

## STRATEGIC RISK REGISTER (UPDATED AS AT DECEMBER 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>There are on-going reductions in national resources but resources locally are increasing. Uncertainty surrounds the future allocation of the New Homes Bonus from 2020/21 and the Retention of Business Rates. The Government is currently consulting on a Fair Funding Review, the outcome of which is due to be implemented from April 2020.</p>	<p>Treat the risk through continuous action and review.</p>	<p>The Medium Term Financial Plan (MTFP) was approved by the Committee in October 2018 and updated in January 2018 as part of 2019 Budget. Overall, there continues to be a relatively healthy financial position into the medium-term. Longer-term budget savings may be required although General Reserves are currently 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 relatively strong and growing. A rise in interest rates would have a low impact due to the Council's debt structure and would actually 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 any 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, 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>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>No change to rating or treatment.</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 apace.</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 also being pursued.</p> <p>Additional resources currently being generated from the 100% Business Rates Retention Pilot in 2018/19 and this is being set-aside to support future economic regeneration.</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 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>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 who reports directly to the Leadership Team on matters concerning Information Governance.</p> <p>Following previous malware virus attacks, additional measures have been implemented to restrict Internet access to certain sites, together with implementing</p>	<p>No change to rating or treatment</p>

			<p>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>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>An emerging issue during the previous quarter and now an immediate and live issue is the potential impact of a “No Deal Brexit” on the Council’s Services.</p>	<p>There is now a medium likelihood and 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 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 backed-up and stored in a secure off-site facility outside of the immediate region. An improved all-encompassing solution is nearing completion 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>As regards a “No Deal 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. The situation is being kept under review.</p>	<p>The overall risk rating has been upgraded to <b>Red</b> due to the immediate issue of a “No Deal Brexit”.</p>
<p>5 Capacity and resilience - recruitment, retention and development of the workforce and dealing with</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 have been 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>No Change to rating or treatment</p>

<p>additional demand for services.</p>			<p>A proposed restructure of the Council's Senior Management was approved by the Committee in November 2018. Final proposals are due to be considered by the Committee on 14 February 2019. The aim of the proposals 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. The proposals also aim to strengthen recruitment and retention of senior staff.</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 is proposed to increase 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 sector and local organisations. Council Officers currently working with the CVS and Citizens Advice.</p>	<p>No change to rating or treatment.</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 which have recently been enhanced by the implementation of a 'Solo-Protect.' system.</p> <p>A Potentially Violent Persons Policy and Risk Register were approved by the Committee in October and this has been implemented.</p> <p>Alarms and warning system in place in 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 of its services.</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 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>No change to rating or treatment.</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>No change to rating or treatment.</p>