

Strategic Risk Register

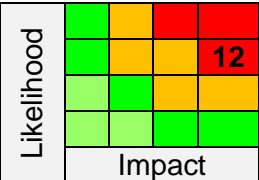
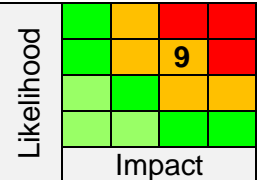
OVERVIEW

RISK		OWNER	INHERENT RISK			RESIDUAL RISK		
			Likelihood	Impact	Total	Likelihood	Impact	Total
SR1	Risk that there is a lack of adequate business continuity and recovery arrangements, leading to major internal and/or external disruption to services in the event of an incident (i.e. major ICT fail, fire etc), resulting in injury and/or loss of life and/or reputation	Strategic Director of Environment and Corporate Services	3	4	12	3	3	9
SR2	Risk that there is a lack of robust civil contingency arrangements established leading to a failure to respond appropriately to a major incident (e.g. flooding, terrorism etc) resulting in injury and/or loss of life	Chief Executive	4	4	16	3	3	9
SR3	Risk that there is a lack of external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives resulting in not being able to delivery services or being financially solvent	Strategic Director of Environment and Corporate Services	2	3	6	2	2	4
SR4	Risk that the Council does not attract suitable or capable staff or resources or there is a high sickness level or there are capacity issues from contractors and suppliers leading to a high number of vacancies or staff available resulting in poor service provision	Chief Executive	3	3	9	3	2	6
SR5	Risk that the Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal	Chief Executive	2	3	6	2	2	4

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			Likelihood	Impact	Total	Likelihood	Impact	Total
	process leading to service delivery issues and/or reputation damage and/or criminal charges							
SR6	Risk that partnerships with key stakeholders are not developed or maintained leading to a failure to deliver shared outcomes and a lack of delivery to the public resulting in service delivery issues and/or reputational damage	Chief Executive	2	2	4	1	2	2
SR7	Risk that adequate data sharing and data security arrangements are not implemented leading to an increase in cyber-attacks resulting in service disruption or data loss or damage	Strategic Director of Environment and Corporate Services	3	4	12	2	3	6
SR8	Risk that the Council does not establish effective strategic communication arrangements leading in the public not being informed about Council activity resulting in reputational damage	Chief Executive	3	3	9	2	3	6
SR9	Risk that the Council does not lead by example and manage the ongoing impact of climate change leading to a lower than anticipated reduction in carbon output	Chief Executive	2	3	6	2	2	4
SR10	Risk that new legislation or external factors cause negative financial or reputational impact on the Council leading to a reduction in service provision (i.e., Environment Bill) resulting in service delivery issues and/or reputational damage	Chief Executive	3	4	12	3	3	9

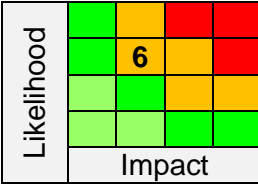
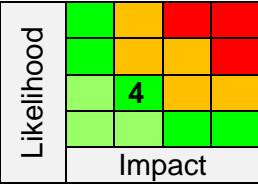
Strategic Risk Register

Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR1 Risk that there is a lack of adequate business continuity and recovery arrangements, leading to major internal and/or external disruption to services in the event of an incident (i.e. major ICT fail, fire etc), resulting in injury and/or loss of life and/or reputation	Strategic	<ul style="list-style-type: none"> Inability to deliver key/critical services e.g.benefits, refuse collection, homelessness applications, emergency repairs. Reduction in access channels available to residents / customers i.e. contact centre, customer services, telephony 			Baseline
Current Treatments and Controls	<ul style="list-style-type: none"> Business Continuity Planning IT Disaster Recovery Plan Website hosted externally Off-site data back-up arrangements Stand-by generator for ICS building Cloud based telephony infrastructure Contingency planning for failure of major contractor 				
Risk Owner	Strategic Director of Environment and Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Link to work regarding concurrent incidents Link to workforce mental health	<u>Responsible Officer:</u> Head of Strategic Support	<u>Target Date:</u> Ongoing		

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SR2 Risk that there is a lack of robust civil contingency arrangements established leading to a failure to respond appropriately to a major incident (e.g. flooding, terrorism etc) resulting in injury and/or loss of life	Strategic	<ul style="list-style-type: none"> • Inability to respond to affected peoples' basic needs (food, shelter etc) • Adverse effect on the local economy • Major reputational damage and loss of public confidence • Extending the recovery phase longer than necessary • Dealing with the COVID pandemic will have a negative effect on the management of concurrent incidents 	<table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>High</td> <td>Medium</td> <td>Low</td> <td>16</td> </tr> <tr> <td>Medium</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Medium</td> <td>Low</td> <td>Low</td> <td></td> </tr> <tr> <td>Low</td> <td>Low</td> <td>Low</td> <td></td> </tr> <tr> <td></td> <td colspan="4">Impact</td> </tr> </table>	Likelihood	High	Medium	Low	16	Medium	Medium	Low		Medium	Low	Low		Low	Low	Low			Impact				<table border="1"> <tr> <td rowspan="4">Likelihood</td> <td>High</td> <td>Medium</td> <td>Low</td> <td>12</td> </tr> <tr> <td>Medium</td> <td>Medium</td> <td>Low</td> <td></td> </tr> <tr> <td>Medium</td> <td>Low</td> <td>Low</td> <td></td> </tr> <tr> <td>Low</td> <td>Low</td> <td>Low</td> <td></td> </tr> <tr> <td></td> <td colspan="4">Impact</td> </tr> </table>	Likelihood	High	Medium	Low	12	Medium	Medium	Low		Medium	Low	Low		Low	Low	Low			Impact				Baseline
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Current Treatments and Controls	<ul style="list-style-type: none"> • Participation in the Local Resilience Partnership and Forum (LRP and LRF) – and awareness of guidance regarding concurrent incident with COVID • Appropriate emergency and incident planning in place • Regular testing and exercising of emergency plans • Training and awareness for relevant staff • 24/7 call-out arrangements for senior managers (SLT / CLT) • Participation in county-wide Events Safety Group (SAG) • Reviews periodically undertaken within current Treatments and Controls 																																																
Risk Owner	Chief Executive																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Taking the lead from the LRF regarding COVID response		<u>Responsible Officer:</u> Chief Executive		<u>Target Date:</u> End March 2022																																												

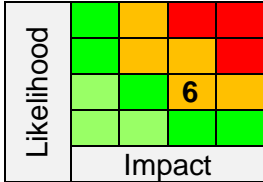
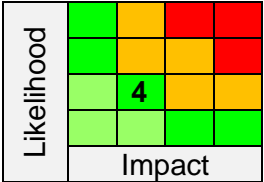
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR3 Risk that there is a lack of external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives resulting in not being able to delivery services or being financially solvent	Strategic	<ul style="list-style-type: none"> • Inability to meet demand for services • Inability to meet statutory duties • Ceasing or reducing some services 			Baseline
Current Treatments and Controls	<ul style="list-style-type: none"> • Annual production and monitoring of Medium Term Financial Strategy (MTFS) • Treasury Management Strategy • Budget and revenue monitoring processes • Production and monitoring of efficiency plan • Maintenance of reserves at specified required levels • Monitor, consider and respond to government proposals affecting budgets and/or income • Due to the implications of the COVID pandemic the financial challenge and impact is greater • Acknowledged of continued uncertainty and volatility in Local Government funding 				
Risk Owner	Strategic Director of Environment and Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u>		<u>Responsible Officer:</u>	<u>Target Date:</u>	

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SR4 Risk that the Council does not attract suitable or capable staff or resources or there is a high sickness level or there are capacity issues from contractors and suppliers leading to a high number of vacancies or staff available resulting in poor service provision	Strategic	<ul style="list-style-type: none"> • Inability to meet demand for services • Inability to meet statutory duties • Ceasing or reducing some services 	<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Yellow</td><td>9</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	Yellow	9	Red		Green	Green	Yellow	Yellow		Green	Green	Green	Green		Impact				<table border="1"> <tr><td>Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>6</td><td>Yellow</td><td>Red</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td></td><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red		Green	6	Yellow	Red		Green	Green	Yellow	Yellow		Green	Green	Green	Green		Impact				Baseline
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Current Treatments and Controls	<ul style="list-style-type: none"> • Benchmarking with other Districts • Seeking guidance from established organisations such as Jobs Go Public, East Midlands Councils, District Councils Network and Local Government Association • Marketing the Council / Local Authority 																																																						
Risk Owner	Chief Executive																																																						
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Internal review of Recruitment	<u>Responsible Officer:</u> Organisational Development Manager	<u>Target Date:</u> August 2022																																																				

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SR5 – Risk that the Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal process leading to service delivery issues and/or reputation damage and/or criminal charges	Strategic	<ul style="list-style-type: none"> Financial damage Reputational damage Not complying with legislation 			Baseline
Current Treatments and Controls	<ul style="list-style-type: none"> Annual review of the constitution Established governance arrangements for Risk Management, Performance Management, Projects and Programme Management 				
Risk Owner	Chief Executive				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u>	<u>Responsible Officer:</u>	<u>Target Date:</u>		

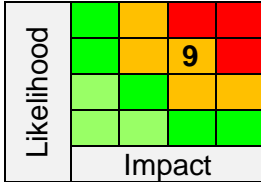
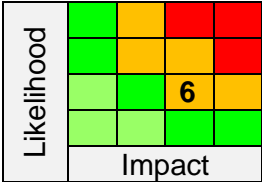
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SR6 – Risk that partnerships with key stakeholders are not developed or maintained leading to a failure to deliver shared outcomes and a lack of delivery to the public resulting in service delivery issues and/or reputational damage	Strategic	<ul style="list-style-type: none"> • Reputational Damage • Lack of joined up working • Damage to relationships with partners 	<table border="1"> <tr><td rowspan="5">Likelihood</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>4</td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood										4												Impact				<table border="1"> <tr><td rowspan="5">Likelihood</td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>2</td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td colspan="4">Impact</td></tr> </table>	Likelihood										2												Impact				Baseline
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Current Treatments and Controls	<ul style="list-style-type: none"> • Joint working with key organisations with clearly identified terms of reference and joint outcomes • Up to date contact details within partner organisations 																																																								
Risk Owner	Chief Executive																																																								
Planned Future Actions and Responsible Officer(s).	<u>Description:</u>	<u>Responsible Officer:</u>		<u>Target Date:</u>																																																					

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SR7 – Risk that adequate data sharing and data security arrangements are not implemented leading to an increase in cyber-attacks resulting in service disruption or data loss or damage	Strategic	<ul style="list-style-type: none"> • Ineffective processes for sharing data with other agencies / authorities leading to data breaches • Reputational damage and loss of public confidence • Potentially significant fines • Increased risk due to the operating processes and people possibly taking documents home 	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>12</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>Yellow</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	Green	Yellow	12	Red	Green	Yellow	Yellow	Red	Green	Green	Yellow	Yellow	Green	Green	Green	Green	Impact					<table border="1"> <tr><td rowspan="4">Likelihood</td><td>Green</td><td>Yellow</td><td>Red</td><td>Red</td></tr> <tr><td>Green</td><td>Yellow</td><td>Yellow</td><td>Red</td></tr> <tr><td>Green</td><td>Green</td><td>6</td><td>Yellow</td></tr> <tr><td>Green</td><td>Green</td><td>Green</td><td>Green</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	Green	Yellow	Red	Red	Green	Yellow	Yellow	Red	Green	Green	6	Yellow	Green	Green	Green	Green	Impact					Baseline
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Current Treatments and Controls	<ul style="list-style-type: none"> • Information sharing agreements in place with key agencies and authorities • Annual IT health checks including penetration testing • Data Protection Officer in post and data protection training and awareness for staff and councillors • Data Protection Impact Assessment form developed and circulated • IT security policies in place • Protective marking of emails • Policies are reviewed on a regular basis • Information Security Group established with CLT • Checking the location of data storage post Brexit – EU / UK • Cyber Security insurance procured 																																																
Risk Owner	Strategic Director for Environment and Corporate Services																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u>	<u>Responsible Officer:</u>	<u>Target Date:</u>																																														

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SR8 – Risk that the Council does not establish effective strategic communication arrangements leading in the public not being informed about Council activity resulting in reputational damage	Strategic	<ul style="list-style-type: none"> • Reputational damage • Adverse media coverage • Damage to relationships with partners • Damage to staff morale • Competing demands due to the COVID pandemic 			Baseline
Current Treatments and Controls	<ul style="list-style-type: none"> • Adequately staffed and experienced corporate communications team • Communications Strategy and Plan in place • Regular monitoring of all media sources • Continue to expand social media use and reach • ‘Horizon scanning’ for potential communication issues at each Corporate Leadership Team meeting • Joint working with LCC Comms 				
Risk Owner	Chief Executive				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Completion of the actions within the Communications Plan		<u>Responsible Officer:</u> Communications Manager		<u>Target Date:</u> End 2022/23

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SR9 – Risk that the Council does not lead by example and manage the ongoing impact of climate change leading to a lower than anticipated reduction in carbon output	Strategic	<ul style="list-style-type: none"> • Reputational damage • Environmental damage 	<table border="1"> <tr><td rowspan="5">Likelihood</td><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>6</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	High	High	High	High	High	High	High	High	High	High	6	High	High	High	High	High	High	High	High	High	Impact					<table border="1"> <tr><td rowspan="5">Likelihood</td><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>4</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td>High</td><td>High</td><td>High</td><td>High</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	High	High	High	High	High	High	High	High	High	4	High	High	High	High	High	High	High	High	High	High	Impact					Baseline
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Risk Owner	Chief Executive																																																								
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Completion of the Climate Change Action Plan	<u>Responsible Officer:</u> Strategic Director - Commercial Development, Asset and Leisure	<u>Target Date:</u> End 2022/23																																																						

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SR10 – Risk that new legislation or external factors cause negative financial or reputational impact on the Council leading to a reduction in service provision (i.e., Environment Bill) resulting in service delivery issues and/or reputational damage	Strategic	<ul style="list-style-type: none"> Financial damage Reputational damage Not complying with legislation 	<table border="1"> <tr><td rowspan="4">Likelihood</td><td>High</td><td>Medium</td><td>Low</td><td>Very Low</td></tr> <tr><td>High</td><td>High</td><td>Medium</td><td>Low</td></tr> <tr><td>Medium</td><td>Medium</td><td>Low</td><td>Very Low</td></tr> <tr><td>Low</td><td>Low</td><td>Medium</td><td>High</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	High	Medium	Low	Very Low	High	High	Medium	Low	Medium	Medium	Low	Very Low	Low	Low	Medium	High	Impact					<table border="1"> <tr><td rowspan="4">Likelihood</td><td>High</td><td>Medium</td><td>Low</td><td>Very Low</td></tr> <tr><td>High</td><td>High</td><td>Medium</td><td>Low</td></tr> <tr><td>Medium</td><td>Medium</td><td>Low</td><td>Very Low</td></tr> <tr><td>Low</td><td>Low</td><td>Medium</td><td>High</td></tr> <tr><td colspan="5">Impact</td></tr> </table>	Likelihood	High	Medium	Low	Very Low	High	High	Medium	Low	Medium	Medium	Low	Very Low	Low	Low	Medium	High	Impact					Baseline
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Current Treatments and Controls	<ul style="list-style-type: none"> Monitoring legislation through Parliament Liaise with other Districts Reviewing and understand the financial implications Brief Cabinet 																																																
Risk Owner	Chief Executive																																																
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Monitor the Environment Bill through the various stages of parliament		<u>Responsible Officer:</u> Head of Cleansing and Open Spaces		<u>Target Date:</u> Ongoing																																												