

Final Outcome – Rewording of Risk Statements

Chief Executive's Department

Risk Reference (from Pentana)	Current Wording	New Wording
CRR_CED01	Equal pay claim	Equal pay claim - Submission of a substantial equal pay claim due to perceived inequality might result in financial consequences and potential low staff morale
CRR_CED02	Insufficient staff capacity - skills, knowledge availability Insufficient capacity - resource	Inadequate services - Delivery of inadequate services as a result of poor training and / or inadequate staffing resources leading to an adverse impact on reputation, finance and staff morale
OR_CED01	Threat of violence to staff	Violence towards staff - Violence towards frontline staff undertaking their duties due to failure to adequately prepare staff with the training or equipment to keep themselves safe may lead to harm, or fear of harm, to frontline staff
OR_CED02	Failure to comply with Equality legislation	Inequality – Perception of inequality, or actual inequality by a member of the public, staff or councillor with a protected characteristic as a result of failure to carry out an Equality Impact Assessment could lead to adverse publicity, financial repercussions and negative reputational impact
OR_CED03	Risk to staff health due to their work	Staff accidents - Increased number of staff accidents or injuries as a result of inadequate control of the workplace and/or working practices might result in more staff being off sick and potential HSE sanctions for the authority
OR_CED04	Threat of Industrial Action	Industrial action - Unionised staff strike because of perceived inadequate pay and /or conditions leading to pressures in the delivery of front-line services
OR_CED05	Failure to meet major statutory duties or take on board new legislation	Compliance with statutory duties - Failure to comply with the relevant legislation due to a lack of training or internal control leading to an adverse impact on reputation, finances and or staff morale
CRR_NS08 [moved from Neighbourhoods]	Failure of internal health and safety compliance or enforcement of health and safety	Health and safety - Health and safety risks are not managed adequately across the organisation as a result of insufficient resources and / or priority leading to increase accidents and potentially a breach of health and safety legislation

OPP_DEG02 [moved from Planning and Economic Growth]	County Deals – failure to secure opportunities for greater collaboration and Government funding	Collaboration - Failure to secure opportunities for greater collaboration and Government funding as a result of a lack of influence within key governance partnerships such as the Mayoral Authority or Freeport leading to lower levels of growth and development than desired within Rushcliffe
NEW		Elections - Failure by Returning Officer and elections staff to comply with the relevant legislation and/or deliver the practical aspects of the election as a result of improper resourcing or inadequate training leading to an adverse impact on reputation and results in legal challenges

Finance and Corporate Services

Risk Reference (from Pentana)	Current Wording	New Wording
CRR_NS10 [moved from neighbourhoods]	Failure of business continuity	Business continuity - Being unable to deliver critical services during a disruption, such as unprecedented demand, failure to negotiate contract continuation, or weather-related incident, and / or return to business as usual after a disruption as a result of inadequate preparation or management leading to potential resident dissatisfaction and a break in the delivery of critical services which may also lead to government intervention
CRR_NS18 [moved from neighbourhoods]	Failure of public sector partnerships / withdrawal of financial support	Failure of partnerships - Council is unable to continue to deliver a specific service or project as a result of the withdrawal of funding support from a public sector partner leading to potential negative impacts on the community and reputational damage to the Council
CRR_FCS01	Failure to properly deal with community governance review legislation, Community Right to Challenge, and nominations for assets of community value	Failure to deliver legislation - Community is not properly represented leading to potentially poorly actioned community governance review petition, community right to challenge, or asset of community value nomination resulting in non-compliance with legislation and disenfranchisement of communities
CRR_FCS02	Reduction in Government funding linked to New Homes Bonus	Reducing New Homes Bonus – Changes to Government policy or local circumstances could lead to adverse impacts of reduced funding and / or income and, consequently, a budget deficit

CRR_FCS03	Failure to prevent or detect fraud and corruption	Fraud identification - Inadequate or poorly executed internal controls failing to prevent or detect fraud may lead to financial and/or reputational losses
CRR_FCS05	Revaluation of major business rate payer	Reduction in the Business Rates base - loss of major business rates payer reducing the rates collected leading to a potential budget deficit
CRR_FCS07	Central Government policy changes	Centralised policy changes - Changes to Government policy that result in an increase in demand on resources leading to a reduction in capacity of the Council to undertake other activities and inability to deliver identified priorities
CRR_FCS08	Inadequate capital resources	Capital resources - Reduced capital receipts and/or insufficient balances in capital reserves resulting in an inability to deliver the capital programme preventing delivery of services and generation of new income streams
CRR_FCS09	Fee income volatility	Local economic changes - Changes in the economic environment, such as the cost of living crisis or a recession, may affect consumer behaviour in terms of their take-up on Council services resulting in insufficient income to support the budget
CRR_FCS11	Increased demand for services	Increased Service demand – Increase in population resulting in higher demand for services leading to expected increased cost and increased service pressures
CRR_FCS13	Failure to deliver the Transformation Strategy	Transformation and Efficiency Strategy delivery - Insufficient staff resources or external factors such as customer spending or increased costs leading to a failure to deliver transformation and efficiency projects which may result in a budget deficit, reputational damage and potentially measures put in place to balance the budget position
CRR_FCS21	Potential inflationary pressures, with volatility over prediction for budget	Inflation - Potential inflationary pressures due to changes in the economic environment leading to increased costs and volatility over prediction for budget
CRR_FCS22	Uncertainty around Government funding and changes to the business rates system with a one year financial settlement	Central Government funding - Uncertainty around Government funding with a one-year financial settlement and delays to Government reforms leading to certainty over the budget for one year only impeding longer term planning
CRR_FCS23	ICT supplier goes out of business	Loss of ICT supplier - Key ICT services are disrupted as a result of suppliers going out of business leading to a potential loss of data or systems and a negative impact on the Council's ability to meet customer needs

CRR_FCS24	Long term loss/failure of main ICT systems	Failure of ICT systems - Council services are negatively affected by the potential short or long-term loss or failure of ICT systems leading to an inability to meet the needs of the Council's customers
CRR_FCS25	Loss or compromise of sensitive data	Sensitive data compromised - Sensitive data lost or compromised as a result of inadequate systems, controls or staff training may lead to negative impact on residents, damage to the Council's reputation and a potential fine from the ICO
CRR_FCS27	Threat of major successful cyber-attack	Cyber-attack - Council services or data are negatively affected as a result of major successful cyber-attack leading to short- or long-term disruption to services, damage to the Council's reputation and financial loss
OR_FCS06	Failure to manage and monitor budget	Budget monitoring - Failure to identify fraud/error/significant financial overspends resulting from failure to undertake regular detailed budget monitoring and to follow reporting procedures leading to budget overspend
OR_FCS08	Exposure to breach of VAT rules	VAT Compliance - Inadequate controls to detect and prevent errors and staff not trained or following procedures which could lead to breach of VAT rules and subsequently increased scrutiny and penalties from HMRC
OR_FCS10	Reputational risk to the Council following adverse media coverage	Resident satisfaction - Decrease in resident satisfaction as a result of adverse media coverage leading to reputational damage to the Council
OR_FCS11	Unauthorised access to IT systems	Unauthorised access to information - Damage to, or loss of, Council information due to unauthorised access to IT systems could result in reputational damage to the Council, internal damage to IT systems and the need to take remedial action to rectify any damage to data
CRR_FCS31	Increases in interest rates which potentially increases the burden if the Council has to borrow	Borrowing costs - Reduction in cash balances requiring the Council to externally borrow at a time when interest rates are high leading to uncertain increased interest costs
OPP_FCS01	Increases in interest rates leading to higher interest income on cash balances that are invested	Rising interest rates - Increases in interest rates leading to higher interest income on cash balances that are invested
NEW		Economic environment - Fluctuations in economic environment as a result of political and economic instability leading to decrease in capital value of pooled investments ultimately resulting in a negative financial impact on the general fund and therefore taxpayer

NEW		Capital programme - Increased cost of capital programme as a result of increases in demand or rising prices resulting in an inability to deliver the capital programme preventing delivery of services and generation of new income
NEW		Failure of partner - Council is forced to find alternative supplier or bring back in-house a service ceasing to be delivered by a public sector partner leading to increased costs and operational pressure

Neighbourhoods

Risk Reference (from Pentana)	Current Wording	New Wording
CRR_NS11	Ineffective emergency planning arrangements	Emergency planning - Failure to respond adequately in an emergency situation as a result of inadequate preparation or management leading to a potentially greater impact on the community, Council finances and / or reputation
CRR_NS19	Failure to safeguard children and vulnerable adults	Safeguarding children and vulnerable adults - Avoidable safeguarding incident realised as a result of inadequate internal safeguarding arrangements and training leading to increased harm to the subject and potential for legal action against the Council
CRR_NS22	Ensure the national relocation programmes (Asylum Dispersal, Homes For Ukraine, Afghan Relocation Programme) are supported in accordance with national guidance (funding & community cohesion)	Asylum Relocation schemes - Failure to deliver the national relocation schemes (Asylum Dispersal, Homes for Ukraine (HFU), Afghan Relocation Programme) in accordance with national guidance as a result of poor administration and staff training could lead to failures to support vulnerable refugees and result in poor publicity for the Council
CRR_NS23	Failure to deliver the Carbon management plan objectives	Carbon Management Plan - Failure to deliver the Carbon Management Plan as a result of inadequate resourcing and prioritisation leading to the Council potentially missing its 2030 Carbon Neutral target
OR_NS25	Failure to deliver mandatory DFG grant due to insufficient funding	Housing Disabled Facilities Grant – Failure to fund adaptations to residents' homes through the mandatory Disabled Facilities Grant due to poor financial planning leading to a possible loss of quality of life for disabled residents

OR_NS28a	Increasing number of developments and greater opportunity for affordable housing	Affordable homes - Affordable homes not built in line with available funding as a result of insufficient levels of influence over housebuilders and registered providers leading to missed targets and a lack of appropriate housing in the Borough
OR_NS31	Increased number of residents presenting as homeless as a result of income reduction, loss of employment and domestic violence leading to a loss of homes	Homelessness - Insufficient capacity to home an increased number of residents presenting as homeless as a result of income reduction, loss of employment and domestic violence could lead to reduced quality of life to residents and a failure to deliver a statutory duty
NEW		Extreme weather and flooding - Increasing incidents of flooding or other forms of extreme weather as a result of climate change leading to increased costs to the Council in the form of flood relief schemes as well as potential increased drainage board levies

Planning and Economic Growth

Risk Reference (from Pentana)	Current Wording	New Wording
CRR_DEG01	Inability to demonstrate a five-year supply of deliverable housing sites against the housing target leading to further development on unallocated sites	Five year housing supply - Inability to demonstrate a five-year supply of deliverable housing sites against the housing target potentially leading to a lack of new homes for potential residents, and an increased possibility of further development on unallocated sites
CRR_DEG02	Failure to properly manage our property assets	Council Assets - Failure to manage our land and building assets (including trees) and meet with Landlord Compliance as a result of a lack of resources and/or inadequately trained staff potentially leading to damage to our assets or harm to the public
OPP_DEG01	Opportunity provided by Rushcliffe Oaks	Crematorium - Opportunity for new income to the Council from the operation of the Crematorium which will pay back the cost of building the facility, as well as covering the operational running costs, enabling the Council to continue to provide a facility that offers a high-quality service for local people

OR_DEG06	Cost of defending appeals for large scale residential developments and potential award of costs	Planning Appeals Increasing - An increase in the number of planning appeals lodged against the Council as a result of planning applicants being dissatisfied with the decision made leading to higher levels of demand on officer time including the Council's budget, and not meeting the Government's Planning Guarantee leading to the possibility of the Authority being put into special measures
OR_DEG07	Failure to determine major planning applications within 13 weeks or agreed period	Planning applications timeliness - Major planning and related applications not determined within specified timescales as a result of insufficient resources and/or inefficient processes that could result in Government intervention and reputational damage
OR_DEG08	Loss of income as a result of the refund of planning application fees under the provisions of the Government's Planning Performance and Planning Guarantee	Missing Planning targets - Missing targets under the Planning Performance and Planning Guarantee as a result of insufficient resources or unmanageable levels of complexity leading to a probable loss of income and reputational damage
NEW	Failure to successfully deliver the new Rushcliffe Oaks Crematorium business model leading to a loss of income and/or a negative reputational impact	Crematorium - Rushcliffe Oaks Crematorium not meeting the business model targets as a result of lower than forecast numbers of cremations being carried out, impacting on the internal rate of return and therefore longer return on investment
NEW	Failure to deliver the new core strategy in partnership with Greater Nottingham Housing Market area	Greater Nottingham Strategic Plan - Joint Greater Nottingham Strategic Plan not delivered within the timescale set by government could lead to unplanned development and/or increased costs associated with developing own Strategy
NEW	Gamston SPD does not progress leading to uncoordinated development on the site	Gamston SPD delivery- Uncoordinated development takes place as a result of the Gamston supplementary planning document not being approved in a timely manner potentially leading to a disjointed community lacking in the necessary infrastructure
NEW	Failure to deliver UKSPF outputs/outcomes and spending funding within required timeframes leading to loss or clawback of funding	UKSPF Compliance - UKSPF submission to government unsupported leading to the financial risk of unsupported projects and potential loss of future funding and ability to realise the borough wide benefits

NEW	Successful implementation of changes in levelling up and regen bill.	Impact of Levelling-Up - Challenges in the implementation of the changes in the Levelling Up and Regeneration Act, as a result of resources, expertise and budget constraints, may lead to uncoordinated development, loss of income and damage to the Council's reputation
NEW	CPO at Flintham	Flintham Compulsory Purchase Order (CPO) - Legal action and CPO fail to deliver outcomes desired at Flintham to make the site safe and available for development

Recommended Deletion

Chief Executive's Department

OR_CED07	Ability of the Borough Council to maintain frontline services in the event of a future wave of Covid-19
OR_CED06	Inadvertent illegal activity, taking illegal decisions

Finance and Corporate Services

CRR_FCS06	Lack of funding from partners
CRR_FCS12	Risk and return from Asset Investment Strategy
CRR_FCS20	Failure to properly manage and deliver significant projects
CRR_FCS26	Short term loss/failure of main ICT systems
CRR_FCS28	Failure to comply with General Data Protection Regulation
CRR_FCS29	Loss or compromise of confidential or restricted information or data
OR_FCS07	Lack of implementation of financial controls

Neighbourhoods

CRR_NS09	Unforeseen incidents happening at public events
CRR_NS13a	Response to flooding impacts on delivery of statutory services
CRR_NS13b	Inadequate resources to respond to flooding incidents
CRR_NS21	Ensuring the Afghan Relocation Programme is supported in accordance with national guidance (funding & community cohesion)
OPP_NS01	Opportunity with the in-sourcing of Streetwise to provide other chargeable services to both public and private sector in line with the Council's charging policy
OR_NS02	Disruption and lack of fuel preventing collection of domestic waste
OR_NS20	Significant malfunction of core services/security risk at Council's temporary accommodation premises
OR_NS29	Lack of or inappropriate monitoring of the Council's contracts in place
OR_NS30	Lack of emergency accommodation for those at risk of homelessness, fleeing domestic violence and in crisis
OR_NS34	Increased risk of ASB and other related safety concerns arising from the use of an asylum contingency hotel by the Home Office for asylum seekers

Planning and Economic Growth

CRR_DEG04	Ability to deliver Rushcliffe Oaks project on time and within budget
OR_DEG01	Failure to manage legionella issues
OR_DEG02	Failure to manage asbestos in buildings under our control
OR_DEG03	Failure to maintain council owned trees