

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>Maintaining 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 Legacy impacts of Covid 19 on income and impacts difficult to predict during the pandemic External influences on MTFP (inflation, interest rates, supply chain cost rises in goods and services, significant rise in utility costs, legacy issues with Brexit, cost of living crisis) 2022/23 - pay rise impacts on Council's budget. <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 Govt financial settlement announced a 2 year blueprint for Council spending. Of 3% increases for 2023/24 and 2024/25. <ul style="list-style-type: none"> No changes to new Homes Bonus calculations No plans at this time for Govt funding reforms. The Council Plan 2023 - 2027 The plan identifies the Council's key priorities, objectives and commitments over a four year period. MTFP includes prudent assumptions re: income levels and challenges Budget monitoring and reporting (to CLT, 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 MTFP / in year budget review with all Directorates and services 2022/23 financial year. Tier 4 manager briefing on financial position of Council (Nov 22) 	4	5	20	<ul style="list-style-type: none"> Ongoing in year budget review and potential savings. 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 Renegotiating utility contracts in 2022/23 into 2023/24 HLC pool incident – business interruption costs being calculated. 	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. 	<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 	3	5	15	<ul style="list-style-type: none"> Full implementation of the Corporate Project Management Framework 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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	<ul style="list-style-type: none"> 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"> Boards developed to oversee significant programmes e.g. ICT improvement programme, Staveley Town Deal, Heart of Chesterfield Ongoing projects are a significant source of resource strain on directorate resources in current financial pressures. Necessary technical, specialist and H&S resource is being prioritised to support. 								
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"> 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. Effective corporate vacancy control processes are in place. Employee Assistance Programme implemented Employee performance reviews and development conversations Hybrid working policy (temp) and hybrid working agreements 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"> Development and delivery of the next People Plan Incorporating the learning from IIP 2022 into the development of the new People Plan Hybrid working group and sub-groups works continue through 2023/24. Training needs analysis work for all directorates and services 	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, with core elements 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 Next phases of the programme are currently being developed Software developments and new updates being support (housing) 	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"> 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 	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 	3	3	9	DR

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	<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"> 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 ICT improvement programme approved, which will improve ICT controls Cyber security assessment completed 				<ul style="list-style-type: none"> Continued engagement with Derbyshire LRF – ensuring training of staff is up to date New Emergency Planning Liaison Officer – handovers and training taking place. 				
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. Resource limitations on the services Legacy resource supporting asbestos and fire assessment Ongoing Projects requiring significant H&S support (e.g. SMH project) <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 <p>Damage to reputation</p>	<ul style="list-style-type: none"> Strategic Health, Safety and Risk Managing started Jan 2022 – increased capacity for this core statutory function, with Corporate H&S adviser. Oversight by Health and safety Committee with Service Director H&S reports. Corporate H&S policy and procedures reviewed regularly Established Corporate H&S team (for health, safety and Risk Team, Directorate H&S adviser and Project manager (H&S) roles in Housing. (Feb 22) Health and Safety key element of management and staff team meetings Directorate and team inspections (policy and templates in place) Consultation arrangements in place for trade unions and safety representatives 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 (eLearning) – range of H&S learning and development (some mandatory) Learning and Development training budget for funding external facilitated training courses. Internal audit consortium audits Professional networks (Derbyshire Safety Group and Nottinghamshire Safety Group) Council wide SHE (Evotix) H&S management software system Health and Safety forum to drive health and safety improvements (task and finish group). Strategic H&S review completed 2022. 	3	5	15	<ul style="list-style-type: none"> Deliver and establish ongoing H&S review work. Including policy, procedures, training, audits, inspections, training, resource and governance arrangements.. Health, safety and risk service restructure Corporate H&S Policy review and wider policy review programme Deliver proactive internal HSR team - monitoring programme 2022/23 Deliver internal facilitated training programme 2022/23 to supplement elearning and external facilitated training Support Directorates H&S training needs analysis review programme. Enhanced utilisation of technology to support H&S development across the organisation. Continue to support the ongoing arrangements of other software. Such as integration and development of salesforce across services for the staff caution list etc. Incorporate legislation and regulation changes 2022/23 and known future legislation to receive royal sent into H&S policies PPE Regulations 2022 Fire Safety Legislation changes Protect Duty legislation changes pending. 	2	5	10	DR

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		<ul style="list-style-type: none"> Respiratory protective equipment new policy approved July 2022. 								
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
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"> 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 Reshaping Housing Service to deliver a more effective frontline 	3	3	9	JD

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	<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"> Corporate Complaints Procedure Annual report to tenants <ul style="list-style-type: none"> service delivery and future improvements in relation to the Housing Regulator's Consumer Standards: <ul style="list-style-type: none"> Tenant involvement and empowerment standard Tenancy Standard Home Standard Neighbourhood and community Value for money standard 				<ul style="list-style-type: none"> housing management service to tenants New decent homes standards New Social housing regulator implications Fire safety and building regulation changes 2022/23 				
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 Loss of Trust Loss of Member confidence Loss of staff morale Critical external inspection / investigation 	<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 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 Anti-social behaviour strategy 2022-2025 	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
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

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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 Climate Change Strategy 2023 – 2027 developed with annual action plan Key targets established – CBC to be carbon neutral by 2030 and Chesterfield Borough by 2050 Full time Climate Change Officer and Climate Change Assistant 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 Range of activities including sustainable business award category and workshops with Destination Chesterfield Climate Fresk training 	4	4	16	<ul style="list-style-type: none"> Climate Change Action Plan ongoing open actions Periodic Overview and scrutiny engagement 	4	3	12	DR
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 	4	5	20	<ul style="list-style-type: none"> Continue to update research and maintain discussions with political and officer senior leadership East Midlands Mayoral County Combined Authority development. Democratic and Elections impacts and resource for election and transition to new ways of working. Continue to work in partnership with Derbyshire County Council, Derby City and other boroughs and districts. Ongoing dialogue with Government regarding local Government administration and delivery. East Midlands Councils – review of Vision Derbyshire 	3	3	9	DR
SR14	<p>EU Exit (transition and evolving market conditions) 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> <ul style="list-style-type: none"> Legislative changes across functions and services Supply chain challenges and access to good and supplies 	<ul style="list-style-type: none"> Reacting to changing market conditions Ongoing management of the current market conditions. Council departments and officers continue to manage evolving situation 	3	3	9	<ul style="list-style-type: none"> Continue to monitor and evaluate impact on functions, services, staff and essential supplies 	2	3	6	CD

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	<ul style="list-style-type: none"> Challenges filling vacancies <p>Potential Impact</p> <ul style="list-style-type: none"> Legislative changes across functions and services Government new trading treaties and agreements 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"> reacting to unknowns during the pre- EU exit and transition period. Access to and signposting enquiries to latest government guidance. Known supply challenges being managed and mitigated where possible. Availability of skilled persons to fill vacancies 								
SR15	<p>COVID-19 (Coronavirus) ongoing risk</p> <p>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. Financial (loss of revenue / additional costs) Damage to reputation 	<ul style="list-style-type: none"> National Public health and NHS advice. Ongoing Coronavirus risk assessment, instructions and guidance in place. Emergency plan and Emergency planning liaison officer and deputy emergency planning liaison officer in place in case of a new escalation. HRBP continue to support absences from work. Covid treated like any other flu/cold absences as of April 2022. Seasonal flu vaccine available to employees (requests to HR) Lateral flow testing equipment, prioritised to employees working with vulnerable customers. Covid frequently asked questions and guidance updated and circulated October 2022. Coronavirus (Covid-19) information hub on the Council's intranet (aspire) 	2	3	6	<ul style="list-style-type: none"> Reviews will be completed as and when necessary 	2	3	6	RO

Document Review		
Review points	Officer reviewed	Comments
February 2022	DR/GI	Complete re-write
July 2022	GI	Periodic review
December 2022	GI	Periodic review, comprehensive in nature. Post RMG meeting and Govt Announcement 13.12.22
January 23	GI	Additional updates