

Risk Ref	Risk Assessment Date	Area Of Risk	Inherent Risk Value			Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Residual Risk Value			Potential Further Action / Action Planned	Risk Owner
			Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score		
STR1	Sep-19	<b>Parliamentary uncertainty following the General Election, Government Legislation / impact of referendum vote to leave the EU / adverse external economic climate has an accelerating impact on Council funding, or upon the local economy, to which Council is unable to adopt an appropriate change of Strategic direction. The decision to leave the EU creates significant uncertainties whilst there is a significant programme of legislative change which impacts directly upon local government.</b>	4	4	<b>16</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> </ul>	<p>Mitigation.</p> <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>Effective engagement with staff to ensure they embrace necessary change.</li> </ul>	3	4	<b>12</b>		SAMT / Political Leadership
STR2	Sep-19	<b>Failure to deliver a balanced budget in line with the MTFP, at a time when the Council's reserves are at an acceptable rather than a robust level, and localism has created significant uncertainties re future funding levels.</b>	4	4	<b>16</b>	<ul style="list-style-type: none"> <li>Impact upon ability to deliver current level of services.</li> <li>Unable to resource acceptable levels of service.</li> <li>Significant adverse reputational Impact.</li> </ul> <p>The Covid 19 pandemic is putting a significant and unprecedented risk on budget setting</p>	<p>Mitigation</p> <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 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year.</li> </ul> <p>The Council has been closely monitoring the impact of Covid 19 and adjusting the budgets accordingly. The financial impact of the pandemic is recorded as a key risk in budget setting for the MTFP refresh</p>	3	4	<b>12</b>		Political Leadership / S151 Officer / SAMT

STR3	Sep-19	<b>The Council is affected by a operational service failure which has a major impact upon the local community, this impact being reflected in the Council's sustainability and reputation. Failure could arise from services – inc Data Protection – failing to adhere to best practice. Resulting in a potential impact upon the Council's ability to secure its corporate objectives. Given the efficiency measures that have been introduced to date this is considered to be an increasing issue for the Council.</b>	3	5	15	<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>	<p>Mitigation</p> <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. On going 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> </ul>	2	5	10		SAMT
STR4	Sep-19	<b>Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc. Cyber crime with a loss of data / systems, results in the inability to provide core services and reputational damage.</b>	5	5	25	<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, flu pandemic, fire, cyber crime).</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>	<p>Mitigation</p> <ul style="list-style-type: none"> <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. There is an annual 'desktop' scenario to test officers understanding of the arrangements and validate that they are fit for purpose in a realistic 'trial' 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 failing to be effective.</li> <li>• The Council has in place industry standard measures to minimise the risk of cyber crime</li> </ul>	5	3	15		SAMT

STR5	Sep-19	<b>Increasing difficulty in recruiting to key posts or in replacing key staff who leave. Staff morale is adversely affected arising from the pace of change, tightening financial circumstances or external circumstances.</b>	3	4	12	<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> </ul>	<p>Mitigation</p> <ul style="list-style-type: none"> <li>• The Council has effective communication and working with staff as validated by securing 'silver' accreditation at IIP.</li> <li>• There is sufficient funding to bring in agency staff where required to maintain service performance.</li> <li>• At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas it has proved possible to recruit appropriate replacement staff.</li> <li>• Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality / continuity.</li> <li>• The Council is looking to introduce appropriate apprenticeship / training schemes in order to develop suitable staff.</li> </ul>	2	4	8		SAMT
STR6	Sep-19	<b>Delivery of the Council's Agenda is dependent upon effective delivery of both a number of major initiatives / projects and implementing a range of new government reforms whilst achieving financial targets and maintaining service quality, which may overstretch our reduced organisational capacity.</b>	3	4	12	<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> </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> </ul>	2	4	8		SAMT
STR7	Sep-19	<b>Need to effectively engage with local communities and a range of local partners (inc Shared / Joint services) to deliver cost effective joined up services.</b>	3	4	12	<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>	<p>Mitigation</p> <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 an active Partnerships 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> </ul>	2	4	8		Political Leadership Team / SAMT

STR8	Sep-19	<b>Governance Arrangements including Performance, Finance and Risk Management need to be maintained in order to continue to operate effectively in a rapidly changing environment.</b>	3	4	12	<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> </ul>	<p>Mitigation</p> <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 Annual Governance Report sets out an evidence based structured assessment of the operation of the Council's governance arrangements.</li> </ul>	2	4	8		S151 Officer / Monitoring Officer / SAMT
STR9	Sep-19	<b>Staff morale / Sickness Levels adversely affected as a result of the pace of change, tightening financial circumstances or external circumstances.</b>	3	4	12	<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 with the independent IIP standards and HR 'good practice' to help ensure current staff are well managed and motivated.</li> <li>• The staff has 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 and seeks to bring in 'agency staff' etc as required.</li> <li>• While the Council cannot control external circumstances it has continued to work with staff to mitigate the impact of these on individual employees.</li> </ul>	3	3	9		SAMT

STR10	Sep-19	<b>Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.</b>	5	4	20	<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 Adults possibly leading to personal harm, injury and death</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has in place up to date policies for safeguarding both Children and Vulnerable Adults. 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 vulnerable adults at Council activities and those who receive Council services.</li> <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> </ul>	4	3	12		SAMT/Political Leadership
STR11	Sep-19	<b>Failure of NEDDC's Local Plan to be found sound at independent examination.</b>	4	4	16	<ul style="list-style-type: none"> <li>• Potential Government intervention</li> <li>• Undermining the local plan</li> <li>• Reputational damage</li> <li>• Loss of control of planning and development</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has successfully avoided Government intervention in the plan-making process.</li> <li>• The Plan has now been through independent examination by the independent Inspector.</li> <li>• The Council has taken all reasonable steps in the preparation of the Plan to ensure that it is based on sound evidence and meets procedural and legal requirements. This has included taking external legal advice, securing an advisory visit with the Planning Inspectorate and engaging consultants to critically review the Publication Draft Plan.</li> <li>• The Plan is currently out for consultation on the main modifications as requested by the Inspector. The consultation is expected to be completed by the end of December 2020.</li> </ul>	2	4	8		SAMT / Political Leadership

STR12	Sep-19	<b>Impact of HS2 and the electrification of the MML on environment, heritage, communities and businesses.</b>	4	4	16	<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> </ul> <p>Awaiting the outcome of the Government Review and the Integrated Rail Plan</p>	4	4	16		SAMT / Political Leadership
STR13	Nov-20	<b>Failure to address the impact of COVID-19 upon the organisation, local economy and community</b>	5	5	25	<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> <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>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 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 - Development of financial resilience reserves and accessing gov. funding aimed at local authority support, service budget reviews, controlling expenditure.</li> </ul> </li> </ul>	5	3	15		SAMT / Political Leadership





## CORPORATE GOVERNANCE OPERATIONAL RISK REGISTER

Risk Ref	Risk Assessment Date	Area Of Risk	Inherent Risk Value			Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Residual Risk Value			Potential Further Action / Action Planned	Risk Owner
			Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score		
HS01	18.09.20	Unable to submit RIDDOR reports if a cyber-attack should affect the on-line HSE reporting route	2	3	6	Adverse HSE reaction regarding failure to report (criminal offence) or late reporting (can be fined)	HSE can be notified of some incidents via phone. NEDDC has a good track record of timely notification to the HSE	2	2	4		Head of Corporate Governance, Health & Safety Manager
HS02	18.09.20	Unable to competently deliver Health & Safety advice and guidance which ensures that the Council remains legislatively compliant	3	3	9	Employees are exposed to unsafe Health & Safety practices or environments	3 NEBOSH qualified Safety Advisers are available to offer advice / guidance. EH colleagues enforce H&S in the community and could offer advice / guidance in an emergency	3	2	6		Head of Corporate Governance, Health & Safety Manager
HS03	18.09.20	Significant enforcement action by the HSE	4	3	12	Serious breaches of legislation could result in prosecution, large fines, imprisonment	All Service Managers of higher risk activities undertook the IOSH Managing Safely course during 2020. The overall number of high risk activities at NEDDC is low. Implementation of HSG65 has resulted in annual service work programmes and regular productive communication with Service Managers	4	2	8		Head of Corporate Governance, Health & Safety Manager
HS04	18.09.20	Failing to refresh the Health & Safety Policy following expiry	3	4	12	An expired Policy represents a breach of legislation	The Health & Safety Policy is monitored by the Health & Safety Service, Health & Safety Sub Group and CJCG	4	1	4		Head of Corporate Governance, Health & Safety Manager
HS05	18.09.20	Failing to adequately maintain the EPR and / or failing to observe GDPR principles of data management	4	3	12	Disclosure of sensitive information to unauthorised personnel	The register is password protected. The data within is reviewed annually and formally by the Health & Safety Manager, Information Engagement & Performance Manager and each relevant Service Manager. The Health & Safety Service also regularly monitors the data to ensure accuracy for visiting officers	4	1	4		Head of Corporate Governance, Health & Safety Manager
HS06	18.09.20	Organisational failure in determining adequate DSE users' needs from a longer-term homeworking / agile working perspective	3	3	9	Adverse outcomes could include employees experiencing a range of musculoskeletal disorders - resulting in compensation claims	Upon request, standard ICT support equipment is provided to employees who are working at home during the Covid-19 pandemic. Some employees have taken work equipment home including work chairs. A 'New Ways of Working' joint services group has been established to consider the longer-term effects of employee working post Covid-19 pandemic	3	2	6		Head of Corporate Governance, Health & Safety Manager
HS07	18.09.20	Failing to enabling Service Managers to comply the requirements of HSE's HSG 65	4	4	16	This represents a breach of legislation	A new Health & Safety management system which meets HSG 65 requirements is being explored (with internal support) for managers / supervisors to access information and store documentation. Complying facilitates continual improvement with the plan-do-check-act cycle	4	2	8		Head of Corporate Governance, Health & Safety Manager
HS08	18.09.20	Failing to ensure timely processing of accident reports, identifying adverse trends and under-reporting of accidents, incidents and near misses	4	4	16	Processing accident reports is a legislative requirement. Adequate reporting of all events enables early adverse trends to be identified and rectified.	Regular reminders and newsletters are issued, the Health & Safety Sub-Group monitors occurrences on a quarterly basis, Safety Representatives discuss any concerns with the Health & Safety Service during regular informal meetings	4	2	8		Head of Corporate Governance, Health & Safety Manager

HS09	18.09.20	Failing to annually update our team risk assessment	3	3	9	An expired risk assessment represents a breach of legislation	Monitoring processes are in place to ensure that documents are refreshed in a timely manner. The Health & Safety Service must set a good example for all Service Managers by sharing updated documentation	3	1	3		Head of Corporate Governance, Health & Safety Manager
HS10	18.09.20	Failing to undertake audits, inspections and accident investigations	3	3	9	Good safety management systems are demonstrated by undertaking regular audits and inspections so that compliance can be monitored.	Accident investigations allow lessons to be learnt and situations to be avoided in future. These are undertaken by Service Managers routinely and the Health & Safety Team when serious accidents have occurred	3	2	6		Head of Corporate Governance, Health & Safety Manager
HS11	18.09.20	Undertaking baseline assessments to determine whether the service is complying with the Noise at Work Regulations 2005	3	3	9	Failure to comply with the Noise at Work Regulations is a breach of legislation	PPE is already provided to employees / operatives who are known to be exposed to noise levels. A cross Authority programme will commence shortly which concentrates upon personal sampling in order to gain a clearer picture of the noise levels which are generated during core activities	3	2	6		Head of Corporate Governance, Health & Safety Manager
HS12	18.09.20	Failing to arrange timely mandatory relevant Health & Safety training / refresher training	3	3	9	Employees / operatives either do not receive initial training or their expired qualifications are not refreshed - thereby affecting their competency to perform tasks to an approved standard	An annual training programme is being prepared. Additional budgetary provision has been provided to enhance the Health & Safety training programme. Budgetary spend is monitored by the service Accountant and the Health & Safety Manager. The Health & Safety Team monitor course attendance.	3	2	6		Head of Corporate Governance, Health & Safety Manager







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STR2	Sep-19	Failure to deliver a balanced budget in line with the MTFP, at a time when the Council's reserves are at an acceptable rather than a robust level, and localism has created significant uncertainties re future funding levels.	4	4	16	<ul style="list-style-type: none"> <li>Impact upon ability to deliver current level of services.</li> <li>Unable to resource acceptable levels of service.</li> <li>Significant adverse reputational Impact.</li> </ul>	<p>Mitigation</p> <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 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year.</li> </ul>	3	4	12		SAMT / Chief Executive / Chief Financial Officer / Political Leadership
STR3	Sep-19	The Council is affected by a operational service failure which has a major impact upon the local community, this impact being reflected in the Council's sustainability and reputation. Failure could arise from services – inc Data Protection – failing to adhere to best practice. Resulting in a potential impact upon the Council's ability to secure its corporate objectives. Given the efficiency measures that have been introduced to date this is considered to be an increasing issue for the Council.	3	5	15	<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>	<p>Mitigation</p> <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. On going 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> </ul>	2	5	10		SAMT / Heads of Service

STR4	Sep-19	<b>Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc. Cyber crime with a loss of data / systems, results in the inability to provide core services and reputational damage.</b>	3	4	12	<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, flu pandemic, fire, cyber crime).</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>	<p>Mitigation</p> <ul style="list-style-type: none"> <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. There is an annual 'desktop' scenario to test officers understanding of the arrangements and validate that they are fit for purpose in a realistic 'trial' 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 failing to be effective.</li> <li>• The Council has in place industry standard measures to minimise the risk of cyber crime</li> </ul>	2	4	8		SAMT / Chief Executive
STR5	Sep-19	<b>Increasing difficulty in recruiting to key posts or in replacing key staff who leave. Staff morale is adversely affected arising from the pace of change, tightening financial circumstances or external circumstances.</b>	3	4	12	<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> </ul>	<p>Mitigation</p> <ul style="list-style-type: none"> <li>• The Council has effective communication and working with staff as validated by securing 'silver' accreditation at IIP.</li> <li>• There is sufficient funding to bring in agency staff where required to maintain service performance.</li> <li>• At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas it has proved possible to recruit appropriate replacement staff.</li> <li>• Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality / continuity.</li> <li>• The Council is looking to introduce appropriate apprenticeship / training schemes in order to develop suitable staff.</li> </ul>	2	4	8		SAMT / Head of Legal & Governance
STR6	Sep-19	<b>Delivery of the Council's Agenda is dependent upon effective delivery of both a number of major initiatives / projects and implementing a range of new government reforms whilst achieving financial targets and maintaining service quality, which may overstretch our reduced organisational capacity.</b>	3	4	12	<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> </ul>	<p>Mitigation</p> <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> </ul>	2	4	8		SAMT / Chief Executive

STR7	Sep-19	<b>Need to effectively engage with local communities and a range of local partners (inc Shared / Joint services) to deliver cost effective joined up services.</b>	3	4	12	<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>	<p>Mitigation</p> <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 an active Partnerships 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> </ul>	2	4	8		Political Leadership Team / Chief Executive
STR8	Sep-19	<b>Governance Arrangements including Performance, Finance and Risk Management need to be maintained in order to continue to operate effectively in a rapidly changing environment.</b>	3	4	12	<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> </ul>	<p>Mitigation</p> <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 Annual Governance Report sets out an evidence based structured assessment of the operation of the Council's governance arrangements.</li> </ul>	2	4	8		Chief Financial Officer / Monitoring Officer
STR9	Sep-19	<b>Staff morale / Sickness Levels adversely affected as a result of the pace of change, tightening financial circumstances or external circumstances.</b>	3	4	12	<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 with the independent IIP standards and HR 'good practice' to help ensure current staff are well managed and motivated.</li> <li>• The staff has 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 and seeks to bring in 'agency staff' etc as required.</li> <li>• While the Council cannot control external circumstances it has continued to work with staff to mitigate the impact of these on individual employees.</li> </ul>	3	3	9		SAMT / Head of Legal & Governance

STR10	Sep-19	<b>Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.</b>	4	4	16	<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 Adults possibly leading to personal harm, injury and death</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has in place up to date policies for safeguarding both Children and Vulnerable Adults. 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 vulnerable adults at Council activities and those who receive Council services.</li> <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> </ul>	2	4	8		SAMT/Political Leadership
STR11	Sep-19	<b>Failure of NEDDC's Local Plan to be found sound at independent examination.</b>	4	4	16	<ul style="list-style-type: none"> <li>• Potential Government intervention</li> <li>• Undermining the local plan</li> <li>• Reputational damage</li> <li>• Loss of control of planning and development</li> </ul> <p>Committee refusing applications on unallocated sites contrary to national policy leading to large cost claims against the council</p>	<ul style="list-style-type: none"> <li>• The Council has successfully avoided Government intervention in the plan-making process.</li> <li>• The Plan will be at independent examination and in the hands of the independent Inspector, with timescales largely outside of the Council's control. The greatest risk to any Plan at this stage is that it could be found to be unsound on a point of law, or it fails to demonstrate that it has been positively prepared and is justified. This is expected to take place during the Autumn of 2018.</li> <li>• The Council has taken all reasonable steps in the preparation of the Plan to ensure that it is based on sound evidence and meets procedural and legal requirements. This has included taking external legal advice, securing an advisory visit with the Planning Inspectorate and engaging consultants to critically review the Publication Draft Plan.</li> <li>• The Plan is now working towards Main Modifications consultation. This should</li> </ul>	2	4	8		SAMT / Political Leadership

STR12	Sep-19	<b>Impact of HS2 and the electrification of the MML on environment, heritage, communities and businesses.</b>	4	4	16	<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 sterilise areas of development due to uncertainty.</li> </ul>	<ul style="list-style-type: none"> <li>CEX and 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 also that we part of the mitigation study</li> </ul>	4	4	16		SAMT / Political Leadership

## STREETSCENE SERVICES (NEDCC) OPERATIONAL RISK REGISTER

Risk Ref	Risk Assessment Date	Area Of Risk	Inherent Risk Value			Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Residual Risk Value			Potential Further Action / Action Planned / When By Date	Risk Owner
			Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score		
SS1	Sep-20	Council fails to achieve Revised European Waste Framework Directive (rEwFD) and/or emerging New UK Waste & Resource Strategy.	4	4	16	<ul style="list-style-type: none"> <li>Failure to achieve recycling targets or deliver value for money waste collection services to meet changing service demands.</li> <li>Failure to meet targets impact on future audit inspections ratings</li> <li>Potential financial penalties</li> <li>Demand out strips service resource .</li> <li>Housing growth exceeds waste collection service resource capacity.</li> <li>Uncertainty of EU Regulations following Brexit</li> <li>Uncertainty of new/changed statutory duties emerging from new UK Waste and Resource Strategy.</li> </ul>	<ul style="list-style-type: none"> <li>Targeted recycling and minimisation campaigns in low performing areas</li> <li>Sustain schools education and door knocking campaigns and promotion (face to face) in low performing areas.</li> <li>Increase effectiveness of Kerbside recycling &amp; composting collections arrangements.</li> <li>Deliver the Joint Waste &amp; Recycling Collection Policy and Dealing with Derbyshire's Waste (Action Plan)</li> </ul>	3	2	6	Review rural and domestic household waste collections to meet District housing growth and efficient use of employed resource by 31.3.22.	JHoS & SSWM
SS2	Sep-20	Lack of appropriately trained staff	4	3	12	<ul style="list-style-type: none"> <li>Skills shortage</li> <li>Recruitment/ retention costs</li> <li>Low staff morale</li> <li>Poor performance/service failure</li> <li>Health and safety issues</li> </ul>	<ul style="list-style-type: none"> <li>Ensure staff are trained/motivated by way of annual Appraisals</li> <li>Ensure effective communication throughout the services</li> <li>Workforce planning underway, management development</li> </ul>	3	2	6		JHoS & SSWM
SS3	Sep-20	Ineffective financial management and service failure	4	4	16	<ul style="list-style-type: none"> <li>Failure to deliver and improve service delivery</li> <li>Poor forward planning</li> <li>Impact on base budget and failure to meet PIs</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Plan</li> <li>Service Plans and work plans drafted</li> <li>Regular budget monitoring and financial training to raise skills and understanding</li> <li>Proactive support from Finance and Audit and effective reporting/information</li> <li>Effective Service Planning and performance management systems</li> </ul>	3	4	12		JHoS & SSWM
SS4	Sep-20	Breakdown of industrial relations leading to service failure	4	4	16	<ul style="list-style-type: none"> <li>Service failure, breakdown in relations, management time, stress/pressure on key staff</li> <li>High customer disruption and complaints, health &amp; safety issues.</li> <li>Financial losses and costs of service recovery.</li> </ul>	<ul style="list-style-type: none"> <li>Proactive consultation with Trade Unions and employees</li> <li>Management style/culture, information exchange, good industrial relations and communication</li> <li>Effective performance management</li> <li>Employee consultation on new and/or changes to working practices/equipment.</li> </ul>	3	2	6		JHoS & SSWM
SS5	Sep-20	Breakdown in partner relationship resulting exit from Riverside shared depot facility.	4	3	12	<ul style="list-style-type: none"> <li>Disruption to service delivery</li> <li>Impact on application to Traffic Commissioner for operating centre.</li> <li>Negative publicity</li> </ul>	<ul style="list-style-type: none"> <li>Prompt payment of contribution charge</li> <li>Close partnership dialogue</li> <li>Sustained partnership working via Joint Streetscene management arrangements.</li> <li>Partner staff compliance with BDC accommodation requirements.</li> </ul>	4	2	8		JHoS & SSWM
SS6	Sep-20	Breakdown of service delivery through poor fleet management	4	4	16	<ul style="list-style-type: none"> <li>Traffic Commissioner intervention</li> <li>Revocation of O licence</li> <li>Breakdown</li> </ul>	<ul style="list-style-type: none"> <li>Competent (CPC) persons named of Council Fleet Vehicle Operator License.</li> <li>Meet Mobile Transport Working Time Directive requirements (Tachographs)</li> <li>Effective overloading policy/procedure</li> <li>Annual driver CPC training</li> <li>Effective vehicle/management and maintenance system.</li> <li>Joint Fleet Management System to meet Joint site management visibility.</li> <li>Manage overloading, speeding, mobile phone use (Driver Management Policies).</li> </ul>	3	3	9		JHoS & SSWM

SS7	Sep-20	Unauthorised entry to Operational depot resulting in loss of vehicles, plant and vehicle fuel	3	4	12	<ul style="list-style-type: none"> <li>Loss of valuable uninsured resources</li> <li>Disruption to service efficiency/delivery</li> <li>Unplanned expense/cost to the Council</li> </ul>	<ul style="list-style-type: none"> <li>Onsite security awareness</li> <li>Supervision of visitors</li> <li>CCTV monitoring</li> <li>Intruder alarms (out of hours)</li> <li>Dye added to bunkered fuel supplies</li> <li>Steel shutters/bars to vulnerable door and windows.</li> <li>Ram-raid bollards/strengthened gates</li> <li>Reaffirmed security instructions to staff</li> </ul>	3	2	6		JHoS & SSWM
SS8	Sep-20	Flooding of operational depot resulting in major disruption of front line services.	4	3	12	<ul style="list-style-type: none"> <li>Customer dissatisfaction</li> <li>Negative publicity</li> <li>Increased level of complaints</li> <li>Temporary loss of service delivery.</li> <li>Recovery costs</li> </ul>	<ul style="list-style-type: none"> <li>Ensure effective alarm/monitoring systems in place.</li> <li>Raise fire/flooding awareness with staff, in particular during risk periods and arrange reactionary resource.</li> <li>Retain stock of sandbags for guarding vulnerably water entry points to buildings.</li> <li>Heighten awareness of flooding risk during abnormally high rain fall periods</li> </ul>	3	2	6	Consider building protection products (door bunds) in future capital budget expansion bids.	JHoS & SSWM
SS9	Sep-20	Fuel strike\shortage	3	3	9	<ul style="list-style-type: none"> <li>Disruption to service delivery</li> <li>Unauthorised intrusion at depot facilities, vehicle theft and/or fuel</li> <li>Negative publicity</li> <li>Service recovery costs in prolonged periods of service prioritisation (i.e. uncut grass)</li> </ul>	<ul style="list-style-type: none"> <li>Maintain bunkered fuel supplies</li> <li>Procure fuel cards (private forecourt) for backup retail supply.</li> <li>Prioritise service delivery to reduce fuel usage (Business Continuity Planning).</li> <li>Maintain watching brief during heightened periods of risk.</li> <li>Support and working with partners.</li> <li>Increased depot/vehicle security arising from heightened risk of fuel theft.</li> <li>Review fuel re-order level frequency.</li> </ul>	2	2	4		JHoS & SSWM
SS10	Sep-20	Increased kerbside recycling collection costs	3	4	12	<ul style="list-style-type: none"> <li>Reduced tenderer income streams reflect in high collection costs and/or reduce service delivery quality/performance.</li> <li>Effective management of new contract arrangements.</li> </ul>	<ul style="list-style-type: none"> <li>Maintain market condition awareness and material commodity values.</li> <li>Timely procurement of service in consideration of market conditions.</li> <li>Sustain joint procurement of service to maintain service volumes.</li> <li>Identify other partnering opportunities to widen scope of service type\volume.</li> </ul>	3	3	9		JHoS & SSWM
SS11	Sep-20	Viral Pandemic	4	4	16	<ul style="list-style-type: none"> <li>Temporary loss of service delivery\cessation.</li> <li>Customer dissatisfaction</li> <li>Negative publicity</li> <li>Increased complaints</li> <li>Disease spread</li> <li>Recovery costs\lost income</li> <li>Employee relations impact</li> </ul>	<ul style="list-style-type: none"> <li>Service delivery prioritised to meet statutory duty/public health requirements</li> <li>Clear instructions to staff in following control measures.</li> <li>Modified working arrangements and staff deployed in 'essential' service delivery.</li> <li>Social distancing\cleanliness measures to be strictly followed.</li> <li>Government/NHS guidance followed where practical and reasonable.</li> </ul>	4	2	8		JHoS & SSWM

SS12	Sep-20	Inclement weather delaying service delivery.	3	4	12	<ul style="list-style-type: none"> <li>• Customer dissatisfaction</li> <li>• Negative publicity</li> <li>• Increased level of complaints</li> <li>• Temporary loss of service delivery.</li> <li>• Recovery costs</li> <li>• Failure to meet Health &amp; Safety; and, Duty of Care (Occupiers Liability) requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure effective monitoring of weather forecasts in place.</li> <li>• Raise awareness of 'high risk forecasts' with relevant staff to prepare/arrange reactionary resource.</li> <li>• Retain stock of sandbags for support public realm in Emergency events.</li> <li>• Heighten awareness arising from forecasts of heavy prolonged/abnormally high levels of snow/rain fall.</li> <li>• Effectively communicate requirements of 'Snow &amp; Ice Treatment Policy' and Streetscene Service Inclement Weather Recovery Procedures during high risk weather events.</li> <li>• Ensure equipment (i.e. snow shovels\ploughs\gritters) meet Council's Health &amp; Safety\Duty of Care requirements.</li> </ul>	3	2	6		JHoS & SSWM
	Sep-20											JHoS & SSWM
	Sep-20											JHoS & SSWM
	Sep-20											JHoS & SSWM

## Impact

- 5 • Catastrophic** • Risks that can have a catastrophic impact on the operation of the Council
  - Death
  - Unable to function without Government or other agency intervention
  - Inability to fulfil obligations
  - Adverse national publicity – highly damaging, loss of public confidence
- 4 • Severe** • Risks which can have a severe impact on the operation of the Council or services
  - Extensive injury, major permanent harm
  - Significant impact on service objectives
  - Short to medium term impairment to service capability
  - Major adverse local publicity
- 3 • Moderate** • Risks which have a noticeable impact and degree of disruption on the services
  - Medical treatment required, semi-permanent harm up to 1 year
  - Short term disruption to service capability
  - Significant financial loss
  - Some adverse publicity, needs careful public relations
- 2 • Minor** • Risks where the impact and any associated losses will be minor, for example;
  - First Aid treatment, non-permanent harm up to 1 month
  - Minor impact on service objectives
  - Financial loss that can be accommodated at service level
  - Some public embarrassment, no damage to reputation
- 1 • Negligible** • Risks where the impact and any associated losses will be small, for example;
  - No obvious harm or injury
  - Negligible impact on service capability
  - Minimal financial loss
  - Unlikely to cause any adverse publicity, internal only

## Likelihood

- 5 • Common** • Is expected to occur in most circumstances
  - Perhaps annually or more frequent
- 4 • Likely** • Will probably occur in most circumstances
  - Not persistent, perhaps once in 3 years
- 3 • Foreseeable** • Could occur in certain circumstances
  - Perhaps once in 10 years
- 2 • Occasional** • May occur in exceptional circumstances
  - Not expected to happen, perhaps every 25 years
- 1 • Freak event** • Is never likely to happen or no knowledge of this happening before
  - Very unlikely, perhaps once in 50 yearity, internal only

oil or service, for example;

ice, for example;

ces provision / impinge on the budget, for example;

le;

**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					