





















Changes to the Council's Risk Register




The Council's Risk Management Group met on the 12 January 2021 to review the Council's Risk Register. Prior to this meeting all risks were reviewed.

Coronavirus Risks
















Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_CO05 Impact of Covid19 on the Council's budget, and ability to secure external funding for Carbon Management schemes and the availability of staff required to assist with the delivery of this new corporate priority		3	3	9
CRR_FCS09 Fee income volatility		2	4	8
CRR_FCS27 Threat of major successful cyber-attack	 to 	4	2 to 3	8 to 12
Likelihood increased from 2 to 3 due to increase in Ransomware attacks during the Coronavirus pandemic.				
CRR_FCS30 Ability to respond to government policy on Local Government Reorganisation		2	3	6
CRR_NS12a Failure to deliver statutory services due to impact of Coronavirus on staffing levels		1	4	4
CRR_NS12b Failure to deliver statutory services due to impact of Coronavirus on the community		1	4	4
CRR_NS14 Failure to manage a local lockdown	 to 	3 to 4	4 to 2	12 to 8
<ul style="list-style-type: none"> The Council is only a small part of varying bodies who help manage a local lockdown and we already work closely with the police and other agencies Previous experience is now in place of managing lockdowns including our Environmental Health team working closely with business to ensure compliance The Council have appointed extra resources to manage certain pinch points including parks and play areas which were particularly busy over the summer months Council contribute to, and lead on, various countywide and local groups including local cell meetings, external and internal recovery groups 				

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
<ul style="list-style-type: none"> Previous experience now shows we are able to significantly contribute to managing local lockdowns or changes in current tier arrangements 				
CRR_NS15 Ability of high streets to implement the necessary safety measures to reopen following lockdown and operate under Covid-secure measures		2	3	6
CRR_NS16 Ongoing impact of Covid19 on the Borough's leisure facilities whilst operating within the Covid-secure guidelines for the leisure industry		2	3	6
CRR_NS17a Impact on the Borough's leisure facilities if closed due to Covid-19		3	4	12
CRR_NS17b Impact on the Borough's leisure facilities' failure to recover after Covid closures		4	2	8
CRR_NS17 a and b replace CRR_NS17 as the risk for leisure centres diverged.				
OR_NS30 Lack of emergency accommodation for those at risk of homelessness, fleeing domestic violence and in crisis		2	2	4
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		2	2	4
OR_NS32 Increased risk of domestic violence, abuse, or neglect as a result of increased periods of time at home, limited school provision, reduced income and employment volatility		2	2	4
OR_NS33 Increased risk of Anti-Social Behaviour as a result of enforced periods of lockdown, limited 'allowable' social activities and free use of outdoor spaces	 to 	3	4 to 2	12 to 6
<ul style="list-style-type: none"> Previous experience is now in place of managing lockdowns including our Environmental Health team working closely with business to ensure compliance The Council have appointed extra resources to manage certain pinch points including parks and play areas which were particularly busy over the summer months Council contribute to, and lead on, various countywide and local groups including local cell meetings, external and internal recovery groups Previous experience now shows we are able to significantly contribute to managing local lockdowns or changes in current tier arrangements 				

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
OR_TR27 Impact of Covid19 on the Borough's high streets and their ability to recover following initial lockdown (March to June 2020) and any further local lockdowns		3	3	9
OR_TR28 Ability of the Borough Council to maintain frontline services in the event of a second wave of Covid19		2	4	8


















Risk Status					
	Alert		Warning		Ok

Corporate Risks

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_CO02 Failure of public sector partnerships / withdrawal of financial support		2	3	6
CRR_CO03 Failure to safeguard children and vulnerable adults		3	1	3
CRR_CO04 Inability to demonstrate a five-year supply of deliverable housing sites against the housing target leading to further development on unallocated sites		3	2	6
CRR_FCS01 Failure to properly deal with community governance review legislation, Community Right to Challenge, and nominations for assets of community value		2	2	4
CRR_FCS02 Reduction in Government funding linked to New Homes Bonus		3	3	9
CRR_FCS03 Failure to prevent or detect fraud and corruption		2	2	4
CRR_FCS05 Revaluation of major business rate payer		4	3	12
CRR_FCS06 Lack of funding from partners		2	3	6
CRR_FCS07 Central Government policy changes		3	3	9
CRR_FCS08 Inadequate capital resources		3	4 to 3	12 to 9
External borrowing would be used to infill a shortage of resources where necessary.				
CRR_FCS10 Inflationary pressures, particularly utility costs		3	2	6
CRR_FCS11 Increased demand for services		2	3	6
CRR_FCS12 Risk and return from Asset Investment Strategy		3	3 to 2	9 to 6
We have no new commercial investments planned, existing investments are diversified, and performance monitored.				
CRR_FCS13 Failure to deliver the Transformation Strategy		4	3	12
CRR_FCS20 Failure to properly manage and deliver significant projects		2	2	4

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_FCS21 Potential inflationary pressures, with volatility over prediction for budget		2	2	4
CRR_FCS22 Uncertainty around Government funding and changes to the business rates system with a one year financial settlement		3	3	9
CRR_FCS23 ICT supplier goes out of business		3	2	6
CRR_FCS24 Long term loss/failure of main ICT systems		4	1	4
CRR_FCS25 Loss or compromise of sensitive data		3	2	6
CRR_FCS26 Short term loss/failure of main ICT systems		3	2	6
CRR_FCS28 Failure to comply with General Data Protection Regulation		3	2	6
CRR_FCS29 Loss or compromise of confidential or restricted information or data		3	2	6
CRR_NS08 Failure of internal health and safety compliance or enforcement of health and safety		3	1	3
CRR_NS09 Unforeseen incidents happening at public events		4	2	8
CRR_NS10 Failure of business continuity		3	2	6
CRR_NS11 Ineffective emergency planning arrangements		2	2	4
CRR_NS13a Response to flooding impacts on delivery of statutory services		2	3	6
CRR_NS13b Inadequate resources to respond to flooding incidents		2	3	6
CRR_TR04 Failure to properly manage our property assets		3	1	3
CRR_TR07 Equal pay claim		3	2	6
CRR_TR11 Insufficient staff capacity - skills, knowledge etc	to	3	2 to 3	6 to 9
Likelihood increased from 2 to 3 due to possible impact from Covid-19 impact on staffing levels.				
CRR_TR17 Inability to draw down Growth Deal 2 funding within specified timescales	to	3 to 2	4 to 3	12 to 6
Likelihood and impact reduced as potential issues resolved.				

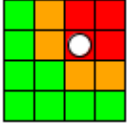
Operational Risks

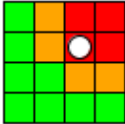
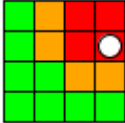
Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
OR_CO04 Cost of defending appeals for large scale residential developments and potential award of costs		2	1	2
OR_CO05 Failure to determine major planning applications within 13 weeks or agreed period		3	1	3
OR_CO06 Loss of income as a result of the refund of planning application fees under the provisions of the Government's Planning Performance and Planning Guarantee		2	2	4
OR_FCS06 Failure to manage and monitor budget		2	2	4
OR_FCS07 Lack of implementation of financial controls		2	2	4
OR_FCS08 Exposure to breach of VAT rules		3	2	6
OR_FCS09 Loss of capital/lower interest earned on investments, due to current economic climate	 to 	4 to 2	4	16 to 8
The budget already reflects the expectation of reduced interest rates.				
OR_FCS10 Reputational risk to the Council following adverse media coverage		2	2	4
OR_FCS11 Unauthorised access to IT systems		4	2	8
OR_NS02 Disruption and lack of fuel preventing collection of domestic waste		2	1	2
OR_NS06 Lack of knowledge of contaminated land		2	1	2
OR_NS20 Significant malfunction of core services/security risk at Council's temporary accommodation premises		2	2	4
OR_NS25 Failure to deliver mandatory DFG grant due to insufficient funding		2	1	2
OR_NS28 Delivery of social rented affordable housing		2	3	6
OR_NS29 Lack of or inappropriate monitoring of the Council's contracts in place		3	1	3
OR_TR04 Failure to manage legionella issues		2	2	4

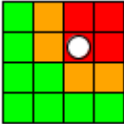
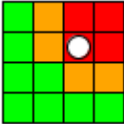
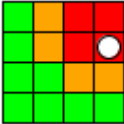
OR_TR05 Failure to manage asbestos in buildings under our control		2	1	2
OR_TR13 Failure to maintain council owned trees		2	2	4
OR_TR14 Partners closure of buildings where RBC has contact points, including RCCC	to	2	1	6 to 2
Likelihood reduced from 3 to 1 – RCCC closed and alternative in use.				
OR_TR17 Threat of violence to staff	to	2	3	4 to 6
Likelihood increased from 2 to 3 due to threat to EH enforcement personnel (Covid-related).				
OR_TR18 Failure to comply with Equality legislation		2	1	2
OR_TR19 Risk to staff health due to their work		3	2	6
OR_TR20 Threat of Industrial Action		2	1	2
OR_TR24 Failure to successfully review the day to day operation of the Rushcliffe Arena		3	2	6
OR_TR25 Failure to meet major statutory duties or take on board new legislation		2	2	4
OR_TR26 Inadvertent illegal activity, taking illegal decisions		2	1	2

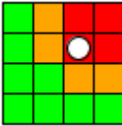
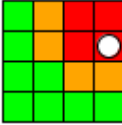
Focus on Risks at Alert Level (red status)

Corporate Risks

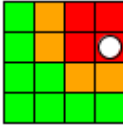
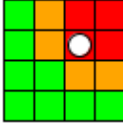
Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
CRR_CO05 Impact of Covid19 on the Council’s budget, and ability to secure external funding for Carbon Management schemes and the availability of staff required to assist with the delivery of this new corporate priority	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Individual reviews of Carbon management action plan project to identify where there is underachievement by the new Team Manager for Environment Monitor Government announcement and briefings for external funding targeted towards Carbon reduction and a part green recovery from Covid-19 Monitoring of programme and taking early corrective action Procure extra resources or collaborate - consultancy to push forward particular projects and/or collaborate with partners as part of the N2 Environmental Strategy working group <p>Financial Impact</p> <ul style="list-style-type: none"> Improving the environment and reducing carbon emissions represents a significant challenge for the Authority which is likely to require both revenue and capital commitment. As part of the Medium-Term Financial Strategy £1m has been transferred from the Organisation Stabilisation Reserve to a new Climate Change Action Reserve. Ongoing costs and savings will be identified as part of the business case for potential carbon reduction measures which will be included in the budget going forward. The revenue savings arising from installing more energy efficient technology will not be realised until a later date but can be used to part-fund the ongoing carbon reduction measures required to meet carbon neutral status. The use of this reserve will result in an opportunity cost by way of loss of interest and this is estimated to be £30,000 at the point the whole £1m is utilised. Any resultant assets created and owned by RBC will attract notional depreciation charged to revenue over the life of the asset. 				

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
CRR_FCS02 Reduction in Government funding linked to New Homes Bonus	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Budget process Four-year plan Budget monitoring. <p>Financial Impact</p> <ul style="list-style-type: none"> National Homes Bonus (NHB) is due to cease in 2024/25. In 2020/21 the Council has budgeted £2.311m in 2020/21 and £1.152m and £0.653m in 2021/22 and 2022/23 respectively, reducing to zero in 2023/24. NHB is currently primarily used to fund the Minimum Revenue Provision MRP in the revenue budget and once the NHB reserve is exhausted, MRP will become a cost to the revenue budget. 				
CRR_FCS05 Revaluation of major business rate payer	4	3	12	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Keep in contact with liable parties to see if they have any outstanding appeals with the Valuation Office Agency. Liaise with the Valuation Office to confirm if any similar appeals have been considered. <p>Financial Impact</p> <ul style="list-style-type: none"> Business rates is an important source of funds for the Council. We retain 40% of any amount billed to pay for other services. Rushcliffe have several large business properties (for example the power station is £2.94m, 15.7% of the total collectable debit for 2020/21) and any change to the charge due on these properties would have a large effect on the finances of the Council. We do make a provision for known appeals, but we may not be aware of the full outcome of any decisions. 				

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
CRR_FCS07 Central Government policy changes	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Continue to monitor as part of budgetary process <p>Financial Impact</p> <ul style="list-style-type: none"> Continuous horizon scanning and S151 officer involvement in peer groups ensures that emerging issues are identified and reported. The Council continue to lobby government on key issues and participate in consultations where appropriate. 				
CRR_FCS08 Inadequate capital resources	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Ongoing review as part of setting and monitoring of the capital programme. Capital resources are becoming increasingly finite. Council Investment Strategy considers this, along with potential future borrowing requirements. <p>Financial Impact</p> <ul style="list-style-type: none"> Capital receipts expected in 2020/21 were £20m (Abbey Road, Hollygate Lane and Sharphill) with projections now at £4.4m due to delays in progressing the disposal of Abbey Road and Hollygate Lane due to Covid. Significant delays or reductions to capital receipts will affect the funding of the capital programme and may lead to either internal or external borrowing earlier than planned. Due to slippage in the capital programme it is not anticipated to externally borrow this financial year. 				
CRR_FCS13 Failure to deliver the Transformation Strategy	4	3	12	

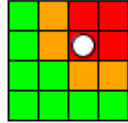
Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Individual reviews where there is underachievement may be offset by others with higher savings Monitoring of programme and taking early corrective action Procure extra resources – consultancy Find appropriate savings from direct service provision by quality reduction <p>Financial Impact</p> <ul style="list-style-type: none"> Target for 2020/21 set for £0.159m; current performance levels £0.056m due to an under-recovery of overpaid benefits (we are making fewer payments that are later disputed and recalled) and not meeting rental income targets as a result of Covid-19. Performance is unlikely to reach target this year which may put pressure on the budget and reserves in future years. 				
<p>CRR_FCS22 Uncertainty around Government funding and changes to the business rates system with a one-year financial settlement</p>	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Attending budget workshops and seminars and keeping abreast of latest developers. Sensitivity analysis and scenario planning as part of budget modelling. <p>Financial Impact</p> <ul style="list-style-type: none"> Planned reforms such as Business Rates reform and fair funding review have been further delayed due to Covid-19. These are now expected to take place next year although this has yet to be confirmed. The spending review covered 2021/22 only providing certainty over funding for one year. There is a risk that future funding could change significantly emphasising the importance of healthy reserve balances. 				
<p>CRR_FCS27 Threat of major successful cyber-attack</p>	4	3	12	

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
<p>Internal Controls (Mitigation) ICT have employed various levels of protection that significantly reduce probability to cyber-attack:</p> <ul style="list-style-type: none"> • ICT have implemented EAL+4 rated Checkpoint Firewalls which protect the perimeter of the network from hacking, malware and other forms of Cyber-attack. Checkpoint is a premium market leader solution. Strong separation of external services from the main network via a DMZ (De-Militarised Zone). All Servers and corporate devices have EAL+4 rated firewall installed. • USB and CD/DVD RW Device Control is configured on all devices. • Local disk encryption is configured on all mobile devices i.e. Laptops, tablets and Smartphones devices. • Two factor authentication & encryption is used for all external services. • InTune mobile device management • All Servers and corporate devices have Anti-virus/Malware protection. • Web filtering is enabled on all devices used to surf the Internet. • E-mail filtering is enabled on all devices used to access corporate e-mails. • Windows 10 is deployed to all Council computers to remove Windows 7 from the network. <p>ICT Windows Security Patching and Health Checks</p> <ul style="list-style-type: none"> • Once a year we appoint a security specialist third party to try and exploit our network and hack into the Councils network using known and advance cyber-attack methods. If any vulnerabilities are found, ICT remediate straight away. Once a month ICT deploy all released Microsoft security patches to all workstations and servers. Microsoft Security updates are designed to block any forms of known security vulnerabilities found. • Once a quarter, ICT scan the entire network for known vulnerabilities and remediate against any known exploits straight away. • Once a quarter all of the Councils public facing (internet) services are scanned for known vulnerabilities and remediate against any known exploits straight away. <p>Financial Impact</p> <ul style="list-style-type: none"> • Greater threat from Ransomware attacks during the Coronavirus pandemic, maybe costs associated with a successful attack. 				

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
CRR_NS17a Impact on the Borough's leisure facilities if closed due to Covid-19	3	4	12	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> The Council is working closely with both Lex Leisure and Mitie as recovery begins. However, the different levels of lockdown and different tiers has meant that in some cases certain activities are no longer permitted To support the process, the Council were successful in gaining Sport England funding to appoint an external firm of leisure experts to act as a critical friend, evaluate on both user numbers and income predictions, and offer other support that may be required. Support has been offered to various clubs affected by both the closure and the phased re-opening Regular compliance checks continue as at of the on-going contract management process <p>Financial Impact</p> <p>The Council has agreed an 'open book' financial reconciliation process on a monthly basis. At present the Council has been financially supporting Lex due to the unprecedented circumstances to ensure our leisure provider remains able to continue to operate the leisure centres. The Council will also be applying for central government funding due to be released in January 2021 to cover any costs incurred and help with the current shortfall.</p>				
CRR_TR11 Insufficient staff capacity - skills, knowledge etc	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> Data is collated to understand absence levels due to sickness or a requirement to self-isolate due to COVID-19 Information and any issues are reported through to dedicated corporate working group Regular reporting to EMT Redeployment or use of agency staff will be considered if required <p>Financial Impact</p>				

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
<ul style="list-style-type: none">Potential increase in staffing costs if agency staff are required to maintain key services safely; for example, refuse crews				

Operational Risks

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
OR_TR27 Impact of Covid19 on the Borough's high streets and their ability to recover following initial lockdown (March to June 2020) and any further local lockdowns	3	3	9	
<p>Internal Controls (Mitigation)</p> <ul style="list-style-type: none"> • Business support activity targets at the high street including: <ul style="list-style-type: none"> ○ One to ones with business advisors/consultants ○ Webinars ○ Business grant (focus on digital support) ○ Rushcliffe gift voucher • Establishment of retail forums to support businesses to support each other • Monitoring vacancy rates in main town centres <p>Financial Impact</p> <ul style="list-style-type: none"> • There would be an impact on business rates collected if high street businesses closed. 				

Risk Treat and Opportunity Matrix

		Risk – Threats				Risk - Opportunities					
Likelihood	Likely 4	4	8	12	16	16	12	8	4	Likely 4	Likelihood
	Possible 3	3	6	9	12	12	9	6	3	Possible 3	
	Unlikley 2	2	4	6	8	8	6	4	2	Unlikley 2	
	Rare 1	1	2	3	4	4	3	2	1	Rare 1	
		Insignificant 1	Minor 2	Moderate 3	Major 4	Significant 4	Moderate 3	Minor 2	Insignificant 1		
		Impact				Impact					

Table 1 Consequence / Impact

This is a measure of the consequences of the identified risk

Risk - Threats		Risk - Opportunities	
Impact	Thresholds and Description	Impact	Thresholds and Description
1 – Insignificant	<p>Financial Impact = <£10k</p> <p>No adverse impact on reputation</p> <p>No impact on partners</p>	1 – Insignificant	<p>Little or no improvement to service</p> <p>Little or no improvement to welfare of staff / public</p> <p>Little or no financial income / efficiency savings (less than £10k)</p> <p>Little or no improvement to environment or assets</p> <p>Little or no feedback from service users</p>
2 – Minor	<p>Financial Impact = £10k - £50k</p> <p>Negative internal/ within sector impact on reputation</p> <p>Negative partner impact</p>	2- Minor	<p>Minor improvement to service</p> <p>Minor improvement to welfare of staff / public</p> <p>Improvement that produces £10k - £50K of income / efficiency savings</p> <p>Minor improvement to environment or assets</p> <p>Positive user feedback</p>

Risk - Threats		Risk - Opportunities	
Impact	Thresholds and Description	Impact	Thresholds and Description
3 – Moderate	Financial Impact = >£100k Negative Regional/Local impact on reputation Negative impact on key partnerships	3 – Moderate	Moderate improvement to service Moderate improvement to welfare of staff / public Improvement that produces £50k+ - £100k of income / efficiency savings Moderate improvement to environment or assets Positive local media contact
4 – Major	Financial Impact = >£250k Negative National reputation Key partners withdraw	4 – Significant	Significant improvement to service Significant improvement to welfare of staff / public Improvement that produces £100k+ of income / efficiency savings Significant improvement to environment or assets Positive local media coverage

Table 2 Likelihood / Probability of Occurrence

This measures the chance of the risk or opportunity occurring

Risk - Threats		Risk - Opportunities	
Likelihood	Thresholds and Description	Likelihood	Thresholds and Description
1 – Rare	Unlikely	1 – Rare	Opportunity has not been fully investigated but considered extremely unlikely to materialise
2 – Unlikely	Possible	2 – Unlikely	Opportunity has not been fully investigated; achievability is unproven / in doubt
3 – Possible	Probable within 2 years	3 – Possible	Opportunity may be achievable, but requires significant management, planning and resources
4 – Likely	Probable within 12 months	4 – Likely	Opportunity is achievable with careful management