

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

23 March 2021

Report of the Director of Finance and ICT

STRATEGIC RISK REGISTER REVIEW

1 Purpose of the Report

To request Audit Committee to review the Strategic Risk Register and to provide an update on progress of the 2019-2021 Risk Strategy.

2 Information and Analysis

Strategic Risk Register

The Strategic Risk Register has undergone an initial full review of both risks and actions that the Council is undertaking to manage the key risks that may have a significant impact on the Council's ability to deliver its services and the Council Plan.

The Strategic Risk Register is shown at Appendix A. Updates to the risk register are shown in purple text.

Provisional wordings have been included for risk reference 2020/01 relating to information governance and 2018/15 relating to changing legislation and regulation. Both risks will be updated for the next Audit review.

Several risks have been separated for clarity of actions and assessed risk associated with each: -

- Risk Ref: 2011/9 *Protection of Children and Vulnerable Adults*
Has been split into two risks separating children and adults
- Risk Ref: 2012/2 *Maintenance of Assets*
Has been split into two risks to differentiate between the assets managed by Property Division and ETE.

At present, all identified risks score 15 and above, putting these into the extreme high-risk category. These risks therefore all require significant

management action, control, evaluation or improvements with continued proactive monitoring.

The target scores demonstrate that the Council wishes to achieve a reduction from extreme to the moderate to high spectrums.

Following the review, risk reference 2011/11 relating to Adapting to Climate Change has increased scoring, with the remainder of the risks remaining static.

Ideally, over time, the Council will start to see an increased number of risks decreasing their risk score as actions identified become embedded into practice.



The corporate guide to assessing impact and likelihood is included within Appendix B to assist Audit Committee Members.

2019-21 Risk Strategy Update

The 2019-21 Risk Strategy is currently under review to align to the proposed new Council Plan and to incorporate the following considerations: -

- Greater emphasis on understanding risks as a tool to enable Directorates to achieve their goals
- Movement towards evaluating opportunity risk against hazard risks in business cases and forward planning
- Linking identified deliverables, risk and performance monitoring
- Reviewing the role of Risk Leads within Directorates to achieve greater engagement and the identification of cross cutting risks
- Ensuring Strategic Risk owners attend Audit Committee on an annual basis to provide Members with an update on their allocated risk to provide additional assurance
- Changing the static perception of Risk Registers to Risk Action Plans (RAPs) for a dynamic approach to risk management
- Improved visualization of risk by linking with APEX
- Introducing a “golden thread” linking all risks of a similar nature across the Council to enable risk owners to fully understand the significance and

impact of the whole risk. This will also link strategic risks with specific risks and actions identified within divisional or departmental RAPs

The revised Risk Strategy will be circulated for comment by April 2021.

3 Officer's Recommendation

That Audit Committee:

- i) review the Strategic Risk Register to:
 - a. note the key risks to the Council
 - b. note the target scores as a reflection of the aims of the Council
 - c. note the mitigations identified to achieve the target score
- ii) note the proposals for the revised Risk Strategy

PETER HANDFORD

Director of Finance & ICT

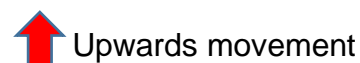
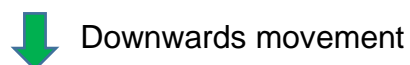
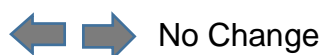
Strategic Risk Movement Report:
Report Date: February 2021


Date of Previous Risk Score: November 2020

 Notes: References highlighted **Purple** have been added since the previous report.

Old Category is shown when there has been a change of category.

Previous Risk Score shows rating, probability and impact prior to the Current Risk Score



Risk Ref: 2011/1 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
Risk Description <i>Impact of a prolonged recovery and a funding gap</i> 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.	Peter Handford Director of Finance and ICT	The Council has updated its Five-Year Financial Plan alongside the setting of the Revenue Budget 2021/22 in February 2021. The update reflects the outcomes of the Spending Round 2020 and the Local Government Finance Settlement 2021/22. The continuation of mainstream funding for local authorities at 2020/21 levels is welcome, together with the additional funding for social	<div style="background-color: red; color: white; padding: 5px; text-align: center;">EXTREME 25</div> Probability Almost Certain 5 Impact Very High 5		<div style="background-color: red; color: white; padding: 5px; text-align: center;">EXTREME 25</div> Probability Almost Certain 5 Impact Very High 5	<div style="background-color: yellow; padding: 5px; text-align: center;">HIGH 12</div> Probability Probable 4 Impact Medium 3

		<p>care including the option of the Adult Social Care precept.</p> <p>This additional funding has allowed the Council to invest in critical services, such as adults and children’s social care. However, savings of £72m+ are still required over the medium in order to maintain a balanced annual budget.</p> <p>There is a significant commitment in the Council’s 2021/22 Revenue Budget to provide an additional £27m of ongoing funding and £15m to support service pressures.</p> <p>Given the uncertainty regarding Covid-19, 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 2021/22 budget.</p>				
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		<p>There is a reliance on the achievement of a programme of budget savings.</p> <p>The Covid-19 pandemic has resulted in an economic shock from which it will take some time to recover.</p>			
Controls:	<u>REF:</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>	
	2011/1 FIN001	Five-Year Financial Plan is updated at least annually and following key Government announcements e.g. Spending Rounds.	In place/embedded	E Scriven	
	2011/1 FIN002	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 Handford	
	2011/1 FIN003	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 place/embedded	P Handford	
	2011/1 FIN004		In place/embedded	E Scriven	


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	2011/1 FIN005	<p>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.</p>	In place/embedded	E Scriven
	2011/1 FIN006	<p>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.</p>	In progress/taking effect	H Jones
	2011/1 FIN007	<p>Positive use of Better Care Fund and alignment of health and social care priorities for integrated working.</p>	In progress/taking effect	P Handford
	2011/1 FIN008	<p>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.</p>	In progress/taking effect	C Allcock
		<p>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.</p> <p>Departments have been asked to identify estimated Covid-19 costs for the 2021/22</p>	In progress/taking effect	P Handford

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		<p>financial year in order to establish whether the £15m general Covid-19 funding allocation is sufficient to meet the estimated costs.</p> <p>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.</p>	<p>In progress/taking effect</p>	<p>P Handford</p>
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Risk Ref: 2020/01 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Increase in Demand on Council Services</i></p> <p>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.</p>	<p>Iain Little Deputy Director of Public Health</p>	<p>Demand Management has been identified as a priority project within the Enterprising Council approach.</p> <p>An SRO has been identified, and next steps will include establishing a cross-council project team.</p> <p>This work has been delayed due to capacity pressures caused by the Council's Covid-19 response.</p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p>↔</p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p>High 12</p> <p>Probability Probable 4</p> <p>Impact Medium 3</p>
	<p><u>Ref:</u></p>	<p><u>Control Description</u></p>		<p><u>Status</u></p>		<p><u>Owner</u></p>
	<p>To be added</p>	<p>SRO identified to lead work</p> <p>Demand management programme group established</p>		<p>In place/embedded</p> <p>In progress/taking effect</p>		<p>E Crapper</p> <p>I Little</p>

Risk Ref: 2011/05 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Failure to have adequate business continuity plans in place</i></p> <p>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.</p>	<p>Tim Gregory Director of Environment, Transport and Economy</p>	<p>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.</p> <p>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.</p> <p>Further work is being undertaken to look at services provided at other locations, partnership working and external suppliers.</p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p>HIGH 10</p> <p>Probability Unlikely 2</p> <p>Impact Very High 5</p>

		<p>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.</p> <p>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.</p> <p>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</p>				
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		respond to ensure continuity of services on a priority basis.				
Controls:	<u>REF</u>	<u>Control Description</u>		<u>Status</u>	<u>Owner</u>	
	2011/05 ETE001	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	
	2011/05 ETE002	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	E Crapper	
	2011/05 ETE001	Departments hold in-depth reviews of their continuity arrangements to ensure key services can continue.		In progress/taking effect	E Crapper	
	2011/05 ETE001	ICT and procurement to work with departments to ensure systems procured provide resilience.		In progress/taking effect	T Gerrard	
	2011/05 ETE001	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 Ref: 2021/02 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Failure to have adequate emergency response arrangements in place</i></p> <p>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.</p> <p>The emerging risk environment, the number and type of emergencies is increasingly making continuity or "resilience" a significant focus for the Council.</p> <p>Budget cuts and rationalisation (including resourcing reductions) also challenge the</p>	<p>Tim Gregory Director of Environment, Transport and Economy</p>	<p>Derbyshire Local Resilience Forum (LRF) is a partnership of responder agencies who provide a strategic oversight and co-ordination of emergency planning arrangements in Derbyshire in accordance with the requirements of the Civil Contingencies Act 2004.</p> <p>The LRF is made up of the emergency services, local authorities, the Environment Agency, government agencies and utilities as appropriate. Derbyshire LRF is currently chaired by Chief Constable Rachel Swann of Derbyshire Constabulary.</p> <p>All designated Category 1 responders under the Civil Contingencies Act 2004, are</p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p>↔</p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p>HIGH 12</p> <p>Probability Probable 4</p> <p>Impact Medium 3</p>


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<p>Council in its ability to fulfil its Category 1 Responder statutory duty under the Civil Contingencies Act 2004.</p>		<p>required to carry out risk assessments for their area.</p> <p>A Derbyshire wide community risk register (CRR) has been compiled along with supplementary registers for the eight district/boroughs and city within Derbyshire.</p> <p>Following the outbreak of the coronavirus, the Council and the LRF have reviewed its response arrangements to ensure that they can be delivered in a Covid-19 safe way. This includes holding virtual Strategic Co-ordinating and Tactical Co-ordinating Groups for emergencies.</p>				
<p>Controls:</p>		<p style="text-align: center;"><u>Control Description</u></p>		<p style="text-align: center;"><u>Status</u></p>	<p style="text-align: center;"><u>Owner</u></p>	
	<p>To be added</p>	<p>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.</p> <p>In the event of an emergency, key staff will attend multi agency Strategic Co-ordinating</p>		<p>In place/embedded</p> <p>In place/embedded</p>	<p>E Partington</p> <p>T Gregory</p>	

		<p>and Tactical Co-ordinating Groups as appropriate.</p> <p>Following emergencies departments review their response with internal debriefs that feed into LRF multi-agency debriefs as appropriate.</p> <p>LRF multi-agency risk and capability plans are prepared and maintained to ensure an effective response by responding agencies including the County Council.</p> <p>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:</p> <ul style="list-style-type: none"> • 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 	<p>In place/embedded</p> <p>In place/embedded</p> <p>In place/embedded</p> <p>In place/embedded</p>	<p>T Gregory</p> <p>T Gregory</p> <p>C Brailsford</p> <p>C Brailsford</p>
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		<p>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.</p>		
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Risk Ref: 2011/19 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Effective Change Management</p> <p>The Council is undergoing significant organisational change from financial pressure or political change which could create significant workforce issues around having the right skills, productivity and capacity, each of which may adversely impact upon service delivery if not managed.</p> <p>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.</p> <p>The lack of effective change management can lead to significant impact upon</p>	<p>Emma Crapper</p> <p>Director of Organisation Development and Policy</p>	<p>Work is currently taking place on the development of a whole council strategic transformation case identified as a key priority to drive forward Phase 2 of the Council's Enterprising Council approach. 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.</p> <p>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 PMO will also be responsible for</p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 20</p> <p>Probability Probable 4</p> <p>Impact Very High 5</p>	<p>MODERATE 9</p> <p>Probability Possible 3</p> <p>Impact Medium 3</p>

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<p>stakeholders and partnerships; potential litigation; fines; risk of injury or death and unplanned spending increases.</p>		<p>ensuring the Council has the necessary skills, capacity and capability to deliver identify change.</p> <p>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.</p> <p>Employee engagement and wellbeing is central to the development of the Council's people strategy and in the previous 12 months, the Council's has deployed a number of pulse surveys to seek views from its workforce.</p> <p>A cycle of regular pulse surveys has been approved which will complement the Council's wider approach to engagement (Listen and Engage, Shape and Respond). This is supported by internal communications narrative work centred on 'Our Spirit'.</p>				
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		<p>Feedback from leadership forums also help inform and mitigate against potential concerns within the workforce and will shape the engagement approach further as we proceed, supported by a clear leadership development approach and leadership behavioural framework.</p> <p>The council recently reviewed its wellbeing strategy actions plans, refocusing on people, data and systems to ensure the strategy is successfully embedded, with deployment of new initiatives such as an employee assistance programme.</p>				
	<u>Ref:</u>	<u>Control Description</u>	<u>Status</u>		<u>Owner</u>	
	To be added	Development of strategic transformation case and prioritised council wide programme of transformation	In progress/taking effect		E Crapper	
		Creation of a centralised Programme Management Office for the Council	In progress/taking effect		E Crapper	
			In progress/taking effect		E Crapper	

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		<p>Development of effective governance arrangements to monitor and evaluate agreed change activity</p> <p>Deployment of the employee engagement pulse survey cycle as approved by CMT on 8 February 2020.</p> <p>Regular leadership forums / senior leadership forums to support leader development and information sharing, coupled with a leadership behavioural framework.</p> <p>Ongoing deployment and monitoring of the council's wellbeing strategy and associated action plans.</p>	<p>In progress/taking effect</p> <p>In progress/taking effect</p> <p>In progress/taking effect</p>	<p>J Skila</p> <p>J Skila</p> <p>J Skila</p>
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Risk Ref: 2011/20 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Supply Chain Failure</p> <p>Failure to manage outsourced contracts <i>effectively</i> could lead to unforeseen increased costs; risk of contracts collapsing; increased carbon footprint.</p>	<p>Peter Handford</p> <p>Director of Finance and ICT</p>	<p>A Central Contract Management Support Team has been proposed to improve management of contracts across the Council. This is still subject to approval.</p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p>MODERATE 6</p> <p>Probability Unlikely 2</p> <p>Impact Medium 3</p>
	<p><u>Ref:</u></p> <p>To be added</p>	<p><u>Control Description</u></p> <p>Proposed introduction of a standardised Contract Management Framework via a Central Management Professional Standards Team across the Council.</p> <p>Identification of high value/high risk contracts including partnerships and partners which</p>		<p><u>Status</u></p> <p>Proposed/not yet approved</p> <p>Proposed/not yet approved</p>	<p><u>Owner</u></p> <p>T Gerrard</p> <p>T Gerrard</p>	

		<p>demand a higher level of contract management.</p> <p>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.</p>	Proposed/not yet approved	T Gerrard
		<p>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.</p>	Proposed/not yet approved	T Gerrard
		<p>Contract & provider knowledge sharing with other councils via the East Midlands Heads of Procurement and the national Public Sector Procurement Working Group.</p>	Proposed/not yet approved	T Gerrard
		<p>Reviewing and updating tender documentation and contracts to identify weaknesses which could contribute towards supply chain failure.</p>	In progress/taking effect	T Gerrard
		<p>Ensuring Business Continuity Plans are reviewed and tested with providers during the life of the contract as part of robust contract management activity</p>	Proposed/not yet approved	T Gerrard


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		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.	In progress/taking effect	T Gerrard
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Risk Ref: 2011/2 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>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</i></p> <p>The Council is working with stakeholders to determine the "Estimated Fair Value" (EFV) of the facility following termination of the Project Agreement with RRS. This is the compensation due to the former contractor and comprises the value of the plant, considering all of the costs of rectifying ongoing issues, and the costs of providing the services to meet the agreed contract standards.</p> <p>Failure to achieve value for money is a significant risk to the Council's budget. Failure to recommission the facility is a</p>	<p>Tim Gregory Director of Environment, Transport and Economy</p>	<p>The Council is meeting regularly with the project funders to reach a consensual settlement on the EFV. In parallel preparations continue in the event negotiations are unsuccessful.</p> <p>Work to determine the condition and capability of the facility is nearing completion and will determine the next steps for the facility. This information is informing the EFV workstream.</p> <p>Project planning is underway on services post 2022, when the Service Continuity Contract expires. A Work Plan of key actions is in place, resources allocated and are subject to regular review.</p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p>MODERATE 6</p> <p>Probability Unlikely 2</p> <p>Impact Medium 3</p>


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<p>significant risk for the long-term waste management strategy, the Council's future economic and environmental sustainability and its reputation.</p>						
	<p><u>Ref:</u></p>	<p><u>Control Description</u></p>			<p><u>Status</u></p>	<p><u>Owner</u></p>
	<p>To be added</p>	<p>A Service Continuity Contract has been put in place to make sure waste continues to be dealt with, and that recycling centres and waste transfer stations continue to operate. These services are being provided by waste management company Renewi under a new two-year contract. The contract includes work to secure and preserve the waste treatment facility.</p>			<p>In place/ embedded</p>	<p>C Brailsford</p>
		<p>Joint Waste Contract Management Boards (with Derby City Council) in place and meet regularly to provide strategic leadership</p>			<p>In place/ embedded</p>	<p>C Brailsford</p>
		<p>Internal Waste Project Board being established</p>			<p>In progress/ taking effect</p>	<p>C Brailsford</p>
	<p>Specialist advisors (finance; commercial and legal) appointed and support the Project Team. The Project Team meets at minimum weekly.</p>			<p>In place/ embedded</p>	<p>C Brailsford</p>	

Risk Ref: 2020/01 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Provisional wording:</i></p> <p><i>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</i></p> <p>Failure to comply with GDPR and Cyber resilience</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, <i>commercial and other sensitive</i></p>	<p>Peter Handford</p> <p>Director of Finance and ICT</p>	<p>This corporate risk is being reformulated by the Director of Finance and ICT to address information governance (incorporating GDPR and cyber resilience).</p> <p>The risk scores are unchanged from the previous report until the review is complete and an informed assessment is made.</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>High 12</p> <p>Probability Possible 3</p> <p>Impact Medium 4</p>


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<p>data using a range of systems and mediums.</p> <p>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 legal action, financial penalties and reputational impact.</p>						
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	To be added	Under review				

Risk Ref: 2011/11 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Adapting to Climate Change</p> <p>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; 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.</p>	<p>Helen Jones</p> <p>Executive Director, Adult Social Care & Health</p>	<p>The Derbyshire Climate Change Adaptation Plan was produced in 2013 with a review of progress taking place in 2017.</p> <p>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.</p>	<p>High 12</p> <p>Probability Possible 3</p> <p>Impact High 4</p>	<p style="text-align: center;"></p>	<p>EXTREME 16</p> <p>Probability Probable 4</p> <p>Impact High 4</p>	<p>MODERATE 6</p> <p>Probability Unlikely 2</p> <p>Impact Medium 3</p>
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>

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	To be added	Analysis and distribution of future climate projections for Derbyshire	In progress/ taking effect	C Brailsford
		Derbyshire Local Flood Risk Management Strategy	In Place/ embedded	C Brailsford
		Derbyshire Natural Capital Strategy	Proposed/not yet approved	J Battye/ C Brailsford
		Planning guidance	Proposed/not yet approved	J Battye


Risk Ref: 2011/9 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Protection of Vulnerable Adults</i></p> <p>Failure to protect the most vulnerable in our society could lead to significant fines; special measures; litigation; decreased staff morale; reputational damage</p>	<p>Helen Jones Executive Director, Adult Social Care and Health</p>	<p>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.</p> <p>Alongside this strategy a Quality Improvement Board (QIB) has been established. The Board is chaired by the Service Director and involves Group Managers across the department. The Board ensures that the quality and improvement of all ASC services is the responsibility of the whole department and that</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>HIGH 10</p> <p>Probability Unlikely 2</p> <p>Impact Very High 5</p>

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		<p>the QA strategy is being implemented.</p> <p>The work of the Board is focused into six key work streams; Safe Services, Quality Recording, Quality Monitoring and Improvement, Quality Workforce, Communications and Quality Policies and Procedures. Each work stream has a set focus and purpose and key actions to address the learning points. These key actions are delivered through detailed work stream action plans.</p>				
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	2011/9 ASC001	An Adult Social Care Quality Assurance Strategy and Framework has been developed and agreed. This is now being implemented and embedded into practice.			In progress / taking effect	S Stevens
	2011/9 ASC002	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	S Stevens
	2011/9 ASC003	The Quality Improvement Board provides regular updates to the ASC Senior Management team, Executive Director and Portfolio Holder.			In place / embedded	J Vollar

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	2011/9 ASC004	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.	In place/ embedded	J Ryalls / S Knowles
	2011/9 ASC005	We have reviewed our approach to learning reviews and serious incidents and are revising policy and process in order to ensure appropriate and consistent monitoring, review and learning mechanisms are established and embedded	In progress/ taking effect	J Ryalls / S Knowles
	2011/9 ASC006	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	T Henson
	2011/9 ASC007	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.	In progress/ taking effect	T Henson
	2011/9 ASC008	Senior Managers are updated in relation to any significant incidents through a newly embedded 'notifiable incident form'.	In place/ embedded	D Sullivan / T Henson

Risk Ref: 2021/02 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Protection of Vulnerable Children</p> <p>Failure to protect the most vulnerable in our society could lead to significant fines; special measures; litigation; decreased staff morale; reputational damage</p>	<p>Jane Parfremment</p> <p>Executive Director, Children's Services</p>	<p>Whilst risk can never be eliminated entirely, the council has robust policies and procedures in place to safeguard vulnerable children, supported by training and development, supervision and quality assurance processes.</p> <p>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.</p> <p>Successful recruitment and retention strategies have reduced turnover and vacancies in social care, leading to greater workforce stability.</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>		<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>HIGH 10</p> <p>Probability Unlikely 2</p> <p>Impact Very High 5</p>

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		These measures provide a firm foundation for ongoing service improvement and the reduction of risks to children.				
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	To be added	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	L Dale
		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 - including successful growth bid.			In place/ embedded	A Noble
		Practice improvement plans with oversight by QA Board chaired by Exec Director. Regular performance monitoring			In place/ embedded	P Lambert

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		and accountability at all levels across children’s safeguarding and SEND services.		
		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.	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 more regular review of risks to children and agree visiting patterns during COVID-19; strengthened multi-agency working to achieve visibility for children and ‘key worker’ role for those with EHC plans.	In place/ embedded	A Noble / I Peel

Risk Ref: 2012/2 Category:	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Maintenance of Property Assets</p> <p>Failure to maintain our assets could lead to significant fines; significant litigation; decreased staff morale; reputational damage; HSE investigation</p>	<p>Dave Massingham</p> <p>Director of Property</p>	<p>In February 2019 Cabinet approved a new operating model for Corporate Property Services based on the property life cycle. The Asset Management Framework developed in 2019 documents the Strategy for managing Land and Buildings.</p> <p>A new Senior Management Team was established during 2020 and a programme to externalise non-core services commenced March 2020.</p> <p>In February 2021 a new Governance and decision arrangements framework was presented to Cabinet and agreed.</p> <p>Resources within operational service areas have been refocused on priority risk areas</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>← →</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>MODERATE 6</p> <p>Probability Unlikely 2</p> <p>Impact Medium 3</p>

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		of Statutory Compliance and a new administrative and contract management team for Statutory Compliance areas has been implemented.				
	<u>Ref:</u>	<u>Control Description</u>	<u>Status</u>	<u>Owner</u>		
	2012/2 PROP001	Asset Management Framework is reviewed annually	In place/ embedded	J Scholes		
	2012/2 PROP002	Governance and Performance Framework is a key deliverable in the service plan	In progress/ taking effect	G Massey		
	2012/2 PROP003	A 5-year programme of individual asset plans for all council assets has been developed and is underway	In progress/ taking effect	J Scholes		
	2012/2 PROP004	5-year programme of individual Condition Surveys for all council assets	In place/ embedded	S Brown		
	2012/2 PROP005	Annual Premises Reviews to 100% of managed estate	In place/ embedded	S Brown		
	2012/2 PROP006	Planned Preventative Maintenance plans to align with Asset Plans	In progress/ taking effect	S Brown		
	2012/2 PROP007	Dedicated resource to Statutory Compliance – administration, contract management and operational service provision	In place/ embedded	S Brown		


Risk Ref: 2021/03 Category:	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p>Maintenance of ETE Assets</p> <p>Failure to maintain our assets could lead to significant fines; significant litigation; decreased staff morale; reputational damage; HSE investigation</p>	<p>Tim Gregory</p> <p>Director of Environment, Transport and Economy</p>	<p>Representatives from ETE, 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.</p> <p>Derbyshire's approach to Highways Asset Management has been developed using the recommendations made within the 2013 Highways Management Efficiency Programme (HMEP) Highway Infrastructure Asset Management Guidance and is the basis of the Council's approach to delivering best practice, as set out in the 2016 Code of Practice for Well-Managed Highway Infrastructure.</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>← →</p>	<p>EXTREME 15</p> <p>Probability Possible 3</p> <p>Impact Very High 5</p>	<p>MODERATE 6</p> <p>Probability Unlikely 2</p> <p>Impact Medium 3</p>


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		<p>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.</p> <p>A Corporate Property Asset Management Framework is in place.</p> <p>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.</p>				
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	To be added	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			In progress/ taking effect	J Gould

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		<p>on investing in long-term planned maintenance instead of short-term repairs. Documentation is reviewed biennially.</p> <p>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.</p> <p>Environmental Management System (EMS) - ISO 14001 Certification – Yearly Audit programme and three yearly recertification</p> <p>Quality Management System (QMS) – ISO 9001-2015 Certification - Yearly Audit programme and three yearly recertification</p>	<p>In progress/ taking effect</p> <p>In place/ embedded</p> <p>In place/ embedded</p>	<p>J Gould</p> <p>J Gould</p> <p>A Glithero</p>
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Risk Ref: 2018/5 Category	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Failure to understand or respond adequately to new or changing legislation and regulation</i></p> <p>Lack of knowledge and understanding of Departmental 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.</p>	<p>Helen Barrington</p> <p>Director of Legal and Democratic Services</p>	<p>This corporate risk is under review by the new Director of Legal and Democratic Services.</p> <p>The risk scores are unchanged from the previous report until the review is complete and an informed assessment is made.</p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>		<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p>MODERATE 10</p> <p>Probability Unlikely 2</p> <p>Impact Very High 5</p>
	<p>Ref:</p> <p>To be added</p>	<p>Control Description</p> <p>Under review</p>			<p>Status</p>	<p>Owner</p>

Risk Ref: 2018/4 Category: Strategic	Risk Owner	Progress Update	Previous Risk Score	Movement Direction	Current Risk Score	Target Risk Score
<p>Risk Description</p> <p><i>Ineffectual workforce planning</i></p> <p>A failure to recruit and retain experienced staff; a lack of succession planning in order to ensure effective continuity of key skills and knowledge at all levels including leadership skills. Resulting in unfilled posts, accepting a lower calibre of staff, increasing training requirement to upskill new staff, vital knowledge lost leading to service delivery issues</p>	<p>Emma Crapper</p> <p>Director of Organisation Development and Policy</p>	<p>Aligned to the development of the council's people strategy, core people priorities have been defined which include focus on the attraction and retention of the workforce and responsive workforce plans.</p> <p>A review of recruitment services is underway, however its timescales have been impacted through the council's focus on community testing and the resultant large-scale recruitment requirements.</p> <p>A current review of the council's learning and development strategy, includes consideration of the organisation's approach to succession planning and performance management which will central to our future</p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p></p>	<p>EXTREME 25</p> <p>Probability Almost Certain 5</p> <p>Impact Very High 5</p>	<p>MODERATE 9</p> <p>Probability Possible 3</p> <p>Impact Medium 3</p>

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		<p>workforce planning approaches.</p> <p>In conjunction with the LGA, an assessment has been undertaken of the council's current approach to workforce planning in readiness for developing the future activity which is required to support delivery of more responsive workforce plans.</p>				
	<u>Ref:</u>	<u>Control Description</u>			<u>Status</u>	<u>Owner</u>
	To be added	<p>In conjunction with LGA, evaluation and development of the council's strategic workforce planning approach supported by consistent establishment controls that enable effective forecasting, resourcing solutions and development of departmental L&D plans (including succession planning and career/learning pathways).</p> <p>Deliver improved proactive recruitment campaign management and strategic recruitment advice considering the future needs, values and behaviours of the organisation. Be more active in the recruitment marketplace on the council's journey to becoming an employer of choice.</p>			In progress/ taking effect	J Skila
					In progress/ taking effect	J Skila

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Corporate Impact Assessment Criteria of Risk Category										
Scale	Description	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, eg other sources or avenues would not be available to stakeholders
2	Low	£2,500,000 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

Likelihood Assessment Criteria

Scale	Description
5	ALMOST CERTAIN: The event is expected to occur or occurs regularly (monthly)
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)

Risk Score Matrix (Impact x Likelihood)

Likelihood	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		Impact				

