

STRATEGIC RISK REGISTER (UPDATED AS AT Q2 2019/20)

Appendix F

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last Quarter
<p>1 Government Funding - a reduction in core spending power.</p>	<p>There have been on-going reductions in national resources but receipts are increasing locally through the New Homes Bonus and Council Tax. There is some uncertainty regarding the future allocation of the New Homes Bonus and the Retention of Business Rates. The Government has delayed any changes to funding until 2021/22.</p>	<p>Treat the risk through continuous action and review.</p>	<p>The Medium Term Financial Plan (MTFP) was updated and approved by the Finance and Management Committee in October 2019. Overall, there continues to be a relatively healthy financial position into the medium-term.</p> <p>Longer-term budget savings may be required although General Reserves are currently adequate to finance projected deficits and known financial risks are being provided for in the MTFP.</p> <p>A further review and update of the MTFP is currently being undertaken as part of the 2020 Budget Round. This will be reported to the Finance and Management Committee January 2020.</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 relatively strong and growing. A rise in interest rates would have a low impact due to the Council's fixed interest rate debt structure and would increase returns on current investments. However, the impact of the UK leaving the EU on local development and business, together with the Council's Treasury Management operations, 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 the risk, but the position is being kept under review.</p> <p>On-going budgets for income from planning fees, land charges, etc. together with the New Homes Bonus and Council Tax receipts are set at levels below current actuals and Local Plan targets 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. Any increase would be a direct benefit to the Budget.</p>	<p>No change to rating or treatment.</p>

			<p>A significant amount of Debt is at fixed interest rates and is affordable within the Housing Revenue Account's financial plan. The Council's investments are being kept under review pending the final Exit Deal from the EU.</p> <p>The Council's 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 Cadley Park is progressing as planned.</p> <p>There is 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 has been secured.</p> <p>Additional resources have been generated from the 100% Business Rates Retention Pilot in 2018/19 and these have been set-aside to support future economic regeneration.</p>	
<p>3a 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 technological opportunities are 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>Aspects of this risk are also transferred as they are insured perils with the Council's Insurers.</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>Regular Internal Audit reviews test 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 been rolled out for Council Officers.</p> <p>The Council's Data Protection Officer reports directly to the Leadership Team on matters concerning Information Governance.</p>	<p>No change to rating or treatment</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>Resources have been set-aside for Business Change with ICT a fundamental part of that change. Projects to migrate to a new Microsoft platform, greater use of digital technology, together with an upgrade of devices, are all projects currently in progress.</p>	
<p>3b Technology and Data - keeping pace with developments together with the management and security of data.</p>	Quality of performance data	Treat the risk through continuous action and review.	<p>Implementation of the recommendations made within the Data Quality & Performance Management audit undertaken in September 2019.</p> <p>Undertake an annual quality audit if deemed necessary, performed by officers or Internal Audit.</p>	New for Q2 2019-20
<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>	A live issue continues to be the potential impact of a "Brexit" on the Council's Services.	<p>Treat the risk through continuous action and review.</p> <p>Aspects of this risk are also transferred as they are insured perils with the Council's Insurers.</p>	<p>Business Continuity and Emergency Plans are 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 also backed-up and stored in a secure off-site facility outside of the immediate region.</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>As regards "Brexit" Council Officers have attended multi-agency meetings in Derbyshire and the wider East Midlands to assess the potential impact and planned actions with other agencies. The Council has also convened meetings of its Business Continuity Group to review the immediate effect on the Council and planned actions.</p>	No change to rating or treatment

			The situation is now being kept under review ahead of the planned leaving date, which has now been delayed until 31 January 2020.	
<p>5 Capacity and Resilience - recruitment, retention and development of the workforce and dealing with additional demand for services due to Growth.</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>During 2018/19, there were restructures in Revenues and Benefits, Financial Services, Planning Services, together with Legal/Democratic Services. These restructures have provided additional resources and capacity in these particular services.</p> <p>A restructure of the Council's Senior Management was implemented on 1 April 2019. The aim of the new structure is to create resilience in service provision with the creation of new Head of Service posts, including two new posts to focus on Organisational Development, together with Community and Cultural services.</p> <p>The restructure also combined resources to create centralised Business Change and Policy teams to support business transformation across the Council.</p> <p>The structure is now bedding in and the proposals aim to strengthen recruitment and retention of senior staff.</p> <p>Subsequently, reviews of ICT and Business Change, together with Property Services have also been undertaken and changes made to increase capacity and resilience.</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 been increased in 2019/20 by 2% for all supported organisations.</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</p>	<p>No change to rating or treatment.</p>

			<p>sector and local organisations. Council Officers currently working with Sharpe's.</p> <p>CVS have undertaken research into the impact of the services it delivers across the district and this information will inform the targeted delivery of future service provision.</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.</p> <p>Aspects of this risk are also transferred as they are insured against.</p>	<p>Lone working systems in place including a 'Solo-Protect' warning and call for assistance system.</p> <p>A Potentially Violent Persons Policy and Risk Register are in place.</p> <p>Alarms and warning system in place in the Civic Offices.</p>	<p>No Change to rating or treatment.</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.</p>	<p>No change to rating or treatment.</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 accident.</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>No change to rating or treatment.</p>
<p>10. Managing the environmental impact of</p>	<p>There is no recent evidence to suggest any significant issues, the likelihood of any</p>	<p>Treat the risk through continuous</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,</p>	<p>No change to rating or treatment.</p>

<p>incidents across the District.</p>	<p>environmental impact is low but the impact could be significant.</p>	<p>action and review.</p>	<p>air/water pollution, weather related incidents and contaminated land.</p> <p>In October 2018, the Council was accredited to the prestigious international ISO 14001 standard for the tenth year in a row.</p>	
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