

## Strategic Risk Register: Mitigating Actions as at June 2023

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score (after mitigating actions)
<b>Financial Resilience</b>	25 High	<ul style="list-style-type: none"> <li>• The Council's Medium Term Financial Plan that sets out the approach to achieving the savings that will be required from 2023/24 onwards was approved by Council in March 2023.</li> <li>• Final Local Government Finance Settlement received February 2023 and the impact on Budget for 2023/24 has been assessed. The settlement for 2023/24 was an improvement on the assumptions made in the MTFP but funding position for 2025/26 onwards is still very unclear.</li> <li>• Clearer picture on outlook expected when government announces details of 75% rate retention and the results of the Fair Funding Review, but this is now thought to be likely to be after the next general election.</li> <li>• Assess high value contracts to identify possible levels of exposure to increased expenditure due to rising inflation.</li> </ul>	12 Medium
<b>Resource: Capacity and Capability</b>	20 High	<ul style="list-style-type: none"> <li>• If required, neighbouring authorities could be approached for resource support and agency temps are being engaged (though at a significant cost).</li> <li>• More focus on PDRs- Managers MUST update Job descriptions and Job evaluations to ensure current and fair to retain and recruit</li> <li>• Delivery of Learning &amp; Development Programme</li> <li>• Need to look at ways to possibly fund changes in pay spine for some grades to ensure can continue to recruit</li> </ul>	9 Medium

		<ul style="list-style-type: none"> <li>• Fully utilise E-Learning Platform, with annual review of mandatory courses</li> <li>• Plan being developed to address age profile of depot employees and provide future resilience, as part of a wider review of the Clean and Green Service Need to be mindful of age profile in other services and ensure succession planning is in place where appropriate.</li> <li>• Need to manage the new council agenda (e.g. climate change) as there is a risk that too much focus on new projects will leave little capacity for ongoing service issues</li> <li>• Strategic capacity is being reviewed and addressed</li> <li>• New arrangements being put in place for more extensive engagement with members.</li> <li>• Implementing new corporate plan process that is member-led.</li> <li>• Changes to waste collection delivery method likely to have a significant impact on staffing resources (waste team, legal, finance, HR).</li> </ul>	
<b>Data Protection &amp; Information Governance</b>	15 Medium	<ul style="list-style-type: none"> <li>• Review contracts to ensure DPA and GDPR are addressed;</li> <li>• IGO to deliver training for non office-based employees</li> <li>• There is a need for a change in culture to meet the requirements under the Accountability Principle</li> <li>• All recommendations from Internal Audit Review 2020 to be implemented by agreed deadlines, including redaction training</li> <li>• Provide awareness training for breach management</li> <li>• Provide DPIA guidance and training</li> <li>• Consider impact of guidance from ICO on data sharing agreements</li> <li>• Review CCTV against Surveillance Code of Practice</li> <li>• Deliver mandatory training on data protection to employees and members, for all new starters and refreshed every two years</li> <li>• Review &amp; update data protection policy</li> <li>• Training for members on 26 July 2023</li> </ul>	10 Medium

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score
<b>Legal challenge in respect of contracts etc.</b>	16 Medium	<ul style="list-style-type: none"> <li>• Review contract standing orders and financial regulations</li> <li>• Establish a corporate approach to contract management and deliver training to managers who manage contracts</li> <li>• Provide guidance on consultation issues for relevant officers.</li> <li>• Roll out PSS Live to ensure that there is a record of inspections, reducing the risk of successful compensation / insurance claims</li> <li>• Review limit of indemnity for official indemnity insurance</li> <li>• Due diligence over insurance limits of liability &amp; contractual terms of contractors</li> <li>• If rising inflation causes increased costs, managers need to consider measures to mitigate cost increases &amp; service disruption - see S1 above and need to identify potential exposure.</li> </ul>	12 Medium
<b>Business Continuity &amp; Emergency Planning</b>	12 Medium	<ul style="list-style-type: none"> <li>• Consider impacts on strategic partners e.g. CAB</li> <li>• Training on emergency planning to be delivered to Members later in 2023</li> <li>• Build resilience within CLT and SMT, especially below gold command level</li> <li>• Interim review of business continuity arrangements to include consideration of splitting and rostering staff e.g. flooding events lasting several days.</li> <li>• Current pressures on human and financial resources to be monitored by CLT</li> <li>• Business Continuity and multi-agency exercises to be planned</li> <li>• Resilience Direct exercise to be planned</li> <li>• Continue to review the business continuity arrangements of contractors to ensure that they are fit for purpose.</li> <li>• Building up our pool of experienced people to work in an emergency.</li> <li>• Increased capacity in Local Resilience Forum</li> <li>• Consideration of PROTECT awareness training for CLT</li> </ul>	6 Medium

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score
<b>Continuity of Service (where there is an External Supplier)</b>	<p style="text-align: center;"><b>20</b> High</p>	<ul style="list-style-type: none"> <li>• Review contracts to ensure exit strategies are included and documented. Where these are not in place discuss with suppliers how these could be implemented.</li> <li>• Identify alternative/temporary solutions for key contracts and minimum delivery requirements.</li> <li>• Working with existing contractors to ensure continuity of service; Develop suite of contracts to include provisions to mitigate this risk.</li> <li>• Ensure new contracts have a sensible share of risks and liabilities;</li> <li>• Updating building control contract</li> <li>• Council to be asked to give approval to adopt temporary measures outside terms and conditions of waste management contract;</li> <li>• Deliver training for managers involved in managing contracts in relation to compliance and procurement.</li> <li>• Possible changes to service delivery on leisure and waste (subject to member decisions) between July and September.</li> </ul>	<p style="text-align: center;"><b>10</b> Medium</p>
<b>Health &amp; Safety</b>	<p style="text-align: center;"><b>12</b> Medium</p>	<ul style="list-style-type: none"> <li>• Continue to grow and develop the Safety Committee.</li> <li>• Ensure that the RCG is informed of risks on a regular basis to reflect risks in the department and strategic risk registers.</li> <li>• Engage with providers to identify any proactive measures that the Council could take, if not already being performed.</li> <li>• Refine play equipment etc. inspection reporting regime to ensure regular inspections take place and are recorded</li> <li>• Review the asbestos register to ensure that this is up to date.</li> <li>• Continue to update fire risk assessments.</li> <li>• Review Lovers Walk risk assessments in relation to rock falls and monitor in accordance with survey &amp; develop maintenance programme for rock faces;</li> </ul>	<p style="text-align: center;"><b>8</b> Medium</p>

		<ul style="list-style-type: none"> <li>• Health &amp; safety training to be considered for SMT in 2023</li> <li>• Implement outstanding recommendations from Internal Audit Review (IOSH training; reporting)</li> <li>• Working with event organisers to assist with risk assessments for holding events safely where possible, resulting in a number of cancellations.</li> <li>• Continue to monitor accident reports and trends including RIDDOR</li> <li>• In-house health and safety trainer to deliver training to others</li> <li>• The safety committee has approved a second trainer.</li> <li>• Reviewing exposure to water hazards: a Derbyshire Water Safety Group is being established.</li> <li>• The safety committee is to consider a new system for accident investigation.</li> </ul>	
<b>Safeguarding</b>	12 Medium	<ul style="list-style-type: none"> <li>• Specific training for safeguarding officers</li> <li>• Refresher training for taxi drivers with Derbyshire County Council now underway but not fully rolled out</li> <li>• ~ Section 11 audit due to be repeated</li> <li>• Policy is under review to be refreshed in 2023</li> </ul>	12 Medium
<b>Planning &amp; Local Plan</b>	16 Medium	<ul style="list-style-type: none"> <li>• Ongoing Local Plan monitoring</li> <li>• Further member workshops and meetings of local plan working group planned</li> <li>• Report from consultants expected mid-2023 and further consultation to be undertaken</li> <li>• Keep under review changes to legislation and national policy</li> <li>• New Local Plan Sub- Committee established, initial meetings to be held.</li> </ul>	12 Medium

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<b>Policies &amp; Decision Making</b>	16 Medium	<ul style="list-style-type: none"> <li>• Further training as necessary</li> <li>• Member workshops on keys areas for policy development, member engagement &amp; decision making</li> <li>• In depth risk assessments for commercial projects</li> <li>• Continue dialogue with members to work with them to develop new corporate priorities, ensuring that the plan is deliverable.</li> <li>• Member induction programme is underway to assist in settling in new members and developing the opposition.</li> </ul>	4 Low
<b>Regeneration</b>	20 High	<ul style="list-style-type: none"> <li>• Assess risks from regeneration projects. Risk registers in place &amp; reviewed monthly;</li> <li>• Availability of officer support in Estates, Legal and Finance identified as a risk. The corporate project tracker aims to review, identify and plan for pinch points.</li> <li>• Governance arrangements being reviewed</li> <li>• Identify and address ongoing implications for costs &amp; staff of projects once they have been delivered</li> <li>• Communications and engagement plan developed &amp; to be delivered.</li> <li>• Arrangements for monitoring performance &amp; claims being developed.</li> </ul>	12 Medium
<b>Transformation Programme</b>	16 Medium	<ul style="list-style-type: none"> <li>• Consider lessons learned from other programmes and implement learning where appropriate.</li> <li>• Rollout of EDMS to be determined and resourced</li> <li>• CLT need to keep under review the organisational structure as the CRM is rolled out.</li> <li>• Resolve integration of payments with CRM and other systems</li> <li>• Develop &amp; report a Transformation Strategy to members.</li> </ul>	12 Medium

<b>Cyber Crime</b>	<p style="text-align: center;">20 High</p>	<ul style="list-style-type: none"> <li>• Roll out exercise that will raise employee awareness of “phishing”</li> <li>• Carry out full assessment of cyber risks</li> <li>• Insurance cover no longer in place - try to obtain cover</li> <li>• Procure a cyber retainer consultant;</li> <li>• Review and update the ICT Strategy and Information Governance Strategy</li> <li>• Operational and strategic risk registers to be aligned for ICT</li> <li>• Service managers to be asked to review BCP specifically related to a cyber attack</li> <li>• Cyber crime sub group of the Derbyshire Resilience Partnership is to be refreshed with a new focus</li> <li>• Cyber treatment plan progressing.</li> </ul>	<p style="text-align: center;">12 Medium</p>
<b>Climate Change</b>	<p style="text-align: center;">12 Medium</p>	<ul style="list-style-type: none"> <li>• Seek further funding for planned capital works</li> <li>• Take advantage of funding opportunities as they arise</li> <li>• Recalculate carbon footprint on annual basis</li> <li>• Climate Change Officer to take on role at officer groups and maximise opportunity</li> <li>• Develop project plan to deliver capital works</li> <li>• Develop Climate Change role outside the Council and within the community</li> <li>• Consider potential for renewable energy generation across the District</li> <li>• Adopt and implement Climate Change SPD</li> <li>• New &amp; refreshed Climate Change working group</li> <li>• Harness staff and elected Member ideas</li> <li>• Develop role of the CCWG</li> <li>• Electrification of fleet vehicles</li> <li>• Review use of chemicals &amp; type of equipment for Clean &amp; Green</li> <li>• Developing a strategy for EV charging points in the community</li> <li>• Monitor risks associated with delay in delivering grant funded projects</li> <li>• Recruiting an energy efficiency officer</li> <li>• Gain an understanding about what members require in terms of biodiversity.</li> </ul>	<p style="text-align: center;">8 Medium</p>

### Appendix 3

#### Recommendations from the Internal Audit Review of Risk Management

Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
R1	Operational risk registers should be reviewed and brought up to date as soon as possible (where not recently reviewed).	Med	Chief Executive (for HR) & Directors of Housing and Resources	Before next RCG meeting on 21 September 2022	<b>In progress:</b> At the RCG meeting 14/06/23 it was agreed that all directors would update operational risk registers before the next RCG meeting (in September),
R2	The Risk Continuity Group should monitor operational risk registers on a half yearly basis to check that departmental risk registers are being reviewed and updated regularly to ensure all risks identified are being well managed and updated/reviewed in accordance with the Risk Management Policy and Strategy.	Low	RCG	From the next RCG meeting on 21 September 2022	<b>In progress:</b> At the RCG meeting 14/06/23 it was agreed that at its next meeting in September the RCG would carry out monitoring to check that departmental risk registers are being reviewed and updated regularly.
R3	A register of all current and future projects should be created and maintained. This should be reviewed by the Risk Continuity Group on a periodic basis to ensure that risks in relation to projects are identified, documented, assessed and monitored. It	Low	RCG	From the next RCG meeting on 21 September 2022	<b>Completed:</b> A new business case template has recently been agreed by CLT as well as a template for reports to CLT, both of which have a



Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
	should then be determined if a specific risk register is required for individual projects				section on risk management.
R4	The Risk Management Policy when next reviewed should be updated to reflect how the RCG group report to CLT and Members.	Low	Director of Resources	At the time of the next policy update which is due by February 2023	<b>In progress:</b> A draft updated policy was presented to the RCG in June 2023. The updated policy will be reported to members for approval in September 2023 along with the Risk Management Annual Report.
R5	Not agreed	Low			<b>N/A: Recommendation not accepted</b>
R6	To ensure all employees and Members have a sound understanding of risk management a training programme to imbed risk management throughout the organisation should be implemented by the Risk Continuity Group. Information and material to aid the risk management process and to provide information to employees should be placed on the intranet as a point of reference	Med	Director of Resources	31 December 2022	<b>In progress:</b> KH & SB to deliver training in 2023/24
R7	A process should be developed by RCG to ensure that risks associated with partnership working arrangements are recorded and regularly monitored. This should be undertaken in	Med	Relevant service director		<b>N/A: Recommendation not fully accepted.</b>  Contract managers are expected to highlight high

Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
	accordance with any specific requirements as detail within the relevant SLA's				risks to CLT and/or on the operational risk registers.
R8	As part of the contract award process for high value/high risk procurement exercises, the Risk Continuity Group should discuss and provide guidance for the review and monitoring of critical risk supplier's business continuity plans. A formal process for reviewing credit checks of a critical supplier prior to contract award and during the contract period should also be discussed and developed if required.	Low	RCG	From the next RCG meeting on 21 September 2022	<b>Completed:</b> Financial checks are now made on potential suppliers for all new contracts.