

DERBYSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

26 September 2018

Report of the Director of Finance and 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.

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. 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 Audit 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 Update

The Risk Strategy has been re-written to reflect the Council Plan and the need to include opportunity risks within the Strategy and is now in circulation for comment by relevant departments. Once it has been reviewed by the departments a date will be set to meet with a number of key Members in order to ensure that the strategy proposed reflects the Council Plan and the Council's appetite for risk.

CMT attended a workshop on the 25th June 2018 to assist them in identifying the key strategic risks that could impact on the Council's ability to meet their objectives. A further workshop is planned at a further date to enable them to consider the risk appetite and key strategic risks in greater detail.

The Risk and Insurance manager has run 3 full day training courses for those involved in outsourcing and commissioning aimed at enabling attendees to work through and identify risks of these activities. These courses will enable improved risk reporting and understanding of both the risks and opportunities that are presented.

A further two days are being organised at the end of October due to the popularity of the course.

Further training courses can be 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

Strategic Risk Horizon Scanning

A number of Strategic Risks are on the horizon that may require a long term approach and consideration, and the Risk and Insurance Manager feels that further discussion is given to both risks and opportunities that present from:

- Brexit
- The Internet of Things
- Artificial Intelligence

Departmental Risk Focus

The risk of transporting Children and Vulnerable Adults is appearing on ETE, Children's and Adult's risk register, scored between 20-25 depending upon the department.

The Risk and Insurance Manager, together with Health and Safety and Transport are holding a number of workshops to fully consider the risks that are posed and to identify any means of further mitigating these significant risks and increasing costs to the Council.

As background, the Council outsources this provision to individual companies from small taxi companies to larger providers; however this prevents a huge logistical and now safeguarding issue, some of which are detailed below:

- Some operators do not know how to secure wheelchairs/equipment in a safe manner meaning an increased risk of injury/death to service users.
- Language barriers creating safeguarding issues
- Lack of continuity of drivers/passenger assistants creating safeguarding issues
- Some companies do not follow guidelines required creating safeguarding issues – ie not providing trained passenger assistance
- Some companies do not understand the requirement to keep data safe
- Rising number of children and adults requiring transport is increasing thereby increasing costs
- Increasing number of children and adults with complex specialist needs with not enough providers to meet needs or having to accept reduced provision

It is proposed that once a full review has taken place that the Audit Committee review the findings.

Other 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.

4 Officer's Recommendation

That the report be noted.

PETER HANDFORD
Director of Finance and ICT

Strategic Risk Register – Summary of Changes

APPENDIX ONE

New Risks

There is one new risks identified during this period.

Risk Identifier	Description	Comments	Link to Council Plan
2018/04	Failure to recruit and retain staff. Lack of succession planning	<p>This risk is appearing on all Departmental Risk registers and therefore it is appropriate that the Council identifies this as having a potential impact upon the Council as a whole and a centralised plan put in place to mitigate this risk.</p> <p>CMT and the Risk Champions will be asked to consider this risk and mitigating actions as an agenda item.</p>	<ul style="list-style-type: none">• Work effectively and efficiently

Changes to risks already on the Risk Register

Scores

There no changes to the scores since the last register was seen by Committee.

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">• Risk Champions to undertake a full review of Business Continuity Plans in January 2019 with them considering the effectiveness and consistency of Service Plans prior to this date

2012/12	Maintenance of Assets	<ul style="list-style-type: none"> • New Adverse Weather Policy being developed during 2018
---------	-----------------------	--

Summary of Risks Which Will No Longer Appear on the Register

Risk Identifier	Description	Comments
2013/4	Legal Challenge	<p>The Risk and Insurance Manager has been advised that we receive very few legal challenges and we now have a sufficiently robust system in place to protect the Council from this event.</p> <p>Therefore the risk shall appear on the Departmental Register for monitoring purposes.</p>
2013/7	Risk of Injury to Employees	<p>The risk to the Council has maintained at an 8 and therefore need not be considered a Strategic Risk.</p> <p>Therefore the risk shall appear on the Departmental Registers for monitoring purposes.</p>

We would ask the Committee to note that in the report dated 27th March 2018, it was proposed that the Strategic Risk relating to failure to meet waste management targets was deleted as it was no longer a strategic risk.

Following a meeting with Legal and ETE, the Risk and Insurance Manager feels it prudent to retain this risk on the strategic risk register in view of the ongoing contract to build the Sinfin Waste Treatment plant.

Departmental Risk Registers

Please note that there were no changes to ETE and Adult Care's risk register from May 2018.
Please note that CCP did not submit an updated risk register for September 2018.

New Risks on Departmental Registers scoring over 12

Dep't	Dep't Risk Identifier	Description	Impact	Score	Which SR's Applicable	Impact on Council Plan
PH	PH 8/18	Concerns over future of Octigo IT system and lack of contract meaning DCC does not have adequate means of protection against Data Protection issues and ICO fines.	DCC could face fines and litigation following a data breach as a result of the provider's insecure platform	15	2012/1 Information Governance – Cyber and Social Media	<ul style="list-style-type: none"> • Work effectively and efficiently
CS	41	Stability of School Budget planning, especially for higher cost, small rural schools	Schools may not be able to manage their budgets effectively and therefore creates funding shortfalls	25	2011/1 Impact of a prolonged recovery and a funding gap	<ul style="list-style-type: none"> • Work effectively and efficiently • Help children and young people get the best start • Protect local people and communities
CS	42	Concerns that a replacement DACES MIS system will not be in place by the time that Aqua is withdrawn in March 2019	Loss of DACES ESFA funding if a replacement system is not in place	15	2011/1 Impact of a prolonged recovery and a funding gap	<ul style="list-style-type: none"> • Work effectively and efficiently
CS	44	Failure to secure sufficient developer contributions to meet cost of new schools/places	Old schools do not get replaced, increased cost of upkeep of older properties,	16	2011/1 Impact of a prolonged recovery and a funding gap	<ul style="list-style-type: none"> • Work effectively and efficiently

			schools cannot offer sufficient places to meet demand			<ul style="list-style-type: none"> • Help children and young people get the best start • Protect local people and communities
CS	46	Reliance on one key individual to manage Mosaic finance module	No resilience	16	No appropriate SR. Propose to add "Succession planning/retaining staff to the Strategic Risk Register"	<ul style="list-style-type: none"> • Work effectively and efficiently • Invest in employment and skills

Risks on Departmental Registers Increasing scoring above 12

Dep't	Dep't Risk Identifier	Description	Impact	Old Score	New Score	Which SR's Applicable	Impact on Council Plan
CS	7	Increase in numbers of Looked After Children (LAC)	Reduced capacity to identify and address emerging needs may result in increasing number of children admitted into e	12	20	2011/10 Looked after Children	<ul style="list-style-type: none"> • Keep children and adults safe • Help children and young people get the best start • Be a good corporate parent for children in our care

Category	Risk Identifier No	Risk Description	Dept	Previous Score			C h a n g e	Mitigation - Current Comments	Link to Council Plan	Dept Contact
				Impact	Likelihood	Current Score				
Financial	2011/1	<p><u>Impact of a prolonged recovery and a funding gap</u></p> <p>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	—	<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 	Work effectively and efficiently	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	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. 	Work effectively and efficiently	Angela Beighton
-----------	---------	--	-----	---	---	----	---	---	----------------------------------	-----------------

Financial	2011/10	<p><u>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	—	<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. 	Be a good corporate parent for children in our care	Alison Noble
Financial	2011/12	<p><u>Continuing Healthcare</u></p> <p>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	—	<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 escalation discussions • Improve flow across all services • Explore development of joint commissioning strategy and pooled budget for Learning Disability Services to minimise focus on co-ordination to ensure better value for money 	Keep children and adults safe	Roger Miller

Service /Operational Disruption/key Targets & Objectives	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	—	<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. 	Improve social care	Roger Miller, Linda Dale
--	---------	--	-----	---	---	----	---	--	---------------------	--------------------------

Statutory Duties/Legal Obligations	2011/21	<p><u>Collective Challenge under Judicial Review</u></p> <p>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	—	<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 	Transport	ALL
------------------------------------	---------	---	-----	---	---	----	---	--	-----------	-----

Stakeholder implications	2011/8	<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.	AC	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 for 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. 	Improve social care	Roger Miller
Service /Operational Disruption/Key Targets & Objectives	2011/2	<u>UPDATED Failure to Meet Waste Management Targets</u> 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.	ETE	4	3	12	—	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 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, however due delays in construction caused by the main technology provider going into administration the facility is now expected to be fully operational later in 2018.	Protect and enhance the natural environment.	Claire Brailsford

Statutory Duties/Legal Obligations	2012/1	Information Governance, Cyber and Social Media 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.	ALL	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 Framework 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. 	Work effectively and efficiently	Jo White
Stakeholder implications	2011/14	Residential Care The Authority faces a challenge in maximising use/potential of planned Residential Community Care Centres and extra care developments	AC	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 	Improve social care	Roger Miller

Service /Operational Disruption/Key Targets & Objectives	2011/6	ICT Infrastructure & Systems 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	—	<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. • Encryption on devices; antivirus and other security tools are kept under review 	Work effectively and efficiently	David Hickman/John Gilbert
--	--------	--	-----	---	---	----	---	---	----------------------------------	----------------------------

Service /Operational Disruption/key Targets & Objectives	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	—	<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. 	Protect and enhance the natural environment.	Geoff Pickford
--	---------	--	-----	---	---	---	---	---	--	----------------

Service /Operational Disruption/key Targets & Objectives	2011/5	<p>UPDATED Adequacy of Business Continuity Planning</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	—	<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 <p>Report to CMT September 2015.</p> <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 Services <p style="text-align: right;">• Risk</p> <p>Champions to undertake a full review of Business Continuity Plans in January 2019 with them considering the effectiveness and consistency of these plans prior to this date</p> <p>NB. This risk will remain on the Strategic Risk Register for monitoring purposes</p>	Work effectively and efficiently	Liz Partington
--	--------	--	-----	---	---	----	---	---	----------------------------------	----------------

Statutory Duties/Legal Obligations	2011/9	<p><u>Protection of Children and Vulnerable Adults</u></p> <p>The Council has a statutory responsibility to protect children and vulnerable adults from harm.</p>	AC/ CS	5	3	15	—	<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. • 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 	Keep children and adults safe	Roger Miller / Jane Parfremment
------------------------------------	--------	--	--------	---	---	----	---	---	-------------------------------	---------------------------------

Service /Operational Disruption/Key Targets & Objectives	2012/2	<p><u>Maintenance of Assets</u></p> <p>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.</p> <p>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/ETE	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. 	Transport	Sarah Morris / Geoff Pickford
--	--------	---	---------	---	---	----	---	---	-----------	-------------------------------

Stakeholder implications	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/ CS/ HAC	3	5	15	-	<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	Roger Miller/Linda Dale/Anne Hayes
statutory Duties/Legal Implications	2013/4	<u>TO BE DELETED Legal Challenge</u> The Authority is exposed to legal challenges concerning procurement decisions from unsuccessful parties.	All	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
Physical Injury/Health and Safety	2013/7	<u>TO BE DELETED 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	—	<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	-Jackie Griffiths

statutory Duties/Legal Implications	2018/03	GDPR 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. This risk is linked to risk 2012/1 Information Governance, Cyber and Social Media	All	4	3	12	-	<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 completed and lawful basis for processing identified. • Privacy Impact Assessment process embedded in procurement and data sharing projects. Training of staff managing data undertaken. <ul style="list-style-type: none"> • Extensive GDPR training programme rolled out across the Council and within schools. • Significant progress has been made against the ICO Action plan • Emerging risk: some third party providers have refused to agree to amended contract conditions. Legal and procurement teams working together to resolve and identify key risk contracts. • Emerging Risk: systems compliance. To be addressed by ICT Strategy. 	Work effectively and efficiently	Simon Hobbs
	2018/04	RECRUIT AND RETAIN STAFF A failure to recruit and retain experienced staff; a lack of succession planning in order to ensure effective continuity of key skills and knowledge at all levels including leadership skills	All	4	5	20	NEW	TBC	Work effectively and efficiently	All