

Corporate Risk Register

REF	RISK DESCRIPTION (HEADLINE)	RISK CAUSE	RISK EFFECT	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING			FURTHER ACTION REQUIRED	TARGET RISK RATING			TARGET COMPLETION DATE(S)	RISK LEAD
					LIKELIHOOD	IMPACT	RISK RATING (LxI)		LIKELIHOOD	IMPACT	RISK RATING (LxI)		
CR1	Having a Sustainable General Fund Financial Plan - the ability to deliver priority services with the resources available.	Changes in: - RSG, Business Rates retention & Growth, Council Tax limitation & collection rates, New Homes Bonus, etc. - Cost pressures e.g. pensions, pay, inflation, interest rates etc. - Other unforeseen events - Capital schemes under budget	- Re-assessment of the range & scope of services currently provided & the Corporate Plan priorities. - Short-term use of reserves - Worst case - financial failure - Critical external inspection / audit reports - Damage to reputation - Public expectations / reaction - Loss of member confidence - Loss of staff morale - Impact on Asset Management Plan - Significant cuts to services	- 5 year MTFP produced - Prudent assumptions re income levels and collection rates - Budget monitoring & reporting (to Finance Board, Scrutiny & Cabinet) - Great Place: Great Service Programme approved - Asset Management Plan - Budget Challenge sessions - Expenditure and vacancy control - Treasury Management Plan	3	5	15	- Horizon scanning to identify future pressures & opportunities (on-going) - Assess implications of Local Gov't Finance review - NHB, retained business rates - Rigorous budget monitoring to identify variances early & implement corrective action (quarterly) - Regularly update the assumptions in the 5 year MTFP & model the options (quarterly) - Delivering the savings targets included in the budget and identify further significant savings or income generation - CMT / Exec Members Budget Group to identify & implement further budget efficiency required to eliminate forecast deficits (on going) - Development of trading opportunities to increase income - Assess the business rates devolution deal and retain	3	4	12	Short / Med term - balanced budget in Feb each year Med / Long term - self sufficient by 2020	DoF&R Supported by SLT
CR2	Transformation / Change Management - managing change effectively to deliver the required transformational changes and savings.	- Failure to develop & implement the required projects due to capacity issues, skills gaps, resistance to change, poor project management etc. - Competitor responses and other challenges to commercial activities.	- Loss of expertise and/or experienced staff - Scarce resources not used effectively - Budget shortfalls - Delivery timelines not adhered to - Increase in financial costs - Legal, financial and reputational implications if commercial activities not structured and managed	- Transformation strategy produced - Project academy - Increased focus on commercialisation - Great Place: Great Service programme - Staff and Union consultation - Political leadership & TU's meetings - £150k budget approved in 2016/17 to finance additional resources required to implement the savings targets	3	4	12	- Delivery of the current savings targets - CMT to prioritise resources onto cash releasing projects - Identify and secure other savings required to bridge any forecast deficit - Post implementation reviews - Training of a wider group of staff in transformation techniques - Improving communications and engagement with staff - 'Solid Foundations' work in GPGS - Develop the Target Operating Model (TOM)	2	4	8	March 2018	Business Transformation Manager Supported by SLT
CR3	Workforce - to ensure that we have the right skills and capacity to deliver the Council's priorities.	- Loss of key people within the organisation e.g. loss of corporate memory and key skills - Lack of training - due to for example budgetary pressures - No effective succession planning - Difficulties in recruitment and retention of key skills / staff - Lack of mid to long term planning	- Inability to deliver services to the desired standard or projects effectively - Performance suffers due to low morale & job fears - Increased sickness (stress related) - Impact on staff health & well being - Financial e.g. severance costs arrangements	- Workforce Strategy produced - PDR process / competency frameworks - Communications - Leader / CEO staff briefings, Borough Bulletin etc. - Internal Comms Strategy - SLT / CMT leadership	3	3	9	- Workforce strategy development - Identify opportunities for staff development & succession planning (PDR process) - Review of staffing as per service plans and restructuring - Voluntary redundancy / early retirement scheme (on-going)	3	2	6	Ongoing	Service Managers
CR4	Investment & development of the ICT infrastructure - to ensure that a modern, efficient and reliable infrastructure is in place to support service delivery.	- Lack of resources and expertise to develop the infrastructure and manage the technology life cycle - Ad-hoc development and flawed project documentation - Reliance on Partner expertise and resources	- Inefficient & expensive services - Poor service outcomes - Additional Project delays	- ICT Strategy written & governance structure in place - Invest-to-Save budgets approved. - Strategies incorporated into GP:GS	4	4	16	- Resource and implement the ICT strategy and invest significant financial capital - Enforce new governance - Centralise ICT budgets - Improve project documentation - Rationalise ICT assets	3	4	12	March 2019	PPP Client Officer Supported by SLT
CR5	Emergency Planning & Business Continuity - to ensure that we are able to respond effectively to unexpected events, minimising any damage caused and keeping services running.	1. Lack of operational monitoring of the ICT infrastructure (automated or manual) 2. Lack of resilience of the ICT infrastructure 3. Lack of comprehensive ICT disaster recovery plan (including tests and linkage to the business continuity plans)	1. Service disruption. 2. Potential loss of personal data leading to enforcement action (either primarily through lack of backup of data or through information security incidents as a result of ad hoc untested business continuity scenarios)	1. Partial monitoring of the ICT infrastructure and incident management by ICT 2. Ability to call on wider Arvato resources in the event of an incident 3. Emergency planning officer, policies and procedures in place for emergency planning and disaster recovery 4. Actual live incidents have contributed to	4	2	8	1. Key infrastructure needs to be monitored effectively. 2. Systems with increased resilience need implementing. 3. Fit for purpose disaster recovery plans and procedures need to be in place.	4	2	8	March 2019	Emergency Planning Officer Service Managers

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CR6	Protecting the Public & Staff (Health & Safety) to ensure that we have systems in place to reduce the risk of accidents occurring and their severity.	<ul style="list-style-type: none"> - Failure to manage the health & safety risk of the Council's undertakings - Lack of training - Budget pressures - Ageing infrastructure 	<ul style="list-style-type: none"> - Death or injury - Damage to property or the environment - Litigation or prosecutions - Financial - claims - Damage to reputation 	<ul style="list-style-type: none"> - Corporate H&S group established - Preparation of Corporate H&S policy - 3 year H&S Improvement Programme agreed - Service level H&S plans - Control of contractors procedures & group established - Transport Code of Practice approved & being implemented - Two external H&S audits - Internal audit methodology developed and agreed - Record training undertaken and monitor refresh dates 	4	3	12	Corporate H&S staff to undertake audits to ensure that: <ul style="list-style-type: none"> a) Policies and procedures are implemented and reviewed regularly; and b) the actions in the improvement programme are implemented c) Further resource H&S Improved on-line training systems 	4	3	12	Ongoing	Business Transformation Manager
CR8a	Data protection - to ensure that we are protecting data in accordance with legislation and best practice including the GDPR and the UK Data Protection Act 2018.	Lack of adequate governance, policy, procedures, technology, training, etc.	<ol style="list-style-type: none"> 1. Distress to data subjects 2. Fraud 3. Monetary penalties 4. Loss of reputation 	<ul style="list-style-type: none"> - Policies - Roles and responsibilities - Information governance meetings - Learning Pool training 	5	3	15	<ol style="list-style-type: none"> 1. Improved formal information governance arrangements (implementing policies, audit actions, service plan, training, etc.) 2. Implementation of Flowz solution 	4	3	12	Ongoing	Information Assurance Officer
CR8b	Cyber security - to ensure that we are protecting our internet-connected systems, including hardware, software and data, from cyberattacks.	<ol style="list-style-type: none"> 1. Obsolete asset (hardware, software, firmware) 2. Unsecure configuration of assets 3. Lack of security controls 	<ol style="list-style-type: none"> 1. Data protection risk effects 2. Denial of service 	<ol style="list-style-type: none"> 1. Controls in place to achieve PSN compliance including Patch management and ITHC remediation work 2. Controls in place to achieve Cyber Essentials PLUS compliance 3. Other controls operated by ICT (leavers process/responding to alerts/monthly checks) 4. Other controls operated by 3rd party (cloud security/managed services) 	4	4	16	<ol style="list-style-type: none"> 1. 2018 IT Health Check remediation plan 2. External internet facing vulnerabilities (Trustwave report) remediation plan 3. GDPR project ICT security risks 4. Information security policy gap analysis 	3	4	12	Ongoing	Information Assurance Officer
CR8c	Records management - to ensure that our records are stored correctly, easily retrieved and are disposed of correctly at the end of their life cycle	<ol style="list-style-type: none"> 1. Lack of a comprehensive records management framework and policy 2. Culture of holding onto paper records 3. Lack of records management technology (e.g. document scanning) 	<ol style="list-style-type: none"> 1. Physical space needs for storing paper or electronic records 2. Risk of paper information being lost or stolen 3. Workload requirements of responding to information requests (foi/eir/sar) where lots of information is stored 	<ol style="list-style-type: none"> 1. A number of rooms used for storing paper records 2. A number of network shares in use for storing electronic records 3. A number of document management systems in use 	4	3	12		4	3	12	Ongoing	Information Assurance Officer
CR9	Procurement & Contract Management - to ensure that contracts are procured properly and deliver value for money.	Failure to adequately manage Council contracts	<ul style="list-style-type: none"> - Financial impact (valuable funding is used for rectification costs) - Increase in staff resource to defend the challenge - Potential litigation and fines being procured - The Council does not receive value for money - Discouraged providers may not tender for the contract in the future - potentially reducing the portfolio of providers 	<ul style="list-style-type: none"> - Dedicated procurement & legal team to support where necessary on contract management - policies and procedures in place - scheme of delegation and guidance available - staff have been trained in general contractor management - New and specific contractor management training commenced during 2015 - New procurement contract with NHS 	3	4	12	<ul style="list-style-type: none"> - Continue the roll out of the new training on contract management by the Corporate H&S team - Develop a Contracts Register and commence additional procurement training with links to contractor management 	3	4	12	Ongoing	PPP Client Officer
CR11	Key Partnerships (e.g. PPP, Veolia) - to ensure that partnerships are used to support the delivery of the Council's priorities and that they are delivered to the specified standard.	<ul style="list-style-type: none"> - Partnerships not delivered as promised - Breakdown in a key partnership relationship 	<ul style="list-style-type: none"> - Reputation damage - Loss of trust - Service disruption 	<ul style="list-style-type: none"> - Strategic board in place for PPP - Client function and supporting key Pis - Focus on HYR and ICT 	3	4	12	<ul style="list-style-type: none"> - Negotiations taking place with key partners around contract delivery - Begin preparations for the Waste Collection re-tender in 2018 - SLT / CMT to develop relationships with key strategic partners 	3	4	12	Ongoing	CCC Manager Commercial Services Manager



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CR12	The provision of Social Housing - ensuring that the Council is able to support delivery of social housing and that there is a sustainable business plan for the Housing Revenue Account.	<ul style="list-style-type: none"> - Requirement to make an annual payment to Government reflecting the market value of high value housing likely to become vacant during that year and/or sell the most valuable Council housing stock as it becomes vacant. - Government controls on housing rents contrary to those agreed in self-financing statement - Requirement to charge a market or near market rent for households with an income of over £30,000 - Removal of Lifetime Tenancies for new tenants and replaced with a fixed term tenancy of between 2 to 5 years. - Introduction of a cap in the amount of rent that housing benefit will cover relevant to the LHA. 	<ul style="list-style-type: none"> - Reduced resources within the HRA business plan due to the loss of rent income and/or increased rent arrears. - Loss of stock and inability to replace the stock which is sold due to reduced resources. - Increase in Right to Buy sales - Risk of being required to repay retained Right to Buy 1-4-1 receipts to Government - Increased administrative burden in implementing new policies. 	<ul style="list-style-type: none"> - Using the Business Planning system to model the implications of possible scenarios. - Reprofiting of work / policies and procedures to achieve tenancy sustainment, deliver new policies 	3	5	15	<ul style="list-style-type: none"> - Refresh the HRA Business Plan - Re-phasing of capital investment - Increased borrowing - Use of working balance - Review the debt repayment policy - Commission a stock conditioning survey - Review of repairs and maintenance standards and lifecycles of building components / asset performance / procurement to achieve efficiencies / revised stock condition survey against these revised standards. 	3	4	12	Ongoing	Housing Mgt Team
CR13	Safeguarding Children and Vulnerable Adults - the ability to fulfill our moral and legal obligations to ensure a duty of care for children and vulnerable adults across our services and facilities.	Inadequate policies, procedures, learning and development partnership working to safeguard children and vulnerable adults living in our communities, using our services and to protect the council, its staff (including agency staff), elected members and volunteers	<ul style="list-style-type: none"> - Negative impact on the well-being of children and vulnerable adults - Reputation damage - Public expectations / reaction - Loss of Trust - Loss of Member confidence - Loss of staff morale - Critical external inspection / investigation 	<ul style="list-style-type: none"> - Safeguarding lead roles identified - Safeguarding group established to develop effective response, audit and share best practice - Strong dialogue and engagement with key partners on Derbyshire Safeguarding Board - Policies and procedures are up to date - Learning and development arrangements in place - Annual audit / self assessment - Regular internal audits 	2	4	8	-Maintaining engagement and improvement activity	2	4	8	Ongoing	Exec Director All