

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

28th March 2018

Report of the Director of Finance & ICT

STRATEGIC RISK REVIEW

1 Purpose of Report

To advise Members of the latest update to the Strategic Risk Register.

2 Information and Analysis

The Council undertakes regular review of risks and the latest detailed assessment of the highest ranking risks forms the Council's Strategic Risk Register which has been made available to Members in Appendix.

The Risk Register is a means by which the Council identifies, monitors and manages risks, and it is also used to inform the budget process. Risk mitigation measures do not always involve a financial requirement, but many do, and budgetary provision, financial reserves and provisions are made accordingly, taking account of Council priorities and available funding.

The Risk Register is designed to capture strategic risk which by its nature has a long time span. The Strategic Risk Register has been reviewed by the Risk and Insurance Manager pending review by CMT and Cabinet and there are a number of additions and deletions where departments have considered risks that previously impacted strategically to now be more suitable at a departmental level.

It is vital that risk management policies and procedures support the Council Plan and its ambitions. The management of risk must be a key part of the Council's delivery of service. Service Plans should reflect the risks facing services and the management of those risks, as does the Five Year Financial Plan.

As agreed previously, the report to Committee has been changed so that only those risks that have changed are detailed in Appendix One. New risks are detailed in Appendix Two and the full Strategic Risk Register is included in Appendix Three.

3 Council Risk Management Strategy and Strategic Risk Review

The 2012 Risk Management Strategy for the Council has been reviewed and drafted to reflect an enterprising approach to risk. It has been agreed that the Risk and Insurance Manager meet with CMT and a number of key Members over the next month in order to ensure that the strategy proposed reflects the Council Plan and the Council's appetite for risk.

Once the Strategy is in place, it is proposed that the Strategic Risk Register is reviewed by the Cabinet and CMT to ensure that the risks that are represented are in line with the Corporate Plan and to identify any new and emerging risks that may face the Council in the future.

The Risk and Insurance Manager can facilitate a round table discussion to enable Cabinet and CMT to identify the key strategic risks if this is deemed to be appropriate.

The two day training course referred to in the report for 4th July 2017 has been completed by the Risk Champions and senior Health and Safety officers in October 2017 to provide them with the basics on Enterprise Risk Management.

Further training courses are planned for the remainder of 2018-2019 to provide key employees and Members if required on the basics of Risk Management and the Risk and Insurance Manager suggests:

- **Strategic Risk Management Briefing Sessions** aimed at Service Directors, Senior Managers and Elected Members
- **Operational Risk Management Training Courses** for all who need to understand the principles and mechanisms of effective risk management
- **Collaborative Working – Managing the Risks** to cover strategic service partnerships; community partnerships; consortium purchasing; outsourcing and shared services arrangements

4 Considerations

In preparing this report the relevance of the following factors has been considered:- financial, Legal and Human Rights, equality of opportunity, health, environmental, transport, property and crime and disorder considerations.

5 Officer's Recommendation

That the report be noted.

PETER HANDFORD
Director of Finance & ICT

Strategic Risk Register – Summary of Changes

New Risks

There is new risk identified during this period.

Risk Identifier	Description	Impact Score	Probability Score	Total Score	Mitigation
2018/03	GDPR – failure to be prepared for the new regulations coming into force May 2018	4	4	16	IGG has oversight. Working group established Summer 2017 and action plan in place. ICO audit in September 2017 found adequate arrangements in place. Data Information audit largely completed. Privacy Impact Assessment process embedded in procurement and data sharing projects. Training of staff managing data undertaken.

Changes to risks already on the Risk Register

Scores

There has been one change to the scores since the last register was seen by Committee.

Risk Identifier	Description	Previous Score	New Score	Reason
2013/12	Welfare Reform	20	15	An additional post has been created to brief and support professionals across services to understand the changes and prepare for them. The impact upon the Council as a whole has been re-evaluated from a 4 to 3.

Mitigations

Some of the mitigations/comments have changed and are highlighted below.

Risk Identifier	Description	Additional/changed mitigation
2011/15	Adequacy of Business Continuity Planning	<ul style="list-style-type: none"> • Business Continuity Plan updated and tested regularly (plan reviewed annually, training and exercises held annually) from <i>“Business Continuity Plan updated and tested regularly (plan reviewed every six months, training and exercises held June 2014.”</i>
2011/9	Protection of Children and Vulnerable Adults	<ul style="list-style-type: none"> • Robust safeguarding procedures, including within Starting Point to embed multi-agency thresholds and pathways. • Independent chairing of Derbyshire Children's Safeguarding Board ensures robust challenge to all agencies informed by audit activity • Growth funding identified to reduce social worker caseloads to reduce levels of risk. • Review of supervision policy taking place for Early Help/Social Care. • Work to strengthen learning and development and performance/QA culture across the Department including learning from Serious Case Reviews • Effective risk management processes for outdoor services delivered by DCC and licences/qualifications to ensure best practice. • Promotion of culture of managing risk within each setting.
2012/2	Maintenance of Assets	<ul style="list-style-type: none"> • Working towards a risk based approach to asset management in line with the recently released Code of Practice - "Well Maintained Transport Infrastructure". • Corporate Landlord Statutory Compliance Monitoring • Corporate Property Asset Management Strategy
2011/10	Looked After Children	<ul style="list-style-type: none"> • Continue to highlight pressures and risks to central Government via ADCS. • Growth funding identified to increase social work capacity to strengthen ongoing work with families to avoid situations escalating for some children who might otherwise come into care. • Delivery of LAC sufficiency project to increase placement availability and reduce costs. • Ongoing recruitment and support to foster carers.

		<ul style="list-style-type: none"> • Project with Dartington Social Research to increase the number of children who can be safely reunified with family. • Closely monitor impact of Early Help services especially where services have reduced.
2015/03	D2N2	<ul style="list-style-type: none"> • CSR15 confirmed commitment of £12bn funding until 2020-21, confirming indicative allocations

Summary of Risks Which Will No Longer Appear on the Register

Risk Identifier	Description	Comments
2011/12	Failure to Meet Waste Management Targets	Reduced to a departmental risk following input from ETE as no longer presents a significant risk to the Council as a whole
2012/4	Broadband Risk	Reduced to a departmental risk following input from ETE as no longer presents a significant risk to the Council as a whole
2016/01	State Aid/EU Challenge	Reduced to a departmental risk following input from ETE as no longer presents a significant risk to the Council as a whole

Strategic Risk Register

New Risks on Departmental Registers scoring over 12

Dep't	Dep't Risk Identifier	Description	Impact	Score	Which SR's Applicable
CRD / Property	12	Expansion of Academies programme continuing effect on funding levels	Financial	25	2011/18 Provision of Services to Schools
CRD / Property	13	Reduction in Capital & revenue budget to fund projects	Buildings falling into disrepair	20	2012/12 Maintenance of Assets
CRD / Property	14	Ongoing budget reductions	Impact on ability to provide core services. Reduction in staffing levels have reduced capacity to carry out tasks. Remaining staff placed under increased work pressures.	20	2011/11 Impact of a prolonged and funding Gap 2011/19 Effective Change Management
CRD / Property	15	Growth in Property and Construction Industry impacting on staffing resources. Remuneration packages offered by DCC not keeping place with industry average	Impact having effect on ability to deliver core services.	25	2011/19 Effective Change Management
CRD / Property	16	Gradual reduction of fee income to support provision of professional services function.	Impact having effect on ability to deliver core services.	12	2011/19 Effective Change Management
CRD / Property	17	Implementation of SAP to replace TASK	Levels of processing now known to be significantly higher than within TASK. Core features have not been delivered, inflexible system causing severe operational	25	2011/19 Effective Change Management

			difficulties. Significant risk of under-delivery of overheads		
CCP / Property	19	Failure to deliver Asset Valuations due to insufficient valuers	Council may not be able to close the end of year accounts	15	2011/19 Effective change management
CCP / Property	20	Gaps in monitoring H&S compliance between different Services	DCC could face prosecution through HSE	20	2011/19 Effective change management
CS	40	Failure to recruit and retain experienced staff	Unacceptably high caseloads/Employee stress increasing	20	2011/19 Effective change management
CCP	CRD72	Management ability to manage change	Lack of leadership/management skills meaning change is not implemented effectively	16	2011/19 Effective change management
CCP	CRD73	Job Evaluation Service	The resourcing, resilience and reporting lines could impact on organizational restructuring timetables. Decentralisation of JE service could impact the integrity of staff grading structure.	16	2011/19 Effective change management
CCP	CRD74	Grading Appeals	TU's are pressing to re-introduce employee driven grading appeals could impact on organizational restructuring timetable and Job Evaluation service would not manage the workload.	16	2011/19 Effective change management
CCP	CRD75	Failure to fully risk assess projects / procurement or commissioning in a consistent approach across all departments	Without a consistent approach different services are not addressing the full risk of projects that could impact on the reserves and reputation of the Council as well as impacting upon the Council Plan.	20	2011/19 Effective change management

ALL		Failure to be prepared for GDPR	High fines/increased litigation/potential increased workload from requirements and rights under GDPR	16	NEW
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Risks on Departmental Registers Increasing scoring above 12

Dep't	Dep't Risk Identifier	Description	Impact	Old Score	New Score	Which SR's Applicable
AC/Public Health	PH 10/15	Risk to public of infections caused by low vaccination rates	Increased hospitalisation/care requirements	8	12	N/A

Category	Risk Identifier No	Risk Description	Dept	Impact	Likelihood	Previous Score
Financial	2011/1	<p><u>Impact of a prolonged recovery and a funding gap</u> 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.</p>	ALL	5	5	25

Financial	2011/18	<p><u>Provision of services to schools</u></p> <p>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.</p>	ALL	5	4	20
Financial	2011/10	<p><u>UPDATED Looked after Children</u></p> <p>An increase in Looked After Children (LAC) numbers and therefore costs - due to increasing demand pressures mirroring national trends, UASC, reductions in Early Help Services and rising placement costs.</p> <p>Increased numbers of looked after children as a result of increased referrals following recent high profile cases and increased costs of care.</p>	CS	5	4	20

Financial	2011/12	<p><u>Continuing Healthcare</u> 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.</p>	AC	5	4	20
Government Modernisation Agenda	2011/19	<p><u>Effective Change Management</u> 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.</p>	ALL	4	5	20

Government Modernisation Agenda	2011/22	<p><u>Central Government Reforms</u> 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.</p>	ALL	5	5	25
Regulatory & Legislative Failures	2011/21	<p><u>Collective Challenge under Judicial Review</u> 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.</p>	ALL	4	3	12

Emergency Response & Service Continuity	2011/20	<p><u>Supply Chain Failure</u> 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.</p>	ALL	5	5	25
Government Modernisation Agenda	2011/8	<p><u>Implementation of Self Directed Support in line with the Personalised Care Agenda</u> 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

Regulatory & Legislative Failures	2011/2	<p><u>DELETE Failure to Meet Waste Management Targets</u></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>	ETE	4	3	12
Regulatory & Legislative Failures	2012/1	<p><u>Information Governance, Cyber and Social Media</u></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

Organisational Change	2011/14	<p><u>Residential Care</u> The Authority faces a challenge in maximising use/potential of planned Residential Community Care Centres and extra care developments</p>	AC	4	3	12
Emergency Response & Service Continuity	2011/6	<p><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.</p>	ALL	4	4	16

Emergency Response & Service Continuity	2011/11	<p><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.</p>	ALL	4	2	8
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Emergency Response & Service Continuity	2011/5	<p><u>Adequacy of Business Continuity Planning</u></p> <p>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.</p>	ALL	5	2	10
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Regulatory & Legislative Failures	2011/9	<p>UPDATED Protection of Children and Vulnerable Adults The Council has a statutory responsibility to protect children and vulnerable adults from harm.</p>	AC/ CS	5	3	15
Financial	2012/4	<p>DELETE 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.</p>	ETE	4	3	12

Organisational Change	2012/2	<p><u>Maintenance of Assets</u> 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</p>	CCP/E TE	3	5	15
Government Modernisation Agenda	2013/2	<p><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.</p>	AC/ CS/ HAC	4	5	20

Regulatory and legislative failures	2013/4	<p>Legal Challenge</p> <p>The Authority is exposed to legal challenges concerning procurement decisions from unsuccessful parties.</p>	All	4	4	16
Regulatory and Legislative Failure	2013/7	<p>Risk of Injury to Employees</p> <p>The Council faces an increased risk of injury to employees involved in front line visiting and enforcing services.</p>	ALL	4	2	8
Financial	2015/03	<p>Updated DZNZ</p> <p>The Council will undertake the role of the Accountable Body to the Local Growth Fund from 1 April 2015 and will be responsible for the administration of the £170m+ funding.</p> <p>There is a possibility of grant clawback and the Council may be asked to take on that risk. There may be a possibility of grant funds being required to be underwritten if grants are paid in arrears i.e. impact on the cashflow position of the Council.</p> <p>Grantor's rules on disposal of assets and/or change use of assets to ensure that any receipt from the sale of the asset is reimbursed to the grant issuing body and that relevant negotiations take place to minimise the risk of clawback to the accountable body.</p> <p>The risk of grant clawback, particularly for capital expenditure, could be indefinite in some cases.</p> <p>Unfunded schemes may require the Council to undertake loans in order for the schemes to continue.</p> <p>Loss of investment to due to new 'Bail In' legislation. The Council as a senior unsecured creditor may be liable for a 'haircut' of its loans to banks/building societies.</p> <p>Loss of investment to due to new 'Bail In' legislation. The Council as a senior unsecured creditor may be liable for a 'haircut' of its loans to banks/building societies.</p>	ETE/ CCP	4	3	12
Financial	2018/03	<p>GDPR</p> <p>Failure to be prepared for the new regulations coming into force in May 2018 with potential for large fines by the ICO and increased potential of Civil Action.</p> <p>This risk is linked to risk 2012/1 Information Governance, Cyber and Social Media</p>	All	4	4	

Financial	2016/01	State Aid/EU challenge against DCC and the Community <u>Transport sector</u>	ETE	4	4	16
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Impact	Likelihood2	Current Score	Change	Mitigation - Current Comments	Link to Council Plan	Dept Contact
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 	Transport	ALL

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-commissioning of early help & co-investment/joint commissioning. 	A Derbyshire that works	Angela Beighton
5	4	20	<ul style="list-style-type: none"> • Continue to highlight pressures and risks to central Government via ADCS. • Growth funding identified to increase social work capacity to strengthen ongoing work with families to avoid situations escalating for some children who might otherwise come into care. • Delivery of LAC sufficiency project to increase placement availability and reduce costs. • Ongoing recruitment and support to foster carers. • Project with Dartington Social Research to increase the number of children who can be safely reunified with family. • Closely monitor impact of Early Help services especially where services have reduced. • 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 Alison Noble

5	4	20	<p>—</p> <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
4	5	20	<p>—</p> <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 : <ul style="list-style-type: none"> 1. Develop management capacity and capability through a Leadership Development programme (Derbyshire Manager) 2. 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 3. 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 <ul style="list-style-type: none"> 1. Mitigate compulsory redundancies, improve redeployment and talent management through the timely development of an Internal Jobs Market 2. Enable increased flexibility and support remodelling of the workforce by implementing remaining job families and contracting employees with the Council rather than departments 3. Use the Organisational Design principles effectively in developing new structures 4. 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 	A Derbyshire that works	ALL

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 	A Local Derbyshire	Roger Miller, Geoff Hallam Linda Dale
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

5	5	25	<p>—</p> <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. <p>Plans to develop sector wide approaches and innovative approaches to delivering health support in care homes - locally and at county level.</p> <p>Identifying ownership of all providers in Derbyshire to better understand financial positions.</p> <p>Joint strategic work with councils</p> <ul style="list-style-type: none"> • 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
4	4	16	<p>—</p> <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. <p>Develop self-directed care strategy and robust preparation Trusted PA Reigster in place.</p> <ul style="list-style-type: none"> • 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

4	3	12	<p>—</p> <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 Sinfyn, 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 Sinfyn 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 is 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	Alison Thomas
5	3	15	<p>—</p> <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 Frameworkki 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?

4	5	20	<p>—</p> <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. <p>Strategic Direction for DCC Direct Care Residential Services 2015/20 Plan developed and approved by Cabinet will;</p> <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
4	4	16	<p>—</p> <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. 	A Derbyshire that works	David Hickman/John Gilbert

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 	A Safer Derbyshire
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Geoff Pickford

5	2	10	<p>On-going Mitigations;</p> <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 annually, training and exercises held annually) • Business Impact Analysis updated regularly <p>Planned Mitigations;</p> <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 2015 Report to CMT September 2015. • 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 Services <p>NB. This risk will remain on the Strategic Risk Register for monitoring purposes</p>	A Derbyshire that works	Liz Partington
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5	3	15	<p>—</p> <ul style="list-style-type: none"> • Robust safeguarding procedures, including within Starting Point to embed multi-agency thresholds and pathways. • Independent chairing of Derbyshire Children's Safeguarding Board ensures robust challenge to all agencies informed by audit activity • Growth funding identified to reduce social worker caseloads to reduce levels of risk. • Review of supervision policy taking place for Early Help/Social Care. • Work to strengthen learning and development and performance/QA culture across the Department including learning from Serious Case Reviews • Effective risk management processes for outdoor services delivered by DCC and licences/qualifications to ensure best practice. • Promotion of culture of managing risk within each setting. • 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. 	A Derbyshire that cares	Roger Miller /Geoff Hallam Jane Parfremont
4	2	8	<p>—</p> <p>Dialogue has commenced with all partner local authorities for capital contributions.</p> <p>Information on demand and current coverage levels have been discussed with districts to provide a deeper understanding of the issues in each area.</p> <p>Planning mechanisms are being considered with districts as a way of releasing capital.</p> <p>ERDF remains a potential source to contribute to the capital funding gap.</p>	A Derbyshire that works	Natalie Wood

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 	A Derbyshire that works	Jeremy Geueher Sarah Morris / Geoff Pickford
3	5	15	D O W N	<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/Anne Hayes

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. • Common and consistent application of procurement process and practice. • Procurement leads gaining full CIPS membership. 	Work efficiently and effectively	Chris Woodhouse
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	Frederic Gunner-Jackie Griffiths
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
		16	N E W	<ul style="list-style-type: none"> • IGG has oversight. • Working group established Summer 2017 and action plan in place. • ICO audit in September 2017 found adequate arrangements in place. • Data Information audit largely completed. • Privacy Impact Assessment process embedded in procurement and data sharing projects. training of staff managing data undertaken. 		

4	4	16	-	<p>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.</p>	A Derbyshire that works	Allison Thomas
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