FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

21 March 2023

Report of the Director of Finance and ICT

Corporate Risk Management Update (2022-23 Quarter 3)

1.   Purpose

1.1   To receive an update on current risk management issues, and to review the Council's strategic risk register.

2.   Information and Analysis

2.1   This report covers updates to the council's strategic risk register up to the end of Quarter 3 (31 December 2022).

2.2   Commentators now observe that organisations, including local authorities, must learn to operate in a state of 'permacrisis'.   This is where the management of uncertainties arising from concurrent major events ('poly-crises'), for which there's no definitive solution, is becoming the norm. Vital to handling 'permacrisis' in the future will be strong risk identification and foresight, building preparedness and resilience in the Council, with its partners and in local communities.

2.3   The corporate management team continues to keep under review the breadth of these uncertainties facing the council. These were summarised in the Corporate Risk Management Update (2022-23 Quarter 2). While most of these uncertainties remain unchanged, there has been some change in the current quarter, specifically:
- National political stability settling the financial markets and policy making in areas affecting local authorities.
- Some movement in addressing widespread industrial action across the public sector.

2.4   The Council initiated its service planning updates during 2022-23 Q3 which are now complete, subject to Council approval on 22 March 2023. Consideration of risk was a key factor in decision making, and all departmental plans now show the main risks for each planned deliverable. These risks will be reflected in updated departmental risk registers and actively managed by risk owners, with regular review by departmental management teams.

2.5   Careful management of financial risk will be a key theme going into 2023-24 and beyond. The Revenue Budget Report 2023-24, approved by Cabinet on 2 February 2023, describes the challenging context for the Council's financial planning which includes:

- A period of high inflation which is impacting energy, food and contract costs.
- A cost-of-living crisis which is impacting on local communities.
- Uncertainty in respect of pay awards and challenges in respect of recruitment and retention across the sector.
- Continuing demand for Council services, particularly in respect of social care.
- Uncertainty of funding for local authorities over the medium to longer term, as the government's Provisional Settlement has not provided a true multi-year settlement once again which affects the Council's ability to balance its budget across the medium term.

2.6   The Council's sound financial management over many years has allowed it to successfully manage its financial risks, and to deliver a balanced budget again in 2023-24 using some of the additional flexibility provided by government in setting a higher Council Tax next year. However, the context outlined above will still make 2023-24 and subsequent years very challenging, especially if additional government funding is not forthcoming from 2024-25.

2.7   Although the General Reserve will remain strong in 2023-24, departments have been advised to plan on the basis that they cannot rely on this to offset year end overspending. The risk management budget (used to help manage some longer-term risk and pressures) will not be funded in 2023-24, with any fluctuations managed in-year using other reserves where it is appropriate to do so. Also, achieving the planned balanced budget in each year of the five-year financial plan (FYFP) is reliant on successfully delivering a challenging programme of budget savings. Any slippage will put further pressure on reserves.

2.8   As noted in the last report. Substantial work is continuing to improve the cyber-resilience of council ICT systems to meet more stringent cyber insurance market requirements. In the meantime, the council is currently self-insuring against cyber-risk.

3.   Strategic Risk Register (2022-23 Quarter 3 update)

3.1 The strategic risk register includes those risks which could have a significant impact on the Council's ability to deliver its services and objectives. These are now defined as Major Risks (Red and Amber) which score 8 and above, and therefore subject to active monitoring and control.

3.2 A summary of risks on the current strategic risk register is shown in Table 1. The full register is shown at Appendix 2, with the Q3 update for each risk shown in purple text.

Table 1 – Summary of current strategic risks (2022-23 Q3)

Risk description	Risk owner	Target score	Latest score	Change (from previous quarter)
Impact of a prolonged recovery and a funding gap	Paul Stone	Amber	Red (Q3)	No change
Increase in demand on Council services	Iain Little	Amber	Red (Q3)	No change
Failure to deliver critical services in emergency situations	Chris Henning	Amber	Amber (Q3)	On target
Failure to have adequate emergency response arrangements in place	Chris Henning	Amber	Amber (Q3)	On target
Supply chain failure	Paul Stone	Green	Red (Q3)	No change
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	Chris Henning	Blue	Red (Q3)	No change
Information governance	Paul Stone	Amber		No update
Adapting to climate change	Chris Henning	Amber	Red (Q3)	No change
Protection of vulnerable adults	Helen Jones	Amber	Red (Q3)	No change
Protection of vulnerable children	Carol Cammiss	Amber	Amber (Q3)	On target
Maintenance of property assets	Dave Massingham	Amber	Red (Q3)	No change
Inability to maintain Highways and Countryside assets to an appropriate standard	Chris Henning	Green	Red (Q3)	No change
Failure to understand or respond adequately to new or changing legislation and regulation	Helen Barrington	Amber		No update

3.3   The scores for all risks on the register remain unchanged from 2022-23 Q2.

3.4   Seven risks have been Red for six successive quarters (18 months or more) up to the end of 2022-23 Q3. These risks are indicated in orange in the 'risk description' column in Table 1.

3.5   There are two further Red risks (currently scored to the end of 2021-22 Q4) which could tip into six successive quarters if remaining Red in 2022-23 Q3. Updates have been requested from the relevant teams. These risks are:
- Information governance
- Failure to understand or respond adequately to new or changing legislation and regulation

3.6   There are two overall scores shown for each risk in 2021-22 Q2 in Appendix 2. This is because a new scoring methodology was introduced in September 2021 to give greater weight to risk impact. The scores are shown using both the old and new methodology for comparison and continuity purposes.

3.7   Details on how risk impact and likelihood are assessed are included for information at the end of Appendix 2.

4.   Alternative Options Considered

4.1   This is a regular report on progress with managing strategic risks and implementation of the corporate risk management strategy.

5.   Implications

5.1   Implications are discussed in Appendix 1.

6.   Consultation

6.1   The information in Appendix 2 was provided by risk owners.

8.   Background Papers

8.1   Electronic files held by Risk and Insurance management, Finance & ICT Services, County Hall Complex.

9.   Appendices

9.1   Appendix 1 – Implications.

9.2   Appendix 2 – Strategic Risk Register.

10.   Recommendations

10.1   That the Audit Committee notes this report.

11.   Reasons for recommendations

11.1   The Audit Committee is charged with providing assurance of risk management within the Council.

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<u>**Implications**</u>

Financial

1.1   Financial implications in relation to specific risks are noted in the strategic risk register where applicable.

Legal

2.1   Legal implications in relation to specific risks are noted in the strategic risk register where applicable.

Human Resources

3.1   Human Resources implications in relation to specific risks are noted in the strategic risk register where applicable.

Information Technology

4.1   Information technology implications in relation to specific risks are noted in the strategic risk register.

Equalities Impact

5.1   Equalities impact implications in relation to specific risks are noted in the strategic risk register where applicable.

Corporate objectives and priorities for change

6.1   The strategic risk register and corporate risk management strategy underpin the successful delivery of the Council's objectives and deliverables set out in the Council Plan and service delivery plans.

6.2   The corporate risk management strategy is designed to strengthen risk management arrangements to underpin improved performance across the Council, and to deliver greater public value from its work.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

7.1   All other implications in relation to specific risks are noted in the strategic risk register where applicable.

STRATEGIC RISK REGISTER

Report period:	2022-23	Q3
Report date:	31 January 2023	

This is the Derbyshire County Council strategic risk register.

The Corporate Risk Management Strategy 2021-2025 (v3.1) states that corporate risks scoring 12 and above are deemed 'strategic' and included in the strategic risk register. These are risks with the greatest potential negative impact on the Council.

Change to scoring from September 2021

The risk impact scoring table changed in September 2021 (2021-22 Q2) to give greater weight to the 'Impact' score. Prior to this, risks scoring 15 and above were deemed 'strategic' risks. The pre- and post-September 2021 risk scoring matrices are shown in Appendix 2A and Appendix 2B.

The individual risk summaries in the register below show two 2021-22 Q2 scores. This quarter was scored using both methods to provide continuity of trend data pre- and post-September 2021.

Scoring history (trend)

Historic scoring data is shown from when risks were first included in the register. During 2021-22 some risks were split into component parts and/or wording amended to provide greater clarity. Trend data for these risks have been retained, except where the risk focus has changed sufficiently to make comparison with prior scores less useful.

Risk updates

Textual changes and updates since the last report are shown in **Purple**. Some risks which recently changed to have a score below 12 have been retained on the register for information.

Summary of strategic risks

Risk description	Risk owner	Target score	Latest score	Change (since previous quarter)	Page
Impact of a prolonged recovery and a funding gap	Paul Stone	Amber	Red (Q3)	No change	3
Increase in demand on Council services	Iain Little	Amber	Red (Q3)	No change	7
Failure to deliver critical services in emergency situations	Chris Henning	Amber	Amber (Q3)	On target	9
Failure to have adequate emergency response arrangements in place	Chris Henning	Amber	Amber (Q3)	On target	12
Supply chain failure	Paul Stone	Green	Red (Q3)	No change	15
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	Chris Henning	Blue	Red (Q3)	No change	19
Information governance	Paul Stone	Amber		Update requested for 2022-23 Q4	21
Adapting to climate change	Chris Henning	Amber	Red (Q3)	No change	24
Protection of vulnerable adults	Helen Jones	Amber	Red (Q3)	No change	28
Protection of vulnerable children	Carol Cammiss	Amber	Amber (Q3)	On target	32
Maintenance of property assets	David Massingham	Amber	Red (Q3)	No change	35
Inability to maintain Highways and Countryside assets to an appropriate standard	Chris Henning	Green	Red (Q3)	No change	38
Failure to understand or respond adequately to new or changing legislation and regulation	Helen Barrington	Amber		Update requested for 2022-23 Q4	43

Risks recently removed from the Strategic Risk Register:

Risk description	Risk owner	Target score	Last score	Status	Page
Effective change management	Jen Skila	Green	Green (Q4)	Under review	45
Ineffectual workforce planning	Jen Skila	Green	Green (Q4)	Under review	48

Risk Description	Impact of a prolonged recovery and a funding gap								
	In the event that the Authority does not develop sufficient and timely proposals to deal with the ongoing or further reductions in funding/resources, there is a risk that the need to close the funding gap may result in identifying measures for unplanned reductions in service spend leading to deterioration or interruption of front line service delivery.								
Risk Owner	Peter Handford				Director of Finance & ICT				
Last update	Period:		2022-23 Q3			Date:		19 December 2022	
Target (score)	AMBER (8) by tba				Probability:	Probable (4)		Impact:	Moderate (2)
Current (score)	RED (20)				Probability:	Almost Certain (5)		Impact:	Extremely High (4)
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
Other	Reputation impact assessment		MODERATE			Financial impact assessment		Band 8	
Progress update	The Council has updated its Five-Year Financial Plan alongside the setting of the Revenue Budget 2022/23 in February 2022. The update reflects the outcomes of the Spending Round 2021 and the Local Government Finance Settlement 2022/23. There is a significant commitment in the Council's 2022/23 Revenue Budget to provide an additional £29m of ongoing funding and £17m to support service pressures. Given the severity of the impact on Government finances of the response to the Covid-19 pandemic, the EU Exit, local government devolution and delays to the Fair Funding and Business Rates Reviews, consideration has been given to the longer- term financial sustainability of the Council in setting its 2022/23 budget. The Revenue Budget 2022-23 included a £3.7m contingency to support departmental service pressures. There is a continued reliance on the achievement of a programme of budget savings.								

	Within the Contingency budget £1m has been set-aside for increased costs due to inflation, however the rate of inflation has increased significantly since the budget was set and these costs may exceed the set-aside amount. The current economic climate, relatively high inflation and low growth, some of which can be attributed to global activities such as the effects of the war in the Ukraine, is unlikely to improve in the short-term and will inevitably squeeze the Government's fiscal position.

The Spending Review 2021 announced that £3.6bn of £5.4bn of funding for adult social care reform will be routed through local government to implement the cap on personal care.

The Provisional Finance Settlement announced on 16 December has failed to provide a multi-year settlement which would have helped to support financial planning and financial sustainability.

The revenue and capital budgets for 2022/23 were agreed at Council on 8 February. These continue to be constrained by the availability of funding and continue to rely upon the use of reserves to manage the achievement of the required budget reductions.

2022-23 Q2 Update: Preparation for 2023-24 budget setting has started early with a Council-wide approach. Detailed work on budget savings has been completed over the summer. CMT Away Day scheduled for October 2022 to focus on budget preparation. Letter sent to Secretary of State with details of inflationary pressures faced by the Council.

2022-23 Q3 Update: Preparation for 2023-24 budget setting has started early with a Council-wide approach. Detailed work on budget savings has been completed over the summer/autumn, with cost pressures identified and further savings proposals established by departments. The Government's Autumn Statement announced addition funding for social care and the flexibility for local authorities to raise additional income from the Adult Social Care precept. The additional funding and the Council Tax flexibility will be available in both 2023-24 and 2024-25. A two-year financial settlement is expected, however, the 2024-25 allocations will be indicative at this stage. |

Controls	Description	Status	Owner
	Five-Year Financial Plan is updated at least annually and following key Government announcements e.g. Spending Rounds. In addition to this, the Council's Financial Strategy has been revised and updated, and was	In place/embedded	E Scriven

	approved by Cabinet on 9 September 2021. The Strategy sets out a framework in which the Council manages its financial resources.		
	Departmental budget reductions programmed developed together with a plan of lead-in times for consultation, where appropriate and the identification of workforce reductions.	In place/embedded	P Stone
	Budget Management Strategy Group established to ensure a cohesive approach to the monitoring of departmental budget saving targets, associated consultation activity and budget setting procedures. Departmental representatives following agreed terms of reference are meeting at least monthly with an expectation that the frequency of meetings will be more regular during the budget setting period. In addition, the Capital Strategy Group oversee the capital bids process and monitoring of the capital programme.	In place/embedded	P Stone
	Budget Monitoring Policy ensures that there is regular reporting to SMTs and Members. The Director of Finance meets with Executive Directors and Cabinet Members to discuss the latest monitoring position. The position is reported to Cabinet and Council on a quarterly basis (effective from 1/4/2020) alongside departmental performance information.	In place/embedded	E Scriven
	The Reserves Policy stipulates that the Council's level of reserves will be reviewed at least annually. This includes a projection of the General Reserve balance to ensure that is maintained at an adequate risk assessed level.	In place/embedded	E Scriven
	Positive use of Better Care Fund and alignment of health and social care priorities for integrated working.	In progress/taking effect	H Jones
	Lobby Government in ensuring fair funding for Derbyshire. The Council responds to all key Government consultations in respect of the Funding Review which is currently ongoing.	In progress/taking effect	P Stone

	Consideration is being given to the establishment of countywide lobbying in association with district/borough/city councils, adopting a joined-up approach in respect of priority areas such as social care and homelessness.		
	Monitor the impact of the National Funding Formula for schools and closely monitor the implications of the High Needs Block level of funding ensuring compliance with the revised Government regulations.	In progress/taking effect	S Kerslake
	The budget setting process for 2023/24 commenced in early Summer 2022 to ensure that the Council has early sight of the financial pressures faced in both short and medium-term.	In progress/taking effect	P Stone
	A £15m recovery fund has been established to support the Derbyshire economy and recovery from Covid-19. It is expected that the majority of the scheme will each provide significant benefit to the local economy with a smaller portion for internal recovery, with a further £14.000m made available from 2020/21 underspends.	In progress/taking effect	P Stone

Risk Description	**Increase in demand on Council services**				
	As demand for services changes, the Council may need to adapt the services it currently offers in order to provide the new or additional services. Failing to manage the changes could lead to core services being reduced leading to significant impact upon stakeholders and partnerships; potential litigation; fines; risk of injury or death.				
Risk Owner	**Iain Little**		Deputy Director of Public Health		
Last update	Period:	2022-23 Q3		Date:	30 September 2022
Target (score)	AMBER (8) by 31 March 2023		Probability:	Probable (4)	Impact:	Moderate (2)
Current (score)	**RED (16)**		Probability:	Probable (4)	Impact:	Extremely High (4)

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4

Other	**Reputation impact assessment**	HIGH	**Financial impact assessment**	Band 4

Progress update	Demand Management has been identified as a priority project within the Enterprising Council approach. A report to Enterprising Council Board in May 2021 recommended that demand management is embedded across change management projects and programmes through developing an approach to understand and measuring demand. This will align the work with the Strategic Transformation workstream. An SRO has been identified, and links made to incorporate demand management within work of the Strategic Transformation Programme Management Office. This work is now progressing following previous delays due to capacity pressures caused by the Council's Covid-19 response. A cross-Council working group has been established and met, with a definition and work programme to be proposed to the EC Board in Q1/2 2022/23. **2022-23 Q2 Update:** Work continues to progress through working group.

	2022-23 Q3 Update: The cross-Council working group continues to meet and has identified next steps to scope existing demand management practice across all departments. Conversations required between SRO and Executive Director to align work of Demand Management workstream with recently established corporate PMO. Scoring reflects increased pressure on Council services due to external factors, including impact of inflationary pressures on Local Authority budgets, and Cost of Living pressures increasing demand on public services.		
Controls	**Description**	**Status**	**Owner**
	SRO identified to lead work.	In place/embedded	J Skila
	Demand management approach agreed.	In place/embedded	I Little
	Embedding of demand management approach within work of Strategic Transformation PMO – for completion by March 2023	In progress/taking effect	I Little/J Skila

Risk Description	Failure to deliver critical services in emergency situations								
	The emerging risk environment, the number and type of emergency and the interdependencies of services is increasingly making business continuity or "resilience" a significant focus for the Council. This is a corporate risk across all departments.								
Risk Owner	**Chris Henning**			Executive Director, Place					
Last update	Period:		2022-23 Q3			Date:		3 January 2023	
Target (score)	GREEN (6) by 31 March 2023				Probability:	Unlikely (2)		Impact:	High (3)
Current (score)	**AMBER (8)**				Probability:	Unlikely (2)		Impact:	Extremely High (4)

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4

Other	Reputation impact assessment	MODERATE	Financial impact assessment	Band 5

Progress update	The risk description has changed from 'Failure to have adequate business continuity plans in place'. (Note: Assessments rescored from 2021-22 Q2 to reflect this change). The Emergency Plan and Business Continuity Plan are both due to be updated in the near future as part of the Emergency Planning work programme. The Universal Contact List that supports both of these documents has recently been updated in May 2022, this contains the contact information for key officers and stakeholders so that is up to date with any recent changes. A report is to be submitted to CMT to consider how the business continuity management process is carried out going forward. The Council's corporate business continuity plan 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 County Hall headquarters, Chatsworth Hall, John Hadfield House and Shand House. and identifies priority functions which need to be maintained or restored in order to provide critical services.

Further work is being undertaken to look at services provided at other locations, partnership working and external suppliers.

There is an established annual programme of training and exercises to ensure staff understand what their roles and responsibilities are, test the effectiveness of the plan and assist with future development.

Following a Business Continuity exercise organised by Emergency Planning a revised priority functions spreadsheet for all service areas is in place. The document ensures that heads of service are actively considering and documenting their business continuity arrangements. The priority functions spreadsheet needs to be revisited throughout the year; the previous version was completed in Nov 2020.

Following the outbreak of the coronavirus, the Council has engaged in significant scenario planning across all departments to ensure that the Council is equipped to respond to ensure continuity of services on a priority basis.

Directorates providing key services should have up to date service area plans detailing how they will continue/or resume critical services. An audit of these needs to be undertaken to ensure that there are plans and that they are up to date.

The corporate business continuity priority functions spreadsheet needs to be revisited throughout the year; the previous version was completed in Nov 2020. The plan has been used during the response to Covid-19 however the plan has not been exercised since October 2019.

Concern has been raised as to whether directorates/service areas have in place local service area plans and/or how up to date they are, and the adequacy of these. A review of how business continuity planning is resourced needs to be undertaken to ensure that it is adequately resourced.

The revised scoring was proposed following a meeting with the Risk & Insurance Manager and Emergency Planning Manager.

	2022-23 Q2 Update: No change to the risk this quarter. **2022-23 Q3 Update:** No change to the risk this quarter.		
Controls	**Description**	**Status**	**Owner**
	Corporate Business Continuity Plans updated and tested on an annual basis. Plan is held on an external resilient portal (ResilienceDirect) to which staff with identified roles and responsibilities have access.	In place/embedded	E Partington
	In the event of an emergency, the Business Continuity Management Team (key strategic corporate staff) will meet at appropriate intervals to agree the strategic objectives and task the Business Continuity Support Team in order to ensure an effective co-ordinated response.	In place/embedded	J Skila
	Departments hold in-depth reviews of their continuity arrangements to ensure key services can continue.	In progress/taking effect	J Skila
	ICT and procurement to work with departments to ensure systems procured provide resilience.	In progress/taking effect	T Gerrard
	Cross departmental working in place to support key areas. Skills and training identified.	In progress/taking effect	E Crapper
	Business Continuity Policy – May 2018	In progress/taking effect	E Partington

Risk Description	**Failure to have adequate emergency response arrangements in place**								
	The Council's ability to provide an effective response to an emergency situation, including major incidents such as severe weather (e.g. climate change-based flooding), fire, loss of utilities or pandemics, whilst maintaining its critical services to the public. The emerging risk environment, the number and type of emergencies is increasingly making continuity or "resilience" a significant focus for the Council. Budget cuts and rationalisation (including resourcing reductions) also challenge the Council in its ability to fulfil its Category 1 Responder statutory duty under the Civil Contingencies Act 2004.								

Risk Owner	**Chris Henning**	Executive Director, Place

Last update	Period:	2022-23 Q3		Date:	3 January 2023	
Target (score)	AMBER (8) by 30 June 2022		Probability:	Unlikely (2)	Impact:	Extremely High (4)
Current (score)	**AMBER (8)**		Probability:	Unlikely (2)	Impact:	Extremely High (4)

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4

Other	**Reputation impact assessment**	HIGH	**Financial impact assessment**	Band 5

Progress update	The emergency response arrangements are under review to ensure resilience and training for key response staff. This will help enable a new lower target score to be achieved. The Emergency Plan and Business Continuity Plan are both due to be updated in the near future as part of our overall work programme. The Universal Contact List that supports both of these documents has recently been updated in May

2022, this contains the contact information for key officers and stakeholders so that is up to date with any recent changes.

Under the Civil Contingencies Act (CCA) 2004 the County Council is defined as a Category 1 Responder and therefore has statutory duties placed on it, one of which is to ensure that it has plans in place to respond to an emergency and continue to provide critical services, i.e. emergency planning and business continuity arrangements.

The Local Resilience Forum is made up of Category 1 Responders as defined by the CCA. As a Category 1 Responder the Council is jointly responsible for preparing and maintaining Derbyshire LRF's community risk register and ensuring that multi-agency plans are in place to mitigate/respond to the risks/threats identified within it.

2022-23 Q2 Update: No change to the risk this quarter.

2022-23 Q3 Update: Systems and processes are in place to respond to incidents on the highway and deal with flooding and business continuity plans are being reviewed and updated.

Controls	Description	Status	Owner
	Corporate Emergency Plan updated and tested on an annual basis with multi agency training and exercises. Plan is held on an external resilient portal (ResilienceDirect) to which staff with identified roles and responsibilities have access.	In place/embedded	E Partington
	In the event of an emergency, key staff will attend multi agency Strategic Co-ordinating and Tactical Co-ordinating Groups as appropriate. During Covid-19, wherever possible, Strategic Coordinating Group and Tactical Coordinating Group meetings will be held virtually in response to Covid-19 and other major incidents.	In place/embedded	C Henning
	Following emergencies departments review their response with internal debriefs that feed into LRF multi-agency debriefs as appropriate.	In place/embedded	C Henning
	LRF multi-agency risk and capability plans are prepared and maintained by LRF partners to ensure an effective response by responding agencies including the County Council.	In place/embedded	C Henning

	Flood Risk Management Strategy and guidance notes - The flood risk management strategy sets out the Council's actions to help manage flood risk in Derbyshire. It also gives the role of our partners (such as district and borough councils, water companies, parish and town councils). The strategy is divided into 2 parts: • Part 1 provides information about flooding and flood risk - it covers who to call, and how local people can help themselves to become more resilient to the impacts of flooding. • Part 2 covers the more technical details of understanding flood risk in Derbyshire - it has an action plan about how we will manage future risks and get money to cover costs.	In place/embedded	J Gould
	Flood Risk Asset Register - register of structures or features in Derbyshire which are considered to have a significant impact on flood risk and requires permission if any changes are to be made. Owners of assets and features on the asset register must maintain their assets and ensure that they are working fully. The Council has the power to enforce the owners of registered assets to carry out this duty.	In place/embedded	J Gould

Risk Description	**Supply chain failure**			
	Failure to manage contracts effectively could lead to unforeseen increased costs; risk of contracts collapsing; increased carbon footprint.			

Risk Owner	**Peter Handford**	Executive Director of Corporate Services and Transformation

Last update	Period:	2021-22 Q3		Date:	30 September 2022	
Target (score)	GREEN (6) by tba		Probability:	Unlikely (2)	Impact:	High (3)
Current (score)	RED (20)		Probability:	Almost Certain (5)	Impact:	Extremely High (4)

Assessment history

2021-22	Q1	Q2 (Pre-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
		Q2 (Post-Sep 2021)							

Other	**Reputation impact assessment**	HIGH	**Financial impact assessment**	Band 8

Progress update	A Central Contract Management Support Team to improve management of contracts across the Council has been approved and appointments are being made to the team. **2022-23 Q2 Update:** A Principal Procurement Officer has been appointed to lead the Central Contract Management Support Team. She is currently having difficulty recruiting to the vacant posts in the team. **2022-23 Q3 Update:** The Principal Procurement and Compliance Officer is planning and co-ordinating activities to mitigate contract management and compliance risk. However, failure to recruit into the team continues to jeopardise the ability to successfully deliver the team's strategy for the Council.

Controls	Description	Status	Owner
	A guidance document has been produced to ensure departments are aware of their responsibilities to ensure management of business continuity is part of their contract management processes. This document is under review, followed by audit confirmation for general circulation.	Proposed/not yet approved	T Gerrard

	Proposed introduction of a standardised Contract Management Framework via a Central Management Professional Standards Team across the Council. Work on the Contract Management Framework has begun, using the lengthy guidance documentation (>200 pages) provided by the Cabinet Office.	In progress/taking effect	T Gerrard	
	Identification of high value/high risk contracts including partnerships and partners which demand a higher level of contract management. The Contract Tiering Tool released by Cabinet Office has been agreed with risk and audit. Work is currently underway to classify and validate >300 retrospective contracts on the Contracts Register (above £25k). This will inform the Compliance Team of resource levels needed within Business Services for contract management.	In progress/taking effect	T Gerrard	
	Understanding the flow of Council goods and services from our suppliers will help mitigate supply chain risk and identify any potential risk to supply and/or costs this should include the manufacturing, movement and storage of goods, right through to order fulfilment. This data should be captured and reported on centrally as part of robust contract/supply chain management. This will form part of the Contract Management Framework and be rolled out when appropriate.	In progress/taking effect	T Gerrard	
	Use of an external credit reference agency is proposed as part of contract management activity to check financial standing of providers during the life of the contract. The Council has a contract in place with Experian which is awaiting implementation. Credit checks will form part of the Contract Management Framework which is also recommended by Cabinet Office.	Proposed/not yet approved	T Gerrard	

	Contract & provider knowledge sharing with other councils via the East Midlands Heads of Procurement and the national Public Sector Procurement Working Group. Knowledge and plans are share with other authorities regarding Contract Management. County Procurement are already liaising with Cabinet Office for training that is available and funded by the GCF (Government Commercial Function).	In progress/taking effect	T Gerrard
	Reviewing and updating tender documentation and contracts to identify weaknesses which could contribute towards supply chain failure. No action has yet been taken regarding this risk and it is dependent on other controls and the roll out of the Contract Management Framework.	In progress/taking effect	T Gerrard
	Ensuring Business Continuity Plans are reviewed and tested with providers during the life of the contract as part of robust contract management activity. Once the Business Continuity Plan has been confirmed for issue by Audit, the Business Services can test the plan(s).	In progress/taking effect	T Gerrard
	County Procurement is an active member of the Council's Environmental Sustainability Group. As part of this Group proposals to embed sustainability into Procurement activities are being considered. The Social Value Portal organisation is being on-boarded to deliver sustainability as part of the Social Value framework. A Soft Market Testing exercise is also being undertaken to identify a sustainability partner. The Council's Sustainable Procurement Policy has been approved and published. County Procurement is an active member of the Council's Environmental Sustainability Group. As part of this Group proposals to embed sustainability into Procurement activities are being considered. The Social Value Portal organisation has been on-boarded to begin deliver sustainability as part of the Social Value framework. Pilot projects have been selected and are currently progressing through the procurement process before any added value achieved can be recorded. The Council's	In progress/taking effect	T Gerrard

	Sustainable Procurement Policy has been approved and published. County Procurement are reviewing ways sustainable procurement can be included into specifications and processes.		

Risk Description	**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**							

	Following termination of the Project Agreement with RRS, the Council is now engaged in defending legal action brought by the owners of the debt accrued in the development of the plant. This puts at significant risk to deliver the value for money originally envisaged in the long term waste strategy. Failure to achieve value for money is a significant risk to the Council's budget. Failure to determine the future use of the New Waste Treatment Facility is a significant risk for the long-term waste management strategy, the Council's future economic and environmental sustainability and its reputation.

Risk Owner	**Chris Henning**		Executive Director, Place		

Last update	Period:	2022-23 Q3		Date:	3 January 2023
Target (score)	BLUE (2) by tba		Probability: Unlikely (2)		Impact: Low (1)
Current (score)	RED (16)		Probability: Probable (4)		Impact: Extremely High (4)

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4

Other	**Reputation impact assessment**	HIGH	**Financial impact assessment**	Band 7

Progress update	RRS has commenced formal court proceedings against the Council and Derby City Council, following termination, in August 2019, of the Project Agreement for the Joint Waste Project, including the waste treatment centre in Derby. The Councils will be defending these proceedings and preparations for the proceedings is underway. The councils need 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.

	Work to determine the condition and capability of the facility is nearing completion and will determine the next steps for the facility.
	Procurement for services post 2 October 2022, when the Service Continuity Contract expires is almost complete, contracts to be awarded in July 2022. A Work Plan of key actions is in place, resources allocated and are subject to regular review.
	2022-23 Q2 Update: No change to the risk this quarter.
	2022-23 Q3 Update: No change to the risk this quarter.

Controls	**Description**	**Status**	**Owner**
	A Service Continuity Contract is 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 Renewi under a short-term contract up to October 2022. The contract includes work to secure, clean and preserve the waste treatment facility.	In place/embedded	C Brailsford
	Joint Waste Contract Management Boards (with Derby City Council) in place and meet regularly to provide strategic leadership.	In place/embedded	C Brailsford
	Internal Waste Project Board is in place and meets monthly.	In place/embedded	C Brailsford
	Specialist advisors (finance; commercial, technical and legal) support the Project Team. The Project Team meets at minimum weekly.	In place/embedded	C Brailsford

Risk Description	Information governance								
	The Council's information governance policies, processes and systems insufficiently protect personal, commercial and other sensitive data, leading to potential harm to vulnerable persons, employees and commercial relationships, legal action, financial penalties and reputational damage.								
Risk Owner	**Peter Handford**			Director of Finance and ICT					
Last update	Period:		2021-22 Q4			Date:		30 September 2022	
Target (score)	AMBER (9) by tba				Probability:	Possible (3)		Impact:	High (3)
Current (score)	**RED (12)**				Probability:	Possible (3)		Impact:	Extremely High (4)
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
Other	**Reputation impact assessment**		HIGH			**Financial impact assessment**		Band 3	
Progress update	This corporate risk is being reformulated by the Director of Finance and ICT to address information governance (incorporating GDPR and cyber resilience). The risk scores are unchanged until the review is complete, and an informed assessment is made, however the current score reflects the large amount of controls in place. An implementation plan for The Data Strategy will shortly be provided for approval to centralise legacy flat file data into a secure SharePoint structure. **2022-23 Q2 Update:** Update requested from ICT. **2022-23 Q3 Update:** Senior leadership changes. This risk will be reviewed and updated for 2022-23 Q4.								
Controls	Description						Status		Owner

	The ICT Data Architecture function to build out the data use and management guidelines for the Council.	In progress/taking effect	S Oxley
	The data management strategy and a resource requirements report have been considered by CMT and will be presented to Cabinet in June 2022. This will allow the ICT Service to put the resources in place to develop an implementation plan to migrate to SharePoint and implement the advance security options available in the e5 license.	In progress/taking effect	S Oxley
	Staff see a screen each time they logon to the Council's network that lists the key policies that they must read and acknowledge. These same policies are presented to new staff at induction.	In place/embedded	J White
	File counter icon on desktops show staff their documents that are held locally.	In place/embedded	J White
	Information Governance Training is mandatory online training for all council staff, agency staff and temporary staff. It must be completed every 12 months and metrics are presented to the Information Governance Group monthly.	In place/embedded	J White
	ISO27001 certification gives the Council assurance that physical and technical processes are in place to secure and protect data.	In place/embedded	J White
	The council has a robust security incident management system in place which alerts of security vulnerabilities and data breaches. The new Halo system is now live and improvements have been implemented to alert ICT Services of incidents that pertain to malware and phishing incidents.	In place/embedded	J White
	The council has access control on all systems holding data and permissions are reviewed quarterly.	In place/embedded	S Oxley

	The council has a range of technical defences in place to secure the council's Data Centres, server and network architecture, data backups and business continuity plans.	In place/embedded	S Oxley
	All Council issued devices are encrypted and PIN protected to prevent access to data on the hard drive.	In place/embedded	S Oxley

Risk Description	**Adapting to climate change**								
	The Council and County faces a challenge in relation to an increase in extreme weather patterns including increased rainfall, drought, heatwaves and unseasonal weather. This will result in risks of increased frequency of flooding; damage to infrastructure; risk to health, well-being and productivity; water and energy shortages; risks to natural capital; interruption of food production and trade; new and emerging pests, diseases and plant and animal species. Climate change around the world is likely to result in mass migration of people.								
Risk Owner	**Chris Henning**				Executive Director Place				
Last update	Period:	2022-23 Q3				Date:	3 January 2023		
Target (score)	AMBER (9) by 31/03/2030			Probability:	Possible (3)			Impact:	High (3)
Current (score)	RED (16)			Probability:	Probable (4)			Impact:	Extremely High (4)
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
Other	**Reputation impact assessment**		HIGH			**Financial impact assessment**		Band 8	
Progress update	A Derbyshire Climate Change Adaptation Plan was produced in 2013 with a review of progress taken place in 2017. The Adaptation Plan addressed flooding, infrastructure, service delivery, adapting the built environment and community and business resilience planning with considerable work being undertaken in each area. Since the 2013 study climate change understanding and science has progressed, and the policy and guidance around climate change adaptation has changed. The target score has been reassessed in the context of these changes. There is therefore now a need to assess what this information means to the Council and the services that it delivers, using the Derbyshire Climate Change Adaptation Plan developed in 2013 as foundation to work from. A Climate Projections for Derbyshire 2020-2100 report has been developed, summarising information about how the climate of Derbyshire, the UK and the world are changing and may change in the future. This is an internal-facing								

document being used to help inform the risks and opportunities facing the Council and the wider county. A project proposal for assessing the risks facing Council Services has also been developed and shared with CMT, the Corporate Risk Management Group (CRMG) and the Council's Governance Board, with project delivery now commenced and continuing in 2022-23.

The project is being delivered through the following steps, the first of which has now commenced:

1. Engagement with each departmental management team to provide an overview of the area of work and confirm next steps for departmental engagement (July – August 2022).
2. Meetings/workshops held with relevant officers from each department to review the risks and adaptation actions highlighted in the 2013 Derbyshire Climate Change Adaptation Plan, and to establish the key current risks, how they will change in likelihood and/or severity due to climate change,and set out the actions that need to be taken to adapt and build resilience to the risks. Opportunities are also to be explored (September – November 2022).
3. Risk analysis presented back to the CRMG for comment and implementation guidance (December 2022).
4. Agreed climate change risks and adaptation measures to be incorporated into the Corporate Risk Register, Departmental Risk Registers and Service Plans, as appropriate (January – February 2023).
5. Appropriate monitoring and evaluation plan(s) established, including for where partnership working is required (January – February 2023).

To fully understand the risks, and to align with the latest UK Government Climate Change Risk Assessment (UKCCRA3), the Local Partnerships Adaptation Toolkit for Local Authorities will be used to help structure the process of assessing current and future climate vulnerability, establishing appropriate responses, and developing monitoring and evaluation processes. Project delivery will be monitored by the Council's Climate Change and Environment Programme Board (CCEPB).

The project will focus on Council services and functions. There is also a need for a better understanding of wider county and regional risks, opportunities and priority areas of action to be established, particularly around impacts on communities, businesses and the natural environment. Opportunities for a collaborative county-wide or regional study are being explored with the Environment Agency and through Vision Derbyshire, and the East Midlands Local Authority Climate Network. This collaborative approach would accelerate action in areas where cross border working is needed

	to build county-wide and regional resilience whilst allowing individual authorities to also manage their own authority and service-level risk assessments and action plans.		

	2022-23 Q2 Update: Work on assessing climate change risks and opportunities is now underway being led by the Climate Change Team with delivery in each Department. Engagement was carried out with each Departmental Management Team during July and August 2022 to provide an overview of the area of work and identify next steps for departmental engagement. Following this, workshops have been arranged with nominated representatives from each department (for Sept-Dec 2022) to establish the key current risks, how they will change in likelihood and/or severity due to climate change and set out the priority actions that need to be taken to adapt and build resilience to the risks. The findings from these workshops will be presented back to the Corporate Risk Management Group for comment and implementation guidance (December 2022). Identified and prioritised climate change risks and adaptation measures to be incorporated into Corporate Risk Registers and Service Plans, as appropriate, and implemented accordingly (January – February 2023).
	2022-23 Q3 Update: Following engagement with each Departmental Management Team during Q2 to provide an overview of the area of work and identify next steps for departmental engagement, workshops have been held during Q3 with nominated representatives from Place, Corporate Services and Transformation and Adult Social Care and Health to establish the key current risks, how they will change in likelihood and/or severity due to climate change and set out the priority actions that need to be taken to adapt and build resilience to the risks. A focused session has also been held with Public Health. Further workshops are to be held with Children's Services in early Q4 (January 2023) to complete the engagement activities. The findings from these workshops are to be presented back to the Corporate Risk Management Group initially for comment and implementation guidance during Q4, with identified and prioritised climate change risks and adaptation measures be incorporated into the Strategic Risk Register, Departmental Risk Registers, Business Continuity Plans and Service Plans, as appropriate, and then implemented and monitored accordingly. The project is focussing on Council services and functions. Opportunities for a collaborative county-wide or regional study are also being explored through Vision Derbyshire, the D2 Energy Action Group, the East Midlands Local Authority Climate Network. This collaborative approach, hoped to be confirmed by the end of Q4, will accelerate action in areas where cross border working is needed to build county-wide and regional resilience, whilst allowing individual authorities to still hold and manage their own service-level risk assessments and action plans.

Controls	Description	Status	Owner
	Analysis and distribution of future climate projections for Derbyshire to complete by 31/05/2022.	In progress/taking effect	C Brailsford

	Departmental engagement and Council Service risks identified and confirmed with departments by 30/11/2022	In progress/taking effect	C Brailsford
	Adaptation actions identified and confirmed with departments by 31/12/2022.	In progress/taking effect	C Brailsford
	Council Service risks and adaptation plans embedded and aligned where possible to existing processes and plans to be completed by 31/02/2023.	In progress/taking effect	C Brailsford
	County or regional project developed and delivered with partners to assess and address climate change risks facing the region, its communities and businesses and the natural and built environment. To be completed by 31/12/2023.	Proposed/not yet approved	C Brailsford
	Derbyshire Local Flood Risk Management Strategy developed and embedded, which considers how flood risk is likely to change in the future due to climate change and other environmental stresses.	In place/embedded	J Gould
	Derbyshire Natural Capital and Biodiversity Strategy to complete by 31/12/2022. The Strategy will set out the level of resilience of Derbyshire's natural environment to climate change, and ways in which this resilience can be enhanced.	In progress/taking effect	C Brailsford
	Climate Change Supplementary Planning Guidance approved and embedded by 30/09/2022, which sets out how planning processes should take account of climate change risk and resilience for all new developments.	In progress/taking effect	J Battye

Risk Description	**Protection of vulnerable adults**								
	Failure to protect the most vulnerable in our society could lead to significant fines; special measures; litigation; decreased staff morale; reputational damage.								

Risk Owner	**Helen Jones**		Executive Director, Adult Social Care and Health	

Last update	Period:	2022-23 Q3		Date:	28 February 2023	
Target (score)	AMBER (8) by 31/03/2023		Probability:	Unlikely (2)	Impact:	Extremely High (4)
Current (score)	RED (12)		Probability:	Possible (3)	Impact:	Extremely High (4)

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4

Other	**Reputation impact assessment**	HIGH	**Financial impact assessment**	Band 4

| Progress update | An Adult Social Care (ASC) Quality Assurance Strategy has been developed which is the foundation from which we will ensure that all ASCH functions drive the delivery of high quality services for the people of Derbyshire and work to continuously improve quality based on a clear understanding of expectations and requirements.

This strategy has been incorporated into policy and is being driven by an overarching Quality Assurance Board that meets on a six weekly basis and which receives highlight reports at each meeting from workstream leads who are responsible for a specific area of quality assurance across the ASC department. There are six key work streams; Safe Services, Quality Recording, Quality Monitoring and Improvement, Quality Workforce, Communications and Quality Policies and Procedures.

Each work stream is required to utilise appropriate data to monitor and scrutinise activity across the department and report to the board via a highlight report as well as focus activity on key actions through detailed work stream action plans. |
|---|---|

	The QA Board initially reported updates on activity and required action to the ASC Portfolio Holder verbally and has been providing written reports to the ASC Portfolio Holder and Executive Director on a quarterly basis from October 2021 onwards.
	In specific relation to the directly provided services such as residential care, homecare and day care activity there is also a Quality Improvement Board (QIB) which has now been established for some eighteen months or more. This Board is chaired by an Assistant Director and involves Group Managers across the department. The Board ensures that the quality and improvement of all directly provided services is the responsibility of the whole department and that the QA strategy is being implemented.
	The work of this Board is focused into the same six key work streams, and feeds directly into, the Quality Assurance Board that Board.
	ASC was impacted by the new Covid variant during January – March 2022 re-establishing emergency planning mitigated this risk.
	2022-23 Q2 Update: Adult Social Care have now developed a prioritisation tool for the Prevention and Personalisation teams. This is being rolled out across the department and will provide further assurance.
	2023-24 Q3 Update: No change from Q2.

Controls	Description	Status	Owner
	An Adult Social Care Quality Assurance Strategy and Framework has been developed and agreed. This strategy has now been converted into policy and implemented across the department and is being embedded into practice.	In progress/taking effect	S Stevens
	The Quality Improvement Board meets on a six weekly basis to review progress within work streams, to drive delivery on the action plan and to identify new learning.	In place/embedded	T Henson

	The Quality Improvement Board provides regular updates to the ASC Quality Assurance Board, Senior Management team and Executive Director.	In place/embedded	T Henson
	Safeguarding leadership arrangements have been reviewed and additional investment has been made into the team as well as a transfer of the operational structure into the Commissioning, Safeguarding and Performance team to enable more independent scrutiny and oversight. Monitoring & review of leadership arrangements is ongoing.	In place/embedded	G Poulter
	We have reviewed our approach to learning reviews and serious incidents. We have revised policy and process in order to ensure appropriate and consistent monitoring, review and learning mechanisms are established and embedded. To embed by July 2022.	In place/embedded	G Poulter
	Additional investment has been made into the ASC Quality and Compliance team in order to ensure we have a focused approach to audit, monitoring and continuous improvement.	In place/embedded	G Poulter
	An initial performance dashboard has been developed which currently monitors the performance of our care homes by measuring across six key metrics; staffing vacancies, occupancy, incidents, training, complaints and CQC rating. This dashboard is further being developed to capture quality, compliance and safeguarding activity across the whole department. Both the high-level dashboard, and a more detailed report sitting underneath, are sent to all relevant operational staff and are also monitored by the Quality and Compliance Team. To embed by August 2022.	In place/embedded	T Henson
	Senior Managers are updated in relation to any significant incidents through a newly embedded 'notifiable incident form'.	In place/embedded	D Sullivan/ T Henson

	A Quality Assurance Board that meets on a quarterly basis, and which receives highlight reports at each meeting from workstream leads who are responsible for a specific area of quality assurance across the ASC department, has been established to oversee progress on actions and receive highlight reports on meets on a six weekly basis to review progress within work streams, to drive delivery on the action plan and to identify new learning. This board has provided regular verbal updates to the ASC Senior Management team, Executive Director and Portfolio Holder. The board has been providing written updates on progress on a quarterly basis to the Executive Director and Portfolio Holder. Next report is due on 27 June 2022.	In place/embedded	S Stevens
	A data dashboard which was initially developed for our transformation programme, is being further developed to ensure that accurate reporting on specific areas of Quality assurance can be maintained in one place to support monitoring and reporting to the Quality Assurance Board. Complete by October 2022.	In place/embedded	L Elba-Porter

Risk Description	Protection of vulnerable children							
	Failure to protect the most vulnerable in our society could lead to significant fines; special measures; litigation; decreased staff morale; reputational damage.							
Risk Owner	Carol Cammiss			Executive Director, Children's Services				
Last update	Period:		2022-23 Q3			Date:		23 December 2022
Target (score)	AMBER (8)				Probability:	Unlikely (2)	Impact:	Extremely High (4)
Current (score)	**AMBER (8)**				Probability:	Probable (4)	Impact:	Moderate (2)
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23 Q1	Q2	Q3 / Q4
Other	Reputation impact assessment		HIGH			Financial impact assessment		Band 3
Progress update	Risk can never be eliminated entirely, however Derbyshire continuously seeks to strengthen risk management and practice in cases known to the Authority. As demonstrated recently, heightened media attention at times of national or local tragedy can impact on referral rates and capacity to respond for a variety of reasons. However, the overall impact on the Council would be expected to be moderate and has been rescored accordingly for 2021-22 Q4. A range of robust mitigation measures are in place and will continue. The council has robust policies and procedures in place to safeguard vulnerable children, supported by training and development, supervision and quality assurance processes. Our ongoing quality assurance programme indicates that practice has strengthened and the vast majority of casework in our reflective case reviews is judged to be good or better. Structures and capacity within frontline teams have been reviewed, in order to reduce caseloads and increase support for practitioners via reflective supervision and management oversight. Successful recruitment and retention strategies have reduced turnover and vacancies in social care over the past two years, leading to greater workforce stability.							

More recently, the higher turnover that we had seen in some Localities during the pandemic appears to have levelled off, however periodic strains in capacity are unavoidable with the regularity of workforce changes. Supportive communications have been shared with the workforce regarding the respect and value of their hard work and practice with children and families.

These measures provide a firm foundation for ongoing service improvement and the reduction of risks to children.

2022-23 Q2 Update: No change to the risk this quarter.

2022-23 Q3 Update: No change to the risk this quarter. Appropriate actions and mitigations continue to be in place.

Controls	Description	Status	Owner
	Robust policies & procedures, training, supervision and QA in place. Supported by strong independent quality assurance function.	In place/embedded	A Noble
	Derbyshire Safeguarding Childrens Partnership embedding and supporting quality assurance and development of multi-agency safeguarding practice.	In progress/taking effect	J Gracey
	Systemic practice operating model; integration of Early Help and Social Care.	In place/embedded	A Noble
	Formal and informal learning, coaching and mentoring. Work underway to further strengthen L&D approaches	In progress/taking effect	A Noble/ L&D team
	Robust procedures within Starting point to embed multi agency thresholds and pathways. Further work across DDSCP to strengthen partnership responsibility.	In progress/taking effect	P Lambert
	Reviewing of staffing, training and caseloads - establishing ongoing funding of service structure and capacity.	In progress/taking effect	A Noble

	Practice improvement plans with oversight by QA Board chaired by Exec Director. Regular performance monitoring and accountability at all levels across children's safeguarding and SEND services. Plan recently reviewed following achievement of original actions.	In place/embedded	P Lambert
	Supervision policy and management oversight reviewed and strengthened.	In place/embedded	P Lambert
	Workforce strategy - recruitment and retention of social workers improved; supporting more stable workforce and reducing remaining capacity pressures. Strategies developed and implemented to address recent staffing challenges in Locality areas. Longer term approaches to recruitment and retention being explored.	In progress/taking effect	P Lambert
	Strengthened procedures via DDSCP to identify and embed learning from serious case reviews/child practice reviews. Implementation of regular assurance reports to CMT on learning reviews and actions to strengthen practice.	In progress/taking effect	A Noble
	Systems in place to report regularly and learn from complaints.	In place/embedded	D Cohen
	Systems in place to ensure a joined-up approach to managing risks for children during COVID-19; strengthened multi-agency working.	In place/embedded	A Noble/ D Careless
	Ensure a sufficiency of placements for children entering care including unaccompanied asylum seeking children (UASC).	In progress/taking effect	J Gracey

Risk Description	Maintenance of property assets								
	Failure to maintain our assets could lead to significant fines; significant litigation; decreased staff morale; reputational damage; HSE investigation.								

Risk Owner	David Massingham	Director of Property

Last update	Period:	2022-23 Q3				Date:	3 March 2023		
Target (score)	AMBER (8) by 31/03/2023			Probability:	Unlikely (2)		Impact:	Extremely High (4)	
Current (score)	RED (12)			Probability:	Possible (3)		Impact:	Extremely High (4)	

Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
			Q2 (Post-Sep 2021)							

Other	Reputation impact assessment	MODERATE	Financial impact assessment	Band 4

Progress update	In February 2021 a new Governance and decision arrangements framework was presented to Cabinet and agreed. Resources within operational service areas have been refocused on priority risk areas of Statutory Compliance and a new administrative and contract management team for Statutory Compliance areas has been implemented. Created a Statutory Compliance Policy. New Asset Management Strategy approved by members in June 2022. Programme to challenge every asset and ensure that a robust plan is in place for its management is well underway and ahead of schedule. Maintenance liabilities, fitness for purpose, performance have been benchmarked and are recorded against each asset, so that priority programmes can be implemented to address issues. A Maintenance Strategy has been prepared and approved by SMT. Monthly governance meetings to oversee the maintenance programme in place.

Facilities Management Strategy signed off by SMT. Monthly accommodation group picks up issues arising from service areas around their use of space. Links to the Modern Ways of Working Programme to plan future space requirements.

2022-23 Q2 Update: No change to the risk this quarter.

2022-23 Q3 Update: Asset Management Strategy and Asset Management Plan now in place. Maintenance Strategy approved by Senior Management Team (SMT) and governance meetings in place. Facilities Management Strategy approved by SMT.

Controls	Description	Status	Owner
	Decision taken to adopt Asset Management Strategy and Asset Management Plan in place of previous Framework by June 2022. Asset Management Strategy sign off at CAMG and Derbyshire Property Board and to go to cabinet on 28th July 2022.	In place/embedded	J Scholes
	Governance and Performance Framework is a key deliverable in the service plan.	In place/embedded	G Massey
	A 5-year programme of individual asset plans for all council assets has been developed and is underway to complete by April 2025.	In progress/taking effect	J Scholes
	5-year programme of individual Condition Surveys for all council assets.	In place/embedded	S Brown
	Annual Premises Reviews to 100% of managed estate.	In place/embedded	S Brown
	Planned Preventative Maintenance plans to align with Asset Plans.	In progress/taking effect	S Brown
	Dedicated resource to Statutory Compliance – administration, contract management and operational service provision.	In place/embedded	S Brown

	Repairs and Maintenance Strategy has been prepared awaiting final sign off.	In progress/taking effect	S Brown

Risk Description	Inability to maintain Highways and Countryside assets to an appropriate standard								
	Council's ability to maintain Highways and Countryside Service assets to a requisite standard, as judged both by industry practice and resident perception. (Note that other assets maintained by Place Department are considered to be Departmentally-managed risks, in line with assets maintained by other Departments. Highways and Countryside Service assets, because of their number and nature are considered a strategic risk)								
Risk Owner	**Chris Henning**				Executive Director, Place				
Last update	Period:	2022-23 Q3				Date:		3 January 2023	
Target (score)	See Progress Update				Probability:			Impact:	
Current (score)	**See Progress Update**				Probability:			Impact:	
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
Other	Reputation impact assessment		HIGH			Financial impact assessment		Band 5	
Progress update	This has been reassessed as a 'red' risk because of the period of under-investment in both Highways and Countryside Service assets. This under-investment is now being addressed – particularly through the Highways Capital programme, which is designed to deliver the Council Plan commitment for £120m capital investment over 3 years. However, issues such as landslips, retaining walls and ageing structures cannot all be addressed in the short-term or within current budgets. The ability of the County Council to adapt to climate change will form a particular challenge as the County's highways assets are prone to issues such as landslips. Following a Departmental Management Team meeting, and additional risk focussed meeting, it has been agreed that on the new corporate risk register template this strategic risk will be separated out into the 3 divisional areas within Place; Highways, Environmental & Transport and Economy & Regeneration. This will ensure the risk owner, risk and mitigation measures are clearly defined. The divisions will score their specific risk separately. Note that this risk focuses on Highways and Countryside Service Assets. Other assets maintained by Place Department are considered to be Departmentally-managed risks, in line with assets maintained by other Departments. Highways assets (including								

footpaths) and Countryside Service assets (including waterbodies), because of their number and nature are considered a strategic risk).

A Corporate Property Asset Management Framework is in place that includes Place. Working with Property Services, Service Asset Management Plans are being developed. Representatives from Place, Property and Corporate Finance are seeking to develop a holistic strategy and approach to how individual plans, processes and procedures will fit together to form the Council's joined up approach.

The Capital Strategy for 2022-22 provides a high-level overview of how capital expenditure and capital financing contribute to the provision of local public services.

As the risks and mitigations vary significantly across the 3 divisions, and within each division, the scores for each division on the new template will reflect therefore a more realistic risk rating. The Highways and Flooding score has remained GREEN, as above for Quarter 1.

Highways and Flooding:
This risk was reviewed within the development of the FHM and Highways Capital Programmes leading to a change in assessment from 2021-22 Q3. From 2022-23 Q1, the maintenance of all Place assets will be scoped and disaggregated into divisional areas to ensure that the risks are appropriately managed with mitigation measures and risk owners clearly identified.

The current risk was updated to reflect a more accurate risk description, moving away from the potential consequence led narrative; with failure to maintain our assets leading to potential significant fines, significant litigation, decreased staff morale, reputational damage and HSE investigation. Evaluating the current risk and mitigations in place against the risk has led to this risk moving from Red to Green.

Derbyshire's approach to Highways Asset Management is set out in the 2016 Code of Practice for Well-Managed Highway Infrastructure.

These required local authorities to adopt a risk based, integrated asset management approach to maintaining highway infrastructure by October 2018. These approaches are supported by the new funding models for local authority highway maintenance.

2022-23 Q2 Update: No change to the risk this quarter. Amber (8).

2022-23 Q3 Update: 'Derbyshire Highways Transformation programme is in place that will ultimately maintain the Highways assets and mitigate against risks associated with not maintaining the assets. The programme will be delivered and implemented by 1 April 2025. The Highways Capital Programme is well on track this year, again investing in the Highways assets. Target: Green (6) by 1 April 2024; Current: Amber (8).

Environment & Transport
Using the new divisional approach to risk it has been identified that failure to maintain assets is a key risk particularly for Countryside and Waste Services. More detailed work is required but initially evaluating the current risk and mitigations in place against the risk has resulted in this risk being scored a red.

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; however further substantive work is required to put asset regimes in place for all assets.

The Countryside Service has in excess of 121 assets ranging from 4,478 acres of land including Sites of Special Scientific Interest (SSSIs), reservoirs, canals, Greenways and physical structures. A key area of focus is the management of Waterbodies. The Waste Management Service has 9 Household Waste Recycling Centres (HWRCs) and a waste transfer station.

Particular areas of focus remain the development of asset management regimes for waterbodies notably reservoirs and canals; structures (e.g. bridges) and HWRCs.

2022-23 Q2 Update: Continuing to work with VERTAS and Property on the grounds maintenance contracts for sites. Work on the management of assets is on-going with an assets risk register now in place for Countryside Structures. Capital bids submitted for inspections for emergency repairs for Principal bridge inspections and preventative maintenance.   Red (12).

2022-23 Q3 Update: New Countryside Service Business Plan has been approved. This includes priority work to review the Countryside portfolio of sites to determine their grounds maintenance and capital programme requirements. A key factor is ensuring the sites and their infrastructure (including waterbodies) meet health and safety requirements.   The

capital bid referenced in the Q2 update have been unsuccessful and discussions with the Highways Team regarding alternative funding are expected to take place in Q4. Work to develop canal Asset Management Plans has commenced. Target: Green (4) by tba; Current: Red (12).

Economy & Regeneration
Using the new divisional approach to risk it has been identified that the condition of Buxton Museum poses the greatest asset-related risk in terms of staff and visitor safety and ability to maintain service delivery. This issue has been shared between Corporate Property and the Libraries and Museums Service and is being managed as departmental risk wider issues, including the general condition of library buildings, are being picked up through regular dialogue with Property colleagues.

2022-23 Q2 Update: 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. Amber (10).

2022-23 Q3 Update: Corporate Property is investigating options for relocating the museum. Target: Blue (2) by tba; Current: Red (12).

Controls	Description	Status	Owner
	The Highways Infrastructure Asset Management Policy and Strategy documents set out delivery of road-related services against our key priorities taking into consideration residents' needs, the condition of the asset and how best use can be made of available resources. The emphasis is on managing our infrastructure assets efficiently and effectively by focusing on investing in long-term planned maintenance instead of short-term repairs. Documentation is reviewed biennially.	In progress/taking effect	J Gould
	Highway Network Management Plan - technical document which specifies how the department manages and provides change to Derbyshire's highway network. The document follows a review of existing policies and procedures to reflect the change to the risk-based approach set out in the HIAMs documentation and the criteria to manage the network. It reflects changes to materials and techniques within the industry, relevant legislation and current environmental guidance and practice.	In progress/taking effect	J Gould

	Environmental Management System (EMS) - ISO 14001 Certification – Yearly Audit programme and three yearly recertification.	In place/embedded	J Gould
	Quality Management System (QMS) – ISO 9001-2015 Certification - Yearly Audit programme and three yearly recertification.	In place/embedded	D Massey
	Regular (quarterly) meetings set up between Corporate Property and Libraries and Heritage Service to review condition of buildings, repairs and maintenance issues and investment plan and confirm impacts on service delivery.	In place/embedded	J Battye

Risk Description	**Failure to understand or respond adequately to new or changing legislation and regulation**								
	Lack of knowledge and understanding of statutory duties meaning the Council is at increased risk of special measures, HSE investigation, corporate manslaughter charges, personal prosecution and insurers refusing to provide indemnity on property or liability claims.								
Risk Owner	**Helen Barrington**			Director of Legal and Democratic Services					
Last update	Period:		2021-22 Q4			Date:		30 September 2022	
Target (score)	AMBER (8) by 31/03/2022				Probability:	Unlikely (2)		Impact:	Extremely High (4)
Current (score)	RED (20)				Probability:	Almost Certain (5)		Impact:	Extremely High (4)
Assessment history	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2	Q3	Q4
Other	**Reputation impact assessment**		HIGH			**Financial impact assessment**		Band 7	
Progress update	This corporate risk was reviewed by the new Director of Legal and Democratic Services during Q2. Frequent changes in guidance and legislation relating to coronavirus that take effect with very little notice continues to present a challenge for the Council. The new feedback / complaints system continues to be rolled out to all departments and the model for reporting and process improvements is being worked on. The Assistant Director Communications and Customers intends will bring the annual complaints report and update to Corporate Management Team in Spring 2022. Options to enhance VAT knowledge are still under consideration, however, the recent appointment of the Head of Financial Management & Strategy brings a wealth of VAT knowledge. The Council continues to utilise external VAT advice when it is appropriate to do so.								

	2022-23 Q2 Update: Update requested from Legal and Democratic Services. **2022-23 Q3 Update:** Update requested from Legal and Democratic Services.		
Controls	**Description**	**Status**	**Owner**
	The Applicable Legislation Register containing principal current legislation that is appliable to the Council is published on the intranet. The Register is reviewed by the Information Governance Group annually, or as required, following additions and updates to legislation. https://staff.derbyshire.gov.uk/site-elements/documents/information-security/applicable-legislation-register.pdf	In place/embedded	H Barrington
	Need to ensure that this Register is updated regularly and promoted more widely. To complete by 30/06/2022.	Proposed/not yet approved	H Barrington
	All draft reports to Members are scrutinised for legal implications by Legal Services and relevant Council procedures provide for legal advice to be taken at appropriate stages.	In place/embedded	H Barrington
	Monitoring Officer, Deputy Monitoring Officer, Section 151 Officer and Deputy Section 151 officer in post. Requirement for the posts to be legally or CCAB qualified respectively.	In place/embedded	H Barrington / P Handford
	A range of qualified and experienced officers are in post across the major functions. Professional officers are required to maintain CPD. Relevant training and development opportunities are also provided.	In place/embedded	Individual service areas
	Senior officers are members of local and national networks and forums to support, share best practice and information, including Derbyshire Monitoring Officers Group, Lawyers in Local Government, EM Lawshare, Derbyshire Finance Officers Association, Society of County Treasurers,	In place/embedded	Individual service areas

	Midlands Highway Alliance, engagement with DfE and Ofsted, Local Family Justice Board, East Midlands improvement alliance led by Directors of Children's Services etc.		
	Annual membership of relevant professional bodies for example: Association of Public Service Excellence (APSE), Chartered Institute of Public Finance and Accountancy (CIPFA), LGComms for Communications and CCMA for Customer Service, Association of Directors of Children's Services that ensures officers are alerted to changes in legislation.	In place/embedded	Individual service areas
	Officers subscribe to relevant professional updates and bulletins for information about changes in legislation, including CIPFA Finance Advisory Network, Public Sector Tax, Practical Law, Local Government Lawyer, LGA, LGiU,	In place/embedded	Individual service areas
	External and internal audits/quality assurance are conducted on a variety of services in relation to quality, environmental, information governance and health and safety.	In place/embedded	Individual service areas
	External advisers and consultants with specialised knowledge and experience in particular fields of expertise are used as required.	In place/embedded	Individual service areas
	Complaints to the Local Government and Social Care Ombudsman are dealt with by a competent and legally qualified solicitor, who is able to identify trends and areas of non-compliance with legislation. Robust improvement plans can then be developed with strong governance arrangements to address areas of weaker or poor practice and ensure legislative compliance.	In place/embedded	H Barrington/ P Peat
	Claims against the Council are assessed on a case by case basis to establish whether the claim has arisen due to failure to comply with legislation. Data shows that there is good understanding of legislation and overall compliance with it. The prospects of success of defending claims are	In place/embedded	H Barrington

	predominantly reduced as a result of insufficient record keeping to evidence compliance.		
	Complaints are currently processed within departments without corporate oversight and comprehensive records. This is in the process of delivery change to support central monitoring and oversight that will enable trends to be identified and addressed. The new feedback / complaints system continues to be rolled out to all departments and the model for reporting and process improvements is being worked on. The Assistant Director Communications and Customers will bring the annual complaints report and an update on progress to Corporate Management Team in Spring 2022. To complete by 30/06/2022.	In progress/taking effect	J Skila
	Legal Services subscribe to Legal Resources as a reference source when giving legal advice to the Council, however this is predominantly hard copy specialist encyclopaedias. It subscribes to one online package PLC, which covers certain areas of law but not others. Free online resources are available and made use of such as Legislation.gov.uk. Hard copy resources are updated to incorporate new legislation, however there is inevitably a delay in legislative changes taking effect and being published in hard copy form. In addition, as council officers have in the main been working from home since March 2020, access to hard copy materials is limited. There is a significant risk that officers may inadvertently give incorrect advice due to lack of access to up to date and accurate legal resources.	In place/embedded	H Barrington
	A move to online resources and procurement of an additional package would ensure that legislative reference materials are updated almost instantaneously and available remotely. Industry standard resources also include 'alert' functions to ensure officers are aware of legislative changes in their specialist areas. This would provide an opportunity for lawyers to notify client departments of changes in legislation they may not be aware of. Research is ongoing to identify appropriate resources and additional budget requirements. Proposals to be agreed by 30/09/2022.	In progress/taking effect	H Barrington

	The lack of a dedicated VAT Officer has the risk of penalties from HMRC in the event of a VAT breach. Options to enhance VAT knowledge are still under consideration, however, the recent appointment of the Head of Financial Management & Strategy brings a wealth of VAT knowledge. The Council continues to utilise external VAT advice when it is appropriate to do so. To complete by 31/03/2023.	In progress/taking effect	P Stone
	Opportunity to develop robust relationship with the external auditors who highlight statutory/legislative changes to officers early so that they can be addressed. To complete by 31/03/2023.	Proposed/not yet approved	P Stone

Risks previously on the Strategic Risk Register (for information):
These risks are under review with the relevant teams.

Risk Description	Effective change management								
	The Council is undergoing significant organisational change from financial pressure or political change which could create significant workforce issues around having the right skills, behaviours, productivity and capacity, each of which may adversely impact upon service delivery if not managed effectively. The effect of implementing organisational change, could result in adverse employee relations and impacts on the Council's workforce coupled with pressure for increased productivity should effective change management and employee engagement not be in place. The lack of effective change management could lead to significant impact upon stakeholders and partnerships; potential litigation; fines; risk of injury or death and unplanned spending increases.								
Risk Owner	Emma Crapper				Director of Organisation Development and Policy				
Last update	Period:	2021-22 Q2				Date:	30 September 2022		
Target (score)	GREEN (6)			Probability:	Possible (3)			Impact:	Moderate (2)
Current (score)	GREEN (6)			Probability:	Possible (3)			Impact:	Moderate (2)
Assessment history	2020-21	Q4	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2
Other	Reputation impact assessment		HIGH			Financial impact assessment		Band 4	
Progress update	Work has taken place to further develop the whole council strategic transformation case identified as a key priority to drive forward Phase 2 of the Council's Enterprising Council approach. The initial work has focused on developing a								

whole council view of change activity across the organisation which will support the identification of priority programmes of work and the targeting of resources.

A new centralised programme management office is currently in the process of being developed and this will ensure that the council develops a consistent approach to project/programme management and business planning across the organisation. The initial work has focussed on reviewing the existing change and transformation projects and programmes taking place across the Council. The PMO will also be responsible for ensuring the Council has the necessary skills, capacity and capability to deliver identify change.

A new Assistant Director – Business Change has been appointed for twelve months creating additional capacity to support the effective implementation of the strategic transformation case and the PMO.

Employee engagement and wellbeing is central to the development of the Council's people strategy with an employee engagement cycle now in place and a number of employee wellbeing initiatives having been implemented (i.e. employee assistance programme, Thrive app).

A cycle of regular pulse surveys and local team action planning has been implemented which will complement the Council's wider approach to engagement (Listen and Engage, Shape and Respond).

The approach to engaging leaders has been reviewed and the Shaping the Future forum was launched on 27th April 2022. Feedback also suggested the need to be clear about how we, engage, develop and inform leaders and a wider framework has been developed to support this.

The council continues to progress and review its wellbeing strategy actions plans, focused on people, data and systems to ensure the strategy is successfully embedded. The wellbeing strategy is being reviewed by end March 2022 to ensure it remains fit for purpose.

2022-23 Q2 Update: Risk under review with PMO project.

Controls	Description	Status	Owner
	Development of strategic transformation case and prioritised council wide programme of transformation.	In progress/taking effect	J Skila

	Creation of a centralised Programme Management Office for the Council.	In progress/taking effect	J Skila
	Development of effective governance arrangements to monitor and evaluate agreed change activity.	In progress/taking effect	J Skila
	Deployment of the employee engagement cycle as approved by CMT on 8 February 2020 and further support on 26 April 2022, underpinned by departmental and organisational employee engagement forums.	In progress/taking effect	J Skila
	The revised approach to engaging, developing and informing leaders to be deployed throughout 2022/23.	In progress/taking effect	J Skila
	Ongoing deployment, review and monitoring of the council's wellbeing strategy and associated action plans.	In progress/taking effect	J Skila

Risk Description	**Ineffectual workforce planning**								
	A failure to recruit and retain experienced staff and a lack of future talent development and succession planning may restrict the organisation's ability to ensure effective continuity of key skills and knowledge at all levels including leadership skills and behaviours. This could result in increased vacancy and attrition rates, and lack of resource and skills to enable effective service delivery.								
Risk Owner	**Emma Crapper**			Director of Organisation Development and Policy					
Last update	Period:	2021-22 Q2			Date:		30 September 2022		
Target (score)	GREEN (6)			Probability:	Possible (3)			Impact:	Moderate (2)
Current (score)	**GREEN (6)**			Probability:	Possible (3)			Impact:	Moderate (2)
Assessment history	2020-21	Q4	2021-22	Q1	Q2 (Pre-Sep 2021) / Q2 (Post-Sep 2021)	Q3	Q4	2022-23	Q1	Q2
Other	**Reputation impact assessment**		LOW		**Financial impact assessment**		Band 3		
Progress update	Aligned to the development of the council's people strategy, core people priorities have been defined and approved which include focus on the attraction and retention of the workforce and responsive workforce plans. A review of recruitment services has been deployed, coupled with a revised learning and development operating model. This includes consideration of the organisation's approach to succession planning and performance management which will be central to our future workforce planning approaches. Workforce planning commenced during 21/22 focusing on areas with the most significant workforce challenges diagnosed through assessment of vacancies, turnover and agency spend coupled with national shortages in some areas and specialist roles (particularly in Place).								

These pilots have enabled the workforce planning offer to be established alongside quarterly updates to the service. The areas where support has commenced are:

– Early Help & Safeguarding – plans established
– Direct Care – plans established
– All directorates in Place – plans in development with the Directors
– Legal and Democratic Services / Finance & ICT – limited progress due to immediate challenges in supporting Place.

The key elements of the support offered by HR being:

• Provide core metrics, reviewed on a quarterly basis
• Capture issues identified from the data, current known issues, priorities identified within the People Plan
• Agree the priorities of the service to prioritise the plan
• Work with the matrix HR teams to agree leads for the actions in the plan
• Identify action leads to propose priorities and delivery timescale
• Quarterly updates to the service on progress, priorities and review of the core metrics to analyse trends
• Workforce planning support and approach should be adaptive to the need of the service and to fluctuating priorities

Workforce planning remains a manager and departmental responsibility and we have seen good engagement from services to date. Further rollout of the approach will be considered with departments.

Learning and Development plans are key to delivering effective workforce planning with plans in place aligned to the Learning and Development Strategy to address key areas.

2022-23 Q2 Update: Risk under review with HR.

Controls	Description	Status	Owner
	Continue to understand our workforce, the market and ongoing development and delivery of strategic workforce plans aligned to high priority workforce groups supported by clear deliverable plans leading to a reduction in reliance on agency usage and spend.	In progress/taking effect	J Skila
	Further develop our total reward offering, implementing salary sacrifice schemes and consideration of an employee benefit scheme. We will also	In progress/taking effect	J Skila

	develop our Employee Value Proposition (EVP), online presence and ensure our terms and conditions and flexible working policies are fit for purpose and support our new ways of working.		
	Continue to develop our recruitment offer by improving processes in particular through a review of our vacancy control processes, improvements to our careers site, utilisation of social media and raising the awareness of our EVP following deployment of the Council's recruitment services review.	In progress/taking effect	J Skila
	Consider how we introduce learning pathways and further develop our approach to employee induction as part of our Talent Development plan in 2022/23.	In progress/taking effect	J Skila

Corporate risk scoring tables (pre-September 2021)

Source: Derbyshire County Council Risk Management Strategy 2019-21 (v2.7)

Risk severity matrix

Likelihood	5	Moderate (5)	High (10)	Extreme (15)	Extreme (20)	Extreme (25)
	4	Low (4)	Moderate (8)	High (12)	Extreme (16)	Extreme (20)
	3	Low (3)	Moderate (6)	Moderate (9)	High (12)	Extreme (15)
	2	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
	1	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)
		1	2	3	4	5
		Impact				

Probability assessment criteria

Scale	Description
5	ALMOST CERTAIN: The event is expected to occur or occurs regularly (monthly, quarterly or biannual)
4	PROBABLE: The event will probably occur (annually)
3	POSSIBLE: The event may occur (1 incident in 2 years)
2	UNLIKELY: The event could occur (1 incident in 5 years)
1	RARE: The event may occur in certain extreme circumstances (1 Incident in 10 years or above)

Impact assessment criteria by risk category

Scale	Scale Description	Risk Categories (highest scoring category used for overall score)								
		Financial	Reputational	Physical Injury/Health and Safety	Environmental Damage	Service/ Operational Disruption/ Key Targets/ Objectives	Statutory Duties/ legal Implications	Partnership Implications	Information Governance	Stakeholder Implications
5	Very High	>£25,000,000	Lasting or permanent brand damage resulting from adverse comments in national press and media. Members/Officers forced to resign	Death or severe life-changing injuries	Major national or international	Severe disruption/loss of service more than 7 days	Multiple Litigation	Complete failure / breakdown of partnership	Significant breach, extensive national press, ICO fines, loss of ISO 27001 certification	Stakeholders would be unable to pursue their rights and entitlement and may face life threatening consequences
4	High	£10,000,000 to <£25,000,000	Temporary brand damage from coverage in national press/media	Extensive or multiple injuries/ Incidents reportable to HSE	Major local impact	Disruption/Loss of service less than 7 days	Litigation	Significant impact on partnership or most of expected benefits fail	Larger breach, no sensitive data loss local press coverage Or Minor breach, sensitive data loss local press coverage	Stakeholders would experience considerable difficulty in pursuing rights and entitlements
3	Medium	£5,000,000 to <£10,000,000	Extensive coverage in regional press/radio/TV/social media	Serious injuries/ incidents reportable to HSE	Moderate locally	Disruption/Loss of service less than 48 hours	Ombudsman	Adverse effect on partnering arrangements	Larger breach, no sensitive data loss and internally controlled Or Minor breach, sensitive data loss internally controlled	Some minor effects on the ability of stakeholders to pursue rights and entitlements, e.g. other sources or avenues would not be available to stakeholders
2	Low	£2,5000,000 to <£5,000,000	Minor adverse comments in regional press/social media	Minor (i.e. first aid treatment)/ No time lost from work	Minor locally	Internal disruption only, no loss of service	Individual Claims	Minimal Impact on Partnership	Individual breach no loss of sensitive data	Minimal impact without needing to look at other sources or avenues
1	Negligible	<£2,500,000	Minimal adverse comments with minimal press/social media	None	None/ Insignificant	No loss of service	No impact	No Impact	No impact	No impact

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Corporate risk scoring tables (from September 2021)

Source: Derbyshire County Council Corporate Risk Management Strategy 2021-25 (v3.1)

Risk severity matrix

Impact Score	Extremely high	4	Green (4)	Amber (8)	Red (12)	Red (16)	Red (20)
	High	3	Green (3)	Green (6)	Amber (9)	Red (12)	Red (15)
	Moderate	2	Blue (2)	Green (4)	Green (6)	Amber (8)	Amber (10)
	Low	1	Blue (1)	Blue (2)	Green (3)	Green (4)	Green (5)
	None	0	Blue (0)	Blue (0)	Blue (0)	Blue (0)	Blue (0)
			1	2	3	4	5
			Rare	Unlikely	Possible	Probable	Almost certain
			Likelihood Score				

Likelihood scoring

5	Almost certain	The event is expected to occur every year
4	Probable	The event could occur every year
3	Possible	The event could occur every two years
2	Unlikely	The event could occur every five years
1	Rare	The event could occur every 10 years or longer

Impact scoring

The highest scoring area (the 'primary impact') used to assess risk severity.

	Impact grading	Public and employee health, safety and wellbeing	Community	Economy	Environment	Service Disruption	Skills capability	Legal	Contracts and Partnerships	Information Security
4	**Extremely high**	Substantial level of harm to the health, safety and wellbeing of the community, members of the public or employees	Substantial disadvantage to large parts of the community and/or many vulnerable residents	Substantial negative impact on the County's economy, including hard infrastructure	International and/or national environmental damage	Substantial external or internal disruption and/or loss of service (more than seven days)	Substantial under-performance from skills gaps and/or shortages	Substantial legal action, claims and/or and penalties against or by the Council	Substantial impact on service delivery from a contract and/or partnership failure	Substantial breach; Information Commissioner Office (ICO) fine; loss of ISO 27001 certification
3	**High**	Significant level of harm to the health, safety and wellbeing of the community, members of the public or employees	Significant disadvantage to large parts of the community and/or some vulnerable residents	Significant negative impact on the County's economy, including hard infrastructure	Significant regional environmental damage and/or failure to meet all or most internal climate change targets	Significant external or internal disruption and/or loss of service (between three to seven days)	Significant under-performance from skills gaps and/or shortages	Significant legal action, claims and/or penalties against or by the Council	Significant impact on service delivery from a contract and/or partnership failure	Significant external breach with no loss of sensitive data; or minor external breach with loss of sensitive data

	Impact grading	Public and employee health, safety and wellbeing	Community	Economy	Environment	Service Disruption	Skills capability	Legal	Contracts and Partnerships	Information Security
2	Moderate	Moderate level of harm to the health, safety and wellbeing of the community, members of the public or employees	Moderate disadvantage to large parts of the community and/or some vulnerable residents	Moderate negative impact on the County's economy, including hard infrastructure	Moderate regional and/or major local environmental damage and/or failure to meet many internal climate change targets	Moderate external or internal disruption and/or loss of service (between 24 to 48 hours)	Moderate under-performance from skills gaps and/or shortages	Moderate legal action, claims and/or penalties against or by the Council	Moderate impact on service delivery from a contract and/or partnership failure	Significant internal breach with no loss of sensitive data; or minor internal breach with loss of sensitive data
1	Low	Minimal level of harm to the health, safety and wellbeing of the community, members of the public or employees	Minimal disadvantage to the community and/or some vulnerable residents	Minimal negative impact on the County's economy, including hard infrastructure	Minimal regional and/or local environmental damage and/or failure to meet some internal climate change targets	Minimal external or internal disruption and/or loss of service (less than 24 hours)	Minimal under-performance from skills gaps and/or shortages	Minimal legal action, claims and/or penalties against or by the Council	Minimal impact on service delivery from a contract and/or partnership failure	Minor external or internal breach with no loss of sensitive data
0	None	No impact	No impact	No impact	No impact	No impact	No impact	No impact	No impact	No impact

Reputation impact assessment

Extremely High	Lasting or permanent national/local brand damage resulting from adverse comments in national press and media. Members/Officers almost certainly forced to resign.
High	Temporary national/local brand damage lasting up to two years from coverage in national and/or regional press/media. Members/Officers potentially forced to resign.
Moderate	Temporary local brand damage lasting up to one year from extensive coverage in regional press/ media.
Low	Temporary local brand damage lasting up to a few weeks from minor adverse comments in regional press/social media.
Extremely Low	Negligible local brand damage from limited adverse comments with minimal press/social media.

Financial impact assessment

Each risk is assessed for the potential range of capital and/or revenue loss to the Council if the risk materialised.

Band 8	Loss over £20 million
Band 7	Loss between £10 million and £20 million
Band 6	Loss between £5 million and £10 million
Band 5	Loss between £3 million and £5 million
Band 4	Loss between £1 million and £3 million
Band 3	Loss between £100,000 and £1 million
Band 2	Loss between £50,000 and £100,000
Band 1	Loss under £50,000
Band 0	No financial loss