVP's who require assistance and we are facilitating support 	16 April 2020


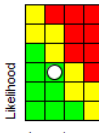
Innovate and Improve Priority

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							BC Link				
(ADC) CR029	[Corporate Risk] Failure to make required savings as identified in MTFS				Reduced to medium	<ul style="list-style-type: none"> •Council cannot fund full range of services in future •Pressure on General Fund reserves 	Medium ✓	<p>CLT and Cabinet will work together to identify savings and income generation opportunities</p> <p>Generate additional income</p> <p>For 2017/18, £1m of savings have been identified, and these workshops will continue throughout 2017, with the aim of identifying a further £1m of savings/addition income for 2018/19.</p>	Pete Hudson	A strategy is in place to deliver savings for 2021/22 onwards which is being progressed through CLT/Cabinet Workshops. There is still significant uncertainty about the future level of Central Government funding as 2020/21 was a 1 year settlement. The funding gap for 2021/22 and beyond factors in that uncertainty. This uncertainty is compounded by the current COVID-19 pandemic and the uncertainty about the length of lockdown. Work is ongoing around the identification of potential savings options, however, at this time efforts are more focussed on the pandemic situation.	17-Apr-2020
(ADC) CR033	[Corporate Risk] Ability to achieve efficiencies and compliance from procurement reviews / improvement				No change	<ul style="list-style-type: none"> •Penalties for non-compliance with legislation •Inability to meet MTFS savings targets if procurement savings not achieved 	Medium	<p>Agreement of a new Procurement Strategy setting out clear guidance for spending managers</p> <p>Review of Procurement Arrangements (Shared Procurement Unit) to ensure objectives are being met</p> <p>Particular emphasis on small value procurement (under £25k) to ensure that the Council has legally compliant processes in place</p>	Justin Henry	No change in the assessment. City have delivered over £600k of cost avoidance in the FY 19/20 which assists in demonstrating that efficiencies are being delivered. Compliance remains high	21-Apr-2020

Code	Title	Year end 17/18	Year end 18/19	Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
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(ADC) CR003	[Corporate Risk] Ethical Governance – failure/delay to implement changes to the Members' Code of Conduct and recommendations of the Committee on Standards in Public Life (CSPL) and Peer Challenge	Revised risk	Revised risk	 Likelihood Impact	Revised Risk	<ul style="list-style-type: none"> •Significant resource to deal with implications of proposed Code of Conduct changes. •Significant resource to deal with implications of implementing the recommendation of the CSPL •Potential for negative perception of the Council which impacts upon the Council's reputation •Potential for adverse impact upon the workings of the Council • Without new legislation does not provide holistic response to the recommendation of the CSPL 	High	<p>Standards and Personnel Appeals Committee approves an annual work programme which includes a requirement to implement the CSPL recommendations.</p> <p>Ongoing work by the Standards and Personnel Appeals Committee in relation to the the Committee on Standards in Public Life – report on Local Government Ethical Standards</p> <p>Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee</p> <p>Members received training regarding the Code of Conduct, their behaviours and roles and responsibilities as part of the induction in May 2019. In line with the Corporate Peer Challenge recommendation further training will be organised.</p> <p>Responding to the LGA's consultation on its draft Model Code of Conduct.</p>	Ruth Dennis	<p>Standards and Personnel Appeals Committee approves an annual work programme which includes an annual review (the March 2020 Committee was cancelled due to the Coronavirus outbreak)</p> <p>Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee</p> <p>Reports relating to the Committee on Standards in Public Life – report on Local Government Ethical Standards were presented to Committee in March 2019, July 2019 and October 2019 to update members on potential changes to the current system and to consider what action the Council may be able to take to implement best practice proposals prior to any future legislative changes taking place. A further update report had been prepared for the cancelled meeting in March 2020.</p> <p>The Committee will also consider the LGA's consultation relating to their proposed new model code of conduct which was delayed due to Coronavirus. The Consultation was launched on 8 June and will run to mid-August. It is anticipated a final version will not be launched until Autumn 2020 – to avoid abortive, the Council will not be in a position to consider adopting a new Code until after the LGA's Model is finalised. The same is true of other related CSPL</p>	17 June 2020

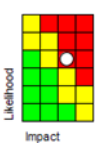
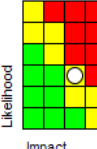
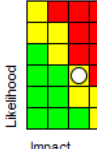
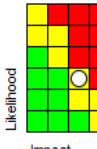
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										<p>recommendations which rely upon the terms of the new Code.</p> <p>The Corporate Peer Challenge team has recommended training for Members and Officers in relation to the roles and responsibilities of Members and officers. The development of this training package has been delayed by the coronavirus pandemic.</p>	
(ADC) CR005	[Corporate Risk] High levels of sickness absence				Constant	<ul style="list-style-type: none"> •Productivity •Financial •Employee morale •Service delivery •Remaining staff placed under increased pressure •Reputational damage 	High	Robust management of sickness absence procedures by managers and robust procedures - Revised Absence Mgt Policy implemented	Karen Barke	<p>Quarter 4 out-turn slightly higher than target; 10.2 days versus 9.5 days. Long term sickness reduced in last quarter due to cases being robustly managed in line with the attendance management policy. CLT are actively monitoring via regular review meetings with HR and detailed out-turn monitoring reports to CLT.</p>	28-May-2020
							√	Effective monitoring - monthly monitoring reports highlighting service area absence to assist CMG and managers in absence management			
								Employee support mechanisms - Employee assistance programme implemented			
								Appropriate occupational health support – Occupational Health provision reviewed			
								At on-set of Covid, focus has been on provision of support for mental health and wellbeing			
(ADC) CR032b-a	Business Rates appeals are higher than forecast				Now low	Negative impact a MTFS ; further savings required		A prudent approach is taken to estimating likely successful appeals.	C Scott	It is not possible to determine whether or not the current Covid19 epidemic will have any significant effect on the level of Check, Challenge and Appeals that Businesses may lodge during 2020-21. I do not see	22-Apr-2020

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										any reason why it should as the current RV has nothing whatsoever to do with a Businesses' ability to pay their Business Rates due to the Covid19 restrictions.. As indicated previously, when producing the NNDR1 forecast I included a larger provision in anticipation of an increase in the number of Check, Challenge and Appeals during 2020-21, prior to the Business Rates Revaluation due to be implemented in April 2021. This remains the best estimate at this time.	
(ADC) CR032b-c	Level of central government funding 2020 onwards				No change	Negative impact a MTFS ; further savings required		The Council will contribute to any consultation when proposals are announced, emphasising the need for resources to be allocated to deprived areas.	P Hudson	There is still significant uncertainty about the future level of Central Government funding as 2020/21 was a 1 year settlement. The funding gap for 2021/22 and beyond factors in that uncertainty. This uncertainty is compounded by the current Covid-19 pandemic. Extensive lockdown may further impact the likelihood of a 3 year settlement being announced in the Autumn which is expected and needed to aid medium term financial planning. The current use of extensive government funding to address the current situation may also further impact the allocation of future government funding to the Council.	17-Apr-2020
(ADC) CR082	Commercial property investment				Increased to significant	<ul style="list-style-type: none"> Decrease in capital value of the property Inability of tenant to pay or request for 	At this point there is no significant impact as the council has contributed	<p>Robust monitoring arrangements for portfolio – stability of tenant, stability of market and macro economics</p> <p>Ensure adequate lease length (greater than 7 years)</p>	Justin Henry	The likelihood of lost rent is increasing with the COVID 19 lockdown. The Ashfield position is currently that rents can be deferred for one Q1 2020/2021 if requested by a tenant, with tenant to pay the outstanding sum no later than 31 March	22-Apr-2020

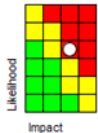
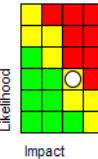
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						<p>renegotiation of rent</p> <ul style="list-style-type: none"> Reduced income 	<p>prudentially to a reserve for these type of circs. The authority's approach continues to be extra prudent whilst reviewing the situation</p>	<p>Ensure property investment in most advantageous asset class</p> <p>Ensure tenant has good financial standing and passes regular credit analysis (D+B)</p> <p>Property reserve to offset short term voids</p>		<p>2021. Ashfield have received a number of requests for rent deferrals. We are working to quantify the impact in order to allow Finance to plan cash flow accordingly.</p>	
CR090	Workforce planning – inability to recruit and/or retain filled position to critical posts	New	New		n/a – new risk	<p>Inability to provide critical service functions including statutory services whilst vacant</p> <p>Negative impact on delivery of critical functions that directly affect Corporate Plan priorities, productivity, MTFS.</p>		<ul style="list-style-type: none"> Implementation of Workforce Plan Identify Critical Posts and implement strategic plan to mitigate against risks of failure to recruit/retain quality staff to these positions Refresh list of identified critical roles and mitigating actions based on a review of what are the key roles to deliver the recovery phase in response to Covid-19 impacts. 	Craig Bonar	<p>The ongoing risk is that we are unable to recruit to identified critical roles. Due to Covid we are refreshing the list and mitigating measures i.e. Covid Recovery may see increased prominence of certain roles in regard to their critical importance for example. web development, IT, estates etc. Peer Challenge highlighted particular resilience issue with commercial investments.</p>	17-Jun-20
CR100	Brexit – lack of policy decisions	New	New		n/a – new risk	<p>Economic-potential negative impact on funding, investment return, reduced NNDR, increase in contract costs through implications from No-Deal/Brexit</p> <p>Social impact</p> <p>Legislative potential negative impact</p>		<p>Internal officers working group monitoring impact and headline assessments of potential impact and risk level</p> <p>Briefings to CLT</p> <p>Input and participate in LRF contingency planning and measures including weekly Sit Rep Status Report and Monthly Tele-Conferences</p> <p>Internal Action Plan with lead officer being implemented</p>	Craig Bonar	<p>Internal Officers Group updating business contingency arrangements based on a no-deal EU Exit on 31 December 2020</p> <p>Brexit Teleconferences have been temporarily suspended following Government decision to exit and implement a transition period based on new arrangements.</p> <p>MHCLG-Designated Brexit Lead Officer (C Bonar) confirmed.</p>	04-Jun-2020

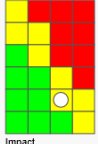

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						<p>through legislative changes e.g. employment law, increased tariff taxes</p> <ul style="list-style-type: none"> Partnership/Contractual potential negative impact of contract failure, increased costs, supply difficulties 		Impact of Covid and Recovery Plans being integrated into refreshed Brexit Action Plan		<p>ADC Brexit Lead member (Cllr Blagden) designated</p> <p>Many aspects of scenario planning based on a no-deal exit have such as impact on economy and food/supply shortages have now happened due to Covid pandemic. Lessons learned are being integrated into Brexit planning</p>	

DELETED RISKS


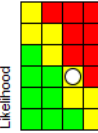
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CR085	Loss of Capita financial services				same	<ul style="list-style-type: none"> Potential loss of income to the organisation for a period of time Reputational damage Loss of method of payment with cash until new arrangement in place Potential loss of transaction data for 1 working day		<ul style="list-style-type: none"> Review current contract Put in place a Contingency plan 	Craig Bonar/ Pete Hudson	Finance will continue to monitor Capita's performance on the internet. It will provide alerts if there are any further problems reported. Now service level risk	19 Mar 20
CR089	Service areas have not designed payment collection processes to meet PCI compliance					Fines (no prescribed amounts) <ul style="list-style-type: none"> Removal of the capability to take card payments 		Processes to be documented and communicated to staff through robust service planning. <ul style="list-style-type: none"> All service areas to examine and document payment collection processes and procedures which will need to be signed off by the ICT Security Manager. 	J Froggatt	The configuration for the end call solution is in progress. When we go live then the end call solution will mitigate this risk.	18-Mar-2020

NEW RISKS

Code	Title			Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
							BC Link				
CR093	Reduced resource levels and capacity due to COVID				New	<ul style="list-style-type: none"> Ability to maintain service delivery both Essential Services and others Reduction in sufficient skills Reduced ability to recruit 		<p>Ensure sufficient strategic leadership capacity (political and CLT) focused on managing impacts and recovery from Covid.</p> <p>Maintain Sit Rep reports on staffing levels to assess 'red flags'</p> <p>Assess and redeploy staff to support priority level of services</p> <p>Use volunteer staff pool to provide additional capacity</p> <p>Suitably share out allocation of lead roles/capacity needs to a spread of managers</p>	Craig Bonar	<p>Potential detrimental impact due to lack of staff, accessibility, refocus of capacity onto priority areas Includes strategic leadership(officer and political) as energies focused on reactionary/recovery</p> <p>From a HR point of view in the current situation of COVID-19, a risk is in relation to resources and contingency to maintain services especially in relation to Statutory Services where there is an impact on the community.</p> <p>Refresh service and business continuity plans to reflect actions required to mitigate risks and service impact</p>	May 2020
CR094	absence related to Covid-19'				New	<ul style="list-style-type: none"> Inability to provide all Essential Services Impact on the employees especially those on designated long term self-isolation 		<p>Maintain Sit Rep reports to assess levels of Covid related absence and identify 'red flags'</p> <p>Robust management of swab testing</p>	Craig Bonar	<p>Levels of short term self-isolation is monitored daily</p> <p>Availability of swab testing has assisted in reduction in levels of short term self-isolation</p>	May 2020

Code	Title			Year End 19/20	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
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								arrangements for key workers when required		Test and Trace scheme may result in spike in levels of short-term self -isolation	
CR095	Governance and decision making-				 <p>New Risk significantly reduced</p>	<p>During the COVID19 pandemic, increased risk of decisions being made outside “normal” governance structure due to the need to react quickly to constantly changing situation</p>		<p>Decision making guidance issues to officers</p> <p>Amended Constitution to give greater flexibility during emergency – AGM 23 April 2020</p> <p>A COVID-19 decision log is being maintained to cross reference to mod.gov and records</p> <p>Constant dialogue and communications across CLT to ensure tracking of decisions being taken</p> <p>Appropriate use of decision urgency provisions</p> <p>Cabinet Report on 30 June to update Members</p>	Ruth Dennis	<p>During the initial phase of the pandemic response the risk of decisions being made outside of the normal governance processes was high due to the quick moving situation when the Council was required to react immediately to ever changing government guidance – decisions taken during this time were made by the Leader or CEO in direct response to a government requirement. The Cabinet report for 30 June identifies these decisions and the Decision Log.</p> <p>In light of the mitigating actions put in place and the maintenance of a Decision Log to track decisions, the level of risk has now significantly reduced.</p>	17 th June, 2020
CR096	Loss / delays in receipt of key income sources (Business Rates, Council Tax, Housing and Investment Property Rents)				 <p>New</p>	<p>Loss of income – increased write offs.</p> <p>Delays in receiving income leading to potential cashflow issues.</p>		<p>Government deferral of paying Central Business Rates contribution until end of June 2020.</p> <p>Reserve to cushion delays in payment of</p>	P. Hudson	<p>Covid-19 is already impacting the key income streams for the Council. The duration and the speed of recovery will determine the extent to which the income is lost or its receipt delayed. The tenants of one investment property have gone into administration and the Council is looking at</p>	07/06/20

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						<p>Increased debt management and recovery costs.</p> <p>Potential impact on payment of preceptors and having sufficient income to meet cost obligations as they fall due.</p>		<p>Investment Property income.</p> <p>Arrangements in place with some Investment Property tenants re agreed delays in rent income. (Exceptions basis only). Currently expected that all accounts will be up to date by 31/03/21.</p> <p>Healthy HRA balances to manage short term cashflow issues from reductions/delays in housing rent.</p> <p>Option to scale back costs associated with non-critical functions.</p>		<p>all available options. One further tenant has requested rent deferral which has been agreed. We continue to monitor the receipt of income from all Investment Properties and recognise that there may be further requests for deferrals depending on the pandemic duration. It is too early to know the probability of permanent loss of income from businesses who will not survive post the pandemic. It is also currently unclear the extent to which, if at all, the Government will mitigate income losses related business rates, council tax and tenants rents.</p>	
CR097	Data Protection-spike in remote working and risks of data loss (physical and digital)				<p style="text-align: center;">New</p>	<ul style="list-style-type: none"> Data Protection breaches could, if investigated by the ICO and the Council is found to be at fault could lead to significant fines. Reputational issues Potential harmful consequences for the individuals whose data has been lost – could be financial, could be personal harm if vulnerable 		<p>IT Security</p> <p>IT Security Policies</p> <p>DPA/GDPR information and policies available on the intranet.</p> <p>Staff training as part of GDPR implementation</p> <p>DP and Agile working Guidance and risk assessment information produced and</p>	Ruth Dennis	<p>Tie into PCI</p> <p>Closely monitor any breach reports, identify lessons learned and patterns.</p>	7 th May 2020

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								circulated to managers during the COVID 19 response			
CR098	Statutory obligation process delays (eg gas servicing)				New	<ul style="list-style-type: none"> Loss of life through explosion or carbon monoxide Reportable breach to Housing Regulator Govt intervention and/or corporate manslaughter 		<p>Following current Govt guidelines in terms of evidencing all 'refusals' Tenants provided with safety leaflet relating to CO Monthly report to Housing Regulator</p>	Paul	<p>Guidance is to evidence all attempts to access the appliance. ADC is also recording reason for refusal and setting a reappointed date in the future i.e. 14 days or 3 months. Current status report to RSH is "breached, but no material backlog"</p>	
	Effective Strategic Leadership of a Robust Coronavirus recovery plan				New	<ul style="list-style-type: none"> Failure to have effective recovery plans in place Failure to maximise partnerships and work with third sector to mitigate against Covid impacts Failure to review and prioritise key actions and activities to support recovery Ineffective allocation of capacity and resources Failure to embed new ways of working and delivery models 		<p>CLT to act as ADC Recovery Plan drivers</p> <p>Weekly recovery update to CLT and Leadership meeting</p> <p>Ensuring suitable representation and input in LRF- Recovery Planning and Groups</p>	Craig Bonar	<p>Risk to include robust engagement and (focused added value) partnership work with partners and third sector plus effective leadership of the Council's iterative new business as usual and robust management of organisational culture and rapid transition to different ways of working) we will failing in our strategic leadership role.</p>	May 2020