Strategic Risk Register- November 2016

Risk Ref:	Risk	Treatment & Control Measures (Currently in Place)	Current Risk Assessment			Treatment & Control Measures (Planned)	Control Owner	Risk Assessment Following Actions		
			Impact	Likelihood	Total			Impact	Likelihood	Total
	Due to a reduction in the funding, the Council's ability to deliver / meet statutory duties and key services will be impaired and could lead to Government intervention?	MTFP	5	4	20	COG / Members to review Statutory Duty implications when proposing / approving service / budget reductions. Reduce service levels Cessation of some key functions	Director of Finance	4	3	12
	Inability to safeguard and protect vulnerable people.	Derby Safeguarding Boards Safeguarding procedures in place at all levels	5	3	15	Improve practices Earlier Intervention Regular audit Media management action plan in place	Strategic Director of People	4	2	8
	Litigation around equal pay review	Dialogue with the Unions Trained evaluators Management awareness Reporting to Personnel Committee Legally tested defendable methodology	4	5	20	Review of policies Local audit of the post implementation arrangements Communication strategy	Director of Governance & Monitoring Officer	3	4	12
	Failure to carry out planned and routine maintenance on physical assets, will increase the risk of accidents or fatalities, and this will expose the Council to potential charges of negligence or corporate manslaughter	Reactive response team	4	4	16	Close/shut down asset upon discovery of dangerous defect.	Strategic Director of Communities & Place	3	4	12
	The Council does not have sufficient robust policies and protocols on information governance ensure effective	Mandatory IG training Revised Information Governance Polices	4	3	12	Improve Information Asset Register NHS IG toolkit compliance Renew PSN and PCI	Director of Governance & Monitoring Officer	3	2	6

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	compliance.	Continued e-learning Titus document classification scheme PSN certification PCI compliance approval				accreditations Further review IG Policies and procedures				
	Weak forward planning leads to a critical failure in service delivery	Business Planning MTFP	5	4	20	Constitutional review Knowledge transfer Succession planning,	Director of Governance & Monitoring Officer	5	3	15
	The Council suffers a failing that triggers sanctions / penalties from a statutory regulator	Staff training Auditing of services Complaint monitoring	4	4	16	Reactive review of issue upon identification	Director of Governance & Monitoring Officer	4	4	16
	Significant physical incident /unforeseen large scale event including terrorism	Robust emergency planning and business continuity arrangements Visitor management system	4	2	8	Updating & reviewing emergency planning and business continuity arrangements, training, performance monitoring Review lone working Transparent reporting and logging system Review of incidents Monitoring of social media	Director for Communities, Environmental and Regulatory Services	3	2	6
	Prolonged cyber attack	PSN compliance PCI Complaince Malware protection Technical security (firewalls etc)	5	3	15	Risk Assess all on line services Stop new websites going live without a formal cyber security risk assessment Authentication/Verification Tool for transactions Enhance PSN/PCI	Director of Information Systems	4	3	12

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						regime controls Join WARP (Cyber security warning and advice groups) New budget for cyber security				
	Uncertainty as to what may be discovered during the Independent Inquiry into Child Sexual Abuse and what impact it may have on Derby.	Fact finding to remove uncertainty Approaching Solicitor for additional information	4	4	16	Ongoing "Goddard Inquiry Group"	Strategic Director of People	3	3	9
	The Council's governance arrangements are not sufficiently robust to provide assurance	Ongoing review of the Governance framework Governance Action Plan Action Plan to address Public Interest report	4	4	16	Ongoing review of Governance Action Plan Assessment against new CIPFA/Solace framework	Director of Governance & Monitoring Officer	4	3	12
	Conflict between statutory objectives and political agendas	Regular 2 way dialogue between statutory officers and members Constitution - Member/Officer Protocol	3	3	9	Clear boundaries identified and enforced	Director of Governance & Monitoring Officer	3	3	9
	Scale of work required to comply with external audit expectations, requirements and recommendations may result in non-compliance with statutory timeframe for publishing the annual statement of accounts (knock on effect into 2016/17 – if 16/17 process is impacted on then this could affect 2017/18 accounts with 31 July	Regular meetings with External Auditor	5	4	20	Assurance Plan - Comprehensive line by line response being compiled (weekly assurance meetings) GANTT charts on completing 15/16 audit and for 2016/17 process	Director of Finance	5	2	10

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	deadline)									
	Failure to deliver flagship/ major capital projects on time and / or budget	Project management in place	4	3	12	Project management with additional work around quality assurance	Strategic Director of Communities & Place	4	2	8