

# MASTER RISK REGISTERS

*Click on department to go to register / matrix*

<b>ENVIRONMENT and ENFORCEMENT</b>	<b>GROWTH AND ECONOMIC DEVELOPMENT</b>	<b>CORPORATE RESOURCES</b>	
<b>PLANNING</b>	<b><u>ECONOMIC DEVELOPMENT</u></b>	<b>TRANSFORMATION &amp; ORGANISATION</b>	<b><u>EXTERNAL PARTNERSHIPS</u></b>
<b>STREETSCENE</b>	<b><u>STRATEGIC HOUSING</u></b>	<b>CORPORATE GOVERNANCE</b>	<b><u>PROJECTS</u></b>
<b><u>COMMUNITY SAFETY</u></b>	<b><u>PROPERTY AND COMMERCIAL SERVICES</u></b>	<b>FINANCE &amp; RESOURCES</b>	
<b><u>ENVIRONMENTAL HEALTH</u></b>			

	<b>STRATEGIC RISKS</b>	
	<b>SCORING MATRIX</b>	

**STRATEGIC RISK REGISTER – updated 10/02/22**

Area Of Risk (Reference / Date)	Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Potential Further Action / Action Planned / When By Date
<p><b>STR1</b> <b>National Funding, Priorities, Policy or Regulatory change which affects the Council area and impacts upon the business of the Council negatively.</b></p>	<ul style="list-style-type: none"> <li>• Unable to deliver a package of services that both addresses changing national priorities whilst meeting changing local needs and aspirations.</li> <li>• Increases costs or reduces resources available to the Council directly, or to its key partners.</li> <li>• Reduced influence over delivery of local services.</li> <li>• Unable to effectively support local communities.</li> <li>• Increased demands on Council services at a time when Council resource base is reducing.</li> <li>• Failure to deliver the Council Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• The Council is outward looking and actively works to secure details of proposed change and the approaches that might be adopted to mitigate against associated risks, including working to identify new income streams.</li> <li>• The Council has effective political and managerial arrangements in place to manage change.</li> <li>• Appropriate levels of financial reserves / investment funding are maintained to fund strategic shifts in service delivery.</li> <li>• The Council has in place a robust Risk Management Framework including Strategic and Service Area risk registers that help identify; risks/threats/opportunities; mitigation; and potential further action – these are monitored closely and reported widely throughout the organisation including but not limited to; Risk Management Group; Audit and Corporate Governance Scrutiny committee; Cabinet; and Council</li> </ul>	<p>No specific identified further action however ongoing and regular monitoring and review as detailed in the mitigation section, including quarterly review by the Risk Management Group.</p>

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					<ul style="list-style-type: none"> <li>Effective engagement with staff to ensure they embrace necessary change.</li> </ul>				
STR1	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	Risk Owner / Lead Officer	SMT / Political Leadership
<b>STR2</b> <b>Failure to deliver a balanced budget.</b>		<ul style="list-style-type: none"> <li>Impact upon ability to deliver current level of services.</li> <li>Significant adverse reputational Impact.</li> <li>Unexpected external factors creating unforeseen financial pressures</li> <li>A one year financial settlement and continued uncertainty over the future of the national settlement presents challenges for medium term financial planning</li> <li>Failure to deliver the Council Plan.</li> </ul>			<ul style="list-style-type: none"> <li>The Council has effective financial management in place to ensure budget arrangements are robust.</li> <li>The Council has appropriate managerial arrangements and culture in place to manage any necessary change.</li> <li>The Council has sufficient reserves in place to cushion against unforeseen external factors creating financial pressures in the short term.</li> <li>The Council has effective financial resilience monitoring in place that reflects the requirement of the CIPFA Financial Management Code</li> </ul>			<p>An efficiency plan has been produced to closely monitor savings needed. This will be owned by SMT and progress reported to Audit and Corporate Governance Scrutiny Committee and Cabinet quarterly.</p> <p>First report due: July 2022 (Q1)</p> <p>Financial resilience metrics have been produced and will be monitored by the S151 Officer and reported to Audit Committee twice a year.</p>	

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					<ul style="list-style-type: none"> <li>• The Council follows the CIPFA code of accounting practice and all International Financial Reporting Standards when producing their statutory accounts</li> <li>• The budget is subject to scrutiny by Council, Cabinet, Audit and Corporate Governance Scrutiny Committee, SMT and the auditors (Internal and External).</li> <li>• The external auditor reports on the robustness of the Council's finances and arrangements for Value for Money in its annual report</li> <li>• The Council commissions external advice for highly specialist areas including treasury management</li> <li>• The Annual Governance statement reports on risk areas to the Council including financial risk. This is scrutinised by the Audit and Corporate Governance Committee and the External Auditor</li> </ul>			Next report due : Oct 2022 (Q2)	
STR2	16/11/ 20	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	Risk Owner / Lead Officer	Political Leadership / S151 Officer/ SMT

Area Of Risk (Reference / Date)	Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Potential Further Action / Action Planned / When By Date
<p><b>STR3</b>  <b>The Council is affected by an operational service failure which has a major impact upon the Council as a whole or significant impact upon the local community.</b></p>	<ul style="list-style-type: none"> <li>• A significant service failure associated with a major impact on the local community.</li> <li>• Deterioration in services to the public, potentially a major impact upon a local resident or a group of local residents.</li> <li>• Significant staff and financial resources required to resolve position, impacting on other services.</li> <li>• A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery.</li> <li>• Severe reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed.</li> <li>• The Council has a Performance Management Framework in place to help ensure that services are delivered in line with good practice and industry standards. Ongoing monitoring and regular reporting will help ensure that any emerging issues re service performance are effectively identified and resolved at the earliest possible opportunity.</li> <li>• The Council has in place a robust Risk Management Framework including Strategic and Service Area risk registers that help identify; risks/threats/opportunities; mitigation; and potential further action – these are monitored closely and reported widely throughout the organisation including but not limited to; Risk Management Group; Audit and Corporate Governance Scrutiny committee; Cabinet; and Council.</li> <li>• Operational risks are reviewed constantly and consideration given with regard to an escalation of the risk to become a strategic risk.</li> </ul>	<p>No specific identified further action however ongoing and regular monitoring and review as detailed in the mitigation section, including quarterly review by the Risk Management Group.</p>

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR3	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x5	<b>15</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x5	<b>10</b>	Risk Owner / Lead Officer	SMT
<p><b>STR4</b> <b>Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by incidents such as pandemic, natural disaster, a loss of data / systems which results in the inability to provide core services and potential reputational damage.</b></p> <p><b>See STR 13 for Cyber security specific risk</b></p>		<ul style="list-style-type: none"> <li>• Inability of Council to provide services as a consequence of a severe catastrophic external event (e.g. flooding, major terrorist incident, pandemic, fire, loss of ICT systems).</li> <li>• Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams.</li> <li>• Business Continuity Plans prove ineffective in practice.</li> </ul>			<ul style="list-style-type: none"> <li>• The Council works in partnership with a range of partners on its Emergency Planning and Business Continuity arrangements to ensure that we operate in line with best practice. There is an annual 'desktop' scenario to test officers understanding of the arrangements and validate that they are fit for purpose in a realistic 'test' scenario.</li> <li>• All services have Business Continuity plans in place which identify key risks and mitigation. Corporate IT systems have been tested against Industry standards for Business Continuity.</li> <li>• The Council works in partnership with a range of other agencies that should be able to provide support in the event of the Council's own procedures and resources failing to be effective.</li> <li>• The Council has in place, and continues to develop, industry standard measures to minimise business interruption.</li> </ul>			<p>Business Continuity exercise to be delivered in the next 12 months ie 2022/23 focussed upon the loss of access to digital data/systems.</p>	

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STR4	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x5	<b>25</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	5x3	<b>15</b>	Risk Owner / Lead Officer	SMT
<b>STR5</b> <b>Difficulty in recruiting to key posts or in replacing key staff who leave.</b>		<ul style="list-style-type: none"> <li>• Deterioration in services to the public.</li> <li>• Increasing inefficiencies in service provision.</li> <li>• Weakening of Internal Control arrangements.</li> <li>• Increased pressure on other members of staff.</li> <li>• Opportunity to facilitate review of job roles/services to ensure staffing structure is fit for purpose to meet current needs</li> </ul>			<ul style="list-style-type: none"> <li>• The Council has effective communication and working relationships with management and staff across the organisation to identify issues and threats in regard to this risk.</li> <li>• There are embedded practices and sufficient funding to bring in agency staff where required to maintain service performance in such instances.</li> <li>• The market has changed significantly as a result of Brexit and the COVID Pandemic. It is proving harder to recruit to some posts however the Councils Agile Working Policy enables the recruitment net to be cast wider than before and is now providing some mitigation.</li> <li>• Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality / continuity – a ‘grow our own’ culture is very prominent.</li> <li>• The Council has introduced apprenticeship / training schemes / leadership programmes in order to develop suitable staff.</li> </ul>			<p>Part of the ongoing work is identifying opportunities to ‘partner’ with others who share the same challenges and experiences.</p> <p>Work is ongoing with managers to improve workforce planning and succession planning within key services and job roles.</p>	

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					<ul style="list-style-type: none"> <li>Ensuring that the culture and benefits for working for North East Derbyshire DC are 'front and centre' in all recruitment packages.</li> </ul>				
STR5	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>	Risk Owner / Lead Officer	SMT
<b>STR6</b> <b>Delivery of major initiatives and key projects whilst implementing a range of new government reforms against a backdrop of challenging financial targets and maintaining service quality.</b>		<ul style="list-style-type: none"> <li>New initiatives are not delivered in a cost-effective manner.</li> <li>Failure to maintain / improve services in line with local aspirations.</li> <li>Failure to generate the savings required to balance the budget.</li> <li>Financial savings measures weaken Governance / Internal Control arrangements.</li> <li>Service deterioration / failure arising from capacity issues.</li> <li>Over-stretched organisational capacity.</li> <li>Failure to deliver the Council Plan.</li> </ul>			<ul style="list-style-type: none"> <li>The Council has effective prioritisation and project management arrangements in place to ensure resources are directed at key objectives.</li> <li>The Council has made efforts to ensure effective use of employees by utilising shared services to protect service resilience, by maintaining appropriate training arrangements and by investing in transformational service delivery projects.</li> <li>The Council has a robust performance management framework that is intended to highlight emerging issues.</li> <li>The Council has in place a mechanism/team/group to ensure extensive senior management oversight of key projects which includes; MD; Directors; Statutory Officers who meet weekly with the aim of 'spreading the load' as it were</li> </ul>			<p>At the meeting in October 2021, Council recognised how over time, along with the changing needs of both Councils, that the senior management structure was no longer fit for purpose. It was acknowledged that the structure needed to change to ensure effectiveness, have the ability to achieve its ambitions and deliver its objectives.</p> <p>The re-structure is now being implemented and should be fully in place by the end of the financial year - end of March 2022.</p>	



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					amongst the Council as a whole rather than one team managing potentially complex programmes with competing and sometimes conflicting demands. The culture we are very much driving through this group, and through SMT and the Council as a whole, is one of <b>NO SILO's</b> and that we are <b>ONE TEAM</b> , addressing specific programmes and the wider business of the Council as a collective.				
STR6	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>	Risk Owner / Lead Officer	SMT
<b>STR7</b> <b>Ineffective engagement with local communities and stakeholders including Parish Councils and other local partners.</b>		<ul style="list-style-type: none"> <li>• Failure to provide effective community leadership.</li> <li>• Loss of trust in the Council</li> <li>• Inability to deliver good quality cost effective services targeted at local needs.</li> <li>• Poor outcomes for local residents, due to failure to engage other agencies.</li> </ul>			<ul style="list-style-type: none"> <li>• The Council has in place a range of mechanisms designed to secure feedback from local residents including the Performance Framework, a range of consultation events and the role of Elected Members as local champions.</li> <li>• The Council has in place a Parish Council liaison group which meets regularly.</li> <li>• The Council has an active Partnerships Team and senior Members / Officers actively engage with other organisations serving the area.</li> </ul>			<p>Review of events completed on 02.12.21 with improvements on engagement and staff resource.</p> <p>Meet the Council events held at Clay Cross and Eckington.</p> <p>Future sessions planned reflecting experiences of the pilot events to provisionally start Spring 2022.</p> <p>Other events currently being planned for the next 12 months spanning 2022/23.</p>	

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					<ul style="list-style-type: none"> <li>The Council's management structures are aligned to our key partnership arrangements.</li> <li>Opportunities and events allow residents to engage with senior officers and members</li> <li>Meet the Council events held at Clay Cross and Eckington.</li> </ul>				
STR7	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>	Risk Owner / Lead Officer	SMT / Political Leadership
<b>STR8</b> <b>Ineffective 'Good Governance' arrangements including; Performance, Finance and Risk Management.</b>		<ul style="list-style-type: none"> <li>Adverse Impact upon Service Quality.</li> <li>Failure to deliver high quality services which address national and local priorities.</li> <li>Significant adverse reputational impact.</li> <li>Risk of legal challenge being successful where suitable arrangements are not in place.</li> </ul>			<ul style="list-style-type: none"> <li>The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed.</li> <li>The Council has active Standards and Audit Committees which provide independent review of the Governance arrangements in the Council.</li> <li>The Council has a robust performance management framework that is intended to highlight emerging issues.</li> <li>The Council has in place a robust Risk Management Framework including Strategic and Service Area risk registers that help identify; risks/threats/opportunities; mitigation; and potential further</li> </ul>			No specific identified further action however ongoing and regular monitoring and review as detailed in the mitigation section, including quarterly review by the Risk Management Group.	

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					<p>action – these are monitored closely and reported widely throughout the organisation including but not limited to; Risk Management Group; Audit and Corporate Governance Scrutiny committee; Cabinet; and Council.</p> <ul style="list-style-type: none"> <li>• The Annual Governance Report sets out an evidence based structured assessment of the operation of the Council's governance arrangements. This report is externally assessed.</li> <li>• New senior management structure reinforces the protection measures in place for the Council.</li> </ul>				
STR8	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>	Risk Owner / Lead Officer	S151 Officer / Monitoring Officer / SMT
<b>STR9</b> <b>Staff morale / sickness levels adversely affected as a result of the pace of change, tightening financial circumstances or external circumstances.</b>		<ul style="list-style-type: none"> <li>• Deterioration in services to the public and loss of productivity.</li> <li>• Loss of key staff / increased sickness levels.</li> <li>• Increased pressure on other members of staff.</li> <li>• Loss of 'goodwill.'</li> </ul>			<ul style="list-style-type: none"> <li>• The Council operates in line HR 'best practice' to help ensure current staff are well managed and motivated.</li> <li>• The Council have a range of communication mechanisms in place to ensure staff engagement with the Council's agenda.</li> <li>• The Council has reduced its emphasis of securing savings through vacancy management.</li> <li>• Whilst the Council cannot control external circumstances it works</li> </ul>			<p>Although somewhat hampered by COVID and the risk of transmission, other activities being planned for the next 12 months and beyond include;</p> <ul style="list-style-type: none"> <li>• 'Back to the Floor' sessions – MD &amp; Directors across the Council – take part, observe <b>and listen</b> - Cabinet welcome!</li> <li>• MD to work out of various locations each week –</li> </ul>	

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		<p>intensively with the workforce to mitigate the impact of these upon individual employees – for example throughout the pandemic.</p> <ul style="list-style-type: none"> <li>• Both Senior Management and Leadership Team are actively building a 'ONE TEAM' ethos which is built 'top down' and 'bottom up' with the aim of getting everyone 'buying in', feeling that they are part of the solution and that everyone has the opportunity to influence our success and shape our future. This includes;</li> <li>• Regular and meaningful Directorate TEAM meetings and Brainstorm and Troubleshoot sessions to update, <b>Q&amp;A and listen</b></li> <li>• Regular and meaningful AD/service TEAM meetings and Brainstorm and Troubleshoot sessions to update, <b>Q&amp;A and listen</b></li> <li>• Wider workforce workshops</li> <li>• Leader weekly briefings – digital – promoted to all staff</li> <li>• Leader / MD workforce briefings – physical and virtual to update, <b>Q&amp;A and listen</b> – promoted to all staff</li> <li>• Service Managers Forum – Leader/Deputy, MD and Directors – update, <b>Q&amp;A and listen</b></li> </ul>	<p>Depot, Leisure Centres – being visible, observing <b>and listening</b></p> <ul style="list-style-type: none"> <li>• SMT and Cabinet – away-days (blue sky thinking) – business and strategy planning – next session planned for 1<sup>st</sup> April 2022</li> <li>• Employee survey due this spring to obtain current staff perceptions</li> <li>• Refreshing appropriate policies and training delivered to ensure managers have basic leadership skills</li> </ul>

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					<ul style="list-style-type: none"> <li>Employee liaison group – quarterly – Leader/Deputy, MD and Directors meet with staff to update, Q&amp;A <b>and listen</b> – promoted to all staff</li> <li>Site Visits – Leader/Deputy/Cabinet/MD/Directors x 2 p.a. each site to update, Q&amp;A <b>and listen</b></li> <li>Employee Awards – celebration at Mill Lane</li> <li>Employee survey – another mechanism for <b>listening</b></li> </ul>				
STR9	Sept 19	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x3	<b>9</b>	Risk Owner / Lead Officer	SMT
<b>STR10</b> <b>Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.</b>		<ul style="list-style-type: none"> <li>Profile of safeguarding is poor</li> <li>Staff and members do not know what safeguarding is and their role within it</li> <li>Staff and members do not know how to spot the signs</li> <li>Staff and members do not know how to report it and to who?</li> <li>Lack of public confidence in Council policies plans and staff</li> <li>Reputational damage</li> <li>Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable</li> </ul>			<ul style="list-style-type: none"> <li>The Council has in place up to date policies for safeguarding both Children and Adults at Risk. These policies are aligned to DCC policies which in turn are in line with legislation, regulation and statutory duties placed on Local Authorities.</li> <li>The Council has in place and maintain systems of working practice to safeguard children and adults at risk during or aligned to Council activities and those who receive Council services.</li> <li>Staff recognised as appropriate to do, are DBS checked</li> </ul>			Regular and ongoing internal audit to assure compliance – every two years.	

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		Adults possibly leading to personal harm, injury and death			<ul style="list-style-type: none"> <li>• All staff receive mandatory safeguarding training</li> <li>• Safeguarding is widely promoted and embedded throughout the organisation with all staff being issued with a wallet sized 'safeguarding quick reference guide' which details what to look out for and what to do</li> <li>• The Council has an internal safeguarding group which meets quarterly which has representation from all service areas of the Council.</li> <li>• The Council host and Chair the Countywide Derbyshire Safeguarding Leads Sub Group of the Derbyshire Safeguarding Childrens' Board and Derbyshire Safeguarding Adults Board</li> <li>• The Council are represented on both the Derby and Derbyshire Safeguarding Children's Partnership (DDSCP) and the Derbyshire Safeguarding Adults Board ( DSAB)</li> </ul>				
STR10	16/11/ 20	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x4	<b>20</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	4x3	<b>12</b>	Risk Owner / Lead Officer	SMT / Political Leadership

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
<b>STR11</b> <b>Impact of HS2 and the electrification of the MML on environment, heritage, communities and businesses.</b>		<ul style="list-style-type: none"> <li>Without considerable environmental mitigation measures will have a negative impact on the visual amenity of the district, disruption to businesses, home owners and communities. It also has the potential to cause disruption on the roads and stall progress on areas of development due to uncertainty.</li> </ul>			<ul style="list-style-type: none"> <li>Senior management actively engaged with HS2 staff to discuss proactive business mitigation measures.</li> <li>Political leadership working with relevant community groups and agencies lobbying for enhanced mitigation measures.</li> <li>Contributing to the East Midlands HS2 growth strategy and mitigation study</li> <li>Awaiting the outcome of the Government Review and the Integrated Rail Plan</li> </ul>			<p>This risk is under review following recent announcements made in relation to this stage of the programme affecting our area. Even though/if the HS2 project does not come this far north, residual risk may remain.</p> <p>To be reviewed by March 2022.</p>	
STR11	16/11/ 20	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	Risk Owner / Lead Officer	SMT / Political Leadership
<b>STR12</b> <b>Failure to address the impact of COVID-19 upon the organisation, local economy and community</b>		<ul style="list-style-type: none"> <li>Inability to deliver services or service failure</li> <li>Loss of income to the Council</li> <li>Inability to provide safe working environment resulting in COVID contamination and infection</li> <li>Adverse impact on employee health</li> <li>Inability to change the Councils 'ways of working' to meet the current challenges</li> </ul>			<ul style="list-style-type: none"> <li>The Council plays an active role in the Local Resilience Forum (LRF) and network of sub groups taking part in very frequent meetings and working to effectively and collectively tackle the impact of COVID within the County. This forum includes many agencies across the public sector spectrum including emergency services, NHS, Public Health and others (see strategic risk 6 also)</li> <li>The Council has in place effective business continuity and emergency</li> </ul>			<p>Weekly LRF meetings to understand the Derbyshire position and collectively address and issues impacting on services.</p> <p>Frequent SMT and Viper (Leaders of all parties) to discuss and decide mitigation actions for NEDDC.</p>	

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	<ul style="list-style-type: none"> <li>• Increased Cybersecurity and ICT related risk due to remote working increase</li> <li>• Inability to deliver strategic plans and ambitions</li> <li>• Inability to support local businesses and employers</li> <li>• Inability to support the community and in particular vulnerable people</li> </ul>	<p>action plans which enabled the effective and efficient deployment and diversification of resources to ensure service resumption, business and community support in the initial response phase of the COVID-19 pandemic</p> <ul style="list-style-type: none"> <li>• The Council have in place robust recovery plans which include the following;</li> <li>• Maintaining Financial Control - Development of financial resilience reserves and accessing govt. funding aimed at local authority support, service budget reviews, controlling expenditure, regular fees and charges reviews, furloughing staff as necessary</li> <li>• Workplace Safety – Return to work protocols and risk assessments, regular inspection, social distancing plans, protection and hygiene measures, PPE, staff testing, communication plan, staff related policy reviews, training and briefings, recognition of vulnerable employees</li> <li>• New Ways of Working – Virtual and remote working capability, digital workforce training, digital inclusion plans, remote and homeworking task group, homeworking policy</li> </ul>	



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		<p>review, website and online services capability review, managing teams remotely guidance</p> <ul style="list-style-type: none"> <li>• ICT and Cybersecurity – Evaluation of remote applications and tools, training and guidance, cybersecurity investment planning</li> <li>• Front Facing Services – Workplace safety as above, public interaction protocols, equipment such as ‘sneeze, screens in place and face masks etc, floor markings and signage, social distancing measures, one way systems in facilities and public areas, NHS test and trace registration and materials in place</li> <li>• Strategy and Plans Review – Risk management, Transformation Programme, Digital, Climate Change, People, Growth, Tourism and Leisure are all strategies either reviewed or currently being reviewed</li> <li>• External Recovery Plans – Aimed at the local economy, business support and survival, includes channelling and distribution of business grants, council tax and business rates support, links to other bodies including; LRF Recovery Sub Group, D2N2 Recovery. There is</li> </ul>	

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					also a key focus on Communities and the Council's engagement and support with them including Parish Councils, voluntary sector and partners at all levels in the restoration and recovery challenge				
STR12	Nov 20	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x5	<b>25</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	5x3	<b>15</b>	Risk Owner / Lead Officer	SMT / Political Leadership
<b>STR13</b> <b>Cyber security attack which severely impacts ICT systems and data. E.g. Ransomware attack rendering access to ICT unavailable for some time.</b>		<ul style="list-style-type: none"> <li>• Inability of Council to provide services as a consequence of a severe catastrophic event which renders access to ICT unavailable such as Ransomware attack.</li> <li>• Potential ICO Fines and reputational damage.</li> <li>• Adverse Impact upon Service Quality and income streams.</li> <li>• Failure to deliver high quality services which address national and local priorities.</li> <li>• Potential ICO fines for loss of data</li> <li>• Significant adverse reputational impact.</li> <li>• Significant cost to Council.</li> </ul>			<ul style="list-style-type: none"> <li>• See Operational level activities risk reference ICT1</li> <li>• The Council works in partnership with a range of partners on its Emergency Planning arrangements to ensure that we operate in line with best practice.</li> <li>• All sections have Business Continuity plans in place which identify key risks and mitigation.</li> <li>• Corporate IT systems have been tested against Industry standards for Business Continuity.</li> <li>• Awareness raising sessions taken place with SMT, Cabinet and other relevant committees.</li> </ul>			<p>Emergency planning to run Cyber security training events.</p> <p>Improved awareness to Service Managers.</p> <p>Service Managers to review business continuity plans specifically relating to cyber-attack.</p> <p>Cabinet paper outlining the response to the Cleveland and Redcar case study and recommendations</p> <p>Ongoing work to ensure continued security and compliance. Next PSN (public Services Network) compliance review June 22.</p>	

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
								Review response to Cleveland and Redcar case study and report to Cabinet. March 2022.  Business Continuity exercise to be delivered focussed upon the loss of access to digital data/systems.	
STR13	08/02/2021	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x5	<b>20</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	Risk Owner / Lead Officer	SMT / Political Leadership

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
<b>STR14</b> <b>Illegal dumping of waste on large area of Council owned land at Rotherside Road, Eckington leading to prosecution and/or contamination or water course or risk to human health/environment.</b>		<ul style="list-style-type: none"> <li>• Potential contamination of river Rother</li> <li>• Potential risk to human health/environment from waste</li> <li>• Potential prosecution by the Environment Agency for knowing allowing deposit of waste onto land</li> <li>• Cost of remediation of land potentially substantial</li> </ul>			<ul style="list-style-type: none"> <li>• Council peaceably re-entered site and taken control of site. 16/06/2021</li> <li>• Council Secured site</li> <li>• Keep Environment Agency informed of Council actions</li> <li>• Visible hazardous waste has been removed</li> <li>• Tenders received for site investigation works across the site and contractor will be instructed in Early Feb 2022.</li> </ul>			<ul style="list-style-type: none"> <li>• Lessons learned to be created 31<sup>st</sup> March 2022</li> <li>• Site investigation report to be commissioned February 2022</li> <li>• Site remediation works to deal with any risks (timescale dependant on findings above)</li> </ul>	

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR14	22/06/2021	<b>Inherent Risk Score</b> (Likelihood x Impact)			<b>Residual Risk Score</b> (Likelihood x Impact)			Risk Owner / Lead Officer	SMT / Political Leadership
<b>STR15</b> <b>Climate Change</b>		•			•			•	
STR15	21/01/22	<b>Inherent Risk Score</b> (Likelihood x Impact)			<b>Residual Risk Score</b> (Likelihood x Impact)			Risk Owner / Lead Officer	