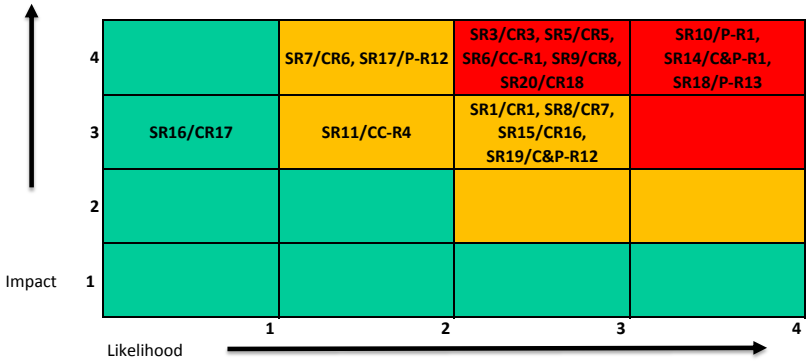
RISK DEFINITIONS							
RISK REF	**RISK TITLE**	**RISK DESCRIPTION**	**DEPT.**	**CABINET PORTFOLIO**	**RISK THEME - LOCAL ANALYSIS**	**RISK CAUSE**	**RISK EFFECT**
SR1/CR1	**Staffing – capacity, skills and knowledge**	Increasing demands on existing resources	HR & OD	GOVERNANCE AND LICENSING	STAFF	Budget restrictions have seen services workforce shrink without proportional reduction in demands, increases expectation on remaining staff with more responsibilities and reliance on good will of staff.	Increased stress levels, increased staff sickness, reliance on temporary staff, increased costs, increased mistakes, reduction in morale, service delivery failure (including statutory responsibilities), external sanctions and fines.
SR3/CR3	**Cyber threats to our systems**	Vulnerability of the Council 's IT estate to cyber attacks	Digital and Customer Management	GOVERNANCE AND LICENSING	SYSTEMS	Historic lack of investment in IT; failure to maintain systems at most current release and constantly changing threat landscape. Open nature of IT infrastructure (proliferation of devices).	Extended IT outages and significant data loss. Potential fines from the ICO and reputational damage.
SR5/CR5	**Non-compliant condition of Council properties**	Our assets (land and buildings) are not compliant with statutory health and safety requirements and our duty of care obligations due to a lack of capacity/resources	Property	GOVERNANCE AND LICENSING	HEALTH AND SAFETY	Lack of capacity and resources to maintain and manage our land, building and facilities. Failure to operate safe systems for the use and occupation of buildings.	Breach of statutory H&S and duty of care obligations. Potential injury, loss of life, service disruption and damage to property.
SR6/CC-R1	**Ineffective project management governance**	Variable approaches across the Council in the management and delivery of major capital projects to agreed objectives and budget	Policy, Insight & Communications	GOVERNANCE AND LICENSING	PROJECTS	High number of projects currently underway requires significant management and governance resource. Resources and timescales associated with bids for project funding can lead to insufficient due diligence leaving the project vulnerable to cost overruns and programme delays.	Delay to delivery of projects, overspend and increasing pressure on council reserves, reputational damage for failure to deliver projects, political pressure from members.
SR7/CR6	**Ineffective contract management**	Inconsistent and/or poor contract management arrangements that are not in line with our agreed standards	Legal Procurement and Democratic Services	FINANCE AND PROCURMENT	PROCUREMENT AND COMMISSIONING	Lack of Contract Manager training and capacity.	Potentially significant financial, service delivery, reputational and compliance effects. Council placed in special measures and adverse effect on Council's Value for Money (VFM) rating.
SR8/CR7	**Poor data and records management**	Poorly defined, inconsistent records management systems and processes	Digital and Customer Management	GOVERNANCE AND LICENSING	DATA	No corporate records management framework. Historic lack of investment in system controls including user access.	Inefficiencies from time taken finding material. Poorly informed decision-making. Data breaches leading to ICO fine and reputational damage.
SR9/CR8	**Above average working days lost due to sickness absence**	Higher than average number of working days lost due to sickness, impacting on our ability to deliver current and future service priorities in affected service areas	HR & OD	GOVERNANCE AND LICENSING	STAFF	Increased workload pressure on staff due to budget cuts, loss of workforce and retained levels of expected delivery.	Increased sickness levels (including stress), failure to deliver service statutory duties, decreased staff morale.
SR10/P-R1	**Budget overspend due to high numbers of children in care**	Continued high demand for statutory children's social care services, with insufficient numbers of Derby Foster Carers to reduce our spend on external IFA placements	All	ASC CYP	BUDGET	Short term focus on financial prioritisation; Social and economic factors such as increased migration and asylum, longer life expectancy, higher levels of disability, greater levels of need.	Higher number of placements required beyond LA capacity leading to major budget overspends.
SR11/CC-R4	**BREXIT transition affects delivery of services**	BREXIT transition impacting the delivery of council services and wider outcomes for the city	Policy, Insight & Communications	All	LEGAL	Uncertainty over national decision making process and expected exit from the EU.	Risk of increased community tensions and possible disruption to services and access to some goods / services. Financial risk due to increased demand for services due to recession and loss of EU funding. Risk to recruitment and retention of EU nationals in some services following transition period. Risk of failure to deliver statutory requirements in light of changing regulatory laws and processes. Risk of failure to communicate effectively with those affected by Brexit in the local area.
SR14/C&P-R1	**Sinfin Waste Plant**	Adverse outcome to estimated fair value determination	Streetpride & Public Protection	COMMUNITIES, NEIGHBOURHOODS AND STREETPRIDE	PROJECT MANAGEMENT	Adjudication does not deliver the expected financial outcome.	Payment of an estimated fair value in excess of that which the Councils consider reasonable and appropriate; further litigation.
SR15/CR16	**Inability to deliver a balanced MTFP**	Changes in Government Funding frameworks alongside increasing local budget pressures	Finance	FINANCE AND PROCURMENT	BUDGET	Re-balancing local government funding between central government funding and local funds. External factors comprise of fair funding, business rates retention, business rates reset & elections.	Failure to strategically plan long term finances exposes potential for unidentified expenditure adding additional pressure on financial structure and jeopardising the financial sustainability of the council. Unacceptable strategic & financial risks to the Council.
SR16/CR17	**Failure to deliver against our annual budget**	Insufficient resources to meet priorities, which may impact on long-term financial resilience	Finance	FINANCE AND PROCURMENT	BUDGET	Insufficient resources to meet council priorities within the existing financial year due to: - unbudgeted expenditure and unplanned overspend - financial shocks - reduced financial resilience	- Unplanned use of reserve / overspends and its impact on long term financial resilience. - Moratorium on spends have unintended consequences.
SR17/P-R12	**Failure of Local Authority and Local Area (Local Authority and key local Health partners jointly) to implement the SEND reform**	Failure to make sufficient progress against the WSoA before next OFSTED inspection (a year to 18 months from when the Written Statement of Action (WSoA) was agreed – Dec 2019)	Learning and Skills	CYP	PROJECT MANAGEMENT	1. Lack of senior leadership buy in to project management processes and approach, both within the Local Authority and across the Local Area. 2. Lack of effective communication, engagement and co-production with parents and carers in the implementation of the WSoA and effective co-ordination of this across the Local Area. 3. Lack of clarity, ownership and full accountability around WSoA roles and Local Area responsibilities in implementing the WSoA. 4. High absence levels and staff turnover in SEND statutory team. Leading to insufficient resource to address ongoing high demand for statutory assessments, resulting in non-compliance with statutory SEND requirements and lack of capacity to effectively address key development work identified in WSoA. 5. Skills gaps and a lack of workforce development opportunities across the Local Area for colleagues that support CYP with SEND. 6. Lack of overarching sufficiency in service provision, or service that does not meet the needs of our CYP with SEND across the Local Area. 7. Inability to ensure and evidence that work conducted fully addresses the areas of weakness identified in the WSoA. 8. Further causes from within Derby and Derbyshire CCG that have not been transparently communicated and/or effectively managed but sit outside the direct control of Derby City Council.	1. Derby City Council and Derby and Derbyshire CCG would be vulnerable to further intervention including being required to complete a second WSOA, with a further re-inspection 18 months later. 2. Statutory intervention by Department for Education (DfE) if subsequent inspection outcomes remain poor. 3. Further reputational damage including adverse media coverage, further reduction in parent and carer satisfaction/confidence. 4. Poor outcomes for children and young people with SEND; possibly impacting on services required from Adult Social Care colleagues. 5. Financial implications associated with tribunals and compensation/ombudsmen claims. Recruitment and retention could become more challenging. 6. Derby City Council's loss of credibility resulting in inability to influence SEND reforms on a national level. 7. Poor inspection outcomes for the city's schools if they are not inclusive and supporting the priorities in the WSOA.
SR18/P-R13	**Increase in number of individuals/households 'in need' following COVID**	Increase in the numbers of individuals and families in the city identified as 'in need' following COVID-19, which may include 'unmet' need during that pandemic	All	ASC CYP	CAPACITY	Financial hardship, loss of family members to the virus, loss of employment, breaks in classroom based education impacting on social mobility. Lower referrals (both ACS and CYP) due to change in partnership activity (i.e. closure of schools, focus on covid-19 for key partners) meaning that the identification of needs is 'delayed'. Unmet need may also increase risks / complexities for individuals / families once they become known to our services.	Increase demand for future services and support - impacting on capacity required to support. Increased costs of higher demand. Demand cannot be managed within existing capacity post Covid-19. Individuals / families could be left with unmet needs / at risk. Complexity of issues could increase as support is not being provided at the earliest opportunity.
SR19/C&P-R12	**Business resilience and loss of jobs**	Business resilience and loss of jobs in light of COVID-19	Finance	FINANCE AND PROCURMENT	REVENUE	Financial hardship, loss of customers, loss of employees, no footfall, long periods of self-isolation / community lock downs, ceasing online trading, take-away options have to stop.	More businesses are forced to close, 'high streets' change, loss of footfall in the city and associated long-term revenue.
SR20/CR18	**Financial unsustainability, as a result of the Covid-19 pandemic**	Financial unsustainability, as a result of loss of income and/or increased spend in response to the Covid-19 pandemic	Finance	FINANCE AND PROCURMENT	BUDGET	Government funding is insufficient to meet local demands / address financial losses incurred through wider government schemes (i.e. support hardship, business rates scheme etc.). Increased demand for services - both during the pandemic and post Covid-19 impacting on our financial position (related to risks SR18 and SR19).	Failure to strategically plan long term finances exposes potential for unidentified expenditure adding additional pressure on financial structure and jeopardising the financial sustainability of the council. Unacceptable strategic & financial risks to the Council.

Quarter 4 Risk Monitoring - Strategic Risk Register

Derby City Council

Risk Summary



Abbreviations -

SR:	Strategic Risk
CR:	Corporate Resources Risk
C&P-R:	Communities & Place Risk
P-R:	People Services Risk
CC-R:	Policy, Insight & Communications Risk

Risk Ref.	Risk Title	Current status	Direction of travel	Risk Summary
SR1/CR1	Staffing – capacity, skills and knowledge	9	⇨	Risk stays medium (probable, with high impact). - Four controls remain in place. - Two actions remain ongoing (with one reporting COVID-19 impact).
SR3/CR3	Cyber threats to our systems	12	⇨	Risk is still significant (probable, with very high impact). - Six controls remain in place. - One action remains ongoing and is nearing completion. *Note: Risk title and description has been updated for clarity.*
SR5/CR5	Non-compliant condition of Council properties	12	⇨	Risk is still significant (probable, with very high impact). - Two controls remain in place. - One action is completed while three remain ongoing (one reporting COVID-19 impact). *Note: Risk title and description has been updated for clarity.*
SR6/CC-R1	Ineffective project management governance	12	↘	Risk likelihood has been increased from 'possible' to 'probable' due to the impact of COVID-19 and vacancy within PMO. Impact stays very high. - Two controls remain in place while one is to be re-established. - One action remains ongoing, two new actions have been added. *Note: Risk title and description has been updated for clarity.*
SR7/CR6	Ineffective contract management	8	⇨	Risk stays medium (possible, with very high impact) - Three controls remain in place. - Three actions remain ongoing. Controls and actions associated with the Procurement risk element have been removed (after the risk was re-defined in Q3).
SR8/CR7	Poor data and records management	9	⇨	Risk stays medium (probable, with high impact). - Four controls remain in place. - No further actions have been identified although risk stays above target. *Note: Risk title and description has been updated for clarity.*
SR9/CR8	Above average working days lost due to sickness absence	12	⇨	Risk is still significant (probable, with very high impact). - Four controls remain in place. - One action remains ongoing. *Note: Risk title and description has been updated for clarity.*
SR10/P-R1	Budget overspend due to high numbers of children in care	16	⇨	Risk is still significant (almost certain, very high impact). - Ten controls remain in place. - Three actions remain ongoing while one has been put on hold due to change in priorities (due to COVID-19). Risk Surgery - June 2020. *Note: Risk title and description has been updated for clarity.*
SR11/CC-R4	BREXIT transition affects delivery of services	6	↘	Risk likelihood has increased from 'remote' to 'possible' due to the impact of COVID-19 on Brexit negotiations, service demands and economy. - Three controls remain in place. - One action remains ongoing and one is new. *Note: Risk has been re-defined to account for the transition period.*

Risk Ref.	Risk Title	Current status	Direction of travel	Risk Summary
SR14/C&P-R1	Sinfin Waste Plant	16		Risk is still significant (almost certain, very high impact). - Two controls remain in place. - No new actions have been added, however activities in relation to the controls remain ongoing to treat this risk. Risk Surgery - June 2020.
SR15/CR16	Inability to deliver a balanced MTFP	9		Risk likelihood has increased to 'probable' due to the impact of COVID-19 on the Councils finances (see related risk SR20/CR18). Risk impact stays high. Assumptions in funding and growth in MTFP, and impact will have to be reviewed if current savings plans cannot be achieved e.g. resources. The Government have issued grants to combat these issues in the short term – but we will need to continue to review to understand both the impact in the short term and long term impacts on the MTFP. - Five controls remain in place. - Three actions have been added.
SR16/CR17	Failure to deliver against our annual budget	3		The annual budget has been delivered using £6m of Council's reserves. Risk needs to be refreshed for 2020/21.
SR17/P-R12	Failure of Local Authority and Local Area (Local Authority and key local Health partners jointly) to implement the SEND reform	8		Risk stays medium (possible, with very high impact) - One control stays in place. - Five actions are completed and one is new.
SR18/P-R13	Increase in number of individuals/households 'in need' following COVID	16		New risk added in Quarter 4 following COVID-19 Risk and Impact Assessments.
SR19/C&P-R12	Business resilience and loss of jobs	9		New risk added in Quarter 4 following COVID-19 Risk and Impact Assessments.
SR20/CR18	Financial unsustainability, as a result of the Covid-19 pandemic	12		New risk added in Quarter 4 following COVID-19 Risk and Impact Assessments.

Risk	SR1/CR1	Staffing – capacity, skills and knowledge	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	3	9
Current	3	3	9
Tolerance	1	4	4
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Allocated HR advisors to support managers and develop targeted action plans, providing advice on capacity to deliver business/service objectives	Yes	Service Directors and Heads of Service have an allocated HR Advisor for their service areas to support them on driving excellent performance and developing business solutions. This includes providing advice on capacity to deliver business and service objectives, as outlined in service Business Plans.
Renewed leadership behaviours to support leaders to be accountable for appropriately managing their services/demands within current capacity	Yes	This control is in place following the launch of the leadership behaviours in 2019. The leadership behaviours will become an intrinsic aspect of all management roles, and form a key part of the Great Performance Conversations with managers.
Refreshed council values to promote personal accountability, working as one 'Great Team'; being bold, strong and caring.	Yes	The values were successfully launched in 2019, with a series of promotion activities including dedicating a month to each of the four values and highlighting great examples of the values in practice. The values have also been built into the Great Performance Conversations and linked to the VIP scheme.
More recognition of colleagues that 'go the extra mile'	Yes	The We're Here for Derby awards, recognising colleagues who go the extra mile, have been established, and the first very successful event was held in late 2019.
Please also refer to SR9/CR8 for additional controls in place to manage sickness absence and associated triggers/issues, which impact on demand and capacity in teams.		

Further Actions	Progress with action as at 31 Mar 2020	Comments
Targeted work to address resilience hotspots including market supplements, workforce development to address skills gaps/capacity issues etc.	Some slippage	Targets for attendance management have been set with each Service Director since 1 April 2019 and for a three year period. Service Directors and Heads of Service have an allocated HR Advisor for their service areas to support them on driving excellent performance, including proactively managing attendance and reviewing resilience hot spots. The use of market supplements to address resilience hot spots remains minimal, with few areas identified where this solution is required. HR Advisors continue to also work closely with Organisational Development (OD) colleagues to support managers to address skills gaps in their team. Work is ongoing by HR and OD with managers to use the Apprenticeship Levy, where applicable, to address skills gaps, and progress is reported to the Apprenticeship Levy Project Board.
Development and launch of the Workforce Planning and Development Strategy	Some slippage	Workforce Development Plan on hold due to COVID-19. A review of needs will be carried out during transition/recovery phase.
Please also refer to SR9/CR8 for additional actions being taken to manage sickness absence and associated triggers/issues, which impact on demand and capacity in teams.		

Risk	SR3/CR3	Cyber threats to our systems	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	4	12
Current	3	4	12
Tolerance	2	3	6
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Perimeter security - firewalls etc.	Yes	We adopt a 'defence in depth' approach with security controls at the network perimeter and staff end user devices. Our approach to maintaining the security and integrity of our network is under review as part of the implementation of the replacement WAN and LAN project. Work is now well underway on implementing the new network, both in terms of replacing hardware and introducing new circuits to remote sites. However, this has been delayed due to Covid-19.
Anti-malware software	Yes	Anti-malware software continues to be upgraded as required.
PC Patching Programme	Yes	Work is ongoing to identify a new toolset to assist in software patching and enhanced auditing capabilities - the new improvements are being delivered as part of the Windows 10 and Office 365 upgrades, which will now be ongoing until later in the year due to Covid-19.
Information Security Working group (ISWG) meets monthly - looks at all threats and activities the council needs to take to counter those threats.	Yes	The Information Security Working Group (ISWG) comprises of Information Governance and Technical professionals, which meets monthly.
Incident response procedures	Yes	Incident response procedures are in place and regularly reviewed by the Information Security Working Group (ISWG).
GDPR and Cyber Security eLearning	Yes	Completion rate for GDPR and Cyber Security eLearning was approximately - 91% for staff and 90% for Councillors; approximately 2,800 colleagues completing the eLearning by year end. The training reset was agreed for the 1st May due to a requirement for all staff and Councillors to undertake the eLearning on an annual basis. This timeframe is in line with Health partners and a requirement for corporate assurance and maintaining business contracts. For FY 2020/21 the required completion date by colleagues is 30th September 2020.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Rollout of MFA across the organisation to protect the Council against identity theft	Some slippage	The Multifactor Authentication is currently at above 95% and it is expected that all users will be completed as part of the implementation of the homeworking in support of the Covid-19 measures.

Risk	SR5/CR5	Non-compliant condition of Council properties	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	3	4	12
Current	3	4	12
Tolerance	2	4	8
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Health & Safety / compliance assurance now firmly embedded as a key objective in Property Team's Business Plan.	Yes	Compliance is a key area in the Property Service Business Plan.
A Buildings maintenance programme is in place supported by asset surveys to limit likelihood and potential of incidents occurring as a result of unidentified H&S issues.	Yes	Control stays in place - and remains focussed on high priority assets and H&S issues.

Further Actions	Progress with action as at 31 Mar 2020	Comments
'Property Projects and Technical Services' to lead on Policy Development on key areas – Fire, Water Hygiene, Asbestos, Electricity And Gas (as part of the delivery of the Property Compliance Improvement Plan)	Some Slippage	Fire Policy was taken to Committee in Jan and well received - supplementary guidance notes to be completed and published. Water Hygiene Policy is yet to be reviewed due to the water manager working on the replacement water management contract and project delivery. Some slippage on Electricity and Gas policies due to internal resources focussing on key projects delivery. Asbestos Policy review completed on target. A clear delivery programme for the outstanding policies is being developed.
'Estates and Property Review' Service to undertake the relevant audits for the leased out properties (after the framework was established)	Some Slippage	High priority premises being monitored and dealt with but there is some slippage on priority 2 & 3 due to the reliance on third party information from tenants. Due to COVID-19 lockdown, tenants are now closed - as a result visits have not been feasible and no letters could be sent through.
Buildings Manual to be reviewed as part of the Corporate Landlord Business Plan activities.	Some Slippage	Progress on this action has been restricted by other higher priority works. Action is now expected to be completed this year.
Revise and implement an Estate Management Strategy identifying buildings as vacant, retain, dispose or invest	Completed	Strategy has been taken to Scrutiny Committee and Cabinet/Corporate Leadership Team (CLT) with an updated position expected to be reported in autumn this year.

Risk	SR6/CC-R1	Ineffective project management governance	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	2	4	8
Current	3	4	12
Tolerance	2	4	8
Reason for changes	Impact of COVID-19 and vacancy within PMO	No change.	Likelihood has increased.

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Projects allocated to staff with experience and knowledge of Prince management techniques, all projects sponsored by senior director and regular updates with members to ensure accurate and complete position of project delivery is understood and monitored	Yes	All projects on the Corporate Project Dashboard have a nominated SRO and project manager.
Monitoring of capital projects by the Corporate Capital Programmes Boards (CCPB)	Yes	The CCPB was deferred in April due to COVID-19 but monitoring has continued as normal with oversight by the Director of Finance.
Programme Management Office in place	No	The PMO function is being maintained through resources within Policy & Insight (for example, monitoring of Corporate Project Dashboard) but the PMO post is vacant subject to wider Achieving Change.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Review remaining risk registers of all high priority projects on the Corporate Project Dashboard, to ensure project risks are reflected in appropriate strategic / directorate risk registers.	Some slippage	Work is continuing to review risk registers of all high priority projects.
Review of PMO function and resourcing	*New Action - Monitoring to commence from Q1 2020/21*	New action added in Q4.
Additional monitoring of capital projects in light of COVID-19	*New Action - Monitoring to commence from Q1 2020/21*	New action added in Q4.

Risk	SR7/CR6	Ineffective contract management	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	2	4	8
Current	2	4	8
Tolerance	2	2	4
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
All major contracts are issued with support and assistance from procurement team	Yes	Repeat contracts identified via the contracts register and contract managers contacted and a timetable agreed.
Regular review of the Strategic and Directorate Contract Registers at Directorate Leadership Team (DLT), Corporate Leadership Team (CLT) and Cabinet - to highlight the highest risk/most significant non-compliant contracts and contracts in need of Procurement or action	Yes	Quarterly reporting to DLTs is established. Compliance is monitored via objectives and actions through GPCs.
Procurement eLearning available on the DCC intranet (also covers some elements of contract management)	Yes	E-learning is available to those budget managers identified through the scheme of delegation and to others requesting access.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Enforce Procurement e-learning completion	Some slippage	The scheme of delegation has been refreshed and we are accommodating requests to give people access to the training when received. A system of checking and reporting has not yet been established. Procurement team members continue to attend various team meetings to present an overview of the regulations.
Identify a cost effective Contract Management training route and roll out	Some slippage	It has not yet been established what level of training is required, who requires the training and where the funding will come from. Individual departments have requested details of what routes are available but we are yet to receive feedback on what is the most suitable and cost effective.
Review of Contract Procedure Rules every two years to ensure they are up to date and fit for purpose	On Track	To meet the target date for completion, the review is scheduled to begin in January 2021 so that all necessary approvals for any changes can be agreed.

Risk	SR8/CR7	Poor data and records management	
	Likelihood	Impact	Score
Inherent	3	3	9
Previous	3	3	9
Current	3	3	9
Tolerance	2	2	4
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Audits of key systems: IG team support process reviews and audits of key systems after a data breach or rectification request	Yes	A robust data breach reporting process is in place and 'lessons learned' are implemented. 'Lessons learned' are implemented after data breaches and actions, identified as part of audits of key systems, are managed. We are still looking to leverage security enhancements from the Future Network programme and O365 implementation to make further improvements in this area.
Each Service has an Information Asset Owner (IAO) - and together they form the Information Governance Working Group (IGWG). They report any risks and issues associated with their information assets to the IG board.	Yes	The Information Governance Working Group (IGWG) is working on an ongoing programme targeting information risks and government standards.
Training programme on Data Protection Policy and processes	Yes	Completion rate for GDPR and Cyber Security eLearning was approximately - 91% for staff and 90% for Councillors; approximately 2,800 colleagues completing the eLearning by year end. The training reset was agreed for the 1st May due to a requirement for all staff and Councillors to undertake the eLearning on an annual basis. This timeframe is in line with Health partners and a requirement for corporate assurance and maintaining business contracts. For FY 2020/21 the required completion date by colleagues is 30th September 2020.
Robust data breach reporting and follow through.	Yes	A robust data breach reporting process is in place and 'lessons learned' are implemented. The Information Governance team request continued swift and comprehensive support from services with data breaches.

No further actions have been added in Q4.

Risk	SR9/CR8	Above average working days lost due to sickness absence	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	4	12
Current	3	4	12
Tolerance	1	4	4
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Health and Well-Being Strategy implemented	Yes	The control stays in place.
Regular monitoring of sickness absence levels by Corporate Leadership Team (CLT) and Directorate Leadership Team (DLT). Management responsibility for monitoring and managing workload of team colleagues.	Yes	Progress on managing attendance is reported to the CLT Performance Board, and this is also considered regularly by DLTs. Managing attendance is also a standing item on the Personnel Committee agenda. The responsibility for monitoring and managing the workload of team colleagues remains a management responsibility, and this responsibility is underpinned by the new leadership behaviours. Managing absence is one of the new corporate objectives for all levels of managers.
Mental Health First Aiders (MHFAs) available to provide information and sign-posting to staff	Yes	Over 160 accredited MHFAs and a well established MHFA network is in place. Targeted recruitment of up to 400 MHFAs is underway to ensure sufficient provision across specific work areas.
Health and Safety audits (including Stress Risk Assessments)	Yes	The Corporate Health and Safety team carries out audits in services, with stress risk assessments within their scope.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Monitoring of sickness hotspots with targeted interventions to support a gradual reduction of stress related absence	Some slippage	Managers are accountable for managing attendance in their teams. HR Advisors continue to carry out targeted work with managers to support them to deliver improvements in attendance, and have been delivering focussed attendance management training with Departmental Leadership Teams. The Wellbeing Advisors have continued to offer Health and Wellbeing clinics for managers and colleagues and have carried out analysis of mental health absence trends which has been reported to Corporate Leadership Team (CLT). A well established network of Mental Health First Aiders is in place. Progress on delivering a reduction in absence is monitored at DLT meetings and CLT Performance Board. More focused work on stress management is underway, including the launch of mandatory training for managers on completing stress risk assessments. The Corporate Health and Safety team have implemented a new audit of health and safety issues in services, including the quality and outcomes from stress risk assessments.

Risk	SR10/P-R1	Budget overspend due to high numbers of children in care	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	4	4	16
Current	4	4	16
Target	2	4	8
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Discussions at Strategic level with services outlining justification for budget structure	Yes	Detailed discussions were held with Cabinet members and Corporate Leadership Team (CLT) in relation to the setting of the Medium Term Financial Plan. A presentation is being prepared for CLT on the current position.
Close liaison with responsible Cabinet member to ensure Social Care given appropriate focus when reviewing MTFP	Yes	Cabinet members for CYP and Adults and Housing have both been fully involved in the development of the MTFP which includes robust consideration of the extent of any pressures.
Established Learning and Improvement Framework, with monthly audit activity to make sure thresholds are correct and interventions are in line with children, young people and family's needs	Yes	There has been a pause in BAU audit activity in relation to the yearly schedule. However one off audits have taken place: Multi-agency Section 47 Audits which looks at threshold and intervention across the partnership; there is also work being undertaken in relation to timeliness of initial child protection conference. Regional QA work in response to Covid-19 and assurance needed that CSC remains responsive and vulnerable children are safeguarded.
Close working relationship with Service Managers, Directors, Finance and BI colleagues with a view to share information on demand levels, accurately account for spend, account for the services already being delivered, and ensure future budgets reflect the forecasted position.	Yes	Work remains ongoing in relation to reconciliations between client and financial systems which aids accurate financial reporting.
Regular senior management scrutiny on spend and commissioned placements	Yes	Monthly reports continue to be taken to the Directorate Leadership Team (DLT). Monthly emails on placements data are issue to key staff.
Review placement approval authorisations levels for certain needs.	Yes	Arrangements are in place, Strategic Director approval is necessary for all external residential placements.
Monthly budget monitoring on the high risk budget	Yes	Monthly reports are provided to DLT.
Strategic Director's approval for recruitment to vacant posts, where this recruitment is expected to have an adverse financial impact on the budget manager's budget	Yes	Control stays in place.
Independent Fostering Agency (IFA) payment process improves accuracy and timeliness of payments and enhances system information that supports financial forecasting.	Yes	Payments are now made through the system.
Driving forward the work of the Corporate Fostering Board to increase the number of DCC fostering households and retain current foster carers.	Yes	Control stays in place.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Undertake 'deep dive' performance reviews, in linked areas, to support strategic understanding and on-going management of demand and the impact of this on our budgets	Some slippage	Demand management board continues to meet and work through the strategic deep dive areas. Presentation to be provided to wider Council Service Director Group regarding the Council's response to the demand pressures.
Redesign of the front door into Adult Services within DCC	Some slippage	Action has to be put on hold due to change in priorities due to COVID-19. Action will resume following the return to business as usual.
Improving sufficiency of placements for looked after children (LAC) through work with Property services to refurbish and open a 2 bedded children's home	Major slippage	Building works delayed, discussions regarding phasing of the building works underway.
Improving sufficiency of placements for LAC through work with Derby Homes on purchasing flats for 16-17 year old LAC to step down from Children's home	Some slippage	Some progress has been made and properties handed over to Children's services.

Risk	SR11/CC-R4	BREXIT transition affects delivery of services	
	Likelihood	Impact	Score
Inherent	2	4	8
Previous	1	3	3
Current	2	3	6
Tolerance	1	4	4
Reason for changes	Impact of COVID-19 on Brexit negotiations, service demands and economy	No change.	Likelihood has increased.

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Brexit working group in place and meeting monthly to assess any new intelligence / guidance. Ongoing participation in the Local Resilience Forum (LRF).	Yes	Meetings in March and April were deferred due to COVID-19 but the next meeting is expected to take place on 21 May as planned.
Business continuity plans (BCPs) in place with up to date contacts and communications leads in place	Yes	Control stays in place.
Communication plan in place to raise awareness with public, businesses and key stakeholders.	Yes	Control stays in place.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Ongoing monitoring of the Brexit preparedness issue and risk log in light of No Deal	On track	The risk register is not reviewed weekly but is kept up to date. The register will be reviewed at the next working group meeting on 21 May.
Creation of Derby Recovery Plan to mitigate impact of both COVID-19 and Brexit	*New Action - Monitoring to commence from Q1 2020/21*	New control added in Q4.

Risk	SR14/C&P-R1	Sinfin Waste Plant	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	4	4	16
Current	4	4	16
Tolerance	2	4	8
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Full advisor team (solicitors, Counsellors and Barristers, Financial advisers, technical advisers, and expert witnesses) appointed to advise Councils	Yes	The full team of advisors remains in place and continues to advise the councils accordingly.
Survey work in the plant to establish capability and condition - as being done by the new contractor	Yes	There is a programme of survey work which continued through Q4, although some minor impacts were experienced from mid March due to COVID-19.

No further actions have been added in Q4.

Risk	SR15/CR16	Inability to deliver a balanced MTFP	
	Likelihood	Impact	Score
Inherent	3	3	9
Previous	2	3	6
Current	3	3	9
Tolerance	2	2	4
Reason for changes	Impact of COVID-19 on the Councils finances (see related risk SR20/CR18). Examples include loss of Income for Council services (e.g. Leisure centres and parking Income), increased pressure in Social Care, increased pressures in Facilities Management (e.g. Cleaning PPE) and longer term impacts on business rates and council tax. Assumptions in funding and growth in MTFP will have to be reviewed. Impact if current savings plans cannot be achieved e.g. resources. The Government have issued grants to combat these issues in the short term – but we will need to continue to review to understand both the impact in the short term and long term impacts on the MTFP.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020	Comments
Medium Term Financial Plan (MTFP) over 3 years (including a capital programme)	Yes	There is a current 3 Year MTFP in place but it has shortfalls in years 21/22 and 22/23. The MTFP is a cyclical process and will continue to be updated with a further year added to the process for completeness.
Reserve strategy and improved reserve levels (ability to respond to financial shocks)	Yes	There are improved levels of reserves by taking advantage of the Councils under borrowing position and borrowing for the A52. Reserves will need to be monitored closely throughout this year to assess the impact of any draw on reserves through financial shocks for example COVID-19. Reserves are monitored on an ongoing basis and reported to Cabinet quarterly.
Membership of business rates pool to manage financial shocks	Yes	This is in place and the DFOA is a useful sounding board for business rates intelligence for the MTFP.
Financial modelling (intelligence led) by external consultants	Yes	Members of SIGOMA and PIXEL which is useful updating the MTFP.
Change Derby programme matching resources to outcomes	Yes	Control stays in place.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Review impact of COVID on Revenue Budgets	Some Slippage	New action added in Q4. This will need to be incorporated into monthly monitoring as forecast and emerging pressures are established - together with any associated funding.
Review of impact on capital programme	Some Slippage	New action added in Q4. This will need to be incorporated into monthly monitoring as forecast and emerging pressures are established - together with any associated funding.
Review of current MTFP and preparation of new rolling MTFP	*New Action - Monitoring to commence from Q1 2020/21*	New action added in Q4. Draft timetable to be agreed by Corporate Leadership Team (CLT).

Risk	SR16/CR17	Failure to deliver against our annual budget	
	Likelihood	Impact	Score
Inherent	3	3	9
Previous	3	3	9
Current	1	3	3
Tolerance	3	2	6
Reason for changes	Annual budget has been delivered using £6m reserves. The risk will need to be refreshed for 2020/21 and will increase due to the impact of COVID-19 (see related risk SR20/CR18).	No change.	Change in likelihood

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Tolerate

Controls	In place as at 31 Mar 2020	Comments
Right training to budget holder	Yes	Refreshed training for the new year may have to be developed to be accessed remotely - however this would be for new budget holders in the main.
Budgets allocated to budget holders / delegation	Yes	All budgets have been uploaded onto oracle and are available for budget holders to self service and delegate as appropriate.
Budget monitoring	Yes	Budget monitoring is done on a monthly basis - however not all budgets are considered by accountants every month - subject to a risk analysis and there is a risk associated with this.

No further actions have been added in Q4.

Risk	SR17/P-R12	Failure of Local Authority and Local Area (Local Authority and key local Health partners jointly) to implement the SEND reform	
	Likelihood	Impact	Score
Inherent	2	4	8
Previous	2	4	8
Current	2	4	8
Target	1	4	4
Reason for changes	No change.		

How is the risk being managed?	
Previous quarter =>	Treat
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Local Area SEND Board established (external chair) and ongoing; also consists of the Delivery Group and Impact & Analysis Group - hold regular reviews of project risks and issues, project delivery and monthly progress reporting.	Yes	Local Area Board meetings are booked and ongoing via Skype during COVID-19 isolation restrictions. Next meeting 13/5/2020.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Project proposal to be presented at the Project Management Office (PMO)	Completed	Project proposal was submitted to PMO and approved through Gateway 2 & 3, now into Gateway 4 - Project Delivery. SRO Health Check also completed and submitted.
SROs and their teams to provide detailed individual action plans with reference to the Written Statement of Action (WSoA)	Completed	Actions were submitted (with support from the Project Manager) and have then been reviewed by the Local Area SEND Delivery Group - feedback will be shared with SROs and the group. Delivery plan meeting included a review of all actions, where the plan was reviewed by stakeholders. Following updates from this meeting progress reporting will be requested for this quarter, collated and circulated to all Local Area SEND governance groups in readiness for the Local Area SEND Board meeting.
Delivery Group and Impact & Analysis Group within the Local Area SEND Governance structure in the process of being fully established.	Completed	All groups have now been established and Terms of Reference are in place.
Project board fully established, reviewing issue and risk log fortnightly and progress reporting monthly	Completed	Alongside the strategic governance provided by the Local Area Board, the Local Area Impact and Analysis Group (quality, data and performance group) and a Local Area Delivery Group (stakeholder operational group) are groups with specific remits and who provide additional layers of scrutiny and critical challenge for the improvement works being delivered.
Delivery Group summarised reporting and action log established	Completed	Report provides group with a summarised overview of progress, requests for support on any risks or issues escalated by the project board, and actions from the Local Area Strategic Board and/or the Impact and Analysis Group. This supports clear communication throughout the project governance structure and a tool for monitoring activity of the group.
COVID-19 impact analysis report and work flow mapping prepared for review by Local Area Board at next meeting	On Track	Draft with senior managers for review at next Local Area Board meeting (13/5/2020) for recommendations on possible further actions and mitigations.

Risk	SR18/P-R13	Increase in number of individuals/households 'in need' following COVID	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	*Risk added in Q4.*		
Current	4	4	16
Target	2	4	8
Reason for changes	N/A		

How is the risk being managed?	
Previous quarter =>	N/A
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
On-going monitoring of need	Yes	New control added in Q4.
Safeguarding Assurance Meetings	Yes	New control added in Q4.
Adults and Children's Covid-19 Safeguarding Assurance Performance Frameworks and Contingency Plans in place	Yes	New control added in Q4.
Systems and capacity are in place to deal with 'normal' demand levels	Yes	New control added in Q4. Capacity may be impacted by the ongoing effects of COVID-19.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Planned service development with Local Area Coordination to engage communities pre Early Help in 2020 to mitigate forecasted rises	*New Action - Monitoring to commence from Q1 2020/21*	Referrals continue to fall for Children's Service. Analysis evidences some activity is related to Covid-19 (i.e. delays due to capacity issues at the start of the pandemic). Of those dip sampled it should be noted that threshold discussions remain very strong with lots of recording / challenge by CPM's and TM's clarifying their position regarding risk and need. Direct work remains a challenge and where possible workers need to be using virtual direct tools to support plans.
Audit to be undertaken to understand pathway and rationale for child protection requirement and rise on increase cohort	*New Action - Monitoring to commence from Q1 2020/21*	N/A

Risk	SR19/C&P-R12	Business resilience and loss of jobs	
	Likelihood	Impact	Score
Inherent	4	3	12
Previous	*Risk added in Q4.*		
Current	3	3	9
Tolerance	*to be confirmed*		
Reason for changes	N/A		

How is the risk being managed?	
Previous quarter =>	N/A
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020?	Comments
Government packages of financial support for employees, employers etc. which include multiple measures to limit the impact of this risk	Yes	Control is in place.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Circulate a survey of local businesses	*New Action - Monitoring to commence from Q1 2020/21*	This is a new action.
Establish an Economic Taskforce to drive recovery across various industry sectors	*New Action - Monitoring to commence from Q1 2020/21*	Chaired by the Chief Executive, the Steering Group will create a robust economic impact assessment to understand the impact on different sectors of the economy and how we can support businesses to adapt to the future, establishing a range of measures to support those who become unemployed. The Group will also create a new city centre masterplan and Economic Recovery Fund to drive resilience.
Establishment of the Working Group supporting the reopening of the City Centre	*New Action - Monitoring to commence from Q1 2020/21*	This is a new action.
Develop Derby's Recovery Plan	*New Action - Monitoring to commence from Q1 2020/21*	This is a new action.

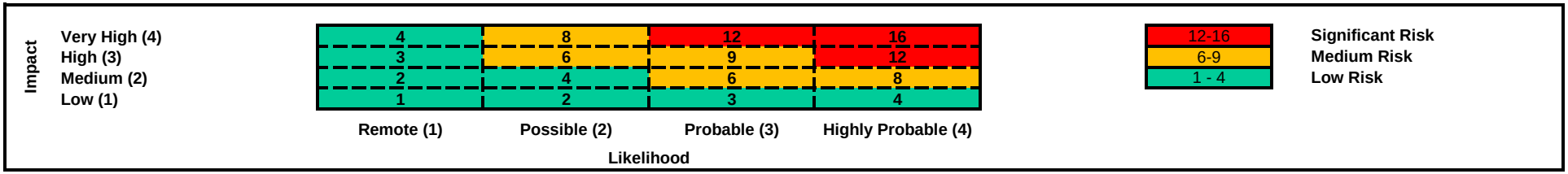
Risk	SR20/CR18	Financial unsustainability, as a result of the Covid-19 pandemic	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	*Risk added in Q4.*		
Current	3	4	12
Tolerance	*to be confirmed*		
Reason for changes	N/A		

How is the risk being managed?	
Previous quarter =>	N/A
Current quarter =>	Treat

Controls	In place as at 31 Mar 2020	Comments
Regular financial monitoring	Yes	As set out under SR15 and SR16. It was noted that the government may not fully cover the costs of Covid, including lost income. Derby currently has £14m un-ring fenced to support the local area response.
Clear COVID-19 decision log in place, owned by the Director of Finance, which includes financial implications	Yes	New control added in Q4.
On-going communication with MHCLG on the local financial position / pressures (data return completion)	Yes	New control added in Q4.
Response to Government Guidance in relation to procurement activity	Yes	Continue to follow advice issued following procurement policy notes issued by the Government for the payment of providers.

Further Actions	Progress with action as at 31 Mar 2020	Comments
Please refer to the actions under SR15.		

Risk Assessment Guidance



Risk Likelihood Key				
	Remote	**Possible**	**Probable**	**Highly probable**
Certainty	Extremely unlikely	Fairly likely	More likely than not	Almost certain

Risk Impact Key				
	Low	**Medium**	**High**	**Very High**
Compliance & Regulation	Minor breach of internal regulations, not reportable	Breach of internal regulations leading to disciplinary action Breach of external regulations, reportable	Significant breach of external regulations leading to intervention or sanctions	Major breach leading to suspension or discontinuation of business and services
Financial	Below £500,000	Between £500,000 and £1,000,000	Between £1,000,000 and £5,000,000	More than £5,000,000
Operational Delivery	Low level processes would need to be revised but the issue could be resolved	Significant work required by a team to repair operational systems	Significant work required by all levels to resolve the matter	Fundamental organisational changes would be needed
Reputation	Complaints from individuals / small number of stakeholders Low local media coverage	Broader based general dissatisfaction with the organisation Adverse local / national media coverage	Significant adverse national media coverage	Persistent adverse national media coverage
Health & Safety	Minor Injury to employee or someone in DCC's care	Serious Injury to employee or someone in DCC's care	Fatality to employee or someone in DCC's care	Multiple fatalities to employees or individuals in DCC's care
Strategic	Limited impact on achieving organisational strategy	Would impact on the organisational objectives	Would require a significant shift from current strategy and objectives	Would require a fundamental change in strategy and objectives