

APPENDIX C: Corporate Risk Register 2013/14 - Updated as at June 2014

	Risk Action	Risk Rating Likelihood/ Impact	Mitigating Action
<p>Further reductions in Government Grant</p> <ul style="list-style-type: none"> The Council is aware of possible reductions beyond 2015/16 to 2018/19, following the Financial Settlement 2013 and based on OBR analysis. <p>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</p>	Treat the Risk	Remains High	<ul style="list-style-type: none"> Updated Medium-term Financial Plan in place covering 5-years. This allows for a reduction in overall resources. Budgets considered prudent with provisions for inflation and growth. Current reserves are healthy and will help to sustain further reductions in the short-term allowing time for more sustainable action. On-going programme in place to generate efficiencies and budget savings. £430k achieved in 2013/14. As a growth area, overall reduction in core funding could be mitigated through the New Homes Bonus and Retained Business Rates. However, the risk remains high until the approved budget savings of £175k identified ahead of 2015/16 have been made.
<p>Economic Situation</p> <ul style="list-style-type: none"> 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. This could limit the Council's income. Locally, the amount of people claiming benefit has levelled off but is not reducing. Council Tax and Housing Rent arrears have increased. New development and regeneration locally has continued although it is slower and less frequent compared to pre 2010 as businesses take a cautionary approach. <p>(Main Chief Officers Responsible – Director of Finance and Corporate Services and Director of Community and Planning Services)</p>	Tolerate the Risk	Remains Medium	<ul style="list-style-type: none"> Budgets for income streams and specific grant allocations are assumed at current minimum levels; service provision is based on this. Supporting voluntary and community groups to help people in need, including through the Derbyshire Financial Inclusion Partnership. Measures in place to maximise benefit subsidy and fraud is proactively being pursued with successful prosecutions. The Asset Management Plan has focused on ensuring the Council's assets are being positioned to react to an economic upturn. On-going dialogue with developers and housing providers to look at alternative options for regeneration. The risk remains Medium, but it is considered that the Council is undertaking as much action as reasonably possible to mitigate influencing factors.

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<p>Keeping pace with Technology</p> <ul style="list-style-type: none"> The Council's IT infrastructure needs to keep pace with existing and emerging technologies. Stricter regulations for managing and exchanging information in electronic form through the Public Services Network <p><i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i></p>	Treat the Risk	Remains Medium	<ul style="list-style-type: none"> The IT strategy has identified some key projects that are currently being actioned, with the server infrastructure upgraded during 2013. E-mail archiving/storage system, desktop virtualisation and Microsoft upgrade now nearing finalisation. Connectivity improvements in the current infrastructure next to be actioned – network and wireless points to be upgraded. Disaster Recovery solution being strengthened at an independent location and business continuity for IT to be reviewed as a consequence. 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. Annual internal audit review tests robustness of systems and infrastructure – recommendation for improvement are monitored by the Audit Sub-Committee. Although the risk remains Medium, current investment and positive actions over the coming year should lower this risk in the longer-term term.
<p>Business Continuity and in particular the loss of the main Civic Offices.</p> <ul style="list-style-type: none"> 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. <p><i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i></p>	Treat the Risk	Remains High	<ul style="list-style-type: none"> Disaster Recovery solution now being implemented off-site (as above). Maintain relationships with other agencies and partners to secure alternative accommodation on a reciprocal basis if required. Could take advantage of spare capacity in private sector market although this would depend on timing. 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.

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