

Strategic Risk Register 2022/23

Risk ref	Risk description and impact	Existing controls to mitigate the risk	Current risk rating			Further mitigating action identified and dates for completion	Target risk rating			Risk lead
			Likelihood	Impact	Risk rating		Likelihood	Impact	Risk rating	
SR1	<p>Financial sustainability Budget pressures, increased income volatility and uncertainty around local government finance. Significant pressures include:</p> <ul style="list-style-type: none"> Potential changes around government policy e.g. business rates (retention, growth and appeals), new homes bonus and fair funding Cost pressures e.g. pensions, pay inflation, pay policy decisions, real living wage, interest rate charges, service charges, energy prices etc. Concerns around inflation affecting key income streams – council tax, rent etc. Asset management and capital programme e.g. fall in capital receipts, reduced rental income, increasing borrowing required to fund capital programme, ten year maintenance plan for buildings Income streams – volatile market conditions Additional spend pressures & reduced income generation opportunities due to Covid19 pandemic <p>Potential impact</p> <ul style="list-style-type: none"> Re-assessment of range and scope of services currently provided and of Council Plan priorities to reduce costs Review of the asset management plan Short-term use of reserves Critical external audit inspection/ audit reports Damage to Council's reputation Loss of confidence from elected members and the public Negative impact on staff morale 	<ul style="list-style-type: none"> Five year medium term financial plan in place – reviewed on a quarterly basis MTFP includes prudent assumptions re: income levels and challenges Budget monitoring and reporting (to Finance and Performance Board, Scrutiny, Cabinet, Council) Internal audit controls and reporting Capital strategy and asset management plan Monthly budget monitoring Expenditure and vacancy control procedures SLT/CLT monitoring of progress in delivering Action Plan for achievement of savings to address future years deficits Monthly monitoring of impact of pandemic on current & future year financial position 	3	5	15	<ul style="list-style-type: none"> Horizon scanning activities to inform quarterly review of the MTFP – Identifying emerging pressures and opportunities Assessment of implications of external pressures as further details become available – feeding into MTFP and updating assumptions Responding to key Government consultation activity and lobbying where necessary for fair and improved funding settlements including new burdens Delivery of the 2022/23 savings plan and income targets Ensuring that all external funding opportunities to mitigate the impact of the pandemic are identified and maximised 	3	4	12	TC
SR2	<p>Project management Effective project and programme management to deliver key activities and change agenda.</p> <ul style="list-style-type: none"> Lack of effective project management approach, tools and governance leads to ineffective planning and delivery of key activities and change agendas. Insufficient planning or having no plan at all to support delivery of key activities and change agendas can lead to lack of output delivery, Inadequate resources being available and overspend of budgets. Lack of effective project management will undermine effective performance management and monitoring of key activities and change <p>Potential impact</p> <ul style="list-style-type: none"> Unplanned expenditure of resources and budget leads to stresses on staff and services and creates budget pressures. Activities and change are not delivered to the required outputs/outcome. Diminishing Political support due to the failure to deliver on promised activities and change by Officers. Reputational damage both within and outside of the Council due to output delivery failure and deadlines not being achieved. Failure to deliver the ambitions of the Council Plan 	<ul style="list-style-type: none"> In April 2021 Joint Cabinet and Employment and General Committee approved a new Corporate Project Management Framework and supporting resource to ensure implementation over the next two years Recruitment to key posts has now been completed Boards developed to oversee significant programmes e.g. ICT improvement programme, Staveley Town Deal, Heart of Chesterfield 	3	5	15	<ul style="list-style-type: none"> Full implementation of the Corporate Project Management Framework due in 2022/23 This will provide a robust and pragmatic approach, tools and governance to support effective delivery of key activities and change 	2	5	10	RON

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SR3	<p>Capacity to deliver Ensuring that we have the right skills and capacity to deliver the council's priorities and core services.</p> <ul style="list-style-type: none"> • Workload demands exceed capacity • 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 <p>Potential impact</p> <ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Fortnightly review and prioritisation of the activity required during Covid-19 pandemic • Effective corporate vacancy control processes are in place. • The Council's People Plan has been developed and is progressing well • HR Business Partners have worked alongside service managers to develop effective performance, development and succession plans. • Employee Assistance Programme implemented • Webinar training sessions provided to managers to support them with agile working • Centralised training budget is in place and prioritised so that essential training is provided and desirable training is supported where budget allows. • Tier 4 restructure implemented to improve capacity and resilience 	4	4	16	<ul style="list-style-type: none"> • Complete the implementation of organisational development principles across the Council during 2022/23 • Continued delivery and development of the People Plan 2019 – 2023 • Incorporating the learning from IIP 2022 into the development of the new People Plan 	3	3	9	RON
SR4	<p>ICT Transformation Programme</p> <ul style="list-style-type: none"> • Lack of resources and expertise to develop the infrastructure and manage the technology life cycle • Ad-hoc development and flawed project documentation • Reliance on external expertise and resources <p>Potential impact</p> <ul style="list-style-type: none"> • Inefficient & expensive services • Poor service outcomes • Additional Project delays and costs 	<ul style="list-style-type: none"> • In-house ICT team – key recruitment to strengthen expertise within the Council • ICT improvement programme developed and approved • Delivery monitored via ICT Improvement Board • Engagement of Overview and Scrutiny • Salesforce platform procured, with core elements new implemented including the MyChesterfield digital account – enabling access to a range of CBC services online 	3	4	12	<ul style="list-style-type: none"> • Embed into Corporate Project Management Framework • Training and development plans implemented, ensuring knowledge, skills and competency is maintained • Regular review and adjustment of programme priorities to meet Covid-19 requirements, ensuring resources are focused on key needs • Next phases of the programme are currently being developed 	3	3	9	RON
SR5	<p>Emergency Planning and Business Continuity Ensuring that we are able to respond effectively to unexpected events, minimising any damage caused and keeping services running. Risks include inadequate or untested plans to respond to extreme events e.g. severe weather, pandemic etc.</p> <p>Potential impact</p> <ul style="list-style-type: none"> • Loss of damage to life or property • Financial (loss of revenue / additional costs) • Disruption to service • Damage to reputation 	<ul style="list-style-type: none"> • Strong Emergency Planning and Business Continuity partnership arrangements in place with DCC • Active member of the Local Resilience Forum • Staff trained and experienced for strategic and tactical roles • Robust Emergency Plan and Business Continuity Plan in place • Key plans updated and available via resilience direct • Regularly updated key contacts and out of hours document • Flooding and severe weather plans updated • Test exercises undertaken • Snow Wardens scheme continuing 	3	4	12	<ul style="list-style-type: none"> • 6 monthly cyber security desk top exercises • Key exercises throughout the year on specific emergencies • Maintain Emergency Planning and Business Continuity documents update cycles • Continued engagement with Derbyshire LRF – ensuring training of staff is up to date • New Emergency Planning Liaison Officer – handovers and training taking place. 	3	3	9	DR

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		<ul style="list-style-type: none"> ICT improvement programme approved, which will improve ICT controls Cyber security assessment completed 								
SR6	<p>Health and Safety Protecting the Public & Staff (Health & Safety) - to ensure that we have systems in place to reduce the risk of accidents occurring and their severity.</p> <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 Lack of awareness and understanding of duties and responsibilities. <p>Potential impact</p> <ul style="list-style-type: none"> Death or injury Damage to property or the environment Litigation or prosecutions Financial - claims and increasing insurance premiums Damage to reputation 	<ul style="list-style-type: none"> Health and safety Committee with Service Director H&S reports. Corporate H&S policy and procedures reviewed regularly Health and Safety key element of management and staff team meetings Health and Safety key feature of personal development plans and reviews H&S plans for services Risk assessments and safe systems of work Aspire learning – range of H&S learning and development (some mandatory) and access to a range of external courses Control of contractors' procedures established and implemented through learning CDM Policy and learning programme Asbestos Policy and surveys Internal and External H&S audits to support Programme of fire risk assessments and action planning. Internal audit review of areas for improvement. Council wide SHE system to capture issues. Health and Safety forum to drive health and safety improvements 	3	4	12	<ul style="list-style-type: none"> New Strategic Health, Safety and Risk Managing starting in 2022 – capacity increase for this core function Health and Safety review scheduled for 2022/23 – looking at policy and procedures, learning and development, resources and developing improvement areas Enhanced utilisation of technology to support H&S development across the organisation. Ongoing programme. Integration of salesforce across services will support this programme e.g. embedding staff caution list etc. 	2	3	6	DR
SR7	<p>Information Assurance / Governance Protection from internet facing assets and data security – to comply with the statutory and other requirements to ensure that the data we hold is held securely.</p> <ul style="list-style-type: none"> Lack of cyber security controls Failure to patch ICT systems ICT systems which are unsupported Lack of cyber security knowledge Data breach <p>Potential impact</p> <ul style="list-style-type: none"> Service disruption Data exchange with Government departments restricted ICT network suffers breach or attack Reputational damage Financial loss Information Commissioner sanctions 	<ul style="list-style-type: none"> PSN compliance achieved Monitoring in place ICT health check commissioned annually ICT health check mitigation plan in place ICT improvement programme includes information assurance / security as a key pillar Increased knowledge, skills and competence of staff Information Assurance framework developed Information assurance policies and procedures reviewed Mandatory training in place Data Protection Officer appointed Information Rights officer appointed Data protection Impact Assessments built into project governance framework 	4	4	16	<ul style="list-style-type: none"> ICT improvement programme delivery Full engagement in annual health checks and improvement plans Cyber security desktop exercises Horizon scanning activities and responding to key consultations Engaging with Information commissioner best practice and learning and development opportunities 	4	3	12	RON / GR

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SR8	<p>Procurement and Contract Management Ensuring that contracts are procured properly and deliver value for money. Risks include failure to comply with procurement and contract management legislation.</p> <p>Potential impact</p> <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 Reduced 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"> Experienced in-house procurement team recruited Procurement policy and documentation regularly reviewed Procurement portal developed and imbedded Review of procurement data and data cleanse completed Dedicated procurement & legal team to support where necessary on contract management Scheme of delegation and guidance available, registers and online information Staff training completed 	3	4	12	<ul style="list-style-type: none"> Implementation of category management within the new service Continuing delivery against newly developed procurement strategy Ongoing training and development of staff in new procurement processes Regular internal audits being implemented 	2	4	8	RON
SR9	<p>Council Housing Provision The provision of Social Housing - ensuring that the Council is able to support delivery of social housing and that there is a sustainable 40 year business plan for the Housing Revenue Account. Key risk factors include:</p> <ul style="list-style-type: none"> Legislative change Introduction of a new regulatory framework for LA Housing providers Building Safety Bill Changes to definition of decent homes Housing White paper Changes to the rent setting formula Changes to local housing allowance Increasing inflation rates Increased interest rates <p>Potential impacts</p> <ul style="list-style-type: none"> Reduced resources within the Housing Revenue Account business plan due to additional interest payments due to extra borrowing requirements, falling rent collection rates and increased void rent loss Increase in Right-to-Buy sales loss of stock and inability to replace the stock which is sold due to reduced resources. Risk of being required to repay retained Right to Buy 1-4-1 receipts to Government Increased administrative burden in implementing new policies. Increased costs of meeting Building safety bill and revised decent homes standard 	<ul style="list-style-type: none"> Effective Business Planning to model the implications of changes Effective housing operational management & policy framework to collect rents, manage voids and sustain tenancies Effective cost management of operational services repairs and housing management services Effective customer engagement Quarterly assessment of Right to Buy receipt spend integrated into Quarterly Capital programme review Implementation of integrated housing management system 	3	4	12	<ul style="list-style-type: none"> Annual review of the HRA Business Plan Quarterly review of the Housing Capital Programme. Assessment of borrowing approach, including the debt repayment policy Stock conditioning survey Review of repairs and maintenance standards and lifecycles of building components & asset performance Covid 19 Recovery action plan Reshaping Housing Service to deliver a more effective frontline housing management service to tenants 	3	3	9	LC
SR10	<p>Safeguarding children and vulnerable adults Safeguarding Children and Vulnerable Adults - the ability to fulfil our moral and legal obligations to ensure a duty of care for children and vulnerable adults across our services and facilities. Risks include 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, elected members and volunteers.</p> <p>Potential impacts</p> <ul style="list-style-type: none"> Negative impact on the well-being of children and vulnerable adults Reputation damage Public expectations / reaction 	<ul style="list-style-type: none"> Senior Leadership Team/ Corporate Leadership Team Safeguarding lead roles identified Safeguarding group established to develop effective response, audit and share best practice Strong dialogue and engagement with key partners on Derby and Derbyshire Safeguarding children partnership and Derbyshire safeguarding adults board ' member of the Derbyshire districts subgroup 	3	4	12	<ul style="list-style-type: none"> Keeping up to date with legislative changes, policy changes and best practice Monitoring trends and horizon scanning via Derbyshire districts group and CBC group Maintaining annual section 11 audits and improvements 3 yearly Internal audits – 2021/22 audit gave substantial assurance 	2	4	8	DR

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	<ul style="list-style-type: none"> Loss of Trust Loss of Member confidence Loss of staff morale Critical external inspection / investigation 	<ul style="list-style-type: none"> Policies and procedures are up to date Learning and development arrangements in place for members and staff Annual audit / self-assessment Regular internal audits Effective partnerships with community and voluntary sector Organising welfare checks where concerns identified Full engagement with VARM processes 				<ul style="list-style-type: none"> Review of safeguarding leads following Tier 4 restructure completion 				
SR11	<p>Non-housing property maintenance The Council owns and manages a significant portfolio of non-housing properties used for a variety of purposes including CBC operational buildings and a large commercially let portfolio. This requires a planned and fully funded maintenance programme.</p> <p>Potential impact</p> <ul style="list-style-type: none"> Service disruption if buildings are not safe and well maintained Service disruption for commercial tenants if buildings are not safe and well maintained Loss of rental income and additional costs Large costs of repair and maintenance Health and Safety risks Reputational damage Legal disputes 	<ul style="list-style-type: none"> Internal audit report completed – identifying improvements required Condition survey of buildings is underway - Progress during 2021 was directly affected by the Covid-19 pandemic response. Work is in progress to draw the current tranche of 10-year maintenance reports together, to assess the current position, gaps for future requirements and associated costs. However, additional resource is required to enable this detailed and extensive piece of work to be completed within the necessary timescales. This will be allocated on an urgent basis and timescales for completion reviewed. 	4	4	16	<ul style="list-style-type: none"> The Asset Management Group has identified this as a priority risk The Executive Director will be taking a report with both financial and non-financial recommendations to the appropriate Boards/Committee to establish agreed plans and appropriate resources to mitigate this risk once all of the appropriate information becomes available. 	3	4	12	AM / NJ
SR12	<p>Climate Change Ongoing global warming leading to higher sea levels and extreme climate conditions.</p> <p>Potential impact</p> <ul style="list-style-type: none"> Potential changes around government policy and targets Cost pressures e.g. adapting to new requirements and opportunities Resource capacity – increasing area of focus impacting all council activities Failing to reach key climate change targets Asset management – property portfolio carbon neutrality challenges Place leadership challenges around climate change education and engagement with communities Environmental changes leading to more frequent extreme weather occurrences 	<ul style="list-style-type: none"> Council declared a climate emergency Climate Change Action Plan 2020 – 2023 developed and is currently being delivered Key targets established – CBC to be carbon neutral by 2030 and Chesterfield Borough by 2050 £100k per annum earmarked for climate change action plan funding Full time Climate Change Officer appointed Regular performance updates to Cabinet and Overview and Scrutiny Challenge Strong Climate Change partnership established with DCC and district councils to maximise climate change actions via Vision Derbyshire Community engagement with key local and regional groups Local democracy programme focusing on Climate Change to educate and engage children and young people Climate Action Now campaign developed to educate and engage communities 	4	4	16	<ul style="list-style-type: none"> Key pieces of work are being commissioned and delivered in 2022 to inform the next Climate Change Action Plan Are You Being Served survey used to benchmark community engagement – inform next Climate Change Action Plan Key partnerships including Vision Derbyshire and Local Authority energy partnership utilised to maximise Derbyshire wide benefit Horizon scanning activities to plan reviews Regular Overview and scrutiny engagement 	4	3	12	DR

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		<ul style="list-style-type: none"> Range of activities including sustainable business award category and workshops with Destination Chesterfield 								
SR13	<p>Changes to Local Government structures Levelling Up White Paper sets Government's policy position re: Levelling Up, devolution and local government re-organisation. This may be a voluntary position or mandated. This follows on from a raft of local government re-organisation activity following the Cities and Devolution Act 2015.</p> <p>Potential impact</p> <ul style="list-style-type: none"> More complicated landscape for governance and service delivery with potential for combined authorities, mayoral combined authorities, unitary authorities White Paper states that there is a case for wholesale local government reform but this should be locally led not top down 	<ul style="list-style-type: none"> Developed a research and discussion paper identifying the key issues Following national LGR activity Membership of key sector support organisations – LGA, EMCs, DCN Developed with the support of PWC viable alternative to unitarisation – Vision Derbyshire – a collaborative approach for the county council and districts Case for change developed and submitted to Government Vision Derbyshire pilots have been completed Several authorities formally signed up to Vision Derbyshire delivery phase which includes a resource package and governance arrangements CBC officially signed up to Vision Derbyshire participation in October 2021 	3	5	15	<ul style="list-style-type: none"> Continue to update research and maintain discussions with political and officer senior leadership Analysis of Levelling Up White Paper and its implications Analysis of impact of 'County Deal' Continue to work constructively with Derbyshire and other districts via Vision Derbyshire Continue to engage Derby City and other potential partners where appropriate Dialogue with Government regarding the case for change as a viable alternative to unitarisation Implementation of Governance arrangements and resourcing for Vision Derbyshire. 	3	3	9	DR
SR14	<p>EU Exit Responding to issues post EU exit transition period 31.12.20. This will include changes to the way in which the UK works with the EU will potentially create difficulties for the Council, businesses and residents</p> <p>Potential Impact</p> <ul style="list-style-type: none"> Legislative changes across functions and services Employment law changes Communications challenges in supporting residents and business community Potential impact medium term financial plan Potential community cohesion impacts Potential challenges with availability of supplies 	<ul style="list-style-type: none"> Full engagement with Local Resilience Forum post EU exit planning activities Responding to latest government guidance within strategy, policy and service development and changes Supporting national, regional and local communications to provide information as part of the ongoing changes Review of potential supply challenges and mitigation where possible 	3	3	9	<ul style="list-style-type: none"> Arrangements to step up Local Resilience Forum activity as necessary Continue to monitor and evaluate impact on functions, services, staff and essential supplies Continued internal communications Continued support of national communications campaign 	2	3	6	CD
SR15	<p>COVID-19 During the Covid-19 pandemic - the ability to fulfil our moral and legal obligations to ensure a duty of care for employees, contractors, visitors and service users across our services and facilities. The ability to respond effectively to unexpected events, minimising any losses caused and keeping services running.</p> <p>Potential impact</p> <ul style="list-style-type: none"> Risk of serious ill-health or death to employees, contractors, visitors and service users. Increased workloads stressful to staff and detrimental to mental wellbeing. 	<ul style="list-style-type: none"> Emergency plan in place Emergency planning liaison officer and deputy emergency planning liaison officer in place. Management teams trained in resilience, emergency planning and business continuity. Campaigns to support central government, NHS and partner agency key messaging Advice and documentation available on Resilience website 	5	4	20	<ul style="list-style-type: none"> Ongoing comprehensive and timely response to Government announcements Engagement in Local Resilience Forum activity Engagement in Government support activity including special briefings and regular Cabinet Communications calls Maximising funding available for communities and CBC via Covid-19 support schemes 	5	3	15	AM / CD

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	<ul style="list-style-type: none"> Lockdown of some Council premises and services disrupting service continuity. Financial (loss of revenue / additional costs) Damage to reputation 	<ul style="list-style-type: none"> Advice available from central government and DCC Three task and finish groups established to co-ordinate management and response to pandemic Corporate guidance and risk assessments regularly updated for teams to implement and maintain Covid-19 secure services Weekly e-bulletins introduced for managers and members to cascade vital messages Covid-19 hub developed on website – community and business help and support and via aspire intranet for management and employee support and information Workplace layouts and arrangements re-designed to reduce capacity and ensure social distancing can be maintained Test and trace arrangements in place at all council premises 								