

Strategic Risk Register 2009

SCORE IS GREATER THAN, OR EQUAL TO 8

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
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CEPT 002/06	CEPM	Inability to deliver key services as a result of specialised staff being absent or leaving.	CEPT	3	3	9	3	2	6	Mar-09				PPMO left 20/02/09 - PLO post ends 31/03/09. Action Plan produced 25.03.09 to be completed by 30.06.09.
CSO 004	Comm Safety	Staff contaminated by syringe or toxic waste	Rangers	5	2	10	5	1	5	Mar-06	Oct-06		HS	Link to Strategic risk SR19, but to be retained as operational risk
CSO 005	Comm Safety	Child Protection & duty of care of young people	All C/S staff	5	2	10	5	1	5	Apr-08	N/a			Strategic Risk - being addressed at Corporate level, but needs monitoring at dept level as well
CSO 006	Comm Safety	Lack of external funding	CSP & N.MGT	5	3	15	5	2	10	Apr-08	n/a			Strategic Risk - being addressed at Corporate level, but needs monitoring at dept level as well
CSPD 002/05b	Head of Customer Service & Performance	Insufficient training on software for management and systems administration	Customer Service and Performance	3	3	9	3	2	6		n/a			Training on specialist software being provided - Programme in place
CSPD 014/05	Head of Customer Service & Performance	Break in/ Theft/ Vandalism to contents and building	Contact Centres Area-based one-stop service	3	3	9	3	3	9		n/a			Risk Assessment revisited in Jan 2009. New judgement made. See CSPD 01/09
CSPD 04/08	Customer Service & Performance Manager	All CSPD staff (Sherwood Lodge based & Contact Centres) need to understand fire evacuation procedures to avoid the risk of being caught in a burning building.	All CSPD staff (Sherwood Lodge-based & Contact Centres) need to understand their responsibilities in the event of a fire whether its ordinary members of staff or as trained Fire Marshals	4	2	8	4	1	4				HS	Fire Drill in place, 2 trained Fire Marshals in place, regular fire evacuation tests carried out, 'lessons learnt' fed back to Chief Fire marshal and H & S Officer after each test & alarm. Low likelihood and comprehensive arrangements to address any shortfall in Fire Drill. An annual reminder for all CSPD staff of the fire drill process would further strengthen those arrangements.
CSPD 07/08	Customer Service & Performance Manager	All CSPD Officers (Sherwood Lodge-based & Contact Centres) need to understand the importance to the authority of implementing Risk-based decision making and the consequences of failing to implement this approach to Council business.	The Head of Service needs to ensure that all relevant staff understand the authority's approach to managing Business Risk and it's objectives	4	2	8	4	1	4					Ensure that RAs are in place for irregular activities by contacting managers. E.g. P Brown for Chauffeuring, L Hickin for Fireworks, etc. Generic RA to be produced to cover events management within the dept to cover, lifting/ handling, public liability, fire safety, etc.
CSPD 08/08	Customer Service & Performance Manager	Lone Working – All those staff that may at some time being working alone, in the District, may be vulnerable to attack (verbal and/or physical), kidnap, theft of personal or Council property, hate-crime harassment, etc	The Head of Service needs to ensure that all relevant staff are aware of the dangers and the importance of following safe-working processes.	4	2	8	4	1	4				HS	Personal job-specific risk assessments are undertaken and appropriate action taken
ENV5	Environmental & Depot	Failure to Reduce the Number of Accidents & Days Lost due to Accidents to the Best in Class for the Depot and Street Services	Depot & Street Services	3	3	9	3	2	6	31/10/2006	31/10/2006		HS	Health & Safety Improvement Plan in place with key milestones up to 2008/9. Plan being monitored by SMT.
ENV6	Environmental & Depot	Failing to protect employees from Health and Safety risks of Hand Arm Vibration, Hazardous Substances, Work Equipment, Noise, Manual Handling, Working at Height	Depot & Street Services	3	3	9	3	2	6	31/12/2008			HS	Policies and guidance in process of drafting & approval, interim measures in place

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ENV7	Environmental & Depot	Meden Valley Making Places 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing	01/04/2011		PS	Partnership
ENV8	Environmental & Depot	Meden Valley Making Places 2. Performance	Failure to deliver renewal programme	4	2	8	4	2	8	ongoing	01/04/2011		PS	Partnership
ENV12	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV13	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 2. Performance	Failure to deliver agreed services	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV15	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 4. Financial	Insufficient capital funding to meet the council's contribution to the agency resulting in failure to meet agreed objectives/outcomes within service level agreement. Supporting People reduce financial support resulting in further financial input by the Council	4	2	12	4	3	12	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV30	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	4	3	12	4	3	12	ongoing		N	PR	
ENV31	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 3. Financial implications	Inadequate budgetary provision and failure to deal with mandatory applications for grant. Ombudsman involvement. Impact on other private sector housing capital projects	4	3	12	4	3	12	ongoing		N	PR	

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ENV33	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	2	4	8	2	4	8	ongoing		N	PR	
ENV34	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 3. Financial Implications	Inadequate budgetary provision to meet demand. Ombudsman involvement. Provides HIA support. Funds Capital salaries.	3	4	12	3	4	12	ongoing		N	PR	
HRO 2005/05	Health & Safety Officer	Failure to Reduce the Number of Accidents & Days Lost due to Accidents to the Best in Class	HR	3	3	9	3	2	6	31/10/2006	31/10/2006		HS	Health & Safety Improvement Plan in place with key milestones up to 2008/9. Plan being monitored by SMT.
HRO 2005/10	Senior Training Officer	Deliver a Leadership/Management Development Programme for Each Level of Management	HR	3	3	9	3	2	6	31/03/2009	31/03/2009		HS	Senior and Middle Managers Leadership Development Programme Complete. Junior Managers and Team Leaders underway All training programmes complete. Training is ongoing until March 2010
HRO 2007/04	Health & Safety Officer	Inadequate arrangements in place re. revising Health & Safety Policies	HR	4	2	8	4	1	4	31/03/2008	31/03/2008		HS	
HRO 2007/05	Health & Safety Officer	Failing to protect workers from potential workplace or work related violence, failing to protect the council and employees from the actions of visitors	HR	3	3	9	3	2	6	31/03/2008	31/03/2008		HS	
HRO 2007/06	Health & Safety Officer	Failing to ensure adequate means of undertaking audits, inspections, accident investigations and risk assessments	HR	4	3	12	4	1	4	31/12/2008	31/12/2008		HS	Policies, procedures, audit and management systems have been reviewed and improved over 2008
HRO 2007/07	Health & Safety Officer	Not having adequate fire safety management systems in place to manage fire risk	HR	4	3	12	4	1	4	30/09/2008	30/08/2008		HS	Fire safety policy in place. Fire risk assessments completed and under review. Premises arrangements completed and under review.
HRO 2007/08	Health & Safety Officer	Failing to protect employees from Health and Safety risks of Hand Arm Vibration, Hazardous Substances, Work Equipment, Noise, Manual Handling, Working at Height	HR	3	3	9	3	2	6	31/12/2008	30/08/2008		HS	Policies and guidance in place, training and training programmes being delivered / developed
HRO 2007/09	Health & Safety Officer	Not having an updated means of managing the risks associated with Display Screen Equipment (computer workstations)	HR	3	3	9	3	1	3	30/09/2008	30/09/2008		HS	New policy and guidance adopted
HRO 2007/10	Health & Safety Officer	Not having adequate means to manage the risk from exposure to asbestos	HR	4	2	8	4	1	4	31/09/2008			HS	Revised draft Policy and Guidance circulated. Awareness training programme and management training complete. Additional task training required.

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HRO 2007/11	Health & Safety Officer	Failure to implement the HSE's Stress Standards in revised policy documentation for stress management	HR	3	3	9	3	2	6	31/12/2008			HS	Drafted, circulated, being piloted by Housing and Planning, extensive amendments suggested by HOS group
Hou 004/05	Head of Housing	Loss of life/injury due to carbon monoxide poisoning	Repair & Maintenance	5	2	10	5	1	5	Procedure by Sept 2006	Sep-06		HS	Procedure agreed - not tested in practice
Hou 006/5	Head of Housing	24 hour Central Control Service interrupted (note central control provides cover for other sections of authority)	Housing Services	5	3	15	5	1	5	April 2007 - Subject to capital bid.	May 2007 - backup installed			Bid successful - equipment procured and installed Q1/07. Risk to be removed
Hou 007/05	Head of Housing	Lone Worker threat	Housing Services	4	2	8	4	1	4	Ongoing			HS	Ongoing. Link to SR19
Hou 009/05	Head of Housing	Legionella outbreak in sheltered housing scheme	Housing Services	4	2	8	4	1	4	Guidance revised Sept06			HS	Guidance restated Oct 06 - Sep 08 Monitoring continues
Hou 0011/05	Head of Housing	Failure to meet Decent Homes Standard within Govt Timescales	Housing Services	5	2	10	5	1	5	Ongoing until 2010				Monitoring group established. Sep 08 - Consultancy commissioned confirms on track. Options for Tarran bungalows
Hous 0013/05	Head of Housing	Increase in homelessness to point where there is insufficient accommodation	Housing Services	3	3	9	3	1	3	April 2007 - subject to revenue bid & external funding	December 2006 - succeeded by Hous 003/06			Report to council December 2006 - agreed use of existing stock. Additional measures within SDP for 2007/8
Hous 0014/05	Head of Housing	Failure to meet new Fire Safety Standards (following regulatory reform order) in Group Dwellings	Housing Services	4	2	8	4	1	4	Ongoing	Mar-09			To be addressed at Capital Programme. Sep 08 - work completed Q3/08.
Hous 001/06	Head of Housing	Reliance of microfiche system	Housing Services	3	4	12	3	4	12	Dec-09		A		Budget bid unsuccessful - risk remains unacceptable (with system would be likelihood of 2) Link to SR17. Spe 08 -Bid successful implementation commenced (when in place risk will reduce)
Hous 002/06	Head of Housing	Loss of Supporting People Contract	Housing Services	4	4	16	4	2	8	Sep-09		A		Activities with housing SDP for 2007/8 to obtain accreditation for service. For 2007/8 SP team only offering 1 year contract. Risk rescored Dec 08 - SP are looking to review of all services together with move to individual contracts. BDC must ensure service meets new guidance, and obtains external accreditation for quality.
Hous 004/06	Head of Housing	Asbestos in council property	Housing Services	4	3	15	4	1	5	01/04/2010 *(revised)		A	HS	Asbestos database purchased - access to be available to contractors. Sep 08 - Additional surveys needed - asnd build linke with new asbestos policy.
Hous 005/06	Head of Housing	Insurance risk / not sustainable garage sites	Housing Services	3	4	12	3	2	6	Ongoing				Risk based surveys to be completed at all sites. Policy agreed by council. Proceeds from disposals to assist HOU011/05. Sep 08 - Survey and assessment complete - to report to HSMG and members.
Hous 006/06	Head of Housing	Attack on Street Cash Collector	Housing Services	4	3	12	4	3	12	31.03.06			HS	Political decision not to progress the action at the present time.
Hous 002/08	Head of Housing	Failure of stores project	Housing Services	3	3	9	3	2	6	Jul-09		N		Safeguards built into plan - robust business case etc and use of either internal stores (no current risk recorded from Street Services) or established external supplier. Likelihood increase due to curttual changes needed if external contractor appointed
AIT/2006/023	Head of ICT	No policy or guidance for the identification and storage of corporate records	ICT Services	3	3	9	3	3	9	31/03/2006	31/03/2006			Political decision not to progress the action at the present time. Unsuccessful bid for Records Management system.
AIT/2007/024	Head of ICT	Damage to Corporate reputation if illicit images stored on network	ICT Services	3	3	9	3	1	3		Jun-08			Audit of network has taken place and Heads of Service informed where there is an issue in their Departments.
Leg/2005/10	Sol	Time Management System is no longer supported	Legal/Licensing	3	5	15	3	5	15	31/12/2008				An alternate method of time recording without the use of Timebase is being considered.
Leg/2005/11	Sol	Number of employee and member conduct related hearings increases beyond current levels.	Legal/Licensing	4	3	12	4	3	12					Cannot put in place any controls to lessen either impact or likelihood

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Regen 3	D Eccles	Lack of maintenance of roads, footpaths etc causing injury	Consultancy Services	3	3	9	3	2	6	01/12/2008		A	HS	Full survey undertaken and included within asset management plan. Update May 08, under review only difficulty will be lack of funds to undertake work. Depends on adjustments to capital programme - will update next quarter. Sept 2008 - awaiting further deliberations with finance as to funding of further capital works. January 2009 update - process identified now through asset management group. June 2009
Regen 6	D Eccles	Accident or injury from dangerous structures	Engineers	4	2	8	4	2	8	1st Sept 2008	On going see notes		HS	Being review as part of emergency planning process. Review 30th November 2006. Feb 2007 raised as part of business continuity- awaiting corporate decision. June 2007 No further action as yet. Up date 4th Dec 2007 - further fire risk assessment work on going. Tim Walker working on evacuation plan. Insurers assessors visited and advised Vale house probably presents a problem as it could block the road. Talking to Conservation about possible demolition. Update May 2008 - work arranged on site at Pleasley Vale Mill. Partial demolition to be completed over next month. Work completed at PV Mills - just generally to keep this risk under review
Regen 7	D Eccles	Injury at Pleasley Vale Mills	Property Management	4	3	12	4	3	12	1st Sept 2008	On going see notes	A	HS	Recent approval for extensive repairs and addition of new lift to Mill 1, and car park to Mill 1. Fire risk assessments undertaken and asset management capital and revenue bids submitted. Feb 2007 large amount of capital work underway, fire officer has visited Mill 1 and offered recommendations June 2007 as above - also flood damage being examined and further work may be required. May 2008 update - extensive survey undertaken of culvert of Mills, high cost over £100,000 to rectify silt build up. Will be considered as part of future proposals for Mills - will keep under review. June 2009 update - recent review of external area undertaken by LSO, and risk assessed, being attended to by LS staff and consultancy services.
Regen 8	D Eccles	Commercial management at Pleasley Mills	Property Management	4	3	12	4	3	12	1st July 2009	On going see notes	A		Update produced, audit review undertaken, debt reviewed more regularly documents being prepared for EU tender of commercial management. Review 30th November 2006. Review 30th November 2006. Feb 2007 recent Council report now allowing for risk sharing/disposal options to be considered. Also Innes England instructed on outstanding debt and improved marketing June 2007 update - under constant financial review, development brief being prepared with the intention of securing the long term future of the mills. This includes the possibility of attracting a private sector partner. Up date 4th Dec 2007 Saville's appointed to handle searching for partner. Historic debt being reviewed constantly as well. May 2008 update - reasonable out turn although increase in power charges. Looking actively at future options to obtain investment from the private sector. Sept 2008 property in the process of going out to the market, decision on management taken after this. June 2009 update - some interest in Mill sale being pursued by Savills, also looking into testing the market with current financial arrangements
Regen 9	D Eccles	Legionella control	Facilities management/ Other services	4	2	8	4	1	4	1st June 2007	On going see notes	A	HS	Sampling regime being reviewed, new risk assessments taking place, training programme being drawn together. Up date by 30th November 2006. Plan produced and additional training implemented. Creswell being constantly sampled and reviewed (currently closed) and is the subject of a report to full council 4th April. June update - dosing equipment installed at Creswell and centre now open - work proceeding at other sites. 4th Dec 2007 update. Work at Creswell complete, majority of work complete on Legionella plan - responsible persons on site now identified, further training ref housing issues to take place shortly. May 2008 - Now dealt with through Legionella group June 2009 update - further legionella training to take place this month. New risk assessments being carried out.

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Regen 10	D Eccles	Flooding to Pleasley Business Park	Adverse effect on tenants businesses affecting power and access	4	2	8	3	2	6	1st Sept 08	1st Sept 2008			Some measures have / will be introduced to reduce the impact of flooding such as watertight panels to secure over openings to units and critical areas such as sub - stations. Ensuring that watercourses are kept clear. <i>May 2008 update See earlier note on culverts under accident occurrence. This relates to incidents of damage caused by heavy rainfall. Incident occurred late April, fetched ceiling tiles off again. Tim Robinson looking at possible remedial work. Sept 2008 - taken through SMT no further action</i>
Regen 13	Head of regeneration/Health and Safety Officer	Asbestos Management	Managing asbestos within council buildings and on council property. Controlling exposure of employees and others to asbestos.	4	2	8	4	2	8	Quarterly review by AMG		A	HS	Introduction of new policies procedures and working methods. New system for identifying, assessing & managing asbestos materials that the council has responsibility for. To be monitored by Asset Management Group. June 2009 update - training of key staff recently taken place, new surveys being undertaken, roles being defined.
Regen 12	D Eccles	LEGI - not requirement for forward strategy	Regeneration	3	3	9	2	2	4	1st Sept 2009		A	PS	Appointment of new Project Director required - should take place in March. June 2009 update - All workstreams reviewed. New appointment of director - totake up post in July
PLA/2005/1/a	Head of planning	Planning decision on application or enforcement case based on faulty or unustifiable judgement, or legal failing, leading to judicial review	Planning	2	4	8	2	3	6	Mar-07	13/07/2007			Split PLA/2005/1 into two separate risks. New Action Plan prepared 30.11.07
PLA/2005/2/a	Head of Planning	Legal challenge to a development plan document or other statutory plan	Planning	3	3	9	3	2	6	Mar-06	25/01/2008			
LEI007	Leisure Operations Manager	Unexpected downturn in fees, charges & grants income	Leisure	4	2	8	4	1	4	Mar-06	07/03/2006			EXISTING CONTROLS: Monitor income on a monthly basis. Have as many 3 rd party funders as possible. Re-adjust expenditure to compensate for income. ADDITIONAL MEASURES: Monitor income daily with income trackers. Response to slumps will be quicker. Facilitate greater marketing activity to ensure targets are hit. Improve our service standards to improve our retention and loyalty.
LEI009	Leisure Operations Manager	Legionella found in Council sport & leisure buildings	Leisure	4	2	8	4	1	4	Oct-06	Rec'mnded measures complete - monitoring ongoing -dosing system now fitted to water system to prevent legionella formation - new risk assessment now created following the works. Re-opened and operational from May 2007			HS Covered by SR23 (new strategic risk created) EXISTING CONTROLS: Adherence to section 22 of leisure services h & s manual. Annual super chlorination of water systems at leisure centres. Monthly de-scale of shower heads – via monitoring sheet. Daily shower flushes – via daily operational checklist. Monitoring of temperatures of water storage vessels – via Elyo monthly inspections. Chemical dosing system now in place. ADDITIONAL MEASURES: Respond to advice following external legionella risk assessment.

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LEI010	Leisure Operations Manager	Injury to staff or members of the public resulting from defective & damaged buildings, fixtures & fittings.	Leisure	4	2	8	4	1	4	Mar-07	Mar-07	HS	<p>Covered by SR8 & SR19</p> <p>EXISTING CONTROLS: Recorded buildings, fixtures and fittings checks. Public and employee liability insurance in place. Asset Management Plan incorporating Planned Maintenance Programmes. Contract with specialist property maintenance contractors.</p> <p>ADDITIONAL MEASURES: Corporate approach to asset management – ie capital bidding cycle done collectively.</p>	
LEI011	Leisure Operations Manager	Injury from control, handling or use of chemicals & other toxic substances deemed hazardous to health	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use - request New target date Sep 09	A	HS	<p>Covered by SR19</p> <p>EXISTING CONTROLS: COSHH complaint procedures and working practices in place. COSHH training for staff. Public and employee liability insurance in place. Secure – non public storage areas provided.</p> <p>ADDITIONAL MEASURES: "Toolbox talks" training matrix to be introduced – a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere.</p>
LEI012	Leisure Operations Manager	Staff or members of the public contracting a disease, injury or poor health due to adverse hygiene, sanitation & environmental conditions	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use - request New target date sep 09	A	HS	<p>EXISTING CONTROLS: Public and Employee Liability Insurance in place Ongoing monitoring of environmental conditions in all sport & leisure buildings Ensure an effective cleaning regime is in place in all leisure buildings especially in hygiene critical areas like changing rooms, showers and toilets.</p> <p>ADDITIONAL MEASURES: "Toolbox talks" training matrix to be introduced – a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere</p>
LEI014	Leisure Operations Manager	Financial loss due to wet weather cancellation of outdoor events & activities	Leisure	4	2	8	4	1	4	Mar-07	Events consultation moved back pending discretionary services review - review complete - report to go to exec 26/1/09 Rport now gone to exec - events officer and main fireworks event will no longer exist amongst others.	A		<p>EXISTING CONTROLS: Take out 'Pluvius' Insurance where appropriate. Have as many 3rd party funders tied in as possible. Re- adjust expenditure levels to compensate for reduced income.</p> <p>ADDITIONAL MEASURES: Review events profile – i.e. spread the risk by holding/assisting a series of smaller events</p>

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LEI015	Leisure Operations Manager	Transporting participants to and from activities	Leisure	4	2	8	4	1	4		2 staff now qualified Nov 06 - 3 additional staff identified for training as part of 08 training requirements - will be trained by Mar 09 this has been delayed - looks likely to be Sep/Oct 09	A	HS	EXISTING CONTROLS: Public and employee liability insurance in place Transport procedures in place. ADDITIONAL MEASURES: Drivers to undertake MIDAS training course
LEI016	Leisure Operations Manager	Injury to staff or members of the public from incorrectly used, defective or damaged plant, equipment, tools & materials	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use -request New target date Sep 09	A	HS	Covered by SR8 & SR19 EXISTING CONTROLS: Public and Employee Liability Insurance in place Recorded plant, equipment and tools checks undertaken Service contracts in place where appropriate Ensure staff are trained in the safe set up and use of plant equipment, tools and materials. ADDITIONAL MEASURES: Toolbox talks training matrix to be introduced - a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere.
LEI024	Leisure Operations Manager	Partnership working - includes the following partnerships: Bolsover Baths Bolsover Countryside Partnership Bolsover District Cultural Forum Bolsover District Play Partnership Bolsover District school sports partnership Bolsover District Sports Partnership Bolsover Ngage partnership BSF extended services Creative Partnerships Derbyshire sport Partnership Frederick Gent Partnership Greenhouse partnership Greenspace forum Living Literacy Partnership SHBK MEM sports ground committee Wellness Partnership Community Sports Action Groups Derbyshire Leisure Officers Group Local Football Partnership North Derbyshire Disability Sports Partnership.	Leisure	4	2	8	4	2	8	Quarterly review			PS	Partnership Agreement / Service level agreements / Concordats which should include as a minimum: <ul style="list-style-type: none"> The name of the partnership & the individual partners. Indicate legal status of the partnership Indicate geographical area covered by the partnership The long-term vision for the partnership and also its objectives. Performance indicators Longevity of the partnership Compliance with key legislation The protocols for sharing information The roles, duties and responsibilities of partners The resources required and describe how they will be provided (and by whom) The ownership of assets The decision-making process The secretariat role How the partnership will monitor and evaluate activities The organisational structure A Time-line setting out key milestones The management structure The Accountable Body Partnership capital Income and expenditure Grants and funding Banking and financial arrangements Accounting arrangements Insurance policy information Results of the partnership risk assessment Circumstances necessary to expel a partners Dispute resolution and complaints procedures (between partners) Procedures for breach of protocol Termination provisions
PR4	Head of Shared Procurement Unit	Bankruptcy / administration of key suppliers on contracts managed by SPU	SPU	4	2	8	4	2	8	Quarterly review	Mar-08			Procedures in place for robust supplier selection and management. PQQ evaluation now augmented by Experian credit checks and financial monitoring
PR8	Head of Shared Procurement Unit	Poor performance / cost increase / poor standards from suppliers	SPU	4	2	8	4	2	8	Quarterly review	Mar-08			Procedures in place for robust supplier selection and management. PQQ evaluation now augmented by Experian credit checks and financial monitoring
PR9	Head of Shared Procurement Unit	Lack of adherence to EU Procurement Rules	SPU	2	4	8	2	2	4	Mar-08	N/A			Training for staff. Publicity for SPU advising staff to speak to SPU if concerned about any procurement issue.

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REV1	Head of Revenue Services	Loss of Housing and Council Tax Benefit Subsidy	Loss of income to the Council	3	3	9	3	2	6	Mar-09			Introduce Monthly Subsidy Reconciliations/ Checking/ Scrutinising of critical subsidy cells	
REV2	Head of Revenue Services	Write-off of NNDR which cannot be reclaimed from the National NNDR Pool	Cost to the Council	3	3	9	3	2	6	Mar-09			Re-instatement of links/contacts to identify new/occupied/unoccupied businesses. Problem post now filled which when fully effective will minimise risk. Management checks put in place to ensure adherence to procedures	
SR1	SMT	Capacity issues	Insufficient human resources to deliver council services	4	2	8	4	2	8	Quarterly review			Likelihood score reduced to reflect additional capacity provided through, e.g. new Housing Department, recruitment and retention policies, reduced sickness, collaboration, etc. SMT continuing to monitor	
SR2	SMT	CAA, LAA, SNR	Loss of funding / trading / other powers Increased inspection regime	4	2	8	4	2	8	Annual Review			Risk re-assessed from CPA to reflect current issues and ongoing uncertainties in new Inspection and assessment regime	
SR4	SMT	Single Status	Process may require resources the Council cannot afford	4	4	16	4	3	12	Quarterly review			Implementation Plan in place and being monitored by SMT. Results issued - implementation date expected April 2009	
SR5	SMT	Budget / efficiency pressures	Inadequate financial resources to deliver the Council's vision and inability to make efficiencies	4	4	16	4	4	16	Quarterly review			Risk score increased to reflect challenges of both budgetary pressure needing £1.1m of savings / efficiencies in 2009/10 and the need to deliver £1.8m of efficiencies following CSR 07. Also includes current unknown and anticipated costs of energy, job evaluation, etc	
SR7	SMT	Inadequate Risk and Business Continuity Management	Full or partial loss of services Disruption of essential services	4	2	8	4	2	8	Quarterly review			Scores reduced to reflect how Risk Management and Business Continuity arrangements continue to be embedded	
SR8	SMT	Asset management	Long term running costs for assets not budgeted for	4	2	8	4	2	8	Quarterly review			Score reduced to reflect co-ordinated Asset Management Plan approved April 2007 and continual review of new monitoring arrangements for effectiveness. Processes have improved but budget pressures make delivery of AMP difficult to achieve	
SR9	SMT	Workforce related issues	Major industrial action to sickness epidemic	4	2	8	4	2	8	Quarterly review			Score reduced as it is accepted that this risk fluctuates dependant upon current issues. At present time likelihood of strikes has reduced. However ongoing risks associated with pay negotiations and continuing BCM arrangements, e.g. flu pandemic	
SR12	SMT	Services failing to meet customer needs	Services not delivering the appropriate services/not meeting customers needs	3	3	9	3	2	6	Quarterly review			Service standards being developed	
SR13	SMT	Failure to meet / deliver corporate requirements / initiatives	e.g. E Government, Change Management, NRF delivery, etc	4	2	8	4	1	4	Quarterly review			Score reduced to reflect recent changes. Continue to monitor with current arrangements and external funding streams	
SR16	SMT	Fraud and Corruption	Actual and perceived	4	2	8	4	2	8	Quarterly review			No change to scores but noted that good reports and no specific issues identified by Audit Commission or Internal Audit. Recent results positive - Best Value reviews, Chartermark award. Under performing areas, e.g. rent collection being monitored	

Strategic Risk Register 2009

SCORE IS GREATER THAN, OR EQUAL TO 8

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
SR17	SMT	ICT Disaster recovery	Loss of key communication and technology systems and records due to malicious acts, viruses, loss of building, etc	3	3	9	3	3	9	Quarterly review				Disaster recovery arrangements currently being investigated - revised per AIT/2006/022 - work in progress analysing variety of options working in collaboration with CBC and NEDDC. Site has been identified; operational strategy to be implemented. IT Strategy Group monitoring progress.
SR19	SMT	Health and Safety of Employees	Risk of injury or abuse of staff inside and outside the office environment. Including lone working.	3	3	9	3	2	6	Quarterly review		HS	Risk concerns potential injury or abuse of employees inside or outside the office environment, taking account of lone worker, home working and other protection arrangements being addressed by a number of corporate policies. Monitor to ensure effectiveness and embedding into normal operations.	
SR20	SMT	Transport / Council Vehicles	Motor Accident / Failure to provide fleet vehicles.	3	3	9	3	2	6	Quarterly review			Risk concerns motor accidents, failure to provide a fleet of vehicles, damage to vehicles at depots and on site, fuel shortages, etc. Local insurance claim trends currently being investigated by BRG	
SR21	SMT	Loss of Manual & Electronic records	Failure to retrieve records	3	3	9	3	2	6	Quarterly review			Score increased to reflect recent national incidents where loss of personal data has occurred. Risk also concerns failure to retrieve manual and other records held in "redundant" IT systems, damage to or loss of paper records, including at Pleasley Mills archive. Specific action being taken to assess arrangements to ensure data quality and safety.	
SR23	SMT	Legionella found in Council Buildings	Outbreak of Legionella due to inadequate controls & inspection regime	4	2	8	4	1	4	Quarterly review		HS	Implement inspection regime at all properties. Annual super chlorination of domestic water systems. Monthly de-scale of shower heads – via monitoring sheet. Daily shower flushes – via daily operational checklist. Monitoring of temperatures of water storage vessels – via Elyo monthly inspections. Chemical dosing system if persistent problem. Undertake Legionella risk assessment and respond promptly to recommended actions. Situation continues to be monitored by Legionella Working Group.	
SR25	SMT	Third party claims resulting from Slips Trips & Falls	Injury to person and/or property	4	2	8	4	1	4	Quarterly review			Review of local claims trend analysis recently undertaken and follow up investigation ongoing	
SR 28	SMT	Contractor Failure	In view of the current economic crisis, monitoring arrangements have been established for regular review of the credit worthiness and ability of Contractors undertaking work for the Council to complete their obligations	3	3	9	3	3	9	Quarterly review			Monitoring is currently being undertaken by the Procurement Section	
Total number of risks						88								