Appendix 1

Review of Strategic Risk Register

Introduction

The corporate Risk Management Strategy aims to improve the effectiveness of risk management across the Council. Effective risk management will help to ensure that the Council maximises its opportunities and minimises the impact of the risks it faces, thereby improving its ability to deliver priorities, improve outcomes for residents and mitigating legal action and financial claims against the Council and subsequent damage to its reputation.

The Strategy provides a comprehensive framework and process designed to support both Members and Officers in ensuring that the Council is able to discharge its risk management responsibilities fully. The Strategy outlines the objectives and benefits of managing risk, describes the responsibilities for risk management, and provides an overview of the process that the Council has in place to manage risk successfully. The risk management process outlined within the Strategy should be used to identify and manage all risks to the Council's ability to deliver its priorities. This covers both strategic priorities, operational activities and the delivery of projects or programmes.

The Council defines risk as "the chance of something happening that may have an impact on objectives". A risk is an event or occurrence that would prevent, obstruct or delay the Council from achieving its objectives or failing to capture business opportunities when pursuing its objectives.

Risk Management

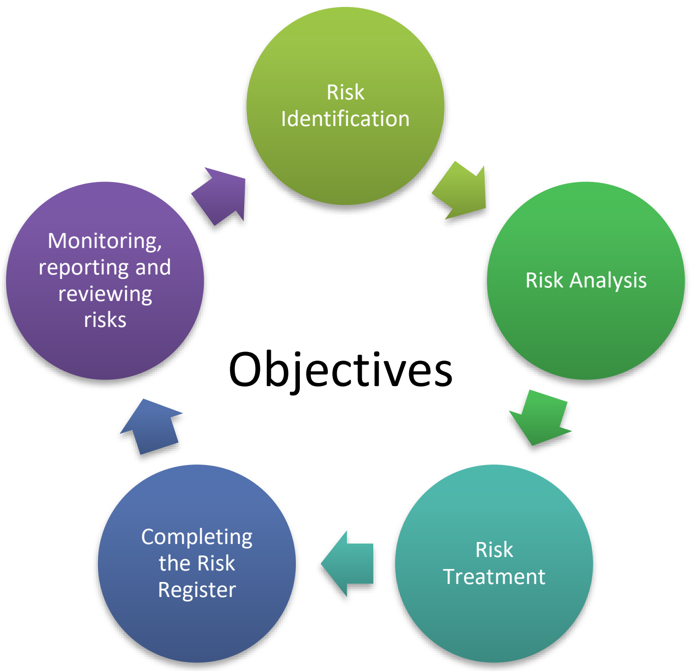
Risk management involves adopting a planned and systematic approach to the identification, evaluation and control of those risks which can threaten the objectives, assets, or financial wellbeing of the Council. It is a means of minimising the costs and disruption to the Council caused by undesired events.

Risk management covers the whole range of risks and not just those associated with finance, health and safety and insurance. It can also include risks as diverse as those associated with reputation, environment, technology and breach of confidentiality amongst others. The benefits of successful risk management include:

- Improved service delivery with fewer disruptions, efficient processes and improved controls
- Improved financial performance and value for money with increased achievement of objectives, fewer losses, reduced impact and frequency of critical risks
- Improved corporate governance and compliance systems with fewer legal challenges, robust corporate governance and fewer regulatory visits
- Improved insurance management with lower frequency and value of claims, lower impact of uninsured losses and reduced premiums.

Risk Management Process

The Council's risk management process has five key steps as outlined below.



Process Step	Description
Risk Identification	Identification of risks which could significantly impact the Council's aims and objectives – both strategic and operational.
Risk Analysis	Requires consideration to the identified risks potential consequences and likelihood of occurring. Risks should be scored against the Council's risk matrix
Risk Treatment	Treat; Tolerate; Transfer; Terminate – Identify which solution is best to manage the risk (may be one or a combination of a number of treatments)
Completing the Risk Register	Document the previous steps within the appropriate risk register. Tool for facilitating risk management discussions. Standard template to be utilised to ensure consistent reporting.
Monitoring, reporting and reviewing the risks	Review risks against agreed reporting structure to ensure they remain current and on target with what is expected or manageable.

Risk Matrix

		Risk – Threats				
Likelihood	Almost Certain – 5	5	10	15	20	25
	Likely – 4	4	8	12	16	20
	Possible – 3	3	6	9	12	15
	Unlikely – 2	2	4	6	8	10
	Rare – 1	1	2	3	4	5
		Insignificant – 1	Minor – 2	Moderate – 3	Major – 4	Catastrophic – 5
		Impact				

Risk Rating	Value	Action
Red Risk	25	Immediate action to prevent serious threat to provision and/or achievement of key services or duties
	15 to 20	Key risks which may potentially affect the provision of key services or duties
Amber Risk	12	Important risks which may potentially affect the provision of key services or duties
	8 to 10	Monitor as necessary being less important but still could have a serious effect on the provision of key services
	5 to 6	Monitor as necessary to ensure risk is properly managed
Green Risk	1 – 4	No strategic action necessary

Appendix 2

Strategic Risk Register – Summary of Proposed Changes

Inherent Risk – Gross risk **before** controls and mitigation

Residual Risk – Risk remaining **after** application of controls and mitigating measures

Risk	Inherent Risk	Residual Risk	Changes
1. Failure to maintain effective corporate performance management and implement change management processes *The position with regards to this risk is **unchanged**.*	20	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. The challenges of Local Government Reorganisation (LGR) and changes at GMT could impact on this risk.
2. Failure to obtain adequate resources to achieve service objectives *The position with regards to this risk is **unchanged**.*	20	**16** **Red**	Ongoing challenges surrounding the local government finance means that this remains a high-rated residual risk. The action to assess the impact of the Fair Funding Review, including proposals for greater localisation of business rates and any reset in the baseline, upon the Council's finances has been completed. The resourcing impacts arising from transitional arrangements in the run-up to LGR continues to be monitored.
3a. Failure to deliver a Housing Repairs and Compliance Service which meets Right to Repair and Compliance legislation *The position with regards to this risk is **unchanged**.*	20	**16** **Red**	A new action was added to implement the agreed establishment structure changes for the Housing Repairs and Compliance Service. A further new action was added to obtain legal advice to progress with 'no access' cases relating to compliance works.

Risk	Inherent Risk	Residual Risk	Changes
3. Failure to deliver the Housing Revenue Account (HRA) Business Plan *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had **worsened***	25	**12** **Amber**	The HRA balance has dipped below £1.0m due to rising costs over several years linked to compliance and safety, damp and mould, housing disrepair and rising borrowing costs. There was also the impact of rent income levels not being as anticipated, due to voids and several housing delivery schemes not coming on stream as expected. The HRA is a ring-fenced fund and must be maintained in a surplus position. A new action was added to prepare an HRA Medium-Term Financial Strategy and Business Strategy with a view to managing costs and achieving efficiencies to increase balances back above the minimum recommended level at the earliest opportunity. A new action was added to prepare a report to GMT to consider the impact of applying an exemption of leasehold service charges for the cost of works being undertaken relating to fire risk management programme.
4. Failure of strategic leisure initiatives *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had **improved.***	25	**20** **Red**	The action to seek Cabinet approval of the business case to progress with the replacement Bramcote Leisure Centre project onto the construction and delivery stages has been updated to progress with the construction and delivery of the new replacement Bramcote Leisure Centre project. The action to develop the outline proposals for a new Healthy Lifestyle Centre complex at Walker Street in Eastwood was updated to seek funding opportunities to progress with the development of the DH Lawrence Healthy Lifestyle Centre complex on Walker Street in Eastwood.

Risk	Inherent Risk	Residual Risk	Changes
5. Failure of Liberty Leisure (LLL) trading company *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had* ***improved***	25	**9** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. The company showed positive financial and operational performance in 2025/26, with new income streams from the Hickings Lane Community Pavilion further strengthening the financial outlook.
6. Failure to manage the Beeston town centre development *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had* ***improved***	25	**9** **Amber**	With The Square now being fully let, the actions to finalise lease terms with food and beverage operators for the remaining unit; and to identify suitable tenants and complete the letting of units in phase 3 of the Beeston Square development (the 'Argos block') were completed.
7. Not complying with legislation *The position with regards to this risk is* ***unchanged****.*	25	**6** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
8. Failure of financial management and/or budgetary control and to implement agreed budget decisions *The position with regards to this risk is* ***unchanged****.*	25	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
9. Failure to maximise collection of income due to the Council *The position with regards to this risk is* ***unchanged***	20	**9** **Amber**	The action to monitor the outcome of the government consultation on Council Tax administration had been completed. The move towards 12 monthly instalments could have an impact on cashflow. The action to refresh and approve the Income Collection Policy, Financial Inclusion Policy and Rent Setting Polic, as part of the three-year cycle, along with the Corporate Debt Policy has been completed.

Risk	Inherent Risk	Residual Risk	Changes
10. Failure of key ICT systems *The position with regards to this risk is **unchanged***	25	**9** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
11. Failure to implement Private Sector Housing Strategy in accordance with Government and Council expectations *The position with regards to this risk is **unchanged***	20	**9** **Amber**	The impact of planned changes to the Disabled Facilities Grants (DFG) funding formula continues to be monitored. The action to review of the Private Sector Housing Enforcement Policy for presenting to Cabinet for approval in June 2026 was completed.
12. Failure to engage with partners/community to implement the Broxtowe Borough Partnership Statement of Common Purpose *The position with regards to this risk is **unchanged***	15	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. The risk from LGR will be monitored.
13. Failure to contribute effectively to dealing with crime and disorder *The position with regards to this risk is **unchanged***	15	**3** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. The LGR risks including governance and reporting lines and the co-location with the Police will be monitored.
14. Failure to provide housing in accordance with the Local Development Framework *The position with regards to this risk is **unchanged***	20	**12** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
15. Natural disaster or deliberate act, which affects major part of the Authority *The position with regards to this risk is **unchanged***	15	**12** **Amber**	A new action was added to prepare a report to GMT to consider further training to ensure that sufficient senior managers are trained in terms of responding to a Category 1 incident.

Risk	Inherent Risk	Residual Risk	Changes
16. Failure to mitigate the impact of the Government's welfare reform agenda *The position with regards to this risk is **unchanged***	20	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. **In view of the progress made with the Government's welfare reform agenda, and its direct impact on the Council, it is considered that this specific risk can now be managed operationally as part of 'business-as-usual'. As such it is proposed to remove this risk from the Strategic Risk Register.**
17. Failure to maximise opportunities and to recognise the risks in shared services arrangements *The position with regards to this risk is **unchanged***	20	**9** **Amber**	The action to monitor the transition and performance impact of the out-of-hours service following a change in the service provider was completed. The action to report annually to Cabinet on the shared surveillance camera system arrangements and out of hours' services is no longer relevant so has been deleted.
18. Corporate and/or political leadership adversely impacting upon service delivery *The position with regards to this risk is **unchanged***	20	**12** **Amber**	The action to conclude the recruitment process for a permanent Chief Executive as the statutory 'head of paid service' officer was completed. A new action was added to complete the transition from interim senior management arrangements to a permanent structure, including the confirmation of new directors to the permanent establishment.
19. High levels of sickness *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had **worsened***	16	**9** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
20. Inability to recruit and retain staff with required skills and expertise to meet increasing demands and expectations. *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had **worsened***	20	**9** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. There continues to be market challenges with to specialist technical and management roles. The increased risk from LGR is being monitored.

Risk	Inherent Risk	Residual Risk	Changes
21. Failure to comply with duty as a service provider and employer to groups such as children, the elderly, vulnerable adults etc. *The position with regards to this risk is **unchanged***	20	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. The risks posed by LGR is being monitored, with potential changes to thresholds for individuals making requests for service.
22. Unauthorised access of data *The position with regards to this risk is **unchanged***	20	**12** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
23. High volumes of employee or client fraud *The position with regards to this risk is **unchanged***	20	**4** **Green**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk.
24. *Failure to achieve commitment of being carbon neutral for the Council's own operations by 2027* *Although the residual risk score does not need to change, it was considered that the position with regards to this risk had **worsened***	20	**12** **Amber**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. Changes to the definition of 'carbon neutrality', which includes Scope 3, has significantly impacted on the opportunity for the Council to be considered carbon neutral by December 2027.
25. Failure to respond to the outcomes of Local Government Reorganisation in Nottingham and Nottinghamshire *The position with regards to this risk is **unchanged***	25	**20** **Red**	No significant changes were proposed to the key controls, risk indicators and action points for this strategic risk. Government direction on the options for LGR is anticipated in July.
26. Failure to deliver weekly food waste collections in accordance with the government and public expectations	16	**12** **Amber**	New risk – see Appendix 3.
27. Failure to deliver the Kimberley Depot office replacement and redevelopment programme	20	**12** **Amber**	New risk – see Appendix 3.

Appendix 3

New Risks Added

Risk 26 - Failure to deliver weekly food waste collections in accordance with the government and public expectations

Risk Owner(s)	Inherent Risk	Residual Risk
Director of Environment and Leisure **Assistant Director Environment /** **Waste and Recycling Manager**	**16**	**12**

Key Controls

- Project plan in place
- Funding and budget allocation identified
- Procurement processes in place
- Operational routes completed
- Partnership working with other Nottinghamshire Districts and Nottinghamshire County Council
- Employee modelling
- Communication Strategy
- Resident and Member Engagement
- Service Monitoring
- Compliance with relevant legislation (Environment Act/Simpler Recycling)

Risk Indicators

- Slippage against project milestones
- Delays in procurement for infrastructure
- Budget pressures
- Recruitment delays
- Low resident engagement
- Increase in complaints regarding the new service
- High contamination
- Poor service performance (Missed bins)

Action Points

1. Finalise food waste mobilisation plan.
2. Finalise procurement of food waste containers.
3. Complete food waste operational routes.
4. Develop and deliver a trial rollout of food waste in September 2026.
5. Undertake a resident survey for the trial round.
6. Review trial performance to inform wider Borough rollout.
7. Implement a communications plan to include leaflets, stickers and website information.

8. Create key performance indicators for the service and ensure clear performance monitoring and reporting.
9. Confirm employee requirements and deliver appropriate training.
10. Ensure ‘O licence’ for the depot and fleet covers the additional food waste vehicles ordered.
11. Strengthen governance arrangements including regular updates to Members.

Risk 27 - Failure to deliver the Kimberley Depot office replacement and redevelopment programme

Risk Owner(s)	Inherent Risk	Residual Risk
Director of Environment and Leisure **Assistant Director Asset Management**	**20**	**12**

Key Controls

- Structural Surveys and feasibility studies
- Health and Safety assessments
- Project plan in place for office building replacement
- Identification of an appropriate Project Manager
- Appropriate funding identified
- Business Continuity Plans
- Stakeholder engagement (including ICT)
- Planning agreements in place
- Input from key stakeholders including the Environment Agency (site permit)
- Governance sign-off

Risk Indicators

- Delays in securing alternative office accommodation ahead of the year-end deadline
- Slippage against key project milestones (design, approvals, procurement, construction)
- Failure to vacate the existing depot office by the required deadline
- Health and safety risks escalating within the existing building (e.g. further deterioration, restrictions on use)
- Increased reliance on temporary or unsuitable accommodation
- Delays in approval of funding or budget shortfalls
- Rising costs or affordability challenges for replacement/redevelopment
- Planning permission or regulatory approvals delayed or not secured
- Procurement delays in appointing contractors or professional advisors
- Disruption to depot operations or service delivery during transition
- Employee dissatisfaction or productivity issues due to poor working conditions
- Weak programme management, including risks and issues not being escalated or resolved
- Lack of clarity on preferred option or delays in decision-making
- LGR-related uncertainty, delays, or resource pressures

Action Points

1. Identify and secure suitable temporary office accommodation to ensure the depot office can be vacated by year end.
2. Develop and agree a detailed programme plan for office replacement and wider depot redevelopment, with clear milestones.
3. Complete feasibility and options appraisal for permanent office replacement and depot redevelopment.
4. Seek and secure required capital funding and approvals to progress the preferred option.
5. Appoint required project manager and contractors to design and deliver the new facility.
6. Progress planning permissions and statutory approvals in line with project timelines.
7. Implement a clear decant plan to relocate staff and maintain operations during transition.
8. Put in place business continuity arrangements to minimise disruption to depot services.
9. Monitor and manage health and safety risks in the existing building until it is vacated.
10. Establish strong project governance, with regular reporting of risks, issues and progress.

Appendix 4

Extract from the Strategic Risk Register – June 2026 – Entries Relating to the Highest Rated 'Red' Risks

Risk 2 - Failure to obtain adequate resources to achieve service objectives

Risk Owner(s)	Inherent Risk	Residual Risk
Deputy Chief Executive (s151 Officer) **Assistant Director Finance Services**	**20**	**16**

Key Controls
- Medium Term Financial Strategy
- Business Strategy
- Economic Regeneration Strategy
- Procurement and Commissioning Strategy
- Capital Strategy and Treasury Management Strategy
- Asset Management Strategy
- Energy Procurement Strategy
- Commercial Strategy
- Land Disposals Policy

Risk Indicators
- Local Government Finance Settlement
- Budget gap
- Fuel and energy prices
- Fees and charges and other income levels
- Failed bids for external funding
- General economic indicators
- Interest rates
- Compliance with grant funding conditions
- Fluctuations in planning application fee income
- Cost of planning appeal decisions

Action Points

1. Review service objectives in response to changing resources.
2. Identify and assess external funding opportunities and ensure that accompanying targets are met.
3. Investigate and develop opportunities for shared service collaboration.
4. Monitor the impact of the collection of Business Rates on the resources available to the Council.
5. Seek the disposal of surplus assets to generate additional capital receipts.

6. Be alert to potential funding opportunities for town centre regeneration initiatives and other capital investment schemes.

7. Identify potential budget savings and maximise income generating opportunities.

8. Maximise income from commercial properties and industrial units.

9. Work collaboratively with Nottinghamshire local authorities to maximise the recovery of business rates income.

10. Produce a new Commercial Strategy that will support the Business Strategy being refreshed as part of the annual budget setting process.

11. Progress with the delivery of the Stapleford Towns Fund project.

12. Progress with the delivery of the Kimberley Mean Business project.

13. Develop a Town Investment Plan for Eastwood.

14. Complete the full recovery of the agreed tram compensation claim against Nottingham City Council.

15. Monitor the impact of inflation and the cost of living on the Council’s service provision and its financial position.

16. Assess the impact of the government’s food waste policies and the potential receipt of New Burdens Funding to meet the additional capital and revenues costs associated with its delivery.

17. Monitor progress made by the DWP on the migration of existing Housing Benefit cases onto Pension Credit.

18. Be mindful of budget risks arising from planning appeal decisions and to report any uplift in costs to GMT at the earliest opportunity.

19. Monitor the funding implications of the increasing scope of Domestic Homicide Reviews being completed by the Community Safety Partnership.

20. Monitor the resourcing impacts arising from transitional arrangements in the run-up to Local Government Reorganisation.

Risk 3a - Failure to deliver a Housing Repairs and Compliance Service which meets Right to Repair and Compliance legislation

Risk Owner(s)	Inherent Risk	Residual Risk
Director of Housing, Environmental Health & Communities / Assistant Director Housing	**25**	**16**

Key Controls

- Membership of Association of Retained Council Housing (ARCH)
- Membership of Chartered Institute of Housing (CIH)
- Housing Strategy
- Housing Revenue Account (HRA) Business Plan
- Repairs Policy
- Void Management Policy
- Garage Management Policy
- Gas Servicing Policy
- Electrical Servicing Policy
- Fire Safety Policy
- Asbestos Policy
- Damp and Mould procedure
- Tenant Satisfaction Measures

Risk Indicators

- Gas Servicing compliance
- Electrical Servicing compliance
- Fire Risk Assessment compliance
- Completion of asbestos surveys
- Number of unallocated jobs
- Number of appointments made and kept
- Number of repairs completed at first visit

Action Points

1. Complete training programmes for new and existing employees.

2. Review and retender clean and clearance contract.

3. Update Lettable Standard for void properties.

4. Review access procedures and use of legal powers.

5. Monitor the position with regards to Housing Disrepair claims and to respond efficiently and effectively to claims being received.

6. Consider the outcome of the consultation on proposed new time limits for repairs and begin to implement changes to meet expectations of proposed legislation.

7. Ensure that the required Fire Risk Assessments for Council properties (including housing dwellings) are completed and to review the outcomes to ensure compliance with the respective regulations.

8. Ensure that the required Asbestos surveys are completed and to review the outcomes in order to ensure compliance with the respective regulations.

9. Monitor the effectiveness of the Recharges Policy to increase the resources available to the HRA.

10. Consider and respond to the outcomes of the Regulator for Social Housing inspection and develop and deliver on any subsequent action plans.

11. Ensure ongoing compliance with new legislation in the Social Housing (Regulation) Act 2023.

12. Implement the agreed establishment structure changes for the Housing Repairs and Compliance Service.

13. Obtain legal advice to progress with ‘no access’ cases relating to compliance works.

Risk 4 - Failure of strategic leisure initiatives

Risk Owner(s)	Inherent Risk	Residual Risk
Director of Environment and Leisure **Leisure Client Officer**	**25**	**20**

Key Controls

- Leisure Facilities Strategy
- Leisure and Culture Service Specification
- Liberty Leisure Limited Business Plan
- External legal advice and support

Risk Indicators

- Results of consultation exercises
- Progress against Business Plans
- Progress against the Capital Programme
- Events impacting upon any Joint Use Agreements
- Visitor numbers at leisure facilities
- Income at leisure facilities
- Financial viability of Liberty Leisure Limited

Action Points

1. Determine future strategy for investment in leisure facilities.

2. Review leisure opportunities arising from major developments.

3. Utilise external legal advice and support as required.

4. Work with Chilwell School to assess leisure facilities options at Chilwell Olympia Sports Centre and report back to Cabinet.

5. Forward plan any necessary capital repair works anticipated at Bramcote Leisure Centre and to submit, consider and profile the financial impact as part of the proposed Capital Programme.

6. Establish a cross-party members group, supported by key officers in leisure, property and regeneration, to identify leisure opportunities in the north of the Borough.

7. Seek funding opportunities to progress with the development of the DH Lawrence Healthy Lifestyle Centre complex on Walker Street in Eastwood

8. Progress with the construction and delivery stages of the new replacement Bramcote Leisure Centre project.

Risk 25 – Failure to respond to the outcomes of Local Government Reorganisation in Nottingham and Nottinghamshire

Risk Owner(s)	Inherent Risk	Residual Risk
Chief Executive / All Chief Officers	**25**	**20**

Key Controls
- Council and Cabinet (Members)
- Leader of the Council and the Chief Executive
- LGR Management and Planning Groups
- Nottinghamshire Finance Officers Association (NFOA)
- External Consultants reports from PWC and CIPFA

Risk Indicators
- Political acceptance or non-acceptance of the LGR option proposals
- Recent MHCLG ministerial letter outlining spending restrictions on local authorities progressing through LGR (Structural Change Order) expected next year, including requirements for approvals for capital expenditure over £1m, recruitment to senior permanent roles and limits on surplus/disposal assets
- Potential pause/slowdown in the delivery key strategic priorities, e.g. new leisure centre, affordable housebuilding, economic regeneration
- Potential challenge in recruiting to vacant senior posts – impact on service delivery and additional agency costs
- Potential to pause/slowdown of investment in ICT, thereby impacting on improvements to efficiency and output productivity.

Action Points

1. Establishment of an internal LGR Implementation Group to plan and co-ordinate the Council's response to LGR.
2. Regular update reports provided to Members through Cabinet and Council.
3. Council LGR intranet webpages developed to continually engage with staff.
4. Staff engagement sessions planned to provide updates on LGR developments.
5. Chief Executive staff weekly briefings to includes regular updates on LGR.
6. Ensure that the Council is fully engaged and represented at a strategic level and on the various programme groups for key workstreams set up to develop the proposed LGR outcomes.