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**North East  
Derbyshire**  
District Council

# **STRATEGIC RISK REGISTER**

**31 January 2023**

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Area Of Risk (Reference / Date)			Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned	Responsible Officer/s	Target Date	RAG
<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>			<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 identifying mitigation 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.</li> <li>Effective engagement with staff to ensure they embrace necessary change.</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.	SMT / Political Leadership	On going	
STR1	Original Date: Sept 19	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>				
<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> <li>The Council follows the CIPFA code of accounting practice and all International</li> </ul>			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.  Financial resilience metrics have been produced and will be monitored by the S151 Officer and reported to Audit Committee twice a year.	Political Leadership / S151 Officer/ SMT	On going	

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						Financial Reporting Standards when producing their statutory accounts <ul style="list-style-type: none"> <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>						
STR2	Original Date: 16/11/20	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>				
<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>			<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 impacted 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 helps 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;</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.	SMT	On going	

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						risks/threats/opportunities; mitigation; and potential further action. • Strategic and Operational risks are reviewed constantly and consideration given with regard to an escalation of the risk to become a strategic risk.						
STR3	Original Date: Sept 19	Reviewed Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x5	<b>15</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x5	<b>10</b>				
<b>STR4</b> <b>Emergency Planning and Business Continuity arrangements fail to meet required standards</b>  <b>See STR 13 for Cyber security specific risk</b>			<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> <li>Reputational damage.</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> <li>Business Continuity exercise has now been delivered during early 2022 focussed upon the loss of access to digital data/systems. An action plan has been developed based upon the learning and findings from the event.</li> <li>A Business Continuity Exercise has been undertaken during November 2022 with</li> </ul>			Business Continuity exercise Complete Power Outage - An action plan is currently in development based upon the learning and findings from the event.  Work is underway with LRF partners across Derbyshire to strengthen the LRF, meeting the newly published LRF Standards. This is alongside transitioning to a Local Resilience Partnership, supported by a small team, upskilling partner organisations and ensuring better community involvement in the development of plans.  Working with Counter Terrorism Police, NEDDC are accessing training materials and direct support to assist in preparation for the Protect Duty referred to as Martin's Law.	SMT		

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						a focus upon widespread and Complete Power Outage						
STR4	Original Date: Sept 19	Review Date: Jan 23	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x5	<b>25</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	5x3	<b>15</b>				
<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> <li>The market has changed significantly as a result of the COVID Pandemic. It is proving harder to recruit to some posts.</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 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> <li>Ensuring that the culture and benefits for working for North East Derbyshire DC are 'front and centre' in all recruitment packages.</li> </ul>	Part of the ongoing work is identifying opportunities to 'partner' with others who share the same challenges and experiences.  Work is ongoing with managers to improve workforce planning and succession planning within key services and job roles.  A 'Talent Pipeline' strategy is currently in production. It is very much anchored to our 'continued employee growth' and 'grow your own' corporate mind-set. In essence a talent pipeline is a multi-stream mechanism within which a cohort of candidates are engaged, supported and developed with the intention of filling future roles that might open up within the organisation	SMT	March 23			
STR5	Original Date: Sept 19	Reviewed Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>				

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<p><b>STR6</b>  <b>Delivery of major initiatives and key projects against a backdrop of challenging financial targets and maintaining service quality.</b></p>	<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>• At the meeting in October 2021, Council recognised that the senior management structure was no longer fit for purpose. A re-structure of SMT was approved and implemented.</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 amongst the Council as a whole.</li> <li>• 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></li> <li>• A recent interim structure change has taken place to deal with the departure of the former Director of Growth – this interim structure has worked well.</li> <li>• A permanent SMT structure was to presented to Council in October 2022 with all appointments now in place with the exception of one new post – interviews being held Dec 19<sup>th</sup> 2022.</li> </ul>	<p>None at this stage.</p>	<p>SMT</p>	<p>On going</p>	<p style="background-color: yellow;"> </p>

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STR6	Original Date: Sept 19	Reviewed Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>					
<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 Leader's regular update is sent to all Parish Councils.</li> <li>The Council has an active Programmes Team and senior Members / Officers actively engage with other organisations serving the area.</li> <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>Review of events completed on 02.12.21 with improvements on engagement and staff resource.</li> <li>Meet the Council events held at Clay Cross and Eckington and Shirland.</li> <li>Stakeholder and/or community consultation and engagement built into major projects and developments such as UKSPF and Clay Cross Town Deal.</li> <li>Regular representative engagement through Citizen's Panel.</li> </ul>			Business engagement mechanisms being developed by Economic Development Team.  Communications Team increasing the opportunities for responses to social media output.		SMT / Political Leadership		
STR7	Original Date: Sept 19	Review Date: Jan 23	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x3	<b>6</b>					

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<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 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>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>			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.			S151 Officer / Monitoring Officer / SMT	On going	
STR8	Original Date: Sept 19	Reviewed Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	<b>8</b>						
<b>STR9</b> <b>Staff morale / sickness levels adversely affected as a result of the pace of change, tightening financial</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> </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</li> </ul>			Other activities either ongoing or being planned for the next 12 months and beyond include; <ul style="list-style-type: none"> <li>'Back to the Floor' sessions – Leadership, MD &amp; Directors</li> </ul>			SMT	On going	

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circumstances or external circumstances.			<ul style="list-style-type: none"> <li>Increased pressure on other members of staff.</li> <li>Loss of 'goodwill.'</li> </ul>			<ul style="list-style-type: none"> <li>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 intensively with the workforce to mitigate the impact of these upon individual employees – for example throughout the pandemic.</li> <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.</li> <li>SMT and Cabinet – away-days (blue sky thinking) – business and strategy planning – took place on 1<sup>st</sup> April 2022, a follow-up on 6<sup>th</sup> September 2022</li> </ul>			<ul style="list-style-type: none"> <li>across the Council – take part, observe <b>and listen</b></li> <li>MD to work out of various locations each week – Depot, Leisure Centres – being visible, observing <b>and listening</b></li> <li>SMT and Cabinet – away-days (blue sky thinking) – business and strategy planning</li> <li>Employee survey due to obtain current staff perceptions</li> <li>Refreshing appropriate policies and training delivered to ensure managers have basic leadership skills</li> </ul>			
STR9	Original Date: Sept 19	Reviewed Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	<b>12</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	3x3	<b>9</b>				
<b>STR10</b> Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.			<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> </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> </ul>			Regular and ongoing internal audit to assure compliance – every two years.	SMT / Political Leadership	On going	

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			<ul style="list-style-type: none"> <li>Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable Adults possibly leading to personal harm, injury and death.</li> </ul>			<ul style="list-style-type: none"> <li>Staff recognised as appropriate to do, are DBS checked</li> <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</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	Original Date: 16/11/20	Reviewed Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x4	<b>20</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	4x3	<b>12</b>				
<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> <li>Increased Cybersecurity and ICT related risk due to remote working increase</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 action plans which enabled the effective and efficient deployment and diversification of resources to ensure service resumption, business and</li> </ul>				SMT / Political Leadership	On going	

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			<ul style="list-style-type: none"> <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>			<ul style="list-style-type: none"> <li>community support in the initial response phase of the COVID-19 pandemic</li> <li>The Council have in place robust recovery plans which include the following;                             <ul style="list-style-type: none"> <li>Maintaining Financial Control</li> <li>Workplace Safety</li> <li>New Ways of Working</li> <li>ICT and Cybersecurity</li> <li>Front Facing Services</li> <li>Strategy and Plans Review</li> <li>External Recovery Plans</li> </ul> </li> <li>The government have established a 'living with Covid' approach with previous measures now being removed. The LRF have stood down in this regard now with all meetings, frameworks being removed.</li> <li>A Winter preparedness LRF action plan is in operation for winter.</li> </ul>						
STR12	Original Date: Nov 20	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	5x5	<b>25</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	5x3	<b>15</b>				
<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> </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> </ul>			Ongoing work to ensure continued security and compliance.	SMT / Political Leadership	Ongoing	

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			<ul style="list-style-type: none"> <li>• Significant adverse reputational impact.</li> <li>• Significant cost to Council.</li> </ul>			<ul style="list-style-type: none"> <li>• Awareness raising sessions taken place with SMT, Cabinet and other relevant committees.</li> <li>• Review response to Cleveland and Redcar case study and report to Cabinet was taken in March 2022.</li> <li>• Business Continuity exercise has been delivered focussed upon the loss of access to digital data/systems.</li> <li>• Emergency planning to run Cyber security training events.</li> <li>• Improved awareness sessions delivered to Service Managers.</li> <li>• Service Managers reviewed business continuity plans specifically relating to cyber-attack.</li> <li>• Cabinet paper outlining the response to the Cleveland and Redcar case study and recommendations produced</li> <li>• PSN (public Services Network) compliance review undertaken June 22.</li> </ul>							
STR13	Original Date: 08/02/21	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	4x5	<b>20</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	4x4	<b>16</b>					
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<b>STR15</b> <b>Climate Change – meeting the challenge and impact upon the organisation in its environment</b>			<ul style="list-style-type: none"> <li>• Meeting potential changes around government policy and targets.</li> <li>• Financial pressures of changes required including buildings, fleet, land, utilities etc.</li> <li>• Capacity to deliver change – both Human and Financial.</li> <li>• Impact upon operations and carbon neutrality targets.</li> <li>• Visibility of activity/actions by the Council in this regard.</li> </ul>			<ul style="list-style-type: none"> <li>• Council declared a Climate Emergency 2019.</li> <li>• Council Climate Change Strategy 2022-2030 approved December 2022.</li> <li>• Key targets for the organisation set to achieve net zero by 2030.</li> <li>• Climate Change Group established to track progress and influence change</li> <li>• NEDDC leading (chair) the County-wide Climate Change Group.</li> <li>• Regular reporting of progress to internal Member/Officer Group.</li> <li>• Extensive External Wall Insulation programme undertaken and continuing</li> </ul>			<ul style="list-style-type: none"> <li>• Council Climate Change Strategy 2022-2030 Action Plan being finalised; will be regularly monitored following the recruitment of staff.</li> <li>• Take advantage of further funding opportunities as they arrive.</li> <li>• Deliver on the Asset Carbon Survey findings.</li> <li>• Deliver on Accommodation Review findings.</li> </ul>		SMT / Political Leadership		

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			<ul style="list-style-type: none"> <li>Community Leadership challenge – engagement and education – reputational damage if not seen to be leading by example. Reputational damage if own targets not met.</li> </ul>			<ul style="list-style-type: none"> <li>in regard to Hard to Treat Council housing stock.</li> <li>Asset Carbon Survey undertaken to establish opportunities and threats in relation to building stock.</li> <li>Accommodation review underway to explore possibility of co-location amongst other things.</li> <li>Linking with Cost of Living activity due to mutual outcome synergies.</li> </ul>			<ul style="list-style-type: none"> <li>Working with partner councils to develop a joint decarbonisation approach for local businesses.</li> <li>Developing climate change priorities for UKSPF themes such as Shop Front Improvement Scheme and Village Hall and Community Venues.</li> <li>Planned recruitment of Outreach Workers to support residents achieve energy efficient properties.</li> </ul>			
STR15	Original Date: 07/06/22	Review Date: Jan 23	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	12	<b>Residual Risk Score</b> (Likelihood x Impact)	3x3	9				
<b>STR16</b> <b>Utilities, fuel and general Cost of Living rises</b>			<ul style="list-style-type: none"> <li>A disruption to supply chains and lack of raw materials increases the potential to delay or increase the cost of capital projects</li> <li>Financial pressure upon delivery of day-to-day operations i.e. heating buildings, energy, fuel for fleet etc.</li> <li>This combination also impacts upon wider communities, household budgets and the financial security of our residents increasing the cost of everyday items including food and the cost of living generally</li> <li>These impacts upon the wider community, in-turn have a significant potential to impact further upon Council services through rent arrears from housing</li> </ul>			<ul style="list-style-type: none"> <li>Internal energy audit across assets (inc depot, leisure centres, business units)</li> <li>Establishing internal Energy Champions</li> <li>Reviewing NEDDC website and links. To include a banner on every page which hyperlinks to a 'Cost of Living Crisis' section on the website</li> <li>Attendance at Internal Financial Inclusion officer group</li> <li>Consideration of what are current short-/medium-/long-term priorities for staff (to assess if resources need to be reprioritised)</li> <li>emphasising the support to communities already out there – council tax support, housing benefit/UC, discretionary housing payments etc</li> </ul>			<ul style="list-style-type: none"> <li>Continue to access and publicise grant opportunities (e.g. LAD funding for EVI works)</li> <li>Extension of Growth Hub Work via UKSPF to include energy efficiency advice</li> <li>Potential unallocated funding from UKSPF business Advice and Guidance theme (£tbc) that could be spent on additional business energy efficiency advice</li> <li>Potential to include windows replacement and other appropriate energy efficiency measures as part of UKSPF Brighter Business theme</li> <li>Develop a business-focused energy efficiency pack to educate SME businesses</li> </ul>	SMT / Political Leadership		

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	<p>and business tenants, increased demand for welfare support and homelessness services amongst many other things</p>	<ul style="list-style-type: none"> <li>• Growth Hub Advisor currently within EDU, investigating the potential of upskilling the Advisor and/or establishing support channels for them to signpost to</li> <li>• Advice agencies approached on 24.08.22 to discover what they are doing to address the 'Cost of Living Crisis'</li> <li>• Meeting with NED/Bolsover/Chesterfield/DCC Financial Inclusion Group on 06.09.22 to identify current support offer and consider new opportunities for support through the UKSPF Inclusive Communities Theme</li> <li>• Cross Party group VIPER established to support collaborative approach to tackling this issue</li> <li>• The NEWS – have a strong focus on the 'Cost of Living Crisis' for the November edition with dedicated pages and focus on the cover. To include specific help, advice and signposting, including useful 'top tips' (pitched correctly)</li> <li>• Greater focus on Cost of Living Crisis and energy efficiency as part of the UKSPF Inclusive Communities Theme [see Partners], such a potential for commissioning third-sector led 'Community Energy Champion' programme</li> <li>• Develop multi-channel communication approaches to sharing awareness of support, advice and guidance (i.e. social media, website, The NEWS)</li> <li>• Identify if there is potential for extending (short-medium-term) provision of Home Assistance Co-ordinator role</li> </ul>	<p>(based on Parish Climate Pack approach)</p>			

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Area Of Risk (Reference / Date)			Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned	Responsible Officer/s	Target Date	RAG
STR16	Original Date: 07/06/22	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	5 x 4	<b>20</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	4 x 3	<b>12</b>				
<b>STR17</b> <b>Asylum Dispersal Area status – no longer voluntary for LA's to decide</b>			<ul style="list-style-type: none"> <li>Community cohesion / tensions</li> <li>Loss of private sector housing via Serco procurement</li> <li>Increased demand / costs re: local / council services</li> </ul>			<ul style="list-style-type: none"> <li>Close liaison with county council via the resettlement, cohesion and integration board</li> <li>Joined up approach to hot mapping of potential property procurement by using local intelligence via Police, Fire, Schools and council depts., including RHL</li> </ul>			<ul style="list-style-type: none"> <li>Staff training</li> <li>Sourcing of translation / interpretation services</li> </ul>	SMT / Political Leadership		Choose an item.
STR17	Original Date: 07/06/22	Review Date: 17/01/23	<b>Inherent Risk Score</b> (Likelihood x Impact)			<b>Residual Risk Score</b> (Likelihood x Impact)						
<b>STR18</b> <b>Devolution and County Deals</b>			<ul style="list-style-type: none"> <li>Failure to keep elected members fully informed of the proposals</li> <li>Failure to keep the general public and other stakeholders fully informed of the proposals</li> <li>Failure to effectively communicate the process and timescales for consultation</li> <li>All leading to uninformed decision making by the four upper tier authorities</li> </ul>			<ul style="list-style-type: none"> <li>Regular and consistent senior District Council involvement in meetings with the four upper tier authorities throughout</li> <li>Regular and consistent updates provided to elected Members and Officers of the Council throughout including; Council, Cabinet, VIPER (cross party group) SMT, staff briefings, Leaders updates and intranet</li> <li>Effective and widespread communication of the proposals and consultation details within the organisation and community via social media, website and printed media</li> <li>Response from the Council to the consultation process</li> </ul>				SMT / Political Leadership	Jan 23	

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Area Of Risk (Reference / Date)			Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned	Responsible Officer/s	Target Date	RAG
STR18	Original Date: 21/01/22	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x4	12	<b>Residual Risk Score</b> (Likelihood x Impact)	2x4	8				
<b>STR19</b> <b>Refusals of planning consent being issued based on non-evidenced decisions</b>			<ul style="list-style-type: none"> <li>Potential for reputational and financial loss.</li> </ul>			<ul style="list-style-type: none"> <li>Training undertaken with members during 2020/21 and non-attendance identified</li> <li>Training put in place for Officers and Members for 2022/23</li> <li>Officer advice provided at Committee.</li> </ul>			<ul style="list-style-type: none"> <li>Further Training Sessions</li> </ul>	Richard Purcell	May/June 23	
STR19	Original Date: 1.1. 2022	Review Date: Dec 22	<b>Inherent Risk Score</b> (Likelihood x Impact)	5 x 5	25	<b>Residual Risk Score</b> (Likelihood x Impact)	3 x 3	9				
<b>STR20</b> <b>NW1 (operational register ref)</b> <b>North wood JV – Construction partner collapse</b>			<ul style="list-style-type: none"> <li>Financial contribution risk – asset/land and loan</li> <li>Site security and insurance</li> <li>Reputational risk of non-delivery – Council seen to spend public money and not deliver objectives</li> <li>Stalled delivery, dispute resolution causing delays</li> <li>Private sector not attracted to the site opportunities – a new contractor cannot be found to deliver in line with business plan objectives</li> <li>Delays in finding a new contractor enhances the risk of cost inflation for construction and skills and increases potential for market value fluctuation</li> <li>Reducing viability of the scheme</li> </ul>			<ul style="list-style-type: none"> <li>Contract/agreement in place that ensures the asset is returned to the Council in the event of JV failure</li> <li>Notice served on Woodheads for breach of contract (This may be useful when administrators are appointed)</li> <li>Woodheads confirmed that the site remains insured under the group policy until October 2022</li> <li>Contract restricted to phase A and B – not the whole site</li> <li>We have engaged Freeths (external legal support/advice) for both security of the loan/land and options available to the Council in terms of JV</li> <li>We have approached Savills (external commercial support/advice) we currently await a response including fee proposal should we choose to engage.</li> </ul>			<p>The Council are now in receipt of advice to support both Council decision making and Northwood.</p> <p>Works continue on site to mitigate localised flooding and ensure site security is maintained. Pre-construction works commissioned to progress the completion of the drainage system, section agreements and novation of utility contracts.</p> <p>In addition, market testing of the site is underway to explore interest in the site to inform decision making further.</p>	SMT / Political Leadership		

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					<ul style="list-style-type: none"> <li>• QS firm engaged to undertake site valuation at point of liquidation</li> <li>• Further discussions ongoing with sector experts including actions to consider/work through in such situations</li> <li>• NEDDC Officers have secured the site changing locks and including provision of onsite security in the short term</li> <li>• Contact made with most subcontractors to arrange access for tools and plant.</li> <li>• Holding discussions held with site sub-contractors</li> </ul>						
<b>STR20</b>	Original Date: 14.9.22	Review Date: 17/01/23	<b>Inherent Risk Score</b> (Likelihood x Impact)	<b>16</b>	<b>Residual Risk Score</b> (Likelihood x Impact)	<b>15</b>					
<b>STR21</b> <b>Implementation of the Elections Act 2022</b>  <b>Implementation of the Elections Act 2022</b>  Key policy details were not confirmed and secondary legislation not published in a timely way. This means that everything is being done at the last minute. This may lead to the Returning Officer being unable to implement the Elections Act 2022 requirements adequately in May 2023. This could result in Voter ID not being successfully introduced and confusion. Some voters may be dis-enfranchised leading to a			<ul style="list-style-type: none"> <li>• Any elections taking place might be undermined.</li> <li>• The democratic legitimacy of the Council might be undermined hindering its ability to fulfil its role.</li> <li>• The Returning Officer may struggle to deliver the elections they have personal responsibility for.</li> <li>• The risk of challenge by petition after the election will be higher.</li> <li>• Without more information the necessary systems, including software, cannot be implemented and training cannot be provided.</li> <li>• Certain groups are more likely to be disadvantaged than others, resulting in increased inequalities.</li> <li>• Polling Station staff will have greater responsibilities, including challenging voters about their ID.</li> </ul>		<ul style="list-style-type: none"> <li>• There will be extra money from the Government for implementation, but this will not be ring fenced and will only cover costs associated with Voter ID not additional election costs.</li> <li>• The <b>One Team</b> approach needs to be taken in order that officers can provide essential necessary support – for example equalities advice, ICT help, Communications, Facilities etc.</li> <li>• The Electoral Commission will undertake much of the Voter ID advertising campaign and making electors aware of the new requirements, but the Returning Officer needs to consider the demographics and harder to reach parts of the electorate and the support that they will require.</li> <li>• There will be a review of polling stations to see which ones are</li> </ul>			<p style="color: red; text-align: center;"><b>Currently being developed – risk rating to be determined!</b></p>	Electoral Registration Officer /  Returning Officer		

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lack of confidence in election results.			This may result in recruitment issues for polling station staff. <ul style="list-style-type: none"> <li>Not all polling stations are suitable because they will require privacy areas. There may be insufficient polling stations across the District.</li> </ul>			suitable and unsuitable. Additional equipment will be purchased to ensure that requirements are met. <ul style="list-style-type: none"> <li>Job roles for election staff will be reviewed to provide clarification on what is required and the staff payments will need to take in to account the increased level of responsibility.</li> </ul>						
<b>STR21</b>	Original Date: 26/09/22	Review date: 17/01/23	<b>Inherent Risk Score</b> (Likelihood x Impact)	3x5	<b>15</b>	<b>Residual Risk Score</b> (Likelihood x Impact)						