

Strategic Risks and Opportunities Register

Risk 1 Insufficient funds to deliver statutory services

Owner: Head of Finance

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
1.1. Robust budget setting process	20%	1	3	3
1.2. Robust management and monitoring process for significant income streams and areas of expenditure	40%	1	3	3
1.3 Compliance with Financial Regulations, Procurement procedures and other relevant guidance and procedures	20%	1	3	2
1.4 Maintaining an adequate level of reserves	20%	1	3	3
Effectiveness Scores	100%		100%	93%
Risk Level : LOW				

Improvement Actions

Action	Lead Officer	Target Date
To review Financial Regulations and finance related sections of the Council's Constitution with the aim of combining into one document.	Financial Services Manager	31 March 2022

Risk 2 Failure to deliver the expected outcomes from projects requiring a key decision

Owner: Mike Robinson

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
2.1 Approved business case	20%	1	3	3
2.2 Effective project management procedures which are proportionate to risk and include identification of significant grant conditions / project risks	50%	1	3	3
2.3 Effective monitoring of key projects	20%	1	3	2
2.4 Sharing lessons learnt from projects	10%	1	3	2
Effectiveness Scores	100%		100%	90%
Risk Level : LOW				

Risk 3 Non-compliance with procurement practices**Owner: Head of Law & Governance**

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
3.1 Up to date procurement strategy / procedures and guidance effective communication and training	25%	1	3	2
3.2 Effective communication and training on procurement procedures and rules	15%	1	3	2
3.3 Effective monitoring process to ensure compliance with relevant procedures and guidance	15%	1	3	2
3.4 Adequate level of professional procurement expertise available and fully utilised eg data analysis	15%	1	3	3
3.5 Up to date contract management procedures in place	15%	1	3	3
3.6 Effective communication and training on contract management procedures	15%	1	3	2
Effectiveness Scores	100%		100%	77%
Risk Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
Draft and Issue FAQs in consultation with Nottingham City Procurement Team to accompany the revised Contract Procedure Rules	Adrian Pullen	31 July 2021

Risk 4 Ineffective management of Non-HRA Council Buildings Owner: Head of People & Transformation

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
4.1 Up to date and accurate records maintained	20%	1	3	2
4.2 Up to date PPW programme in place	20%	1	3	1
4.3 Effective delivery of the PPW programme	20%	1	3	1
4.4 Compliance with statutory requirements by delivering actions identified from condition surveys	40%	1	3	2
Effectiveness Scores	100%		100%	54%
Risk Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
To re-assess and re-programme PPW for high priority properties	Philip Colledge	30 September 2021

Risk 4a

Ineffective management of Council HRA Buildings

Owner: Head of Housing

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
4.1 Up to date and accurate records maintained on the asset management database	20%	1	3	2
4.2 Up to date PPW programme in place	20%	1	3	2
4.3 Effective delivery of the PPW programme	20%	1	3	2
4.4 Completion of stock condition surveys	20%	1	3	1
4.5 Compliance with statutory requirements by delivering actions identified from condition surveys	20%	1	3	2
Effectiveness Scores	100%		100%	59%
Risk Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
Develop the Housing asset management database	Craig Tinsley	30 September 2021
<p>Progress Housing Repairs Service re-structure which includes the aim of delivering effective asset management</p> <p>Service review is currently underway in a 2-phased approach with the compliance element of the structure being prioritised as part of phase 1.</p> <p>Compliance roles will be the first roles to be recruited to</p> <p>Formal consultation to begin on phase 2</p>	<p>Craig Tinsley</p> <p>Craig Tinsley</p>	<p>Commencement from April 2021</p> <p>Commencement from August 2021</p>
<p>Progress stock condition surveys subject to Covid-19 restrictions</p> <p>Once contracts have been agreed by both parties and signed, a desktop compliance review will be undertaken.</p> <p>In parallel to the compliance review, a series of trial surveys will begin and the main physical stock condition survey will then start.</p>	<p>Craig Tinsley</p> <p>Craig Tinsley</p>	<p>30 April 2021</p> <p>31 May 2021</p>

Action	Lead Officer	Target Date
<p>Commence delivery of findings from stock condition surveys</p> <p>Once the compliance desktop review is complete this will help inform future compliance monitoring arrangements across the housing service as well as future compliance improvement work/programmes.</p> <p>On completion of the stock condition survey, data will be included within the asset management database to inform future capital improvement programmes</p>	<p>Craig Tinsley</p> <p>Craig Tinsley</p>	<p>31 May 2021</p> <p>Commencement from September 2021</p>

Risk 5 Failure to deliver the expected outcomes in the Transformation Strategy

Owner: Head of People & Transformation

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
5.1 Effective financial monitoring and robust governance arrangements and processes	35%	1	3	2
5.2 Proactive establishment and vacancy management	10%	1	3	3
5.3 Drive savings through service re-design	15%	1	3	2
5.4 Explore new ways of working to maximise efficiency	10%	1	3	3
5.5 Effective deployment of technology	20%	1	3	2
5.6 Maintain existing service contracts and explore new commercial contracts	10%	1	3	2
Effectiveness Scores	100%		100%	73%
Risk Level : MEDIUM				

**Risk 6 Non-compliance with legislation or ineffective
Governance leading to challenge**

Owner: Head of Law & Governance

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
6.1 Expertise and knowledge of relevant legislation in place in all areas	30%	1	3	2
6.2 Completion of mandatory returns in accordance with legal requirements for example annual accounts, VAT returns and Annual Governance Statement	20%	1	3	3
6.3 Inclusion of relevant professionals in and adherence to the decision making process in both normal and emergency times	30%	1	3	3
6.4 Compliance with internal policies and procedures to ensure compliance with legislation and demonstrate effective governance for example Constitution, Financial Regulations and Contract Procedure Rules	20%	1	3	3
Effectiveness Scores	100%		100%	90%
Risk Level : LOW				

Improvement Actions

Action	Lead Officer	Target Date
Delivery of training plan in respect of internal policies and procedures in consultation with Talent and Skills Team.	Karen Barke	30 September 2021

Risk 7 Harm to children or vulnerable adults due to the Council not meeting its safeguarding responsibilities

Owner: Chief Executive Officer

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
7.1 Up to date Safeguarding Policy and procedures in place supported by effective communication and training	40%	1	3	3
7.2 Effective monitoring process to ensure compliance with policies and procedures	25%	1	3	3
7.3 Effective processes and procedures for reporting, collecting and sharing data with a focus on outcomes	20%	1	3	3
7.4 Learn lessons from & implement recommendations from Serious Case Reviews	15%	1	3	3
Effectiveness Scores	100%		100%	100%
Risk Level : LOW				

Risk 8 Failure to deliver services due to inadequate management and planning of the workforce

Owner: Head of People & Transformation

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
8.1 Effective delivery of the people strategy	30%	1	3	2
8.2 Pay and benefits to retain and attract	20%	1	3	2
8.3 Adequately skilled and digitally aware workforce	15%	1	3	2
8.4 Good reputation of the Council as an employer	15%	1	3	2
8.5 Effective workforce development programme	20%	1	3	2
Effectiveness Scores	100%		100%	74%
Risk Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
Develop a digital skills development programme	Lorraine Powney	31 December 2021

Risk 9 Failure to deliver services due to lack of effective business continuity arrangements

Owner: Head of Health & Communities

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
9.1 Regular review and audit of the Disaster Recovery Plan and delivery of required training	30%	1	3	2
9.2 Access to relevant personnel in accordance with the service out of hours rotas	15%	1	3	2
9.3 Effective monitoring arrangements by the Resilience Board	25%	1	3	3
9.4 - Compliance with business continuity arrangements and approved system with provision of advice to small businesses	30%	1	3	2
Effectiveness Scores	100%		100%	75%
Risk Level : MEDIUM				

Risk 10 **Failure to provide an effective Council response to an emergency situation**

Owner: **Head of Health & Communities**

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
10.1 Compliance with the Civil Contingencies Act Seven Statutory Duties	25%	1	3	3
10.2 Regular review and testing of Emergency Plan and delivery of required training	20%	1	3	2
10.3 SLA with Nottinghamshire County Council	30%	1	3	3
10.4 Effective monitoring of emergency planning through the Council's Resilience Board	10%	1	3	3
10.5 Access to relevant personnel out of hours in accordance with the emergency rota	15%	1	3	2
Effectiveness Scores	100%		100%	88%
Risk Level : LOW				

**Risk 11 Ineffective data management and security
leading to a data breach**

Owner: Head of Law & Governance

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
11.1 Up to date policies and procedures on use of personal data and breach management, records management and ICT protocols	25%	1	3	3
11.2 Effective training on above policies and procedures	25%	1	3	2
11.3 Effective monitoring process to ensure compliance with above policies and procedures	25%	1	3	2
11.4 Effective monitoring of the information asset register to ensure it is kept up to date	25%	1	3	2
Effectiveness Scores	100%		100%	76%
Risk Level : MEDIUM				

Risk 12 Ineffective governance of commercial property investments

Owner: Head of Planning & Regeneration

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
12.1 Appointment of external specialist consultants to advise on commercial property acquisitions and management	20%	1	3	3
12.2 Compliance with the Council's investment strategy	20%	1	3	3
12.3 Compliance with commercial property investment procedures and guidance	20%	1	3	3
12.4 Regular meetings of Asset Acquisition Board including performance updates	20%	1	3	2
12.5 Effective estate management of commercial property investments	20%	1	3	3
Effectiveness Scores	100%		100%	97%
Risk Level : LOW				

**Risk 13 Adverse impact on service delivery
due to Brexit**

Owner: Mike Robinson

Key Controls	% Weighting	In Place	Target Effectiveness	Current Effectiveness
13.1 Risk schedule has been produced	25%	1	3	3
13.2 Mitigation plan has been agreed and monitored	25%	1	3	3
13.3 Effective communication with all key stakeholders	25%	1	3	2
13.4 Regular meetings of Brexit working group	25%	1	3	2
Effectiveness Scores	100%		100%	84%
Risk Level : LOW				

Opportunity 1 More efficient and effective services through increased collaborative working and better use of resources with partners

Owner: Head of People & Transformation

Key Enablers	% Weighting	In Place	Target Effectiveness	Current Effectiveness
1.1 Organisational understanding, support and buy in to the principles of collaborative working	50%	1	3	2
1.2 Shared understanding and collaborative delivery	10%	1	3	2
1.3 Effective performance management framework	30%	1	3	2
1.4 Effective communication and engagement strategies	10%	1	3	2
Effectiveness Scores	100%		100%	67%
Opportunity Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
To finalise the Council's communications strategy	Helen Sisson	31 December 2021

Opportunity 2 **Data driven insight in order to develop more customer focussed services**

Owner: **Head of People & Transformation**

Key Enablers	% Weighting	In Place	Target Effectiveness	Current Effectiveness
2.1 Accessible data	50%	1	3	2
2.2 Effective system in place to enable data analysis	25%	1	3	2
2.3 To take appropriate action resulting from data analysis outcomes	25%	1	3	2
Effectiveness Scores	100%		100%	67%
Opportunity Level : MEDIUM				

Improvement Actions

Action	Lead Officer	Target Date
To implement system and train staff on data analytics and the use of spatial data i.e. GIS	Jeanette Marples	31 March 2022