

# APPENDIX F: Corporate Risk Register 2013/14 - Updated as at September 2014

	Risk Action	Risk Rating Likelihood/ Impact	Mitigating Action
<p><b>Further reductions in Government Grant</b></p> <ul style="list-style-type: none"> <li>The Council is aware of possible reductions beyond 2015/16 to 2018/19, following the Financial Settlement 2013 and based on OBR analysis.</li> </ul> <p><b>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</b></p>	Treat the Risk	Remains High	<ul style="list-style-type: none"> <li>Updated Medium-term Financial Plan in place covering 5-years. This allows for a reduction in overall resources.</li> <li>Budgets considered prudent with provisions for inflation and growth.</li> <li>Current reserves are healthy and will help to sustain further reductions in the short-term allowing time for more sustainable action.</li> <li>Updated MTFP reported in October 2014 shows an improving short-term position but with longer term risks.</li> <li>On-going programme in place to generate efficiencies and budget savings. £430k achieved in 2013/14.</li> <li>As a growth area, overall reduction in core funding could be mitigated through the New Homes Bonus and Retained Business Rates.</li> <li><b>Following the updated financial projection reported in October, the risk remains high until arrangements for future core funding are clear; this is expected in the next parliament, post May 2015.</b></li> </ul>
<p><b>Economic Situation</b></p> <ul style="list-style-type: none"> <li>Although nationally there are indications that the economic situation is starting to improve, many analysts are still unsure how sustainable and consistent this is. As a Growth area, the economic cycle has a relatively greater impact on the Council.</li> <li>This could limit the Council's income.</li> <li>Locally, the amount of people claiming benefit has levelled off but is not reducing. Council Tax and Housing Rent arrears have increased.</li> <li>New development and regeneration locally has continued although it is slower and less frequent compared to pre 2010 as businesses take a cautionary approach.</li> </ul>	Tolerate the Risk	Remains Medium	<ul style="list-style-type: none"> <li>Budgets for income streams and specific grant allocations are assumed at current minimum levels; service provision is based on this.</li> <li>Supporting voluntary and community groups to help people in need, including through the Derbyshire Financial Inclusion Partnership and with the CAB.</li> <li>Measures in place to maximise benefit subsidy and fraud is proactively being pursued with successful prosecutions.</li> <li>The Asset Management Plan has focused on ensuring the Council's assets are being positioned to react to an economic upturn.</li> <li>On-going dialogue with developers and housing providers to look at alternative options for regeneration.</li> <li><b>The risk remains Medium, but it is considered that the Council is undertaking as much action as reasonably possible to mitigate influencing factors.</b></li> </ul>

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<b>Keeping pace with Technology</b> <ul style="list-style-type: none"> <li>The Council's IT infrastructure needs to keep pace with existing and emerging technologies.</li> <li>Stricter regulations for managing and exchanging information in electronic form through the Public Services Network</li> </ul> <i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i>	Treat the Risk	Remains Medium	<ul style="list-style-type: none"> <li>The IT strategy has identified some key projects that are currently being actioned, with the server infrastructure upgraded during 2013.</li> <li>E-mail archiving/storage system, desktop virtualisation and Microsoft upgrade now complete.</li> <li>Connectivity improvements in the current infrastructure next to be actioned – network and wireless points to be upgraded.</li> <li>Disaster Recovery solution being strengthened at an independent location and business continuity for IT to be reviewed as a consequence.</li> <li>The Council undertakes an annual independent health check to ensure that the Council is compliant with the Government's Security Standard (Public Services Network – PSN). The Council achieved compliance with new regulations in April 2014.</li> <li>Annual internal audit review tests robustness of systems and infrastructure – recommendations for improvement are monitored by the Audit Sub-Committee.</li> <li><b>Although the risk remains Medium, current investment and positive actions over the coming year should lower this risk in the longer-term.</b></li> </ul>
<b>Business Continuity and in particular the loss of the main Civic Offices.</b> <ul style="list-style-type: none"> <li>Council services are predominantly managed from one Administrative Building. There is no alternative building to accommodate an IT facility which is crucial to enable many services to operate.</li> </ul>	Treat the Risk	Remains High	<ul style="list-style-type: none"> <li>Disaster Recovery solution now being upgraded off-site (as above). Relocation of infrastructure into a Data Centre under review</li> <li>Maintain relationships with other agencies and partners to secure alternative accommodation on a reciprocal basis if required.</li> <li>Could take advantage of spare capacity in private sector market although this would depend on timing.</li> </ul>

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<i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i>			<ul style="list-style-type: none"> <li>Although the likelihood of occurrence is low, the potential impact of this risk is high. However, current investment into the off- site facility to provide a disaster recovery solution should lower this risk in the longer-term.</li> </ul>
<b>Capacity and Resilience in Service Provision</b> <ul style="list-style-type: none"> <li>Reducing staff and budget resources could lower capacity and resilience within council services.</li> </ul> <i>(Main Chief Officer Responsible – Chief Executive Officer)</i>	Treat the Risk	Remains Medium	<ul style="list-style-type: none"> <li>Training and development programme being reviewed to include change management and “doing more with less.” External service provider has been procured.</li> <li>Recent restructures becoming mature and bedding in.</li> </ul>
<b>Partners and Voluntary Sector</b> <ul style="list-style-type: none"> <li>Financial pressures on partners who deliver services with or on behalf of the Council, including voluntary organisations.</li> </ul> <i>(Main Chief Officer Responsible – Director of Community and Planning Services)</i>	Tolerate the Risk	Remains Medium	<ul style="list-style-type: none"> <li>Current grant funding is being maintained for all supported organisations.</li> <li>Spending can be refocused to meet external funding requirements and is project based rather than on-going.</li> <li>Dedicated officer time to support the voluntary sector and local organisations.</li> </ul> <p><b>The risk remains Medium, but it is considered that the Council is undertaking as much action as reasonably possible to mitigate the risk.</b></p>