

STRATEGIC RISK REGISTER (UPDATED AS AT 30th SEPTEMBER 2018)

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last Quarter
<p>1 Funding - a reduction in core spending power.</p>	<p>On-going reduction in national resources but resources locally increasing; current financial position healthy with time to plan. The main uncertainty is the on-going reduction in New Homes Bonus due to changes in the baseline below which no bonus is paid.</p>	<p>Treat the risk through continuous action and review.</p>	<p>The updated Medium Term Financial Plan (MTFP), which was approved by the Committee in October 2018, shows a stable and relatively healthy position into the medium-term. Longer-term budget savings may be required although General Reserves are adequate and known financial risks are being provided for in the MTFP.</p>	<p>No change to rating or treatment.</p>
<p>2 The economy - the impact of the national economic situation locally.</p>	<p>Currently, the local economy is strong and growing; a significant rise in interest rates would have a low impact. The impact of Brexit on local development and business prospects remains uncertain.</p>	<p>Tolerate the current situation and keep under review.</p>	<p>It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate any risk.</p> <p>On-going budgets for income from planning fees, land charges, etc. together with New Homes Bonus and Council Tax receipts are set at levels below current actuals, leaving some room for the effect of any significant downturn in the local economy.</p> <p>The MTFP is not reliant on interest rates increasing from the current level to generate revenue. Debt is at fixed interest rates and is affordable within the Housing Revenue Account's financial plan.</p> <p>Property Strategy has focused on ensuring the Council's assets are being positioned to react to local investment opportunities, including land assembly and joint ventures. The redevelopment of William Nadin Way is now substantially complete.</p>	<p>The rating has been increased from green to amber due to the on-going negotiations regarding Brexit as the deadline to secure a deal approaches. This is creating some uncertainty which will remain until a deal is finalised.</p>

			<p>On-going dialogue through the Derby and Derbyshire Economic Prosperity Board to access funding and with developers to look at alternative options for regeneration in Swadlincote. Funding through the One Public Estate also being pursued.</p> <p>Additional resources currently being generated from the 100% Business Rates Retention Pilot.</p>	
<p>3 Technology and data - keeping pace with developments together with the management and security of data.</p>	<p>ICT Strategy in place with on-going development. The Council is PSN (Public Sector Network) and GDPR compliant. However, some opportunities being missed and there is reputational damage and a possible fine should a data breach occur.</p>	<p>Treat the risk through continuous action and review</p>	<p>Investment continues to be made in upgrading the ICT infrastructure and network to ensure PSN compliance. An annual independent audit is undertaken each year to test the Council's compliance with PSN.</p> <p>An annual internal audit review tests the robustness of systems and the infrastructure with recommendations to strengthen the ICT environment being monitored by the Audit Sub-Committee.</p> <p>Regular training and briefings given to Elected Members and Officers to raise awareness of data and security issues. An E-learning package has recently been rolled out.</p> <p>In addition, the Council used external resources to strengthen information governance and compliance, ahead of the implementation of the Data Protection Act 2018. A Data Protection Officer has been appointed by the Council.</p> <p>Following previous malware virus attacks, additional measures have been implemented to restrict Internet access to certain sites, together with implementing additional monitoring controls to detect and prevent virus attacks.</p>	<p>No change to rating or treatment</p>

<p>4 Business continuity – arising from the loss of the main Civic Offices, ICT capability, together with a major displacement of the workforce or a fuel shortage, etc.</p>	<p>There is a low likelihood but the impact could be significant.</p>	<p>Treat the risk through continuous action and review.</p> <p>Aspects of this risk are also transferred as they are insured against.</p>	<p>Business continuity and Emergency Plans in place and regularly reviewed in accordance with the Civil Contingencies Act. Regular meetings and training exercises take place with other agencies in Derbyshire.</p> <p>An ICT Disaster Recovery (DR) solution is in place off-site. Data is backed-up and stored in a secure off-site facility outside of the immediate region. However, an improved solution is currently the main project in IT and this is expected to be implemented shortly to strengthen DR arrangements.</p> <p>Provision for home-working and remote access is in place. Comprehensive insurance in place with insurers providing support to secure temporary accommodation if required.</p>	<p>No change to rating or treatment.</p>
<p>5 Capacity and resilience - recruitment, retention and development of the workforce and dealing with additional demand for services.</p>	<p>There are some issues in specific areas but this is not universal or in larger service areas. Resources set-aside and being invested to expand service provision and develop the workforce.</p>	<p>Treat the risk through continuous action and review.</p>	<p>A training and development programme for senior and aspiring managers has recently been completed.</p> <p>Recent senior management restructure and creation of a new Leadership Team.</p> <p>Review undertaken by the Local Government Association to strengthen organisational structures to ensure that they are efficient. Proposals being reported to Committee on November 29, 2018.</p> <p>Additional resources for Waste Collection and Grounds Maintenance approved in the 2018 Budget and have been implemented.</p>	<p>No Change to rating or treatment</p>
<p>6 Voluntary and community sector - a reduction in resources for partners who deliver services with or on behalf of the Council.</p>	<p>Evidence that this is occurring with CVS and Citizens Advice having core funding reduced.</p>	<p>Tolerate the current situation and keep under review.</p>	<p>It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate the risk.</p> <p>The Council's current grant funding has been maintained and has been increased in 2018/19 for all supported organisations.</p>	<p>No change to rating or treatment.</p>

			<p>Spending can be refocused to meet external funding requirements and is project-based.</p> <p>Dedicated officer time in place to support the voluntary sector and local organisations. Council Officers currently working with the CVS and Citizens Advice.</p>	
<p>7 Terrorism and potentially violent situations – as a public body there is a potential for the Council and its workforce to become a target.</p>	<p>From time to time, members of the workforce do face individual threats in the course of undertaking their duties.</p>	<p>Treat the risk through continuous action and review. Aspects of this risk are also transferred as they are insured against.</p>	<p>Lone working systems in place. These are being enhanced by the implementation of ‘Solo-Protect.’</p> <p>Potentially Violent Persons Policy and Risk Register approved by the Committee in October.</p> <p>Alarms and warning system in place in Civic Offices.</p>	<p>Although this risk has always existed for individual services, it has now been classified as a strategic risk to be dealt with corporately.</p>
<p>8 Statute and regulation – the failure to meet requirements.</p>	<p>There is no recent evidence to suggest any significant issues; the impact would depend on the nature of the failure.</p>	<p>Treat the risk through continuous action and review.</p>	<p>This applies to many Council services. In general, the necessary skills and resources are in place to ensure that the Council meets its statutory duties. In addition, the Council’s Constitution, policies and procedures aim to support strategic and regulatory delivery of its services.</p>	<p>Although this risk has always existed for individual services, it has now been classified as a strategic risk to be monitored corporately.</p>
<p>9. Health and Safety – the potential to contravene regulations through bad practice.</p>	<p>Due to the continuing focus on Health and Safety, the likelihood of a major incident is low, but the impact could be significant.</p>	<p>Treat the risk through continuous action and review</p>	<p>The Council employs a corporate Health and Safety Officer.</p> <p>An on-going training programme is in place for all staff and in particular for parts of the workforce where there is a greater risk of an incident.</p> <p>Accidents and near misses are logged, reported and reviewed corporately and any major incidents are investigated to review procedures.</p> <p>Risk assessments are regularly undertaken and procedures updated when necessary.</p>	<p>Although this risk has always existed for individual services, it has now been classified as a strategic risk to be monitored corporately.</p>

<p>10. Managing the environmental impact of incidents across the District.</p>	<p>There is no recent evidence to suggest any significant issues, the likelihood of any environmental impact is low but the impact could be significant.</p>	<p>Treat the risk through continuous action and review.</p>	<p>The Council has plans in place through Emergency Planning to manage the environmental impact of any incidents across the District. This includes flooding, air/water pollution, weather related incidents and contaminated land.</p>	<p>Although this risk has always existed for individual services, it has now been classified as a strategic risk to be monitored corporately to ensure that the correct actions are in place to address any incidents.</p>
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STRATEGIC RISK MATRIX (as at Sept 2018)

Likelihood					
4 High		<p>Technology and data (3). Funding for the voluntary sector (6).</p>			
3 Medium		<p>Core funding (1)</p>			
2 Low		<p>Capacity and resilience (5) Statute and regulation (8)</p>	<p>The economy (2) Business continuity (4) Health and Safety (9)</p>		
1 Unlikely			<p>Environmental impact (10)</p>	<p>Terrorism (7)</p>	
		1 Minor	2 Moderate	3 Significant	4 Catastrophic
		Impact			