Corporate Risk Register

Report Type: Risks Report
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Gedling
Borough Council

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR1	Finance	12	4	9		Tina Adams	This refers to the ability of the Council to meet its financial commitments and/or the scale and pace of budget cuts. This relates to income and expenditure and includes internal budgetary pressures, savings/growth considerations, external economic changes etc.	Quarterly budget monitoring process between Finance and managers and to Cabinet. Monitoring of Efficiencies. Setting a balanced budget on an annual basis. Business Partnering advice and support in all service areas on a risk-based approach. Income Monitoring across departments. Annual Financial Regulations Training. Stocktaking processes across applicable services. Annual Review of Council Tax Reduction scheme. Capacity of suitably qualified and experienced staff	Set budget for 2025/26 and the next medium- term plan (FEB 24). Agree a set of new efficiencies for delivery (FEB 24). Services areas to operate within current budget envelope.	Balanced Budget is predicated on significant efficiencies, some of which do not yet have developed plans to deliver. Uncertainly on Government funding under the new governments until the settlement on 19th December 2024. Overspends in the Environment Department whilst zero based staffing review is completed. Current Score – Serious Consequent and probable.

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								across financial services. Monitoring of Treasury Management Risks		

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CR2	Capacity Service Delivery	9	4	6		Mike Hill	This is about ensuring that sufficient capacity is available to deliver services which meet statutory obligations, Council objectives etc and public expectation	Recruitment procedures in place Succession planning in service areas Performance Reviews Various methods in place to recruit staff Apprentices Training and other placements available Staff benefits Our Gedling Events	Succession planning audit to be completed critical staff identified New recruitment & retention audit Review recruitment policy/ procedures Monitor impact of workforce capacity on Gedling Plan	Application rates are healthy again in Planning & Legal services. There are still some issues in Finance, as qualified staff with experience are difficult to recruit, with many professionals entering the interim market as a preference to permeant employment. There has also been successful recruitment to Senior Management restructure and project management roles. Current Score Probable Moderate Impact

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CR3	Health & Safety At Work	12	3	9		Fran Whyley	This refers to Occupational Health & Safety	Safety Policies & procedures in place Appropriate Risk Assessments in place Emergency Evacuation procedures Identify Risks in equipment Corporate Health & safety Group meets regularly Audit programme produced and delivered each year Lone worker procedure	All managers to develop risk assessments on new system (JAN 25) Complete internal inspection of service areas and identify risks in relation to equipment/ safe systems at work (JAN 25)	Risk assessment training has been delivered. Managers have worked with H&S to make assessments specific to their areas of work. Further work is required ongoing for Transport and PASC. Some lower risk areas have further work on their assessments. Good progress is being made and this is a cyclical process. Waste Services have completed a review of all risk assessments and safe systems of work.

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CR4	Environmental	12	4	9		Fran Whyley	This refers to the environmental impact on the public – it could be related to virus type illnesses or environmental incidents such as flooding which impact on health or related to events which have an impact on the natural environment such as pollution/contamination	Emergency Plan arrangements and training including IMT checklist and Resilience Direct Platform. On call - emergency planning officer role instructions. Incident management team structure and guidance. Emergency Planning periodic training Strategic Resilience Group. Service Level Agreement with Nottinghamshire County County (NCC) Local Resilience Forum (LRF) - Strategic Level Nottinghamshire, Resilience Working Business Continuity Plans . Carbon Management Strategy and Action Plan and annual reporting.	BIA review and rationalisation (due to restructures) will require a further review. Once all restructures have been completed. (JAN 25) Review Emergency Plan.(MAR 25) Review position with LRF arrangements (MAR 25)	No change to current risk level. BCPs reviewed and largely completed. The Emergency Plan is to be reviewed before March 2025. Additional resource may be needed to support this to ensure completion by year end. Current Score Serious Consequence and Probable

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR5	Contractual Partnerships	12	4	9		Tina Adams Fran Whyley	This refers to both the risks regarding partnership / contractual activities and the risks associated with the partnership / contract delivering services to the agreed cost and specification.	Contract Standing Orders and Financial Regulations. Financial checks conducted on suppliers prior to entering into contracts over £50K. Appropriate clauses included in contracts. Partnership Register and associated governance arrangements are reviewed every quarter. Procurement arrangement in place. Contracts Register developed.	Revise implement new procurement process. (MAR 25) Produce new procurement strategy aligning the new procurement act.(FEB 25) Continue to develop the contracts register (MAR 25) Deliver contract management training (DEC 24) Review Council's partnership arrangements (DEC 24)	Work is continuing to progress a new procurement process which is fit for purpose. Budget has been approved and recruitment is currently underway for a new Contracts and Procurement Manager. The Council is looking at Shared Service Providers, with an aim to have a new procurement arrangement in place by April 2025. Current Score Serious Consequence and Probable

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR6	Reputation	12	4	2		Mike Hill	This relates to public perception / expectation and the impact of media attention.	Communication and media relations policy and team. Emergency planning procedures Media protocol Social media guidance Information security policy Data breach management procures H&S policy Adequate Insurance Safeguarding Policy	Assess the adequacy of DBS checks across the leisure & Housing teams. (JAN 25)	Effective comms plans in quarter 2 has ensured that any risk on reputation has been mitigated following media coverage of court cases. Current Score Minor Impact and Possible

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR7	Infrastructure Assets	16	4	12		Mike Hill	This looks at the loss, protection and damage of physical assets and takes into account the need to maintain, protect, insure and plan for unexpected loss	Condition surveys in place Compliance regime fire, asbestos, water testing)	Asset management strategy needed.(MAR 25) Procure and asset management system (DEC 25) Review temporary accommodation for suitability and establish maintenance programme.(MAR 25) Maintenance and compliance schedules to be combined across Leisure, properties and Housing. (JAN 25) Progress demolition of large garage to support depot improvements. (JAN 25)	Cyclical updates of property condition surveys are underway and are due to be completed in March 2025.Compliance management arrangements have been introduced across pavilions and community centres. Risk remains high due to potential impact on service delivery and income at Carlton Forum due to ongoing drainage issues. Current Score Serious Consequence and Very Likely

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CR8	Legislative	12	4	6		Fran Whyley	This refers to changes to and breaches of current law leading to additional workloads, fines, intervention by regulatory bodies etc.	Training provided inhouse and externally from legal/finance/H and S and workforce teams. Membership to Working groups and Partnerships. Subscriptions to LGA and other like professional bodies.	Project Plan to be developed for waste changes (JAN 25)

Changes to Trade Waste Regime to include food waste and recycling (MAR 25)

Ensure readiness for Procurement Act implementation, adoption of new procurement rules (FEB 25)

Review staffing needs to deliver on waste changes (JAN 25) | Quarter 2 has identified that there are some gaps in preparedness for changes to waste regulations. Appropriate actions have been identified to move this forward. Changes to implementation dates for the Procurement Act, has meant pushing back the new procurement rules from Q2-Q3.

Current Score Serious Consequence and Possible |

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CR9	ICT Technology	12	4	6		Kate Lindley Fran Whyley	This relates not only to the impact of Internal technology failure but also changing technological demands and the ability to meet the pace and scale of change.	Information Security Policy. PSN annual compliance testing. Staff training. BTDA established to monitor system procurement. Secure contracts with 3rd party suppliers for main telephony and broadband provision. AD appointed. Digital Data and Technology Strategy and roadmap approved.	Assess and prioritise demand on the service (DEC 24) Review cyber security risk register (JAN 25) Review staffing requirements within ICT including succession planning (FEB 25) Review ICT policies (MAR 25)	New AD of Digital appointed to support the ICT team and identify/review risk level. BTDA meetings continue to ensure appropriate procurement of ICT systems across the organisation. Tenders released for waste management system and CRM. Current Score Serious Consequence and Possible

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR10	Projects	12	4	6		Mike Avery	This relates to the effective management of projects to achieve delivery that is on time, to budget and that meet the needs of the organization.	Project management templates and guidance material. Additional resource deployed for major projects including transformation, waste system implementation. External project management utilised Ambition Arnold	Review of project management templates and documentation to incorporate risk framework. (FEB 25) Establishment of corporate reporting mechanism for major contracts through making meetings matter project (FEB 25) Fin regs training to support project budgets effectively managed. (MAR 25)	New Risk Current Score Serious Consequence and Possible

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR11	Fraud Bribery Misconduct	12	4	9		Tina Adams	Relates to improper actions committed against the Council either internally or by third parties. Including frauds, bribery, money laundering and misconduct e.g., theft, falsification of timesheets.	Counter Fraud & Corruption Strategy Whistleblowing Policy Fraud Action Plan Internal Audit Audit Committee External Audit Mandatory Staff Training Communication – Lessons Learnt Zero tolerance approach - share consequences Members Roles & Conduct Public Contracts National Fraud Initiative	Renew Anti-Fraud Strategy – (March 2025) Compile a Fraud Action Plan – (March 2025) Monitor take up of training – (Jan 2025) Fraud Communication on Staff Intranet – every 3 months Review, revise and publicise Fraud Response Plan – (March 2025) In Person training to be undertaken for staff who don't have access to a computer – (March 2025) Forensic review of other ICT systems including Civica – (March 2025) User Access review and centralisation (July 2025)	The outcome of the recent fraud and sentencing was communicated to all staff through internal comms with the message that Gedling takes a zero approach to fraud. Mandatory Training take up is currently at 75% (of staff who have computer access) this is being monitored and further action put in place for staff who don't have access to a computer. Further forensic analysis has on other systems including Civica will be scheduled for the new year. User access Current Score Serious Consequence and Probable

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CR12	Service Standards Performance Management	9	4	4		Mike Hill	This relates to the setting of acceptable standards and levels of output for a service area and the processes put in place to ensure these are delivered and managed appropriately	Employee, manager and leader standards. PDRs annually. Service plans with KPIs and actions to monitor performance. Quarterly reporting to SLT, Cabinet and Scrutiny Committees. Customer promise and complaints processes with prescribed response times. Strategies for Digital, Climate, equality and diversity containing clear action plans and roadmaps.	Establish appropriate corporate groups to monitor performance (budget and performance) (FEB 25) New approach to service planning to be agreed and plans developed for 25/26 (MAR 25) Create effective KPIs for performance management in 24/25 (MAR 25) Create centralised training needs analysis and plan (APR 25)	New AD of Workforce appointed to lead on performance. Structure for new performance management meetings approved to be rolled out in Q4. Notification of departure of Director of Transformation and officer supporting performance posed some level of risk, however swift action was taken to seek suitable resource to ensure performance management was retained. Current Score Moderately Disruptive Impact and Possible

Code	Corporate Risk	Gross Risk	Risk Appetite	Current Risk Score	Trend Icon	Assigned To	Description	Controls	Further Action	Q2 Review
CR13	Information Data	12	4	9		Kate Lindley Fran Whyley	Security – this relates to physical and IT security on site and in-transit or inappropriate disclosure of information.	Information Security Policy DPIA Information Asset registers GDPR training for all staff Data breach reporting process. Regular security messaging. Data Security Group. Annual SIRO report. Cyber security training available for all staff (mandatory). Audit of access to financial systems, audit of Information security and GDPR. Records retention and Disposal Policy. BTDA established to ensure data security in procurement of new systems.	Refresh GDPR training (MAR 25) Create Register of Processing Activity in line with audit recommendations (APR 25) Review of Identification and Verification processes across the Council, standard process to be agreed (JAN 25) Review Retention policies (MAR 25) Review DPIA processes and raise awareness (MAR 25)	Appointment of AD for Digital has provided additional resource to review Data security, work is ongoing to identify priorities, key risks and training needs. Creating specification for CRM has involved a review of data access and content on a number of systems. The transformation process is resulting in a number of process reviews which support more effective tracking of data and ensuring no unnecessary data is collected or held. Current Score Serious Consequence and Probable