

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

17 September 2024

Director of Finance

Overview of Place Risks

1. Purpose

- 1.1 This report provides background information for the Audit Committee's review of risk management in the Place department.

2. Information and Analysis

- 2.1 The Audit Committee is conducting a rolling review of departmental risk management arrangements with Executive Directors.
- 2.2 The meeting will be attended by Chris Henning, Executive director of Place, to discuss the effectiveness of risk management arrangements and principal risks in his department. Chris will give a short overview of the arrangements in his department, followed by questions and discussion with the committee members.
- 2.3 Place owns seven risks on the strategic risk register. The risks are listed below with full details, updated to 2024-25 Quarter 1 (including the risk owners' last four quarterly commentaries), provided in Appendix 2:
- Not achieving the full benefits of the devolution deal.
 - Failure to adapt to climate change.
 - Failure to deliver Cabinet decision to reinstate Waste Treatment Centre and best value for residents.
 - Failure to deliver critical services in emergency situations.
 - Failure to respond to emergency situations.
 - Failure to maintain highways assets.

- Failure to maintain countryside sites and waterways.

2.4 An abridged version of the full Place risk register is provided in Appendix 3. The register is updated to 2024-25 Quarter 1, as the Quarter 2 updates are currently being finalised. A full version of the register with all data held on APEX can be provided to the committee if required.

3. Alternative Options Considered

3.1 This is a regular rolling review of departmental risk management by the Audit Committee.

4. Implications

4.1 Implications are discussed in Appendix 1.

5. Consultation

5.1 No formal consultation was undertaken in the preparation of this report. The risk register was prepared for the committee by the CST Risk & Insurance team.

6. Background Papers

6.1 Electronic files are held by Risk and Insurance, Finance Division, County Hall and on the APEX corporate risk database.

7. Appendices

7.1 Appendix 1 – Implications

7.2 Appendix 2 – Place strategic risks (on strategic risk register)

7.3 Appendix 3 – Place full risk register (abridged version)

8. Recommendations

That the Audit Committee:

a) Reviews the information provided in this paper for discussion with Chris Henning.

9. Reasons for recommendations

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

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Implications

Financial

- 1.1 Financial implications are noted in the strategic and departmental risks where applicable in Appendix 2 and Appendix 3.

Legal

- 2.1 Legal implications are noted in the strategic and departmental risks where applicable in Appendix 2 and Appendix 3.

Human Resources

- 3.1 Human resources implications are noted in the strategic and departmental risks where applicable in Appendix 2 and Appendix 3.

Information Technology

- 4.1 Information technology implications are noted in the strategic and departmental risks where applicable in Appendix 2 and Appendix 3.

Equalities Impact

- 5.1 Equalities impact implications are noted in the strategic and departmental risks where applicable in Appendix 2 and Appendix 3.

Corporate objectives and priorities for change

- 6.1 The strategic risk register, departmental risk registers 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 council's 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 are noted in the strategic and departmental risks where applicable.

Strategic Risk Register

2024-25 Quarter 1 (30 June 2024)

Extract – Place risks

Not achieving the full benefits of the devolution deal

Derbyshire County Council doesn't align resources or have sufficient time to support in development of the East Midlands Combined County Authority (EMCCA) prior to inauguration or to delivering required activity and influence post inauguration.

APEX Unique Risk Number (URN): 514

Risk Owner: Joe Battye, Director of Economy & Regeneration

Assessment history:

Target Green (9) by 31/12/25	Likelihood: Possible (3)	2023-24 Q1	2023-24 Q2	2023-24 Q3	2023-24 Q4	2024-25 Q1	Likelihood: Possible (3)
	Impact: Moderate (3)	Green (6)	Green (6)	Green (9)	Green (9)	Green (9)	Impact: Moderate (3)

Reputation impact assessment: High

Financial impact assessment: Band 8 (Loss over £20 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	Proposed investment pipeline shared with EMCCA Mayor and agreed by D2 leaders. Ongoing work to priorities D2 projects and establish internal working arrangements within DCC.
31 March 2024	EMCCA has now been formal inaugurated and key Officers are now heavily involved in leading/driving the development of EMCCA's governance and delivery arrangements which will ensure DCCs best interests are met.
31 December 2023	As progress continues to be made in preparing for the formal commencement of EMCCA, Officers at DCC are meeting regularly to identify issues impacting the Council re resourcing, capacity and affected areas of service delivery.
30 September 2023	Nil

Failure to adapt to climate change

The Council 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; and interruption of supply chains. This is already impacting Council services, particularly crucial public-facing services such as Public Health and Highways. The severity and frequency of these impacts is predicted to increase, worsening current levels of vulnerability and introducing new areas of vulnerability within Council services.

APEX Unique Risk Number (URN): 405

Risk Owner: Claire Brailsford, Director of Environment & Transport

Assessment history:

Target Green (9) by 31/03/25	Likelihood: Possible (3)	2023- 24 Q1	2023- 24 Q2	2023- 24 Q3	2023- 24 Q4	2024- 25 Q1	Likelihood: Probable (4)
	Impact: Moderate (3)	Red (20)	Red (20)	Red (20)	Red (20)	Red (20)	Red (20)

Reputation impact assessment: High

Financial impact assessment: Band 8 (Loss over £20 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	Current work includes: <ul style="list-style-type: none"> Preparation of a report to Defra by the end of December 2024 setting out the main climate change and extreme weather risks facing the Council's services and function and associated adaptation measures. This is being carried out through consultation with relevant service areas. Preparation of the Local Nature Recovery Strategy for Derbyshire, which will be a key reference point on how the natural environment is vulnerable to climate change and how and where nature can be improved and protected to build resilience to climate change impacts (flooding, heatwaves, drought etc). Implementation of the Tree and Woodland Strategy for Derbyshire, which includes actions that will help improve the resilience of Derbyshire's built and natural environment to the impacts of climate change. Engaging with the city, district and borough councils across EMCCA, and also Nottinghamshire County Council and the Environment Agency, to scope a programme of collaborative work on climate risk and adaptation. This will enable regional vulnerabilities to be better understood and projects and areas of focus (including potential funding streams) to be defined.

	<p>Collaboration between the Climate Change Team and relevant services on service-specific risks, to help develop and deliver actions to reduce impacts and increase levels of resilience within service delivery – such as Public Health (overheating in care homes and schools, for example) and highways (flooding and overheating risks).</p>
31 March 2024	<p>The Council has been included in a scheme for local authorities to report to the Government National adaption programme by the end of this calendar year (Dec 2024). This should provide evidence of the risks and opportunities for addressing them.</p>
31 December 2023	<p>Following a series of workshops held during 2022-23 with nominated senior representatives from all Departments to establish the current climate change and severe weather risks facing services, how they are expected to change in likelihood and/or severity as the climate continues to change, and to establish the potential priority actions that need to be taken to build resilience to the risks, a report is being finalised during Q4 of 2023-24 to provide an overview of the findings and to make recommendations for further steps that the Council should take corporately, departmentally and at a service level to improve resilience and adapt to the risks and opportunities. This will be presented to the Corporate Risk Management Group for comment and implementation guidance prior to seeking support from CMT and Cabinet (if necessary) and for implementation from 2024-25 onwards.</p> <p>The Natural Capital Strategy for Derbyshire has been completed by consultants, which identifies the impacts of climate change on the county's natural assets. This Natural Capital Strategy, and the forthcoming Local Nature Recovery Strategy, will be key reference points in informing the Council's actions to adapt to the impacts of climate change. The Tree and Woodland Strategy for Derbyshire also includes actions and targets that will help improve the resilience of Derbyshire's natural and built environment to the impacts of climate change. Work is also ongoing within particularly vulnerable service areas, such as Highways and Public Health, to understand how their service delivery needs to be adapted to ensure their services and the residents that rely on them are resilient to the impacts of climate change and extreme weather.</p>
30 September 2023	<p>Following a series of workshops and meetings held during 2022-23 with nominated senior representatives from all Departments to establish the current climate change and severe weather risks facing services, how they are expected to change in likelihood and/or severity as the climate continues to change, and to establish the potential priority actions that need to be taken to build resilience to the risks, a report is being finalised during Q3 of 2023-24 to provide an overview of the findings and to make recommendations for further steps that the Council should take corporately, departmentally and at a service level to improve resilience and adapt to the risks and opportunities. This will be presented to the Corporate Risk Management Group for comment and implementation guidance prior to seeking support from CMT and Cabinet (if necessary) and for implementation from 2024-25 onwards.</p> <p>The Natural Capital Strategy for Derbyshire has been completed by consultants, which identifies the impacts of climate change on the county's natural assets. This Natural Capital Strategy, and the forthcoming Local Nature Recovery Strategy, will be key reference points in informing the Council's actions to adapt to the impacts of climate change. The Tree and Woodland Strategy for Derbyshire also includes actions and targets that will help improve the resilience of</p>

	Derbyshire's natural and built environment to the impacts of climate change.
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Failure to deliver Cabinet decision to reinstate Waste Treatment Centre and best value for residents

Derby City and Derbyshire County Councils took a decision in February 2023 to reinstate and operate the Waste Treatment Centre at Sinfin - as the best option on strategic waste, environmental sustainability, and value for money grounds. The process for implementing this decision is challenging and contains a number of risks which need to be mitigated through robust management.

APEX Unique Risk Number (URN): 404

Risk Owner: Claire Brailsford, Director of Environment & Transport

Assessment history:

Target Green (9) by tba	Likelihood: Possible (3)	2023-24 Q1	2023-24 Q2	2023-24 Q3	2023-24 Q4	2024-25 Q1	Likelihood: Probable (4)
	Impact: Moderate (3)	Red (20)	Amber (15)	Amber (15)	Red (20)	Red (20)	Impact: Substantial (5)

Reputation impact assessment: High

Financial impact assessment: Band 7 (Loss between £10 million and £20 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	The County Council is now in formal dispute with the City Council. It is not possible to provide any further update at this time. Target increased to Green (9) from Blue (4).
31 March 2024	Failure to reach agreement with the City Council on IAA3 has increased the risk to the implementation of the original decision of cabinet (2 Feb 2023). A cabinet report setting out the history and circumstances leading to the current issues as well as a recommended course of action will be presented to cabinet on 11 April 2024. This report sets out the risks and consequences of the recommended action including the likelihood that it may lead to the original decision becoming undeliverable.
31 December 2023	No change.
30 September 2023	<p>The soft market testing is nearing completing with a planned end date in November 2023. Market engagement has been good suggesting that the core assumptions of the full business case (FBC) with regard to market capability and appetite are valid. As anticipated in the FBC the Councils are unlikely to achieve significant risk transfer to a contractor during the rectification and commissioning phases of the project however mechanisms for transferring performance risk to the contractor over time are being explored and developed.</p> <p>The absence of a completed IAA3 remains the single biggest risk to the project and colleagues are developing contingency actions that could be taken to mitigate the impact of a withdrawal by the City and/or breach of IAA2.</p>

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. 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 corporate business continuity 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. Work is being undertaken to look at services provided at other locations, partnership working and external suppliers and test the effectiveness of the plan.

APEX Unique Risk Number (URN): 394

Risk Owner: Julian Gould, Director of Highways

Assessment history:

Target Green (9) by tba	Likelihood: Possible (3)	2023-24 Q1 Amber (15)	2023-24 Q2 Green (8)	2023-24 Q3 Green (8)	2023-24 Q4 Green (8)	2024-25 Q1 Green (8)	Likelihood: Unlikely (2)
	Impact: Moderate (3)						Impact: Significant (4)

Reputation impact assessment: Moderate

Financial impact assessment: Band 5 (Loss between £3 million and £5 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	Corporate Business Continuity Plan undergoing full update. Business Continuity Group has met, new terms of reference, membership, governance and standard agenda for meetings drafted for discussion. Action log created for 8 recommendations on the BC audit. Consideration of Business Continuity Officer post (previously identified) to further develop the BC work.
31 March 2024	Current plans remain in place. The Corporate Business Continuity Plan is undergoing a full update review. Internal audit on business continuity has identified some recommendations and the report is due out in April 2024. The Corporate Business Continuity Group is meeting in May 2024, this will provide the opportunity to develop this group to meet and develop business continuity across the Council.
31 December 2023	Corporate Emergency Plan and interim version of the Corporate Business Continuity Plan have both been updated and issued in December 2023. Emergency Control Centre refurbishment is now complete.
30 September 2023	Corporate Emergency Plan and interim Business Continuity Plan currently being updated with target of November 2023. Emergency Control Centre scheduled to be back operational in October 2023.

Failure to respond to emergency situations

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.

APEX Unique Risk Number (URN): 403

Risk Owner: Julian Gould, Director of Highways

Assessment history:

Target	Likelihood: Possible (3)	2023-24 Q1	2023-24 Q2	2023-24 Q3	2023-24 Q4	2024-25 Q1	Likelihood: Possible (3)
	Impact: Moderate (3)						Impact: Substantial (5)
Green (9) by tba		Green (10)	Amber (15)	Amber (15)	Amber (15)	Amber (15)	

Reputation impact assessment: High

Financial impact assessment: Band 5 (Loss between £3 million and £5 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	2 new SEPO positions filled with new staff starting in June 2024, not yet trained to be duty officer on call as still in induction phase. 1 SEPO due to be retiring in August 2024.
31 March 2024	No change for plan updates at present time. Recruitment in progress to fill Senior Emergency Planning Officer positions (x2).
31 December 2023	Derbyshire County Council Business Continuity Plan (interim) and Emergency Plan updated and issued December 2023. Risk likelihood remains at Possible due to staff shortages within the Emergency Planning Team structure. Approval for recruitment to backfill positions is in progress.
30 September 2023	Corporate Emergency Plan and Corporate Business Continuity Plan are both currently being updated, Emergency Plan expected to be issued November 2023. Interim Business Continuity Plan also expected in November 2023.

Failure to maintain highways assets

Failure to maintain highways assets resulting in risk of damage or harm to the public and/or employees as well as the environment and/or failure to comply with statutory duties, obligations, guidance or good practice. 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. Issues such as landslips, retaining walls and ageing structures cannot all be addressed in the short-term or within current budgets. The county's highways assets are prone to climate change issues such as landslips. Derbyshire's approach to Highways Asset Management is set out in the 2016 Code of Practice for Well-Managed Highway Infrastructure which requires local authorities to adopt a risk based, integrated asset management approach to maintaining highway infrastructure.

APEX Unique Risk Number (URN): 406

Risk Owner: Julian Gould, Director of Highways

Assessment history:

Target	Likelihood: Possible (3)	2023-24 Q1	2023- 24 Q2	2023- 24 Q3	2023-24 Q4	2024-25 Q1	Likelihood: Probable (4)
	Impact: Moderate (3)						Impact: Significant (4)
Green (9) by tba		Red (20)	Red (20)	Amber (16)	Amber (16)	Amber (16)	

Reputation impact assessment: Moderate

Financial impact assessment: Band 4 (Loss between £1 million and £3 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	Maintaining highway assets to the required standard needs sustained investment over the longer term, something that is challenging given levels of funding and unforeseen adverse weather events. Delivery of the 2024/25 Highways Capital Programme will support the Council commitment for continued capital investment in Derbyshire's highways assets. What is desirable is long term funding certainty with further clarity awaited on future DfT funding profiles and additional monies through EMCCA. In the meantime, implementation of the Derbyshire Highways Programme is continuing supported by the Professional Services Partnership to gear up for future opportunities.
31 March 2024	No change.
31 December 2023	Given current financial conditions and adverse weather events during Q3 the impact on the condition of the network is still being assessed to plan appropriate mitigations where possible. The additional DfT funding received as part of Network North will help toward mitigating the impacts of the adverse weather events. We are yet to see the DfT funding profile for the remainder of the Network North funding but this will provide the potential long term investment in Highway assets. Risk has been reassessed and the current assessment reflects the current position given all of the factors and actions in place. Finance and

	resource still remain an issue when compounded with the adverse weather events.
30 September 2023	At this point in time there is no change, however in light of Q1 budget announcements inevitably this will impact on the mitigation of this risk and further clarity will be required to deliver this in the future.

Failure to maintain countryside sites and waterways

Failure to maintain countryside sites and waterways resulting in risk of damage to human health, the environment or assets and/or failure to comply with statutory duties, obligations, guidance or good practice. 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. Particular areas of focus remain the development of asset management regimes for waterbodies notably reservoirs and canals; structures (e.g. bridges) and HWRCs. 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.

APEX Unique Risk Number (URN): 407

Risk Owner: Claire Brailsford, Director of Environment & Transport

Assessment history:

Target	Likelihood:	2023-24 Q1	2023-24 Q2	2023-24 Q3	2023-24 Q4	2024-25 Q1	Likelihood:
Green (9) by tba	Possible (3)						Possible (3)
	Impact: Moderate (3)	Amber (15)	Amber (12)	Amber (12)	Amber (12)	Amber (12)	Impact: Significant (4)

Reputation impact assessment: High

Financial impact assessment: Band 4 (Loss between £1 million and £3 million)

APEX quarterly commentaries:

Quarter ending	Progress commentary (by risk owner)
30 June 2024	Currently recruiting to the senior waterbodies project officer role - interviews planned for July 2024. Finalising JPP for the new structure post will go out to advert shortly. Countryside staff have continued to work on identifying assets not on the structural assets register - further work required with the structures team to establish whether they will require adding to the register. Work starting on commissioning repairs to railway bridge at the Field, Shipley Country Park. Spring reservoir inspections are complete. Work continues on section 10 works at Osbornes Pond and Shipley Lake.
31 March 2024	The capital bids for 24-25 were successful for the management of countryside service structures going forward and also we were awarded funds to undertake repairs to the most 'at risk' structures previously identified. We have been working with structures team in Highways to look at how this work is staffed and supported moving forwards. In terms of the reservoirs we've had section 10(6) certificates issued for completion of MIOS works at Osbornes pond (tree management and toe drain installation). We have also had sign off of MIOS works at Shipley lake by the inspecting engineer (tree management plan and bridge inspection). Work on other outstanding MIOS at both reservoirs continues to meet legal deadlines. The protocol for inspection and management of canal assets has been finalised and is ready for implementation across the Council's two

	canal assets (Chesterfield and Cromford canals). Good progress being made.
31 December 2023	<p>Work on managing existing large raised reservoirs continues and detailed in a separate risk. A canal inspection standard has been developed with the help of Mott McDonald Ltd along with recording and mapping of structures on the Cromford and Chesterfield Canals. Further work is ongoing developing inspection paperwork and emergency plans for the canals.</p> <p>Following the audit review of Countryside Services and the resulting report in Q2 2023/4, the lack of coordinated management of Countryside service structures has been highlighted as an issue. Countryside staff are working with the structures team to identify countryside structures, log them on the AMX software and look at establishing a programme of inspection and routine maintenance. A revenue growth bid to support this work was submitted in Q2. A capital bid has also been submitted in Q2 to address outstanding repairs to High risk bridges and structures in the countryside site portfolio.</p>
30 September 2023	<p>Autumn (section 12) reservoir inspections planned for Osbornes Pond, Mapperley Reservoir and Manners Balancing Dam. Existing Joint undertaker at Osbornes Pond has sold landholding and the new joint undertaker has not come forward yet. There continues to be a delay in completing the two outstanding Measures in the Interest of Safety (MIOS) on the private land. The Environment Agency are aware of this difficulty and indicated they understand the difficulties and delays completing the work. Procurement of specialist design services has been undertaken for the reprofiling of the down stream face of Osbornes Pond to increase the factor of safety, Aecom Ltd have been appointed to undertake this work. At Shipley Lake progress has been made developing the ground Investigation survey and this will go out to tender in Q3. The bridge assessment has been completed and a new weight limit of 3 tonnes recommended, this will be implemented shortly. Capital Bids have been submitted for the 2024/5 financial year for completion of works at Osbornes Pond and Shipley Lake. A canal asset inspection standard and register of canal assets has been developed for the Chesterfield and Cromford canals this will be finalised and adopted in Q3.</p>

Risk severity matrix and tables

Risk severity matrix

Impact Score	Substantial	5	Blue	Green	Amber	Red	Red
	Significant	4	Blue	Green	Amber	Amber	Red
	Moderate	3	Blue	Green	Green	Amber	Amber
	Minimal	2	Blue	Blue	Green	Green	Green
	Negligible	1	Blue	Blue	Blue	Blue	Blue
			1	2	3	4	5
			Rare	Unlikely	Possible	Probable	Almost certain
			Likelihood Score				

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
5	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 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
4	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
3	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
2	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
1	None	No impact	No impact	No impact	No impact	No impact	No impact	No impact	No impact	No impact

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

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

PLACE RISK REGISTER 2024-25 (ABRIDGED VERSION)

(Note: The 2024-25 Quarter 2 updates are currently being processed and are not included in this table)

Risk	Statutory Duty	Reputational Risk Assessment	Financial Impact Assessment	Target Rating	Dec 2023 Rating	Mar 2024 Rating	Jun 2024 Rating
Strategic risk register							
Not achieving the full benefits of the devolution deal	No	High	Band 8	Green (9)	Green (9)	Green (9)	Green (9)
Failure to adapt to climate change	No	High	Band 8	Green (9)	Red (20)	Red (20)	Red (20)
Failure to deliver Cabinet decision to reinstate Waste Treatment Centre and best value for residents	Yes	High	Band 7	Green (9)	Amber (15)	Red (20)	Red (20)
Failure to deliver critical services in emergency situations	Yes	Moderate	Band 5	Green (9)	Green (8)	Green (8)	Green (8)
Failure to respond to emergency situations	Yes	High	Band 5	Green (9)	Amber (15)	Amber (15)	Amber (15)
Failure to maintain highways assets	Yes	Moderate	Band 4	Green (9)	Amber (16)	Amber (16)	Amber (16)
Failure to maintain countryside sites and waterways	Yes	High	Band 4	Green (9)	Amber (12)	Amber (12)	Amber (12)
Departmental risk register							
Failure to deliver major projects in accordance with agreed timescales and/or budgets	No	Moderate	Band 8	Green (9)	Amber (16)	Amber (16)	Red (20)
Failure to deliver Multiply Programme	No	High	Band 3	Green (9)	Green (6)	Green (6)	Green (6)

Risk	Statutory Duty	Reputational Risk Assessment	Financial Impact Assessment	Target Rating	Dec 2023 Rating	Mar 2024 Rating	Jun 2024 Rating
Failure to deliver Economy & Regeneration assets	No	Extremely High	Band 7	Green (9)	Red (25)	Red (25)	Amber (12)
Failure to deliver planned IT projects essential to service delivery	No	High	Band 2	Green (9)	Green (6)	Green (6)	Green (9)
Inability to deliver the Library strategy within the required timescale.	No	Moderate	Band 3	Green (9)	Amber (16)	Amber (16)	Amber (12)
Serious injury to Trading Standards staff arising from contact with members of criminal gangs	No	Moderate	Band 3	Green (9)	Amber (15)	Amber (15)	Amber (12)
Failure to safeguard children and vulnerable adults using Place transport services	Yes	High	Band 6	Amber (15)	Amber (15)	Red (20)	Amber (15)
Failure to deliver Bus Service Improvement Plan programme	No	High	Band 8	Green (9)	Green (9)	Green (9)	Green (9)
Failure to deliver replacement school transport IT system essential to service delivery	Yes	High	Band 3	Green (9)	Green (9)	Green (9)	Amber (12)
Loss of the council's DVSA Vehicle Operator Licence	Yes	High	Band 8	Amber (12)	Green (8)	Green (8)	Blue (4)
Injury to the public or employees or damage to or failure of assets as a result of construction work		High	Band 4	Green (9)	Amber (15)	Amber (15)	Amber (15)
Failure to limit liability for closed landfill monitoring services carried out for external clients	Yes	Moderate	Band 1	Green (9)	Blue (2)	Blue (2)	Blue (2)
Failure to manage or control pollution liabilities on land/sites for which Place are responsible	Yes	Extremely High	Band 6	Green (9)	Amber (12)	Amber (12)	Amber (12)
Serious injury to the public or employees from Ash dieback on any council land	Yes	Moderate	Band 4	Green (9)	Red (20)	Red (20)	Amber (15)
Severe damage to the public, employees, land or infrastructure due to DCC water bodies	Yes	High	Band 7	Green (9)	Amber (15)	Amber (15)	Amber (15)
Loss of World Heritage Site (WHS) status for the Derwent Valley Mills	Yes	High	Band 1	Green (9)	Green (9)	Green (9)	Green (9)

Risk	Statutory Duty	Reputational Risk Assessment	Financial Impact Assessment	Target Rating	Dec 2023 Rating	Mar 2024 Rating	Jun 2024 Rating
Failure to collect all recoverable works monies for highways damage from 3rd parties	No	Extremely Low	Band 1	Green (9)	Amber (12)	Amber (16)	Red (20)
Failure to deliver services in accordance with customers' expectations in Highways	No	Moderate	Band 2	Green (9)	Amber (12)	Amber (15)	Amber (15)
Inability to recruit critical staff	No	Low	Band 2	Green (9)	Amber (16)	Amber (16)	
Tip instability incident resulting in harm to members of the public, buildings and infrastructure	Yes	High	Band 8	Green (9)	Green (9)	Green (9)	Green (9)
Failure to be effective procurers and managers of 3rd party providers	No	Low	Band 4	Green (9)	Amber (16)	Amber (16)	Amber (16)
Failure to deliver budget cuts or meet income targets	No	Moderate	Band 4	Green (9)	Red (25)	Green (9)	Green (6)
Data held is used in a way which contravenes our duties under data protection legislation	Yes	Moderate	Band 4	Green (9)	Green (8)	Green (8)	Green (9)
Failure to carry out statutory duties	Yes	Moderate	Band 4	Green (9)	Amber (16)	Amber (12)	Amber (12)
Failure to protect employees whilst working alone or in remote locations	Yes	High	Band 1	Green (9)	Green (6)	Green (6)	Amber (12)
Serious injury or fatality to the public or employees on Place land, premises, assets and vehicles	Yes	High	Band 4	Green (9)	Amber (12)	Amber (15)	Amber (15)
Take decisions and action which give rise to legal/financial claims against the authority	Yes	Extremely High	Band 7	Green (9)	Amber (15)	Red (20)	Red (20)