

Report of the Corporate Risk Management Group

Report of the County Treasurer

Please note that the following recommendations are subject to consideration and determination by the Committee before taking effect.

Recommendation: It is recommended that:

- **Audit Committee to consider the Corporate Risk Register;**

1. Summary

This report of the Corporate Risk Management Group provides an update on risk management practice in the Council.

2. Introduction

Corporate Risk Management Group reports to Audit Committee as necessary by exception to provide information on significant changes recorded on risk registers.

3. Significant risks

Risks with a current mitigated classification of High or Very high are shown in appendix A of this report. Since risks were last reported to this committee in November the following changes have occurred.

Newly identified risks:

FIN41: 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.

Inherent status: **24 Very High**, Current status: **20 High**

ICT05 - Shadow IT in Devon County Council

There have historically always been "Shadow IT" departments in Devon County Council, for example, in Highways, HR and Finance where specialist departments deal with their own IT, referring to Corporate IT when required. However, increasingly the availability of often "free" and low cost cloud software and apps, means that increased numbers of both individual users and business areas start using their own systems, often without any reference to Corporate IT

Inherent status: **16 High**, Current status: **16 High**

FIN40: 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 its duties in respect of tax legislation.

Inherent status: **18 High**, Current status: **12 Medium**

Delivery of the Capital Programme

Potential for significant overspend on construction projects

Inherent status: **16 High**, Current status: **12 Medium**

HR: Appointment and Hiring of Consultants

The risk of appointing a consultant without carrying out due diligence could expose the Authority to non-compliance with legislation (from April 2017) as well as other financial and reputational issues.

Inherent status: **15 High**, Current status: **8 Low**

Reprocure North Devon and Torridge residual waste contract

Inherent status: **20 High**

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 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.

Inherent status: **24 Very High**

Risks archived or removed:

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 strategic objectives.

PR19 - Risk to Procurement Outcomes due to Brexit Concerns

Risk to Procurement Outcomes due to Brexit Concerns. Now captured in Finance Risk Register

Lack of signed memorandum of understanding between DCC, NEWDevonCCG, SWDevon and Torbay CCG, NHS England and Public Health England

The MOU outlines responsibilities, both operational and financial between organisations in the event of an outbreak or other Public Health incident. No longer a risk for DCC as NHS have accepted responsibility.

PR17 - DCC Services creating their own expertise locally in light of reducing Corporate Services capacity

DCC Services creating their own expertise locally in light of reducing Corporate Services capacity

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. Archived and replaced with new risks specific to new structure.

Risk score increased:

TG31: NHS Reconfiguration

NHS changes in Devon impact adversely on social care activity and do not meet whole system needs of Devon's residents

From **20: High** to **25: Very High**

TG11: Market Capacity: Adult Social Care (Personal Care)

The council fails to meet its statutory market sufficiency requirement for personal care placing individuals at risk in the community or hospital setting

From **24: High** to **30: Very High**

KS19: Continuing Health Care (CHC)

The Council fails to operate within its statutory obligations to ensure the Legal Limits Framework is appropriately assessed by the NHS

From **20: High** to **30: Very High**

Risk score decreased:

KS5: Recruitment challenges

Unable to recruit professionally registered staff to deliver Care Management

From **24: Very High** to **9: Low**

TCS1: Public Transport Support Budget

Additional Cost/ budget pressure due to:

(a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services.

(b) Risk of higher tender prices, given a prolonged period of lower tender prices.

(c) funding reductions resulting in significant cuts in bus services.

Refer to Cabinet report 10 June 2015

From **20: High** to **15: High**

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.

From **24: Very High** to **20: High**

HTM3: Lack of capacity or capability to effectively respond to extreme weather events

Flooding and structural damage to the highway affecting citizens and property

From **24: Very High** to **20: High**

KS20: Care management capacity and effectiveness

The Council fails to meet its statutory obligations for the timeliness of assessment for adults
From **25: Very High** to **20: High**

JO9: Devon Safeguarding Children Board

DSCB lacks effectiveness to drive forward improvements to services for children, young people and families. (Previously RM7)

From **20: High** to **6: Low**

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

From **16: High** to **12: Medium**

Overdue risks:

There are six risks that are overdue for review where the previous review scored them either High or Very High:

SC17: The introduction of a joint Ofsted/CQC framework of services to support cyp with SEND

SC16: National Funding Formula and implications of the White Paper

SC1: School Transport

JO22: Increasing costs and challenges

JO13: Care Leavers in Education, Employment and Training

JO15: Attainment of Looked After Children

Mary Davis
County Treasurer

Electoral Divisions: All

Appendices

Appendix A: Significant risks

Contact for enquiries:

Mark Painter

Room No. 155

Tel No: (01392) 386219

Appendix A: Significant risks

Risk details	Status and Risk owner	Mitigating controls
<p>KS19: Continuing Health Care (CHC) The Council fails to operate within its statutory obligations to ensure the Legal Limits Framework is appropriately assessed by the NHS</p>	<p><u>Inherent status: 30 Very high</u> <u>Current status : 30 Very high</u> Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 23 Feb 2017</p>	<p>Amber Issues escalated to NEW Devon CCG and some actions and principles agreed which may mitigate (10.3.17)</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>Completed Discussions underway with CCG to consider future 4 week funding arrangements</p>
<p>TG11: Market Capacity: Adult Social Care (Personal Care) The council fails to meet its statutory market sufficiency requirement for personal care placing individuals at risk in the community or hospital setting</p>	<p><u>Inherent status: 30 Very high</u> <u>Current status : 30 Very high</u> Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 15 Feb 2017</p>	<p>Completed New Living Well at Home Contract let jointly with NHS</p> <p>Green Refresh of the Adult Social Care Services Market Position Statement</p> <p>Green Provider Engagement Network</p> <p>Green Performance monitoring</p> <p>Green Work with providers to address capacity shortfall</p> <p>Green Reprourement 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>TG20: Market capacity adult social care (Residential And Nursing Care) The council fails to meet its statutory market sufficiency requirement for residential and nursing care placing individuals at risk in the community or hospital setting</p>	<p><u>Inherent status: 30 Very high</u> <u>Current status : 30 Very high</u> Risk owner: Tim Golby Accountable officer: Ian Hobbs Last review: 15 Feb 2017</p>	<p>Green Capital investment programme led by BR Team to increase capacity in areas of highest need</p> <p>Green New care homes contract</p> <p>Green Working with CCGs re intermediate care to ensure fit to contract</p> <p>Green Improving relationship with the market via sector lead to increase market engagement</p> <p>Green Fee uplift proposals</p> <p>Green Workforce development programme being extended to private sector</p>

Risk details	Status and Risk owner	Mitigating controls
<p>TG23: Workforce 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 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><u>Inherent status: 30 Very high</u> <u>Current status : 30 Very high</u> Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 11 Jan 2017</p>	<p><u>Completed</u> Test of Assurance <u>Completed</u> Succession Planning <u>Completed</u> Grading review: Adult Social Workers <u>Green</u> Workforce Development, including potential impact of devolution ask</p>
<p>KS9: Budget pressures and management Demand for Adult Social Care exceeds financial provision putting the Council at risk</p>	<p><u>Inherent status: 30 Very high</u> <u>Current status : 25 Very high</u> Risk owner: Keri Storey Accountable officer: Keri Storey Last review: 15 Feb 2017</p>	<p><u>Red</u> Adult Social Care Demand Management Programme <u>Red</u> Re commissioning of residential and nursing care <u>Red</u> New approach to managing relationship with DPT <u>Red</u> Rigorous action monitoring of financial recovery plans for each service area <u>Completed</u> Meeting planned with CCGs re Learning Disability financial pressures <u>Completed</u> CHC Dispute protocol signed off with cases being progressed against the protocol</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><u>Inherent status: 25 Very high</u> <u>Current status : 25 Very high</u> Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p><u>Green</u> Demand Management Programme <u>Green</u> Re commissioning of residential and nursing care <u>Green</u> New approach to managing relationship with DPT</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><u>Inherent status: 25 Very high</u> <u>Current status : 25 Very high</u> Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 24 Oct 2016</p>	<p><u>Green</u> Thoroughness on consultation on proposals <u>Green</u> Thorough impact and risk assessment of plans and policy change</p>

Risk details	Status and Risk owner	Mitigating controls
<p>TG31: NHS Regonfiguration NHS changes in Devon impact adversely on social care activity and do not meet whole system needs of Devon's residents</p>	<p><u>Inherent status: 25 Very high</u> <u>Current status : 25 Very high</u> Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 15 Feb 2017</p>	<p><u>Green</u> Joint Commissioning <u>Green</u> STP engagement <u>Green</u> RD&E Business Case <u>Green</u> Early intervention with health partners <u>Green</u> Wider Council commissioning 'ask'</p>
<p>FIN41: 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><u>Inherent status: 24 Very high</u> <u>Current status : 24 Very high</u> Risk owner: Nicola Allen Accountable officer: Mary Davis Last review: 28 Feb 2017</p>	<p><u>Amber</u> Monitor post-referendum environment <u>Amber</u> Monitor Official publications <u>Red</u> Engage with LGA <u>Amber</u> Human Resources support</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><u>Inherent status: 25 Very high</u> <u>Current status : 24 Very high</u> Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 02 Feb 2017</p>	<p><u>Green</u> Value for Money solutions <u>Green</u> Highway Monitoring <u>Green</u> Safety repairs <u>Green</u> Communication with stakeholders</p>
<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><u>Inherent status: 24 Very high</u> <u>Current status : 20 High</u> Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 12 Dec 2016</p>	<p><u>Amber</u> Highway Monitoring <u>Amber</u> Safety repairs <u>Green</u> Programme flexibility</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><u>Inherent status: 24 Very high</u> <u>Current status : 20 High</u> Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 12 Dec 2016</p>	<p><u>Green</u> Highway Monitoring <u>Green</u> Winter Service and Emergency Plan <u>Green</u> Delivery of Planned works <u>Green</u> Preparedness <u>Green</u> Asset Management</p>

Risk details	Status and Risk owner	Mitigating controls
<p>KS14: Deprivation of Liberties (DoLS) and Court of Protection (CoP) The Council fails to meet its statutory obligations with regard to Deprivation of Liberty Safeguards (DoLS) and individuals are put at unacceptable risk</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Sarah MacKereth Accountable officer: Jennie Stephens Last review: 15 Feb 2017</p>	<p>Green Green Green Green</p> <p>Prioritised plan in place in adult services to address both res/nursing/hospital and community deprivations CLT endorsed approach and additional posts Ongoing review of performance at SLT and scrutiny ccte on request 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>KS20: Care management capacity and effectiveness The Council fails to meet its statutory obligations for the timeliness of assessment for adults</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 23 Feb 2017</p>	<p>Amber Amber Green Amber</p> <p>Demand management work Productivity work alongside demand management work Additional capacity in extended hours Supported Living Project</p>
<p>TG27: Mental Health Services redesign with Devon Partnership Trust The delivery model for social care in health (via Devon Partnership Trust) is not meeting the needs of Devon residents</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Sarah Aggett Accountable officer: Tim Golby Last review: 15 Feb 2017</p>	<p>Green Red</p> <p>a) Project in place to review future adult mental health delivery b) Possible recommissioning of service following review</p>
<p>TG30: Short term intervention Adult social care has insufficient 'short term services' promoting independence that do not meet residents needs and lead to high long term care costs</p>	<p>Inherent status: 25 Very high Current status : 20 High Risk owner: Tim Golby Accountable officer: Jennie Stephens Last review: 15 Feb 2017</p>	<p>Green Green Green</p> <p>Demand management work on short term services offer Front door modelling North Devon: initial service model in conjunction with partners</p>
<p>Animal Health Disease Control Additional costs and manpower requirements to respond to exotic animal disease spreading in the Devon and Somerset Communities</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: Dolores Riordan Accountable officer: Paul Thomas Last review: 15 Sep 2016</p>	<p>Green</p> <p>Contingency Plans & trained staff available via an emergency cascade system.</p>

Risk details	Status and Risk owner	Mitigating controls
<p>ICT05 - Shadow IT in Devon County Council There have historically always been “Shadow IT” departments in Devon County Council, for example, in Highways, HR and Finance where specialist departments deal with their own IT, referring to Corporate IT when required. However, increasingly the availability of often “free” and low cost cloud software and apps, means that increased numbers of both individual users and business areas start using their own systems, often without any reference to Corporate IT</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: Marisa Smyth Accountable officer: Gary Dempster Last review: 13 Feb 2017</p>	<p>Amber Communication Amber Support of Senior Managers Amber Engagement Amber Evaluation Amber Support Amber Procurement Challenge Amber Proactive horizon scanning Amber Deep Inspections for all HTTP traffic Amber Review of ICT Policies</p>
<p>Inadequate DCC access to diesel / petrol during a fuel crisis DCC holds no bunkered fuel and would therefore be vulnerable during a fuel shortage. Access to mutual aid from LRF partners would be limited as more of them are also disposing of stored fuel. Where aid is available it is likely to be restricted to diesel. A national plan to assist key industries and services is in place but activation is likely to be too late to avoid shortages and disruption to services. It is the provision of social care that is of most concern.</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: Keith Reed Accountable officer: Nicola Channon Last review: 25 Jan 2017</p>	<p>Completed Small Tanker/Bowser Solution (no longer a viable option) Green Local LRF Planning Completed National Fuel Plan (Plan under review expected in 2017) Green Mutual aid arrangements with others Green Use of the military Red Delays to the review of the national plan Completed Contact details for Designated Filling Stations Completed Escalated concerns to LRF COG Sept 2015 Amber Highways contractors</p>
<p>Potential legal costs/compensation for court cases or improper seizure or suspension of goods Potential of legal costs/compensation and damage to reputation of Service and Authority due to officers wrongly impounding goods etc.</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: Steve Gardiner Accountable officer: Paul Thomas Last review: 15 Sep 2016</p>	<p>Green Staff Training</p>

Risk details	Status and Risk owner	Mitigating controls
<p>SPOC15: Failure to prevent discriminatory practice/adhere to the Equality Act & Public Sector Equality Duty 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 Current status : 16 High Risk owner: Jo Hooper Accountable officer: Roland Pyle Last review: 10 Nov 2016</p>	<p>Green (Equality) Impact Assessment Amber Equality Training and Competencies Green Equality Objectives (Fair for all Programme) Green Equality Reference Group Green Equality Framework for Local Government Amber Staff Surveys Green Discriminatory Incident Reporting Green Equality Policy Green Supporting employment policies Green Sufficient allocation of staff with responsibility for equality/impact assessment Green Information (Evidence base) Amber Customer diversity monitoring Green Equality Standards in Procurement Green Hate Crime Prevention Green Communications Toolkit Amber Workforce diversity data Completed Learning from Judicial Review Project - implementing the recommendations Green Impact Assessment Performance Measures</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 items/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>

Risk details	Status and Risk owner	Mitigating controls
<p>PH: 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>Potential Flu pandemic Risk of a significant influenza outbreak affecting service delivery due to impact on the public and staff. With an increasingly mobile world population the chances of this or a similar disease spreading globally is more likely.</p>	<p>Inherent status: 15 High Current status : 15 High Risk owner: Keith Reed Accountable officer: Nicola Channon Last review: 25 Jan 2017</p>	<p>Completed DCC Flu Pandemic plan Completed ACS Flu Pandemic plan Completed LRF Influenza Pandemic Plan Completed Exercising</p>
<p>TCS1: Public Transport Support Budget Additional Cost/ budget pressure due to: (a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services. (b) Risk of higher tender prices, given a prolonged period of lower tender prices. (c) funding reductions resulting in significant cuts in bus services. Refer to Cabinet report 10 June 2015</p>	<p>Inherent status: 20 High Current status : 15 High Risk owner: Damien Jones Accountable officer: Dave Black Last review: 20 Dec 2016</p>	<p>Amber Operational, policy and administrative efficiencies</p>

Risk details	Status and Risk owner	Mitigating controls
<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</p> <p>Current status :</p> <p>Risk owner: Sofie Francis Accountable officer: Not set Last review: 14 Nov 2016</p>	
<p>JO13: Care Leavers in Education, Employment and Training</p> <p>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</p> <p>Current status : Overdue</p> <p>Risk owner: Vivien Lines Accountable officer: Jennie Stephens Last review: 01 Jul 2016</p>	<p>Green</p> <p>To ensure regular reporting and sharing of data on care leavers with appropriate partners</p> <p>Amber</p> <p>to ensure the offer from Careers South West is sufficiently bespoke to the needs of this group of y</p> <p>Amber</p> <p>to develop use of POPP to support care leavers</p> <p>Amber</p> <p>to work with business to develop the apprentice and internship provision</p>

Risk details	Status and Risk owner	Mitigating controls
<p>JO15: Attainment of Looked After Children Lack of stability of care or school placements has a significant impact on education outcomes. White paper implications:</p> <ul style="list-style-type: none"> • In a fully Academised system the Local authority's capacity to intervene, and assess impact or influence practice, especially around exclusions is likely to be more limited. • Funding for AP being passed to schools may impact on our ability to provide short term intervention or bespoke packages to meet the needs of pupils with challenging behaviour or emotional/medical needs. • The addition of support for adopted children to the role of the Virtual school could, depending on expectations, have a significant impact on the capacity of the virtual school team 	<p>Inherent status: 30 Very high Current status : Overdue Risk owner: Vivien Lines Accountable officer: Jo Olsson Last review: 01 Jun 2016</p>	<p>Green To join up current activity across Heads of Service and LDP. Green Refocus of LDP Green Data analysis Green virtual school</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: Fiona Fleming 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>Reprocure North Devon and Torridge residual waste contract Reprocure North Devon and Torridge residual waste contract</p>	<p>Inherent status: 20 High Current status : Risk owner: Annette Dentith Accountable officer: David Whitton Last review: 06 Feb 2017</p>	<p>Green Robust planning application for North Devon TS submitted Green seek letters of support from District Council Green robust procurement timeline</p>

Risk details	Status and Risk owner	Mitigating controls
<p>SC16: National Funding Formula and implications of the White Paper 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>Inherent status: 25 Very high Current status : Overdue Risk owner: Sue Clarke Accountable officer: Jennie Stephens Last review: 01 Jun 2016</p>	<p>Amber Awareness raised at CLT Amber Full council debate on white paper</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: Fiona Fleming Accountable officer: Sue Clarke Last review: 21 May 2016</p>	<p>Red Service audits</p>

Risk details	Status and Risk owner	Mitigating controls
<p>SC1: School Transport</p> <p>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</p> <p>Current status : Overdue</p> <p>Risk owner: Damien Jones</p> <p>Accountable officer: Dawn Stabb</p> <p>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>