

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

24 September 2019

Report of the Director of Finance & ICT

STRATEGIC RISK REVIEW

Purpose of Report

To advise Members of the latest update to the Strategic Risk Register.

Information and Analysis

The Council undertakes regular review of risks and the latest detailed assessment of the highest ranking risks forms the Council's Strategic Risk Register which is attached at Appendix 3.

The Strategic Risk Register should be a means by which the Council identifies, monitors and manages the risks that could have a significant impact on the delivery of the Council Plan, and it should also be used to inform the budget process. Risk mitigation measures do not always involve a financial requirement, but many do, and budgetary provision, financial reserves and provisions are made accordingly, taking account of Council priorities and available funding.

The Risk Register is designed to capture strategic risk which by its nature has a long time span. The Strategic Risk Register has been reviewed by the Risk and Insurance Manager pending review by CMT and Cabinet and there are a couple of additions and a number of deletions where risks that were previously thought to impact strategically are now deemed to be more suitable at a departmental level.

CMT attended a workshop on the 25th June 2018 to assist them in identifying the key strategic risks that could impact on the Council's ability to meet their objectives. The Risk and Insurance Manager was advised at that time that a further workshop was planned at a further date to enable them to consider the risk appetite and key strategic risks in greater detail.

As agreed previously, the report has been changed so that only those risks that have changed are detailed in Appendix One. New risks are detailed in Appendix Two and the full Strategic Risk Register is included in Appendix Three.

Council Risk Management Strategy and Strategic Risk Update

The Risk Strategy has been re-written to reflect the Council Plan and the need to include opportunity risks within the Strategy. This has been circulated and Cllr Foster has requested that an implementation plan be included. The Strategy incorporating the Implementation plan is due to be put to Cllr Foster in October 2019.

It is vital that risk management policies and procedures support the Council Plan and its ambitions. The management of risk must be a key part of the Council's delivery of service to assist in the delivery of these plans. Service Plans should adequately reflect the risks facing services and the management of those risks, as the Five Year Financial Plan does.

A project has been set up with input from all departmental Risk Champions to develop a risk reporting mechanism, it is envisaged that a system for reporting risks on the Council's EDRM system will be in operation in early 2019. This system will link to the performance management system, APEX to give a real-time overview on the risks that the Council faces at a Strategic and Departmental level. It is envisaged that the system could also be used for project and procurement risks if required to ensure that all risks are recorded in one central repository allowing a global overview of all risks to the Council.

Departmental Risk Focus

Business Continuity Planning

It has been acknowledged that a number of departments have to update their business continuity plans to reflect their current methods of working.

The effect upon the business of this could potentially be extreme and lead to delays in providing services and have an impact on income generation.

As this high risk has been flagged at the Risk Group, the Risk Champions are currently reviewing the plans that are in place and what departments need plans or need to review the plans that have been written to ensure that we can continue to deliver services should any emergency situation arise.

As part preparations for exiting the EU on 31st October 2019, workshops will be held across all departments in the forthcoming weeks to identify the key business areas that will be required to be maintained in the event of possible shortages in certain areas. This should provide the Council with some resilience in order to protect services for our vulnerable residents.

Transporting Children and Vulnerable Adults

The risk of transporting Children and Vulnerable Adults is appearing on ETE, Children's and Adult's risk register, scored between 20-25 dependent upon the department.

The Risk and Insurance Manager, together with Health and Safety and Transport have been holding a number of workshops to fully consider the risks that are posed and to identify any means of further mitigating these significant risks and increasing costs to the Council.

As background, the Council outsources this provision to individual companies from small taxi companies to larger providers; however this prevents a logistical and now safeguarding issue, some of which are detailed below:

- Some operators do not know how to secure wheelchairs/equipment in a safe manner meaning an increased risk of injury/death to service users.
- Circa 50% of contractors vehicles checked did not pass safety inspections.
- Inability to control/provide adequate training and disciplinary action if required.
- Inability to ensure correct equipment is being used.
- Lack of continuity of drivers/passenger assistants creating safeguarding issues.
- Some companies do not follow guidelines required creating safeguarding issues – i.e. not providing trained passenger assistance.
- Some companies do not understand the requirement to keep data safe.
- Rising number of children and adults requiring transport is increasing thereby increasing costs.
- Increasing number of children and adults with complex specialist needs with not enough providers to meet needs or having to accept reduced provision.
- Due to the large volume of vehicles that require checking as well as internal fleet vehicles that ETE will still be responsible for, it will prove

very difficult to ensure that the vehicles used are fit for purpose without additional capacity provided.

The review has been completed and a larger piece of work identified to cover a number of different work streams to identify a potential solution to the risks posed.

Strategic Risk Horizon Scanning

A number of Strategic Risks are on the horizon that may require a long term approach and consideration, and the Risk and Insurance Manager feels that further discussion is given to both risks and opportunities that present from:

- Climate Change
- The Internet of Things
- Artificial Intelligence

Considerations

In preparing this report the relevance of the following factors has been considered:- financial, Legal and Human Rights, equality of opportunity, health, environmental, transport, property and crime and disorder considerations.

Officer's Recommendation

That the report be noted.

PETER HANDFORD
Director of Finance & ICT

Strategic Risk Register – Summary of Changes

New Risks

The risk register has been updated to account for the new Council Plan priorities and values.

There are three new risks identified during this period stemming from recurrent risks appearing across departmental risk registers. CMT have been requested to allocate a lead for each of these new risks.

Risk Identifier	Description	Score	Comments	Link to Council Plan
2018/04	Failure to recruit and retain staff. Lack of succession planning	20	<p>This risk is appearing on all Departmental Risk registers and therefore it is appropriate that the Council identifies this as having a potential impact upon the Council as a whole and a centralised plan put in place to mitigate this risk.</p> <p>CMT and the Risk Champions will be asked to consider this risk and mitigating actions as an agenda item. CMT is requested to allocate the risk to an appropriate member of CMT for oversight.</p>	<ul style="list-style-type: none"> • High performing Council Services
2018/04	Lack of knowledge and understanding of legislative requirements	25	<p>Following meetings over a number of weeks with a few departments, it would appear that there is a lack of knowledge as to what is required to fulfil our statutory duties. Due to the serious nature of the issue, it is requested that CMT ensure that all departments have a full understanding of all of their statutory duties and have an action plan to ensure that this knowledge is maintained and updated appropriately to ensure compliance.</p>	<ul style="list-style-type: none"> • High performing Council Services

			CMT and the Risk Champions will be asked to consider this risk and mitigating actions as an agenda item. CMT is requested to allocate the risk to an appropriate member of CMT for oversight.	
2019/01	Brexit Planning	15	The Council needs to understand the potential impact on the delivery of services and upon service users whether the service is provided internally or commissioned externally.	<ul style="list-style-type: none"> High performing Council Services

Changes to risks already on the Strategic Risk Register

Scores

There have been two changes to the scores since the last register was seen by CMT.

Dep't Risk Identifier	Description	Impact	Old Score	New Score	Impact on Council Plan
2011/2	Failure to meet waste management targets	High financial and reputational impact due to the delay and difficulties surrounding the Sinfin project	20	25	<ul style="list-style-type: none"> Value for money
2011/18	Provision of services to schools	<p>All services fully trading or partly trading with schools are under pressure to continue to achieve reductions in costs as well maintain or increase income. The reduction in resource could lead to impaired service delivery.</p> <p>Customer expectations of price/quality/responsiveness are raised and this will place services under more pressure.</p> <p>There is increasing competition from the private sector which could result in a loss of income.</p> <p>As more schools convert to academies there will be a loss</p>	12	16	<ul style="list-style-type: none"> High performing Council Services

		of grant and a potential loss of income. If schools budgets are flat or decrease this will have an impact on their ability to buy council services, therefore a further decrease in income.			
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Mitigations

Some of the mitigations/comments have changed and are highlighted in red within Appendix 3.

Summary of Risks Which Will No Longer Appear on the Register

None

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Departmental Risk Registers

New Risks on Departmental Registers scoring over 12

Dept	Dept Risk Identifier	Description	Impact	Score	Link to Strategic Risk	Impact on Council Plan
Public Health	PH 12/18a	Reduced level of senior team staffing complement due to vacancy	Reduced capacity at senior management level could result in errors and omissions due to increased workload	12	2018/04 Staff Recruitment	<ul style="list-style-type: none"> High performing Council Services
Adult Care	TBC	Structural surveys of 18 DCC Residential Care homes for Older people to be completed to establish capital requirements to maintain buildings to current standards	Preliminary surveys of 4 homes have provided individual costs of £9m requirement over the next 5 years.	15	2012/2 Maintenance of assets	<ul style="list-style-type: none"> High performing Council Services
Childrens Services	47	Failure to plan/manage impact of Brexit	Failure to plan/manage impact of Brexit leads to short-term delivery failure of key services / care for children and young people e.g. school meals, children's homes, starting point	15	2019/1 Brexit Planning	<ul style="list-style-type: none"> High performing Council Services
Adult Care	17	Financial and Reputational Damage following CQC prosecution	Potential significant fine and media scrutiny. Increased focus of CQC and LGO on the Council	15	2011/9 Protection of Children and Vulnerable adults	<ul style="list-style-type: none"> A focus on prevention and early intervention

Childrens Services	48	Section 75 Agreement - 0-19 Service Redesign	<p>Risk that reductions in service capacity to support 5-19 age group adversely affects prevention and targets early intervention for this age group, leading to escalation of need. Risk of reduced health engagement into child protection processes.</p> <p>Risk that focus of service is not sufficiently clear/realistic leading to staff not being able to meet demands.</p>	12	2011/9 Protection of children and vulnerable adults	<ul style="list-style-type: none"> A focus on prevention and early intervention
ETE	2018/02	Risk of not maintaining Department for Transport Incentive fund Band 3 status.	Failure to retain Band 3 would result in a budget reduction of £1.591m in 2019/20 and £2,227m in 2020/21	12	2012/2 Maintenance of assets	<ul style="list-style-type: none"> High performing Council Services
ETE	2019/01	Associated risk of Brexit and implications on business and council services	Increased costs for delivery of services. Potential shortfall in supplies such as petrol	15	2019/1 Brexit Planning	<ul style="list-style-type: none"> High performing Council Services
CCP	56	Library Strategy	<p>Inability to achieve major changes to service delivery within the required timescale due to resistance to change, potentially low levels of engagement by and with community organisations and long lead in times to achieve changes to staffing structures. Resulting in a delay in meeting required savings targets.</p>	20	2011/1 Impact of a prolonged recovery and funding gap	<ul style="list-style-type: none"> High performing Council Services

CCP	57	Domestic Abuse Support Service	The contract for the Domestic Abuse Support Service, which includes adult outreach, refuge provision and childrens support services comes to an end in March 2020 and a new service will need to be commissioned over the next 12 months. Funding from all internal stakeholders has not yet been agreed and any delays may impact the procurement timetable. If funding contributions are reduced the impact on the service will have to be addressed and will be subject to public consultation.	16	2011/1 Impact of a prolonged recovery and funding gap	<ul style="list-style-type: none"> • A focus on prevention and early intervention
CCP	58	Library Self Service procurement	The library Service currently uses 43 self-service machines in 25 of the larger and busier libraries which are now out of date and need replacing. The self-service machines reach the supplier's 'end of life' for contracted support and maintenance in August 2019. The supplier will continue to offer ad hoc support arrangements but further advise that they do not intend to support these machines beyond expected end of support for Windows 7 in Jan	15	2011/19 Effective Change Management	<ul style="list-style-type: none"> • High performing Council Services

			2020. The procurement project is due to complete in July 2020 leaving machines unsupported between Jan and July 2020			
CCP	59	Community Managed Libraries(CMLs)	The initial proposal for CMLs was to sublet the property to the community group or organisation. There are now discussions around community organisations taking over the lease from DCC. If, after a period of time, the community group failed or service notice to the library service, DCC may not have access to a building or property to continue to provide a library service from	12		<ul style="list-style-type: none"> Empowered and self-sufficient communities

Risks on Departmental Registers Increasing scoring above 12

Dept	Dep't Risk Identifier	Description	Impact	Old Score	New Score	Link to Strategic Risk	Impact on Council Plan
Public Health	PH8/18	Lack of signed contract with Northamptonshire County Council to provide Ocitgo IT solution. System will no longer be available after 31.03.19	DCC will not be indemnified in respect of a breach of data; system cannot be used for reporting.	15	25	2012/1 Information Governance, Cyber and Social Media	<ul style="list-style-type: none"> High performing Council Services

Public Health	PH05/15	Difficulties in accessing NHS and public health information due to new organisational arrangements and information governance barriers	Potentially resulting in inappropriate resource allocation or commissioning decisions based on incomplete data.	9	12	2012/1 Information Governance, Cyber and Social Media	• High performing Council Services
ETE	2017/7	Failure to meet waste management targets following delays in completion of the Household Waste Recycling Centers in Derbyshire	Financial and potentially reputational should the centre fail to be commissioned	12	25	2011/2 Failure to meet waste management targets	• High performing Council Services.
CCP	01	Maintaining (including servicing) and providing property in safe, adequate and suitable condition.	Risk of breach of Duty of Care under the Health & Safety at Work Act 1974 leading to prosecution of Officers under the Corporate Manslaughter and Homicide Act 2007 to employees and others working for us, occupiers of premises owned by us and the wider public. High risk that damage to property or injury death to service users/public/staff will be uninsured	16	20	2012/2 Maintenance of Assets	• High performing Council Services.
CCP	28	Traded Services non-Schools: All services fully or partly trading are under pressure to continue to	The reduction in resource will lead to impaired service delivery. and a potential reduction in traded income.	9	12	2011/18 Provision of services to schools	• High performing Council Services

		achieve reductions in costs as well maintain or increase income					
CCP	29	Traded Services Schools: All services fully or partly trading are under pressure to continue to achieve reductions in costs as well maintain or increase income	The reduction in resource will lead to impaired service delivery and a potential reduction in traded income.	12	16	2011/18 Provision of services to schools	<ul style="list-style-type: none"> High performing Council Services

Category	Risk Identifier No	Risk Description	Dept	New Score			Previous Score			C h a n g e	Mitigation - Current Comments	Link to Council Plan	Risk Owner
				Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score				
Financial	2011/1	<p>UPDATED Impact of a prolonged recovery and a funding gap</p> <p>A prolonged, slow recovery to the economy is likely. The Authority is faced with rising demand for its services countered by a dramatic fall in funding and income - creating a potentially significant "funding gap". This mismatch between service demand and budget availability could lead to an increase in financial instability. Pressure is also present between "demand-led services" (eg social care) and other priorities.</p>	ALL	5	5	25	5	3	15	D O W N	<ul style="list-style-type: none">• Five year plan (2016/7 to 2020/21) in place and reflects planned use of General Reserves to support demographic needs (Adult Care) in the medium term.• Departmental budget reductions programme developed together with a plan of lead-in times for consultation, where appropriate, and the identification of workforce reductions.• General/Earmarked Reserve positions risk assessed, regularly monitored, and reported to Cabinet.• Priority based budgeting model in place. with development of departmental financial modelling systems.• Budget monitoring processes and procedure embedded (including planned "budget holder monitoring" roll-out.• Regular reporting to Members and briefing about potential implications of non-achievement of cuts.• 'Lean thinking' review of Council wide processes including service redesigns.• Improved models of work across organisations to reduce duplication.• Engagement and communication with key stakeholders and Local Area Committees.• Property rationalisation – including work with district and health colleagues• Positive use of Better Care Fund and alignment of health and social care priorities for integrated working.• Established "Fairer Deal for Derbyshire" campaign.• Active in all public consultations and continued Government lobbying.• Maximising alternative funding streams (ie. Combined Authority).• Utilise asset based approaches to develop social capital, helping to build natural communities of interest away from services.• Four year funding offer from Government to be considered to help support the development of a robust medium term financial plan• Additional budget of approximately £5m per annum for Adult Care from the Adult Social Care Precept• Prioritisation process plus underspends on Public Health contracted activity in 2015-16 have resulted in non-recurrent reserves of approximately £2.6m for investment in prevention interventions. <p>Allocation of prevention funding to be agreed via panel process May 2016.</p> <ul style="list-style-type: none">• Spending review 2019 has given indication of significant additional funding alongside a clear indication of revised saving plans as part of the latest Five Year aplan indicators.	Value for money	ALL
Financial	2011/18	<p>UPDATED Provision of services to schools</p> <p>All services fully trading or partly trading with schools are under pressure to continue to achieve reductions in costs as well maintain or increase income. The reduction in resource could lead to impaired service delivery.</p> <p>Customer expectations of price/quality/responsiveness are raised and this will place services under more pressure.</p> <p>There is increasing competition from the private sector which could result in a loss of income.</p> <p>As more schools convert to academies there will be a loss of grant and a potential loss of income.</p> <p>If schools budgets are flat or decrease this will have an impact on their ability to buy council services</p>	ALL	4	3	12	4	4	16	U P	<ul style="list-style-type: none">• Schools funding consultations have awareness of implications for trading.• Assistant Director, Traded Services & co-ordinating team in post to provide capacity & oversight.• schools trading through CMT and elected members.• Schools Trading Governance including Cabinet /CMT /Departmental leads in place.• of council systems to support schools trading including infrastructure.• better promotion of council services.• Customer relationship management in place through networks and communication although needs improving.• Customer data and information to support sales strategies are being developed.• Development of links with other councils to seek regional responses to MAT's.• performance of school services is being developed <ul style="list-style-type: none">• Raised profile of• Ongoing review• Sales platform in place to ensure• Effective live & annual feedback systems in• Systems to capture• Monitoring of sales	High performing council services	Angela Beighton
Financial	2011/10	<p>UPDATED Looked after Children</p> <p>An increase in Looked After Children (LAC) numbers and therefore costs - due to increasing demand pressures mirroring national trends, UASC, reductions in Early Help Services and rising placement costs.</p> <p>A reduced capacity to identify and address emerging needs early on runs the risk that vulnerable children's issues will escalate with potentially an increased number being admitted into our care.</p> <p>Currently Derbyshire has 40 50 LAC per 10,000 children which is very low compared with 55.5 for our statistical neighbours</p>	CS	5	4	20	5	4	20	—	<ul style="list-style-type: none">• Continue to highlight pressures and risks to central Government via ADCS.• identified to increase social work capacity to strengthen ongoing work with families to avoid situations escalating for some children who might otherwise come into care.• Delivery of LAC sufficiency project to increase placement availability and reduce costs.• recruitment and support to foster carers.• Social Research to increase the number of children who can be safely reunified with family.• services especially where services have reduced.• young people in care to return home to family• Mitigate impact from Early Help review via 3 year transition team to support partners in developing their Early Help practice• Growth funding• Ongoing• Project with Dartington• Closely monitor impact of Early Help• To strengthen practice on reunification i.e. encouraging	A focus on prevention and early intervention	Alison Noble

Category	Risk Identifier No	Risk Description	Dept	New Score			Previous Score			Change	Mitigation - Current Comments	Link to Council Plan	Risk Owner
				Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score				
Financial	2011/12	Continuing Healthcare Tighter interpretation of eligibility to NHS funded Continuing Care (and changes in NHS at national/local level) resulting in some people with complex additional care needs, including challenging behaviour, becoming Council's funding responsibility.	AC	5	4	20	5	4	20	—	<ul style="list-style-type: none">DCC Senior Management representation established on Board of 4 out of 5 Clinical Commissioning Groups covering Derbyshire.Escalate Continuing Healthcare discussionsEstablish joint funding and lead commissioning prioritiesAgree with CCGs how to review clients affected.On-going work to establish joint solutions approach across agencies.Contributing to ADASS/LGA/NHS review of process to establish shared toolsSocial Work teams enhanced to establish 7 day working capability via Care Act Grant moniesIncreased frequency of escalaiton discussionsImprove flow across all servicesExplore development of joint commissioning strategy and ppoled budget for Learning Disability Services to minimise focus on co-ordination to ensure better value for money	Value for money	Roger Miller
Government Modernisation Agenda	2011/19	Effective Change Management The Council is undergoing significant organisational change which will create significant workforce issues around having the right skills, productivity and capacity, each of which may adversely impact upon service delivery if not managed. The effect of reducing the Council workforce and pressure for increased productivity without effective change management and employee engagement also carries health and attendance risks.	ALL	4	5	20	4	5	20	—	<ul style="list-style-type: none">As part of service planning, build a definitive workforce reduction plan to achieve the budget reductionsEnsure that any Employee Communication Strategy is able to support the workforce reduction programme, maintaining and improving levels of engagementEnsure HR resources are effectively deployed to support the change programmePut in place a workforce development plan which includes plans to :<ol style="list-style-type: none">Develop management capacity and capability through a Leadership Development programme (Derbyshire Manager)Ensure that My Plan is effective so that employees' objectives support changing service needs and that skills development plans are in place to support new ways of workingImprove provision of L&D processes (L&D Review) and ensure an effective programme of reskilling is in place to support workforce realignmentPut in place an HR/OD Strategy which includes plans to<ol style="list-style-type: none">Mitigate compulsory redundancies, improve redeployment and talent management through the timely development of an Internal Jobs MarketEnable increased flexibility and support remodelling of the workforce by implementing remaining job families and contracting employees with the Council rather than departmentsUse the Organisational Design principles effectively in developing new structuresReview employment policies and market positioningEnsure that appropriate Counselling Service capacity is in place to support possible increased demand.Review cross council processes to ensure they are lean and effectiveIIP accreditation and action plan implementation. <p>Council priorities are at the heart of change management activity management is applied across the Council</p> <ul style="list-style-type: none">Ensure EnterprisingLooking at how consistent change	High performing council services	ALL
Government Modernisation Agenda	2011/22	Central Government Reforms Demand on the integration and alignment agenda and increased expectation of partnership working combined with continued organisational change. Potential funding dependent upon performance targets being met. Examples include NHS reform and the establishment of Better Care Fund to advance integrated reform of health and social care. Opportunities are presented by working in Combined Authority and LEP structures.	ALL	5	5	25	5	5	25	—	<ul style="list-style-type: none">Corporate Partnership Protocols.Continued dialogue with all partners to ensure a collaborative approach to improving outcomes for all young or looked after individuals. Agreed (Adult Care) each organisation will monitor the schemes they are leading on.Alignment of Adult Care and Health & Wellbeing Boards. Governance structure being established to report to Health and Wellbeing Board.Continuing engagement with developing Clinical Commissioning GroupsCommissioning of Children and Adolescents Mental Health Service is being rolled out.Engagement of all stakeholders in the process. Stakeholder and Provider Engagement Forums established.Joint agreement on plans to deliver BCF outcomes.Joint Health and Wellbeing Strategy refreshed in 2014.Escalated joint working with acute hospitals and CCGs. Incorporate service added targets.Joint commissioning priorities refreshed for 2014/15.Whole system dialogue and contribution to Better Care Fund development.Incorporate of service targets into CCG performance targets.Escalate CHC discussions to Assistant Director level when necessary.Combined Authority working represents opportunities for freedoms and flexibilities in relation to securing the prosperity of the area and to be involved in devolution discussions.Working with the Local Enterprise Partnership, for which DCC is the Accountable Body, will ensure we are in a position to take advantage of funding streams that are distributed via the LEP, particularly in relation to transport, infrastructure and economic growth.	Value for money	Roger Miller, Linda Dale

				New Score			Previous Score						
Category	Risk Identifier No	Risk Description	Dept	Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score	C h a n g e	Mitigation - Current Comments	Link to Council Plan	Risk Owner
Regulatory & Legislative Failures	2011/21	Collective Challenge under Judicial Review The Council is exposed to possible challenges over decisions on continuation of some services in the face of budgetary restrictions if it fails to incorporate key considerations.	ALL	4	3	12	4	3	12	—	<ul style="list-style-type: none">• Projections in Joint Strategic Needs Assessment helps providers plan for the future.• Equality Impact Assessments supporting decision making process.• Appropriate relevant consultation.• Stakeholder consultations• Compliance with good project management guidance	Value for money	ALL
Emergency Response & Service Continuity	2011/20	UPDATED Supply Chain Failure In a prolonged recession and slow recovery, supplier instability in particular, is certain to increase and the new Care Act increases responsibility to monitor supplier resilience. The Council may also be faced with the failure of suppliers to meet expectations. Private sector arrangements may be challenged by a tension between the profit motive and the public service ethos. The potential implications of a disorderly Brexit could also affect the supply chain.	ALL	5	5	25	5	5	25	—	<ul style="list-style-type: none">• Development of joint commissioning arrangements.• Enhance contractual negotiations with expectation of business continuity plans in place.• Further development of risk based contractual negotiations.• Strengthening of commissioning processes. Maintain Associate Commissioner status with Clinical Commissioning Groups for 2015/2016 contracts.• Regular monitoring meetings with Derbyshire Community Health Services.• Use of regulatory data and market analysis information.• Transparency about placement information helps providers plan for the future.• Plans to develop sector wide approaches and innovative approaches to delivering health support in care homes - locally and at county level.• Identifying ownership of all providers in Derbyshire to better understand financial positions.• Joint strategic work with councils• Include governance standards into contract specifications.• Communicate with market about gaps by developig a full range of market position statements.• Promoting use of direct payments and direct care to support areas of deficiency.• Broaden provider range.• Develop responses with health commissioners to maintain capacity• Consolidate specialist social worker input to compliance team to supplement and improve effectiveness of social worker contributions to reducing safeguarding concerning the adult social care sector. <p>Council</p> <ul style="list-style-type: none">• Brexit mitigation is being co-ordinated within the	High performing council services	ALL

Category	Risk Identifier No	Risk Description	Dept	New Score			Previous Score			Change	Mitigation - Current Comments	Link to Council Plan	Risk Owner
				Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score				
Government Modernisation Agenda	2011/8	<p><u>Implementation of Self Directed Support in line with the Personalised Care Agenda</u></p> <p>The Council is required to ensure people have real control over the resources used to secure their care and support. The Council faces challenges including in (a) meeting Direct Payment targets, (b) people not choosing our "in-house" services and (c) new responsibilities for prisoners.</p>	AC	4	4	16	4	4	16	—	<ul style="list-style-type: none"> Continue Self Directed Support as the main delivery approach within Adult Care. Continue Self Directed Support training programmes. Trusted Befriending Scheme is established Adopt a personalised care approach within all Council departments. Develop self-directed care strategy and robust preparation Trusted PA Register in place. Implications of increased complexity of casework being handled and the specific requirements of the Mental Capacity Act 2005 , Deprivation of Liberty Safeguard regulations and recent legal judgements has resulted in increase in probability score. Established Direct payments performance and standards group. Assessment and decision making tools reviewed and updated continuously. Projections of potential demand for self-funded carers, assessments in prison and advocacy. Review Assessment Pathway under continuous review Investment in social work training. Specific investment to create specialist response to prisoners. 	Empowered and self-sufficient	Roger Miller
Regulatory & Legislative Failures	2011/2	<p><u>UPDATED Failure to Meet Waste Management Targets</u></p> <p>The Council is faced with challenges of presenting alternatives to landfill whilst considering environmental impact, increasing financial costs and reputational impacts arising from decisions over types of waste management employed.</p>	ETE	4	3	20	4	3	25	UP	<p>A long term waste contract with Resource Recovery Solutions (Derbyshire) Ltd (RRS), to manage residual waste and Household Waste Recycling Centres in Derbyshire and Derby, commenced in 2010. As a part of this contract a waste treatment facility was proposed in Sinfyn, Derby City. After a protracted planning process, financial close was finally achieved in August 2014. The risk and economic balance of the project was comparable to that agreed when the Project Agreement was executed in December 2009 and affordability of the project was maintained. Achievement of financial close has enabled development of the treatment facility at Sinfyn Lane to commence. Construction commenced in September 2014 and is continuing. The ACT technology provider went into administration. The facility was originally scheduled to be fully commissioned by April 2017, however it has failed to pass acceptance tests. Following delays in construction the long stop date of the contract elapsed on 30 September 2018. The Councils issued the project funders with a FDA notice. After delivering that, they felt that there was no market to find an alternative operator of their plant, the funders served notice on RRS that they would no longer support the project and the plant has reverted to Council ownership. Work is now underway to establish the plant's capabilities and its fair value as well as to ensure the plant is properly insured.</p>	Value for money	Claire Brailsford
Regulatory & Legislative Failures	2012/1	<p><u>Information Governance, Cyber and Social Media</u></p> <p>The Council manages a significant amount of personal data and information in relation to service users and employees in the delivery of services using a range of systems and mediums. With data held in a vast array of places and in varying formats, it becomes susceptible to loss, protection, availability, misuse and privacy risks particularly with increased use of electronic transfer, and management (including use of the Government Public Sharing Network). The Council is exposed to financial penalties and reputational impact.</p>	ALL	5	3	15	5	3	15	—	<ul style="list-style-type: none"> The Council has achieved its ISO 27001 status and work continues to maintain this accreditation. Independent health checks and penetration tests. The on-going programme of activities, such as training for employees who process personal data, regular communication and continual review and updating of security policies continues. A security breach reporting system is also in place. Local and regional public health information governance groups established. Public Health contracts to be negotiated with information access rights. Consider co-locating of community teams to ensure access. Protocols established with schools prescribing requirements for accessing Framework records. Dialogue with partners about requirements. Secure email account establish for each area in CAYA. Ongoing work to secure effective information transfer. Secure methods of communicating controlled and restricted data utilised as required (post, encrypted email, GCSx). DCC has achieved PSN Code of Connection - the practices of using GCSx (via PSN) are enforced through protocols and policies. PSN certification is reassessed annually in September. Memorandums of Understanding in operation to enforce/augment communication channels with external partners. 	High performing council services	Jo White

Category	Risk Identifier No	Risk Description	Dept	New Score			Previous Score			Change	Mitigation - Current Comments	Link to Council Plan	Risk Owner
				Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score				
Organisational Change	2011/14	UPDATED Residential Care The Authority faces a challenge in maximising use/potential of planned Residential Community Care Centres and extra care developments as well as ensuring all residential care accommodation is maintained to a level in excess of legal expectations.	AC	4	3	12	4	5	20	—	<ul style="list-style-type: none"> Tight budget management at corporate and responsibility care level and within programme board. Monitoring of high level risk of individual projects at SMT level. Positive use of Better Care Fund and alignment of health and social care priorities for integrated approaches to working. Market management. Strategic Direction for DCC Direct Care Residential Services 2015/20 Plan developed and approved by Cabinet will; <ul style="list-style-type: none"> seek to consult on the closure of 5 residential care homes which are unsustainable in the long term ensure maximum use of Extra Care minimise use of Residential placements seek to drive down in house unit costs maximise funding from NHS partners • Asset surveys regularly completed and maintenance programmes developed and subject to robust business cases. Linked to risk 2012/2 Maintenance of Assets	High performing council services	Roger Miller
Emergency Response & Service Continuity	2011/6	ICT Infrastructure & Systems The procurement of new and replacement computer systems that meet organisation and departmental requirements. In particular; (a) The availability of systems capable of meeting complex business requirements (b) The costs associated with replacing, procuring and running systems (c) Resource capability for implementing new large scale ICT projects (d) The ability to provide technical support on what are now becoming increasingly complex systems. (e) Continuity of service during transfer to new systems. (f) The ability to satisfy internal/external security requirements (e.g. PSN / ISO 27001, CoCo etc). (g) Capacity of systems to cope with the level of demand.	ALL	4	4	16	4	4	16	—	<ul style="list-style-type: none"> A new governance checklist has been developed to ensure that all the necessary approvals and funding is in place prior to project initiation. A communications strategy is agreed at the start of each project to ensure that all stakeholders are appropriately engaged. Procurements are supported by clear departmental requirements documentation. Close liaison with suppliers and rigorous market testing including 'Supplier Discovery Days' are used where appropriate. A formal project management approach with agreed roles, agreed documentation and rigorous controls. Rigorous testing schedules and temporary parallel running of systems. Project delivery process includes assessing training needs. Senior departmental representation on project teams. Replacement of strategic ICT systems incorporated in departmental planning processes. Continued training for ICT staff on current technologies Using lessons learned from past procurements to improve procurement process for other departments. Close liaison with client department in system design. Issues arising during implementation are resolved jointly with senior supplier representatives. Toolkit is being revised to ensure that service requirements are fully taken into account. Senior level discussions with suppliers to maintain dialogue and set expectations. improved performance management of contract compliance in conjunction with stakeholders. Personal email use-is not allowed. devices; antivirus and other security tools are kept under review • Looking at how to improve defences against phishing. <ul style="list-style-type: none"> Encryption on 	High performing council services	Peter Handford
Emergency Response & Service Continuity	2011/11	Adapting to Climate Change The Council faces a challenge in relation to an increase in inclement weather patterns (flood, heat waves, drought, windstorm, increased snow fall) building the right infrastructure and new statutory flood and water risk management duties. Having sufficient financial resources and flexibility to address these challenges may become increasingly difficult.	ALL	4	2	8	4	2	8	—	<ul style="list-style-type: none"> Local climate impact profile completed and Level 1 of indicator on target. Completion of asset management inventory - in particular Road Gullies. Flood data analysed to determine priority for further investigation. Database extended as a result of recent flood incidents. Implemented recommendations of the Pitt Review. Implemented new Flooding & Water Act 2010 responsibilities. Link to partnership (DPF) priorities (Climate Change Performance measures). Contribute to comprehensive risk assessment of the effect of projected future climatic changes. Some exchange of data with engaged planning Authorities regarding flood risk posed by future development. Technical Flood Risk Group comprising all Risk Management Authorities meet quarterly to resolve problems affecting residential properties, businesses or infrastructure. Implementation of flood response protocol for Derbyshire including all Risk Management Authorities. Consulting on a Local Flood Risk Strategy for Derbyshire, due to be published June 2015. Review DEFRA proposals for SW drainage to be the responsibility of the Planning Authorities and Derbyshire's proposed role as Statutory Consultee. Flood Warden schemes being developed in high flood risk areas. Anticipated establishment of £2 million contingency fund. DVMWHS Environmental research projects planned. My City, My River - Derby Provision and maintenance of silt traps and fuel interceptors proposed. Pursue likely contraventions of the Highways Act resulting in pollutants discharging onto the Highway. Derbyshire Flood Risk management Strategy, published December 2014, sets out the action plan to mitigate flood risk across the county. Implementation of the climate change manifesto 	High performing council services	Geoff Pickford

				New Score			Previous Score						
Category	Risk Identifier No	Risk Description	Dept	Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score	C h a n g e	Mitigation - Current Comments	Link to Council Plan	Risk Owner
Emergency Response & Service Continuity	2011/5	<p>UPDATED Adequacy of Business Continuity Planning</p> <p>The Council's ability to respond to a major incident, such as severe weather (eg. climate change based flooding), loss of power or pandemics, and to maintain its critical services to the public. The emerging risk environment, the number and type of emergency and the interdependencies of services 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.</p>	ALL	5	2	10	5	2	10	—	<p>On-going Mitigations;</p> <ul style="list-style-type: none">• Business Continuity Plan part of the "Council Capacity" section in the Council Plan.• Business Continuity Plan updated and tested regularly (plan reviewed annually, training and exercises held annually)• Business Impact Analysis updated regularly <p>Planned Mitigations;</p> <ul style="list-style-type: none">• A major upgrade to the Council's core data network is complete which has increased resilience.• Installation of virtual switching system has been completed with separate generator.• ICT resilience is designed into key services.• Increased ICT resilience is provided through the 2nd data centre which has been enhanced.• Critical Salvage Strategy, Document Management Strategy and Procurement Strategy incorporated into Corporate Business Continuity Plan 2014.• Corporate Business Continuity Plan reissued August 2015 <p>Report to CMT September 2015.</p> <ul style="list-style-type: none">• New converged infrastructure to be installed in Data Centre leading to improved performance and resilience.• Auditing of Business Continuity Arrangements completed July 2015.• Adult Care undertaking joint procurement for case recording system with Children's Services <p>• Risk Champions to undertake a full review of Business Continuity Plans in January 2019 with them considering the effectiveness and consistency of these plans prior to this date</p> <p>Training is to be delivered in the next quarter to all managers who will need to have input into writing a business continuity plan.</p> <p>NB. This risk will remain on the Strategic Risk Register for monitoring purposes</p>	High performing council services	Liz Partington

Category	Risk Identifier No	Risk Description	Dept	New Score			Previous Score			Change	Mitigation - Current Comments	Link to Council Plan	Risk Owner
				Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score				
Regulatory & Legislative Failures	2011/9	Protection of Children and Vulnerable Adults The Council has a statutory responsibility to protect children and vulnerable adults from harm.	AC/ CS	5	3	15	5	3	15	—	<ul style="list-style-type: none">• Robust safeguarding procedures, including within Starting Point to embed multi-agency thresholds and pathways. chairing of Derbyshire Children's Safeguarding Board ensures robust challenge to all agencies informed by audit activity• Reduce social worker caseloads to reduce levels of risk.• Help/Social Care.• culture across the Department including learning from Serious Case Reviews• licences/qualifications to ensure best practice.• Continue to learn from National reports and implement any appropriate recommendations.• Continue with Safeguarding training across all staff groups.• Continue to invest in early intervention strategies.• Effective multi-agency working & information sharing protocols• Multi-agency safeguarding hub in police HQ.• Introduce social pedagogy to improve outcomes.• Independent Chair Adults and Childrens Safeguarding Boards appointed• Deprivation of liberty safeguards (DOLs) training and sustained additional capacity.• Guidance to providers and fieldwork staff about thresholds for DOLs in light of Supreme Court Judgements.• Safeguarding teams to be area based for improved service and efficiencies.• Action plan developed to support response to the lower threshold for deprivation.• Development of prevention strategy to provide extended options to meet needs.• Introduced direct care trading.• Policy and procedure review to ensure Care Act compliance.• Independent• Growth funding identified to• Review of supervision policy taking place for Early• Work to strengthen learning and development and performance/QA• Effective risk management processes for outdoor services delivered by DCC and• Promotion of culture of managing risk within each setting.	A focus on prevention and early intervention	Roger Miller / Jane Parfremment
Emergency Response & Service Continuity	2012/2	Maintenance of Assets The property rationalisation programme is currently under review which may delay further the provision of suitable accommodation and may not generate anticipated capital receipts. Combined with further cuts to maintenance and repair budgets services face maintenance challenges and a shortage of suitable accommodation until the programme is completed. Highway and Countryside Assets - risk of failure of assets, e.g. landslips, reservoirs, blocked gullies causing flooding, safety fencing, street lighting columns etc	CCP/ET E	3	5	15	3	5	15	—	<ul style="list-style-type: none">• Asset Management Plan in place• Capital Programme in place• Joint working with other district councils/partners.• Location independent working initiated.• Regular Health and Safety inspections undertaken.• Annual premises reviews undertaken by Property Division to identify defects and remedial actions.• Defect reporting procedure in place.• Relevant testing schemes in place.• Staff access to building information.• Develop building facilitator course for staff with responsibility for buildings.• Customer Profiling intended to provide optimal solution on where presence should be focused.• Review property strategy.	Value for money	Dave Massingham / Geoff Pickford
		Maintenance of Assets Cont.				15			15	-	<ul style="list-style-type: none">• Buy-in for IT infrastructure needed to support project.• Continue to develop Asset Management Strategy and associated policies and work on high risk locations• Accredited Highways and Structures Inspection Regime• Intelligent Gully Cleansing procedures being rolled out across all Boroughs and Districts to improve maintenance, resolve defects, and enhance history of actions• Continue to develop Asset Management of the structures stock, gather retaining walls data and assess associated risks• Manage large raised reservoirs on DCC property to comply with Floods and Water Act 2010• Undertake routine inspection and maintenance on canal assets. Agree surveillance regime particularly following storm or high rainfall events.• Highway safety and service inspections in accordance with the CoP• Three year, £23.3m, investment into LED and dimming technology has been approved. This will include the replacement of 22,000 5 and 6m columns considered to have a higher risk of failure within the lifetime of the LED. Start date may be Q4 of 2016/17.• Columns above the 6m height will continue to be assessed and monitored and will be subject to future capital LTP replacement programmes• Annual inspection of "A" road network; "B" road network inspection every 2 years• Working towards a risk based approach to asset management in line with the recently released Code of Practice - "Well Maintained Transport Infrastructure".• Corporate Landlord Statutory Compliance Monitoring• Corporate Property Asset Management Strategy• New Adverse Weather Policy being developed during 2018	Value for money	Dave Massingham / Geoff Pickford

SRR Appendix 3