

Risk update report

1. Corporate Risk Register

There are currently 25 risks on the corporate risk register (Appendix A). Since the Committee last reviewed the Corporate Risk Register the following changes have been made to it:

- One risk has increased
 - KS19: Continuing Health Care (CHC), from 20 (High) to Very high (25)
- Three risks have reduced
 - HR: Employee Services: System Failures, from 16 (High) to 12 (Medium)
 - SPOC01: Failure to realise opportunities and insight derived from successful collaboration with key partners, from 12 (Medium) to 9 (Low)
 - FIN39: Failure to deliver priority services as a result of significantly reduced finances, from of 16 (High) to 12 (Medium)
- One has been newly scored
 - Impact of reform of the Intermediaries Legislation (Off-Payroll working in the Public sector) with an inherent score of 18 (High) and a mitigated score of 12 (Medium)
- Two risks have been added to the register
 - Appointment and Hiring of Consultants
 - FIN02: Failure of treasury management practice
- Four risks have been removed from the register, either to be managed by the relevant service area or archived
 - PR01: Supply market failure: Financial and other pressures leading to the failure of supply markets
 - PR06: Inflationary pressure across markets impacts upon service delivery and budget pressures
 - SC1: School Transport
 - SP1: Flood Risk Management
- 17 risks have remained unchanged
- One risk is overdue for review
 - JO23: Children's and Adult services budget pressures and allocation, with an inherent score of 30 (Very high)

2. Newly identified risks

Seven risks have been identified since the last Corporate Service Scrutiny Committee (Appendix B), mostly relating to waste management.

3. Risks for possible further exploration

There are currently 10 risks that have a current status of Very High meaning they are both likely to happen and would have a significant impact if they did. However they are all People or Place related and may be better discussed at those Scrutiny Committees.

The current Corporate Service Risk register contains 11 entries that members might want to consider in more detail, with eight of these risks relating to various aspects of HR.

Mary Davis
County Treasurer

Appendices

Appendix A: Corporate Risk Register

Appendix B: New risks

Appendix C: Corporate Service Risk Register

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Appendix A: Corporate Risk Register

Risk details	Status and Risk owner	Mitigating controls
<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>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>Inherent status: 30 Very high Current status : 30 Very high 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 Green Refresh of the Adult Social Care Services Market Position Statement Green Provider Engagement Network Green Performance monitoring Green Work with providers to address capacity shortfall Green Reprourement 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>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>

Risk details	Status and Risk owner	Mitigating controls
<p>KS19: Continuing Health Care (CHC) The Council fails to meet its statutory obligations to ensure Continuing Health Care (CHC) is appropriately assessed by the NHS</p>	<p>Inherent status: 30 Very high Current status : 25 Very high Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 15 Feb 2017</p>	<p>Amber Issues escalated to NEW Devon CCG and some actions agreed which may mitigate. Amber Formal disputes now being raised and Draft Disputes Protocol in use. Green Further training for staff planned in PPA Green Learning Disabilities nurses transferred back to NHS Completed Discussions underway with CCG to consider future 4 week funding arrangements Completed NEW Devon supporting work on 2015.16 cases that were delayed in assessment or panel decisions.</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: 25 Very high Current status : 24 Very high Risk owner: Joe Deasy Accountable officer: David Whitton Last review: 02 Feb 2017</p>	<p>Green Value for Money solutions Green Highway Monitoring Green Safety repairs Green 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>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>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: 20 High Current status : 20 High Risk owner: Keri Storey Accountable officer: Jennie Stephens Last review: 15 Feb 2017</p>	<p>Amber Demand management work Amber Productivity work alongside demand management work Green Additional capacity in extended hours Amber Supported Living Project</p>

Risk details	Status and Risk owner	Mitigating controls
<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 Green Winter Service and Emergency Plan Green Delivery of Planned works Green Preparedness Green Asset Management</p>
<p>KS14: Deprivation of Liberties (DoLS) and Court of Protection (CoP) The Council fails to meet its statutory obligations 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 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>

Risk details	Status and Risk owner	Mitigating controls
<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 Current status : 16 High</p> <p>Risk owner: Jo Hooper Accountable officer: Roland Pyle Last review: 10 Nov 2016</p>	<ul style="list-style-type: none"> 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>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 Current status : 15 High</p> <p>Risk owner: Damien Jones Accountable officer: Dave Black Last review: 20 Dec 2016</p>	<ul style="list-style-type: none"> Amber Operational, policy and administrative efficiencies

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>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 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>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>
<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 : 12 Medium Risk owner: Angie Sinclair Accountable officer: Mary Davis Last review: 22 February 2016</p>	<p>Green Medium Term Financial Plan Completed Annual Savings Plan approved by CLT Green Purposeful Systems</p>

Risk details	Status and Risk owner	Mitigating controls
<p>HR: Employee Services: System Failures System failure due to technical problems may result in employees not being paid on time or accurately</p>	<p>Inherent status: 16 High Current status : 12 Medium Risk owner: Wendy Smith Accountable officer: Jacky Wilson Last review: 20 Oct 2016</p>	<p>Green Proactive controls Amber HRMS Project Green Collaborative working Green HR and ICT Business Continuity Plans Amber Review of hardware and implementation of changes to processor</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>SP1: Flood Risk Management Devon County Council became the Lead Local Flood Authority (LLFA) as defined by the 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 light of the major flooding experienced in Devon over recent years, the expectation of delivering robust flood improvements and the new statutory consultee role for providing advice to the Local Planning Authorities on surface water management proposals for 'major' development applications.</p> <p>[Note: no specific consideration is provided here to the risk of flooding of 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: 20 Feb 2017</p>	<p>Green Capacity of the Flood Risk Management Team Completed Local Flood Risk Management Strategy Green Partnership working with other Risk Management Authorities</p>

Risk details	Status and Risk owner	Mitigating controls
<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: 18 High Current status : 12 Medium Risk owner: Martin Oram Accountable officer: Mary Davis Last review: 14 Feb 2017</p>	<p>Completed Establish a review group Amber Review existing contractual arrangements Green Communication Amber Assess financial impact and issues Amber Review policies and procedures, alongside dealing with workflow issues</p>
<p>HR: Workforce and Succession Planning</p> <p>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>

Risk details	Status and Risk owner	Mitigating controls
<p>Disruption to DCC services (business continuity) The impact of an incident, internal or external, causing disruption to DCC services.</p>	<p>Inherent status: 12 Medium Current status : 9 Low Risk owner: Keith Reed Accountable officer: Nicola Channon Last review: 25 Jan 2017</p>	<p>Green Business continuity plans (BCPs) Amber Business Continuity plans for Social Care Green Exercising Completed Reminders to review Green Regional and local cooperation</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 : 9 Low Risk owner: Roland Pyle Accountable officer: John Smith Last review: 23 Feb 2017</p>	<p>Green Leadership and governance arrangements Amber Communications between Partners (key individual networks)</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: Nicola Allen 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>O23: 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 : Overdue 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>

Appendix B: Risks identified since 24 January 2017

Risk details	Status and Risk owner	Mitigating controls
<p>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.</p>	<p>Inherent status: 15 High Current status : 8 Low Risk owner: Andrea Owen Accountable officer: Jacky Wilson Last review: 24 Jan 2017</p>	<p>Amber Produce a single Policy and guidance Amber Improved Policing Amber Monitoring by the Leadership Team Amber No engagements without an approved value assessment Amber No re-engagements or contract extensions without re-assessing value and approval requirements</p>
<p>Waste Growth Waste tonnages grow faster than has been allowed within the budget setting process</p>	<p>Inherent status: 9 Low Current status : Risk owner: Annette Dentith Accountable officer: David Whitton Last review: 06 Feb 2017</p>	<p>Green monthly budget monitoring Green effective behaviour change</p>
<p>Shared savings (Waste) District council changes do not deliver the savings anticipated</p>	<p>Inherent status: 12 Medium Current status : Risk owner: Annette Dentith Accountable officer: David Whitton Last review: 06 Feb 2017</p>	<p>Green regular monitoring of district activities Green projections based on performance</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>
<p>Operation, maintenance and replacement of key infrastructue (Waste) Operation, maintenance and replacement of key infrastructue</p>	<p>Inherent status: 9 Low Current status : Risk owner: Annette Dentith Accountable officer: David Whitton Last review: 06 Feb 2017</p>	<p>Green maintenance undertaken as part of contracted service Green contingency delivery points in place for most sites Amber capital funding of new infrastructure</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: David Whitton 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>Pplan Resilience</p> <p>The bespoke nature of Pplan and its ongoing maintenance and upkeep reliance on a single member of staff. The consequences to the delivery of the capital programme should the data base fail.</p>	<p>Inherent status: 12 Medium</p> <p>Current status :</p> <p>Risk owner: David Whitton</p> <p>Accountable officer: Chris Dyer</p> <p>Last review: 20 Feb 2017</p>	<p>Amber Provide succession plan to train an alternative member of staff to take over key tasks with aim of being capable managing the data base within a two year time line.</p>

Appendix C: Corporate Services Risk Register

Risk details	Status and Risk owner	Mitigating controls
<p>HR: Health and Safety Failure to deliver our statutory service delivery duties and legal obligations in respect to health and safety requirements. This leads to reputational and service delivery impact and costs.</p>	<p>Inherent status: 30 Very high Current status : 12 Medium Risk owner: Simon Bates Accountable officer: Jacky Wilson Last review: 18 Oct 2016</p>	<p>Green Health & Safety Management Audit Systems Green Policies, procedures and risk assessment Green Provision of Competent Advice via the Devon Health & Safety Service Green Consultation and monitoring arrangements Green The Annual Health Safety and Wellbeing Report Green Workforce Wellbeing</p>
<p>HR: Employee Services: System Failures System failure due to technical problems may result in employees not being paid on time or accurately</p>	<p>Inherent status: 16 High Current status : 12 Medium Risk owner: Wendy Smith Accountable officer: Jacky Wilson Last review: 20 Oct 2016</p>	<p>Green Proactive controls Amber HRMS Project Green Collaborative working Green HR and ICT Business Continuity Plans Amber Review of hardware and implementation of changes to processor</p>

Risk details	Status and Risk owner	Mitigating controls
<p>HR: Workforce and Succession Planning</p> <p>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</p> <p>Current status : 12 Medium</p> <p>Risk owner: Helen Marsh</p> <p>Accountable officer: Jacky Wilson</p> <p>Last review: 05 Dec 2016</p>	<p>Green HR Strategy</p> <p>Green HR Redundancy and Turnover Management Strategy</p> <p>Amber HR Dashboard</p> <p>Green Communication and cross working</p> <p>Amber Workforce Planning roll-out</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 it's duties in respect of tax legislation.</p>	<p>Inherent status: 18 High</p> <p>Current status : 12 Medium</p> <p>Risk owner: Martin Oram</p> <p>Accountable officer: Mary Davis</p> <p>Last review: 14 Feb 2017</p>	<p>Completed Establish a review group</p> <p>Amber Review existing contractual arrangements</p> <p>Green Communication</p> <p>Amber Assess financial impact and issues</p> <p>Amber Review policies and procedures, alongside dealing with workflow issues</p>
<p>HR: Employee Services Safer Recruitment</p> <p>Failure to appropriately identify safeguarding issues during the recruitment process</p>	<p>Inherent status: 25 Very high</p> <p>Current status : 10 Medium</p> <p>Risk owner: Wendy Smith</p> <p>Accountable officer: Jacky Wilson</p> <p>Last review: 13 Feb 2017</p>	<p>Green Policies, procedures and risk assessment</p> <p>Green Provision of DCC safer recruitment team</p> <p>Green Dealing with agency appointments</p>

Risk details	Status and Risk owner	Mitigating controls
<p>Disruption to DCC services (business continuity) The impact of an incident, internal or external, causing disruption to DCC services.</p>	<p>Inherent status: 12 Medium Current status : 9 Low Risk owner: Keith Reed Accountable officer: Nicola Channon Last review: 25 Jan 2017</p>	<p>Green Business continuity plans (BCPs) Amber Business Continuity plans for Social Care Green Exercising Completed Reminders to review Green Regional and local cooperation</p>
<p>HR: Industrial Relations Climate Developments at local, regional or national level might impact upon the industrial relations climate, particularly the relationship with the recognised trade unions. Industrial action leads to both short term impact, i.e. inability to provide services due to strike action by employees and may also have a longer/wider ranging impact on the local industrial relations climate</p>	<p>Inherent status: 12 Medium Current status : 9 Low Risk owner: Helen Marsh Accountable officer: Jacky Wilson Last review: 13 Feb 2017</p>	<p>Green Management of Employee Relations</p>
<p>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.</p>	<p>Inherent status: 15 High Current status : 8 Low Risk owner: Andrea Owen Accountable officer: Jacky Wilson Last review: 24 Jan 2017</p>	<p>Amber Produce a single Policy and guidance Amber Improved Policing Amber Monitoring by the Leadership Team Amber No engagements without an approved value assessment Amber No re-engagements or contract extensions without re-assessing value and approval requirements</p>
<p>HR: Employment and Local Government Legislative Changes The way the council deploys, manages and rewards its staff is shaped in part by the legislative framework within which DCC has to operate. This includes general employment, HR policies, health and safety and equality legislation but also local government specific legislation such as the Equality Duty, the annual Pay Policy Statement and the Data Transparency Code. It includes government decisions like the introduction of the National Living Wage and Government consultations, such as those relating to Exit Payments. The HR Strategy will help DCC to plan for these changes.</p>	<p>Inherent status: 12 Medium Current status : 6 Low Risk owner: Helen Marsh Accountable officer: Jacky Wilson Last review: 13 Feb 2017</p>	<p>Green Responding to Government consultations Green Monitoring legislative/policy changes Green Updating Pay Policy Statement/Data Transparency Code</p>

Risk details	Status and Risk owner	Mitigating controls
<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: Nicola Allen 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>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 : Overdue Risk owner: Angie Sinclair 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>