























## Coronavirus Risks







Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_FCS09 Fee income volatility		2	4	8
CRR_FCS27 Threat of major successful cyber-attack	 to 	4	3 to 2	12 to 8
Likelihood decreased from 3 to 2. A number of security controls for Office365 are now in place that reduce the likelihood of compromise from Cyber Attacks. There is still always a possibility this may occur, but the timeframe is unknown.				
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 	4 to 2	2	8 to 4
Impact reduced from 4 to 2 <ul style="list-style-type: none"> <li>• Previous experience is now in place of managing lockdowns including our Environmental Health team working closely with business to ensure compliance</li> <li>• The Council have appointed extra resources to manage certain pinch points including parks and play areas which were particularly busy over the summer months</li> <li>• Council contributes to, and lead on, various countywide and local groups including local cell meetings, external and internal recovery groups</li> <li>• Previous experience now shows we are able to significantly contribute to managing local lockdowns or changes in current tier arrangements.</li> </ul>				
CRR_NS15 Ability of high streets to implement the necessary safety measures to reopen following lockdown and operate under Covid-secure measures		2	3 to 2	6 to 4
Likelihood decreased from 3 to 2 – The Council and its partners successfully supported business to reopen after lockdown was lifted in July.				
CRR_NS16 Ongoing impact of Covid19 on the Borough's leisure facilities whilst operating within the Covid-secure guidelines for the leisure industry	 to 	2	3 to 2	6 to 4
Likelihood decreased from 3 to 2 – there is growing confidence in a return to leisure				















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


Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_NS17 Impact of Covid-19 on the Borough's leisure facilities and their ability to recover		3	3	9
New description. This risk was split into 17a and 17b but has now returned to a single risk due to threat of closure being removed by lockdown removal in July.				
CRR_NS20 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	 to 	3	3 to 2	9 to 6
Likelihood decreased from 3 to 2 – The new team Manager for Environment is actively looking at funding opportunities for Carbon Management which may be made available from government as part of the green recovery from Covid.				
OR_CED07 Ability of the Borough Council to maintain frontline services in the event of further waves of Covid-19		2	4 to 3	8 to 6
Impact increased from 2 to 3 and likelihood decreased from 4 to 3 as a result of lifting of Covid restrictions and subsequent positive Covid cases affecting staff needing to isolate.				
OR_DEG05 Impact of Covid-19 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_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		3	2	6



Risk Status					
	Alert		Warning		Ok

## Corporate Risks
















Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_CED01 Equal pay claim		3	2	6
CRR_CED02 Insufficient staff capacity - skills, knowledge etc		3	3	9
CRR_DEG01 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_DEG02 Failure to properly manage our property assets		3	1	3
CRR_DEG04 Ability to deliver Rushcliffe Oaks project on time and within budget		3	2	6
New Risk linked to the Opportunity Risk for the Rushcliffe Oaks project.				
<b>Internal Controls</b> <ul style="list-style-type: none"> <li>• Early engagement with bidders prior to tender, to establish interest and availability</li> <li>• Response to proposed build programme will form part of tender evaluation and interview – we will get early indication of whether our programme is achievable</li> <li>• Ridge cost consultant has prepared pre-tender estimate based on current market data and projections, mindful of market trends and allowing for inflation.</li> <li>• Ridge cost consultant will undertake thorough evaluation of cost element of tender returns, to ensure bidders have put together a realistic cost schedule taking account of the market.</li> </ul>				
CRR_DEG05 Ability to deliver Bingham Arena and Enterprise Centre project on time and within budget		2	2	4
New risk added.				
<b>Internal Controls</b> <ul style="list-style-type: none"> <li>• Work commenced February 2021 as per programme. Progressing well but Brexit and Covid-19 have placed pressure on supply chains. Strong Project Management by consultants Henry Riley prompting early warning of delays to material deliveries and impact to programme</li> <li>• Early discussion with Leisure Operator to adjust target opening date enabling the rescheduling of mobilisation activities to minimise financial impact of late delivery</li> </ul>				

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
<ul style="list-style-type: none"> <li>• Generous contingency sums available within the project budget</li> <li>• Early engagement with utility providers to ensure extended lead in times are met</li> </ul>				
CRR_DEG06 County Deals – opportunity for greater collaboration and Government funding		3	3	9
New risk added. Awaiting full assessment.				
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 Fairer funding and business rates reviews and the impact of the overall Comprehensive Spending Review		3	3	9
Description changed to include: Fairer funding and business rates reviews and the impact of the overall Comprehensive Spending Review				
CRR_FCS03 Failure to prevent or detect fraud and corruption		2	2	4
CRR_FCS05 Revaluation of major business rate payer ie the impact of Ratcliffe on Soar Power Station closure		4	3	12
Description changed to include the impact of Ratcliffe on Soar Power Station closure				
CRR_FCS06 Lack of funding from partners		2	3	6
CRR_FCS07 Central Government policy changes		3	3	9
CRR_FCS08 Inadequate capital resources	 to 	3	3 to 2	9 to 6
Likelihood decreased from 3 to 2 as there is recourse to borrowing if needed				
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	2	6
CRR_FCS13 Failure to deliver the Transformation Strategy	 to 	4 to 3	3 to 2	12 to 6
Impact reduced from 4 to 3 and likelihood from 3 to 2 – the Transformation Strategy is being delivered albeit timelines are changing due to Crematorium and Bingham LC projects				












Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_FCS20 Failure to properly manage and deliver significant projects		2	2	4
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 to 4	2	6 to 8
Impact increased from 3 to 4 due to the potential financial penalty of up to £17m or 4% of the Council's turnover (whichever is higher)				
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_NS18 Failure of public sector partnerships / withdrawal of financial support	 to 	2	3 to 2	4
Likelihood decreased from 3 to 2				
Two years partnership funding has been secured to support the shared Health Development officer post and recruitment to this post is expected in March £20,000 grant funding has been secured to extend the Armed forces Covenant officer post which is a partnership post across Melton, Charnwood and Rushcliffe for a further 12 months.				

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
CRR_NS19 Failure to safeguard children and vulnerable adults		3	1	3
CRR_NS21 Ensuring the Afghan relocation scheme is supported in accordance with national guidance (potential funding and community cohesion issues)		2	2	4
New risk – awaiting full assessment				

## Operational Risks

Risk Code & Title	RAG Status	Impact	Likelihood	Current Rating
OR_CED01 Threat of violence to staff		2	3	6
OR_CED02 Failure to comply with Equality legislation		2	1	2
OR_CED03 Risk to staff health due to their work		3	2	6
OR_CED04 Threat of Industrial Action		2	1 to 2	2 to 4
Likelihood increased from 1 to 2 – increase due to ongoing national pay negotiations.				
OR_CED05 Failure to meet major statutory duties or take on board new legislation		2	2	4
OR_CED06 Inadvertent illegal activity, taking illegal decisions		2	1	2
OR_DEG01 Failure to manage legionella issues		2	2	4
OR_DEG02 Failure to manage asbestos in buildings under our control		2	1	2
OR_DEG03 Failure to maintain council owned trees		2	2	4
OR_DEG06 Cost of defending appeals for large scale residential developments and potential award of costs		2	1 to 3	2 to 6
OR_DEG07 Failure to determine major planning applications within 13 weeks or agreed period		3	1 to 3	3 to 9
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		2	2 to 3	4 to 6
OR_DEG06, 07 and 08 have likelihood increased to 3 – due to staff resource issues (vacant posts) and an increase in the number of planning applications.				
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

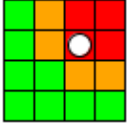
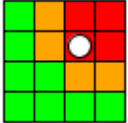
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OR_FCS09 Loss of capital/lower interest earned on investments, due to current economic climate		2	4	8
OR_FCS10 Reputational risk to the Council following adverse media coverage		2	2	4
OR_FCS11 Unauthorised access to IT systems		4	2	8
OR_FCS12 Partners closure of buildings where RBC has contact points, including RCCC		2	1	2
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 staffing		2 to 1	1	2 to 1
Description changed – insufficient funding changed to insufficient staffing. Impact reduced from 2 to 1, following successful recruitment.				
OR_NS28a Increasing number of developments and greater opportunity for affordable housing		2	4	8
OR_NS28b Capital resources are utilised to support Affordable Housing (new 3.6m of s106 grant)		2	3	6
OR_NS28 Delivery of social rented affordable housing – risk has been split to focus on the different elements of the risk				
OR_NS29 Lack of or inappropriate monitoring of the Council's contracts in place		3	1	3



## Focus on Risks at Alert Level (red status)

### Corporate Risks

<b>CRR_CED02 Insufficient staff capacity - skills, knowledge etc</b>	3	3	9	 Likelihood Impact
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>• Four-year plan programme and reviews</li> <li>• Corporate Strategy setting priorities</li> <li>• Transformation programme</li> <li>• Training and development plan / talent pool</li> <li>• People Strategy 2014-16.</li> <li>• Also looking at talent management through GNSR</li> </ul> <p><b>Financial Impact</b> Potential increase in staffing costs if agency staff are required to maintain key services safely; for example, refuse crews. Vacant posts in some areas are proving difficult to fill eg Planning, Finance and ICT.</p>				
<b>CRR_FCS02 Reduction in Government funding linked to New Homes Bonus</b>	3	3	9	 Likelihood Impact
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>• Budget process</li> <li>• Four-year plan</li> <li>• Budget monitoring.</li> </ul> <p><b>Financial Impact</b></p>				

New 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.

<b>CRR_FCS05 Revaluation of major business rate payer ie the impact of Ratcliffe on Soar Power Station closure</b>	4	3	12	
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**Internal Controls (Mitigation)**

- Ongoing reporting of business rate valuations through performance clinic and membership of the Nottinghamshire Pool to mitigate downside risk.

**Financial Impact**

- 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.
- There is a safety net in place which will cap losses, none the less, less revenue will be generated in the short term when the power station does close. The Freeport and DevCo provides an opportunity for further business and employment growth.

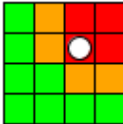
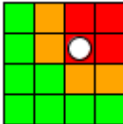
<b>CRR_FCS07 Central Government policy changes</b>	3	3	9	
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**Internal Controls (Mitigation)**

- Continue to monitor as part of budgetary process

**Financial Impact**

- Continuous horizon scanning and S151 officer and other Director’s 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. The most obvious current risk is planned legislation changes to waste collection and further detail is awaited.

<b>CRR_FCS22 Uncertainty around Government funding and changes to the business rates system with a one-year financial settlement</b>	3	3	9	
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>Attending budget workshops and seminars and keeping abreast of latest developers. Sensitivity analysis and scenario planning as part of budget modelling.</li> </ul> <p><b>Financial Impact</b></p> <ul style="list-style-type: none"> <li>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 and it's likely there will be further delays into 2022/23. There is a risk that future funding could change significantly emphasising the importance of healthy reserve balances.</li> </ul>				
<b>CRR_NS17 Impact of Covid-19 on the Borough's leisure facilities and their ability to recover</b>	3	3	9	
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>The Council is working closely with both Lex Leisure and Mitie as recovery begins after re-opening on 25 July 2020</li> <li>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.</li> <li>Support has been offered to various clubs affected by both the closure and the phased re-opening.</li> </ul> <p><b>Financial Impact</b></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 successfully accessed central government funding in January 2021 to cover some costs incurred and help with the current shortfall.</p>				

Operational Risks

Risk Code & Title	Impact	Likelihood	Current Rating	Matrix
<p><b>OR_CED07 Ability of the Borough Council to maintain frontline services in the event of further waves of Covid-19</b></p>	3	3	9	
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>The Council has successfully continued to deliver services despite several waves of Covid.</li> <li>Separate reporting has been undertaken to both Cabinet and Corporate Overview Group regarding Covid's impact and action undertaken by the Council</li> </ul> <p><b>Financial Impact</b> The combination of government financial support and council budget efficiencies has ensured the budget continues to deliver overall budget efficiencies.</p>				
<p><b>OR_DEG05 Impact of Covid-19 on the Borough's high streets and their ability to recover following initial lockdown (March to June 2020) and any further local lockdowns</b></p>	3	3	9	
<p><b>Internal Controls (Mitigation)</b></p> <ul style="list-style-type: none"> <li>The Council is working closely with local businesses and providing support.</li> <li>Funding has been provided to the Council to support the safe reopening of the high street but the criteria for this is limiting.</li> </ul> <p><b>Financial Impact</b></p> <ul style="list-style-type: none"> <li>There would be an impact on business rates collected if high street businesses closed and other costs such as Housing Benefits could increase and the risk of worsening income streams such as council tax and business rates.</li> </ul>				

Risk Threat and Opportunity Matrix

		Risk – Threats				Risk - Opportunities					
<b>Likelihood</b>	Likely 4	4	8	12	16	16	12	8	4	Likely 4	<b>Likelihood</b>
	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		
		<b>Impact</b>				<b>Impact</b>					

**Table 1 Consequence / Impact**

This is a measure of the consequences of the identified risk

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

<b>Risk - Threats</b>		<b>Risk - Opportunities</b>	
<b>Impact</b>	<b>Thresholds and Description</b>	<b>Impact</b>	<b>Thresholds and Description</b>
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

<b>Risk - Threats</b>		<b>Risk - Opportunities</b>	
<b>Likelihood</b>	<b>Thresholds and Description</b>	<b>Likelihood</b>	<b>Thresholds and Description</b>
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