

| Risk Number (Dept/Year/No.) | Risk Category      | Risk  | Current Controls in Place  | Risk Control Plan | Target Outcome  | Target Impact | Target Likelihood | Target score | Target Resolution Date | Action Plan   | Current Impact (Q3) | Current Likelihood (Q3) | Current score (Q3) | Change from last score | Reputational Impact | Financial Impact | Risk Owner   | Worst Case Financial Impact   | Risk Status                         | Continued Monitoring Plan   |
|-----------------------------|--------------------|---|--|-------------------|---|---------------|-------------------|--------------|------------------------|---|---------------------|-------------------------|--------------------|------------------------|---------------------|------------------|--------------|---|-------------------------------------|---|
| Place 2017/ 1               | Physical Injury    | Serious injury or fatality to the public or employees on Place land, premises and assets  | DMT H&S "Champion"; Union H&S Representatives; Joint management & union H&S Workplace Inspections; HSMG audits; Corp H&S Audits; Departmental H&S Sub - Committee of DJC; Highways DJC; Vehicle & Plant DJC; DMT H&S "Champion"; work with union H&S Representatives; Incident investigations; HSMG Task & Finish Groups; liaison with HSW Function; Corporate Annual H&S Report produced identifying trends and production of improvement plan throughout the Department. ISO 14001:2015 procedures and controls to reduce potential for environmental (and human) harm arising from activities or resultant pollution.   | Treat/Control     | Minimise the number of injuries   | 4             | 2                 | 8            | Ongoing                | Continue with existing risk mitigation procedures/controls in place.  | 4                   | 2                       | 8                  | NO CHANGE              | High                | Band 4           | Place-DMT    | Unlimited fine  | Open - actions underway to mitigate | Through inspection and audit programmes, Health and Safety Management Group, Performance Clinic accident data, and H&S Champion at DMT. |
| Place 2017/ 2               | Physical Injury    | Construction - injury to the public or employees or damage to or failure of assets as a result of construction work   | Document "GCP15 CDM" details the Departmental procedures to ensure compliance with CDM Regulations 2015. In-house training provided across Highways Division and parts of Countryside Service on GCP15. Principal Designer Level 2 training provided and new training arranged for Jan 2022. Auditing and monitoring system in place. The Department is accredited to ISO:9001 which demonstrates that correct processes are followed to minimise risks in this area. ISO 14001:2015 certification and controls reduce potential for pollution incidents and therefore harm to the public and property. Highways Sector Scheme 13 makes CSCS the mandatory standard from 2020.   | Treat/Control     | To continue to implement measures to reduce the number of injuries through accidents involving the public or employees and damage to or failure of assets as a result of construction work. | 4             | 2                 | 8            | Ongoing                | Continue to monitor our performance on the aspects of CDM as it applies to all our work and that of appointed contractors. Highways workforce in the process of undertaking Construction Skills Certification Scheme) CSCS accreditation and NVQ including safety test. Some gaps identified which are being addressed by the Health and Safety Management Group and the reintroduction of the CSCS cards. Future Highways Model Working Group established to update the CDM process and associated training needs.   | 4                   | 2                       | 8                  | NO CHANGE              | High                | Band 4           | Place-DMT    | Unlimited Fine  | Open - actions underway to mitigate | Through inspection and audit programmes, Health and Safety Management Group, Performance Clinic accident data, and H&S Champion at DMT. |
| Place 2017/ 3               | Reputational       | Failure to maintain assets including roads, pavements, bridges, retaining walls, street lighting columns, safety fencing, gullies, countryside assets, canals, reservoirs Place   | Heads of Service are responsible for ensuring asset management systems and inspection regimes are in place in accordance with statutory duties and good practice in the relevant field. Details are contained in various policies and procedural documents held within service areas. The Department is accredited to ISO:9001 which demonstrates that correct processes are followed to minimise risks in this area. Network Planning role to fully deliver an effective asset management based annual service plan, in year. Maintaining an effective risk based approach to highway infrastructure defects and a reactive response service to mitigate these Management and maintenance of a resilient network for Winter Service and other extreme weather events Local Resilience Forum - Strategic/Tactical/Operational Command. The risk based approach adopted by the Highways Division is set out on the council website at "Well Managed Highway Infrastructure" <a href="https://www.derbyshire.gov.uk/transport-roads/highways-infrastructure-asset-management/highways-infrastructure-asset-management.aspx">https://www.derbyshire.gov.uk/transport-roads/highways-infrastructure-asset-management/highways-infrastructure-asset-management.aspx</a> | Treat/Control     | To maintain those Council assets under the responsibility of the department to the required level to meet agreed policy/strategy and statutory obligations.                                 | 4             | 3                 | 12           | Ongoing                | Work in the department to set out and implement changes required to meet the requirements of the Code of Practice - Well Managed Highway Infrastructure, are well underway with dedicated working groups assigned specific tasks. In house Legal team with qualified and experienced officers in place with budgetary support to secure external advice where needed. Legal Officers ensure that continuing professional development training requirement is met. Professional managers within service areas  | 4                   | 3                       | 12                 | NO CHANGE              | Extremely High      | Band 4           | Place-DMT    | Unlimited Fine  | Open - actions underway to mitigate |   |
| Place 2021/ 2               | Statutory Duties   | Failure to understand or respond adequately to new or changing legislation and regulations  | Statutory Officers are in post. With managers, officers and legal representatives supporting the department to carry out continued professional development, maintaining membership of professional bodies and subscriptions and having legal support staff abreast of changing and new regulations and legislation. Legal officers supporting the department are members of the Lawyers in Local Government, which provides weekly bulletins detailing new and changing legislation. In addition to this assessment of Legal, Financial and HR implications are included within all decision reports.   | Treat/Control     | To understand or respond adequately to new or changing legislation and regulations  | 3             | 2                 | 6            | Ongoing                | Professional managers within service areas ensure continued professional development of staff and access to updates through professional bodies and ensure liaison with legal team to keep abreast of legislative and regulation changes  | 3                   | 3                       | 8                  | NO CHANGE              | High                | Band 7           | Place - DMT  | Unlimited Fine  | Open - actions underway to mitigate |   |
| Place 2017/ 4               | Service Disruption | Loss of business continuity as a result of major environmental events for example flooding and extreme weather  | The Council has a corporate business continuity plan in place which provides a strategic framework around which staff can work to enable critical functions to be maintained, or quickly restored to minimise any effect on service delivery to the community. The plan concentrates on services provided at the council's headquarters buildings i.e. CCHQ, Shand House, John Hadfield House and Chatsworth Hall. It details priority functions and minimum staffing levels so we can continue to provide critical services. Place has a Service Area Business Continuity Plan in place that is known and understood and accessible by relevant Officers. Half of the Department is certificated to ISO 14001:2015 Environmental Management System. The remainder was not in scope before formation of Place Department. The Department is certificated to ISO 14001:2015 Environmental Management System includes emergency response procedures to prevent and minimise the impacts of emergencies. Only Emergency Planning is outside scope of the EMS. The department is currently reviewing its Adverse Weather policy and has an established working group that meets regularly during the winter months to review and maintain Winter Service.              | Treat/Control     | To respond to events to maintain an agreed level of service and respond quickly to service need.  | 3             | 3                 | 9            | Ongoing                | Assessment of Legal, Financial and HR implications included within all decision reports   | 3                   | 3                       | 12                 | NO CHANGE              | Moderate            | Band 4           | Place-DMT/EP | Unlimited affect on the County as a whole due to loss of business continuity as a result of major environmental events. | Open - actions underway to mitigate |   |
| Place 2017/ 5               | Statutory Duties   | Failure to manage or control pollution liabilities on land/sites that are the responsibility of the Place department  | Current risk that Property or Countryside do not have the resources to manage this risk effectively. Pollution liability and historic pollution surveys undertaken by Place and Property Services. Procedures are in place to monitor and control sites. Employees have been trained and spill kits are available. Internal ISO 14001:2015 environmental auditing and provision of advice relating to new/changed processes identifies and mitigates pollution risk. The current Covid-19 national lockdown, requiring employees to work from home wherever possible, will affect the amount of travel being undertaken and in turn have an affect on current environmental pollution.   | Treat/Control     | To manage or control pollution liabilities on land/sites that are the responsibility of the Place department  | 3             | 2                 | 6            | Ongoing                | In house Legal team with qualified and experienced officers in place with budgetary support to secure external advice where needed  | 4                   | 3                       | 9                  | NO CHANGE              | Extremely High      | Band 6           | DMT          |   | Open - actions underway to mitigate |   |
| Place 2017/ 6               | Statutory Duties   | Failure to carry out statutory duties   | There are numerous statutory duties that impact on the work of the department. Service Directors and Heads of Service are responsible for ensuring they are met and a variety of mechanisms are used to document this. The departmental Service Plan is the primary document that dictates the work we do. Alongside this there are many policies and plans that are used to ensure compliance. The Department is certified to ISO 14001:2015 and ISO 9001:2015. The departments contribution to deliverables required in the Council plan are reported and monitored on a quarterly basis. In relation to Regulatory Services (Planning, Highways DC and Trading Standards) Annual Work Plans and internal targets are used to monitor progress. Specific Food/Feed Standards issues are documented in annual FLEP. A business continuity exercise was carried out in late 2019 following which the Business Continuity plan was updated.   | Treat/Control     | To provide statutory services   | 1             | 2                 | 2            | Ongoing                | Legal Officers ensure that continuing professional development training requirement is met  | 1                   | 3                       | 3                  | NO CHANGE              | Moderate            | Band 4           | DMT          | Unknown   | Open - actions underway to mitigate |   |
| Place 2017/ 7               | Financial          | Failure to achieve value for money for the Council's New Waste Treatment Facility, and failure to re-commission the facility and secure long-term operation. Failure to achieve value for money is a significant risk to the Council's budget. Failure to a long term waste management option is a significant risk for the long-term waste management strategy, the Council's future economic and environmental sustainability and its reputation. | Contingency measures have been put in place to make sure waste continues to be dealt with, and that recycling centres and waste transfer stations continue to operate. These services are being provided by waste management company Renew under a short term contract. This contract includes work on the waste treatment facility. Joint Waste Contract Management Boards (with Derby City Council) in place and meet regularly to provide strategic leadership. Internal Waste Project Board has been established and meets monthly. Specialist advisors (finance, commercial and legal) appointed and support the Project Team. The Project Team meets at minimum weekly.  | Treat/Control     | To secure a Value for Money outcome for the NWTF and a long term sustainable waste management solution.   | 4             | 4                 | 16           | 31 March 2021          | The councils are working to agree an "estimated fair value" for the facility taking into account all of the costs of rectifying ongoing issues at the facility, and the costs of providing the services to meet the agreed contract standards. In parallel preparations continue in the event negotiations are unsuccessful. Project planning is underway on services post February 2022, when the Service Continuity Contract comes to an end. A Work Plan of key actions is being prepared, resources allocated and will be subject to regular review. Work towards the Council Climate and Carbon Reduction Manifesto pledges. | 5                   | 5                       | 25                 | NO CHANGE              | High                | Band 8           | CB           | >£100m  | Open - actions underway to mitigate |   |

|                |                        |   |  |               |  |   |   |    |          |  |   |   |    |           |               |        |  |  |                                      |  |
|----------------|------------------------|---|--|---------------|--|---|---|----|----------|--|---|---|----|-----------|---------------|--------|--|--|--------------------------------------|--|
| Place 2017/ 8  | Reputational           | Failure to maintain the Council's Goods Vehicle Operator Licence and to operate Section 19 minibus permit legally   | Scheduled planned Inspections and maintenance, inclusive of annual MOT tests of fleet vehicles in place via the Fleet Vehicle Management System. Vehicle daily walkaround check and defect reporting and rectification trail system in place. Driver Licence checking and Driver training/toolbox talks in place. Tachograph vehicle downloads and drivers cards downloads monitored with software provided by Logistics UK. QEO (Quality Enforcement Officer) spot checks in place to mirror DVSA (Driver & Vehicle Standards Agency) checks for overloading of vehicles, correct use of W20 books. Daily walkaround checks and tachographs. Vehicle supply contracts ensure all vehicles purchased comply to Construction and Use legislation - all actions mitigate the Council's occupational road risk and compliance with its legal obligations relating to its Goods vehicle Operator Licence and Section 19 minibus permit undertaking. ISO 14001:2015 procedures ensure that Duty of Care documents and licences are maintained for the transport of waste, failure to hold documentation for all waste movements could result in the loss of the 'O' licence. The Department is certified to ISO 14001:2015 and ISO 9001:2015. | Treat/Control | Continued Operators Risk Compliance Score rating (OCRS) as Green 0   | 2 | 2 | 4  | In place | Professional managers within service areas   | 2 | 2 | 4  | NO CHANGE | Extremely Low | Band 8 | Head of fleet services   | Loss over £20 M  | Closed - risk has no residual impact | Weekly   |
| Place 2017/ 9  | Reputational           | Loss of World Heritage Site status for the Derwent Valley Mills   | WHs are inscribed by UNESCO because of their Outstanding Universal Value (OUV). The Derwent Valley Mills Partnership, the coordination team of which is hosted by Derbyshire County Council, produces a management plan, on behalf of HM Government, that provides a framework for the appropriate stewardship of the Valley which is endorsed by UNESCO. The management plan ensures that the OUV of the Valley is not put at risk. Revised governance arrangements are now also in place to help target action around 'protection' and future development.   | Treat/Control | To maintain appropriate stewardship and World Heritage Status of the UNESCO site.  | 1 | 1 | 1  | Ongoing  | The DVMWHS Partnership has recently had its governance arrangements reviewed to ensure it is fit for purpose. The latest iteration of the DVMWHS Management Plan has been adopted by HM Government and lodged with UNESCO. In 2021 UNESCO asked the UK Government to submit a 'State of Conservation Report' as two planning permissions that negatively impacted on the setting of the DVMWHS were granted permission even though ICOMOS (on behalf of UNESCO, Historic England and the DVMWHS Partnership highlighted that they would negatively impact on the Outstanding Universal Value of the WHS. The DVMWHS Coordination Team drafted the report on behalf of HM Government and this has now been submitted to UNESCO for consideration in the next WH meeting in July 2022. DCC is also actively involved in partnership working to explore future development opportunities linked to Belper Mills to ensure on-going protection and re-use of the buildings.  | 2 | 2 | 4  | NO CHANGE | High          | Band 1 | HM Government. DCC is the chair organisation of DVMWHS Partnership | Loss of visitor revenue                                      | Open - actions underway to mitigate  |  |
| Place 2017/ 10 | Financial              | Failure to deliver budget cuts or meet income targets   | The department has a robust five year plan for delivery of budget cuts. Budget management and monitoring is carried out by managers with the oversight and support of the departmental Finance team which is accountable to DMT and the Director of Finance/section 151 officer. The planned cuts are supported by a phased use of reserves to ensure continuity of service and adequate time for planning/redesigning services and undertaking public consultation. Budgets are being considered and managed as a result of increased material costs impacting all service areas and controls to manage the impact of new legislation linked to the eradication of red diesel.  | Treat/Control | To meet identified budget cuts within the department.  | 2 | 3 | 6  | Ongoing  | Proposals have been identified to reduce previously unidentified savings through DMT and reporting to Cabinet in January 2021 on the next Five Year Financial plan   | 4 | 3 | 12 | NO CHANGE | Moderate      | Band 4 | Place-DMT  | Overspending to the value of unidentified budget cuts.       | Open - actions underway to mitigate  |  |
| Place 2017/ 11 | Financial              | Failure to follow procurement regulations or undertake effective contract management  | Appropriate resources and skills are allocated to procurement activity. Appropriate training has been undertaken and is continuing. Support is requested from corporate procurement where required. Officers regularly update their knowledge of Financial regulations and other procedures. Contract management is undertaken effectively within service areas. A forward plan for forthcoming procurement activity has been included in the Service Plan to enable resources to be planned in a more coordinated manner. The Department is certified to ISO 14001:2015 and ISO 9001:2015.  | Treat/Control | Procurement activity is undertaken in line with Financial and regulatory procedures  | 1 | 3 | 3  | Ongoing  | Training is completed on new financial regulations. Procurement support is now provided to Place from a centralised procurement service which has strengthened the professional advice and support available. Systems are being implemented to ensure the forward plan is well managed and monitored.  | 1 | 3 | 3  | NO CHANGE | Low           | Band 4 | Place-DMT  |  | Open - actions underway to mitigate  |  |
| Place 2017/ 12 | Statutory Duties       | Failure to protect employees whilst working alone or in remote locations  | DCC Lone Working Policy and guidance. Various lone working systems in place throughout the department  | Treat/Control | DCC Lone Working Policy and guidance is implemented and provides necessary safeguards to protect employees. Relevant discussions through team meetings to ensure policies being applied.             | 1 | 3 | 3  | Ongoing  | DCC Lone Working Project set up in January 2018 to revise existing guidance, review existing procedures and evaluate lone worker devices and 24/7 monitoring centres for use with high risk lone workers. Trial of devices took place from August to October 2019. Generally positive feedback received. Numbers of devices required by each Department to be confirmed with report seeking DCC contract for provision of lone worker devices to be submitted to C.J.C H&S sub.  | 2 | 3 | 6  | NO CHANGE | High          | Band 1 | Place-DMT/TB   | Unlimited fine/damages                                       | Open - actions underway to mitigate  | Through inspection and audit programmes, Health and Safety Management Group, Performance Clinic, accident data, and H&S Champion at DMT. |
| Place 2017/ 13 | Reputational           | Failure to safeguard children and vulnerable adults using Place services  | DBS checks are undertaken on all relevant employees, drivers and passenger assistants. Review took place of existing practice in transport in 2015 following which an action plan was developed. Information cards have been issued to all contractors. Liaison with relevant agencies and schools, day centres. Improvements in required standards at pre-procurement stage. 1 Step Up programme - all staff engaged with the participants have appropriate DBS checks, safeguarding and Prevent training. Any necessary health and safety checks for visits and activities comply with DCC requirements. Approval process for DBS checks now transferred from Children's HR to Place. Safeguarding awareness training courses planned for passenger assistants in Derbyshire (c. 500) have been cancelled in 2020 due to COVID. Continued close collaborative working with Child Protection (LADO) and Adult Safeguarding. To note, the safeguarding training planned for PA's has been suspended for 2020 due to COVID. Planned to reviewed by September 2021.  | Treat/Control | Safeguarding of children and vulnerable adults using Place services  | 4 | 3 | 12 | Ongoing  | A Transport Standards Framework is being produced with collaboration of relevant departments and outside agencies and being delivered via a task & finish group. Project lead - Deborah Oddy working with Community Safety colleagues. A draft action plan has been produced with a major element of the work focusing on education and awareness of contractors and their staff through face to face training and guidance materials. Training in Safeguarding Awareness and CSE has already been produced by Place and Community safety and is being delivered by the districts/boroughs for 3000+ taxi drivers. In addition, Driver CPC accredited safeguarding training has been developed suitable for drivers of large school buses. Improved reporting systems in Transport services & greater collaboration with LADO/Child Protection/Licensing Officers. Issues regarding contractors transporting people with special needs to be added to the Strategic Risk Register. To note, the safeguarding training planned for PA's is still on hold with a further review by September 2021. | 4 | 3 | 12 | NO CHANGE | High          | Band 6 | Place-DMT  | Unlimited fine/damages                                       | Open - actions underway to mitigate  |  |
| Place 2017/ 14 | Reputational           | Failure to deliver services in accordance with customers' expectations  | Resources are allocated with the aim of meeting customer expectations wherever possible although this is getting harder as budget cuts take hold. Priorities are agreed by Members through the Council Plan and Service Plan. Compliance with the Council's customer care standards, complaints policy and access to information requirements where possible. Public consultation is undertaken and views are taken into account in decision making. Some services have specific service standards that have been set to balance the available resources with customer expectations. Portrait Dialogue software is being utilised to help keep customers informed of highway issues and manage expectations. The new Customer Relationship Management System (CRM) went live in December 2021 and will also contribute towards keeping customers informed and managing communications with residents. Launched @derbyshireroads twitter in August 2018. Contingency Plans have been implemented to continue to meet service requirements during the COVID pandemic and a separate risk register is maintained on a monthly basis.  | Treat/Control | To meet or manage customers expectations when delivering services  | 2 | 4 | 8  | Ongoing  | Future service changes will be subject to public consultation. Further review of service standards take place from time to time. Staff training undertaken as appropriate. Portrait Dialogue software is utilised to help highways customers.  | 3 | 4 | 12 | NO CHANGE | Moderate      | Band 2 | Place-DMT  | Unknown as service dependant                                 | Open - actions underway to mitigate  |  |
| Place 2018/ 1  | Information Governance | Risk of noncompliance with data protection legislation effective from May 2018.   | Working group established Summer 2017 and action plan in place. ICO audit completed. Data Information audit complete. Privacy Impact Assessment process embedded in procurement and data sharing projects. Training of staff managing data undertaken. Regular updates provided at DMT and cascaded within services and teams.   | Treat/Control | Systems in place to enable continued compliance with new data protection legislation.  | 3 | 2 | 6  | Ongoing  | Continued training and communications, review of policies and procedures. Contract variation with suppliers. Deletion of personal data is in progress as per the retention schedules and additional resources have been requested. Legal basis for holding data is being reviewed for all services.  | 3 | 3 | 9  | NO CHANGE | Moderate      | Band 4 | Place-DMT  | Unlimited fine   | Open - actions underway to mitigate  |  |
| Place 2018/ 2  | Service Disruption     | Risk of not maintaining Department for Transport Incentive fund Band 3 status. Failure to retain Band 3 would result in a budget reduction of £1.603m in 2019/20 and £1.603m in 2020/21 | Heads of Service are responsible for ensuring asset management systems are in place in accordance with statutory duties and good practice in the relevant field, and in accordance to the new code of practice - well managed highway infrastructure<br><br>Asset Management Board in place to govern development priorities and challenge maturity.<br><br>Details and evidence in support of current band 3 self assessment are contained in various policies and procedural documents held within the highways strategy function and within individual service areas.<br><br>The Department is accredited to ISO:9001 which demonstrates that correct processes are followed to minimise risks in this area.  | Treat/Control | Maintaining Band 3 status<br><br>UKRLG Asset Management board member - provides early warning of changes to incentive fund and the ability to prepare to adapt policy and practice where appropriate | 3 | 2 | 6  | Ongoing  | To continue to improve and embed asset management according to the new code of practice - well managed highway infrastructure<br><br>Continue to monitor asset management maturity and improvement planning through the Asset Management Board.<br><br>Investigate opportunities for formal highways asset management competency training.   | 2 | 2 | 4  | NO CHANGE | Low           | Band 4 | GP   | Loss of incentive fund element of DIT maintenance allocation | Open - actions underway to mitigate  | Mechanisms in place for continual review and improvement   |

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| Place | 2019/ 1  | Service Disruption                   | Associated risk of Brexit and implications on business and council services   | The Local Resilience Forum has undertaken scenario exercises into the possible impacts of Brexit on the services and citizens of Derbyshire. A Brexit specific Risk Register is in place. Targetted work was undertaken during December 2020 and into 2021 with key partners on detailed scenario planning. Additional focused work to be expedited during December 2020 with key partners on detailed scenario planning. Impact of Brexit did not materialise in the first 3 quarters of 2021 but is starting to do so as of September 2021 onwards, although conflated with Covid-19 impacts. Existing LRF recovery cell arrangements are continuing to identify and address necessary actions to mitigate these impacts. Focused work was expedited in the lead up to December 2020 and has continued thereafter. Issues in relation to economic impacts of BREXIT now embedded within COVID recovery plan with action plans being implemented accordingly.   | Take the opportunity | To minimise the impact of known and as yet unidentified associated risk of Brexit and implications on business and council services   | 2 | 3 | 6  | Transition period ends on 31 December 2020 but impacts likely to be felt for some time afterwards - December 2021 | Impacts of Brexit now emerging - June 21 - and difficult to distinguish, in part, from impacts of COVID. Relevant mitigations and actions now embedded in comprehensive recovery strategy and action plans - working with economic partners. Delivery managed through Economic Recovery Cell.  | 3 | 3 | 9  | NO CHANGE     | Moderate | Band 7 | Place-DMT       | Unknown at present   | Open - actions underway to mitigate |   |
| Place | 2019/ 2  | Financial                            | Failure to attract business to the Markham Vale Business Park regeneration project  | The successful delivery of Markham Vale is seen as a high priority by the Council. Delegated decision making powers have been given to the Council Leader and Strategic Director in order to allow quick decisions to be made on development opportunities. A dedicated Project Manager (Head of Markham Vale) is in post as the key contact between DCC and our private sector partner HBDL. A series of regular partnership boards continue to meet; including the Operations Board which includes a marketing agenda and is immediately followed by a marketing meeting with Property Agents where monthly marketing reports are discussed. Markham Vale as a brand continues to be promoted locally and nationally through various marketing campaigns - brochures, advertisements, speaking at conferences, direct marketing and PR along with the effective use of a website and social media. A delay or failure to attract companies will result in delayed or non-delivery of jobs - the current target is 4,100 of which some 2,200 has been achieved. Most recent jobs survey (Sept 2020) suggested some loss of jobs (c100) due to COVID but wider recovery efforts have resulted in a net gain at year end (March 2021). The most recent jobs survey (Summer 2021) suggests broadly a net nil impact of COVID and Brexit at the moment. | Treat/Control        | Secure inward investment and development of all 200 acres of planned development land with the creation of 4,100 fte jobs   | 2 | 2 | 4  | 31 March 2024   | Continue with existing risk mitigation procedures/controls in place. Continue with existing Project Control processes both for governance and delivery.  | 2 | 3 | 6  | NO CHANGE     | Low      | Band 4 | Place-JB        | Unknown at this stage  | Open - actions underway to mitigate | Existing reporting and project control structures in place. |
| Place | 2019/ 3  | Physical Injury                      | Ash dieback - Serious injury to the public or employees on Place land, Highway Network, PROW Network, Countryside Sites and premises  | Ash dieback, also known as Chalara dieback of ash, is a serious disease that is killing ash across Europe. Ash is a very important tree in the UK both ecologically and culturally so this disease is causing great concern about the damage it will do. Since summer 2019 the Countryside Service has witnessed an increase in ash trees showing decline in health due to Ash dieback. Currently tree surveys are taking place on the Highways Network and on Countryside Destination Sites looking for tree disease and trees at risk. Also surveying on the PROW network where reported. Countryside Staff have been trained to identify trees with Ash dieback and what to look for. Any trees showing significant health issues on the Highways Network are reported to Highways Colleagues for removal. Any Ash on Countryside Sites with Ash dieback are inspected and a report produced for property services to remove.   | Treat/Control        | Financial resources are secured. Staff resource and expertise is in place. Development of the Ash Die Back Plan is complete and being implemented. Affected trees are being identified and removed. | 4 | 3 | 12 | 31/04/2022  | The Countryside Service is initiating a programme to:-<br>1. Quantify the scale of the problem on the countryside estate.<br>2. Planning and undertaking an inspection regime for roadside trees issue, including mapping on Confirm.<br>3. Train all site based staff and establish escalation procedures.<br>4. Carry out desk-based assessment of the location of ash trees utilising detailed site knowledge of staff, with subsequent confirmation on site as required.<br>5. Use latest research to assess individual trees and make management decisions.<br>6. Established a corporate working group to oversee ash dieback management.<br>7. Progressing the development of a Corporate Ash Dieback Action Plan.<br>8. Submitting a further funding bid to support the delivery of the Action Plan.<br>9. A Woodlands Project Officer has been recruited to lead the project. | 4 | 4 | 16 | NO CHANGE     | Moderate | Band 4 | Place-DMT       | Although unknown, potential to be substantial if claims are made against the authority   | Open - actions underway to mitigate |   |
| Place | 2019/ 4  | Physical Injury                      | Management of DCC water bodies - Serious injury to the public or employees and/or severe damage to land or infrastructure as a result of failure of asset.  | The County Council owns and operates water bodies of varying types (canals, reservoirs, lakes) condition and ages. Many of these assets are managed by the Countryside Service on behalf of the Corporate Landlord. The council is the Navigation Authority for the canals and is responsible body for some of the impounded reservoirs, under specific legislation. The other ponds and water bodies are managed as assets in the same way as any other Countryside site, under a prioritisation structure relating to risk and other elements of site status.<br><br>The Countryside Service previously employed Project Officers with specialist water industry knowledge, however these staff have now left the Council. The service is currently trying to recruit to these specialist roles, this is proving to be difficult as there is a national shortage of suitably qualified individuals. A call off contract with   | Treat/Control        | To competently manage DCC waste bodies and ensure no serious injury to the public or employees and/or severe damage to land or infrastructure as a result of failure of an asset                    | 4 | 3 | 12 | Dependent on each project implementation plan   | Countryside Service is initiating a programme to:-<br>1. Appoint specialists to assist in assessing and prioritising the risks and works required.<br>2. Resources be allocated to update emergency plans and out of hours responses<br>3. Establish a corporate working group to oversee water body management.<br>4. Progress the development of a Corporate Action Plan.<br>5. Securing funding to support the delivery of the Action Plan and future maintenance and monitoring.<br>6. Recruitment of a Waterbodies Officer to manage water bodies across the County.  | 4 | 4 | 16 | NO CHANGE     | High     | Band 7 | Place-DMT       | £10,000,000 to <£25,000,000  | Open - actions underway to mitigate | Through inspection records and works carried out            |
| Place | 2020/ 1  | Financial                            | Failure to deliver major projects in accordance with agreed timescales and/or budgets, resulting in financial or reputational damage to the council   | Each project has an associated budget and Project manager to make sure the project controls, milestones and risks are monitored. Project Boards are appointed and regular updates provided. Financial resources are secured prior to Project start up. Review of project and programme management governance arrangements being completed (Dec 2020) and implemented to ensure full oversight and improved risk management. Review of programme priorities being undertaken July/ August 2021 to ensure targeted activity and delivery within available resources and to help manage expectations.   | Treat/Control        | To implement projects on time and within budget   | 2 | 3 | 6  | Dependent on each project implementation plan   | A review is taking place in relation to programme and project management which has highlighted a number of areas for improvement. A report is going to CMT in November 2020 to propose some changes. Place DMT will oversee the introduction of these improvements which are designed to ensure a robust project management approach is taken to all Place projects and programmes in line with a corporate approach to reviewing how change and transformation programmes are delivered under the enterprising council banner.  | 3 | 3 | 9  | Please select | Moderate | Band 8 | Place- JB/JG    | The impact will be proportionate to the project budget in each case. Those projects deemed of high risk and value will be included on the Strategic Risk register. | Open - actions underway to mitigate | Project documentation                                       |
| Place | 2021/ 1  | Financial                            | Increased operational and financial pressures in the event the Council is required to manage additional recyclables   | We have developed contingency plans in the event of additional recyclables, including the contract requirements in such an event. We have also looked at the legal position and identified potential cost implications.  | Treat/Control        | Continuity of service levels & budget   | 1 | 2 | 2  | 31 December 2021  | We have engaged with key stakeholders. The service is being closely monitored, contingency plans have been developed and will be implemented if required.  | 2 | 3 | 6  | DOWN          | Moderate | Band 5 | Neil Haslam     | £2,000,000 - £5,000,000  | Open - actions underway to mitigate |   |
| CCP   | 2020/ 18 | Physical injury                      | Serious injury to Trading Standards staff arising from contact with members of criminal gangs   | Derbys Police Organised Crime Board, appropriate ongoing risk assessment, PPE such as stab vests, vehicle registration blocking, police lead for high risk operations, staff training and awareness  | Treat/Control        | Reduce further the risk to officers   | 4 | 2 | 8  | Ongoing   | Implement vehicle blocking for all appropriate officers, police attendance for any activity with OC link   | 5 | 2 | 10 | NO CHANGE     | Moderate |        | Steve Allen     | Unknown at this stage  | Open - actions underway to mitigate |   |
| CCP   | 2021 20  | Financial                            | Inability to deliver the Library strategy to achieve major changes to service delivery within the required timescale ( due to resistance to change, potentially low levels of engagement by and with community organisations and long lead in times to achieve changes to staffing structures). Resulting in a delay in meeting required savings targets.                   | Major public consultation exercise undertaken. HR support to implement staffing changes in a timely manner.  | Treat/Control        | Implementation of the library strategy  | 3 | 3 | 12 | 30-Mar-24   | Continuation of current controls   | 3 | 4 | 12 | NO CHANGE     | Moderate | Band 3 | Michelle Parker | Unknown at this stage  | Open - actions underway to mitigate |   |
| Place | 2021 5   | Statutory duties/ Service disruption | Succession planning ensuring employees having the right skill sets and workforce capacity at all levels including management. Downsizing and pressure for increased productivity carry health and attendance risks. An ageing workforce means increased frequency of departures from the service, with recruitment particularly difficult in Trading Standards and Highways | Succession planning, work plan prioritisation, reviewing and aligning services, recruitment, apprenticeships and professional training are managed to attempt to address risks. Work plans to meet identified priority actions identified in Service Plans currently in development.   | Treat/Control        | Successful succession planning  | 3 | 4 | 12 | Ongoing   | Continuation of current controls. Service Plan development to identify staffing issues around developing, retaining and recruiting   | 3 | 4 | 12 | NO CHANGE     | Low      | Band 2 | Place - DMT     | Unknown at this stage  | Open - actions underway to mitigate |   |

|       |      |    |                           |  |   |               |   |   |   |   |                         |  |   |   |    |           |          |        |                  |                       |                                     |  |
|-------|------|----|---------------------------|--|---|---------------|---|---|---|---|-------------------------|--|---|---|----|-----------|----------|--------|------------------|-----------------------|-------------------------------------|--|
| Place | 2021 | 6  | Information governance    | Library volunteers having access to library  | If volunteers discharge an item on the library management system (LMS) and it says it is requested by another library user, there is possibility to click on the personal details. The LMS is very restricted for volunteers and the system does not allow for this information to be hidden. Volunteers are not made aware of the capability unless they decide to click on the requested library user.  | Treat/Control | To manage and control personal data of library users in line with data protection requirements  | 2 | 3 | 6 | Ongoing                 | LMS to be reviewed as part of community managed libraries roll out   | 3 | 3 | 9  | NO CHANGE | Low      | Band 3 | Michelle Parker  | unknown at present    | Open - actions underway to mitigate |  |
| Place | 2021 | 7  | Information governance    | Necessary voluntary and community group  | The current Library Strategy was approved at Cabinet in 2018 and work has commenced to implement the findings. However progress against the planned timescales is slow and the strategy for community transfer is to be reviewed to ensure the planned savings and efficiencies are achieved. Currently DCC staff in libraries use a generic log in to the Library Management System (LMS). Potentially, a member of staff could leave employment with DCC and go on to volunteer at a Community Managed Library (CML). Knowing the DCC log in they could access the full system and library users personal information.  | Treat/Control | To support the transfer of a total of 20 libraries to community management. This will ensure the provision of library services within communities whilst at the same time, achieving high levels of performance and preventing building closely. To manage and control personal data of library users in line with data protection requirements | 3 | 3 | 9 | ongoing                 | Undertaken branch review of current library strategy to recast savings profile and re-energise the approach to community engagement. Identify the next phase of libraries suitable for community transfer and create an appropriately resourced project team. Investigations into providing DCC staff with personal log-in's to the LMS. In the meantime plans are being put in place to change the generic log-in on a monthly basis. | 3 | 3 | 9  | NO CHANGE | High     | Band 5 | Michelle Parker  | unknown at present    | Open - actions underway to mitigate |  |
| Place | 2021 | 8  | Physical Injury           | Shilley Lake Spillway potentially undermining  | Surveyor and Countryside ranger are on site daily to monitor the spillway. Pumps and a sand bag wall is in place to control overflow of water. As and when reservoir raises the water is being pumped out. An external contractor is also involved in monitoring and controlling.   | Treat/control | A new spillway is in place to control the reservoir level   | 1 | 1 | 1 | ongoing                 | Ground investigations are currently taking place on site, this will enable a design solution for the reservoir   | 4 | 3 | 12 | NO CHANGE | High     | Band 4 | Jaimie Lancaster | Awaiting figures      | Open - actions underway to mitigate |  |
| Place | 2021 | 9  | Statutory duties/ Service | Risk of limited fuel due to fuel shortage/ short   | Business Continuity planning in place to consider risk and mitigation measures to minimise disruption to service delivery. In particular the impact on Highways and Transport/ home to school transport.  | Treat/Control | To respond to events to maintain an agreed level of service and respond quickly to service need.  | 2 | 3 | 6 | Dependent upon National | Business Continuity Planning in place to support affected service areas such as Highways, Transport and Home to School transport   | 3 | 4 | 12 | NO CHANGE | Moderate | Band 3 | Place - DMT      | unknown at this stage | Open - actions underway to mitigate |  |
| Place | 2021 | 10 | Financial                 | Leaks, damp and dry rot in Peak Buildings, caused by long-term lack of maintenance damages Buxton Museum collections and/or makes the building unsuitable for a museum, requiring additional expenditure for conservation work, to find and rent a new store, and to move collections, as well as temporary closure of museum to enable staff to process objects to be moved. In the worst case, the museum has to be permanently moved to new premises or closed. | Corporate Property are costing treatment and repairs to the building. If they decide not to fund the works, alternative proposals for the museum will need to be developed.   | Treat/Control | To ensure the safety of the museum service and collections  | 1 | 3 | 3 |                         | Work with Corporate Property to resolve the buildings issues.  | 4 | 4 | 16 |           |          |        | Michelle Parker  | Unknown at this stage | Open - actions underway to mitigate |  |
| Place | 2021 | 11 | Physical Injury           | Traffic Signals malfunction/fault presenting conflicting traffic control signals to road users.  | All traffic signals configurations are subject to intensive testing prior to and after installation known as factory acceptance test (FAT) and site acceptance test (SAT) and the installation will not commence until DCC Traffic Signal engineers are satisfied that the equipment has passed the FAT stage and a traffic signal installation will not be left in operation until DCC Traffic Signal engineers are satisfied the SAT has passed. Configurations of all traffic signal installations are held within EDRM and with the manufacturer of the equipment such that if a site required the configuration to be re-loaded, a master back-up is held in two locations. Regular periodic inspections are carried out of each traffic signal installation at 6 monthly intervals to ensure the correct operation of the traffic signals and reporting of the asset condition. | Treat/Control | To ensure ongoing periodic inspections are carried out on time and that engineers undertake FAT and SAT before an installation is handed over to the Council.   | 4 | 1 | 4 | Ongoing                 | The design process that details FAT and SAT forms part of ISO9001 accreditation. In addition the design and maintenance of traffic signal equipment is detailed in the Highway Infrastructure Asset Management Plan.   | 4 | 1 | 4  | NO CHANGE | High     | Band 4 | Place - DMT      | Unlimited Fine        | Open - actions underway to mitigate | Risk mitigation is integral to ISO9001 accreditation and HIAM documents. |