

# Public Document Pack



**North East  
Derbyshire**  
District Council

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Date: Wednesday, 31 August 2022

To: **Members of the Cabinet**

Please attend a meeting of the Cabinet, to be held on **Thursday, 8 September 2022**, at **4.30 pm** in the District Council Offices, 2013 Mill Lane, Wingerworth, Chesterfield, S42 6NG.

The meeting will also be live streamed from the Council's website on its You Tube Channel. Click on the following link if you want to view the meeting:

[North East Derbyshire District Council - YouTube](#)

Yours sincerely

Assistant Director of Governance and Monitoring Officer

<b><u>Cabinet Members</u></b>	
Councillor A Dale (Chair) Councillor M Foster Councillor P Parkin Councillor C Renwick	Councillor C Cupit (Vice-Chair) Councillor J Kenyon Councillor A Powell

**For further information about this meeting please contact the Interim Governance Manager, Alan Maher, 01246 217391**

# **A G E N D A**

## **Public Session**

**1     Apologies for Absence**

**2     Declarations of Interest**

Members are requested to declare the existence and nature of any disclosable pecuniary interest and/or other interest, not already on their register of interests, in any item on the agenda and withdraw from the meeting at the appropriate time.

**3     Minutes of the Last Meeting (Pages 4 - 6)**

To approve as a correct record and the Leader to sign the attached Minutes of the meeting of Cabinet held on Thursday 4 August 2022

**4     Out of Hours Scrutiny Review (Pages 7 - 19)**

Report of Councillor K Tait, Chair of the Communities Scrutiny Committee

**5     ICT and Transformation Scrutiny Review (Pages 20 - 32)**

Report of Councillor S Clough, Chair of the Organisation Scrutiny Committee

**6     Risk Management Strategy 2022 (Pages 33 - 73)**

Report of Councillor P Parkin, Portfolio Holder for Finance

**7     Funding to Voluntary and Community Organisations - Summary of Outcomes for 2021-22 (Pages 74 - 86)**

Report of Councillor A Powell, Portfolio Holder for Leisure, Communities and Communications.

**8     Urgent Items**

To consider any other matter which the Leader is of the opinion should be considered as a matter of urgency, in accordance with the provisions of Statutory Instrument 2012 No 2089, Regulation 11.

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# We speak your language



North East  
Derbyshire  
District Council

Polish

*Mówimy Twoim językiem*

Romanian

*Vorbim limba dumneavoastră*

Urdu

ہم آپ کی زبان بولتے ہیں

Chinese

我们会说你的语言



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please contact the Governance Team at least 72 hours before the meeting starts.

## **CABINET**

### **MINUTES OF MEETING HELD ON THURSDAY, 4 AUGUST 2022**

#### **Present:**

Councillor Alex Dale (Chair) (in the Chair)  
Councillor Charlotte Cupit (Vice-Chair)

Councillor Jeremy Kenyon

#### **Also Present:**

M Broughton	Director of Growth and Assets
J Dethick	Director of Finance and Resources & (Section 151 Officer)
S Sternberg	Assistant Director of Governance and Monitoring Officer
K Drury	Information Engagement & Performance Manager
T Scott	Governance and Scrutiny Officer
A Maher	Interim Governance Manager

#### **CAB/ Apologies for Absence**

**16/2**

**2-23** Apologies for absence had been received from Councillor P Parkin, Councillor A Powell and Councillor C Renwick.

With the agreement of the Chair, Councillor M Foster contributed to the meeting virtually through the electronic Conference Call system. He did not participate in the decisions taken by Cabinet.

#### **CAB/ Declarations of Interest**

**17/2**

**2-23** No declarations of interest were received.

#### **CAB/ Minutes of the Last Meetings**

**18/2**

**2-23** RESOLVED

That the minutes of the meetings held on 7 July 2022 and 21 July 2022 were approved as a true record.

#### **CAB/ Council Plan Targets Performance Update April to June 2022**

**19/2**

**2-23** The report to Cabinet set out the performance achieved against the Council Plan targets. Members noted the significant advances which had been made and the improved performance of the Council and its services. They recalled that the Council Plan performance targets had been developed before the Coronavirus (Covid-19) pandemic and that many of the specific targets did not reflect the changed circumstances in which the Council now operated. Cabinet had made clear that the performance framework should accurately measure real performance in the new circumstances and what improvements had been achieved.

In this context, Members were informed of the proposed changes to target ENV 17 – Measure of the percentage of cases of waste crime (Duty of Care and Fly Tipping) so that it would now focus on the actions taken within communities to help combat and prevent the problem. In particular, the revised target would aim to deliver one high profile print and social media campaign per quarter on an Environmental Enforcement topic, with the aim of influencing behavioural change.

Cabinet discussed the report. Members welcomed the proposed changes to the specific target, which they felt would better reflect the Council's commitment to tackling and preventing fly tipping and other environmental enforcement issues. Members discussed suggestions made by the Audit and Corporate Governance Scrutiny Committee on the target. Cabinet welcomed these and concluded that issues which they raised could be addressed as part of the amended target.

### RESOLVED

(1) That Cabinet noted the Outturns for the Council Plan 2019-2023 Targets.

(2) That Target ENV17 be changed to an externally focused Target, for the reasons set out in the report.

### REASONS FOR DECISION

To inform Members of progress against the Council Plan Targets so that they were aware of specific achievements and any areas of concern.

### OTHER OPTIONS CONSIDERED AND REJECTED

No other options were considered. The report provided an overview of performance against agreed targets.

## **CAB/ Medium Term Financial Plan – Budget Monitoring Report April - June 2022 20/2 (Q1) 2-23**

The report to Cabinet updated Members on the Council's General Fund, the Housing Revenue Account and the Capital Programme for the first quarter of the 2022-23 financial year. The report also provided an update on the Council's Treasury Management activity and in particular, on the loans, repayments and investments which had been made.

Cabinet heard how the General Fund was currently forecast to be underspent, largely as a result of lower employee costs due to staffing vacancies, as well as better than expected progress against the Council's Efficiency Plan. Cabinet also heard that the Housing Revenue Account had remained relatively stable, with only a slight overspend.

Members discussed the report. They heard about the likely budgetary pressures that would face the Council during the year. These included the rising cost of fuel, the cost of energy and the increased employee costs, as a result of the local government staff pay awards. Cabinet considered the implications of these pressures on the Council's financial position and on the District's communities.

Members asked to be asked to be kept fully informed on them.

### RESOLVED

That Cabinet noted the April-June 2022 (Quarter One) budget monitoring position, as set out in the Report and its Appendices.

### REASONS FOR DECISION

The report summarised the financial position of the Council, following the first quarter's budget monitoring exercise for the General Fund, the Housing Revenue Account, Capital Programme and Treasury Management activity.

### OTHER OPTIONS CONSIDERED AND REJECTED

No other options were considered. The report provided monitoring information on the financial position against the Council's previously agreed budget.

**CAB/** **Urgent Items**  
**21/2**  
**2-23** None.

## North East Derbyshire District Council

### Cabinet

08 September 2022

### Out of Hours Scrutiny Review

#### Report of Councillor K Tait – Chair of Communities Scrutiny Committee

Classification: This report is public

Report By: Damon Stanton – Senior Scrutiny Officer

Contact Officer: Damon Stanton – [damon.stanton@ne-derbyshire.gov.uk](mailto:damon.stanton@ne-derbyshire.gov.uk)  
01246 217011

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#### **PURPOSE / SUMMARY**

To ask Cabinet to approve the recommendations of the Communities Scrutiny Committee's Out of Hours Scrutiny Review.

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#### **RECOMMENDATIONS**

1. That the Council does not consider an out of hours service at this present time due to a lack of demand, an unclear remit, costs and sufficient existing arrangements.
2. That the Council considers a dedicated out of hours area on the NEDDC website which outlines key contacts and where issues in which out of hours attention may need to be provided can be reported.

#### **IMPLICATIONS**

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Finance and Risk: Yes ☐ No ☐

Details:

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On Behalf of the Section 151 Officer

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Legal (including Data Protection): Yes ☐ No ☐

Details:

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On Behalf of the Solicitor to the Council

**Staffing:**    Yes ☐        No ☐  
**Details:**

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On behalf of the Head of Paid Service

## DECISION INFORMATION

<b>Decision Information</b>	
<b>Is the decision a Key Decision?</b> A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:  <b>NEDDC:</b> <b>Revenue - £100,000</b> <input type="checkbox"/> <b>Capital - £250,000</b> <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
<b>Is the decision subject to Call-In?</b> (Only Key Decisions are subject to Call-In)	No
<b>District Wards Significantly Affected</b>	None
<b>Consultation:</b> <b>Leader / Deputy Leader</b> <input checked="" type="checkbox"/> <b>Cabinet</b> <input checked="" type="checkbox"/> <b>SMT</b> <input type="checkbox"/> <b>Relevant Service Manager</b> <input checked="" type="checkbox"/> <b>Members</b> <input type="checkbox"/> <b>Public</b> <input type="checkbox"/> <b>Other</b> <input type="checkbox"/>	Yes  Details:

**Links to Council Plan priorities, including Climate Change, Equalities, and Economics and Health implications.**



## REPORT DETAILS

### 1 **Background** *(reasons for bringing the report)*

- 1.1 The Communities Scrutiny Committee agreed to undertake a review into the establishment of an out of hours service at its meeting on 02 July 2021.
- 1.2 The review aimed to:
- Understand any current provisions of an out of hours service that the Council currently provides;
  - Investigate the benefits and potential issues of introducing an out of hours service;
  - Establish whether there is demand from our residents; and
  - Identify any improvements that could be made.
- 1.3 The Review Panel met on six occasions to consider the scope of the review, key issues they wanted to discuss, and key officers they wished to interview. Evidence was gathered in a variety of ways including written sources and interviews with a range of stakeholders.
- 1.4 The Committee initially interviewed the Community Safety Enforcement Manager at Bolsover District Council who gave an overview of the service that the Community Enforcement Rangers (formerly known as CAN Rangers) provided, as well as the level of demand, and the issues they helped to resolve

Members then subsequently interviewed officers from NEDDC who set out the remit of their service and how it dealt with out of hours calls. This was to understand the out of hours provisions that the Council provided, how it compared with the service offered by Community Enforcement Rangers at BDC, and assess if there was demand from residents for an out of hours service at the Council. The full report attached at **Appendix 1** sets out in more detail the evidence gathered and a synopsis of the views expressed.

### 2. **Details of Proposal or Information**

- 2.1 The recommendations are:

That the Council:

- Does not consider an out of hours service at this present time due to a lack of demand, an unclear remit, costs and sufficient existing arrangements.
- Considers a dedicated out of hours area on the NEDDC website which outlines key contacts and where issues in which out of hours attention may need to be provided can be reported.

### 3 **Reasons for Recommendation**

- 3.1 The Review Panel heard from a range of stakeholders during the review process. The review identified a number of benefits in establishing an out of

hours service at NEDDC. There was, however, a number of issues to consider which included remit, cost, and demand. There was a consensus that existing arrangements may be sufficient for residents in the District.

#### **4      Alternative Options and Reasons for Rejection**

4.1      N/A

#### **DOCUMENT INFORMATION**

<b>Appendix No</b>	<b>Title</b>
1	Out of Hours Scrutiny Review
<b>Background Papers</b> (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet you must provide copies of the background papers)	

# **NORTH EAST DERBYSHIRE DISTRICT COUNCIL**



**North East  
Derbyshire**  
District Council

## **OVERVIEW AND SCRUTINY**

### **OUT OF HOURS SERVICE**

**MAY 2022**

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## Chair's Foreword

I am pleased to present this report on behalf of the Communities Scrutiny Committee. These are the findings, conclusions and recommendations from its review into the potential establishment of an out of hours service at North East Derbyshire District Council.

The Review investigated the current out of hours provisions provided by the Council, the benefits and potential issues of establishing an out of hours service, and whether there was suitable demand by residents for an established out of hours team.

During the review period, the Committee held a number of interviews at which it heard from a range of stakeholders. I would like to thank them for their contribution to the review, and also thank the Senior Scrutiny Officer for his support of the Committee's work, and Democratic Services for the help they provided.

*Councillor Kevin Tait*  
*Chair of Communities Scrutiny Committee*

## Review Panel

The review panel comprised the following members:

Councillor K Tait	-	(Conservative) – Review Panel Chair
Councillor J Birkin	-	(Labour)
Councillor T Lacey	-	(Labour)
Councillor B Lewis	-	(Conservative)
Councillor L Deighton	-	(Conservative)
Councillor R Hall	-	(Conservative)
Councillor P Windley	-	(Liberal Democrat)
Councillor J Lilley	-	(Labour)
Councillor P Wheelhouse	-	(Conservative)

## **1. Recommendations**

That the Council:

- 1.1 Does not consider an out of hours service at this present time due to a lack of demand, an unclear remit, costs and sufficient existing arrangements.
- 1.2 Considers a dedicated out of hours area on the NEDDC website which outlines key contacts and where issues in which out of hours attention may need to be provided can be reported.

## **2. Introduction**

- 2.1 At its meeting on 02 July 2021 the Communities Scrutiny Committee agreed to undertake a review into the establishment of an out of hours service.
- 2.2 The review panel thought that a review be prudent to assess the demand from residents for the service and how a service could work.

## **3. Scope of Review**

- 3.1 The review aimed to:
  - Understand any current provision of an out of hours service that the Council currently provides;
  - Investigate the benefits and potential issues of introducing an out of hours service;
  - Establish whether there is demand from our residents; and
  - Identify any improvements that could be made.

## **4. Method of Review**

- 4.1 The review panel met on six occasions to consider the scope of the review, key issues they wanted to discuss and key people they wished to interview.
- 4.2 Evidence was gathered in a variety of ways including written sources and interviews with a range of stakeholders.
- 4.3 The Committee initially interviewed the Community Safety Enforcement Manager at Bolsover District Council who gave an overview of the service that the Community Enforcement Rangers (formerly known as CAN Rangers) provided, as well as the level of demand and main issues that they helped to resolve.

Subsequently, Members then interviewed officers from NEDDC who set out the remit of their service and how it dealt with out of hours calls. This was to

understand the out of hours provisions that the Council provided, how it compared with the service offered by the CE Rangers, and assess if there was demand from residents for an out of hours service at the Council.

## **5. Evidence and Research**

5.1 A number of documents and evidence were provided to the review panel for consideration. Details are provided below:

- Scene Setting Presentation by the Team Manager – Environmental Enforcement and Community Safety Enforcement Manager (Bolsover District Council).
- Service requests for the Community Enforcement Rangers at Bolsover District Council.
- Reactive service requests for Officers from the Environmental Health Team, Streetscene, Planning, Rykneld Homes and the Community Safety Teams.
- Interviews with officers and the Portfolio Holder for Environmental Services.

## **6. Key Findings**

### **6.1 Strengths/Observations**

6.1.1 The Committee heard from the Team Manager – Environmental Enforcement who clarified the existing out of hours provisions provided by Environmental Health at NEDDC which included environmental crime, environmental protection, housing and public health, licensing, and commercial. It was generally reactive, dependant on staff availability and based on demand. The officer informed the Committee that the service had received over 5000 requests in 2021 but it was not clear how many of those would have benefited from an out of hours arrangement.

This was contrasted with the Community Enforcement Rangers at Bolsover District Council who provided a service to the public of Bolsover between the hours of 8am until midnight – 7 days a week, 365 days a year. The Rangers assisted with a wide ranging number of issues including anti-social behaviour, environmental crime, crime prevention, out of hours repairs and emergencies (housing), and PSPO enforcement.

6.1.2 Upon contrasting the two services, Members agreed that there were certain benefits to establishing an out of hours service. It was a deterrent so residents were less likely to commit offences; it was easier to gather evidence for a range of offences which could be used for enforcement action (such as visual/audio evidence); it resulted in better customer service; it reduced demand and workload on staff during their working day; and it eased pressure on other departments. For example, the Environmental Health Manager and the Environmental Enforcement Team

Manager both informed the Committee that officers were currently not able to gather immediate evidence for some out of hours complaints such as noise complaints, and instead relied on diaries which were completed by the complainant to trigger an investigation. Residents could potentially view this as a poorer service when compared to other local authorities who provided officers who could immediately investigate when the alleged offences occur, as well as prevent escalation and bring a swift resolution to conflict.

6.1.3 The Review Panel heard that the cost of a service similar to the one at Bolsover District Council could cost around £270,000 per annum, or a more targeted and focused service that operated at peak times could cost around £60,000 if it was within the remit of Environmental Health. It could focus on low level anti-social behaviour, environmental crime, planning enforcement, and community safety issues. Consideration should also be given to the fact that an out of hours service could make savings to other departments and therefore this mitigated the annual budget. It could also be started as a small trial service.

6.1.4 Members agreed that a service which had a community focus may be of benefit to residents ensuring that the District was safer and prevented low level anti-social behaviour. The Committee heard from the Head of Neighbourhoods and the Head of Corporate Services at Rykneld Homes who explained that although Rykneld Homes provided out of hours provisions for anti-social behaviour, incidents that occurred in areas not managed by Rykneld was referred to the Community Safety Partnership and/or police.

The Community Safety Manager advised that there were no out of hours provisions for incidents of anti-social behaviour for residents who were not Rykneld tenants, and emergencies or any criminality must be reported to the Police. If the behaviour was not of a significant emergency then residents could report this online and this would be investigated during normal working hours. Over the past 14 months, there had been 104 incidents which had been responded to, investigated, or referred to other organisations for assistance by the Community Safety Partnership. If the service had a remit for anti-social behaviour, it could be partly funded through the HRA which would help reduce the overall cost.

The CE Rangers at BDC also worked well with external partners, including the police, and that this had helped prevent anti-social behaviour. They had also delivered other community benefits during the pandemic when assisting other Council departments to deliver vital functions and essential services.



## **Areas for Improvement/Observations**

- 6.2.1 The Review Panel heard from a number of officers, all of whom suggested that an out of hours service at NEDDC was not needed and that out of hours work was generally of low demand.

The Head of Streetscene informed Members that in the past three months there had been 0 requests for out of hours work. The service had arrangements in place for emergencies such as flooding and drug paraphernalia and staff had flexibility clauses in their contracts if they were required to attend a call out. It was stated that there was generally a low frequency of calls and that the service operated well within the current arrangements.

The Committee heard from the Environmental Health Service Manager who advised that out of hours work within Environmental Health was generally of low demand and coped well within the existing system. There was a low frequency of calls for issues that required an out of hours investigation such as noise nuisance, and it was very rare that immediate enforcement action was needed or could be taken. If there was an out of hours visit required, it could be accommodated with the use of the flexi scheme for staff. The majority of out of hours work for Environmental Health was scheduled work such as food and premises inspections. Members noted that Rotherham Borough Council had scaled back their out of hours service due to a lack of demand.

The Principal Planning Enforcement Officer advised the Review Panel that an out of hours service was not needed for planning enforcement. In the year 2020 there had been 229 enforcement enquiries, and in 2021 there had been 315. In both years there had only been 3 that required an out of hours inspection, and that this could easily be accommodated within the current system using the flexi-scheme for staff.

- 6.2.2 The Head of Neighbourhoods and the Head of Corporate Services at Rykneld Homes attended a meeting to discuss the out of hours provisions for Rykneld tenants. The Review Panel heard that out of hours support was available which covered emergency repairs and anti-social behaviour, as well as a community alarm service for vulnerable tenants. These services typically received a high number of calls, particularly in winter months.
- 6.2.3 The Committee noted that there were potentially high costs associated with establishing an out of hours service, with the service at Bolsover District Council costing around £270,000 per year. This was, however, due its large remit and 7 day availability.

A service at NEDDC which was more targeted could cost between £50,000 to £60,000 if it was established within Environmental Health through new posts or paid overtime for existing staff.

- 6.2.4 The Review Panel agreed that there would be difficulty establishing a clear remit for the service. Many services which could operate out of hours either had low demand or sufficient existing arrangements. There would also be difficulties in establishing how it would operate, and this would be dependent on how much the Council wished to invest.

It could operate as:

- A service that operated 7 days a week;
- A focused service that operated solely on busy periods such as bank holidays and weekends and/or in the most populated areas in the District.

- 6.2.5 Evidence provided by the Community Safety Enforcement Manager (BDC) outlined that the bulk of the CE Rangers' work involved either environmental issues (30%), housing related issues (29%) or anti-social behaviour (22%). Upon interviewing service managers at NEDDC, it was established that housing related issues and anti-social behaviour were covered through out of hours provisions provided by Rykneld Homes for Rykneld tenants, and that environmental issues were covered by Environmental Health and Streetscene in which there was low demand for out of hours calls and could be managed through existing arrangements.

The Review Panel agreed that if an out of hours service was established for NEDDC, its largest area of work would likely include anti-social behaviour for non Rykneld tenants, but questioned whether demand would be sufficient or whether it was the role of the District Council to provide this. Other areas of work would likely include environmental crime and planning enforcement, however as previously concluded, out of hours demand for this was low and that current arrangements were sufficient.

- 6.2.6 Members agreed that an area on the website that pulled all of the information together for reporting issues that may require out of hours attention could be of benefit to residents. This could outline all the key contacts and out of hours provisions provided by the Council or partners for common issues such as anti-social behaviour, environmental crime, planning enforcement and parking. This would simplify the process and centralise key information.

## **7. Conclusions**

- 7.1 The Review Panel heard from a range of stakeholders during the review process. The review identified a number of benefits in establishing an out of hours service at NEDDC.
- 7.2 There was, however, a number of issues to consider which included remit, cost, and demand. There was a consensus that existing arrangements may be sufficient for residents in the District.

## **Appendix A**

### **Stakeholders Engaged During the Review**

T Rush	-	Team Manager – Environmental Enforcement
M Liddy	-	Community Safety Enforcement Manager (BDC)
M Finn	-	Environmental Health Manager
S Brunt	-	Head of Streetscene
H Summers	-	Head of Neighbourhoods (Rykneld Homes)
L Gebbie	-	Head of Corporate Services (Rykneld Homes)
J Hawley	-	Principal Planning Enforcement Officer
Cllr C Cupit	-	Portfolio Holder for Environmental Services
F Green	-	Community Safety Manager

## North East Derbyshire District Council

### Cabinet

08 September 2022

### ICT & Transformation Scrutiny Review

#### Report of Councillor S Clough – Chair of Organisation Scrutiny Committee

Classification: This report is public

Report By: Damon Stanton – Senior Scrutiny Officer

Contact Officer: Damon Stanton – 01246 217011 / [damon.stanton@ne-derbyshire.gov.uk](mailto:damon.stanton@ne-derbyshire.gov.uk)

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#### **PURPOSE / SUMMARY**

To ask Cabinet to approve the recommendations of the Organisation Scrutiny Committee's review into ICT & Transformation.

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#### **RECOMMENDATIONS**

That the Council:

1. Considers a dedicated and centralised budget for digital transformation;
2. Considers a cloud based system for staff IT such as Microsoft 365 which would bring it in line with other Local Authorities;
3. Considers a single 'sign on' system to streamline and simplify online services; and
4. Considers a partnership with Citizens Advice to potentially use the Mill Lane Council Chamber as a Community Hub.

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#### **IMPLICATIONS**

Finance and Risk: Yes ☐ No ☐

##### **Details:**

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On Behalf of the Section 151 Officer

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**Legal (including Data Protection):**

Yes ☐

No ☐

**Details:**

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On Behalf of the Solicitor to the Council

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**Staffing:**

Yes ☐

No ☐

**Details:**

This will be determined if Cabinet decide to accept the Scrutiny Review recommendations as part of the Lead Officer response.

On behalf of the Head of Paid Service

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## DECISION INFORMATION

<b>Decision Information</b>	
<b>Is the decision a Key Decision?</b> A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:  <b>NEDDC:</b> <b>Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/></b> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
<b>Is the decision subject to Call-In?</b> (Only Key Decisions are subject to Call-In)	No
<b>District Wards Significantly Affected</b>	None
<b>Consultation:</b> <b>Leader / Deputy Leader <input type="checkbox"/> Cabinet <input checked="" type="checkbox"/></b> <b>SMT <input type="checkbox"/> Relevant Service Manager <input type="checkbox"/></b> <b>Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/></b>	Yes  Details:

## REPORT DETAILS

### 1 **Background** *(reasons for bringing the report)*

1.1 At its meeting on 06 July 2021, the Organisation Scrutiny Committee agreed to undertake a review on ICT & Transformation. The Review Panel felt as though the review was timely given the accelerated move towards digital services following the pandemic.

1.2 The review aimed to:-

- Review what services were currently available digitally;
- Review how services had been implemented and what measures the Council has taken to ensure customers have access to services;
- Ensure customers' needs were being considered in the digital transformation of our services;
- Review the impact on IT through the pandemic and how this affected service areas and what adjustments were implemented to meet the new environment needs; and
- Identify any further improvements that could be made.

1.3 The Review Panel met on six occasions to consider the scope of review, key issues they wanted to discuss and key people they wished to interview. Evidence was gathered in a variety of ways including written sources, surveys and interviews with a range of stakeholders. The Committee received a scene setting presentation from the Portfolio Holder for Economy, Transformation and Climate Change, alongside the Director of Transformation. Members also interviewed officers including the Revenues and Benefits Manager, the Strategic Partnership Co-ordinator, the Environmental Health Services Manager, and the Projects and Development Manager. The full report attached at **Appendix 1** sets out in more detail the evidence gathered and a synopsis of the views expressed.

### 2. **Details of Proposal or Information**

2.1 The recommendations are:

That the Council:

- Considers a dedicated and centralised budget for Digital Transformation;
- Considers a cloud based system for staff IT such as Microsoft 365 which would bring it in line with other local authorities;
- Considers a single 'sign on' system to streamline and simplify online services; and

- Considers a partnership with Citizens Advice to potentially use the Mill Lane Council Chamber as a 'community hub' venue.

### **3 Reasons for Recommendation**

- 3.1 The Review Panel heard from a range of stakeholders during the review process. The review identified a number of strengths in regards to how the Council was implementing its digital transformation strategy, whilst continuing to support the needs of residents and staff and ensuring continued access to services for all. Members were impressed with the scale of transformation that had taken place. There was, however, some areas for improvement involving provisions for staff IT, streamlining and simplifying online services, and upskilling residents so that they had the skills and confidence to use digital services.

### **4 Alternative Options and Reasons for Rejection**

- 4.1 NA

#### **DOCUMENT INFORMATION**

<b>Appendix No</b>	<b>Title</b>
1	ICT & Transformation Scrutiny Review
<b>Background Papers</b> (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet you must provide copies of the background papers)	

# **NORTH EAST DERBYSHIRE DISTRICT COUNCIL**



**North East  
Derbyshire**  
District Council

## **OVERVIEW AND SCRUTINY**

### **ICT & TRANSFORMATION**

**MAY 2022**



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## Chair's Foreword

I am delighted to present this report describing the work of the Organisation Scrutiny Committee. It details the findings, conclusions and recommendations of the Committee from its scrutiny review into ICT & Transformation.

The Committee felt that a review was timely given the pandemic's impact on digital services and how this was affecting our residents and staff. I, like other Members, have been impressed at the scale of transformation to our digital services which has taken place at the Council to improve our services whilst continuing to support our customers.

I would like to take this opportunity to thank the Committee for their input and also the stakeholders who helped inform the review. I would also like to thank the Senior Scrutiny Officer for his support of the Committee's work and Democratic Services for the help they have provided.

*Councillor Steven Clough*  
*Chair of Organisation Scrutiny Committee*

## Review Panel

The review panel comprised the following members:

Councillor S Clough	-	(Conservative) – Review Panel Chair
Councillor J Birkin	-	(Labour)
Councillor M Jones	-	(Labour)
Councillor D Drabble	-	(Conservative)
Councillor H Liggett	-	(Conservative)
Councillor D Ruff	-	(Conservative)
Councillor J Funnell	-	(Independent)
Councillor P Kerry	-	(Labour)
Councillor P Wright	-	(Conservative)

## **1. Recommendations**

That the Council:

- 1.1 Considers a dedicated and centralised budget for Digital Transformation;
- 1.2 Considers a cloud based system for staff IT such as Microsoft 365 which would bring it in line with other local authorities;
- 1.3 Considers a single 'sign on' system to streamline and simplify online services; and
- 1.4 Considers a partnership with Citizens Advice to potentially use the Mill Lane Council Chamber as a 'community hub' venue.

## **2. Introduction**

- 2.1 At its meeting on 06 July 2021, the Organisation Scrutiny Committee agreed to undertake a review on ICT and Transformation.
- 2.2 The review panel felt as though the review was timely given the accelerated move towards full digital services following the pandemic.
- 2.3 The review sought to focus on the needs of the customer, specifically residents and staff who were increasingly using digital services.

## **3. Scope of Review**

- 3.1 The review aimed to:
  - Review what services were currently available digitally;
  - Review how services had been implemented and what measures the Council has taken to ensure customers have access to services;
  - Ensure customers' needs were being considered in the digital transformation of our services;
  - Review the impact on IT through the pandemic and how this affected service areas and what adjustments were implemented to meet the new environment needs; and
  - Identify any further improvements that could be made.

## **4. Method of Review**

- 4.1 The review panel met on six occasions to consider the scope of the review, key issues they wanted to discuss and key people they wished to interview.
- 4.2 Evidence was gathered in a variety of ways including written sources, surveys and interviews with a range of stakeholders.

## **5. Evidence and Research**

5.1 A number of documents and evidence were provided to the review panel for consideration. Details are provided below:

- Scene Setting Presentation by the Portfolio Holder for Leisure, Transformation and Climate Change, and the Director of Transformation.
- NEDDC Digital Services Survey 2020.
- NEDDC Digital Transformation Strategy.
- NEDDC Citizens' Panel Summary Report Nov 2021
- Customer data and feedback from NEDDC services.
- Data provided by Citizens Advice North East Derbyshire and Mid Mercia CA.
- Interviews with internal officers and external partners.

## **6. Key Findings**

### **6.1 Strengths/Observations**

6.1.1 The Review Panel noted that digital transformation was a broad area of work which spanned a different number of departments and directly impacted residents, staff and businesses. It presented an opportunity to improve Council services whilst reducing costs. The Committee heard that the Council had been able to operate more effectively throughout the pandemic due to the existing digital infrastructure that had been put in place, and that the pandemic had accelerated the Council's digital transformation.

6.1.2 Members interviewed a number of service managers including the Revenues and Benefits Manager, the Environmental Health Manager, the Communications and Marketing Manager, the Projects Development Manager, and the Customer Services Manager. All were making good progress on digital transformation whilst ensuring that the needs of their customers were met.

6.1.3 The Projects and Development Manager outlined the progress made towards digital services, and Members noted how the Council Plan target to ensure that 50% of transactions were being made through digital channels was currently being met. In Q1 of 2021/22 50.48% of transactions were conducted digitally. The Review Panel also heard about the in-house development team who had contributed to numerous digital projects, and in some circumstances had saved the Council significant amounts of money when compared with outsourcing.

A wide variety of digital projects had and were taking place which primarily focused on either self-service (such as pest control or reporting a missing bin collection) or transactional (such as Council Tax or rent payment) arrangements through digital means. These digital projects were being expanded across all service areas, and the service managers interviewed

gave an extensive overview of digital transformation taking place in their service areas. This ranged from mobile inspection platforms and online covid certification in Environmental Health, to applications for housing benefit and council tax reductions online, to webchat support from customer services and cashless payments at the District Council Offices.

- 6.1.4 The Review Panel agreed that the focus was largely on 'channel shifting' and encouraging users to use digital services, whilst maintaining traditional forms of communication. It was stated, for example, that main forms of communication such as telephone and face-to-face contact would remain in place with support also given to residents who struggled with digital technology. For example, universal credit was entirely digital, and the Council provided assistance to users who had difficulties with their applications. Customer Services also played a significant role in continuing to support residents regardless of the customers' preferred method of communication. The Committee heard of numerous examples in which the Council had supported vulnerable residents' access digital services aided by the self-help PC in reception and staff.

The Digital Services Survey outlined that only 6 out of 130 residents surveyed would not use digital services, and that this number was continuing to decrease as the Council promoted its digital services and residents became more confident with their digital skills, particularly in older residents.

- 6.1.5 The Committee interviewed Gillian Sladen, CEO of Citizens Advice, and Liz Holt, Development Manager at Citizens Advice Mid Mercia in regards to the Digital Connect Project. The project was funded through the Healthy North East Derbyshire (HNED) Partnership and delivered by Citizens Advice and Mid Mercia CA. The project supported residents over the age of 50 throughout North East Derbyshire through a person centred 1:1 approach which has helped level up and strengthen skills in the community, reduce digital exclusion, reduced social isolation and has improved mental health.

Members heard that 131 face-to-face sessions had been conducted, and that feedback from the project suggested that 100% of clients felt more confident after the sessions and that 89% of clients had expressed reduced social isolation and increased connectivity. The service included a tablet loan service and was looking to expand their community based venues, with plans to open up venues at Killamarsh, Dronfield and Holmewood.

The Committee was impressed with the project and how it was helping residents in the District and discussed a potential partnership so that the Council could promote the project more widely. This included customer services referring residents to the project, and the use of the Council Chamber as a community based venue for hosting 1:1 sessions. Members noted that it had already been promoted in the Council's 'The News' publication.

- 6.1.6 The Improvement Officer informed the Committee about how the Authority was constantly improving services and making them more digitally accessible. Members heard about the reasonable adjustments and hate crime forms

which were now available online, as well as the new website being 92% accessible with a reading age of 11. The Authority had also signed up to the BSL Charter and had a video relay service with a BSL interpreter that residents were able to utilise.

- 6.1.7 The Communications Marketing and Design Manager also discussed 'how to' videos which were to be published on YouTube. The videos were instructional videos on how residents could access digital services. Members agreed that this could be a useful tool for residents and its expansion considered and included on other traditional methods of communication such as council tax leaflets.
- 6.1.8 The Committee was updated on the 'do it yourself' section which was available and used by staff. This was constantly being updated with a wide variety of information and services that could be done by staff members, as well as information provided on the extranet.

### **Areas for Improvement/Observations**

- 6.2.1 The Review Panel were informed by multiple stakeholders that there was no central budget for digital transformation, and digital projects were instead funded through individual departmental budgets or the need to bid for capital funding. Members expressed concern that given the pace of digital transformation at the Authority, this would not allow it to accurately reflect the costs involved. The Council could consider a centralised and dedicated budget which would be easier to manage and ensure costs are minimised through identifying economies of scale, along with the necessity of need/following alternative avenues.
- 6.2.2 The Committee heard about current IT provisions for staff at NEDDC, as well as comparisons with other local authorities. Whilst Members agreed that the current provisions had generally worked well for staff throughout the pandemic, a cloud based or centralised communication system such as Microsoft 365 would bring the Council in-line with others and be more suited to the agile working policy that it had introduced.
- 6.2.3 A 'single sign-on system' which gave residents complete access by linking services such as revenues and the Council's self-service could greatly improve the customer experience by streamlining the Council's digital services to residents and making them available all in one place. This could further encourage those who were hesitant towards digitalisation by simplifying the process and making it easier to help those who struggled. Members did, however, note the high costs involved with such a process, but agreed that the Council could see it as an investment to improve uptake on digital services.
- 6.2.4 The evidence given by service managers pointed towards high costs that could be upwards of £26,000 in some cases. The Review Panel considered this as a clear barrier to success, but noted that savings could be made by

expanding the in-house development team as opposed to outsourcing third party forms.

- 6.2.5 Members agreed that significant challenges remained in reaching out to residents who were hesitant in accessing digital services. The Committee heard from a number of service managers who were promoting their services adequately, mainly through the website but also in bills, leaflets and newsletters. The Digital Services Survey 2020 outlined that for those who did not use the internet, the main reasons for not using digital based services were a lack of skills (62%) and a lack of confidence (41%), despite the vast majority of those surveyed having access to the internet (90% of those surveyed). This suggests that regardless of promotional activities, there was a significant number of residents who would not use digital services and would continue to use traditional methods unless they were willing to engage in training. Members therefore acknowledged that future progress on increasing the use of digital channels could slow down.

In light of this, the Review Panel considered the digital connect project as an important area of work which could address the issues some residents were experiencing surrounding a lack of confidence and skills.

Members were given an overview of the project, and as previously mentioned its aims were to address some of the issues that the Digital Skills Survey had highlighted. The Committee was impressed with the project and felt that it could be promoted more widely by the Authority. The project was cost neutral to the Council and funded externally through the Healthy North East Derbyshire (HNED) Partnership. This funding, however, was time limited.

There was a consensus that the Council could assist by offering the Council Chamber at Mill Lane as a community hub venue, as well as it being a point of referral for customer services who had come across a customer who was lacking IT skills. The Authority could also consider a similar project in the future.

## **7. Conclusions**

- 7.1 The Review Panel heard from a range of stakeholders during the review process. The review identified a number of strengths in regards to how the Council was implementing its digital transformation strategy, whilst continuing to support the needs of residents and staff and ensuring continued access to services for all. Members were impressed with the scale of transformation that had taken place.
- 7.2 There was, however, some areas for improvement involving provisions for staff IT, streamlining and simplifying online services, and upskilling residents so that they had the skills and confidence to use digital services.

## **Appendix A**

### **Stakeholders Engaged During the Review**

- **Councillor Jeremy Kenyon – Portfolio Holder for Transformation, Leisure and Climate Change**
- **Matt Broughton – Director of Transformation**
- **Kristen O Gorman – Projects and Development Manager**
- **Rachel Pope – Customer Services Manager**
- **Matt Finn – Environmental Health Services Manager**
- **Andrew Gascoigne – Revenues and Benefits Manager**
- **David Vickers – Communications Marketing and Design Manager**
- **Amar Bashir – Improvement Officer**
- **Steve Lee – Strategic Partnership Co-ordinator**
- **Gillian Sladen – CEO of Citizens Advice North East Derbyshire**
- **Liz Holt – Development Manager at Citizens Advice Mid Mercia**



**North East Derbyshire District Council**

**Cabinet**

**8 September 2022**

**Risk Management Strategy 2022**

**Report of Councillor Parkin, Portfolio Holder for Finance and Chair of the Risk Management Group**

**Classification:** This report is public

**Report By:** Lee Hickin – Managing Director

**Contact Officer:** Lee Hickin – Managing Director

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**PURPOSE / SUMMARY**

To update Cabinet on the review of the current Risk Management Strategy and to seek approval of the Council's new/reviewed Risk Management Strategy and Action Plan.

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**RECOMMENDATIONS**

1. That Cabinet approve the new/reviewed Risk Management Strategy and Action Plan.

Approved by the Portfolio Holder – Cllr Paul Parkin

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**IMPLICATIONS**

**Finance and Risk:** Yes ☒ No ☐

**Details:**

There are no specific financial implications arising out of this report.

Risk Management Issues are covered throughout the body of the main report.

On Behalf of the Section 151 Officer

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**Legal (including Data Protection):** Yes ☒ No ☐

**Details:**

This strategy will help to satisfy the requirements of the Chartered Institute of Public Finance and Accountancy (CIPFA) Framework on Corporate Governance which

requires the Council to make public assurance statements to stakeholders on, amongst other areas, the authority's risk management strategy, process and framework.

On Behalf of the Solicitor to the Council

**Staffing:** Yes ☐ No ☒

**Details:**

There are no significant direct additional HR implications arising from the proposals.

On behalf of the Head of Paid Service

## DECISION INFORMATION

Decision Information	
<b>Is the decision a Key Decision?</b> A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:  <b>NEDDC:</b> <b>Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/></b> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
<b>Is the decision subject to Call-In?</b> (Only Key Decisions are subject to Call-In)	No
<b>District Wards Significantly Affected</b>	All
<b>Consultation:</b> <b>Leader / Deputy Leader <input checked="" type="checkbox"/> Cabinet <input type="checkbox"/></b> <b>SMT <input checked="" type="checkbox"/> Relevant Service Manager <input type="checkbox"/></b> <b>Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/></b>	Yes

**Links to Council Plan priorities, including Climate Change, Equalities, and Economics and Health implications.**

**Council Plan Aim: Our Services – Objective 1:** Transforming how our Council works

## **REPORT DETAILS**

### **1 Background**

- 1.1 The risks facing the Council are many and varied and the approach to managing those risks should be applied within decision making processes. Risks will change over time so need continual monitoring, the approach to risk management should also be continuous with a structured review process. A comprehensive review of the Council's risk management framework took place in 2020 following which the Risk Management Strategy 2020 was approved and adopted to ensure that the continued effective and systematic management of risk was achieved.
- 1.2 The Strategy set out the mechanisms and processes for both the maintenance and development of Risk Management within the Council's operational framework. The Strategy detailed the need for the Council to be risk aware rather than risk averse as the decision whether to accept risk should be taken in light of the potential benefits of a proposed course of action.
- 1.3 The Strategy also detailed the need to establish a 'Risk Management Group'. This has been in place for the past two years, it is elected Member led and includes the Councils Senior Risk Officer (SRO), Senior Information Risk Officer (SIRO), S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group provides a comprehensive oversight of risk throughout the organisation and is the conduit to and from the whole organisation in terms of risk management.
- 1.4 The group meets 'regularly' and 'consistently' to oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It is responsible for risk management reporting to stakeholder groups across the Council, including the Audit and Corporate Governance Committee and supports the production of the Annual Governance Statement. The group leads on the development and review of all risk related policies, plans and strategies across the Council and oversees and champions the implementation of the Risk Management Strategy and associated action plan including training 'relating to' and the 'embedding of' an effective risk management culture.

### **2. Details of Proposal or Information**

- 2.1 In-line with best practice, the strategy has now been reviewed. Much of the framework and processes remain reassuringly unchanged, however the key amendments and changes are summarised below;
  - The opening section – whilst this does not intend to detail every change in the environment that we operate in, it is important to set the scene and demonstrate the changing risk environment to the reader, a reassurance that we as an organisation recognise the changing world which in-turn reinforces the requirement to review every two years – an action identified in the action plan

- Risk Appetite – this section goes into more detail, clearly articulating the ‘measures’ when we consider the organisations risk appetite – this section will be read in conjunction with Appendix 1 which provides context and descriptions against which we measure ourselves
- Action Plan - this is updated to reflect the continual improvement requirements identified – this is not to be confused with our risk registers which contain specific actions within them to deal with the specific risk areas

### **3 Reasons for Recommendation**

3.1 The Council is committed to maintaining, developing and actively monitoring the operation of a formal and systemic approach to Risk Management. The key objectives of this Strategy meet that commitment, these are detailed below;

- To operate in line with best practice and update our approach to reflect evolving best practice
- To protect service delivery arrangements, the reputation and the financial position of the Council by managing risk effectively
- To maintain and strengthen robust managerial and governance arrangements within the Council
- To promote risk awareness, risk intelligence and risk management throughout the Council
- To ensure programme, project and partnership risk is effectively managed
- To ensure there are clear roles, responsibility and accountability for risk management within the Council
- To ensure the effective identification of risks relating to service delivery, a new project, new initiative, external origins or circumstance to ensure fully informed decisions are made and measures to mitigate or exploit are in place
- To ensure that the Council has a fully informed level of awareness of its overall risk exposure

### **4 Alternative Options and Reasons for Rejection**

4.1 Under relevant good practice and to facilitate the development of robust managerial arrangements the Council is required to have in place a robust risk management framework - the alternative of not providing this is therefore rejected.

## **DOCUMENT INFORMATION**

Appendix No	Title
1	Draft Risk Management Strategy 2022

<b>Background Papers</b> (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet you must provide copies of the background papers)	



North East  
Derbyshire  
District Council

# Risk Management Strategy 2022

*Managing the threats,  
maximising the  
opportunities*



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# The Ever-changing Risk Environment

Since the adoption of the Council's previous Risk Management Strategy in 2020, the world around us has changed significantly with many new and emerging risks now being coupled with pre-existing risks and considerations. The coronavirus outbreak in particular has disrupted the Council and wider communities, with the organisation facing many pressures and challenges along with the many threats and opportunities in terms of returning to normal.

During this changing landscape, whilst some of the challenges have been about ensuring the basics are in place to continue to operate or resume service delivery - the basic 'practicalities' of organisational operation - this changing world has not necessarily meant a return to old ways of doing business. This changing situation has created an opportunity for the Council to re-engage with its teams and re-imagine itself as part of the recovery process.

To some degree the coronavirus pandemic has fast-tracked changes to the Council's usual working practices - changes that have come about in a matter of weeks that may otherwise have taken years to have happened. The Council along with many other organisations moved rapidly to a virtual and remote working environment with a reassuring demonstration of adaptability, versatility and flexibility. The Council recognised that these changes brought about by adversity, could become part of the 'new normal' for the Council's operating framework - to that end, in March 2021, the Council adopted its Agile Working Policy.

Since the adoption of the policy, the Council is now able to cast a much wider net in terms of recruitment. With a potential hybrid approach to the way the organisation operates with fewer fixed office days being necessary, potential travel distances to work become perhaps more tolerable if the need to be physically present is far less demanding. Whilst the Agile Working Policy does improve the organisation's recruitment potential, it has been adopted at a time when there appears to be a growing shortage of available applicants in several key services - both locally and further afield.

Whilst the integration of technology has made a more agile approach to work possible presenting many opportunities in terms of how the Council operates, this approach does not come without risk. The increase in remote working, whilst presenting great benefit, is also creating new threat exposures, for example; the expanding number of remote devices creates an increased vulnerability to the Council's network, the Council needs to be aware and vigilant against cyber-attacks and understand the results of poor digital security.

A critical element of both the Council's response to the crisis and the recovery process following the initial immediacy of reacting to the Covid-19 pandemic, has been and will continue to be, the ability to maintain financial control. The pandemic has inevitably had and will perhaps continue to have, an impact on the Council's financial position both in terms of cash flow and the overall budget.



Even before the pandemic, over the past 12 years or so, the way in which local authorities are funded has changed. These changes were designed to provide incentives for local growth with a shift from central Government funding to a system of locally generated funding including council tax, business rates retention and charges for services amongst others.

More recently, Government was expected to undertake and release findings from its Fair Funding Review, which was due in 2019 but has been successively delayed each year. This review will determine how local government funding will be split amongst local authorities. This is a review of relative needs and resources used to determine funding baselines, with the existing methodology considered to be out of date, not having been updated since the introduction of the 50% business rates retention system in 2013/14.

Although yet unknown fully, it is likely that the sheer scale of the funding measures put in place to meet the challenges of the pandemic by the Government, will impact significantly upon this review, its findings and any arrangements emanating from it. Along with any potential or perceived threat in relation to such a review, in contrast, recently announced initiatives around the Government's Levelling-Up agenda have meant a number of funds have opened to help the Government's ambition in this regard. These include the Levelling-Up Fund - Round 2, UK Shared Prosperity Fund and the Department for Culture Media and Sport (DCMS) Create Growth Programme which will be launching soon, amongst others.

The wider Levelling-Up agenda is centred upon a key ambition of Government to devolve powers closer to the areas they affect. In order to allow for such powers and finance to be devolved from central Government to a local level, it is recognised that local authorities must

exist that are large enough to receive, administer and deliver them. Proposals within the Government's 'Levelling-Up' White Paper seek to shift Government focus and resources to Britain's 'left behind communities'.

Both County Deals and wider Devolution Deal opportunities exist. A County Deal for Derbyshire could incorporate directly devolved investment in infrastructure, skills, transport and housing for example. Such investment would be of vital importance in enabling the local and regional economy to recover from the pandemic for the benefit of local people. County Deals however are only available to upper tier authorities with no power of veto by District and Borough Councils.

Many councils across the country are currently exploring the potential offered by the Levelling-Up White Paper to secure a deal for their areas. A wider devolution deal for the East Midlands could result in more significant additional investment in infrastructure, skills, transport and housing in Derbyshire and the region. Late last year, Derbyshire County Council along with Derby City Council submitted a formal expression of interest requesting that Derbyshire be considered as a potential County Deal pilot area.

Since then, the Government has formally announced that Derbyshire and Derby City are one of 9 areas invited to agree new county deals, extending devolution across England. Invitations to apply for a County Deal have also been extended to Nottinghamshire and Leicestershire however, which provide the opportunity to pursue a wider Combined Authority deal at a regional level.

There remains the need to understand how Districts and Boroughs can be involved and engaged in both the further formation of a deal (notwithstanding the fact that the deal will be done with the upper tier

authorities) and how Districts and Boroughs might feature in the governance of such a devolution deal if the submission is successful.

Along with the Levelling-Up White Paper and devolution, there have been many Government policies emerge in recent times that impact upon the business of the Council. Policies with a focus upon; health, social housing and homelessness, electoral reform and climate change, amongst many others. Of particular note and after a number of iterations, the highly anticipated Environment Bill 2021-22, has received Royal Assent and as such, the Environment Act 2021 is now law.

The Act introduces a new framework for setting long-term binding targets for environmental improvement and obliges policy-makers to have due regard to environmental principles when making policy decisions. The Act includes implications for waste recycling and kerbside collections, litter and waste crime enforcement, land drainage, air quality and nature and biodiversity including mandating a net gain in biodiversity through the planning process.

Also worthy of noting are changes to policy in relation to asylum. Linked largely to global events is the increase in the numbers of people seeking asylum in the UK. Asylum in its current form generally has its origins anchored to, first and foremost, the Government duty under the 1951 Refugee Convention and the more recent and closely associated policies including; the UK Refugee Resettlement Policy 2021.

The impact upon this duty and associated policies that the response to the Covid-19 pandemic and other factors has had upon these, has meant in essence, an asylum system forced to be slowed down whilst the volume and scale of asylum being sought, ever increasing. The Home Office, has implemented temporary amendments

to the asylum dispersal programme in an attempt to tackle the fact that service users were neither moving through, nor exiting asylum accommodation quickly enough throughout the pandemic creating a backlog. It is recognised however that more needs to be done.

The recent increases in the numbers of asylum seekers nationally, pressure on local housing markets and changes in Government policy have increased pressure to put in place more equitable dispersal arrangements both nationally and within the East Midlands. Previously, becoming an Asylum Dispersal Area has been discretionary and a choice local authorities and areas could make to become. Now, however, given the system being under enormous pressure, Asylum Dispersal Area status will no longer be voluntary.

Also linked largely to global events including the ongoing war in Ukraine, rising fuel, energy costs and other inflationary increases, there is a huge financial impact upon the Council and businesses in the district. A disruption to supply chains and lack of raw materials increases the potential to delay or increase the cost of capital projects and puts pressure upon day-to-day operations.

This combination also impacts upon wider communities, household budgets and the financial security of our residents as these pressures weave their way through society at large, increasing the cost of everyday items including food and the cost of living generally. These impacts upon the wider community, in-turn have a significant potential to impact further upon Council services through rent arrears from housing and business tenants, increased demand for welfare support and homelessness services amongst many other things.

Against this challenging backdrop, the Council is striving to deliver the commitments made in its Council Plan adopted on 9th September 2019.

Great progress has been made over the past three years, successes that the organisation can be proud of, an effort that will undoubtedly leave a lasting legacy. The challenge, along with the changing world highlighted previously, remains the capacity to deliver such an

ambitious plan including the many and varied related projects - some of which are of a scale seen only once in a generation.

The risk management approach remains the same however - manage the threats, maximise the opportunities.



**Lee Hickin**  
*Senior Risk Officer*



**Cllr Parkin**  
*Chair of the Risk  
Management  
Group*

# Risk Management

## - an introduction

When we think of risk, most of us are conditioned to think of this in a negative sense - the risk of a negative outcome. Increasingly however, there is a realisation that risk is a double sided concept, with both positive and negative outcomes. To manage risk effectively we need to perhaps think of risk as 'uncertainties that affect us' - not all of which are bad. In other words; an uncertainty that, if it occurs, will have a negative effect might be seen as a threat, whereas an uncertainty that, if it occurs, will have a positive effect might be known as an opportunity. Both of these are uncertainties that affect us.

Risk is integral to everything we do, every action we take, every decision we make - part of our everyday. Whether we realise it or not we are managing risk constantly - it is our attempt to prevent something going wrong and causing us harm or helping something to go well and producing benefits. When driving we will wear a seatbelt, when it comes to our money we will keep it in a bank and when the clouds are grey we might choose to take an umbrella with us on our way to work. These are all risk management decisions and actions designed to either reduce the potential consequence or support the realisation of the benefits associated with our actions.

None of these risk management decisions and actions however, will either remove the threat or guarantee the benefits completely. For example, wearing a seatbelt will not remove the risk of accident or injury, it may however allow us to manage the risk to a level that allows

us to make the decision to drive a car. If our aim is to remove the threats associated with driving the car completely, then we simply don't drive the car - this would of course also result in the loss of the possible benefits resulting from driving the car. Taking risks therefore is an inevitable part of our daily lives - without risk taking we simply could not advance, progress and achieve.

Risks will however be interpreted differently by each individual because we all have a different perception of the threat or opportunity depending on our propensity to take risk or avoid it. Using the car as an example, wearing a seatbelt and driving at a certain speed will be enough for some of us to manage the threat presented whilst enjoying the benefits, for others they may choose to manage this threat further by avoiding a motorway or driving at busy times, this approach will of course impact upon the benefits or opportunities too. This is known as our **Risk Appetite**, the level of risk that an individual is prepared to take in order to pursue their goals.

When considering the business of the Council, the same principles apply. Risk taking is something we simply can't avoid... therefore, the success and operability of our organisation depends on how well we manage our risks. We need to know what they are, understand them, identify ways to mitigate or exploit them and control them in line with our organisational risk appetite. Where risks are effectively managed, the chances of achieving our objectives will be optimised. Conversely, poor risk management will reduce the likelihood of success.



# Scope and Objectives

**This Strategy sets out the mechanisms and processes for both the maintenance and development of Risk Management within the Council's operational framework. Whilst the main focus of the arrangements set out within this Strategy will be in respect of the Council's own activities, it also recognises that key elements of the Council's service delivery may well be delivered by way of partnership working. Accordingly the Council's own risk management approach needs to ensure that the risks arising from partnering with others are appropriately addressed as part of this Strategy.**

Our organisation needs to be risk aware rather than risk averse, as the decision whether to accept risk should be taken in light of the potential benefits of a proposed course of action. The extent to which the Council is risk averse, will undoubtedly impact on its potential to progress available opportunities to secure benefits for local residents.

Risk management, both in the identification of risks and the action taken to address the risks, needs to be flexible and have the ability to respond to change. National policies, service delivery arrangements, national and local circumstances, together with Council priorities will change and evolve over time. Risk Management focus and arrangements need to adjust in order to ensure that current threats and opportunities are effectively addressed and not stifled by inappropriate risk management arrangements.

The Council is committed to maintaining, developing and actively monitoring the operation of a formal and systemic approach to Risk Management.

The key objectives of this Strategy are as follows:

- To operate in line with best practice and update our approach to reflect evolving best practice.
- To protect service delivery arrangements, the reputation and the financial position of the Council by managing risk effectively.
- To maintain and strengthen robust managerial and governance arrangements within the Council.
- To promote risk awareness, risk intelligence and risk management throughout the Council.
- To ensure programme, project and partnership risk is effectively managed.
- To ensure there are clear roles, responsibility and accountability for risk management within the Council.
- To ensure the effective identification of risks relating to service delivery, a new project, new initiative, external origins or circumstance to ensure fully informed decisions are made and measures to mitigate or exploit are in place.
- To ensure that the Council has a fully informed level of awareness of its overall risk exposure.

# Benefits of Risk Management

The challenges faced by local government in recent years have been significant, often resulting in a great deal of uncertainty - uncertainty that affects us, or in other words risk. Our ability to manage these risks or those uncertainties that affect us, both the threats and the opportunities, will have a direct bearing on the Council's ability to succeed.

not be seen as something we must do, but rather something we 'need to do' to achieve the Council's objectives. It is an essential tool in helping to bring a greater level of understanding of those risks; it enables the Council to be more prepared, more resilient to change, more able to minimise threats and more able to seize opportunities.

Risk management is a tool and should

Below are a number of widely accepted benefits resulting from the effective management of risk:



# Risk Categorisation



Risk management is a complex subject due in part to the multi-dimensional nature of the risks that we face, the illustration on the previous page highlights some of these along with a high level categorisation of risk types.

Some risk areas will have varying risk types, for example; Financial risks may be identified within all broad risk type categories; Strategic - perhaps due to legislative change; Operational - service area budgets; and Governance - the way we deal with our Treasury Management for instance. The endless nature of risk management makes it impossible to list every single risk and future risk specifically within this document, the following areas do however provide an approach that will support the identification and appropriate management of risks in the context of our organisation.

## Strategic Risks

Strategic Risks are those which have the potential to have a significant impact upon the Council as a whole. Such risks might include; the impact of global events such as war; national events such as cost of living; changes in government policy; legal and regulatory change; Brexit; environmental and social factors and high operational risk factors such as investment, safeguarding and emergency planning. Due to the nature and scale of the possible threat and potential opportunity arising from this level of risk, strategic risks should be owned by the Senior Management Team.

In order for the Council to have a clear overall position in relation to its strategic risks and to be able to track and review them regularly, strategic risks will be contained within the Council's **Strategic Risk Register**. This register identifies the strategic risks facing the Council so that elected members and senior management can make informed decisions and prioritise actions, with these high level risks in mind.

## Operational Risks

Operational Risks are those that relate to a given service area which have the potential to have a significant impact on the delivery of that service. These might include; human resources; health and safety; procurement; asset management and systems failure. These risks are more closely associated with the 'day to day' operation of the service areas within the Council, service based risks that may prevent individual service aims and objectives being met.

Risks within this category are identified, assessed and dealt with within the operational service area. These risks are contained within an **Operational Risk Register** that is unique to the given service area, although the process by which they are managed remains the same as those of a strategic nature.

## Governance Risks

Governance related risks are those that relate to 'how we do things' as an organisation, including; how we manage our risks. These might also include; the Council's Constitution; data protection; policy and strategy; leadership and accountability; contracting arrangements and performance management. As with high level operational risks, governance related risks might also be managed as strategic risks, depending upon the nature and scale of the risk. Ordinarily however, these risks are associated with the broader organisational day-to-day framework of running our organisation. Risks associated with the Council's governance will feature in both the Operational Risk Registers of those service areas who 'own' the governance related risk along with the Strategic Risk Register where appropriate.

## Project Risks

Project risks are those risks that are



integral to or arise during the lifecycle of a project. These may relate to; roles and responsibilities; timescales; resources; objectives; communication and monitoring for example. These risks will usually start and end with the project and need to be treated separately to those linked with the everyday operation of the Council.

With projects, it is vitally important that risks are identified and assessed early in the planning process. When undertaking a project, the Council will create a **Project Plan** in order to effectively manage the project, the plan might include; scope management; planning and delivery; budget; monitoring and control; administration; communication and risk management.

The project related risks are managed through a **Project Risk Register** which is developed specifically for the project at hand and maintained throughout the life of that project.

## Partnership Risks

Reduced public service funding is leading to more services and community projects being delivered through different forms of partnership involving the public, private and third sector. Partnership working can take many forms including;

integrated services; joint ventures; shared procurement; and co-ordination of activities. The use of risk management to mitigate threats whilst also exploring opportunities is key to ensuring that collaborative working arrangements contribute positively to service delivery. Partnership related risks might include; lack of relevant skill levels; differing legislative environments of the partners; differing governance arrangements and differing agendas.

Effective partnership working is not an easy process and often requires a significant investment of time and energy to build trust between the partners and to develop the working relationships required to ensure successful delivery of the project or service. Key considerations prior to entering into or reviewing a partnership need to include whether or not; the partnership helps secure the Council's objectives; it provides value for money; there are any alternatives; the governance arrangements are robust; and whether or not the Council has a legal duty or right to enter into the partnership at all.

The risks related to the partnership will be managed through a **Partnership Risk Register** which is developed specifically for the partnership at hand and maintained throughout the life of that partnership.

# Risk Management Process

To ensure risk management is effective it must be part of an overall framework and be supported by processes and procedures - a systemic and consistent approach. Whether the risk poses a threat or an

opportunity - the stages remain the same. A *Risk Assessment* template/form shall be used when carrying out the stages below - the findings of which will be included on the appropriate *Risk Register*.

## RISK IDENTIFICATION

Threats or opportunities which might prevent or help achieve, delay or accelerate the objectives of the Council



## RISK ANALYSIS & ASSESSMENT

Following identification of the threats/opportunities, the risks need to be assessed



## RISK CONTROL

Taking risk appetite into account, the risks now need to be controlled



## RISK MONITORING

Most risks will change over time, timely, regular and appropriate monitoring must take place

## Risk Identification

The identification of risks will be the result of a variety of sources and endeavours including but not limited to; lessons learned and analysis of previous events; technical briefings; national reports; workshops; team meetings; networking; management experience; and through a 'staple' element of the **Risk Management Group** - something we will cover in later sections of this strategy. Another key source of risk identification will of course be the business/service planning process where SWOT (strengths, weaknesses, opportunities, threats) and PESTEL (political, economic, social, technological, environmental, legal) analysis takes place.

Traditionally this stage of the risk management process has focused on the things that can go wrong or the threats, if the organisation wishes to improve outcomes however, then it must search for the 'upside risks' or opportunities to make things better and maximise any potential benefits that may also be available. If an opportunity risk is identified, decisions can be made to pursue and increase the likelihood/impact of the opportunity - i.e. it can be managed in the way a negative risk can, to make the most of the potential offered.

**N.B.** It is important to note here that when attempting to capture the opportunity risk description that we do not attempt to replace or duplicate the purpose or rationale for a given activity. Opportunity risk is not the argument or reason for doing something - it is the awareness and control of the uncertainties that matter in relation to the 'upside' risks involved with the activity or issue at hand.

## Risk Analysis and Assessment

Once the risks have been identified and articulated they need to be assessed using the **Risk Matrix** in terms of the **Likelihood**

of them occurring and the **Impact** of them if they do. This will provide an indication of the **Inherent risk** - the level of risk prior to any action being taken.

Likelihood is scored based upon probability of the risk occurring and impact based on the consequences of the risk occurring. Taking each threat/opportunity in turn the risk should be assessed using the impact/likelihood tables. The ratings may well be mixed, as one overarching risk could have a number of threats/opportunities associated with it. For example, the consequence may carry a moderate threat financially but may have a significant impact upon reputation.

Once the consequence is understood for all of the threats/opportunities associated with the risk, a 'best fit' impact rating shall be determined and the **Inherent Risk Value** identified. For example; if the impact of all of the threats/opportunities associated with the risk are significant with only one moderate, then the overall impact would be significant. It is important to note that the tables and descriptions are not and can never be exhaustive, they are designed to give a common perspective but not to be prescriptive.

## Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
LIKELIHOOD						

## Impact Table

Score	Description	Examples/guidance
5	Catastrophic	<p>Risks that can have a catastrophic impact on the operation of the Council or service, for example:</p> <ul style="list-style-type: none"> <li>• Death</li> <li>• Unable to function without Government or other agency intervention</li> <li>• Inability to fulfil obligations</li> <li>• Adverse national publicity - highly damaging, loss of public confidence.</li> </ul>
4	Severe	<p>Risks which can have a severe impact on the operation of the Council or service, for example:</p> <ul style="list-style-type: none"> <li>• Extensive injury, major permanent harm</li> <li>• Significant impact on service objectives</li> <li>• Short to medium term impairment to service capability</li> <li>• Major adverse local publicity.</li> </ul>
3	Moderate	<p>Risks which have a noticeable impact on the services provided. Will cause a degree of disruption to service provision / impinge on the budget, for example:</p> <ul style="list-style-type: none"> <li>• Medical treatment required, semi-permanent harm up to 1 year</li> <li>• Short term disruption to service capability</li> <li>• Significant financial loss</li> <li>• Some adverse publicity, needs careful public relations.</li> </ul>
2	Minor	<p>Risks where the impact and any associated losses will be minor, for example:</p> <ul style="list-style-type: none"> <li>• First Aid treatment, non-permanent harm up to 1 month</li> <li>• Minor impact on service objectives</li> <li>• Financial loss that can be accommodated at service level</li> <li>• Some public embarrassment, no damage to reputation.</li> </ul>
1	Negligible	<p>Risks where the impact and any associated losses will be small, for example:</p> <ul style="list-style-type: none"> <li>• No obvious harm or injury</li> <li>• Negligible impact on service capability</li> <li>• Minimal financial loss</li> <li>• Unlikely to cause any adverse publicity, internal only.</li> </ul>

## Likelihood table

Score	Description	Examples/guidance
5	Common	<ul style="list-style-type: none"> <li>• Is expected to occur in most circumstances.</li> <li>• Perhaps annually or more frequent.</li> </ul>
4	Likely	<ul style="list-style-type: none"> <li>• Will probably occur in most circumstances</li> <li>• Not persistent, perhaps once in 3 years.</li> </ul>
3	Foreseeable	<ul style="list-style-type: none"> <li>• Could occur in certain circumstances.</li> <li>• Perhaps once in 10 years.</li> </ul>
2	Occasional	<ul style="list-style-type: none"> <li>• May occur in exceptional circumstances.</li> <li>• Not expected to happen, perhaps every 25 years.</li> </ul>
1	Freak Event	<ul style="list-style-type: none"> <li>• Is never likely to happen or no knowledge of this happening before.</li> <li>• Very unlikely, perhaps once in 50 years.</li> </ul>

## Risk Control

When deciding how to control the ‘downside’ risks or threats, there are four options available, sometimes more than one option may be chosen, the Council could transfer and treat. For example:

Negative Risk (threat) Control Measures			
<b>Transfer</b> E.G. Insurance, Outsource, Partnerships.	<b>Treat</b> E.G. Mitigation, Likelihood & Consequence.	<b>Tolerate</b> Understand and live with the risk.	<b>Terminate</b> Avoid the risk, Do not pursue.

**Transfer the Risk** - this might include transferring some of the consequence to an insurer e.g. legal liability, property, vehicles etc. Other examples might include services being delivered on the Council’s behalf through outsourcing. When deciding to transfer, it must be acknowledged that this does not mean that the risk disappears. Some risks may, whilst others remain, such as responsibility for the service being delivered and the reputational risk remaining with the Council for example.

**Treat the Risk** - the risk at this stage is unacceptable to the Council as it stands. Action needs to be taken and controls put in place to mitigate and reduce the risk to an acceptable level - the **residual risk**. This might include putting procedures in place or modifying the activity to reduce the risk.

**Tolerate** - the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

**Terminate** - the risk is so significant that even with control measures in place or modifications being made, the risk cannot be reduced to an acceptable level for the Council.

When attempting to control the ‘upside’ risks or opportunities, the four options above will be replaced by the three below:

Positive Risk (opportunity) Control Measures		
<b>Share</b> E.G. Joint Venture, Design and Build Contract.	<b>Enhance</b> E.G. Action, Likelihood & Consequence.	<b>Accept</b> Understand and accept the risk.

**Share** - the benefits of the opportunity risk might be shared, a project being completed early for instance which would save money overall.

**Enhance** - using the project example again, action might be taken to improve the likelihood and consequence of the project completing early.

**Accept** - as with tolerating a threat, the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

By this stage, using the **Risk Assessment** template/forms, the risks have been identified and analysed taking into account any current controls in place, giving an **inherent risk**

**value**, beyond this other control measures may have been put in place resulting in a **residual risk value**'. The Council will now consider the residual risk and decide how this fits with the Council's **risk appetite** in terms of acceptability - this shall be detailed in a later section of the strategy.

## Risk Monitoring

Now that the risks have been identified, analysed, controlled and scored according to the Risk Matrix, the final stage of the effective risk management process begins - risk monitoring. It is critical that risk assessments and action plans relating to them are monitored and reported on regularly to ensure progress is being made in both the management of the threats, or the taking advantage of the opportunities.

Risk registers are an important tool within the risk monitoring stage, as long as they are kept up-to-date and accurate. Previously identified risks will change over time; some may become less of an issue once planned activity has taken place, therefore reducing the likelihood of the risk occurring. Others may have an increased level of risk due to external changes or important milestones approaching. When things change, or at a given frequency, the reassessment of the risk is necessary.

When reviewing, the following should be considered;

- Is the risk still valid?
- Have any of the circumstances or the situation changed?

- Has any planned mitigation/treatment/enhancement or action now taken place which has affected the **residual risk value**?
- Has the planned mitigation/treatment/enhancement or action been deemed effective?
- Is there more that the Council should be doing?
- Has the threat/opportunity passed?

Along with those sources listed in the Risk Identification stage previously, the risk monitoring and review stage is also a good time to consider the following:

- Has anything new happened either externally or within the service, department, Council, project or partnership?
- As a result, are there any new threats or opportunities facing the service, department, Council, project or partnership?

Part of the monitoring process is of course **risk reporting**. This is required to ensure that managers, senior officers and elected members are fully aware of the risks when making decisions and taking any action. Effective risk reporting should provide management and elected members with assurance that all risks have been identified, assessed, controlled and are being effectively monitored - this shall be detailed further in a later section of the strategy.



# Risk Appetite

Risk appetite for local authorities on the whole will most likely be lower than that of many other organisations due in part to the regulatory nature of most of its services and because of its stewardship obligations for public resources. It is however, increasingly important for the Council to identify innovative solutions and new ways of working in the delivery of its services and operations.

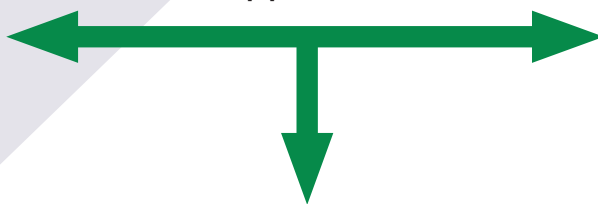
New opportunities or changes to the way we do things will often bring new risks, both specific to the change at hand and to the Council as a whole. A key determinant in the risk management process is the Council's risk appetite and the scalability of this depending upon the individual circumstances.

The Council's risk appetite in relation to a given opportunity needs to be gauged individually to ensure that the tolerance level of the risks at hand are adjusted in accordance with the level or scale of the risk. A specific project may well have a different risk tolerance level to that of the wider operation of the Council or a health and safety matter for example. The Council should not be risk averse but risk aware and able to accept risk at a level that meets the Council's risk appetite.

As mentioned previously, effective risk management is about managing uncertainties that affect us, this includes both the negative uncertainties or threats and the positive uncertainties or opportunities. Effective risk management aims to minimise the likelihood and impact of the threats whilst maximising the likelihood and impact of the opportunities.

## Risk aware

Sensible management of threats and opportunities



Eager

Open

Cautious

Minimal

Averse



## Risk blind

- Exposed to threats
- Too opportunity focused

## Risk averse

- Excessive management of threats
- Do not maximise opportunities

Acknowledgement and awareness of the two aspects of risk - the 'upside' and 'downside' increases the importance of an effective risk appetite framework which has the ability to be repositioned along the continuum on the previous page in line with the given subject matter at hand.

Generally speaking, the amount of risk that the Council is willing to take on, tolerate or be exposed to in the pursuit of its objectives can be illustrated below:

## Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
	LIKELIHOOD					

**Green** = Low Priority - no immediate action other than to set a review date to re-consider assessment.

**Amber** = Medium Priority - check current controls and consider if others are required.

**Red** = High Priority - must take action to mitigate or terminate if not possible to do so.

Any threats that are an unacceptable level to the Council have to be mitigated as far as possible. Where a proposed activity has a residual risk value that is considered unacceptable and there is no means of reducing this value, then the activity will be rejected. Therefore the Council's risk appetite threshold is 15 or above, in other words if the residual risk is 15 or above the Council's risk appetite has been exceeded and the activity will be terminated.

There may be however, occasions where there is a statutory obligation to undertake a given activity despite the risk exposure. There may also be occasions where, in entrepreneurial terms, it will be appropriate to take measured but increased levels of risk in furtherance of the Council's business objectives.

In determining the Council's risk appetite, elected members and senior officers will consider many things including, but not limited to the following:

- Wider macro-economic factors including legislation

- The level of risk that can be justified
- The Council's capacity to bear the risk
- The Council's resource, expertise and skill-set for taking the risk
- The extent and prevalence of operational and commercial opportunities capable of being exploited by the Council.

Public sector organisations cannot be culturally risk averse and be successful. Effective and meaningful risk management remains more important than ever in taking a balanced view of risk and opportunity in delivering public services. Risk management is an integral part of good governance and corporate management mechanisms. An organisation's risk management framework harnesses the activities that identify and manage uncertainty, allows it to take opportunities and to take managed risks not simply to avoid them, and systematically anticipates and prepares successful responses. A key consideration in balancing risks



and opportunities, supporting informed decision-making and preparing tailored responses is the conscious and dynamic determination of the organisation's risk appetite. The Council should recognise the following when understanding its own risk appetite:

- While desirable, it is often not possible to manage all risks at any point in time to the most desirable level, but the discipline and approach set out in our approach provides a means to manage risks to a tolerable level.
- Outcomes cannot be guaranteed when decisions are made in conditions of uncertainty.
- It is often not possible, and not financially affordable, to fully remove uncertainty from a decision or in the design and application of control activities.

- Decisions should be made using the best available information and expertise.
- When decisions need to be made urgently, the information relied upon and the considerations applied to it should, as in the normal course of business, be retained.
- The risk culture must embrace openness, support transparency, welcome constructive challenge and promote collaboration, consultation, co-operation and continual improvement.

Below is the 'typical' risk appetite profile for the Council, this needs to be flexible and dynamic and open to factors that may cause this to change on an ongoing basis along with regular systematic review (see in conjunction with Appendix 1).

Risk Appetite Profile					
	Eager	Open	Cautious	Minimal	Averse
Strategy		●			
Governance					●
Operations			●		
H&S					●
Legal					●
Property			●		
Financial investment			●		
Financial management					●
Commercial		●			
People		●			
Technology			●		
Data & Info Management				●	
Project /Programme		●			
Reputational					●

In reaching this risk appetite position, the Council risks are organised by categories of risk as set out in Government's guidance on the management of risk - grouping risks in this way supports the development of an over-arching sense of appetite whilst differentiating tolerance levels on a given area or category. Failure to manage risks in any of these categories may lead to financial, reputational, legal, regulatory, safety, security, environmental, employee, customer and operational consequences. These categories provide a 'flavour' and are not intended as exhaustive:

**Strategy risks** - Risks arising from identifying and pursuing a strategy, which is poorly defined, is based on flawed or inaccurate data or fails to support the delivery of commitments, plans or objectives due to a changing macro-environment (e.g. political, economic, social, technological, environment and legislative change).

**Governance risks** - Risks arising from unclear plans, priorities, authorities and accountabilities, and/or ineffective or disproportionate oversight of decision-making and/or performance.

**Operations risks** - Risks arising from inadequate, poorly designed or ineffective/ inefficient internal processes resulting in fraud, error, impaired customer service (quality and/or quantity of service), non-compliance and/or poor value for money.

**Legal risks** - Risks arising from a defective transaction, a claim being made (including a defence to a claim or a counterclaim) or some other legal event occurring that results in a liability or other loss, or a failure to take appropriate measures to meet legal or regulatory requirements or to protect assets (for example, intellectual property). **Property risks** - Risks arising from property deficiencies or poorly designed or ineffective/ inefficient safety management resulting in non-compliance and/or harm and suffering to employees, contractors, service users or the public.

**Financial risks** - Risks arising from not managing finances in accordance with requirements and financial constraints resulting in poor returns from investments, failure to manage assets/liabilities or to obtain value for money from the resources deployed, and/or non-compliant financial reporting.

**Commercial risks** - Risks arising from weaknesses in the management of commercial partnerships, supply chains and contractual requirements, resulting in poor performance, inefficiency, poor value for money, fraud, and /or failure to meet business requirements/objectives.

**People risks** - Risks arising from ineffective leadership and engagement, suboptimal culture, inappropriate behaviours, the unavailability of sufficient capacity and capability, industrial action and/or non-compliance with relevant employment legislation/HR policies resulting in negative impact on performance.

**Technology risks** - Risks arising from technology not delivering the expected services due to inadequate or deficient system/process development and performance or inadequate resilience.

**Information risks** - Risks arising from a failure to produce robust, suitable and appropriate data/information and to exploit data/information to its full potential.

**Project/Programme risks** - Risks that change programmes and projects are not aligned with strategic priorities and do not successfully and safely deliver requirements and intended benefits to time, cost and quality.

**Reputational risks** - Risks arising from adverse events, including ethical violations, a lack of sustainability, systemic or repeated failures or poor quality or a lack of innovation, leading to damages to reputation and or destruction of trust and relations.

# Our Risk Management Arrangements

This strategy sets out to ensure that effective risk management is embedded throughout all levels of the Council. Whether it relates to day-to-day service delivery or the decision making process of elected members, the Council and its employees need to know what the risks are, understand them, identify ways to mitigate or exploit them and control them in line with the Council's risk management processes and appetite.

## Risk Management Roles and Responsibilities

### Elected Members

All elected members are responsible for effective governance in the delivery of services to the local community and the achievement of the Council's objectives. Elected members have a responsibility to understand the risks that the Council faces and will be made aware of how these risks are being managed through a variety of mechanisms including, but not limited to; the corporate, strategic and service planning and delivery process. It is the responsibility of all elected members to support and promote an effective risk management culture and consider the risks associated with recommendations put forward in reports to the various committees at which decisions are made.

### Cabinet

Cabinet has a fundamental role to play in the management of risk. Its role is to set the risk appetite and influence the

culture of risk management within the organisation. Cabinet will ensure that risks are fully considered as part of every decision it makes whilst ensuring effective procedures are in place to monitor the management of significant risks. Cabinet will establish portfolio holder representation on the Risk Management Group and regularly review the content of the strategic risk register. Cabinet will periodically review the Council's approach to risk management and approve changes or improvements to processes and procedures.

### Audit and Corporate Governance Committee

The Audit and Corporate Governance Committee has responsibility for overseeing all aspects of risk management, governance and internal control. The Committee will provide guidance and oversight to the management of risk but also challenge the effectiveness of the risk management arrangements within the Council. The Committee will look to seek assurance for the Council that risk management is being effectively undertaken and that all risk related processes and procedures are being implemented. To this end, the Committee will receive reports on behalf of the Council including but not limited to; Quarterly Risk Management Group reports, Internal Audit reports, External Audit reports and the Annual Governance Statement.

### Scrutiny

In their role of scrutinising decisions taken by the Cabinet, Scrutiny Members should

ensure that associated risks have been taken into account. Scrutiny Committees also have a role in bringing potential risks that have not previously been identified to the attention of the organisation.

## **Managing Director**

The Head of Paid Service leads on the wider Corporate Governance arrangements of the Council of which Risk Management is a part. The Managing Director has ultimate responsibility for risk management within the paid service and as Senior Risk Officer (SRO) will support the Senior Information Risk Officer (SIRO) in carrying out their roles and responsibilities.

## **Senior Risk Officer (SRO)**

The SRO plays an important role in raising the profile and promoting the benefits of risk management to elected members and officers. The SRO also ensures that the accountability and responsibility of elected members, officers and staff is understood by embedding risk management throughout every level of the Council and by overseeing the implementation of the Risk Management Strategy and Action Plan.

## **Senior Information Risk Owner (SIRO)**

Information has never been more important to the essential working of the Council. As the quantity, diversity and nature of Council information changes, so will the risks. The role of the SIRO is to ensure that 'information' related risks are identified and addressed. The SIRO will establish an Information Risk Management Framework which allows information based threats and opportunities to be managed effectively.

## **Section 151 Officer**

Section 151 of the Local Government Act 1972 requires all Councils to make arrangements for the proper administration

of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. For this Council this statutory role is carried out by the Director of Finance and Resources. The Section 151 Officer is a key member of the Senior Management Team who helps to develop and implement the strategy and appropriate resourcing to deliver the Council's objectives sustainably and in the public interest. The role brings influence and bearing on all material business decisions to ensure opportunities and threats are fully considered and aligned to the Council's financial strategy. The Section 151 Officer leads on the promotion of good financial management by the whole organisation so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

## **Risk Management Group**

The Risk Management Group shall be elected member led and will include the Council's SRO, SIRO, S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group will provide a comprehensive oversight of risk throughout the organisation and be the conduit to and from the whole organisation in terms of risk management. The group will regularly and consistently oversee, at least quarterly, all of the risk registers ensuring they are up-to-date and accurate whilst offering challenge to the assessment process itself. It will be responsible for risk management reporting to stakeholder groups across the Council and support the production of the Annual Governance Statement. The group will lead on the development and review of all risk related policies, plans and strategies across the Council and will oversee and champion the implementation of the Risk Management Strategy and associated action plan including training relating to and the embedding of an effective risk management culture.

## Directors and Assistant Directors

Directors and Assistant Directors are responsible for creating an environment and culture within their directorate and portfolio of services where risk management is promoted, facilitated and effectively undertaken. They will drive forward risk management to raise its profile and ensure that Service Managers and their teams understand the importance and benefits of effective risk management, embedding the Risk Management Strategy and arrangements throughout their span of control. They will include risk management as a standing item on all directorate, service and team meeting agendas to keep risk management ever present and ensuring effective, regular and consistent 'check and challenge' is in place throughout the directorate. Assistant Directors will review the content of the strategic risk register and their Directorate operational risk registers at least quarterly and represent their directorate and portfolio of services at the Risk Management Group. They will identify existing and emerging risks, address them in line with the risk management arrangements and ensure sufficient resource is allocated to for this purpose within their span of control, including identifying and meeting any risk management training needs within the directorate.

## Service Managers

As with the Directors and Assistant Directors, Service Managers will support the creation of an environment where risk management is promoted, facilitated and effectively undertaken within their service area. Service Managers will also form part of the quarterly review process of their service related operational and when necessary, strategic risks. They will work with the Directors and Heads of Service to identify and address existing and emerging risks within their service area and ensure that training needs are identified and addressed in relation to risk management within their service area. Service Managers will be the consistent day-to-day champions of an effective risk management culture throughout their service area and will ensure that the risk management strategy and arrangements are understood, embedded and implemented by their team.

## Project and Partnership Leads

Project and Partnership Leads are responsible for ensuring that the project or partnership is being effectively managed in terms of risk and that the Risk Management Strategy and arrangements are implemented fully throughout the lifecycle of the project or partnership. As mentioned in previous sections of the document however, project risks and partnership risks do need to be treated slightly differently to the Council's other risks.



### ***The Project Lead will;***

Ensure that there is senior management team commitment to and involvement in the project/programme delivery. They will set out clearly defined roles and responsibilities at all levels within the project/programme with responsibility for risk identified and agreed. The Project Lead will ensure stakeholder engagement in the early identification of the risks which will inform the project/programme scope, objectives and outcomes. They will embed the active management of risk throughout the lifecycle of the project/programme through the development of a project plan.

### ***The Partnership Lead will;***

Ensure that the partnership has a senior management team made up of members from all organisations involved who will support, own and lead on risk management. The Partnership Lead will ensure that an agreed risk management framework is in place and managed on an ongoing basis. They will promote a partnership culture which supports an effective and appropriate approach to managing risks by reducing the threats and maximising the opportunities that the partnership will bring.

Both Leads will approach the project/programme/partnership in line with the Risk Management Strategy and arrangements set out within. They will ensure that the risk management process is followed, risk assessments completed, control measures are in place and risk registers are maintained throughout. The Leads will report to the Risk Management Group quarterly and assist in the production of the Risk Management Group reporting process.

## **Internal Audit**

Internal Audit's role is to maintain independence and objectivity, they are not responsible for risk management or for managing risks on behalf of others. Internal Audit will check, challenge and test the risk management process and arrangements for adequacy in order to provide assurance to the Council that risk is being effectively managed.

## **All Staff**

All staff have a responsibility for identifying threats and opportunities in performing their day-to-day duties. They also have a responsibility to participate in training, supporting the risk assessment process and action planning where appropriate.

## Roles and responsibilities summary table:

Group or individual	Roles & Responsibilities
Elected Members	<ul style="list-style-type: none"> <li>• Support and promote an effective risk management culture</li> <li>• Understand the strategic risks that the Council faces and how these risks are being managed</li> <li>• Consider the risks associated with recommendations put forward in report</li> </ul>
Cabinet	<ul style="list-style-type: none"> <li>• Provide leadership on risk management within the Council</li> <li>• Monitor the Council's risk management arrangements</li> <li>• Assess the risks in Cabinet reports and provide challenge where necessary, particularly in relation to key decisions</li> </ul>
Audit and Corporate Governance Committee	<ul style="list-style-type: none"> <li>• Overseeing all aspects of risk management, governance and internal control</li> <li>• Provide guidance and oversight to the management of risk and challenge the effectiveness of arrangements</li> <li>• To seek assurance for the Council that risk management is being properly undertaken.</li> </ul>
Scrutiny	<ul style="list-style-type: none"> <li>• In their role of scrutinising decisions taken by Cabinet, Scrutiny members will ensure that associated risks have been taken into account</li> <li>• Identifying potential risks that may not have been previously identified.</li> </ul>
Managing Director	<ul style="list-style-type: none"> <li>• Leads on the wider Corporate Governance arrangements of which Risk Management is a part</li> <li>• Overall responsibility for ensuring that strategic risks are effectively managed within the Council.</li> </ul>
Senior Risk Officer (SRO)	<ul style="list-style-type: none"> <li>• Raising the profile of risk management</li> <li>• Promoting the benefits of risk management</li> <li>• Promoting the accountability and responsibility of all staff</li> <li>• Embedding risk management throughout all levels of the Council.</li> </ul>
Senior Information Risk Owner (SIRO)	<ul style="list-style-type: none"> <li>• Manage information risk from a business perspective</li> <li>• Establish an effective information governance framework</li> <li>• Ensure compliance with regulatory, statutory and organisational information security policies and standards.</li> </ul>
Section 151 Officer	<ul style="list-style-type: none"> <li>• To assist with the development and implementation of the strategy and resourcing required to deliver the Council's objectives sustainably and in the public interest</li> <li>• To ensure opportunities and risks are fully considered and aligned to the Council's financial strategy</li> <li>• Leads on the promotion of good financial management by the whole organisation.</li> </ul>
Risk Management Group	<ul style="list-style-type: none"> <li>• To provide a comprehensive oversight of risk throughout the organisation and become an effective conduit to and from the whole organisation in terms of risk management</li> <li>• To regularly and consistently oversee, at least quarterly, all of the risk registers ensuring they are up-to-date and accurate whilst offering challenge to the assessment process itself</li> <li>• To be responsible for risk management reporting to stakeholder groups</li> <li>• To review and support the development of all risk related policies, plans and strategies</li> <li>• To oversee the implementation of the Risk Management Strategy.</li> </ul>

Group or individual	Roles & Responsibilities
Directors and Assistant Directors	<ul style="list-style-type: none"> <li>• To review the content of the strategic risk register at least quarterly</li> <li>• To allocate sufficient resources to address strategic and operational risks</li> <li>• To identify emerging risks and address them through the risk management arrangements</li> <li>• To ensure that operational risks are being managed in line with the risk management arrangements and that the service area operational risk registers are up-to-date</li> <li>• Escalate when necessary.</li> </ul>
Service Managers	<ul style="list-style-type: none"> <li>• To implement the Risk Management Strategy and arrangements within their service area</li> <li>• To review the content of their operational risk register at least quarterly and provide assurance to stakeholders that risks are being effectively managed</li> <li>• To identify emerging operational risks and address them through the risk management arrangements</li> <li>• Escalate when necessary.</li> </ul>
Project / Partnership Leads	<ul style="list-style-type: none"> <li>• To ensure that the risks associated with the project / partnership are identified and managed in line with the risk management arrangements</li> <li>• To review the content of their project/partnership risk register regularly. Depending upon the project/partnership this could be weekly</li> <li>• To identify emerging project/partnership risks and address them through the risk management arrangements</li> <li>• Escalate when necessary.</li> </ul>
Internal Audit	<ul style="list-style-type: none"> <li>• Audit the risk management process</li> <li>• Assess the adequacy of the arrangements</li> <li>• Provide assurance to officers and elected members on the effectiveness of the processes and arrangements</li> <li>• Be guided by the risk registers in terms of the annual audit plan - areas of greatest risk = greatest need for assurance.</li> </ul>
All Staff	<ul style="list-style-type: none"> <li>• To adhere to the risk management strategy and arrangements</li> <li>• Report emerging or new threats and opportunities to their manager</li> <li>• Participate in training, risk assessments and action planning where appropriate.</li> </ul>



# Risk Management Framework

**Risk aware**

Sensible management of threats and opportunities

**Risk blind**

**Risk averse**

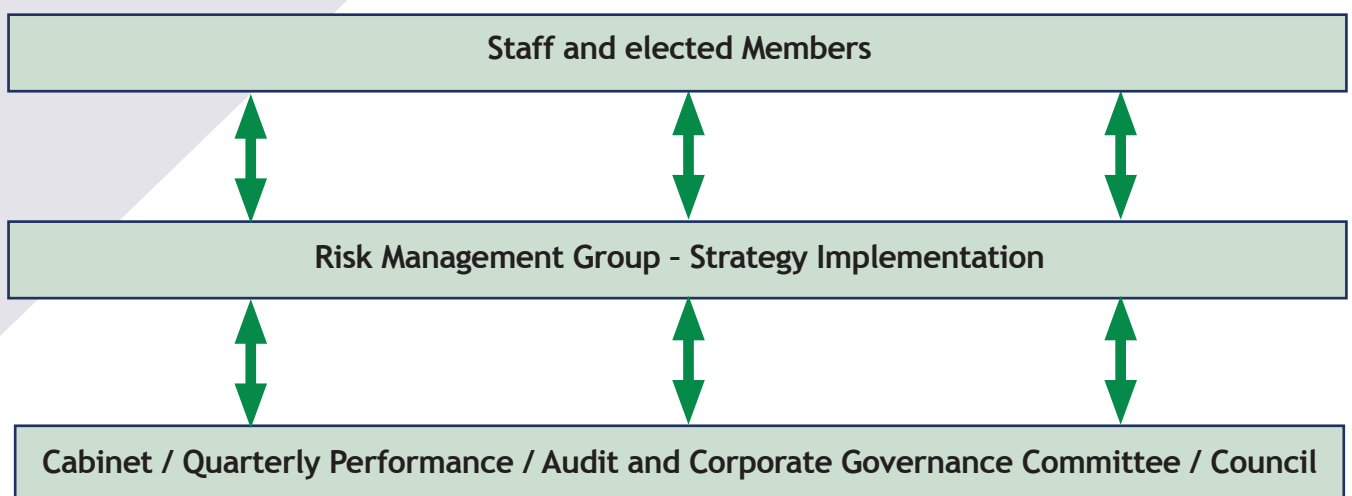
**Risk Categorisation**



**Risk Management Process**



**Training & Development Roles & Responsibilities**



# Appendix 1

Risk Appetite Level Definition					
	Eager	Open	Cautious	Minimal	Averse
<b>Strategy</b>	Guiding principles or rules in place that welcome considered risk taking in organisational actions and the pursuit of priorities. Organisational strategy is refreshed each year. Strategies are aspirational.	Guiding principles or rules in place that are receptive to considered risk taking in organisational actions and the pursuit of priorities. Organisational strategy is refreshed at 2-3 year intervals. Strategies are aspirational but smart.	Guiding principles or rules in place that allow considered risk taking in organisational actions and the pursuit of priorities. Organisational strategy is refreshed at 3-4 year intervals. Strategies require more certainty in terms of deliverability.	Guiding principles or rules in place that minimise risk in organisational actions and the pursuit of priorities. Organisational strategy is longer term and quite fixed.	Guiding principles or rules in place that limit risk in organisational actions and the pursuit of priorities. Organisational strategy is 'safe' with less aspiration and more knowns rather than unknowns.
<b>Governance</b>	Ready to take difficult decisions when benefits outweigh risks. Processes, and oversight / monitoring arrangements support informed risk taking. Good Governance levels of controls are varied to reflect scale of risks with costs.	Receptive to taking difficult decisions when benefits outweigh risks. Processes, and oversight / monitoring arrangements enable considered risk taking. Good Governance levels of controls are varied to reflect scale of risks with costs.	Willing to consider actions where benefits outweigh risks. Processes, and oversight / monitoring arrangements enable cautious risk taking.  Good Governance levels of controls enable poor Governance prevention, detection and deterrence by maintaining appropriate controls and sanctions.	Willing to consider low risk actions which support delivery of priorities and objectives. Processes, and oversight / monitoring arrangements enable limited risk taking. Organisational controls maximise poor Governance prevention, detection and deterrence through robust controls and sanctions.	Avoid actions with associated risk. No decisions are taken outside of processes and oversight / monitoring arrangements. Organisational controls minimise risk of poor Governance, with significant levels of resource focused on detection and prevention.

Risk Appetite Level Definition					
	Eager	Open	Cautious	Minimal	Averse
<b>Operations</b>	Innovation pursued - desire to 'break the mould' and challenge current working practices. High levels of devolved authority - management by trust / lagging indicators rather than close control.	Innovation supported, with clear demonstration of benefit / improvement in management control. Responsibility for non-critical decisions may be devolved.	Tendency to stick to the status quo, innovations generally avoided unless necessary. Decision making authority generally held by senior management. Management through leading indicators.	Innovations largely avoided unless essential. Decision making authority held by senior management.	Defensive approach to operational delivery - aim to maintain/ protect, rather than create or innovate. Priority for close management controls and oversight with limited devolved authority.
<b>H&amp;S</b>	Activity/outcome prioritised with less focus upon H&S restrictions or parameters.	Activity/outcome prioritised whilst seeking solutions to the H&S restrictions or parameters.	Activity/outcome balanced equally with H&S requirements, restrictions or parameters.	H&S prioritised over activity/ outcome.	An avoidance of activity - seek another way to produce the outcome.
<b>Legal</b>	Chances of losing are high but exceptional benefits could be realised.	Challenge will be problematic; we are likely to win, and the gain will outweigh the adverse impact.	Want to be reasonably sure we would win any challenge.	Want to be very sure we would win any challenge.	Play safe and avoid anything which could be challenged, even unsuccessfully.
<b>Property</b>	Application of dynamic solutions for purchase, rental, disposal, construction and refurbishment that ensures meeting organisational requirements.	Consider benefits of agreed solutions for purchase, rental, disposal, construction and refurbishment that ensures meeting organisational requirements.	Requirement to adopt a range of agreed solutions for purchase, rental, disposal, construction and refurbishment that ensures producing good value for money.	Recommendation to follow strict policies for purchase, rental, disposal, construction and refurbishment that ensures producing good value for money.	Obligation to comply with strict policies for purchase, rental, disposal, construction and refurbishment that ensures producing good value for money
<b>Financial investment</b>	Prepared to invest for best possible benefit and accept possibility of financial loss.	Prepared to invest for benefit and to minimise the possibility of financial loss by managing the risks to tolerable levels.	Seek safe delivery options with little residual financial loss only if it could yield upside opportunities.	Only prepared to accept the possibility of very limited financial impact if essential to delivery.	Avoidance of any financial impact or loss, is a key objective.
<b>Financial management</b>	Prepared to manage for best possible benefit and accept possibility of financial failings.	Prepared to manage for benefit and to minimise the possibility of financial failings by managing the risks to tolerable levels.	Seek safe management options with small residual financial failings only if it could yield upside opportunities.	Only prepared to accept the possibility of very limited financial failings if essential to delivery.	Avoidance of any financial failings, is a key objective.

Risk Appetite Level Definition					
	Eager	Open	Cautious	Minimal	Averse
<b>Commercial</b>	Innovation pursued- desire to 'break the mould' and challenge current working practices. High levels of devolved authority - management by trust / lagging indicators rather than close control.	Innovation supported, with demonstration of benefit / improvement in service delivery. Responsibility for non-critical decisions may be devolved.	Tendency to stick to the status quo, innovations generally avoided unless necessary. Decision making authority generally held by senior management. Management through leading indicators.	Appetite for risk taking limited to low scale activity. Decision making authority held by senior management.	Zero appetite for untested commercial activity. Priority for close management controls and oversight with limited devolved authority.
<b>People</b>	Innovation pursued - desire to 'break the mould' and challenge current working practices. High levels of devolved authority - management by trust rather than close control.	Prepared to invest in our people to create innovative mix of skills environment. Responsibility for non- critical decisions may be devolved.	Seek safe and standard people policy. Decision making authority generally held by senior management.	Decision making authority held by senior management. Development investment generally in standard practices.	Priority to maintain close management control & oversight. Limited devolved authority. Limited flexibility in relation to working practices. Development investment in standard practices only.
<b>Technology</b>	New technologies viewed as a key enabler of operational delivery. Agile principles are embraced.	Systems / technology developments considered to enable improved delivery. Agile principles may be followed.	Consideration given to adoption of established / mature systems and technology improvements. Agile principles are considered.	Only essential systems / technology developments to protect current operations.	General avoidance of systems / technology developments.
<b>Data &amp; Info Management</b>	Level of controls minimised with data and information openly shared.	Accept need for operational effectiveness in distribution and information sharing.	Accept need for operational effectiveness with risk mitigated through careful management limiting distribution.	Minimise level of risk due to potential damage from disclosure.	Lock down data & information. Access tightly controlled, high levels of monitoring.

Risk Appetite Level Definition					
	Eager	Open	Cautious	Minimal	Averse
<b>Project/ Programme</b>	Innovation pursued - desire to 'break the mould' and challenge current working practices. High levels of devolved authority - management by trust rather than close control. Plans aligned with organisational governance.	Innovation supported, with demonstration of commensurate improvements in management control. Responsibility for non-critical decisions may be devolved. Plans aligned with functional standards and organisational governance.	Tendency to stick to the status quo, innovations generally avoided unless necessary. Decision making authority generally held by senior management. Plans aligned with strategic priorities, functional standards.	Innovations avoided unless essential. Decision making authority held by senior management. Benefits led plans aligned with strategic priorities, functional standards.	Defensive approach to transformational activity - aim to maintain/protect, rather than create or innovate. Priority for close management controls and oversight with limited devolved authority. Benefits led plans fully aligned with strategic priorities, functional standards.
<b>Reputational</b>	Appetite to take decisions which are likely to bring additional governmental / organisational scrutiny only where potential benefits outweigh risks.	Appetite to take decisions with potential to expose organisation to additional scrutiny, but only where appropriate steps are taken to minimise exposure.	Appetite for risk taking limited to those events where there is little chance of any significant repercussions for the organisation.	Appetite for risk taking limited to those events where there is no chance of any significant repercussions for the organisation.	Zero appetite for any decisions with high chance of repercussions for organisation's reputation.

# Appendix 2 - Action Plan

Ref	Action	Responsibility	Target Date
RMS1	Schedule the new Risk Management Strategy review date and process for 2024.	SRO (MD) With support of RMG	Oct 2022
RMS2	Establish a roll-out, promotion and communication programme for the new Risk Management Strategy.	SRO (MD) With support of RMG	Oct 2022
RMS3	Review representation on the RMG to ensure whole organisational oversight.	SRO (MD) With support of RMG	Oct 2022
RMS4	Improve communications about risk management principles e.g. through the intranet, desktop guides or toolkits.	AD - T&C With support of RMG	Mar 2023
RMS5	Consider opportunities for integrating risk management and performance management reporting via management 'dashboard'.	AD - T&C With support of RMG	Dec 2022
RMS6	Ensure risk management is a regular item at team meetings and incorporated into all service plans.	SRO (MD) With support of RMG	Oct 2022
RMS7	Review and refine the Risk Management Strategy organisational training package/mechanism for elected members and staff including roles and responsibilities.	SRO (MD) With support of RMG	Dec 2022
RMS8	Create a digital or online Risk Management Strategy training option/package/mechanism for elected members and staff	SRO (MD) and HR With support of RMG	Mar 2023
RMS9	Establish an Information Risk Management Framework.	SIRO (AD - T&G)	Dec 2022
RMS10	Increase the visibility of Risk Registers to enable common risk types to be identified across the organisation.	SRO (MD) With support of RMG	Dec 2022
RMS11	Promote a positive risk awareness culture within the organisation through our collective spans of influence.	RMG	Ongoing
RMS12	Undertake a review of the Council's partnership arrangements with specific regard to managing the associated risks.	AD - T&C With support of RMG	Dec 2022
RMS13	Undertake a review of the Council's shared services and posts arrangements with specific regard to managing the associated risks.	SRO (MD) and Statutory Officers and Directors. With support of RMG	Dec 2022
RMS14	Further develop the Projects and Partnerships Risk Registers.	AD - T&C AD - ED&R	Dec 2022
RMS15	Further develop quarterly detailed strategic risk review to include assessment, adjustment and update for each risk area.	RMG	Oct 2022
RMS16	Review the format of the strategic risk register.	RMG	Oct 2022
RMS17	Schedule risk appetite reviews throughout the plan period.	RMG	Nov 2022
RMS18	Undertake an annual Risk Management Audit.	Internal Audit Consortium Manager	Ongoing

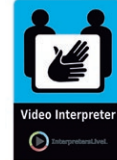








North East  
Derbyshire  
District Council



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## North East Derbyshire District Council

### Cabinet

8th September 2022

### Funding to Voluntary and Community Sector Infrastructure Support Organisations – Summary of Outcomes for 2021/22

### Report of Councillor Alan Powell, Portfolio Holder for Leisure, Communities and Communication

Classification: This report is public

Report By: Tris Burdett, Partnership Development Officer

Contact Officer: Tris Burdett, Partnership Development Officer

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#### **PURPOSE / SUMMARY**

To provide an overview of the outcomes achieved in 2021/22 by voluntary and community sector infrastructure support organisations funded by the Council.

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#### **RECOMMENDATIONS**

1. Members are asked to note the content of the report.

Approved by the Portfolio Holder – Cllr. Alan Powell

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#### **IMPLICATIONS**

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**Finance and Risk:** Yes ☐ No ☒

**Details:**

There are no financial implications in the current financial year. Any recommendations that may have future financial and risk implications will be considered at a later date in the commissioning cycle.

On Behalf of the Section 151 Officer

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**Legal (including Data Protection):** Yes ☐ No ☒

**Details:**

The monitoring arrangements form part of legally binding Service Level Agreements with the Council. All data monitoring information and agreements are stored securely.

**Staffing:** Yes ☐ No ☒

**Details:**

There are no human resource implications as a result of this report. This activity is delivered through existing resources.

On behalf of the Head of Paid Service

## DECISION INFORMATION

Decision Information	
<b>Is the decision a Key Decision?</b> A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:  <b>NEDDC:</b> <b>Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/></b> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
<b>Is the decision subject to Call-In?</b> (Only Key Decisions are subject to Call-In)	No
<b>District Wards Significantly Affected</b>	All
<b>Consultation:</b> <b>Leader / Deputy Leader <input type="checkbox"/> Cabinet / Executive <input type="checkbox"/></b> <b>SMT <input checked="" type="checkbox"/> Relevant Service Manager <input type="checkbox"/></b> <b>Members <input checked="" type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/></b>	Yes  Details: Cllr. Alan Powell and Steve Lee, Assistant Director Transformation and Communication.

### Links to Council Plan (NED) priorities or Policy Framework including Climate Change, Equalities, and Economics and Health implications.

Key Council Plan priorities delivered through these commissions are: Protecting the most vulnerable in our community, actively seeking to prevent homelessness, tackling issues such as childhood obesity and lack of exercise and empowering and supporting local volunteers and organisations.

## REPORT DETAILS

1 **Background** (reasons for bringing the report)

- 1.1 At Minute No. 186 (2013/14), Cabinet approved new commissioning and monitoring arrangements following a review of funding to voluntary and community sector (VCS) organisations. From 2013 Members received a series of annual presentations from the groups funded by the Council. In 2019 Cabinet agreed to receive an officer summary report whilst retaining the option of requesting the organisations to present to Cabinet or Council as required.

## **2. Details of Proposal or Information**

- 2.1.1 Investment in these voluntary organisations is measured in accordance with the Council Plan 2019/23 target to assist over 20,000 vulnerable and disadvantaged households year on year. The following illustrates the Council's available investment and households assisted since 2014/15:

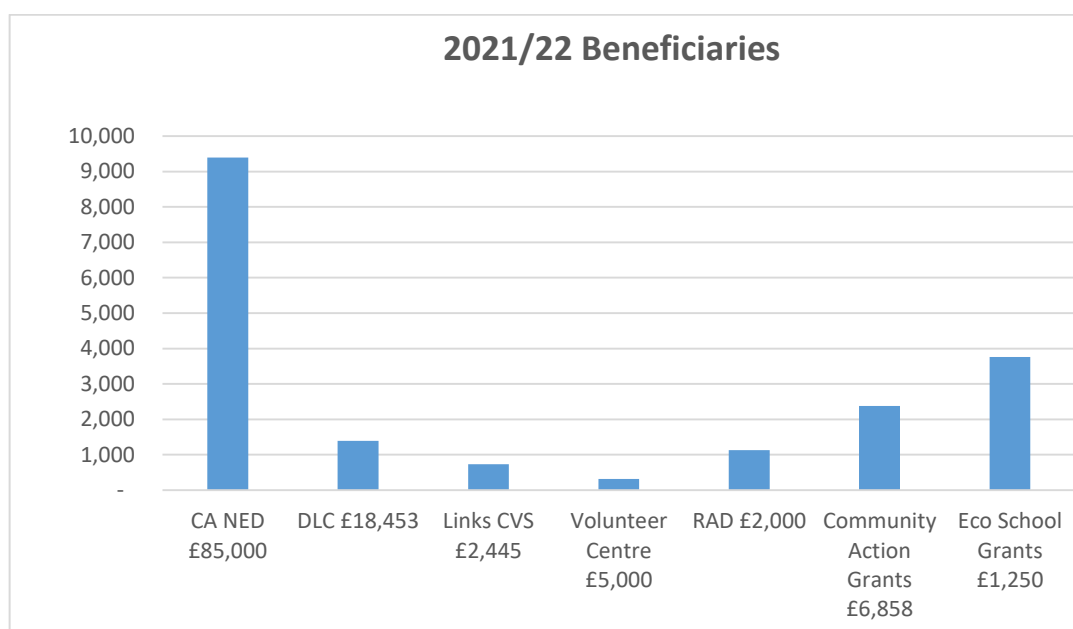
<u>Council Investment</u>	<u>Households assisted</u>
2014/15: £131,312	13,565
2015/16: £132,799	18,319
2016/17: £132,799	19,861
2017/18: £132,799	20,832
2018/19: £132,799	22,944
2019/20: £135,752	29,896
2020/21: £136,085	18,981
2021/22: £136,085	19,096

- 2.1.2 The number of voluntary and community infrastructure support organisations directly funded during 2021/22 has changed. The Council embarked on a different approach to supporting some elements of the voluntary and community sector (VCS). In June 2021, Cabinet agreed to commission an external organisation to deliver an outcome based approach to support the VCS in North East Derbyshire. The tender did not attract any submissions, therefore impacting on the wider reach of services funded by NEDDC.

- 2.2.3 The monitoring exercise has shown a variation in customer demand for these services in recent years. It is noted that the COVID-19 pandemic continued to have an impact on the number of households seeking advice and support during 2021/22. Further details on the type of advice and services residents sought can be found in section 2.5:

- £10.00 per household in 2014/15
- £7.00 per household in 2015/16
- £6.70 per household in 2016/17
- £6.40 per household in 2017/18
- £5.79 per household in 2018/19
- £4.55 per household in 2019/20
- £7.17 per household in 2020/21
- £7.13 per household in 2022/23

- 2.3 The data collected helps to highlight demand on specific issues, and services within communities and enabling the identification of 'hot-spot' areas within the District. The data also includes beneficiaries from the Community Action and Eco Schools Grant Schemes, which is funded via this VCS budget. The graph below illustrates the number of beneficiaries each organisation or grant scheme has supported, together with the amount of grant funding received:



- 2.4 The VCS infrastructure organisations re-commissioned in April 2021 have provided information on how their activity has helped deliver the Council Plan 2019/23, further information can be found in Appendix 1. The outcomes of the current commissions for 2022/23 will be reported in autumn 2023.

- 2.5 A summary of the core aims of the organisations and the top three issues as to why residents/groups sought advice or support is as follows:

2.5.1 Citizens Advice - North East Derbyshire (CA NED)

Provides free, confidential, impartial and independent advice to enable local residents to deal with a wide range of issues from money advice to housing, employment, consumer issues and benefits.

Assisting 9,391 beneficiaries in 2021/22, the top three issues identified were:

- 1) Benefits
- 2) Debt
- 3) Housing

2.5.2 Derbyshire Law Centre (DLC)

A not-for-profit legal practice providing free legal advice and representation to disadvantaged people. This ensures local communities, in particular disadvantaged communities, have access to the law and legal redress to enforce their civil rights. The work is also key to avoiding homelessness within the district.

Assisting 1,394 beneficiaries in 2021/22, the top three issues identified were:

- 1) Housing
- 2) Debt
- 3) Employment

#### 2.5.3 Volunteer Centre

Providing a brokerage service to potential volunteers including support and advice. Funding was utilised to undertake an audit of volunteering groups who remained active during and after COVID-19. The information was utilised to populate a new software tool called Volife which helps to match volunteers with opportunities across District and beyond. Activities include supporting vulnerable and isolated residents, Safe and Sound Service and Home from Hospital Service.

Assisting 317 beneficiaries in 2021/22, the top three issues identified were:

- 1) Seeking volunteer opportunities
- 2) Providing assistance with shopping
- 3) Providing assistance with one-off tasks

#### 2.5.4 Rural Action Derbyshire (RAD)

Support a range of services and co-ordinated activity to support communities in North East Derbyshire District. Rural Action Derbyshire provides services to the whole of Derbyshire and represents the interests of the rural community countywide. In recent years provided a greater focus on economic partnerships and the needs of the rural economy particularly food and farming.

Assisting 1,127 beneficiaries in 2021/22, the top three issues identified were:

- 1) Affordable food
- 2) Rural isolation
- 3) Transport for employment

#### 2.5.5 Links CVS

Helping voluntary and community groups by providing advice, support and training. Also working in partnership with a network of agencies.

Assisting 728 beneficiaries via group support, the top three issues identified were:

- 1) Funding
- 2) Reopening safely after COVID-19
- 3) Charity Registration

#### 2.5.6 Community Action Grants

20 groups and organisations were awarded funding in 2021/22. The type of groups supported ranged from youth, sports and community clubs with litter picking, Women's Institute and community allotment groups also funded.

A total of 2,381 beneficiaries were directly supported and these activities were likely to have had a wider impact on the community.

#### 2.5.7 Eco-Schools Grants

Four schools were awarded funding during 2021/22 to undertake activities ranging from school wide recycling schemes, improving wildlife habitats and

educating children on the benefits of garden wildlife on climate change. A total of 3,758 beneficiaries were directly supported, with one school being Dronfield Henry Fanshawe who have a large number of students.

### **3 Reasons for Recommendation**

- 3.1 To ensure that the Council maximises efficiencies and outcomes through commissioning voluntary sector organisations to help achieve the Council's Priorities.

### **4 Alternative Options and Reasons for Rejection**

- 4.1 No alternative options are considered appropriate as the aim of the aforementioned review was to increase transparency and accountability of commissioned services.

## **DOCUMENT INFORMATION**

<b>Appendix No</b>	<b>Title</b>
1	Funding to Voluntary and Community Sector Infrastructure Organisation – Summary of Outcomes 2021/22
<b>Background Papers</b> (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) you must provide copies of the background papers)	
n/a	

## Cabinet Report - Funding to Voluntary and Community Sector Infrastructure Support Organisations

2021/22

### Appendix 1 – VCS Infrastructure Support Organisations Funded - Summary of Achievements 2021/22.

Please note the following information has been taken from the monitoring reports returned by the organisations below.

	<b>Protecting the most vulnerable in our community</b>	<b>Actively seeking to prevent homelessness</b>	<b>Tackling issues such as childhood obesity and lack of exercise</b>	<b>Empowering and supporting local volunteers and organisations</b>
<b>Citizens Advice - North East Derbyshire</b>	67% of our clients from North East Derbyshire had a disability or long term health condition. Our Adviceline phone number is a freephone number for use and we have a range of face to face provision across the district to enable vulnerable clients to access advice. During lockdown we found that the number of vulnerable clients decreased but with the return to face to face this proportion has increased to pre-pandemic levels.	By providing advice and options for clients who are homeless or at risk of homelessness we are able to prevent homelessness, for example by advising them of their right to remain in the property until a landlord is granted an eviction order or supporting a client to set up a payment plan to a landlord in order to prevent possession action. We also signpost to relevant housing providers, NEDDC and Derbyshire Law centre where appropriate.	n/a	Although not directly mentioned in the returned monitoring submission, CANED rely on a network volunteers who undertake roles such as advisors, social media volunteers, trustees or engage with social policy work.
<b>Derbyshire Law Centre</b>	We have supported North East Derbyshire District Council through advising	We also have supported the Council by preventing homelessness for up to 177	n/a	We continue to support the VCS sector through:



	<b>Protecting the most vulnerable in our community</b>	<b>Actively seeking to prevent homelessness</b>	<b>Tackling issues such as childhood obesity and lack of exercise</b>	<b>Empowering and supporting local volunteers and organisations</b>
	and assisting 1394 vulnerable residents in North East Derbyshire district.	housing clients and 118 debt clients living in North East Derbyshire.		<ul style="list-style-type: none"> <li>- Referrals between agencies and Councils</li> <li>- Giving talks</li> <li>- Sitting on VCS boards such as The Elm Foundation and Derbyshire Unemployed Workers' centres.</li> </ul> <p>We are reviewing our organisational membership to ensure that we are reaching all Equality Act groups and organisations.</p>
<b>Links CVS</b>	<p>The Commissioner's Vulnerability Fund, a fund established by the Police &amp; Crime Commissioner for Derbyshire was administered by Links to the end of September. Many groups based in NED applied and were successful for grants totalling £23,757.75. We continued to work with Derbyshire Voluntary Action (DVA) and The Volunteer Centre (VC) to co-ordinate and disseminate information about food banks, food</p>	<p>While we don't directly support homeless people we do support Pathways, Rykneld Housing, Church on the Bus, Derbyshire Law Centre, Derbyshire Unemployed Workers Centres', New Hope Community Church to deliver their services.</p>	<p>We continue to work with sports groups, walking groups and community groups that provide exercise classes. We worked with the Active Partners Trust to help groups to apply for grants based on long term healthy activities. We support organisations working with children through the Children &amp; Young People's Wellbeing.</p>	<p>Empowering and supporting local volunteers and organisations is an essential function of Links. Many of the local groups that Links work with are both volunteers led and community based. Moreover, Links has a very positive working relationship with Chesterfield Volunteer Centre. As a result, Links strongly believe it is helping the Council to fulfil this priority by providing the ongoing information, advice and support to these local groups.</p> <p>Covid: In partnership with DVA, VC and several mutual aid groups we have kept up-to-date a directory of</p>

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	delivery and support for people who were self-isolating or shielding.			<p>help available at a neighbourhood level. This is available to anyone via the internet/social media. It has been invaluable in signposting individuals to the help they need.</p> <p>We have supported groups with risk assessments to enable them to reopen safely and provide them with up-to-date information and guidance on Covid.</p>
<b>Volunteer Centre</b>	<p>Our shopping service closed as the lockdown ended but we continued to deliver the service for those we decided were in need of the most help. Out of 101 referrals into our Home From Hospital project, 71 lived in the North East Derbyshire locality.</p> <p>The number of beneficiaries give an indication of the work carried out in North East Derbyshire over the last financial year.</p>	<p>This is not something we do consciously. However, we do refer people to the relevant organisations in regard to their homelessness or rough sleeping. We can also work with individuals who are looking to move away from that lifestyle and seek skills that might move them towards employability.</p>	<p>Once again this is not something we would do directly. However, this year we have worked closely with Chesterfield Cricket Club who wish to engage with groups across the area helping people to access cricket as a leisure activity. Chesterfield Cricket Club are a large concern and do run a side which plays its home games in North East Derbyshire. With our assistance they are targeting local groups in a bid to engage more</p>	<p>We have offered support to local organisations on 1,885 occasions during the last financial year, we expect this figure to rise dramatically over the next year.</p> <p>Over the year we were contacted by 340 potential volunteers looking for information and guidance in relation to volunteering. It has been particularly difficult to break these down into area as all too often volunteers, especially those contacting us by email, have not given us a definite location. This has been a huge improvement on last year, obviously the easing of lockdown has played a significant part in this.</p>

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			young people and to also start a 'Walking Cricket' initiative. The Volunteer Centre are helping them with funding and development concerning this project.	
<b>Rural Action Derbyshire</b>	The Rural Hardship Fund has received 96 applications since its inception in September 2020, 81 of which were received in the 2021/22 financial year. The fund has paid out £17,710.70 to applicants. We have also been able to make onward referrals to other agencies such as SSAFA the Armed Forces charity, and Marches Energy for support with energy debt. Feeding Derbyshire has had another busy and successful year, which has seen the consolidation of the work started during the first year of Covid-19. Notable developments	n/a	The Holiday Activities and Food programme provided activities and food to children during the summer holidays, half term breaks and Christmas. We applied for funding on behalf of 4 groups based in North East Derbyshire providing adequate nutrition and fun activities to children.	Community Buildings Covid lockdown concerns continued to dominate this year, as the Omicron variant extended restrictions into early 2022. ACRE provided regular updates, vital in helping halls to comply with current CV-19 restrictions. The most effective way to share information: 15 E-bulletins, RAD's website and 7 virtual Coffee Mornings. Despite Omicron restrictions reducing halls' bookings/income, RAD helped halls to access the OHL Grant to assist their long-term sustainability 9 halls benefited from free consultancy funded by the Foundation Derbyshire Grant (April-Sept). We delivered RAD's first online Conference over 3 days – Restart, Refresh, Recover. Feedback from the 60 delegates was very positive.

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	<p>include piloting the first phase of community pantries, which offer food banks resources and advice to introduce a more sustainable model of affordable food support to their service users. Since April 2021 we have also expanded our Healthy Holiday programme thanks to the HAF funding secured from Derbyshire County Council (DCC), this has given the community and volunteer led clubs some stability during the last 12 months, and the opportunity to learn from each other through networking and development sessions.</p> <p>We have recruited and supported 8 Community Pantries within 12 months of launching the first pilot in May 2021, which means we are ahead of the two-</p>			

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	<p>year project lifetime target of 12. Monthly monitoring confirms that local needs are significant because uptake has exceeded expectation, for example 4 pilot pantries have 720 household registered for support, with an average of 200 shoppers weekly. Initial information shows savings per shop range from £15-50.</p> <p>The aim of The Willow Project is to raise awareness about rural domestic abuse. We have trained over 100 people. Feedback received has been 100% positive with attendees saying that it was incredibly informative, thought provoking, well presented and balanced along with further praise for The Willows, the short film that was produced to highlight the issues of</p>			

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	coercion and control			