

## Quarter 2, 2021-2022 Corporate Risk Register

REF	RISK TITLE & DESCRIPTION	RISK CAUSE	RISK IMPACT	RISK CATEGORY  Strategic Resource Operational Financial Knowledge management Compliance, Partnership	Current Risk Rating (See table below for guidance)			CONTROLS IN PLACE TO MITIGATE THE RISK	Risk Rating after mitigations (See table below for guidance)			FURTHER ACTION REQUIRED	SUMMARY OF CHANGE SINCE LAST QUARTER	RISK OWNER
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CR1	<b>Universal Credit (UC)</b>	Ongoing changes to the welfare system and Universal Credit impact on resources in Benefits and Customer Services.	Resources allocated to the team are not in line with workload demands.	Financial and Resource	4	1	4	<ul style="list-style-type: none"> <li>The Local Council Tax Reduction Scheme is being redesigned to improve the customer experience and make it easier/more efficient to administer. Proposals will be presented to Finance &amp; Management Committee in August 2021.</li> <li>A service review will ensure the team is flexible and can adapt to changes in workload in future years.</li> <li>Following a major system upgrade, improved document management functions, the introduction of a linked CRM system and automation are being explored to increase productivity within the team and improve interaction with customers.</li> </ul>	2	1	2	Continually monitor the workload and resources allocated to the team.	Risk updated for Q2	Head of Customer Services
CR2	<b>Fraudulent activities</b>	The possibility of fraud being undetected.	National studies show fraud leads to a significant loss of resources within the Public Sector as a whole.	Financial and Reputational	4	3	12	<ul style="list-style-type: none"> <li>The Council has a Shared Service Arrangement with Derby City Council which supports the delivery of the Council's Anti-Fraud &amp; Corruption Plan, which aims to introduce stronger anti-fraud processes across council tax, business rates, benefits, Right to Buy, social housing, supported accommodation and wider service areas. The unit also delivers fraud awareness training across the Council.</li> <li>Public agencies such as the DWP and HMRC increasingly share data with local authorities on a real-time basis. This allows compliance checks to take place to spot and eliminate the potential for fraud and error in a timely manner.</li> <li>Single Person Discount checks on Council Tax are also regularly undertaken.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>The Fraud Unit have an annual work programme which is considered and approved by the Audit Sub-Committee. Outcomes are also reported to the Audit Committee.</li> <li>Authorities are being asked to be extra vigilant due to the potential for fraud to increase during Covid-19.</li> </ul>	Risk updated for Q2	Head of Customer Services
CR3	<b>Procurement Services</b>	Limited resources to enable good quality advice and support for Services.	The Council does not have its own procurement department	Resource	3	3	9	<ul style="list-style-type: none"> <li>The Council is part of a Shared Service Arrangement with other Derbyshire Agencies and has access to a wider pool of resources for support and advice.</li> </ul>	1	3	3	Continue to review the SLA with the Lead Partner.	Risk updated for Q2.	Corporate Resources, Strategic Director

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CR4	<b>Public Building</b>	Ensuring public buildings are safe and have adequate repair budgets to ensure they remain fit for purpose.	Funding available within the budget provisions to deliver the planned maintenance programme	Financial and Compliance	2	3	6	<ul style="list-style-type: none"> <li>The additional repairs reserve has addressed the risk in the short term</li> <li>Condition surveys are being undertaken with a view to preparing a planned maintenance programme and comparing estimated costs against available budgets.</li> <li>The safety measures identified within the Covid-19 risk assessments will be implemented before any closed Council building is re-opened to the public.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Continually monitor and review the repair budgets to ensure adequate funding is available for the Planned Maintenance Programme going forward.</li> </ul>	Risk updated for Q2	Head of Corporate Property
CR7	<b>Payroll Service</b>	There is no additional capacity or expertise within the team to cope with any down time so the risk of.	employees and members not receiving payments due is significant	Resource	4	4	16	<ul style="list-style-type: none"> <li>A report was approved in August 2021 for the approval to look into a new system or provide additional resources.</li> <li>There is a support function for payroll provision available to the Council from the supplier of the payroll software which can be utilised in an emergency.</li> <li>Discussions regarding cover of the payroll service are currently underway with the software supplier to make the detail more formal.</li> <li>Chesterfield Borough Council use the same payroll system and are able to offer a small level of support if required although they would not have the capacity to run the payroll.</li> </ul>	1	2	3	Review Finance structure	Risk updated for Q2	Head of Finance
CR8	<b>Payroll Software Contract Expiry</b>	The contract expires in March 2022	No payroll system available from the 1 <sup>st</sup> of April 2022	Compliance	4	4	16	<ul style="list-style-type: none"> <li>Discussions with the current software provider are underway regarding the contract.</li> <li>Discussions are underway with the recently upgraded financial management provider to potentially move the payroll service to the Unit4 system.</li> </ul>	1	2	3	Report to members on decisions	Risk updated for Q2	Head of Finance
CR9	<b>Transformation Compliance</b>	Committing to already allocated resources or finances of projects outside the annual work programme for ICT and Business Change	The Council has signed up to a Transformation Roadmap which would be adversely affected and not delivered therefore failing the corporate plan target.	Strategic	4	2	8	<ul style="list-style-type: none"> <li>Ensure all Heads of Service are aware of the roadmap and the implications of adding additional projects.</li> <li>Ensure Transformation Steering Group members understand when they are involved in other work how that affects the ability to deliver critical transformation projects.</li> <li>Key TSG members feeding back any discussions or ongoing work relating to unauthorised projects as soon as possible.</li> </ul>	3	2	6		Risk updated for Q2	Head of Business Change, ICT, Digital

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CR10	<b>Banking and Counterparty Limits</b>	Authorised signatories being unavailable, Internet failure resulting in no access to the bank accounts.	Result in a breach of the approved counterparty limits set by the Council	Resource	4	3	12	<ul style="list-style-type: none"> <li>Annual leave and meetings of both approvers and administrative functions are monitored by the team to ensure any potential risks are mitigated.</li> <li>5 administration staff have responsibility for setting up transfers of cash therefore any external internet failure is mitigated by having at least 2 other staff to take over the process.</li> <li>There are 3 approvers for banking transactions, 2 of which are the S151 and Deputy S151 Officers. At least 1 of these officers is always available for approvals.</li> <li>Cash flow forecasts are updated daily, and any known transfers are set up in advance.</li> <li>The risk of the Internet failure is mitigated through risk CR23</li> </ul>	1	1	1		Risk updated for Q2	Head of Finance
CR11	<b>Failure of systems external to Finance</b>	The Academy system interfaces data for Housing Benefit, Council Tax and Business Rates daily. The AIM system interfaces cash files daily.	Impacts of Customer accounts and financial statements not being up to date with cash paid and the FMS not including all assets and liabilities resulting in potential qualification of the Financial Statements	Compliance and reputational	2	3	6	<ul style="list-style-type: none"> <li>An annual maintenance fee is paid to the system providers for system support and disaster recovery.</li> <li>Daily reconciliations of cash are completed by the Finance team to ensure that any failure is recognised immediately. To prevent any reputational issues, a major failure would result in debt collection reminders being delayed.</li> <li>Bank accounts are also reconciled daily, and any missing cash files would be manually transferred into the FMS to ensure the Debtor position is correct.</li> <li>Council Tax, Business Rates and Housing Benefit interface files are reconciled monthly but the processing of the interface files is a manual task so any failure of file generation would be recognised immediately and reported to the IT Helpdesk.</li> <li>An upgrade to the Academy system has taken place.</li> </ul>	1	1	2		Risk updated for Q2	Head of Finance

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CR12	Government Funding - a reduction in core funding	<p>As a growth area, the Council's proportion of core funding is heavily reliant on the New Homes Bonus (NHB) and Business Rates.</p> <p>This makes it potentially vulnerable from changes to the current distribution system relative to other authorities who still receive Revenue Support Grant. This is a potential weakness highlighted in the Council's Financial Resilience Index.</p>	<p>Overall income has been increasing in recent years from the NHB and Business Rates growth. There has been uncertainty for some time regarding the replacement for the NHB and future changes to the Retention of Business Rates, which could disadvantage the Council relative to other authorities.</p> <p>The Government have delayed implementing outcomes from their Fair Funding Review until 2022/23.</p> <p>In addition, there may be a longer-term impact of the current Covid-19 pandemic on the level and distribution of resources for local government.</p>	Financial	3	3	9	<p><b>Financial Planning</b></p> <ul style="list-style-type: none"> <li>The Council plans its finances over five years for the General Fund and 10 years for the Housing Revenue Account. Its financial target of achieving a minimum level of contingency balance on a rolling five-year basis allows for a planned and timely approach to address any financial difficulties.</li> <li>The Medium-Term Financial Plan (MTFP) is regularly reviewed, updated and reported to the Finance Committee on a quarterly basis.</li> </ul> <p><b>Current Financial Position</b></p> <ul style="list-style-type: none"> <li>Overall, the General Fund currently shows a healthy position due to the level of reserves, although the medium-term forecast indicates an increasing deficit in future years although this may be the worst-case scenario as it forecasts increasing expenditure to meet the population growth, but a reduction in income</li> <li>Projected budget deficits could be financed from reserves if required, although this would become unsustainable well before 2025/26.</li> <li>The impact of Covid-19 on the short-term financial position is being kept under review temporary increases in expenditure and loss of income are being met from additional Government funding received.</li> <li>The Council has approved that no new revenue spending, over and above that approved by the Council in February 2021, is committed until the situation becomes clearer.</li> </ul>	3	2	6	Income and Expenditure is being kept under review and reported to the Finance Committee on a quarterly basis.	Risk updated for Q2	Strategic Director, Corporate Resources
CR13	The Economy - the impact of the national economic situation locally.	The impact of the current Covid-19 pandemic could have a longer-term impact on the Council's core income as residents and businesses may face difficulties in paying Council Tax, Business Rates and Rent. It could also result	Any negative effects could be disproportionate for the District as a significant growth area.	Financial	3	3	9	<p><b>Support for Local Businesses</b></p> <ul style="list-style-type: none"> <li>The Government has provided various funding and support for local businesses and residents to help them overcome the impact of Covid-19.</li> </ul> <p><b>Regeneration</b></p> <ul style="list-style-type: none"> <li>In addition, major residential development has largely continued and following an initial downturn in planning applications in April 2020, they have since shown a strong and sustained upward turn. In addition, the sale of the Council's former Depot Site for redevelopment has been completed and work commenced.</li> </ul>	2	3	6	Keep under review through quarterly reporting.	Risk updated for Q2	Strategic Director, Corporate Resources

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		<p>in a recession in the local economy.</p> <p>In addition, the introduction of negative interest rates by the Bank of England, could mean that the Council will have to pay to have its cash and reserves on deposit.</p>						<ul style="list-style-type: none"> <li>The Finance and Management Committee approved a new capital investment programme of approximately £4 million on 8 October 2020 which will provide resources for regeneration and community projects.</li> </ul> <p><b>Treasury Management</b></p> <ul style="list-style-type: none"> <li>The MTFP is not reliant on interest rates increasing from the current level to generate revenue on its reserves and balances. Any increase would be a direct benefit to the Budget.</li> <li>The Council's Lending Policy is reviewed on a weekly and daily basis to mitigate the risk of negative interest rates and to expand the Counterparty List where it is safe to do so.</li> <li>Apart from debt associated with its Council Housing, the Council is debt free. Regarding the debt, a significant amount is at fixed interest rates and is affordable within the Housing Revenue Account's financial plan. The interest rate associated with a smaller proportion of variable rate debt, is below that budgeted</li> </ul>						
CR14	Technology, Data and Security - keeping pace with developments in IT, together with the management and security of data	<p>There is a potential security risk for running outdated or unsupported systems</p> <p>Employees not following due process in relation to IT and data security</p>	There is potential to loss operational data and for reputational damage, together with possible fines, should a data breach occur.	Strategic	4	4	16	<p><b>IT Upgrades and Development</b></p> <ul style="list-style-type: none"> <li>The Council has an ICT replacement programme in place which directs hardware and corporate infrastructure upgrades. This is resourced through provision in the IT base budget, together with an IT Asset Replacement Reserve. New laptops, smartphones and an upgrade to Microsoft 365 was completed in 2020.</li> </ul> <p><b>Security of Systems</b></p> <ul style="list-style-type: none"> <li>The Council is currently compliant with the Government's Public Services Network requirements.</li> <li>Regular Internal Audit Reviews test the robustness of systems and the infrastructure with recommendations to strengthen the ICT environment being reported to and monitored by the Audit Sub-Committee.</li> <li>Due to potential virus attacks, measures are in place to restrict Internet access and to control the use of mobile devices.</li> <li>Continually updated and patched digital estate including firewall servers and antivirus</li> </ul> <p><b>Security of Data</b></p> <ul style="list-style-type: none"> <li>Regular briefings and guidance documents are issued to raise awareness of data and security issues. An E-learning package is</li> </ul>	3	3	9	Induction process for all new starters as part of the employee lifecycle	Risk rating, mitigating actions and further action updated for Q2	Head of Business Change, ICT, Digital

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								<p>completed annually by all Officers with access to Council systems and equipment.</p> <ul style="list-style-type: none"> <li>The Council's Data Protection Officer has direct access to the Leadership Team on matters concerning Information Governance.</li> <li>Whilst staff have been working remotely communications have been sent to remind of the dangers of cyber-attacks. The security in place is the same for end users regardless of location therefore hardware and software need no special arrangements in response to COVID working practices, however staff are the first, last, strongest, and weakest chain in our defences. A mandatory Cyber Security e-learning package must be completed annually. A number of procedures and policies are also in place that mandate more secure ways of working such as no use of personal email addresses and devices, information classification and encryption.</li> <li>The Council is currently upgrading its telephone infrastructure to enable full compliance with the Payment Card Industry (PCI) regulations. The implementation of actions to strengthen security and the safeguarding of data subject to PCI, are being monitored by the Audit Sub-Committee.</li> </ul>							
CR15	Technology and Data – quality of performance data.	Inaccurate monitoring and reporting of performance data	If this is not robust and meaningful, it could lead to misreporting and incorrect decision making.	Compliance	2	3	6	<ul style="list-style-type: none"> <li>Performance and Risk team to monitor and review data</li> <li>Performance Management Framework and Risk Management Framework are in place</li> <li>Performance data is reviewed at Directorate management meetings and Leadership meetings.</li> <li>Performance is currently undergoing an internal audit review if the outcome identifies no major issues this will be removed from the risk register.</li> </ul>	1	1	1	Recommendation to remove from the risk register	Risk rating, mitigating actions and further action updated for Q2	Heads of Organisational Development & Performance	
CR16	Business Continuity	Flu Pandemic Fuel Shortage Loss of Buildings ICT Failure	Loss of Service provision	Operational	3	4	12	<ul style="list-style-type: none"> <li>Some aspects of this risk can be transferred as business interruption cover is in place as part of the Council's Property Insurance Policy.</li> <li>Business Continuity and Emergency Plans are in place and regularly reviewed in accordance with the Civil Contingencies Act. The Council buys in support from Derbyshire County Council to ensure that the Council's plans remain up to date.</li> <li>COVID risk assessments and action plans are in place and resources made available to provide employees with the equipment to work from home wherever possible as well as</li> </ul>	4	2	8	Report a business case to F&M in October to identify new flexible ways of working in the future.	Risk updated for Q2	Strategic Director, Corporate Resources	

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								<p>access to resources to support their physical and mental health and wellbeing.</p> <ul style="list-style-type: none"> <li>The Council continues to deliver all of its services. This is being undertaken within national guidelines and in conjunction with other agencies in Derbyshire. Guidance is being provided to staff and the public regarding on-going services and to help protect health and well-being.</li> <li>There are no changes to the current working arrangements. All staff who are able to work from home must continue to do so until further notice.</li> <li>Sessions have taken place with Heads of Service and Trade Unions to explore options for future working arrangements ahead of sessions with staff.</li> </ul>						
CR17	<b>Capacity and Resilience</b>	Service demand and loss of skills	Recruitment, retention and development of the workforce and dealing with additional demand for services due to Growth.	Operational	3	3	9	<ul style="list-style-type: none"> <li>Resources set-aside in the MTFP in growth provisions and training budgets to expand service provision and develop the workforce.</li> <li>Since 2018, several major services across the Council have been restructured to strengthen service provision and improve capacity.</li> <li>Proposed restructures in Community and Cultural Services and Housing have recently been approved and implemented to increase capacity and resilience.</li> <li>A restructure of the Council's Senior Management was implemented on 1 April 2019. The aim of the new structure was to create resilience in service provision with the creation of new Head of Service posts, including new posts to focus on Organisational Improvement/Learning and Development.</li> <li>The management restructure also combined resources to create centralised Business Change and Policy teams to support business transformation across the Council.</li> </ul>	2	2	4	Finance and Management Committee at its meeting on 22 July considered options for the future delivery of services and employment models that takes in to account the risk associated with ensuring capacity and resilience in the delivery of services and retention of the workforce.	Risk updated for Q2	Strategic Director, Corporate Resources
CR18	<b>Terrorism and potentially violent situations</b>	As a public body there is a potential for the Council and its workforce to become a target.	From time to time, members of the workforce do face individual threats while undertaking their duties	Operational	3	4	12	<ul style="list-style-type: none"> <li>Lone working systems in place including a 'Solo-Protect' warning and call for assistance system.</li> <li>A Potentially Violent Persons Policy and Risk Register are in place.</li> <li>Alarms and warning system in place in the Civic Offices.</li> </ul>	3	3	9	Monitoring and review of systems in place; learn from incidents and near misses.	Risk updated for Q2	Strategic Director, Corporate Resources

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CR19	<b>Statute and Regulation</b>	Failure to meet requirements.	There is no recent evidence to suggest any significant issues; the impact would depend on the nature of the failure.	Compliance	2	3	6	<ul style="list-style-type: none"> <li>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.</li> </ul> <p><b>Note:</b> Some aspects of this risk can be transferred as the Council has insurance cover in place. If the failure rises due to an action of an employee during the normal course of their duties, it is covered under the Official Indemnity (accidental or negligent act) or Professional Indemnity (breach of professional duty) Policies.</p>	1	3	3	Keep under review. Continue training and awareness for staff.	Risk updated for Q2	Strategic Director, Corporate Resources
CR20	<b>Health and Safety</b>	the potential to contravene regulations through bad practice.	Serious harm through accidents and near misses	Compliance	4	4	16	<ul style="list-style-type: none"> <li>The Council employs a corporate Health and Safety Officer.</li> <li>All employees are provided with the relevant training and PPE required for their role.</li> <li>An on-going training programme is in place for all staff and for parts of the workforce where there is a greater risk of an accident.</li> <li>Accidents and near misses are logged, reported and reviewed corporately and any major incidents are investigated to review procedures.</li> <li>Risk assessments are regularly undertaken, and procedures updated when necessary.</li> </ul>	3	2	6	Monitoring and review of accidents and near misses.	Risk updated for Q2	Heads of Organisational Development & Performance
CR21	<b>Managing the environmental impact of incidents across the District</b>	Incidents arising directly from actions by the Council in the provision of its services. For example, an oil spill which contaminates land or water courses	Impacts on environment and economy; increased risk of major events: potential for litigation; reputational damage	Strategic	2	3	6	<ul style="list-style-type: none"> <li>The Council has plans in place through Emergency Planning to manage the environmental impact of any incidents across the District.</li> <li>The Council is accredited to the prestigious international ISO 14001 standard for Environmental Management.</li> <li>The Council has also declared a "Climate Emergency" and has a Corporate Steering Group to oversee an action plan to reduce the Council's carbon footprint and become carbon neutral as an organisation by 2030. (<b>See Risk below</b>)</li> </ul>	2	2	4		Risk updated for Q2	Head of Environmental Services
CR22	<b>Climate Emergency</b>	The failure of the Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050.	Impacts on environment and economy; increased risk of major events: potential for litigation; reputational damage	Strategic	4	3	12	<ul style="list-style-type: none"> <li>Achievement of the carbon reduction ambitions are mainly vested in our <b>Climate and Environment Strategy</b> and <b>Climate &amp; Environment Action Plan</b>.</li> <li>The Action Plan contains planned and programmed actions and will be reviewed annually. It will quantify the estimated net financial costs and net carbon savings associated with the contents of the Plan. The Plan will calculate the contribution of the Plan to the carbon reduction trajectory, along with the calculated shortfall in carbon reductions. Attaining the targets in the Plan is one of the Corporate Plan Key Performance Indicators. Whilst the action plan</li> </ul>	4	3	12	Annual monitoring and review of the Climate and Environment Action Plan  Actively seeking external funding.	Risk updated for Q2	Head of Environmental Services

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								has been agreed it does contain several actions where funding has not been committed. <ul style="list-style-type: none"> <li>The Strategy and Plan have identified the main carbon emissions sources. The Council will be alive to the many and various <b>windfall opportunities</b> for interventions in between the annual Plan revisions where these are considered likely to make significant impacts on reducing emissions.</li> <li>Emerging statute, in particular the <b>Environment Bill</b>, will exert significant influence over the Council's operations and indirect influence in relation to climate change.</li> </ul>							
CR23	<b>Internet Connection</b>	The effects of the internet connection becoming unavailable for a length of time would be a major incident.	Most applications whether they are onsite or hosted will need the Council's internet connection to be active for their use.  There is only one ISP in Swadlincote. Therefore, if the cable is damaged or the service is disrupted, no internet connection will be available.	Strategic	2	4	8	<ul style="list-style-type: none"> <li>New RA02 Circuits are being procured which have been specified with a resilient line. Although full resilience isn't proved due to a single supplier, the lines are coming from different exchanges so both would have to be out of service for a total loss of connection.</li> <li>There are options to make some services available over alternative connections, be that personal or business, if needed.</li> <li>Smartphone users can use the mobile data connection to access outlook and teams etc</li> </ul>	2	3	6		Risk updated for Q2	Head of Business Change, ICT, Digital	
CR24	<b>Technical Resource</b>	The Council relies on a small pool of technical specialists and support operatives to keep the organisation operational	Availability of resource to conduct and support Council meetings  Availability of resource to support day to day operations and projects.		3	3	9	<ul style="list-style-type: none"> <li>The COVID-19 Fund is being used to finance an agency resource. The introduction of the post has offered relief for first line calls and Committee meetings.</li> <li>The agency resource is more expensive than an established post and is not a permanent solution.</li> </ul>	3	2	6	ICT structure will be reviewed in-line with corporate employment and operating model  Continually review and monitor support tickets	Risk updated for Q2	Head of Business Change, ICT, Digital	

REF	RISK TITLE & DESCRIPTION	RISK CAUSE	RISK IMPACT	RISK CATEGORY  Strategic Resource Operational Financial Knowledge management Compliance, Partnership	Current Risk Rating (See table below for guidance)			CONTROLS IN PLACE TO MITIGATE THE RISK	Risk Rating after mitigations (See table below for guidance)			FURTHER ACTION REQUIRED	SUMMARY OF CHANGE SINCE LAST QUARTER	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING			
CR26	<b>Supply Chain</b>	<p>EU shortage of materials to manufacture coloured plastic</p> <p>National shortage of agency drivers to undertake HGV driving.</p> <p>There is fast becoming a global shortage of microchips and some vehicle manufacturers have suspended production of new vehicles,</p>	<p>The Council may not be able to supply new brown and green bins for at least 3 months.</p> <p>A cancellation of driver testing during lockdown has led to a shortage of newly qualified drivers and changes to IRS rules have led many agency drivers to take permanent positions.</p> <p>Could potentially impact fleet purchases and the supply of computer equipment.</p>		4	3	12	<ul style="list-style-type: none"> <li>• <b>EU shortage of materials to manufacture plastic:</b> Current stocks are diminishing but should last a few more weeks, we have placed orders for both brown and green bins and should be first in line when material supplies pick up. Additional black bins have been ordered and will be supplied with different coloured lids. Manufacturers have advised that they can provide the lids in different colours.</li> <li>• <b>National shortage of HGV drivers/production of new vehicles:</b> Currently discussing with all employees, the opportunity to be trained to drive HGV's, we also have three drivers not employed on Waste Services who can be utilised in an emergency. Secured 3 more drivers recently.</li> <li>• <b>Global shortage of microchips:</b> No immediate concerns over purchase of new vehicles, if situation deteriorates then we will look to source ex-demonstrator vehicles or nearly new/used vehicles. Short-term hire will also be considered where appropriate</li> <li>• The shortage of semiconductors, a key component part in almost all modern electronics, is having a large effect on production of many products. Cars and Computer equipment are high profile products to suffer supply chain problems. The only way to combat this problem in relation to purchase of new equipment is to order early and allow up to 6 months for delivery. Where practical and financially viable orders can be made before the need arises. A good example could be purchase of a new laptop after members approve the post rather than after the candidate has accepted the post and will be starting in a matter of weeks.</li> <li>• NOVUS and other contractors have been able to secure alternative supplies/products.</li> </ul>	4	3	12	<p>Currently looking at HGV apprenticeships</p> <p>Management is in constant discussions with local agency driver suppliers to secure additional cover.</p>	Risk updated for Q2	<p>Head of Operational Services</p> <p>Head of Business Change, ICT, Digital</p> <p>Head of Housing</p>

## Risk Matrix Template

The table below outlines how the impact and likelihood of the risk is scored using the threshold and description as guidance.

<b>Impact</b>	<b>Very High (4)</b>	4	8	12	16	<table border="1" style="margin-left: 20px;"> <tr><td style="background-color: #ff0000; color: white; text-align: center;">12-16</td></tr> <tr><td style="background-color: #ffc000; color: black; text-align: center;">6-9</td></tr> <tr><td style="background-color: #00b050; color: white; text-align: center;">1 - 4</td></tr> </table>	12-16	6-9	1 - 4
	12-16								
	6-9								
	1 - 4								
<b>High (3)</b>	3	6	9	12	<b>Significant Risk</b>				
<b>Medium (2)</b>	2	4	6	8	<b>Medium Risk</b>				
<b>Low (1)</b>	1	2	3	4	<b>Low Risk</b>				
		<b>Remote (1)</b>	<b>Possible (2)</b>	<b>Probable (3)</b>	<b>Highly Probable (4)</b>				
		<b>Likelihood</b>							

Impact	Thresholds and Description
1 – Low	Limited impact on service objectives if any, section objectives unlikely to be met, financial loss less than £10,000, no media attention
2 – Medium	Slight delay in achievement of service objectives, minor injuries, financial loss over £50,000, adverse local media attention, breaches of local procedures
3 – High	Significant threat to Council objectives. Non-statutory duties not achieved, permanent injury, financial loss over £100,000, negative national media attention, litigation expected, serious issues raised through inspection, breakdown of confidence of partners.
4 – Very high	Objectives cannot be delivered. Statutory duties not achieved, death, financial loss over £500,000, adverse national media attention, litigation almost certain, prosecutions, breaches of law, inspection highlights inadequate service, Council unable to work with partner organisation
Likelihood	Thresholds and Description
1 – Remote	May occur only in exceptional circumstances (e.g. once in 10 years)
2 – Possible	Unlikely to occur but could at some time (e.g. once in three years)
3 – Probable (in two years)	Fairly likely to occur at some time or under certain circumstances (e.g. once in two years)
4 – Highly probable (in 12 months)	Will probably occur at some time or in most circumstances (e.g. once in 12 months)

## Corporate Risk Matrix

The below table summarises the risk likelihood and impact for risks after controls have been put in place to mitigate the risk.

<b>Impact</b>	<b>Very High (4)</b>				
	<b>High (3)</b>	CR3, CR19	CR13, CR23	CR14, CR18	CR22, CR26
	<b>Medium (2)</b>	CR7, CR8,	CR2, CR4, CR17, CR21	CR9, CR12, CR20, CR24	CR16
	<b>Low (1)</b>	CR10, CR11, CR15	CR1		
		<b>Remote (1)</b>	<b>Possible (2)</b>	<b>Probable (3)</b>	<b>Highly Probable (4)</b>
		<b>Likelihood</b>			

CR1	Universal Credit (UC)	Ongoing changes to the welfare system and Universal Credit impact on resources in Benefits and Customer Services.
CR2	Fraudulent activities	The possibility of fraud being undetected.
CR3	Procurement Services	Limited resources to enable good quality advice and support for Services.
CR4	Public Building	Ensuring public buildings are safe and have adequate repair budgets to ensure they remain fit for purpose.
CR7	Payroll Service	There is no additional capacity or expertise within the team to cope with any down time so the risk of.
CR8	Payroll Software Contract Expiry	The contract expires in March 2022
CR9	Transformation Compliance	Committing to already allocated resources or finances of projects outside the annual work programme for ICT and Business Change
CR10	Banking and Counterparty Limits	Authorised signatories being unavailable, Internet failure resulting in no access to the bank accounts.
CR11	Failure of systems external to Finance	The Academy system interfaces data for Housing Benefit, Council Tax and Business Rates daily. The AIM system interfaces cash files daily.

CR12	Government Funding	A reduction in core funding
CR13	The Economy	The impact of the national economic situation locally.
CR14	Technology, Data and Security - keeping pace with developments in IT, together with the management and security of data	There is a potential security risk for running outdated or unsupported systems. Employees not following due process in relation to IT and data security
CR15	Technology and Data – quality of performance data.	Inaccurate monitoring and reporting of performance data
CR16	Business Continuity	Flu Pandemic, Fuel Shortage, Loss of Buildings, ICT Failure
CR17	Capacity and Resilience	Service demand and loss of skills
CR18	Terrorism and potentially violent situations	As a public body there is a potential for the Council and its workforce to become a target.
CR19	Statute and Regulation	Failure to meet requirements.
CR20	Health and Safety	the potential to contravene regulations through bad practice.
CR21	Managing the environmental impact of incidents across the District	Incidents arising directly from actions by the Council in the provision of its services. For example, an oil spill which contaminates land or water courses
CR22	Climate Emergency	The failure of the Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050.
CR23	Internet Connection	The effects of the internet connection becoming unavailable for a length of time would be a major incident.
CR24	Technical Resource	The Council relies on a small pool of technical specialists and support operatives to keep the organisation operational
CR26	Supply Chain	EU shortage of materials to manufacture coloured plastic National shortage of agency drivers to undertake HGV driving. There is fast becoming a global shortage of microchips and some vehicle manufacturers have suspended production of new vehicles,