

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

22 November 2017

Report of the Director of Finance & ICT

STRATEGIC RISK REGISTER REVIEW

1 Purpose of the Report

To advise members of the Audit Committee of the proposed changes to the Strategic Risk Register and to propose a review of the Corporate Risk Management Strategy and the Strategic Risks facing the Council.

2 Information and Analysis

The Council currently undertakes quarterly review of departmental risks and the detailed assessment of the highest ranking risks forms the Council's Strategic Risk Register which is made available to Members separately via the Audit Committee.

It is proposed that the Council identifies and manages its approach to Strategic Risk to bring it into line with accepted Enterprise Risk Management (ERM) Standards working to the Chartered Institute of Public Finance and Accountancy best practice standards.

As the most important aspect within ERM, Strategic Risk Management (SRM) is the process of identifying, quantifying, and mitigating any risk that affects or is inherent in a company's business strategy, strategic objectives, and strategy execution. These risks may include:

- Significant shifts in Government Policy
- Legal and regulatory change
- Unsuccessful business plans
- Inadequate resource allocation
- Unsuccessful commissioning strategy
- Technological changes
- Poor procurement strategy
- The impact of Brexit
- Senior management turnover
- Stakeholder pressure

SRM is a dynamic tool for business performance management and growth. If the Council can align strategy and risk, it can build a process for "strategic resiliency," which involves anticipating, understanding and acting on risks

when introducing or executing new strategies as a way of increasing the chances of success despite uncertainty.

A Strategic Risk Register should be a means by which the Council identifies, monitors and manages the risks that have the ability to make a significant impact on the long-term health and success of the Council.

Because strategic risks can threaten the logic of management's strategic choices, it is widely accepted that these risks should be owned by individual members of the strategic leadership team, in the Council's case this is the Corporate Management Team (CMT).

Occasionally, departmental risks should be included on the Strategic Risk Register when they are at a significant level that could cause major damage to either the financial standing or reputation of the Council.

A Risk Register should also take into consideration the potential cost of the risk to enable the Council to adequately allocate budgetary provision, update financial reserves and provisions, taking account of Council priorities and available funding.

Risk management policies and procedures must remain a key part of the Council's delivery of service, and it is important that management of risk continues to be a high priority. Service Plans should reflect the risks facing services and the management of those risks, as does the Council's Five Year Financial Plan.

3 Strategic Risk Register Review

In order for the Strategic Risk Register to be updated to ensure it reflects the Council's strategic risks, it is proposed that:

- The Strategic Risk Register is reviewed in full by CMT at their earliest convenience to ensure that all of the strategic risks have been captured and reflect the Council Plan.
- Each Strategic Risk should be owned by an individual member of CMT and overseen by a Cabinet Member to ensure that the risks are being proactively managed and monitored.
- Strategic Risks should be reviewed and updated on a bi-annual basis with any new Strategic Risks incorporated as and when they are identified.
- Any Risks that should be classified as departmental risks be removed from the Strategic Risk Register.
- Departmental risks are to be assessed on a quarterly basis by the Council's Risk Champions and, Insurance and Risk Manager. Risks will be subsequently referred to CMT for inclusion within the SRR if they meet additional criteria that would deem them to be of a significant risk to the Council as a whole if they are not mitigated correctly.
- All Cabinet Member reports are to include details of significant risks and opportunities that have been identified.

- All Cabinet Member reports are to be signed off by appropriate Members to confirm that they are aware of the department's risks and are satisfied with the plans in place to mitigate or tolerate risks.

The current full Strategic Risk Register is included in Appendix A. The items in green are risks which should probably remain on the Risk Register whilst those that may be better suited to departmental level are identified in red pending a full review by CMT.

4 Considerations

In preparing this report the relevance of the following factors has been considered: financial, human resources, legal and human rights, equality of opportunity, health, environmental, transport, property, crime and disorder and social value considerations.

5 Background Papers

None.

6 Officer's Recommendation

That the Audit Committee note the proposals in the report for revising the Council's approach to risk management.

PETER HANDFORD

Director of Finance & ICT

				New Score			Previous Score						
Category	Risk Identifier No	Risk Description	Dept	Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score	Change	Mitigation - Current Comments	Link to Council Plan	Dept Contact
Financial	2011/1	Impact of a prolonged recovery and a funding gap A prolonged, slow recovery to the economy is likely. The Authority is faced with rising demand for its services countered by a dramatic fall in funding and income - creating a potentially significant "funding gap". This mismatch between service demand and budget availability could lead to an increase in financial instability. Pressure is also present between "demand-led services" (eg social care) and other priorities.	ALL	5	5	25	5	5	25	—	<ul style="list-style-type: none">• Five year plan (2016/7 to 2020/21) in place and reflects planned use of General Reserves to support demographic needs (Adult Care) in the medium term.• Departmental budget reductions programme developed together with a plan of lead-in times for consultation, where appropriate, and the identification of workforce reductions.• General/Earmarked Reserve positions risk assessed, regularly monitored, and reported to Cabinet.• Priority based budgeting model in place. with development of departmental financial modelling systems.• Budget monitoring processes and procedure embedded (including planned "budget holder monitoring" roll-out.• Regular reporting to Members and briefing about potential implications of non-achievement of cuts.• ‘Lean thinking’ review of Council wide processes including service redesigns.• Improved models of work across organisations to reduce duplication.• Engagement and communication with key stakeholders and Local Area Committees.• Property rationalisation – including work with district and health colleagues• Positive use of Better Care Fund and alignment of health and social care priorities for integrated working.• Established "Fairer Deal for Derbyshire" campaign.• Active in all public consultations and continued Government lobbying.• Maximising alternative funding streams (ie. Combined Authority).• Utilise asset based approaches to develop social capital, helping to build natural communities of interest away from services.• Four year funding offer from Government to be considered to help support the development of a robust medium term financial plan• Additional budget of approximately £5m per annum for Adult Care from the Adult Social Care Precept• Prioritisation process plus underspends on Public Health contracted activity in 2015-16 have resulted in non-recurrent reserves of approximately £2.6m for investment in prevention interventions. Allocation of prevention funding to be agreed via panel process May 2016.	Transport	ALL
Financial	2011/18	Provision of services to schools The expansion of the academies programme and delegated funding changes to maintained schools may have significant effect on demand for services with related workforce and financing impacts (specifically Traded Services & Advisors). Associated impact on school collaboration and governance.	ALL	5	4	20	5	5	25	-	<ul style="list-style-type: none">• Multi-agency provision to be established to reduce exclusions.• Pool LA expertise to help drive up standards.• Further delegation of resources from April 2013 to reduce the gap in funding between academies and maintained schools.• Consultations with schools to develop a Derbyshire Schools' Protocol to promote continued collaboration within the Derbyshire Community of Schools.• Identification of opportunities for shared provision of services between schools & LA services.• Assistant Director Traded Services post established with remit to develop a trading model for traded services, to consolidate existing trading services and improve delivery to retain customers.• Offering 4 extra traded services from 2015/16 than previously provided to schools.• Working group established to improve traded services experience.• Co-comissioning of early help & co-investment/joint commissioning.	A Derbyshire that works	Angela Beighton
Financial	2011/10	Looked after Children Increased numbers of looked after children as a result of increased referrals following recent high profile cases and increased costs of care.	CAYA	5	4	20	5	4	20	—	<ul style="list-style-type: none">• First cohort trained and implementing Reclaiming Social Work (arising from Munroe review), with impact and outcomes on children and families to be measured.• Consistency of service criteria to be introduced at first contact.• Increasing number of foster carers.• Accessible & robust recruitment process for foster carer applications in place with enhanced business services support.• Multi-agency teams now established, using Frameworki, and working together to integrate service provision.• The department has received a "Good" rating after being one of the first authorities to be inspected under the new guidelines of the "Child's journey".• Challenge days continue to be used to share good practice and increasingly show successful outcomes through joint working.• Audit action plan for residential services introduced, with business services staff appointed in each unit. OFSTED team contract extended.	A Derbyshire that cares	Geoff Hallam-Linda Dale?

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Financial	2011/12	Continuing Healthcare Tighter interpretation of eligibility to NHS funded Continuing Care (and changes in NHS at national/local level) resulting in some people with complex additional care needs, including challenging behaviour, becoming Council's funding responsibility.	AC	5	4	20	5	4	20	—	<ul style="list-style-type: none"> DCC Senior Management representation established on Board of 4 out of 5 Clinical Commissioning Groups covering Derbyshire. Escalate Continuing Healthcare discussions Establish joint funding and lead commissioning priorities Agree with CCGs how to review clients affected. On-going work to establish joint solutions approach across agencies. Contributing to ADASS/LGA/NHS review of process to establish shared tools Social Work teams enhanced to establish 7 day working capability via Care Act Grant monies Increased frequency of escalaiton discussions Improve flow across all services Explore development of joint commissioning strategy and ppoled budget for Learning Disability Services to minimise focus on co-ordination to ensure better value for money 	A Derbyshire that cares	Roger Miller
Government Modernisation Agenda	2011/19	Effective Change Management The Council is undergoing significant organisational change which will create significant workforce issues around having the right skills, productivity and capacity, each of which may adversely impact upon service delivery if not managed. The effect of reducing the Council workforce and pressure for increased productivity without effective change management and employee engagement also carries health and attendance risks.	ALL	4	5	20	4	5	20	—	<ul style="list-style-type: none"> As part of service planning, build a definitive workforce reduction plan to achieve the budget reductions Ensure that any Employee Communication Strategy is able to support the workforce reduction programme, maintaining and improving levels of engagement Ensure HR resources are effectively deployed to support the change programme Put in place a workforce development plan which includes plans to : <ol style="list-style-type: none"> Develop management capacity and capability through a Leadership Development programme (Derbyshire Manager) Ensure that My Plan is effective so that employees' objectives support changing service needs and that skills development plans are in place to support new ways of working Improve provision of L&D processes (L&D Review) and ensure an effective programme of reskilling is in place to support workforce realignment Put in place an HR/OD Strategy which includes plans to <ol style="list-style-type: none"> Mitigate compulsory redundancies, improve redeployment and talent management through the timely development of an Internal Jobs Market Enable increased flexibility and support remodelling of the workforce by implementing remaining job families and contracting employees with the Council rather than departments Use the Organisational Design principles effectively in developing new structures Review employment policies and market positioning Ensure that appropriate Counselling Service capacity is in place to support possible increased demand. Review cross council processes to ensure they are lean and effective IIP accreditation and action plan implementation. 	A Derbyshire that works	ALL
Government Modernisation Agenda	2011/22	Central Government Reforms Demand on the integration and alignment agenda and increased expectation of partnership working combined with continued organisational change. Potential funding dependent upon performance targets being met. Examples include NHS reform and the establishment of Better Care Fund to advance integrated reform of health and social care. Opportunities are presented by working in Combined Authority and LEP structures.	ALL	5	5	25	5	5	25	—	<ul style="list-style-type: none"> Corporate Partnership Protocols. Continued dialogue with all partners to ensure a collaborative approach to improving outcomes for all young or looked after individuals. Agreed (Adult Care) each organisation will monitor the schemes they are leading on. Alignment of Adult Care and Health & Wellbeing Boards. Governance structure being established to report to Health and Wellbeing Board. Continuing engagement with developing Clinical Commissioning Groups Commissioning of Children and Adolescents Mental Health Service is being rolled out. Engagement of all stakeholders in the process. Stakeholder and Provider Engagement Forums established. Joint agreement on plans to deliver BCF outcomes. Joint Health and Wellbeing Strategy refreshed in 2014. Escalated joint working with acute hospitals and CCGs. Incorporate service added targets. Joint commissioning priorities refreshed for 2014/15. Whole system dialogue and contribution to Better Care Fund development. Incorporate of service targets into CCG performance targets. Escalate CHC discussions to Assistant Director level when necessary. Combined Authority working represents opportunities for freedoms and flexibilities in relation to securing the prosperity of the area and to be involved in devolution discussions. Working with the Local Enterprise Partnership, for which DCC is the Accountable Body, will ensure we are in a position to take advantage of funding streams that are distributed via the LEP, particularly in relation to transport, infrastructure and economic growth. 	A Local Derbyshire	Roger Miller, Geoff Hallam, Linda Dale?

				New Score			Previous Score						
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Regulatory & Legislative Failures	2011/21	Collective Challenge under Judicial Review The Council is exposed to possible challenges over decisions on continuation of some services in the face of budgetary restrictions if it fails to incorporate key considerations.	ALL	4	3	12	4	3	12	—	<ul style="list-style-type: none">• Projections in Joint Strategic Needs Assessment helps providers plan for the future.• Equality Impact Assessments supporting decision making process.• Appropriate relevant consultation.• Stakeholder consultations• Compliance with good project management guidance	ALL	ALL
Emergency Response & Service Continuity	2011/20	Supply Chain Failure In a prolonged recession and slow recovery, supplier instability in particular, is certain to increase and the new Care Act increases responsibility to monitor supplier resilience. The Council may also be faced with the failure of suppliers to meet expectations. Private sector arrangements may be challenged by a tension between the profit motive and the public service ethos.	ALL	5	5	25	5	5	25	—	<ul style="list-style-type: none">• Development of joint commissioning arrangements.• Enhance contractual negotiations with expectation of business continuity plans in place.• Further development of risk based contractual negotiations.• Strengthening of commissioning processes. Maintain Associate Commissioner status with Clinical Commissioning Groups for 2015/2016 contracts.• Regular monitoring meetings with Derbyshire Community Health Services.• Use of regulatory data and market analysis information.• Transparency about placement information helps providers plan for the future.• Plans to develop sector wide approaches and innovative approaches to delivering health support in care homes - locally and at county level.• Identifying ownership of all providers in Derbyshire to better understand financial positions.• Joint strategic work with councils• Include governance standards into contract specifications.• Communicate with market about gaps by developig a full range of market position statements.• Promoting use of direct payments and direct care to support areas of deficiency.• Broaden provider range.• Develop responses with health commissioners to maintain capacity• Consolidate specialist social worker input to compliance team to supplement and improve effectiveness of social worker contributions to reducing safeguarding concerning the adult social care sector.	A Derbyshire that works	ALL

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Government Modernisation Agenda	2011/8	<p>Implementation of Self Directed Support in line with the Personalised Care Agenda</p> <p>The Council is required to ensure people have real control over the resources used to secure their care and support. The Council faces challenges including in (a) meeting Direct Payment targets, (b) people not choosing our "in-house" services and (c) new responsibilities for prisoners.</p>	AC	4	4	16	4	4	16	—	<ul style="list-style-type: none"> Continue Self Directed Support as the main delivery approach within Adult Care. Continue Self Directed Support training programmes. Trusted Befriending Scheme is established Adopt a personalised care approach within all Council departments. Develop self-directed care strategy and robust preparation Trusted PA Register in place. Implications of increased complexity of casework being handled and the specific requirements of the Mental Capacity Act 2005 , Deprivation of Liberty Safeguard regulations and recent legal judgements has resulted in increase in probability score. Established Direct payments performance and standards group. Assessment and decision making tools reviewed and updated continuously. Projections of potential demand fr self-funded carers, assessments in prison and advocacy. Review Assessment Pathway under continuous review Investment in social work training. Specific investment to create specialist response to prisoners. 	A Derbyshire that cares	Roger Miller
Regulatory & Legislative Failures	2011/2	<p>Failure to Meet Waste Management Targets</p> <p>The Council is faced with challenges of presenting alternatives to landfill whilst considering environmental impact, increasing financial costs and reputational impacts arising from decisions over types of waste management employed.</p>	ETC	4	3	12	4	3	12	—	<p>A long term waste contract with Resource Recovery Solutions (Derbyshire) Ltd (RRS), to manage residual waste and Household Waste Recycling Centres in Derbyshire and Derby, commenced in 2010. As a part of this contract a waste treatment facility was proposed in Sinfen, Derby City. After a protracted planning process, financial close was finally achieved in August 2014. The risk and economic balance of the project was comparable to that agreed when the Project Agreement was executed in December 2009 and affordability of the project was maintained. Achievement of financial close has enabled development of the treatment facility at Sinfen Lane to commence. Construction commenced in September 2014 and is continuing. The ACT technology provider has recently gone into administration, work is currently underway on a recovery plan. The facility was originally scheduled to be fully commissioned by April 2017, however a delay in now expected although a revised programme has not yet been produced. In July and a recovery plan has been put in place. The facility was originally scheduled to be fully commissioned by April 2017, however the revised completion date is currently September 2017.</p>	A Safer Derbyshire	Allison Thomas
Regulatory & Legislative Failures	2012/1	<p>Information Governance, Cyber and Social Media</p> <p>The Council manages a significant amount of personal data and information in relation to service users and employees in the delivery of services using a range of systems and mediums. With data held in a vast array of places and in varying formats, it becomes susceptible to loss, protection, availability, misuse and privacy risks particularly with increased use of electronic transfer, and management (including use of the Government Public Sharing Network). The Council is exposed to financial penalties and reputational impact.</p>	ALL	5	3	15	5	3	15	—	<ul style="list-style-type: none"> The Council has achieved its ISO 27001 status and work continues to maintain this accreditation. Independent health checks and penetration tests. The on-going programme of activities, such as training for employees who process personal data, regular communication and continual review and updating of security policies continues. A security breach reporting system is also in place. Local and regional public health information governance groups established. Public Health contracts to be negotiated with information access rights. Consider co-locating of community teams to ensure access. Protocols established with schools prescribing requirements for accessing Frameworki records. Dialogue with partners about requirements. Secure email account establish for each area in CAYA. Ongoing work to secure effective information transfer. Secure methods of communicating controlled and restricted data utilised as required (post, encrypted email, GCSx). DCC has achieved PSN Code of Connection - the practices of using GCSx (via PSN) are enforced through protocols and policies. PSN certification is reassessed annually in September. Memorandums of Understanding in operation to enforce/augment communication channels with external partners. 	A Derbyshire that works	Jo White?

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Organisational Change	2011/14	<u>Residential Care</u> The Authority faces a challenge in maximising use/potential of planned Residential Community Care Centres and extra care developments	AC	4	3	12	4	5	20	—	<ul style="list-style-type: none"> Tight budget management at corporate and responsibility care level and within programme board. Monitoring of high level risk of individual projects at SMT level. Positive use of Better Care Fund and alignment of health and social care priorities for integrated approaches to working. Market management. Strategic Direction for DCC Direct Care Residential Services 2015/20 Plan developed and approved by Cabinet will; <ul style="list-style-type: none"> seek to consult on the closure of 5 residential care homes which are unsustainable in the long term ensure maximum use of Extra Care minimise use of Residential placements seek to drive down in house unit costs maximise funding from NHS partners 	A Derbyshire that Cares	Roger Miller
Emergency Response & Service Continuity	2011/6	<u>ICT Infrastructure & Systems</u> The procurement of new and replacement computer systems that meet organisation and departmental requirements. In particular; (a) The availability of systems capable of meeting complex business requirements (b) The costs associated with replacing, procuring and running systems (c) Resource capability for implementing new large scale ICT projects (d) The ability to provide technical support on what are now becoming increasingly complex systems. (e) Continuity of service during transfer to new systems. (f) The ability to satisfy internal/external security requirements (e.g. PSN / ISO 27001, CoCo etc). (g) Capacity of systems to cope with the level of demand.	ALL	4	4	16	4	4	16	—	<ul style="list-style-type: none"> A new governance checklist has been developed to ensure that all the necessary approvals and funding is in place prior to project initiation. A communications strategy is agreed at the start of each project to ensure that all stakeholders are appropriately engaged. Procurements are supported by clear departmental requirements documentation. Close liaison with suppliers and rigorous market testing including 'Supplier Discovery Days' are used where appropriate. A formal project management approach with agreed roles, agreed documentation and rigorous controls. Rigorous testing schedules and temporary parallel running of systems. Project delivery process includes assessing training needs. Senior departmental representation on project teams. Replacement of strategic ICT systems incorporated in departmental planning processes. Continued training for ICT staff on current technologies Using lessons learned from past procurements to improve procurement process for other departments. Close liaison with client department in system design. Issues arising during implementation are resolved jointly with senior supplier representatives. Toolkit is being revised to ensure that service requirements are fully taken into account. Senior level discussions with suppliers to maintain dialogue and set expectations. Improved performance management of contract compliance in conjunction with stakeholders. Personal email use was removed from 31 December 2014. on devices; antivirus and other security tools are kept under review <ul style="list-style-type: none"> Encryption 	A Derbyshire that works	David Hickman/John Gilbert
Emergency Response & Service Continuity	2011/11	<u>Adapting to Climate Change</u> The Council faces a challenge in relation to an increase in inclement weather patterns (flood, heat waves, drought, windstorm, increased snow fall) building the right infrastructure and new statutory flood and water risk management duties. Having sufficient financial resources and flexibility to address these challenges may become increasingly difficult.	ALL	4	2	8	4	2	8	—	<ul style="list-style-type: none"> Local climate impact profile completed and Level 1 of indicator on target. Completion of asset management inventory - in particular Road Gullies. Flood data analysed to determine priority for further investigation. Database extended as a result of recent flood incidents. Implemented recommendations of the Pitt Review. Implemented new Flooding & Water Act 2010 responsibilities. Link to partnership (DPF) priorities (Climate Change Performance measures). Contribute to comprehensive risk assessment of the effect of projected future climatic changes. Some exchange of data with engaged planning Authorities regarding flood risk posed by future development. Technical Flood Risk Group comprising all Risk Management Authorities meet quarterly to resolve problems affecting residential properties, businesses or infrastructure. Implementation of flood response protocol for Derbyshire including all Risk Management Authorities. Consulting on a Local Flood Risk Strategy for Derbyshire, due to be published June 2015. Review DEFRA proposals for SW drainage to be the responsibility of the Planning Authorities and Derbyshire's proposed role as Statutory Consultee. Flood Warden schemes being developed in high flood risk areas. Anticipated establishment of £2 million contingency fund. DVMWHS Environmental research projects planned. My City, My River - Derby Provision and maintenance of silt traps and fuel interceptors proposed. Pursue likely contraventions of the Highways Act resulting in pollutants discharging onto the Highway. Derbyshire Flood Risk management Strategy, published December 2014, sets out the action plan to mitigate flood risk across the county. 	A Safer Derbyshire	Geoff Pickford

				New Score			Previous Score						
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Emergency Response & Service Continuity	2011/5	Adequacy of Business Continuity Planning The Council's ability to respond to a major incident, such as severe weather (eg. climate change based flooding), loss of power or pandemics, and to maintain its critical services to the public. The emerging risk environment, the number and type of emergency and the interdependencies of services is increasingly making continuity or "resilience" a significant focus for the Council. Budget cuts and rationalisation (including resourcing reductions) also challenge the Council in its ability to fulfil its Category 1 Responder statutory duty.	ALL	5	2	10	5	2	10	—	<div>On-going Mitigations;<ul style="list-style-type: none">• Business Continuity Plan part of the "Council Capacity" section in the Council Plan.• Business Continuity Plan updated and tested regularly (plan reviewed every six months, training and exercises held June 2014.• Business Impact Analysis updated regularlyPlanned Mitigations;<ul style="list-style-type: none">• A major upgrade to the Council's core data network is complete which has increased resilience.• Installation of virtual switching system has been completed with separate generator.• ICT resilience is designed into key services.• Increased ICT resilience is provided through the 2nd data centre which has been enhanced.• Critical Salvage Strategy, Document Management Strategy and Procurement Strategy incorporated into Corporate Business Continuity Plan 2014.• Corporate Business Continuity Plan reissued August 2015Report to CMT September 2015.<ul style="list-style-type: none">• New converged infrastructure to be installed in Data Centre leading to improved performance and resilience.• Auditing of Business Continuity Arrangements completed July 2015.• Adult Care undertaking joint procurement for case recording system with Children's ServicesNB. This risk will remain on the Strategic Risk Register for monitoring purposes</div>	A Derbyshire that works	Liz Partington

				New Score			Previous Score						
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Regulatory & Legislative Failures	2011/9	Protection of Children and Vulnerable Adults The Council has a statutory responsibility to protect children and vulnerable adults from harm.	AC/ CAYA	5	3	15	5	4	20	UP	<ul style="list-style-type: none">• Robust protection and safeguarding arrangements in place.• Continue to learn from National reports and implement any appropriate recommendations.• Continue with Safeguarding training across all staff groups.• Continue to invest in early intervention strategies.• Effective multi-agency working & information sharing protocols• Multi-agency safeguarding hub in police HQ.• Introduce social pedagogy to improve outcomes.• Independent Chair Adults and Childrens Safeguarding Boards appointed• Deprivation of liberty safeguards (DOLs) training and sustained additional capacity.• Guidance to providers and fieldwork staff about thresholds for DOLs in light of Supreme Court Judgements.• Safeguarding teams to be area based for improved service and efficiencies.• Action plan developed to support response to the lower threshold for deprivation.• Development of prevention strategy to provide extended options to meet needs.• Introduced direct care trading.• Policy and procedure review to ensure Care Act compliance.• Enhance quality monitoring measures.• Child Sexual Exploitation Training.• Trialling different ways of working with Call Derbyshire, MATs & Social Care Management Group.• Promoting dignity in care award across all services.• Enhance joint work with Health and Communities, Community Safety Department around extended definition of abuse <ul style="list-style-type: none">• Transport Standards Framework being produced with collaboration of relevant departments and outside agencies. Target for delivery Sept/Oct 2017	A Derbyshire that cares	Roger Miller/ Geoff Hallam Linda Dale?
Financial	2012/4	Broadband Risk The Broadband project is reliant on significant pledged funding to underwrite it. There is a risk of failure to recoup the considerable funds due to be expended.	ETC	4	3	12	4	2	8	—	<ul style="list-style-type: none">• Dialogue has commenced with all partner local authorities for capital contributions.• Information on demand and current coverage levels have been discussed with districts to provide a deeper understanding of the issues in each area.• Planning mechanisms are being considered with districts as a way of releasing capital.• ERDF remains a potential source to contribute to the capital funding gap.	A Derbyshire that works	Natalie Wood – Angela Glithero?
Emergency Response & Service Continuity	2012/2	Maintenance of Assets The property rationalisation programme is currently under review which may delay further the provision of suitable accommodation and may not generate anticipated capital receipts. Combined with further cuts to maintenance and repair budgets services face maintenance challenges and a shortage of suitable accommodation until the programme is completed. Highway and Countryside Assets - risk of failure of assets, e.g. landslips, reservoirs, blocked gullies causing flooding, safety fencing, street lighting columns etc	CRD/ET E	3	5	15	3	5	15	—	<ul style="list-style-type: none">• Asset Management Plan in place• Capital Programme in place• Joint working with other district councils/partners.• Location independent working initiated.• Regular Health and Safety inspections undertaken.• Annual premises reviews undertaken by Property Division to identify defects and remedial actions.• Defect reporting procedure in place.• Relevant testing schemes in place.• Staff access to building information.• Develop building facilitator course for staff with responsibility for buildings.• Customer Profiling intended to provide optimal solution on where presence should be focused.• Review property strategy.• Buy-in for IT infrastructure needed to support project.• Continue to develop Asset Management Strategy and associated policies and work on high risk locations• Accredited Highways and Structures Inspection Regime• Intelligent Gully Cleansing procedures being rolled out across all Boroughs and Districts to improve maintenance, resolve defects, and enhance history of actions• Continue to develop Asset Management of the structures stock, gather retaining walls data and assess associated risks• Manage large raised reservoirs on DCC property to comply with Floods and Water Act 2010• Undertake routine inspection and maintenance on canal assets. Agree surveillance regime particularly following storm or high rainfall events.• Highway safety and service inspections in accordance with the CoP• Three year, £23.3m, investment into LED and dimming technology has been approved. This will include the replacement of 22,000 5 and 6m columns considered to have a higher risk of failure within the lifetime of the LED. Start date may be Q4 of 2016/17.• Columns above the 6m height will continue to be assessed and monitored and will be subject to future capital LTP replacement programmes <ul style="list-style-type: none">• Annual inspection of "A" road network; "B" road network inspection every 2 years	A Derbyshire that works	Jeremy Goucher - Sarah Morris / Geoff Pickford

				New Score			Previous Score							
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Government Modernisation Agenda	2013/2	<u>Impact of welfare reform</u> Welfare reforms and widening gaps between richest and poorest residents may increase the number of service users in need/poverty which could create increased family referrals and pressure on adult, children service and public health resources.	AC/ CAYA/ HAC	4	5	20	4	5	20	—	<ul style="list-style-type: none">• New arrangements for administration of self-funding.• Anti-poverty strategy implementation plan being developed by DCC.• Health and Wellbeing Strategy to be refreshed to increase economic wellbeing and poverty agenda.• Protection and enhancement of current welfare rights support service.• Media releases on Public Health issues.• Regular briefings for Health and Wellbeing Portfolio holder and board.• Services targeted at areas of greatest need.• Credit Union, Food Bank and Children's Centre initiatives in place.• Director of Health Annual Report recommends partner actions.• Payment of minimum wage for DCC employees.• Monitor commitment to implementation of DHAR recommendations.		A Derbyshire that Cares	Bill Robertson Roger Miller/Linda Dale/Maureen Whittaker
Regulatory and legislative failures	2013/4	<u>Legal Challenge</u> The Authority is exposed to legal challenges concerning procurement decisions from unsuccessful parties.	All	4	4	16	4	4	16	—	<ul style="list-style-type: none">• Tightly follow council procurement procedures ensuring that statutory requirements are met.• Close liaison with Legal Services is part of the procurement process.• Standardisation of procurement document/templates.• Procurement leads gaining full CIPS membership.		A Derbyshire that works	Chris Woodhouse

				New Score			Previous Score						
Category	Risk Identifier No	Risk Description	Dept	Impact	Likelihood	Previous Score	Impact	Likelihood2	Current Score	Change	Mitigation - Current Comments	Link to Council Plan	Dept Contact
Regulatory and Legislative Failure	2013/7	<u>Risk of Injury to Employees</u> The Council faces an increased risk of injury to employees involved in front line visiting and enforcing services.	ALL	4	2	8	4	2	8	—	<ul style="list-style-type: none">• Procedures in line with legal requirements and best professional standards• Personal Accident Assault Insurance Cover in place.	A Derbyshire that works	Trevor Gunner Jackie Griffiths
Financial	2015/03	<u>D2N2</u> The Council will be the accountable body for the Growth Fund. It is exposed to grant clawback affecting the LEP members if expenditure is not recorded or is not made in accordance with the grant terms and conditions.	ETC/CRD	4	3	12	4	3	12	—	<ul style="list-style-type: none">• Service Level Agreement is explicit in terms of risk of grant clawbacks.• Register of assets purchased with grant funds should be maintained and verified on a regular basis.• Ensure that expenditure is eligible under the grant terms and conditions and ensures compliance with the funding bodies rules and guidance, and to be aware of any changes to those rules or guidance. CSR15 confirmed commitment of £12bn funding until 2020-21, confirming indicative allocations.	A Derbyshire that works	Peter Handford
Financial	2016/01	<u>State Aid/EU challenge against DCC and the Community Transport sector</u>	ETC	4	4	16	4	4	16	—	Guidelines received from DfT about State Aid. DfT have been served Infraction Proceedings from the EU. Worse case scenario could be financial implications to commercial operators; Community Transport providers unable to continue to operate under Section 19 Permit therefore service continuity issues; DCC prosecuted for illegal use of State Aid. Q2 update complainant has contacted Erewash CT again about the issue. Erewash are working with Community Transport Association to respond to latest letter. Continue co-operation with DfT. Close working between colleagues in Legal Services and ETE to present continuity in response.	A Derbyshire that works	Allison Thomas Angela Glithero