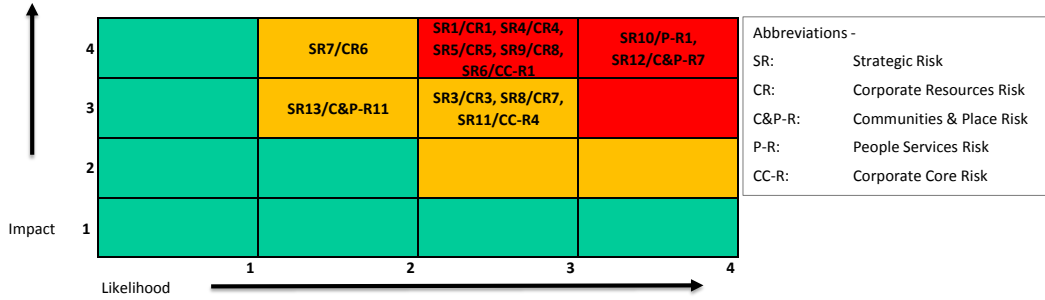| RISK DEFINITION						
RISK REF	RISK TITLE & DESCRIPTION	DEPT.	CABINET PORTFOLIO	RISK THEME - LOCAL ANALYSIS	RISK CAUSE	RISK EFFECT
Strategic R1 / CR1	**Staffing – capacity, skills and knowledge** Increasing demands on existing resources	HR & OD	GOVERNANCE AND LICENSING	STAFF	Budget restrictions have 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.
Strategic R3 / CR3	**Cyber security** - 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.
Strategic R4 / CR4	**MTFP** - Delivering the Medium Term Financial Plan for the authority	Finance	FINANCE AND PROCUREMENT	BUDGET	Budget restrictions require proportionate consideration of future allocations to ensure delivery of services or a reduction or cessation of non-statutory services. Financial plans are too short sighted with limited consideration for longer term impacts of decisions being made with primary focus on election cycle within Derby and supporting projects with perceived greater impact for the city.	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.
Strategic R5 / CR5	**Statutory Compliance and Property Health & Safety** - Non-compliant condition of Council properties including land and buildings	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.
Strategic R6 / CC-R1	**Managing Major Capital Projects:** Variable approaches across the Council in the management and delivery of major capital projects to agreed objectives and budget	Cross Organisational	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
Strategic R7 / CR6	**Procurement and ongoing management of service delivery contracts** - Ineffective contract scoping and contract management	Legal Procurement and Democratic Services	FINANCE AND PROCUREMENT	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
Strategic R8 / CR7	**Data and records management** - Poorly defined 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.
Strategic R9 / CR8	**Health and Wellbeing** - High levels of sickness absence	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.
Strategic Risk 10 / People-R1	**Demand Management** - Inability to manage demand within the approved budget	All (People Services)	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.
Strategic Risk 11 / CC-R4	**Risk of impact of No-Deal Brexit at a local level**	Cross-Organisational	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.
Strategic R12 / C&P-R7	**Sinfin waste plant** - Failure to deliver overall project	Streetpride & Public Protection	REGENERATION AND PUBLIC PROTECTION	PROJECT MANAGEMENT	Refer to Project Documentation	Higher costs of waste disposal; risk of having to pay compensation to contractor.
Strategic R13 / C&P-R11	**Delivery of A52** - Failure to deliver A52 programme by end of Summer 2020.	Planning and Transportation	REGENERATION AND PUBLIC PROTECTION	PROJECT MANAGEMENT	Designs and cost estimates need to keep pace with the building of the new highway and road scheme and the deployment of the new footbridge.	Financial impact is low due to existing cost envelope. Further reputational damage with external stakeholders if scheme is delayed.

Quarter 2 Risk Monitoring - Strategic Risk Register

Derby City Council

Risk Summary

Impact \ Likelihood	1	2	3	4
4		SR7/CR6	SR1/CR1, SR4/CR4, SR5/CR5, SR9/CR8, SR6/CC-R1	SR10/P-R1, SR12/C&P-R7
3		SR13/C&P-R11	SR3/CR3, SR8/CR7, SR11/CC-R4	
2				
1				

Abbreviations -	
SR:	Strategic Risk
CR:	Corporate Resources Risk
C&P-R:	Communities & Place Risk
P-R:	People Services Risk
CC-R:	Corporate Core Risk

Ref.	Description	Current status	Direction of travel	Risk Summary
Strategic R1 / CR1	Staffing – capacity, skills and knowledge Increasing demands on existing resources	12	→	Risk stays significant (probable, with very high impact). Controls and actions were reviewed and refreshed in Q1, and remain in place/ongoing (with one action yet to commence).
Strategic R3 / CR3	Cyber security - Vulnerability of the Council 's IT estate to cyber attacks	9	→	Risk stays medium (probable, with high impact). Controls remain in place and one action is ongoing. Risk Officer Comments: Evolving threats continue to be responded to by continuous development of defence capabilities.
Strategic R4 / CR4	MTFP - Delivering the Medium Term Financial Plan for the authority	12	→	Risk stays significant (probable, with very high impact). Controls remain in place and an action remains ongoing (with one completed).
Strategic R5 / CR5	Statutory Compliance and Property Health & Safety - Non-compliant condition of Council properties including land and buildings	12	→	Risk stays significant (probable, with very high impact). Controls remain in place; two actions remain ongoing, three are completed and two are yet to commence. Risk Officer Comments: A review of the Buildings Manual is expected to reduce the risk likelihood further.
Strategic R6 / CC-R1	Managing Major Capital Projects: Variable approaches across the Council in the management and delivery of major capital projects to agreed objectives and budget	12	→	Risk remains significant (probable, very high impact). Two Controls remain in place with one yet to be established. The only action remains ongoing.
Strategic R7 / CR6	Procurement and ongoing management of service delivery contracts - Ineffective contract scoping and contract management	8	→	Risk stays medium (possible, with very high impact). Controls remain place (one added in Q2); two actions are completed, five remain ongoing and one is yet to commence. Risk Officer Comments: Amended Procurement strategy and Contract Procedure Rules have been published; the list of major contract owners has been reviewed. Risk improvement is expected as the amended strategy gets implemented.
Strategic R8 / CR7	Data and records management - Poorly defined records management systems and processes	9	→	Risk stays medium (probable, with high impact). Controls remain in place; the only action is now completed. Risk Officer Comments: Further actions are in planning stage and will become part of the wider Digital Workforce Programme.
Strategic R9 / CR8	Health and Wellbeing - High levels of sickness absence	12	→	Risk stays significant (probable, with very high impact). Controls remain in place; two actions remain ongoing.
Strategic Risk 10 / People-R1	Demand Management - Inability to manage demand within the approved budget	16	→	Risk stays significant (almost certain, very high impact). Controls remain in place; one action is completed and three remain ongoing. Risk Officer Comments: Demand strategy is the focus and expected to mitigate the risk before it becomes an issue.
Strategic Risk 11 / CC-R4	Risk of impact of No-Deal Brexit at a local level	9	↘	Risk has become more likely than not, due to the national situation. Controls remain in place (one added in Q2). The only action remains ongoing.
Strategic R12 / C&P-R7	Sinfin waste plant - Failure to deliver overall project	16	→	Risk stays significant (almost certain, very high impact). Controls remain in place (one new added in Q2) though one control is no longer in place; one action is completed while the only other action is no longer relevant.
Strategic R13 / C&P-R11	Delivery of A52 - Failure to deliver A52 programme by end of Summer 2020.	6	↗	Risk impact has been reduced to 'high'. Controls remain in place (one new added in Q2); five actions are ongoing (including one new). Risk Officer Comments: Significant progress has been made during Q2 to agree the costs associated with the outstanding design work, and associated delivery impacts. Project Board has confidence that the scheme can now be delivered within budget and programme, but there remain the risks associated with construction projects of this nature.

Risk	Strategic R1 / CR1	Staffing – capacity, skills and knowledge Increasing demands on existing resources	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	4	12
Current	3	4	12
Target	1	4	4
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	Comments
Allocated HR advisors to support managers and develop targeted action plans, providing advice on capacity to delivery business/service objectives (this will include supporting in the recruitment of temporary staff etc.)	Yes	Service Directors and HOS 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	The nine new leadership behaviours have recently been launched and are embedded into the Great Performance Conversations (GPC) with managers. Direct communication on the behaviours from the Chief Executive to all managers has taken place, and iDerby has been updated with the new behaviours.
Refreshed council values to promote personal accountability, working as one 'Great Team'; being bold, strong and caring.	Yes	The refreshed Council values have been successfully promoted, using posters, values cards and other communication methods. "We're Here for Derby" awards to take place on 14 November 2019 to showcase the new values in practice. The monthly programme focusing on individual values will run from December until at least March to keep the momentum going. Colleagues are also being assessed on their demonstration of values through the moderation process of the GPC.
More recognition of colleagues that 'go the extra mile'	Yes	Service Directors have continued to send thank you letters to colleagues recognising them when they go the extra mile. "We're Here for Derby" awards in November, and the VIP scheme is continuing with weekly nominations in Keeping in Touch, including monthly VIP of the month. The values months from December will also showcase colleagues demonstrating values in practice, with specific examples.

Please also refer to Strategic R9 / 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 30 Sep 2019	Comments
Targeted work to address resilience hotspots including market supplements, workforce development to address skills gaps/capacity issues etc.	Some slippage	Stress remains the highest reason for absence and has been a key focus for the Health and Attendance Advisors who take regular reports to CLT and Personnel Committee. Targets for attendance management have been set with each Service Director for the next three years, beginning 1 April 2019. Service Directors and HOS 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 will also work closely with 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. Workforce profile information presented to CLT in early October. Requests for further data on specific hotspots will be reported back to CLT. The data will be used to develop and deliver the Workforce Planning and Development Strategy (WPDS) below. There is a specific emphasis on age and absence in the workforce.
Development and launch of the Workforce Planning and Development Strategy	*NEW ACTION - Monitoring to commence in Q3*	WPDS is a key component of the HR Plan agreed by senior management. This will be developed along side the business planning cycle and support and tools will be provided to improve the quality and depth of the plan, concentrating on hot spots and looking at age/absence and other key influencers that impact on resilience. CLT committed to developing resilient and focused plans. *Risk Officer confirmed action will commence in Quarter 3.*

Please also refer to Strategic R9 / CR8 for additional actions being taken to manage sickness absence and associated triggers/issues, which impact on demand and capacity in teams.

Risk	Strategic R3 / CR3	Cyber security - Vulnerability of the Council's IT estate to cyber attacks	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	3	9
Current	3	3	9
Target	2	3	6
Reason for changes	No change - evolving threats continue to be responded to by continuous development of defence capabilities.		

Controls	In place as at 30 Sep 2019?	Comments
Perimeter security - firewalls etc.	Yes	We adopt a 'defence in depth' approach. Our approach to maintaining the security and integrity of our network is under review. The new network design has been approved and work has started on implementing the new network.
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.
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	Enforcement of training completion via Heads of Service continues. Stringent non-compliance penalties will be considered in the coming months, being led by the Corporate Leadership Team who will monitor performance monthly as part of their performance scorecard. The Information Governance team has organised further informal drop in sessions (not formal training sessions) throughout 2019. The drop in sessions are intended to cover all GDPR and data protection queries.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Rollout of MFA across the organisation to protect the Council against identity theft	On Track	The communications are about to be sent out for staff to start setting up MFA in readiness for receiving their Windows 10 devices. *Action added in Quarter 2.*

Risk	Strategic R4 / CR4	MTFP - Delivering the Medium Term Financial Plan for the authority	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	4	12
Current	3	4	12
Target	2	3	6
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019	Comments
Senior officers taking ownership of Medium Term Financial Strategy (MTFS) and understanding implications for Council	Yes	MTFP workshop with CLT and Cabinet took place on the 27th September with latest figures and savings gap outlined and strategies to bring into balance.
Working with departments to fully understand budget position to ensure complete planning and ongoing monitoring.	Yes	Senior Leaders from directorates involved in updating/challenging (both pressures and savings) to present to the 27th September meeting.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Continued monitoring of plan development and changing circumstances and effect on budget and timely feedback	On track	This is an ongoing process. The assumptions of the 4th September settlement are being played into the plan - which give a more favourable position than anticipated.
Implement a thematic approach to the MTFP which includes focus on areas such as commercialism, maximising assets, digital and lean working and managing demands. (As agreed at Risk Surgery in January 2019).	Completed	The 17th July Cabinet approach outlined the thematic approach and these themes continue to be explored throughout the MTFP planning process.

Risk	Strategic R5 / CR5	Statutory Compliance and Property Health & Safety - Non-compliant condition of Council properties including land and buildings	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	3	4	12
Current	3	4	12
Target	2	4	8
Reason for changes	No change - a review of the Buildings Manual, when completed, is expected to reduce the risk likelihood further.		

Controls	In place as at 30 Sep 2019?	Comments
Health & Safety / compliance assurance now firmly embedded as a key objective in Property Team's Business Plan.	Yes	Control stays in place with the objective still being embedded in the Business Plan.
Programme of three yearly condition surveys	No	Control has changed and the frequency is being reviewed as part of the review of the Estates Management Strategy (see new action below). *Control to be archived.*
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	In place, and focussed on high priority assets and H&S issues - this is captured through the 2019/20 Capital Programme.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Property Design & Maintenance Service to lead on the development of a Buildings Operational Manual for all Council operational properties (as part of the delivery of the Property Compliance Improvement Plan)	Completed	A manual has been developed but not implemented. It is going to be reviewed as part of the Corporate Landlord Business Plan activities - see new action below.
Property Design & Maintenance Service 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)	On track	Fire and Gas policy still in draft stage. Asbestos policy is now in place. Electricity policy is expected to be embedded by end of March 2020. Water policy to be reviewed/embedded by March 2020.
Corporate H&S lead to develop policies and approach for the following service areas: Dangerous substance, explosive atmospheric regulations (DSEAR), working regulations, and working at heights (as part of the delivery of the Property Compliance Improvement Plan)	Completed	Working at Heights policy was approved at Corporate Heath & Safety Committee; a training programme has been developed and courses planned. DSEAR - policy and approach has been developed - this will be sitting within the Fire Policy (see above action). All identified DSEAR risk assessments and actions plans have been developed.
Strategic Asset Management & Estates Service to undertake the relevant audits for the leased out properties (after the framework was established)	On track	The Audit process remains ongoing with a hybrid approach underway including: 1) physical audit inspections (high priority premises), and 2) gathering evidence through correspondence (lesser priority premises) - though the response rate from tenants is low.
Strategic Asset Management & Estates Service to lead on the revision of the Vacant Property management strategy	Completed	Property team have revised the recording mechanism for vacant property inspections for better data and inspections. The action has been completed in its initial form - however, it has been realised that the strategy needs to be reviewed further as part of the wider Estate Management Strategy (see new action below).
Buildings Manual to be reviewed as part of the Corporate Landlord Business Plan activities.	New Action - monitoring to commence from Quarter 3 onwards	*New action added in Q2.*
Revise and implement an Estate Management Strategy identifying buildings as vacant, retain, dispose or invest	New Action - monitoring to commence from Quarter 3 onwards	*New action added in Q2.*

Risk	Strategic R6 / CC-R1	Managing Major Capital Projects: Variable approaches across the Council in the management and delivery of major capital projects to agreed objectives and budget	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	3	4	12
Current	3	4	12
Target	2	4	8
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	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	No	A review of roles and responsibilities is being undertaken against all significant projects being monitored by the PMO. A new framework developed for Project roles agreed with CLT/PMO Board. Implementation started in June, with C & P recruiting into the new roles advertised - therefore underway but not yet completed. All projects have been allocated an SRO. CLT have oversight of the top 52 projects on the Corporate Project Dashboard.
Monitoring of capital projects by the Capital Programmes Boards.	Yes	CCPB undertakes monthly monitoring of the top 12 projects.
Programme Management Office in place	Yes	The PMO was set up in September 2018. Current priorities include monthly monitoring of 52 projects on the PMO dashboard, support for the Project SRO's, PM's and PMO Board and management of the Gateway process. PM event scheduled for Oct / Nov 2019 to include more training on project risks, live project issues, SRO Health Checks and financial reporting.

Further Actions	Progress with action as at 30 Sep 2019	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	SRO Health Check launched in July - deadline for all projects to complete 25th September - which also picks up management of project risks. Deadline for SRO checks moved to 31st Dec for projects undergoing audit. 17 SRO Heath checks received, chasing SRO's for remaining health checks. Analysis of Health checks and project risks to be carried out in Nov and Dec.

Risk	Strategic R7 / CR6	Procurement and ongoing management of service delivery contracts - Ineffective contract scoping and contract management	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	2	4	8
Current	2	4	8
Target	2	2	4
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	Comments
All major contracts are issued with support and assistance from procurement team	Yes	Procurement team carry on providing support and assistance with scoping. *Control is business as usual but is key to mitigating the risk.*
Regular review of the Directorate Contracts Register by DLTs (Category Managers highlight non-compliant contracts and contracts in need of Procurement or action)	Yes	Quarterly reporting continues. Reports are also taken to CLT and Cabinet members - *control to be broadened to include this aspect (covered in a separate control below, but to be merged into here).*
Procurement eLearning available on the DCC intranet (also covers some elements of contract management)	Yes	eLearning continues to be available on intranet. Contract Procedure Rules that were updated during Quarter 1 have now been approved by Full Council.
Regular review of strategic contracts by Corporate Leadership Team (CLT): to highlights the highest risk/most significant non-compliant contracts held by the Council.	Yes	Report continues to be shared with CLT (same report as shared with DLT). *Control to be merged with the control on review of Directorate contracts by the DLT.*
Derby University training opportunities available for Procurement staff to access when required	Yes	2 Procurement Officers were enrolled on CiPS Level 4 and have started training.
Myth busting procurement training for councillors.	Yes	The control is business as usual. *Control has been suggested for archiving.*
Head of Procurement & Contracting Service is part of existing networks and feeds back good practices into the Council via appropriate channels	Yes	Continued attendance at the East Midlands Heads of Procurement Forum. There has also been participation in the East Midlands Chamber events.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Enforce Procurement e-learning completion	Some slippage	Up to date scheme of delegation required to have an accurate monitoring list for the purpose of enforcing the eLearning. The delivery of this action is linked to the completion of the fourth action below (update of Oracle scheme of delegation).
Review the list of major contract owners to ensure that the correct people were listed as the contract managers	Completed	Updated in conjunction with the DLT reporting.
Identify a cost effective Contract Management training route and roll out	Some slippage	Due to the delay in roll out of Cabinet office training, the pilot scheme from the Government (which is the most cost effective training route) is not yet completed. The scheme is organised and managed by the Cabinet office, and hence no completion date can be suggested. ***Action has deteriorated from 'green' to 'amber' since the end of Q1.***
Update Oracle scheme of delegation (Finance)	Some slippage	The Corporate Team have gathered the information for services on changes - but have not actioned them in Oracle. Team instructed to prioritise this piece on work. ***Action has deteriorated from 'green' to 'amber' since the end of Q1.***
Explore the sharing of skills, expertise and resourcing across the region (beyond that already undertaken through the EM Group).	Some slippage	The implementation of the national procurement strategy is the focus and the priority. ***Action proposed to be archived as it is not a priority.***
Provide update on procurement and contract management risk at September meeting of Audit & Accounts Committee	On Track	Although the service is ready to deliver this action, the A&A committee meeting is now not until Nov 2019.
Review of Contract Procedure Rules every two years to ensure they are up to date and fit for purpose	*NEW ACTION with monitoring to commence from summer 2021*	Action will stay as new until the first review takes place in summer 2021.
Publish amended Procurement Strategy and Contract Procedure Rules following approval at Full Council	Completed	Risk improvement expected as the amended strategy gets implemented. New Contract Procedure Rules embed the National Procurement Strategy.

Risk	Strategic R8 / CR7	Data and records management - Poorly defined records management systems and processes	
	Likelihood	Impact	Score
Inherent	3	3	9
Previous	3	3	9
Current	3	3	9
Target	2	2	4
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	Comments
Audits of key systems: Information Governance (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. A significant system change in the Social Care information system continues to stop breaches of a certain type. 'Lessons learned' are implemented after data breaches and actions, identified as part of audits of key systems, are managed.
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	Enforcement of training completion via Heads of Service continues. Stringent non-compliance penalties will be considered in the coming months. The Information Governance team has organised further informal drop in sessions (not formal training sessions) throughout 2019.The drop in sessions are intended to cover all GDPR and data protection queries.
Robust data breach reporting and follow through.	Yes	A robust data breach reporting process is in place and 'lessons learned' are implemented. The IG team request continued swift and comprehensive support from services with data breaches.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Review on "Inform/Consult" workshop findings and subsequent recommendations from the independent contractor	Completed	The Access Control Policy, Records Management Policy and Business Classification Scheme have been approved by CLT and are now ready to be implemented. The implementation will become a workstream of the Digital Workforce programme.

Risk	Strategic R9 / CR8	Health and Wellbeing - High levels of sickness absence	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	3	4	12
Current	3	4	12
Target	1	4	4
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	Comments
Health and Well-Being Strategy implemented	Yes	This control is in place.
Regular monitoring of sickness absence levels by CLT and DLTs. Management responsibility for monitoring and managing workload of team colleagues	Yes	This control is in place. Progress on managing attendance is reported to CLT on a monthly basis at the CLT Performance Board, and this is also considered regularly by DMTs. 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. New format now presented to CLT on management actions. 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	This control is in place. Over 140 accredited MHFAs in place by end of September 2019. Targeted recruitment of up to 400 MHFAs is underway to ensure sufficient provision across specific work areas.

Further Actions	Progress with action as at 30 Sep 2019	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 are carrying out targeted work with managers to support them to deliver improvements in attendance. The Wellbeing Advisors continue to offer Health and Wellbeing clinics for managers and colleagues and are carrying out analysis of mental health absence trends. A detailed presentation was given to CLT in early September to highlight specific issues and causes of mental health absence. Actions from this are being built into the Wellbeing Action Plan. Some slippage assigned as although actions/controls are in place these have not yet had an impact on current sickness levels related to stress. Progress on delivering a reduction in absence will be monitored at DLT meetings and CLT Performance Board. There will be more focused work on stress management, including reformatting the SRA paperwork and a more detailed assessment of stress risk actions by the Health and Safety Team. This is all part of the proposals included in the forthcoming Wellbeing Action Plan.
DLTs to monitor on a quarterly basis the number of stress risk assessments completed by HOS area	Major slippage	Team stress risk assessments should be completed regularly by services, with individual stress action plans being developed as appropriate. Compliance will be monitored and audited as part of the proposals detailed above. The issue was raised as part of the Mental Health absence presentation to CLT.

Risk	Strategic Risk 10 / People-R1	Demand Management - Inability to manage demand within the approved budget	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	4	4	16
Current	4	4	16
Target	2	4	8
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	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 (MTFP).
Close liaison with responsible Cabinet member to ensure Social Care given appropriate focus when reviewing MTFP	Yes	Cabinet members for CYP and Adults & 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	All audits agreed in Q1 have been presented to Children's Improvement Board in August and there are agreed processes in place for the service to follow up on all actions recommended via a closing the loop discussion in December Improvement Board.
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 current position.	Yes	Work remains ongoing in relation to reconciliations between client and financial systems - results in accurate financial forecasting.
Regular senior management scrutiny on spend and commissioned placements	Yes	Monthly reports continue to be taken to Directorate Leadership Team (DLT) on high risk areas. Residential panel continues to scrutinise placements.
Review placement approval authorisations levels for certain needs. *Control to stay in place until the budget is back in a manageable position.*	Yes	Current arrangements continue until confidence is regained; high cost residential placements still require authorisation of the Strategic Director.
Monthly budget monitoring on the high risk budget	Yes	Monthly detailed monitoring remains ongoing and is circulated to management team. Additional reconciliations have been introduced, to support verification of data.
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	Arrangements in place - Strategic Director has oversight of all requests for recruitment that adversely affect budgets.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Work with partners through DSCB Demand Meetings to support local decision making and a city-wide understanding of demand	On track	Good engagement from across the children's partnership in developing and implementing the strategic action plan following the JTAI inspection.
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	On track	Quality Assurance visit to the children's front door (First Contact, MASH, Reception) carried out in Q2 which showed evidence of impact from the work taking place to manage demand, with further multi-agency QA exercise arranged for Q3.
Redesign of the front door into Adult Services within DCC	On track	Plans underway to implement new configuration of the front door following the peer review; arrangements will be in place by April 2020.
Lean review of the front door into Children's services	Completed	Two LEAN reviews carried out on the front door and DV Triage with new arrangements to be introduced in Q3.

Risk	Strategic Risk 11 / CC-R4	Risk of impact of No-Deal Brexit at a local level	
	Likelihood	Impact	Score
Inherent	2	4	8
Previous	2	3	6
Current	3	3	9
Target	1	4	4
Reason for changes	National situation.		

Controls	In place as at 30 Sep 2019?	Comments
Brexit working group in place and meeting weekly to assess any new intelligence / guidance. Ongoing participation in the Local Resilience Form.	Yes	The group is continuing to meet weekly with regular updates of the risk and issue log. CLT and Cabinet are being kept up to date. A councillor briefing was held on 25 September.
Business continuity plans (BCPs) in place with up to date contacts and communications leads in place	Yes	Managers have been reminded to update their business continuity plans.
Communication plan in place to raise awareness with public, businesses and key stakeholders.	Yes	This involves internal and external communication channels.

Further Actions	Progress with action as at 30 Sep 2019	Comments
Ongoing monitoring of the Brexit preparedness issue and risk log in light of No Deal	On track	This will continue in the run up to 31 October. We are also required to undertake weekly updates to Government where there are any significant risks / issues.

Risk	Strategic R12 / C&P-R7	Sinfin waste plant - Failure to deliver overall project	
	Likelihood	Impact	Score
Inherent	3	4	12
Previous	4	4	16
Current	4	4	16
Target	2	4	8
Reason for changes	No change.		

Controls	In place as at 30 Sep 2019?	Comments
Regular partnership meetings: Regular meetings with the contractor representatives and legal, financial & technical advisors and briefings to members	Yes	Meetings continue to take place; financial and technical advisors are also involved in these meetings - *control has been re-defined to add their membership .*
Independent technical review of compliance and independent legal advice commissioned,	No	Control has been subsumed post the termination of the original contract. *Control to be removed from Q3 onward.* **Control has changed from 'green' to 'red' since the end of Q1.**
Survey work in the plant to establish capability and condition - as being done by the new contractor	Yes	*New control added in Quarter 2.*

Further Actions	Progress with action as at 30 Sep 2019	Comments
At present we need to allow the contractor to move into the testing phase and our technical experts to carry out the review required.	N/A	Action is no longer relevant since the change in contractor. *Action to be removed from Q3 onward.*
Contingency planning for the disposal of waste	Completed	Contingency arrangements are now in place and active.

Risk	Strategic R13 / C&P-R11	Delivery of A52 - Failure to deliver A52 programme by end of Summer 2020.	
	Likelihood	Impact	Score
Inherent	4	4	16
Previous	2	4	8
Current	2	3	6
Target	2	4	8
Reason for changes	Significant progress has been made during Q2 to agree the costs associated with the outstanding design work, and associated delivery impacts. Project Board has confidence that the scheme can now be delivered within budget and programme, but there remain the risks associated with construction projects of this nature.		

Controls	In place as at 30 Sep 2019?	Comments
Regular review by Corporate Capital Programme Board	Yes	The report is being completed in line with corporate and PMO requirements.
Monthly review by Project Board	Yes	Last monthly project board was held on the 11th of September 2019.
Regular review of Project Governance arrangements to improve project management and ensure project delivery	Yes	Control remains in place through Project Board, as the team changes along with the delivery stages of the project.
Monthly monitoring and reporting to PMO board	Yes	Control remains in place via required PMO processes.
Evaluate all changes to the final target in accordance with contract management mechanisms; monthly reporting of all movements in forecasts to Project and Corporate Boards	Yes	*Control added in Quarter 2.*

Further Actions	Progress with action as at 30 Sep 2019	Comments
Finalise design for scheme and revised costings	Some slippage	Final design completed and issued to the Principal Contractor, bringing the design element of this action to completion. Remaining design elements are related to on-site issues, as expected for construction works on a brownfield site - *a new action has been added to monitor this activity.* Significant progress has been made on agreeing the costs. Although the nature of NEC construction contracts means that the final costs will not be completely known until the last few months of the scheme, current forecasts show that the scheme will be delivered within the allocated budget at this stage. *A new control has been added to monitor the evaluation and forecasting process which will remain ongoing.* *This action is to be archived from Quarter 3 onwards.*
Address system weaknesses identified by internal audit	On track	Supporting information continues to be provided to Internal Audit, demonstrating that weaknesses are being addressed.
Assurance of design by the independent technical experts retained on the project	Some slippage	Work is on-going. The independent technical experts have informed Project Board that they do not see any major issues. Final sign-off expected by end of Q3.
Assurance on Contract Management by the independent technical experts retained on the project	On track	The Assurance has been substantially completed and is expected to be completed by end of Q3. No major issues have been reported for the project.
Resolve 'on-site issues' related to the design post the submission of the final design in Q2 2019/20.	On track	*New action added in Quarter 2.*

Risk Assessment Guidance

Impact		Remote (1)	Possible (2)	Probable (3)	Highly Probable (4)
Very High (4)		4	8	12	16
High (3)		3	6	9	12
Medium (2)		2	4	6	8
Low (1)		1	2	3	4

Likelihood

12-16	**Significant Risk**
6-9	**Medium Risk**
1 - 4	**Low Risk**

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