Appendix 2

STRATEGIC RISK REGISTER As of November 2020

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR1 **Government Legislation / Parliamentary uncertainty / impact of Brexit / adverse external economic climate has an accelerating impact on Council (poor financial settlement), or upon the local economy, to which Council is unable to adopt an appropriate change of Strategic direction.**		- Unable to deliver a package of services that meet changing local needs and aspirations. - Reduced influence over delivery of local services. - Unable to effectively support local communities. - Increased demands on Council services at a time when Council resource base is reducing.			- The Council is outward looking and actively works to understand proposed changes and the approaches that might be adopted to mitigate any adverse impacts of these. - The Council has effective political and managerial (governance) arrangements in place to manage change. - Appropriate levels of financial reserves / investment funding are maintained to fund strategic shifts in service delivery. - Effective engagement with staff to ensure they embrace necessary change.				
STR1	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	4x4	**16**	**Residual Risk Score** (Likelihood x Impact)	3x4	**12**	Risk Owner / Lead Officer	SAMT / Political Leadership

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STR2 **Failure to deliver a balanced budget in line with the MTFP, at a time when the Council's reserves are limited to 'adequate' levels**		• Impact upon ability to deliver current level of services. • Unable to resource acceptable levels of service. • Significant adverse reputational Impact.			• The Council has effective financial and wider management arrangements in place to ensure budget / service delivery arrangements are robust. • The current MTFP indicates challenging but manageable savings targets. A key risk is that under 'localism' there is less certainty concerning income (NNDR, NHB). • The Council has 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year.			Revised budgets for 2020/21 have been updated as at 23/10/20 and they are balanced for general fund and the HRA. Work on the MTFP for 2021/22 onwards is underway and will be reported to Members in February 2021.	
STR2	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	4x4	**16**	**Residual Risk Score** (Likelihood x Impact)	3x4	**12**	Risk Owner / Lead Officer	Political Leadership / S151 Officer/ SAMT
STR3 **The Council is affected by an operational service failure which has a major impact upon the local community, this impact being reflected in the Council's sustainability and reputation. Failure could**		• A significant service failure associated with a major impact on the local community, leading to a wider detrimental corporate impact. • Deterioration in services to the public, potentially a major initial impact upon a local resident or a group of local residents.			• The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • The Council has a Performance Management Framework in place to help ensure that services are delivered in line with good practice				

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arise from services – inc Data Protection – failing to adhere to best practice. Resulting in a potential impact upon the Council's ability to secure its corporate objectives. Given the efficiency measures that have been introduced to date this is considered to be an increasing issue for the Council.		• Significant staff and financial resources required to resolve position, impacting on other services. • A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery			and industry standards. Ongoing monitoring and regular reporting will help ensure that any emerging issues re service performance are effectively identified and resolved at the earliest possible opportunity				
STR3	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	3x5	**15**	**Residual Risk Score** (Likelihood x Impact)	2x5	**10**	Risk Owner / Lead Officer	SAMT
STR4 **It becomes increasingly difficult to recruit to key posts or to replace key staff who leave (for example Environmental Health Officers). Staff morale is adversely affected by as a result of pace of change, tightening financial circumstances or external circumstances.**		• Deterioration in services to the public. • Increasing inefficiencies in service provision. • Weakening of Internal Control arrangements. • Increased pressure on other members of staff.			• The Council has effective communication and working with staff as validated by securing 'silver' accreditation at IIP. • There is sufficient funding to bring in agency staff where required to maintain service performance. • At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas it has proved possible to recruit appropriate replacement staff. • Appropriate training budgets are in place to ensure that staff receive				

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					necessary training to maintain service quality. • The Council will look at introducing appropriate apprenticeship / training schemes in order to develop employees to meet our requirements				
STR4	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	3x4	**12**	**Residual Risk Score** (Likelihood x Impact)	2x4	**8**	Risk Owner / Lead Officer	SAMT
STR5 **Delivery of the Council's Agenda is dependent upon effective delivery of both a number of major initiatives / projects and implementing a range of new government reforms whilst maintaining service quality, which may overstretch our reduced organisational capacity.**		• New initiatives are not delivered in a cost-effective manner. • Failure to maintain / improve services in line with local aspirations. • Failure to generate the savings required to balance the budget. • Financial savings measures weaken Governance / Internal Control arrangements. • Service deterioration / failure arising from capacity issues.			• The Council has effective prioritisation and project management arrangements in place to ensure resources are directed at key objectives. • The Council has made efforts to ensure effective use of employees by utilising shared services to protect service resilience, by maintaining appropriate training arrangements and by investing in transformational ICT projects. • The Council has a robust performance management framework intended to highlight emerging issues.				

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STR5	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	3x4	**12**	**Residual Risk Score** (Likelihood x Impact)	2x4	**8**	Risk Owner / Lead Officer	SAMT
STR6 **Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc. The Council is exposed to cyber crime with a loss of data / systems resulting in a potential inability to provide core services and incurring reputational damage.**		• Inability of Council to provide services as a consequence of a severe catastrophic external event (e.g. flooding, major terrorist incident, flu pandemic, fire). • Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams. • Business Continuity Plans prove ineffective in practice			• The Council works in partnership with a range of partners on its Emergency Planning arrangements to ensure that we operate in line with best practice. There is an annual 'desktop' scenario to test officers understanding of the arrangements and that they are fit for purpose in a realistic 'trial' scenario. • All sections have Business Continuity plans in place which identify key risks and mitigation. Corporate IT systems have been tested against Industry standards for Business Continuity. • The Council works in partnership with a range of other agencies that should be able to provide support in the event of the Council's own procedures failing to be effective. • The Council has put in place industry standard measures to minimise the risk of cyber crime.				

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STR6	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	5x5	**25**	**Residual Risk Score** (Likelihood x Impact)	5x3	**15**	Risk Owner / Lead Officer	SAMT
STR7 **Lack of strategic direction from Members / Corporate Management, external partners change Strategic direction**		• Failure to deliver high quality services which address national and local priorities. • Deterioration in Governance Arrangements. • Refocus of current services necessary with associated disruption			• There are appropriate structured training arrangements in place for both Members and Officers. • The Council is an outward looking organisation where both Members and Officers are encouraged to network with peer groups to ensure a developed awareness of the broader environment within which we operate.				
STR7	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	3x4	**12**	**Residual Risk Score** (Likelihood x Impact)	2x4	**8**	Risk Owner / Lead Officer	SAMT / Political Leadership
STR8 **Governance Arrangements including Performance, Finance and Risk Management need to be maintained in order to continue to operate effectively in a rapidly changing environment.**		• Adverse Impact upon Service Quality. • Failure to deliver high quality services which address national and local priorities. • Significant adverse reputational impact			• The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • The Council has an active Standards and Audit Committee which provide independent review of the Governance arrangements in the Council. • The Annual Governance Report sets out an evidence based structured assessment of the				

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					operation of the Council's governance arrangements.				
STR8	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	3x4	**12**	**Residual Risk Score** (Likelihood x Impact)	2x4	**8**	Risk Owner / Lead Officer	S151 Officer / Monitoring Officer / SAMT
STR9 **HS2 - Without considerable environmental mitigation measures, HS2 will have a significant impact on the visual amenity of the district, disruption to businesses, home owners and communities**		• Without considerable environmental mitigation measures will have a negative impact on the visual amenity of the district, disruption to businesses, home owners and communities. It also has the potential to sterilise areas of development due to uncertainty. • Following the release of the Working Draft Environmental Statement, potential impacts and land take have increased. Therefore the impact score has been adjusted to reflect this.			• Directors and senior management actively engaged with HS2 staff to discuss proactive business mitigation measures. • Political leadership working with relevant community groups and agencies lobbying for enhanced mitigation measures. • Contributing to the East Midlands HS2 growth strategy and also that we part of the mitigation study			Awaiting the outcome of the Government Review and the Integrated Rail Plan.	
STR9	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	4x5	**20**	**Residual Risk Score** (Likelihood x Impact)	4x5	**20**	Risk Owner / Lead Officer	SAMT / Political Leadership

Area Of Risk (Reference / Date)	Threats / Opportunities	Mitigation / Controls In Place / Actions Undertaken	Potential Further Action / Action Planned / When By Date
STR10 **Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.**	• Profile of safeguarding is poor • Staff and members do not know what safeguarding is and their role within it • Staff and members do not know how to spot the signs • Staff and members do not know how to report it and to who? • Lack of public confidence in Council policies plans and staff • Reputational damage • Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable Adults possibly leading to personal harm, injury and death	• The Council has in place up to date policies for safeguarding both Children and Vulnerable Adults. These policies are aligned to DCC policies which in turn are in line with legislation, regulation and statutory duties placed on Local Authorities. • The Council has in place and maintain systems of working practice to safeguard children and vulnerable adults at Council activities and those who receive Council services. • Staff recognised as appropriate to do, are DBS/CRB checked • All staff receive mandatory safeguarding training • Safeguarding is widely promoted and embedded throughout the organisation with all staff being issued with a wallet sized 'safeguarding quick reference guide' which details what to look out for and what to do • The Council has an internal safeguarding group which meets quarterly which has representation	

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					from all service areas of the Council.				
					• The Council host and Chair the Countywide Derbyshire Safeguarding Leads Sub Group of the Derbyshire Safeguarding Childrens Board and Derbyshire Safeguarding Adults Board				
					• The Council are represented on both the Derbyshire Safeguarding Children's Board (DSCB) and the Derbyshire Safeguarding Adults Board (DSAB)				
STR10	16/11/20	**Inherent Risk Score** (Likelihood x Impact)	5x4	**20**	**Residual Risk Score** (Likelihood x Impact)	4x3	**12**	Risk Owner / Lead Officer	SAMT / Political Leadership
STR11 **Failure to address the impact of COVID-19 upon the organisation, local economy and community**		• Inability to deliver services or service failure • Loss of income to the Council • Inability to provide safe working environment resulting in COVID contamination and infection • Adverse impact on employee health • Inability to change the Councils 'ways of working' to meet the current challenges			• The Council plays an active role in the Local Resilience Forum (LRF) and network of sub groups taking part in very frequent meetings and working to effectively and collectively tackle the impact of COVID within the County. This forum includes many agencies across the public sector spectrum including emergency services, NHS, Public Health and others (see strategic risk 6 also) • The Council has in place effective business continuity and emergency action plans which enabled the				

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	• Increased Cybersecurity and ICT related risk due to remote working increase • Inability to deliver strategic plans and ambitions • Inability to support local businesses and employers • Inability to support the community and in particular vulnerable people	effective and efficient deployment and diversification of resources to ensure service resumption, business and community support in the initial response phase of the COVID-19 pandemic • The Council have in place robust recovery plans which include the following; • **Maintaining Financial Control -** Development of financial resilience reserves and accessing govt. funding aimed at local authority support, service budget reviews, controlling expenditure, regular fees and charges reviews, furloughing staff as necessary • **Workplace Safety** – Return to work protocols and risk assessments, regular inspection, social distancing plans, protection and hygiene measures, PPE, staff testing, communication plan, staff related policy reviews, training and briefings, recognition of vulnerable employees • **New Ways of Working** – Virtual and remote working capability, digital workforce training, digital inclusion plans, remote and homeworking task group, homeworking policy review, website and online services capability review, managing teams remotely guidance	

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		• **ICT and Cybersecurity** – Evaluation of remote applications and tools, training and guidance, cybersecurity investment planning • **Front Facing Services** – Workplace safety as above, public interaction protocols, equipment such as 'sneeze, screens in place and face masks etc, floor markings and signage, social distancing measures, one way systems in facilities and public areas, NHS test and trace registration and materials in place • **Strategy and Plans Review** – Risk management, Transformation Programme, Digital, Climate Change, People, Growth, Tourism and Leisure are all strategies currently being reviewed • **External Recovery Plans** – Aimed at the local economy, business support and survival, includes channelling and distribution of business grants, council tax and business rates support, links to other bodies including; LRF Recovery Sub Group, D2N2 Recovery. There is also a key focus on Communities and the Council's engagement and support with them including Parish Councils, voluntary sector and partners at all levels in the restoration and recovery challenge	