

STRATEGIC RISK REGISTER – updated January 2021

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
<p>STR1 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.</p>		<ul style="list-style-type: none"> • Unable to deliver a package of services that both addresses changing national priorities whilst meeting changing local needs and aspirations. • Increases costs or reduces resources available to the Council directly, or to its key partners. • Reduced influence over delivery of local services. • Unable to effectively support local communities. • Increased demands on Council services at a time when Council resource base is reducing. 			<ul style="list-style-type: none"> • Mitigation. • 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. • The Council has effective political and managerial arrangements in place to manage change. • Appropriate levels of financial reserves / investment funding are maintained to fund strategic shifts in service delivery. • Effective engagement with staff to ensure they embrace necessary change. 				
STR1	Sept 19	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	3x4	12	Risk Owner / Lead Officer	SAMT / Political Leadership

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<p>STR2 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.</p>		<ul style="list-style-type: none"> • Impact upon ability to deliver current level of services. • Unable to resource acceptable levels of service. • Significant adverse reputational Impact. • The Covid 19 pandemic is putting a significant and unprecedented risk on budget setting 			<ul style="list-style-type: none"> • Mitigation • The Council has effective financial management in place to ensure budget arrangements are robust. • The Council has appropriate managerial arrangements and culture in place to manage any necessary change. • The Council has 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year. • 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 				
STR2	16/11/ 20	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	3x4	12	Risk Owner / Lead Officer	Political Leadership / S151 Officer/ SAMT

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<p>STR3 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.</p>		<ul style="list-style-type: none"> • A significant service failure associated with a major impact on the local community. • Deterioration in services to the public, potentially a major impact upon a local resident or a group of local residents. • Significant staff and financial resources required to resolve position, impacting on other services. • A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery. • Severe reputational damage 			<ul style="list-style-type: none"> • Mitigation • The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • 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. 				
STR3	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x5	15	Residual Risk Score (Likelihood x Impact)	2x5	10	Risk Owner / Lead Officer	SAMT
<p>STR4 Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc.</p>		<ul style="list-style-type: none"> • 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). • Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams. 			<ul style="list-style-type: none"> • Mitigation • 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 				

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Cyber crime with a loss of data / systems, results in the inability to provide core services and reputational damage.		<ul style="list-style-type: none"> • Business Continuity Plans prove ineffective in practice. 			<p>arrangements and validate that they are fit for purpose in a realistic 'trial' scenario.</p> <ul style="list-style-type: none"> • 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. • 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. • The Council has in place industry standard measures to minimise the risk of cyber crime. 				
STR4	Sept 19	Inherent Risk Score (Likelihood x Impact)	5x5	25	Residual Risk Score (Likelihood x Impact)	5x3	15	Risk Owner / Lead Officer	SAMT
STR5 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.		<ul style="list-style-type: none"> • Deterioration in services to the public. • Increasing inefficiencies in service provision. • Weakening of Internal Control arrangements. • Increased pressure on other members of staff. 			<ul style="list-style-type: none"> • Mitigation • The Council has effective communication and working with staff as validated by securing 'silver' accreditation at IIP. • There is sufficient funding to bring in agency staff where required to maintain service performance. • At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas 				

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					<p>it has proved possible to recruit appropriate replacement staff.</p> <ul style="list-style-type: none"> • Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality / continuity. • The Council is looking to introduce appropriate apprenticeship / training schemes in order to develop suitable staff. 				
STR5	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT
<p>STR6 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.</p>		<ul style="list-style-type: none"> • New initiatives are not delivered in a cost-effective manner. • Failure to maintain / improve services in line with local aspirations. • Failure to generate the savings required to balance the budget. • Financial savings measures weaken Governance / Internal Control arrangements. • Service deterioration / failure arising from capacity issues. 			<ul style="list-style-type: none"> • The Council has effective prioritisation and project management arrangements in place to ensure resources are directed at key objectives. • 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. • The Council has a robust performance management framework that is intended to highlight emerging issues. 				

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STR6	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT
STR7 Need to effectively engage with local communities and a range of local partners (inc Shared / Joint services) to deliver cost effective joined up services.		<ul style="list-style-type: none"> • Failure to provide effective community leadership. • Loss of trust in the Council • Inability to deliver good quality cost effective services targeted at local needs. • Poor outcomes for local residents, due to failure to engage other agencies. 			<ul style="list-style-type: none"> • Mitigation • 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. • The Council has an active Partnerships Team and senior Members / Officers actively engage with other organisations serving the area. • The Council's management structures are aligned to our key partnership arrangements. 				
STR7	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT / Political Leadership
STR8 Governance Arrangements including Performance, Finance and Risk Management need to be maintained in order to continue to operate effectively in a rapidly changing environment.		<ul style="list-style-type: none"> • Adverse Impact upon Service Quality. • Failure to deliver high quality services which address national and local priorities. • Significant adverse reputational impact. 			<ul style="list-style-type: none"> • Mitigation • The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • The Council has active Standards and Audit Committees which provide independent review of the 				

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					Governance arrangements in the Council. <ul style="list-style-type: none"> The Annual Governance Report sets out an evidence based structured assessment of the operation of the Council's governance arrangements. 				
STR8	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	S151 Officer / Monitoring Officer / SAMT
STR9 Staff morale / Sickness Levels adversely affected as a result of the pace of change, tightening financial circumstances or external circumstances.		<ul style="list-style-type: none"> Deterioration in services to the public and loss of productivity. Loss of key staff / increased sickness levels. Increased pressure on other members of staff. Loss of 'goodwill.' 			<ul style="list-style-type: none"> The Council operates in line with the independent IIP standards and HR 'good practice' to help ensure current staff are well managed and motivated. The staff has a range of communication mechanisms in place to ensure staff engagement with the Council's agenda. The Council has reduced its emphasis of securing savings through vacancy management and seeks to bring in 'agency staff' etc as required. While the Council cannot control external circumstances it has continued to work with staff to mitigate the impact of these on individual employees. 				

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STR9	Sept 19	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	3x3	9	Risk Owner / Lead Officer	SAMT
STR10 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"> • Profile of safeguarding is poor • Staff and members do not know what safeguarding is and their role within it • Staff and members do not know how to spot the signs • Staff and members do not know how to report it and to who? • Lack of public confidence in Council policies plans and staff • Reputational damage • Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable Adults possibly leading to personal harm, injury and death 			<ul style="list-style-type: none"> • 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. • 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. • Staff recognised as appropriate to do, are DBS checked • All staff receive mandatory safeguarding training • 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 • The Council has an internal safeguarding group which meets quarterly which has representation from all service areas of the Council. • The Council host and Chair the Countywide Derbyshire Safeguarding Leads Sub Group of 				

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					<p>the Derbyshire Safeguarding Childrens' Board and Derbyshire Safeguarding Adults Board</p> <ul style="list-style-type: none"> The Council are represented on both the Derbyshire Safeguarding Children's Board (DSCB) and the Derbyshire Safeguarding Adults Board (DSAB) 				
STR10	16/11/ 20	Inherent Risk Score (Likelihood x Impact)	5x4	20	Residual Risk Score (Likelihood x Impact)	4x3	12	Risk Owner / Lead Officer	SAMT / Political Leadership
STR11 Failure of NEDDC's Local Plan to be found sound at independent examination.		<ul style="list-style-type: none"> Potential Government intervention Undermining the local plan Reputational damage Loss of control of planning and development 			<ul style="list-style-type: none"> The Council has successfully avoided Government intervention in the plan-making process. The Plan has now been through independent examination by the independent Inspector. 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. The Plan is currently out for consultation on the main modifications as requested by the 				

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					Inspector. The consultation is expected to be completed by the end of December 2020.				
STR11	Sept 19	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT / Political Leadership
STR12 Impact of HS2 and the electrification of the MML on environment, heritage, communities and businesses.		<ul style="list-style-type: none"> 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. 			<ul style="list-style-type: none"> Senior management actively engaged with HS2 staff to discuss proactive business mitigation measures. Political leadership working with relevant community groups and agencies lobbying for enhanced mitigation measures. Contributing to the East Midlands HS2 growth strategy and mitigation study Awaiting the outcome of the Government Review and the Integrated Rail Plan 				
STR12	16/11/ 20	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	4x4	16	Risk Owner / Lead Officer	SAMT / Political Leadership
STR13 Failure to address the impact of COVID-19 upon		<ul style="list-style-type: none"> Inability to deliver services or service failure Loss of income to the Council 			<ul style="list-style-type: none"> 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 				

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<p>the organisation, local economy and community</p>	<ul style="list-style-type: none"> • Inability to provide safe working environment resulting in COVID contamination and infection • Adverse impact on employee health • Inability to change the Councils 'ways of working' to meet the current challenges • Increased Cybersecurity and ICT related risk due to remote working increase • Inability to deliver strategic plans and ambitions • Inability to support local businesses and employers • Inability to support the community and in particular vulnerable people 	<p>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)</p> <ul style="list-style-type: none"> • 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 • The Council have in place robust recovery plans which include the following; • Maintaining Financial Control - Development of financial resilience reserves and accessing govt. funding aimed at local authority support, service budget reviews, controlling expenditure, regular fees and charges reviews, furloughing staff as necessary • Workplace Safety – Return to work protocols and risk assessments, regular inspection, social distancing plans, protection and hygiene measures, PPE, staff testing, communication plan, staff related 	

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		<p>policy reviews, training and briefings, recognition of vulnerable employees</p> <ul style="list-style-type: none"> • New Ways of Working – Virtual and remote working capability, digital workforce training, digital inclusion plans, remote and homeworking task group, homeworking policy review, website and online services capability review, managing teams remotely guidance • ICT and Cybersecurity – Evaluation of remote applications and tools, training and guidance, cybersecurity investment planning • Front Facing Services – Workplace safety as above, public interaction protocols, equipment such as 'sneeze, screens in place and face masks etc, floor markings and signage, social distancing measures, one way systems in facilities and public areas, NHS test and trace registration and materials in place • Strategy and Plans Review – Risk management, Transformation Programme, Digital, Climate Change, People, Growth, Tourism and Leisure are all strategies currently being reviewed 	

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					<ul style="list-style-type: none"> External Recovery Plans – Aimed at the local economy, business support and survival, includes channelling and distribution of business grants, council tax and business rates support, links to other bodies including; LRF Recovery Sub Group, D2N2 Recovery. There is also a key focus on Communities and the Council's engagement and support with them including Parish Councils, voluntary sector and partners at all levels in the restoration and recovery challenge 				
STR13	Nov 20	Inherent Risk Score (Likelihood x Impact)	5x5	25	Residual Risk Score (Likelihood x Impact)	5x3	15	Risk Owner / Lead Officer	SAMT / Political Leadership