

SCRUTINY OF THE CORPORATE RISK REGISTER

1.0 Introduction

As well as meeting legal requirements, Risk Management enables the efficient use and allocation of resources, more informed, transparent and accountable decision-making and allows the Council to focus on its most critical areas.

2.0 Background

2.1 At the meeting of the Corporate Services Scrutiny Committee on 28 November 2016, Members of the Committee discussed how to ensure that the scrutiny of the Council's Corporate Risk Register was robust and valuable. Members felt particularly that there was great value in being able to question the relevant Risk Owner on how a particular risk was being managed and mitigated against, at the Committee meeting. This had not been the practice in the past due the impracticality of having all Risk Owners listed on the Risk Register, attend Committee.

2.2 In light of this, the Corporate Risk Register has been circulated to the Committee well in advance of the meeting, to allow Members the opportunity to review the risk register at an earlier stage, and request further information on a particular risk, and/or the attendance of a particular Risk Owner at the meeting of the Committee on 24 January.

3.0 Corporate Risk Register

3.1 There are currently 26 risks on the Corporate Risk Register (Appendix A). Currently relevant risks are added to the register as agreed by the People, Place and Corporate Services Leadership Teams. Following reorganisation of the leadership group new reporting and escalation processes will need to be implemented.

3.2 Fourteen risks were identified in the final three months of 2016 (Appendix B), mostly relating to various aspects of Adult Social Care. There were also new risks relating to Brexit, broadband roll-out and legislation around payments to off-payroll workers.

3.3 There are currently 17 risks that are scored as Very High (Appendix C) meaning they are both likely to happen and would have a significant impact if they did.

Jan Shadbolt, County Solicitor

ELECTORAL DIVISIONS: ALL

Local Government Act 1972: List of Background Papers

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<u>Background Paper</u>	<u>Date</u>	<u>File Reference</u>
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Nil

Appendix A: Corporate Risk Register

Risk details	Status and Risk owner	Mitigating controls
<p>TG15: Reduction in Government funding affects service delivery Potential loss of funding affecting DCC service delivery in the event of changes made in the Comprehensive Spending Review and subsequent local government settlement given inflationary pressures in market and demographic growth.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Option of 2% precept Amber Increase in BCF funding</p>
<p>JO23: Children's and Adult services budget pressures and allocation Impact across People's Services of budget pressures and allocation issues within children's services. Significant overspends are currently being forecast across a range of Education transport and Social Care budgets, which threaten the financial stability of People's Services.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Jo Olsson Accountable officer: Jennie Stephens Last review: 09 Aug 2016</p>	<p>Green Regular financial performance reporting to CLT Green Weekly children's social care management meetings focussing on budget pressures Green Focus of regular LTP discussion Green Scrutiny reporting Green Task group led by Leader of the Council</p>
<p>TG20: Market capacity adult social care (Residential And Nursing Care) The supply of residential and nursing care of the right quality is currently stretched in some parts of Devon increasing the risk that we cannot achieve safe discharge from hospital. Difficulties in recruiting care staff further increases this risk.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 24 Oct 2016</p>	<p>Green Capital investment programme led by BR Team to increase capacity in areas of highest need Green New care homes contract including block bed provisions from 2017-18 Green Working with CCGs re intermediate care to ensure fit to contract Green Improving relationship with the market via sector lead to increase market engagement Green Fee uplift has stabilised market failure Green Workforce development programme being extended to private sector</p>
<p>TG29: Budget Management That a broader corporate overview of timing, impact or scope of service or policy changes gives rise to review or reconsideration of proposals</p>	<p>Inherent status: 25 Very high Current status : 25 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Thoroughness on consultation on proposals Green Thorough impact and risk assessment of plans and policy change</p>
<p>TG11: Market Capacity: Adult Social Care (Personal Care) The supply of personal care of the right quality is currently stretched in some parts of Devon increasing the risk that we cannot maintain all people who require it safely in their own homes, achieve safe discharge from hospital and with the potential to increase admissions to residential and nursing care.</p>	<p>Inherent status: 30 Very high Current status : 24 Very high Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 24 Oct 2016</p>	<p>Green Refresh of the Adult Social Care Services Market Position Statement Green Provider Engagement Network Green Performance monitoring of call off against the Framework Agreement Green Work with providers to address capacity shortfall</p>

Risk details	Status and Risk owner	Mitigating controls
		<p>Green Reprocurement of personal care via new framework: contracts to be awarded in march, transition to new arrangements in June.</p> <p>Green Investigation of new solutions/new way of working</p> <p>Green Weekly SITREPS and escalation</p> <p>Green Provider of last resort option.</p>
<p>HTM1: Failure to maintain C class and unclassified roads effectively. Deterioration of highway network due to insufficient planned and routine maintenance.</p>	<p>Inherent status: 24 Very high Current status : 24 Very high Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 31 Jul 2016</p>	<p>Green Value for Money solutions</p> <p>Green Highway Monitoring</p> <p>Green Safety repairs</p> <p>Green Communication with stakeholders</p>
<p>KS19: Continuing Health Care (CHC) Significant delays in assessments and determinations of CHC eligibility leading to operational inefficiencies, possible clinical risk if people with primary care needs are not being appropriately case managed by NHS professionals; and financial risk to the Council as well as impact on individuals and families.</p>	<p>Inherent status: 30 Very high Current status : 20 High Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Amber Issues escalated to NEW Devon CCG and some actions agreed which may mitigate.</p> <p>Amber Formal disputes now being raised and Draft Disputes Protocol in use.</p> <p>Green Further training for staff planned in PPA</p> <p>Green Learning Disabilities nurses transferred back to NHS</p> <p>Completed Discussions underway with CCG to consider future 4 week funding arrangements</p> <p>Completed NEW Devon supporting work on 2015.16 cases that were delayed in assessment or panel decisions.</p>
<p>SC1: School Transport Rising overspend on home to school transport is having a deleterious effects on Education and Learning Core budgets and initiatives which are currently absorbing the substantial overspend. Action to address overspend has had limited short term impact against rising costs due to increased expectations and the complexity of individual transport requested.</p>	<p>Inherent status: 30 Very high Current status : 20 High Risk owner: Sarah Aggett Accountable officer: Sue Clarke Last review: 09 Aug 2016</p>	<p>Amber Management actions within TCS including route analysis and efficiency savings</p> <p>Green TCS monitoring and regular review across all areas of spend</p> <p>Green Policy regularly reviewed and adjusted to reduce areas of discretionary spend</p> <p>Green Actions identified through corporate transport project board</p>
<p>HTM3: Lack of capacity or capability to effectively respond to extreme weather events Flooding and structural damage to the highway affecting citizens and property</p>	<p>Inherent status: 24 Very high Current status : 20 High Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 12 Dec 2016</p>	<p>Green Highway Monitoring</p> <p>Green Winter Service and Emergency Plan</p> <p>Green Delivery of Planned works</p> <p>Green Preparedness</p> <p>Green Asset Management</p>

Risk details	Status and Risk owner	Mitigating controls
<p>HTM2: Lack of capacity or capability to respond effectively to highway safety related issues Potential for fatal and severe accidents to citizens due to lack of effective and timely repair or replacement of highway assets. This could be brought about by deteriorating highway condition, inability to meet policy level of service, inadequate procedures or poor staff/contract performance.</p>	<p>Inherent status: 24 Very high Current status : 20 High Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 12 Dec 2016</p>	<p>Amber Highway Monitoring Amber Safety repairs Green Programme flexibility</p>
<p>KS14: Deprivation of Liberties (DoLS) and Court of Protection (CoP) Supreme Court ruling presents a significant financial risk due to the likely increase in DoLS and CoP assessments required and associated legal costs.</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Sarah MacKereth Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Prioritised plan in place in adult services to address both res/nursing/hospital and community deprivations Green CLT endorsed approach and additional posts Green Ongoing review of performance at SLT and scrutiny ctte on request Green Law Commission review due to report by end 2016. Realistically DCC is unlikely to authorise any significant proportion of the outstanding res/nursing or community deprivations prior to legislation/policy change</p>
<p>PR06 - Inflationary pressure across markets impacts upon service delivery and budget pressures Impact on the authority (budgets) generally by global and local inflationary pressure Cost reduction and impact on markets Public sector service cuts over the coming years having a destabilising effect on local and national markets in the short term</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: Kevin Balding Accountable officer: Justin Bennetts Last review: 19 Oct 2016</p>	<p>Green Manage Expectations Amber Understand Markets</p>
<p>FIN39: Failure to deliver priority services as a result of significantly reduced finances Reductions in government funding over the next 3 years will necessitate reductions in local government spending and service provision. DCC has responded by identifying savings in 2016/17 and is identifying the impact of further reductions in subsequent financial years via its Medium Term Financial Planning process This risk covers both a failure to deliver priority services due to inadequate financial planning and an inability to respond to changes arising from significant reductions in Government Finance</p>	<p>Inherent status: 20 High Current status : 16 High Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 16 May 2016</p>	<p>Green Medium Term Financial Plan Completed Annual Savings Plan approved by CLT Green Purposeful Systems</p>
<p>PR01 - Supply market failure: Financial and other pressures leading to the failure of supply markets Failure of supply markets due to financial, capacity and other pressures particularly apparent in the social care market. Supply market failure could have a detrimental effect on the Council's ability to fulfil our legislative duties and</p>	<p>Inherent status: 20 High Current status : 16 High Risk owner: Nicola Tribble Accountable officer: Justin Bennetts Last review: 19 Oct 2016</p>	<p>Completed Integrated Category Management Completed Integrated Procurement Category Management (IPCM) Completed Corporate Strategy for procurement performance 2008-11</p>

Risk details	Status and Risk owner	Mitigating controls
strategic objectives.		<p>Green Attuned to markets</p> <p>Completed Contract Strategy</p>
<p>HR: Employee Services: System Failures</p> <p>System failure due to technical problems may result in employees not being paid on time or accurately</p>	<p>Inherent status: 16 High</p> <p>Current status : 16 High</p> <p>Risk owner: Wendy Smith</p> <p>Accountable officer: Jacky Wilson</p> <p>Last review: 20 Oct 2016</p>	<p>Green Proactive controls</p> <p>Amber HRMS Project</p> <p>Green Collaborative working</p> <p>Green HR and ICT Business Continuity Plans</p> <p>Amber Review of hardware and implementation of changes to processor</p>
<p>SPOC15: Failure to prevent discriminatory practice/adhere to the Equality Act & Public Sector Equality Duty</p> <p>Ensuring the Council gives due regard to the need to eliminate discrimination (end prohibited conduct), advance equality and foster good relations as required by the Public Sector Equality Duty (Equality Act 2010).</p>	<p>Inherent status: 20 High</p> <p>Current status : 16 High</p> <p>Risk owner: Jo Hooper</p> <p>Accountable officer: Roland Pyle</p> <p>Last review: 10 Nov 2016</p>	<p>Green (Equality) Impact Assessment</p> <p>Amber Equality Training and Competencies</p> <p>Green Equality Objectives (Fair for all Programme)</p> <p>Green Equality Reference Group</p> <p>Green Equality Framework for Local Government</p> <p>Amber Staff Surveys</p> <p>Green Discriminatory Incident Reporting</p> <p>Green Equality Policy</p> <p>Green Supporting employment policies</p> <p>Green Sufficient allocation of staff with responsibility for equality/impact assessment</p> <p>Green Information (Evidence base)</p> <p>Amber Customer diversity monitoring</p> <p>Green Equality Standards in Procurement</p> <p>Green Hate Crime Prevention</p> <p>Green Communications Toolkit</p> <p>Amber Workforce diversity data</p> <p>Completed Learning from Judicial Review Project - implementing the recommendations</p> <p>Green Impact Assessment Performance Measures</p>
<p>TCS1: Public Transport Support Budget</p> <p>Additional Cost/ budget pressure due to:</p> <p>(a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services.</p> <p>(b) Risk of higher tender prices, given a prolonged period of lower tender prices.</p> <p>(c) funding reductions resulting in significant cuts in bus services.</p> <p>Refer to Cabinet report 10 June 2015</p>	<p>Inherent status: 20 High</p> <p>Current status : 15 High</p> <p>Risk owner: Damien Jones</p> <p>Accountable officer: John Smith</p> <p>Last review: 20 Dec 2016</p>	<p>Amber Operational, policy and administrative efficiencies</p>

Risk details	Status and Risk owner	Mitigating controls
<p>Reduction in Public Health funding Clawback of Public Health reserve funds this year means that Public Health no longer have funding available to respond to immediate Public Health demands. It also may presage future reductions in the recurring funding which could impact on commissioned services</p>	<p>Inherent status: 15 High Current status : 15 High Risk owner: Mark Kealy Accountable officer: Tracey Polak Last review: 19 Dec 2016</p>	<p>Green Retaining a targeted health check programme for those most at risk Amber New Healthy Lifestyle service and voluntary service directory Green One You Green Change4Life Amber Making every contact count Green Specialist smoking service Amber Working with partners to access new sources of funding</p>
<p>HR: Workforce and Succession Planning DCC risks not having workforce plans in place to ensure that it has the 'right number of people with the right skills, in the right place at the right time to deliver short and long term organisational objectives' (Chartered Institute of Personnel & Development definition of 'workforce planning'). This is exacerbated by:</p> <ul style="list-style-type: none"> • The demographics of the workforce, given that around 45% of our current directly employed DCC workforce is over 50 years and over 60% is over 40 years. • The need for changing skills and behaviours in order to implement new ways of working • DCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf • Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention • Skills shortages in key areas including social work and teaching • Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. • Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 	<p>Inherent status: 16 High Current status : 12 Medium Risk owner: Helen Marsh Accountable officer: Jacky Wilson Last review: 05 Dec 2016</p>	<p>Green HR Strategy Green HR Redundancy and Turnover Management Strategy Amber HR Dashboard Green Communication and cross working Amber Workforce Planning roll-out</p>
<p>SPOC16: Failure to properly implement Impact Assessment in effective decision making The County Council has a legal duty under the Equality Act 2010 to publish information about people affected by its policies and practices. It also has a legal duty to give due regard to the need to eliminate discrimination, advance equality and foster good relations across nine protected characteristics. The County Council's method for meeting these duties is through the Impact Assessment</p>	<p>Inherent status: 30 Very high Current status : 12 Medium Risk owner: Jo Hooper Accountable officer: Roland Pyle Last review: 10 Nov 2016</p>	<p>Green Monitoring and feedback Green Training and guidance Green Decision making procedures Green Escalation</p>

Risk details	Status and Risk owner	Mitigating controls
<p>report. Risks to the organisation of not adhering to the Duty are Judicial Review or lack of consideration of community impacts which could result in harm, poor community relations, complaints about discrimination etc.</p>		
<p>SP1: Flood Risk Management Devon County Council became the Lead Local Flood Authority as defined by Flood and Water Management Act (FWMA) 2010 and, as a consequence, is responsible for managing the risk of local flooding from surface water run-off, groundwater and ordinary watercourses. The Act sets out a number of specific roles for the LLFA.</p> <p>This includes the risks associated with the obligations and expectations associated with this LLFA role, particularly in the light of the major flooding experienced in Devon in 2012 / early 2013 and the impending implementation of Schedule 3 of FWMA 2010 relating to Sustainable Drainage Systems (SuDS)</p> <p>[Note: no specific consideration here to the risk of flooding to DCC assets or the huge costs of responding to / recovering from flood events, particularly linked to highway flooding.]</p>	<p>Inherent status: 20 High Current status : 12 Medium Risk owner: Martin Hutchings Accountable officer: Dave Black Last review: 08 Aug 2016</p>	<p>Green Capacity of the Flood Risk Management Team Completed Flood Risk Management Strategy / Flood Resilience Community Pathfinder project Green Consider options for operation of Sustainable Drainage Approvals Body</p>
<p>HM12: Failure to maintain the A and B road network effectively leading to reduced surface life The risk of reduced life of the A and B road surfaces is influenced by several factors including the availability of an adequate budget to carry out work and deterioration factors such as severe winters and climate change.</p>	<p>Inherent status: 20 High Current status : 12 Medium Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 12 Dec 2016</p>	<p>Amber Highways Asset Strategy Amber Assessment of Highway Drainage Green Materials Selection Green Re-evaluation of our approach to preventative maintenance</p>
<p>SPOC1: Failure to realise opportunities and insight derived from successful collaboration with key partners RISK of not engaging effectively with partners exposes DCC to levels of uncertainty in terms of capacity, service delivery and finance; insight and learning not shared about opportunities to share resources/effect change; aspirations as system leaders not realised; Better Together and Operating Model not achieved. OPPORTUNITY for greater value-added benefits through co-operation with other agencies and place-based budgets. The following link defines partnerships in a RM context. http://staff.devon.gov.uk/services-for-communities/strategicintelligence/risk-management/devonway-riskmanagement/risk-management-partners/risk-management-in-partnerships.htm</p>	<p>Inherent status: 16 High Current status : 12 Medium Risk owner: Simon Kitchen Accountable officer: John Smith Last review: 09 Aug 2016</p>	<p>Green Leadership and governance arrangements Amber Communications between Partners (key individual networks)</p>
<p>Disruption to DCC services (business continuity) The impact of an incident, internal or external, causing disruption to DCC</p>	<p>Inherent status: 12 Medium Current status : 9 Low</p>	<p>Amber Business continuity plans (BCPs)</p>

Risk details	Status and Risk owner	Mitigating controls
services.	Risk owner: Keith Reed Accountable officer: Nicola Channon Last review: 19 Dec 2016	<ul style="list-style-type: none"> Amber Business Continuity plans for Social Care Green Exercising Completed Reminders to Review
<p>BREXIT Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union which may impact on Council objectives, financial resilience and affected staff.</p>	<p>Inherent status: 24 Very high Current status : Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 25 Nov 2016</p>	<ul style="list-style-type: none"> Amber Monitor post-referendum environment Amber Monitor Official publications Red Engage with LGA Amber Human Resources support Red Engage with DCLG
<p>Impact of reform of the Intermediaries Legislation (Off-Payroll working in the Public sector) Draft legislation has been circulated following HMRC consultation related to off payroll working in the public sector, and the current off payroll arrangements in place within the Council. Off payroll workers are paid by invoice via an intermediary i.e. their own limited company (also known as a personal services company) or via a recruitment agency, rather than the Council's payroll service. Care will need to be taken in terms of assessing the potential impact of the legislative change and in determining how the Council proceeds to ensure that Devon County Council fully meets it's duties in respect of tax legislation.</p>	<p>Inherent status: 0 Not set. Current status : Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 01 Nov 2016</p>	<ul style="list-style-type: none"> Green Establish a review group Amber Review existing contractual arrangements Amber Communication Amber Assess financial impact and issues Amber Review policies and procedures, alongside dealing with workflow issues

Appendix B: Risks identified since 1 October 2016

Risk details	Status and Risk owner	Mitigating controls
<p>KS10: Residential and Nursing Care Market capacity and quality Inability to source placements in some parts of Devon at DCC agreed rates</p>	<p>Inherent status: 12 Medium Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Market intelligence Green Care Home Review Green Accommodation Strategy Green Recruitment of Market Sector Leads Green Weekly Sit Reps to be implemented</p>
<p>KS20: Care Management Capacity and Effectiveness Potential that pressures currently experienced by the care management service impact adversely on service user experience.</p>	<p>Inherent status: 20 High Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Demand Management work Green Productivity work alongside demand management Green Additional capacity in extended hours Green Supported Living Project</p>
<p>TG28: Budget Overspend Rising demand and cost pressures resulting in potential inability to deliver on demand reduction strategies due to lack of capacity to develop and implement or lesser than projected impact.</p>	<p>Inherent status: 25 Very high Current status : 25 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Demand Management Programme Green Recommissioning of residential and nursing care Green New approach to managing relationship with DPT</p>
<p>KS14: Deprivation of Liberties (DoLS) and Court of Protection (CoP) Supreme Court ruling presents a significant financial risk due to the likely increase in DoLS and CoP assessments required and associated legal costs.</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Sarah MacKereth Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Prioritised plan in place in adult services to address both res/nursing/hospital and community deprivations Green CLT endorsed approach and additional posts Green Ongoing review of performance at SLT and scrutiny ctte on request Green Law Commission review due to report by end 2016. Realistically DCC is unlikely to authorise any significant proportion of the outstanding res/nursing or community deprivations prior to legislation/policy change</p>
<p>KS17: Secure transmission of confidential information Independent sector unable to access Egress resulting in possible insecure file transfers.</p>	<p>Inherent status: 20 High Current status : 20 High Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Being addressed through www group. Roger Jenkins leading.</p>
<p>KS5: Recruitment challenges Difficulty in recruiting suitably qualified staff to a range of posts, including</p>	<p>Inherent status: 20 High Current status : 20 High</p>	<p>Green Work underway to 'grow' own workforce and to review recruitment strategies</p>

Risk details	Status and Risk owner	Mitigating controls
<p>Advanced Mental Health Practitioners, Social Workers, Practice Managers and OTs</p>	<p>Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green AMPH service remodelled Green Social Worker regrading Green More proactive recruitment Green Revamped Social care Leadership Group, which improves retention Green ASCOR project will improve spans of control Green Monthly HR information including vacancies Green Adult Performance Framework will have HR focus</p>
<p>TG30: Short term intervention Risk that under developed short term service solutions leads to increased demand for long term services adversely impacting on costs</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Demand management work on short term services offer Green Front door modelling Green North Devon: initial service model in conjunction with partners</p>
<p>TG31: NHS Regonfiguration Risk that changes to the NHS delivery model that are being developed in the Devon system could impact adversely on the social care business generating additional demand for adult social care services.</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Joint Commissioning Green STP engagement Green RD&E Business Case Green Early intervention with health partners Green Wider Council commissioning 'ask'</p>
<p>TG22: Adult Mental Health Services Lack of acute psychiatric bed capacity locally and nationally is having a detrimental impact on acutely unwell people accessing hospital care increasing the risk to themselves, carers and public.</p>	<p>Inherent status: 20 High Current status : 16 High Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Commissioning arrangements under development Green Mental Health Crisis Concordaat agreed by peninsula partners</p>
<p>TG26: Assistive Technology 2 Failure to make best use of assistive technology through missed opportunities impacts on people's independence and safety at home leading to additional costs due to the procurement of more costly service solutions presenting a financial risk to the Authority.</p>	<p>Inherent status: 25 Very high Current status : 16 High Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green CES (prescriptions/stock itesms/non-stock items) Green Contract monitoring arrangements Green CES operational contract meetings Green Catalogue review group Green More concerted effort in promoting Assistive Technology, including Assistive Technology Day Green Living Well at Home contracts</p>
<p>TG25: Assistive Technology 1 There are financial and reputational risks presenting as a result of the legal</p>	<p>Inherent status: 16 High Current status : 9 Low</p>	<p>Green Reprocurement progressing to plan</p>

Risk details	Status and Risk owner	Mitigating controls
<p>challenges to the award of the Community Equipment contract</p>	<p>Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	
<p>Connecting Devon and Somerset - Secure superfast broadband to at least 95% of Devon and Somerset Premises by December 2019 with as much coverage as possible by the end of 2017</p> <p>The Connecting Devon and Somerset programme has been set up to bring superfast broadband to parts of rural Devon and Somerset, where the private sector will fail to deliver. Phase 1 was intended to increase superfast broadband to 90% of premises by the end of 2016 and phase 2 has the ambition of increasing this to 95% with as much as possible completed by the end of 2017. The programme has the overall target of ensuring all premises are connected to superfast broadband by 2020.</p>	<p>Inherent status: 24 Very high Current status : Risk owner: Sofie Francis Accountable officer: Not set Last review: 14 Nov 2016</p>	
<p>BREXIT</p> <p>Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union which may impact on Council objectives, financial resilience and affected staff.</p>	<p>Inherent status: 24 Very high Current status : Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 25 Nov 2016</p>	<p>Amber Monitor post-referendum environment Amber Monitor Official publications Red Engage with LGA Amber Human Resources support Red Engage with DCLG</p>
<p>Impact of reform of the Intermediaries Legislation (Off-Payroll working in the Public sector)</p> <p>Draft legislation has been circulated following HMRC consultation related to off payroll working in the public sector, and the current off payroll arrangements in place within the Council. Off payroll workers are paid by invoice via an intermediary i.e. their own limited company (also known as a personal services company) or via a recruitment agency, rather than the Council's payroll service. Care will need to be taken in terms of assessing the potential impact of the legislative change and in determining how the Council proceeds to ensure that Devon County Council fully meets its duties in respect of tax legislation.</p>	<p>Inherent status: 0 Not set. Current status : Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 01 Nov 2016</p>	<p>Green Establish a review group Amber Review existing contractual arrangements Amber Communication Amber Assess financial impact and issues Amber Review policies and procedures, alongside dealing with workflow issues</p>

Appendix C: Risks scored as Very High

Risk details	Status and Risk owner	Mitigating controls
<p>JO23: Children's and Adult services budget pressures and allocation Impact across People's Services of budget pressures and allocation issues within children's services. Significant overspends are currently being forecast across a range of Education transport and Social Care budgets, which threaten the financial stability of People's Services.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Jo Olsson Accountable officer: Jennie Stephens Last review: 09 Aug 2016</p>	<p>Green Regular financial performance reporting to CLT Green Weekly children's social care management meetings focussing on budget pressures Green Focus of regular LTP discussion Green Scrutiny reporting Green Task group led by Leader of the Council</p>
<p>TG20: Market capacity adult social care (Residential And Nursing Care) The supply of residential and nursing care of the right quality is currently stretched in some parts of Devon increasing the risk that we cannot achieve safe discharge from hospital. Difficulties in recruiting care staff further increases this risk.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 24 Oct 2016</p>	<p>Green Capital investment programme led by BR Team to increase capacity in areas of highest need Green New care homes contract including block bed provisions from 2017-18 Green Working with CCGs re intermediate care to ensure fit to contract Green Improving relationship with the market via sector lead to increase market engagement Green Fee uplift has stabilised market failure Green Workforce development programme being extended to private sector</p>
<p>TG15: Reduction in Government funding affects service delivery Potential loss of funding affecting DCC service delivery in the event of changes made in the Comprehensive Spending Review and subsequent local government settlement given inflationary pressures in market and demographic growth.</p>	<p>Inherent status: 30 Very high Current status : 30 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Option of 2% precept Amber Increase in BCF funding</p>
<p>TG28: Budget Overspend Rising demand and cost pressures resulting in potential inability to deliver on demand reduction strategies due to lack of capacity to develop and implement or lesser than projected impact.</p>	<p>Inherent status: 25 Very high Current status : 25 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Demand Management Programme Green Recommissioning of residential and nursing care Green New approach to managing relationship with DPT</p>
<p>KS20: Care management capacity and effectiveness Potential that pressures currently experienced by the care management service impact adversely on service user experience</p>	<p>Inherent status: 20 High Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Amber Demand management work Amber Productivity work alongside demand management work Green Additional capacity in extended hours Amber Supported Living Project</p>
<p>TG29: Budget Management</p>	<p>Inherent status: 25 Very high</p>	<p>Green Thoroughness on consultation on proposals</p>

Risk details	Status and Risk owner	Mitigating controls
That a broader corporate overview of timing, impact or scope of service or policy changes gives rise to review or reconsideration of proposals	<p>Current status : 25 Very high Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Thorough impact and risk assessment of plans and policy change</p>
<p>KS9: Budget pressures and management Due to rising demand and cost pressures there is significant risk of financial overspend in current and future years.</p>	<p>Inherent status: 25 Very high Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Keri Storey Last review: 24 Oct 2016</p>	<p>Amber Rigorous action monitoring of financial recovery plans for each service area. LD a particular issue Amber Learning disability financial pressures under review Amber NHS interface regarding funding issues under review</p>
<p>KS10: Residential and Nursing Care Market capacity and quality Inability to source placements in some parts of Devon at DCC agreed rates</p>	<p>Inherent status: 12 Medium Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p>Green Market intelligence Green Care Home Review Green Accommodation Strategy Green Recruitment of Market Sector Leads Green Weekly Sit Reps to be implemented</p>
<p>TG11: Market Capacity: Adult Social Care (Personal Care) The supply of personal care of the right quality is currently stretched in some parts of Devon increasing the risk that we cannot maintain all people who require it safely in their own homes, achieve safe discharge from hospital and with the potential to increase admissions to residential and nursing care.</p>	<p>Inherent status: 30 Very high Current status : 24 Very high Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 24 Oct 2016</p>	<p>Green Refresh of the Adult Social Care Services Market Position Statement Green Provider Engagement Network Green Performance monitoring of call off against the Framework Agreement Green Work with providers to address capacity shortfall Green Reprocurement of personal care via new framework: contracts to be awarded in march, transition to new arrangements in June. Green Investigation of new solutions/new way of working Green Weekly SITREPS and escalation Green Provider of last resort option.</p>
<p>HTM1: Failure to maintain C class and unclassified roads effectively. Deterioration of highway network due to insufficient planned and routine maintenance.</p>	<p>Inherent status: 24 Very high Current status : 24 Very high Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 31 Jul 2016</p>	<p>Green Value for Money solutions Green Highway Monitoring Green Safety repairs Green Communication with stakeholders</p>
<p>Connecting Devon and Somerset - Secure superfast broadband to at least 95% of Devon and Somerset Premises by December 2019 with as much coverage as possible by the end of 2017 The Connecting Devon and Somerset programme has been set up to bring</p>	<p>Inherent status: 24 Very high Current status : Risk owner: Sofie Francis Accountable officer: Not set</p>	

Risk details	Status and Risk owner	Mitigating controls
<p>superfast broadband to parts of rural Devon and Somerset, where the private sector will fail to deliver. Phase 1 was intended to increase superfast broadband to 90% of premises by the end of 2016 and phase 2 has the ambition of increasing this to 95% with as much as possible completed by the end of 2017. The programme has the overall target of ensuring all premises are connected to superfast broadband by 2020.</p>	<p>Last review: 14 Nov 2016</p>	
<p>JO13: Care Leavers in Education, Employment and Training Failure to join up approach across People leads to continuing high numbers of Care Leavers not in education, employment and training.</p>	<p>Inherent status: 30 Very high Current status : Overdue Risk owner: Vivien Lines Accountable officer: Jennie Stephens Last review: 01 Jul 2016</p>	<p>Green To ensure regular reporting and sharing of data on care leavers with appropriate partners Amber To ensure the offer from Careers South West is sufficiently bespoke to the needs of this group of y Amber To develop use of POPP to support care leavers Amber To work with business to develop the apprentice and internship provision</p>
<p>JO22: Increasing costs and challenges Increasing costs and challenges securing education and care placements for children with additional and complex needs due to a reducing market, stronger regulation and difficulty delivering personalised services for individual children.</p>	<p>Inherent status: 25 Very high Current status : Overdue Risk owner: Sarah Aggett Accountable officer: Fiona Fitzpatrick Last review: 13 May 2016</p>	<p>Completed Placement Strategy Green Peninsular Framework Agreement Amber Single Education Health and Care Plans Amber Greater efficiency re joint agency placements</p>
<p>TG23: Workforce (People) Lack of Organisational Development Plan for the Authority, which should include succession planning for Leaders and Managers could lead to future skills shortages across key areas of the business, for example, Social Workers, Headteachers, Teachers and Health Workers. This needs to include contracted services for care where significant workforce recruitment and retention issues exist. Failure to address may result in market failure and statutory non-compliance with Care Act duties.</p>	<p>Inherent status: 30 Very high Current status : Overdue Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 01 Jun 2016</p>	<p>Completed Test of Assurance Completed Succession Planning Completed Grading review: Adult Social Workers Green Workforce Development, including potential impact of devolution ask</p>
<p>SC17: The introduction of a joint Ofsted/CQC framework of services to support cyp with SEND From May 2016 introduces new legislation across local authority and partner services, with work required to ensure that services are at least 'good' as defined by standards within the inspection framework and that the authority is ready to facilitate an inspection.</p>	<p>Inherent status: 25 Very high Current status : Overdue Risk owner: Sarah Aggett Accountable officer: Sue Clarke Last review: 21 May 2016</p>	<p>Red Service audits</p>
<p>SC16: National Funding Formula and implications of the White Paper</p>	<p>Inherent status: 25 Very high</p>	<p>Amber Awareness raised at CLT</p>

Risk details	Status and Risk owner	Mitigating controls
<p>impact of consultation proposals to remove funding allocation for school improvement from September 2017. Potential time lag between changes in LA roles and responsibilities and reduction in Education Support Grant. Corporate budget implications and potential impact on School Improvement support for maintained schools. The White Paper sets out the Government's intention for universal academisation by 2022 . LA financial resources will be removed earlier than when responsibilities change bringing a number of risks for maintained schools requiring support and the removal of capacity within DCC. Significant costs to DCC to facilitate each academy conversion. Transfer all school sites and other wider education assets to the DfE. Greater discretion for the Regional Schools Commissioner who will determine future arrangements for schools.</p>	<p>Current status : Overdue Risk owner: Sue Clarke Accountable officer: Jennie Stephens Last review: 01 Jun 2016</p>	<p>Amber Full council debate on white paper</p>
<p>BREXIT Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union which may impact on Council objectives, financial resilience and affected staff.</p>	<p>Inherent status: 24 Very high Current status : Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 25 Nov 2016</p>	<p>Amber Monitor post-referendum environment Amber Monitor Official publications Red Engage with LGA Amber Human Resources support Red Engage with DCLG</p>