

RISK MANAGEMENT

Report from Corporate Risk Management Group

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

1. Recommendations

The Audit Committee is requested to NOTE the following ANNUAL REPORT on Risk Management and consider the robustness of existing arrangements.

2. Introduction

There is a tangible value from good risk management practice in the current economic and political climate. Not only does it help to minimise waste and inefficiency, it also helps prevent serious financial losses which could arise from failures of corporate governance such as fines imposed by the Information Commissioner's Office (sometimes in excess of £100K) and legal costs of fighting lengthy court cases as more people are using the judicial review process to attempt to overturn council decisions on budget and finding reductions.

This annual report seeks to provide information on the scope and effectiveness of the systems established by the organisation to identify, assess, manage and monitor financial and non-financial risk. It is important that our risk management arrangements are viewed in the context of the general risk environment prevailing upon local authorities and the key issues that are affecting other organisations at the present time.

A study on behalf of AIRMIC (the Association of Insurance and Risk Managers in Industry and Commerce) of 18 high profile corporate crises of the last decade identified the key lessons associated with the failure to prevent each crisis and thereafter manage the consequences. The most recent case of failure of corporate governance that has been highlighted in the media concerns News International. Such failures are not restricted to the world of business, e.g. Doncaster Council in 2010.

The failures that gave rise to each crisis were analysed and seven key issues emerged, described in the report as the underlying risks that caused the crises. In summary, these underlying risks arise from:

- Board risk blindness
- Failure of Non Executive Directors (NEDs) to exercise proper oversight (NEDs equate to Members in a Local Authority setting)
- Inadequate leadership on ethos and culture
- Defective internal communication
- Risks from organisational complexity and change
- Risks from incentives
- Failure to manage the 'risk glass ceiling' which exists between the board and operations.

It was, however, risk blindness and the associated 'glass ceiling'¹ that emerged as the most consistent threat. This can be described as boards not seeing – or choosing to ignore – vital risk information to be found elsewhere in their organisations.

Of the factors affecting Local Authorities the impact of the world financial crisis has led to greatly reduced funding streams that have in turn led to considerable organisational change with the adoption of new business models, trimmed down management capacity and reduced transparency that create the potential to expose the Council to several of the risks stated in the report.

3. Risk Management Strategy

During 2011 a new Risk Management Strategy was adopted and an action plan mapped out intentions for when improved risk management approaches would be implemented. Those parts of the action plan that have been delivered and the actions for the next year are summarised in Appendix 1.

One key piece of work that was delivered was in refreshing the risk management e-learning course to bring it up to date by inclusion of the latest approaches introduced in the current Strategy. All existing risk owners have been asked to bring their knowledge up to date by undertaking the updated course. At the present time the course has been taken by roughly 45% of risk owners.

It is intended to develop and offer a risk management briefing for Members during the coming year.

The current risk management governance structure as provided in Appendix 2 shows the communication routes by which risks are escalated and lowered between corporate and service risk registers as well as the relationship with Members.

4. Risk Registers

A copy of the full Corporate Risk Register is provided with this report as Appendix 3 with a dashboard summary as Appendix 4. There has been no change in the basket of risks included in this register while there has been a reduction in the risk level attributed to Health, Safety and Welfare. There is clear evidence of management of the mitigations with a number of completed tasks, several new and changes in the RAG (red, amber, green) assessments of the existing controls.

The organisational restructure that has been under way since 2010/11 has necessitated a redistribution of the ownership of risks in the Council's risk registers with new ways of working and changes in service delivery resulting in some risks no longer being relevant. Thus ongoing reviews of registers have weeded out those outdated risks while seeking to continue to maintain up to date registers during this period of change.

Corporate Risk Management Group has maintained an oversight of the risk review process which has helped to improve the timeliness of risk reviews; reducing the total

¹ The 'glass ceiling' includes risks arising from the inability of risk management and internal audit teams to report on and discuss, with both executive and non executive directors, risks emanating from higher levels of their company hierarchy, including risks from ethos, behaviour, strategy and perceptions.

number overdue at any time by more than a half. There is likely to be continuing disruption due to restructure until the new governance structures are embedded. There are a number of services still to undertake a complete review of the risks following changes to service structure affecting them in order to produce registers that list all of their current significant risks.

5. New Ways of Working

The Audit Commission published a briefing in April 2012 intended to help those involved in commissioning and improving local services to understand what Payment by Results (PbR) entails; whether it is right for their circumstances; whether it is likely to deliver what they want; and how to avoid pitfalls. A key approach of all PbR schemes is to allow commissioners to transfer practical and financial risk to providers. By linking payment to defined results, commissioners ensure they do not pay for poor performance. It is not possible to transfer all risk – reputational, practical or financial. Commissioners need to understand the extent to which risk will transfer and how to mitigate those risks that remain. It is essential to consider what would happen if the scheme fails, or only partially succeeds, or succeeds too well (for example, the payments might appear too generous in retrospect).

During 2011 the Council introduced a risk management approach for new ways of working to provide managers with guidance on assessing the risks of any alternative business model under consideration.

6. Emerging fraud risks

The Audit Commission conducted surveys to collect the opinions of counter-fraud and senior finance officers on emerging fraud risks. These were published in Protecting the Public Purse with Councils reporting the following significant risks in 2010/11:

- the expansion of personal budgets in social services;
- the impact of the current economic climate putting more pressure on individuals' finances and tempting people to commit fraud;
- reduced staff numbers, which may weaken councils' internal controls;
- and fraudsters abusing the expenditure information that councils are now asked to publish, in order to defraud local public bodies

Risk impacts associated with a potential collapse of the Euro have been scoped out and will be reported to Corporate Leadership Team with a recommendation that the risk be included in the Corporate Risk Register. Work is also under way to scope out risks associated with Welfare reform.

7. Reports from areas of risk specialism and service delivery

Corporate Risk Management Group (CRMG) receives annual reports from managers representing key areas of risk control in the Council including finance and internal audit, insurance, emergency planning, information governance and health, safety & welfare. These were summarised to the Audit Committee in the report from CRMG in December 2011 when no significant issues were arising.

At quarterly meetings CRMG receives update reports from People, Place and Corporate Services providing insight into changes in the portfolios of significant risks. This approach provides a means of ensuring that those most significant risks can be flagged up for

inclusion in the Corporate Risk Register and that diminishing risks can be maintained within the appropriate service level risk registers. This process also provides assurance that risks are being actively managed and a communication channel with a number of benefits including mitigation against the potential of risks being overlooked.

John Smith
Head of Service, Services for Communities

Local Government Act 1972

Electoral Divisions: All

List of Background papers:

Appendix 1: Risk Management Action Plan

Appendix 2: Diagram of the risk management governance structure

Appendix 3: Corporate Risk Register 2012-13

Appendix 4: Risk Dashboard - Corporate Risk Register - June 2012

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Appendix 1: Risk Management Action Plan

- For delivering the Risk Management Strategy 2011 - 2015

Actions completed in 2011/12

Topic	Action	2011/12	Progress
Risk Appetite	Review Corporate risk matrix, consult Finance over impact thresholds.	Completed: June 2011	Risk matrix has been updated with improved descriptions of levels and adjusted financial levels. Matrix republished in SPAR.net Online Help Centre and all guidance materials.
Risk Registers	Develop guidelines to support movement or risks between registers to keep the risks under the eyes of the appropriate levels of management	Completed: July 2011	Established at Cabinet/CLT and Audit Committee July 11 that CRR and risk dashboard will only show high and very high risks.
Risk Reporting	Promote a more focused approach to reporting of risk by exception	Completed: October 2011	Risk Scorecard report developed and introduced within Guidance for Managers. In use by Programme Devon.
	Develop indicators to provide early warning of the potential failure of risk management	Completed: March 2012	Indicators developed to monitor overdue reviews of risk register and uptake of e-learning.
Risk Governance	Ensure that the risks of the current organisational change programme (Programme Devon) are managed in a consistent, effective and proportionate way in accordance with the new Strategy	Completed: May 2011	21 April 2011 - Risk appetite explored at meeting of Programme Devon team and new Risk Scorecard in use within programme risk log
	Review CRMG membership and Terms of Reference	Completed: June 2011	Approved at CRMG meeting Sept 11 as part of policy re-fresh

Topic	Action	2011/12	Progress
Risk Awareness	Consider integrating risk management skills into the competency framework	Completed: Dec 2011	Risk Management is already part of the appraisal process; a new e-learning package has been developed to be included in the DCC induction package and added to personal development plans
	Ensure all guidance material is up to date and easily accessible online	Completed: Dec 2011	Guidance on the Source all refreshed and in line with new Strategy. New e-learning package has been developed, with MCQ test and certificate.
	Add a prominent 'Frequently Asked Questions' section to the Devon Way for Risk Management pages on The Source	Completed: June 2011	FAQ page set up within the updated web pages of the Devon Way for Risk Management on the Source. Additional material will be added over time.
	Explore potential for briefings/surgeries/workshops	Completed: Mar 2012	Ad hoc issues of Risk Spotlight published on the Source. Further articles will be published on the Source / in Insider to highlight particular risk topics according to changes in the risk environment.
	Ensure that risk management is embedded in the commissioning process	Completed: June 2012	Risk Management guidance for managers produced and included in the Future Service Delivery Models strategy

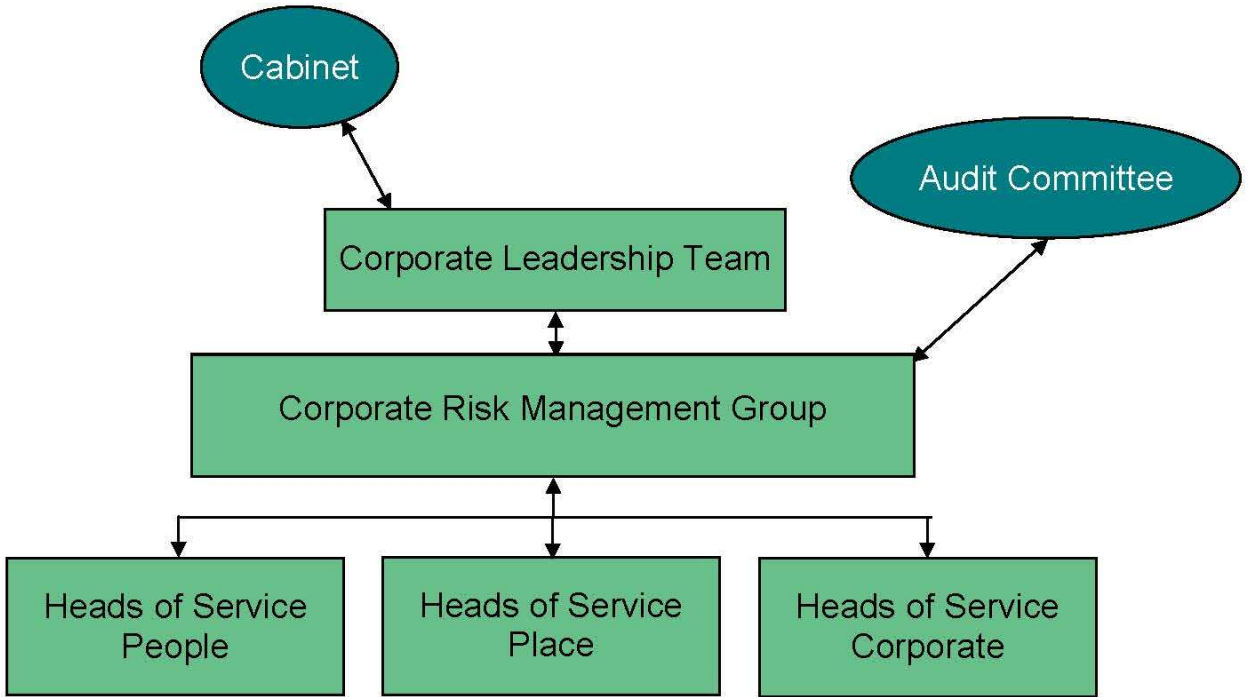
Actions for 2012/13

Topic	Action	Progress
Risk Appetite	Establish guidance for acceptable risk levels in appropriate areas	June 2011 - Risk appetite explored at meeting of Cabinet/CLT
	Explore the opportunity to improve our risk management through the development of a formal risk appetite statement	Start on this deferred to allow general concept of risk appetite to become embedded on a risk by risk basis during risk reviews in the first year, focussing on Corporate Risk Register.
Risk Response	Develop a means for risk owners to account for cost-effectiveness in the choice of control measures to enable proper scrutiny	
Risk Reporting	Develop a set of performance measures to demonstrate the benefits of risk management	Indicators to be developed in discussion with peers and partners. Will need review due to cancellation of membership of Alarm.
	Establish benchmarking with other local authorities	Indicators to be developed in discussion with peers and partners. Will need review due to cancellation of membership of Alarm.
Risk Governance	Ensure that partnership governance arrangements for risk management are consistent and embedded across the Council	Guidelines agreed by Cabinet during 2011. Responsibility for implementation is with Heads of Service. Risk management leads to report on best practice and compliance to CRMG at quarterly meetings.

Business as usual tasks

Topic	Action	Progress
Risk Registers	Record strategic, operational, project and partnership risks in our risk registers and consider the top risks from each to form the Corporate Risk Register for the direct attention of senior leadership	Risk dashboard in use for Corporate Risk Register
	Continue to ensure that risks are articulated consistently and clearly on all risk registers, using plain English at all times	Responsibility of Risk Owners; compliance to be monitored by CRMG.
Risk Awareness	Organisation Development team to offer support and advice on risk assessments and risk reviews	Leading on development and implementation of approaches set out in the Risk Management Strategy

Appendix 2: Diagram of the risk management governance structure





Corporate Risk Register

Report for FY 2012-13

Filtered by Prefix: Include Risk Prefix: CRR

Not Including Management Actions records, Including Mitigating Control records

Key to Performance Status:

Mitigating Control:	Review overdue	Red	Amber	Green	Completed
Risks:	Review overdue (0+)	Very high (20+)	High (12+)	Medium (8+)	Low (1+)

Corporate Risk Register

Risk: Rising Energy Costs

Risk Code: CRR 16

Failure to prevent an increase in energy costs that will result from rising prices and the mandatory purchase of carbon allowances.

Impact: There are financial risks to the authority of up to £3 million on an annual basis by 2020 if energy efficiency measures are unsuccessful at reducing DCC's CO2 emissions by 2.1% per annum. These costs arise from the purchase of carbon allowances that are mandated by the Carbon Reduction Commitment Energy Efficiency Scheme and also through a possible rise in energy costs of 30% by 2020.

If energy efficiency measures are successful, cumulative financial savings between 2008 and 2020 on energy bills and carbon allowances will total approximately £17 million. On an annual basis the cost of energy and carbon allowances will have increased from approximately £9 million currently to £13.1 million by 2020.

There is also a reputational risk if DCC fails to make demonstrable progress on reducing its greenhouse gas emissions in comparison with other large public and private sector organisations.

Historical Context & Likelihood: Climate change, resource efficiency and a low carbon economy are very much in the public eye at present. DCC as community leader has a well developed track record in taking action on climate change. The UK Government has committed to reducing emissions of CO2 and other greenhouse gases by 80% by 2050 to encourage the international community to commit to avoiding the worst effects of climate change. This is a legally binding target agreed as a consequence of the Climate Change Act 2008. DCC adopted its climate change strategy – A Warm Response – in 2005 and signed the Nottingham Declaration on Climate Change. In addition we will be part of the Carbon Reduction Commitment Energy Efficiency Scheme from April 2010 in which DCC will trade carbon allowances with other large organisations in the UK.

Reducing DCC's CO2 emissions requires political and senior management commitment combined with a programme of CO2 mitigation projects that will reduce CO2 emissions from property (inc. schools) and the organisation's travel requirements.

Inherent Status: High (16)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 4 - Likely

Current Status: High (16)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 4 - Likely

Accountable Officer: Dave Black

Risk Owner: Doug Eltham

Service: Environmental Policy

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Carbon Reduction Commitment Energy Efficiency Scheme	The CRC EES was a mandatory carbon trading scheme. Following alterations to the scheme by the coalition government, it has now become a carbon tax. Participants purchase allowances to cover their estimated carbon emissions in any one year. The cost of the allowances is forecast to escalate.	Ian Bateman	01/04/2010	23/01/2012
Amber	Collaborative Low Carbon Schools Service	With assistance from the Carbon Trust, the Collaborative Low Carbon Schools Service will enable DCC and schools to work together to reduce carbon emissions and energy costs. Engaging initially with a pilot group of schools, the service will then develop the capability to roll out support to all schools.	Pauline Warner	21/07/2011	23/01/2012
Amber	DCC Carbon Management Programme (CMP)	The CMP is a rolling programme of energy efficiency & awareness raising measures that aims to reduce CO2 emissions by 2.1% each year from DCC's corporate estate. Quarterly reports are provided to the Climate Change Board.	Ian Bateman	01/10/2009	23/01/2012
Amber	DCC Climate Change Strategy – A Warm Response	A Warm Response sets out the strategic approach to climate change adaptation and mitigation, supported by internal and external communications and marketing.	Ian Bateman	01/10/2009	23/01/2012
Green	Greenhouse Gas Emissions Reporting	The Department for Energy and Climate Change requires an annual report of DCC's greenhouse gas emissions (comprising a basket of greenhouse gases, not just carbon dioxide). This enables DCC to see how its total carbon footprint is changing each year.	Doug Eltham	20/04/2010	23/01/2012
Green	Integrated Impact Assessment Tool	An Impact Assessment Tool has been produced to ensure the future sustainability of DCC's projects and decisions. The tool includes the consideration of the impact of weather and climate change on the project/decision and the impact of the project/decision on greenhouse gas emissions. The tool has been endorsed by CLT, has been piloted, and is now being promoted throughout the organisation.	Doug Eltham	11/10/2010	23/01/2012
Completed	Local Area Agreement World Class Environment Priority 5	A suite of projects to reduce community carbon emissions.	Pauline Warner	28/04/2010	23/01/2012

Review Note: Following the restructure of Planning, Transport and Environment, it is proposed that the Carbon Management Programme is continued by Rob Parkhouse's service area in close partnership with NPS.

A decision is expected from Programme Devon on this in late January.

Corporate Risk Register

Risk: Transforming Community Services (TCS)

National requirements within the NHS mean that the current delivery model for older people & disability social care services is at risk with the existing integrated management arrangements not able to continue in their current organisational form. The local authority will need to determine its preferred response to the change which carries significant business continuity risks in the largest business area of the directorate. This was initially Directorate Risk DRR031, but was moved to a Corporate Risk in December 2010.

Risk Code: CRR 22

Impact: The change will result in a change to current management arrangements with responsibilities and accountability transferring to a single accountable provider(s) or the need to establish and implement a social care management structure by 31 March 2011.

Historical Context & Likelihood: This forms part of NHS changes under 'Transforming Community Services' and the requirement for NHS Devon to divest themselves of directly provided NHS services.

Inherent Status: Very high (20)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 5 - Almost certain

Current Status: High (16)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 4 - Likely

Accountable Officer: Tim Golby

Risk Owner: Tim Golby

Service: Adult Services

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Children's Services	Children's Service now being considered under joint procurement exercise.	Tim Golby	11/07/2011	11/01/2012
Green	Programme Devon Board	Programme Devon Board to be made aware of activity and organisational risk to service delivery.	Tim Golby	10/01/2011	11/01/2012
Green	Senior representation and contingency planning	Senior representation on Executive bodies to influence decision making and contingency planning for a range of scenarios.	Tim Golby	20/09/2010	11/01/2012

Review Note: Children's Services Commissioning Group meeting regularly with Head of Service representation from Commissioning and Provider services. This is a current issue with a provisional process in place with a decision timeline of July 2012. Strategic framework for Adult Services to be refreshed to reflect revised inter-agency commissioning has a time-line of 2 years. Resources to be identified within Programme Devon to support future TCS activity. Cabinet Member receiving ongoing briefings on commissioning options for integrated Children's Services. This risk includes major organisational changes with big impacts upon how DCC works, together with outside factors that cannot be controlled. Therefore the risk remains at High.

Corporate Risk Register

Risk: Flood Risk Management Devon County Council is the Lead Local Flood Authority as defined under the Flood And Water Management Act 2010 and as a consequence is responsible for managing the risk of local flooding from surface runoff, groundwater and ordinary watercourses. **Risk Code: CRR 17**

Impact: Prolonged rainfall and intense storm events increase the risk of flooding and the effects of climate change will further increase the likelihood of an event occurring. The major impact of flooding is the damage to properties and businesses and the trauma suffered by the occupiers. All flooding events cause destruction and devastation to properties, businesses and infrastructure and result in major disruption and large financial losses to owners and public services. The average cost to a home being flooded is between £20,000 and £30,000. As an example the devastating floods of summer 2007 cost a total of £3.2bn nationally, according to the EA, including more than £2bn in costs to homeowners and businesses. The losses incurred by public services accounted for over 12% of the total cost of the floods; which was in the order of £380m and includes infrastructure, emergency services and highway communications. A further 9% of costs (£287m) was also considered for public health issues including distress, impact on education and fatalities.

Historical Context & Likelihood: In recent years the country has experienced a number of major incidents that have reached the National headlines including, Tewksbury, Cokermonth, Carlisle and Boscastle. In Devon flooding has also been experienced at many locations including Dawlish Warren, Ottery St Mary and Harbertonford. According to available records there have been at least 31 significant flooding events in the past 40 years that have caused flooding to 5 or more properties. Four of these events have flooded over 100 properties. Flooding can occur from prolonged rainfall during wet winter months, from flash floods during the summer months or as a result of a blockage or other restriction from the flows of surface runoff, groundwater, open watercourses or the tide. The risk of flooding occurring is there at all times and is based on the probability of such an event occurring at that location. It is therefore not possible to predict a frequency of flooding events. DCC's flood risk assessments and local strategy will identify those areas at greater risk of flooding. A number of factors contributing to the risk can be reduced with effective management of the drainage paths and systems. Devon County Council is ranked number 8 nationally with 43,752 properties at risk of flooding from surface runoff. The risk of flooding is expected to rise due to the effect of climate change which could increase the number of properties at risk, unless essential mitigation measures are delivered.

Inherent Status: High (15) **Inherent Risk Impact: 5 - Catastrophic** **Inherent Risk Likelihood: 3 - Possible**

Current Status: High (15) **Current Risk Impact: 5 - Catastrophic** **Current Risk Likelihood: 3 - Possible**

Accountable Officer: Dave Black **Risk Owner: Martin Hutchings** **Service: Strategic Planning**

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Completed	1. DCC Response to Pitt Review: A (this has now been superseded by the new Act)	To consider the recommendations made in the Pitt Report in relation to flood risk management, development and resilience and the implications on DCC.	Peter Chamberlain	16/11/2009	07/03/2012
Completed	2. DCC Response to Pitt Review: B	To consider the recommendations made in relation to Warning Procedures (before an event), Emergency Procedures (during an event) and Recovery Procedures (after an event) Previously tested and refined to deal with emergency situation.	Peter Chamberlain	16/11/2009	07/03/2012
Green	4. Devon, Cornwall and IoS local resilience forum (LRF) - response arrangements	Response arrangements in place to respond to a major emergency e.g. significant flood event. Coordinated by Police, includes actions by the emergency services, LAs (inc. DCC) and related organisations.	Simon Kitchen	25/11/2009	07/03/2012
Green	5. DCC - Contribution to Multi-Agency Flood Response	1. Flood Event Management Preparation and Warning Procedures including cascading messages to partners. 2. Emergency Procedures (during an event). 3. Recovery Procedures (after an event). 4. Regular testing and maintenance of procedures.	Simon Kitchen	12/12/2011	07/03/2012
Green	7. DCC Responsibilities as LLFA under Flood Regs 2009 and FWMA 2010	Requirement to complete Preliminary Flood Risk Assessment (PFRA) by June 2011. For review by June 2017.	Martin Hutchings	12/12/2011	07/03/2012
Amber	8. DCC Responsibilities as LLFA under Flood & Water Management Act 2010	1. Duty to Investigate Floods; 2. Duty to Maintain an Asset Register; 3. Duty to Produce a Local Flood Risk Management Strategy; 4. Power to Designate an Asset; 5. Power to Carry out Works. 6. Duty to Provide Consent on Ordinary Watercourses; 7. Power to take enforcement action for maintaining flow in ordinary watercourses and 8. Duty to provide a SuDS Approval Board for the approval and adoption of SuDS.	Martin Hutchings	06/03/2012	07/03/2012
Amber	9. General Mitigation Measures	Efficient maintenance of drainage networks, infrastructure, overland flow paths and open watercourses will assist in reducing the risk. Capital investment of flood defences will protect properties, businesses and critical infrastructure that are at risk of flooding.	Martin Hutchings	06/03/2012	07/03/2012
Amber	9. General Mitigation Measures	DCC's Local Flood Risk Management Strategy will determine roles and responsibilities of all Risk Management Authorities (Environment Agency, County Highways, District/Borough Councils, Internal Drainage Boards and Water Companies) to ensure required mitigation measures are delivered.	Martin Hutchings	06/03/2012	07/03/2012

Review Note: Having spoken and liased with Flood Risk Manager Martin Hutchings, mitigating controls have been updated in line with current legislation.

Corporate Risk Register

Risk: Residential Care Home Compliance

Risk Code: CRR

DCC residential care homes are at risk of not complying with CQC standards of care. This could be attributed to: inadequate investment in infrastructure and fabric, staffing restructures, capacity and level of training, inability to recruit effectively and changes to CQC inspection process (with a move to evidence based assessment).

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Impact: This could lead to safeguarding and welfare issues for residents, enforced notices and/or home closures which would also lead to high levels of media interest and reputational damage. There are also financial implications for both re-housing displaced residents and also due to possible litigations.

Historical Context & Likelihood: Over the last 4-5 years, DCC has tried to move its in-house residential units to external providers. During this period there has been minimal investment in the fabric of buildings and the maintenance backlog is large. A recent staffing restructure at the end of 2010 has resulted in changes in responsibilities, streamlining of shifts etc. This has left some gaps in staffing levels, and recruitment has proved difficult. Therefore a heavy reliance on temporary and agency staff has occurred, accompanied with the additional expenditure for this type of the workforce. Initial inspections by CQC of seven care homes in early 2011 resulted in major concerns arising and a press release from the CQC. If mitigations are not in place, the impact and likelihood of the risk will increase.

Inherent Status: Very high (25)

Inherent Risk Impact: 5 - Catastrophic

Inherent Risk Likelihood: 5 - Almost certain

Current Status: High (15)

Current Risk Impact: 5 - Catastrophic

Current Risk Likelihood: 3 - Possible

Accountable Officer: Jan Ingram

Risk Owner: Jan Ingram

Service: Adult Services

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Compliance visits	Intensive assessment visits undertaken across all homes against CQC outcomes. Project to complete in February 12 with final report	Tracy Patfield	30/01/2012	30/01/2012
Amber	New compliance officer posts	One in post, another to begin March 12	Tracy Patfield	30/01/2012	30/01/2012
Green	Peer Review	Completed across 7 homes. Feedback session held. Final report to QUIB early February. Decision to be taken at QUIB about future roll out	Tracy Patfield	30/01/2012	30/01/2012
Green	Quality Improvement Board (QUIB)	Project run from 1 May 2011 to ensure quality and compliance is improved amongst 24 in-house residential homes and 4 units which provide LD respite. Meets monthly. Chaired by strategic commissioning	Malcolm Vede	19/07/2011	30/01/2012
Green	Whole Service Improvement Plan	The Plan results from Compliance Assessments and is monitored monthly by the AD and operations management team - progressed on a basis of continuous improvement.	Malcolm Vede	27/10/2011	30/01/2012

Review Note: Exebank remains temporarily closed, reducing the number of in-house units from 28 to 27. All units have undergone a comprehensive audit of compliance against CQC standards of care, and have individual improvement plans in place. Resource managers are responsible for monitoring individual performance plans with Unit Managers. The Peer Review pilot in 7 homes has confirmed the same compliance areas requiring attention as the Compliance Assessments. Action is in place to improve them and being reported through QUIB. The Whole Service Improvement Plan picks up all generic improvement activity including issues of maintenance and health & safety. The AD is accountable for delivery of the plan which is monitored monthly by the operational management team and reported to QUIB. No homes are on CQC 'at risk' listing. CQC inspections in this quarter have resulted in compliance, with minor concerns in one home. Risk remains at 15 with the likelihood of non-compliance reducing, but possible.

Corporate Risk Register

Risk: Extreme Weather

Risk Code: CRR 18

Risk from heavy rainfall, high winds, snowfall, hail and ice. (Excludes flooding - See CRR 17 Flood Risk)

Impact: There are two significant impacts:

1. On citizens for whom the Council has a responsibility under Emergency Planning,
2. On the highway network due to degradation of the infrastructure.

Historical Context & Likelihood: Devon has historically suffered from extreme weather. Over the winters of 2008/09 and 2009/10 severe rainfall was experienced along with prolonged spells of ice and snow. Apart from extensive flooding (see separate risk) the snow and frequent ice events not only led to disruption to the highway network but subsequently resulted in severe damage to the network.

Having two severe winters in succession has worked against risk control measures. There has been unprecedented damage to highway surfaces resulting in a large number of potholes. The Council has increased resources to deal with this and work is underway and being tracked through computerised routine maintenance system.

In a 5-year time scale there is an even chance of a significant event occurring.

Inherent Status: High (16)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 4 - Likely

Current Status: High (12)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 3 - Possible

Accountable Officer: Lester Willmington

Risk Owner: Chris Cranston

Service: Transport Asset Management

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	DCC Severe Weather emergency plan	General response arrangements for severe weather events, e.g. snow; - pinch points on highways network & care arrangements (Rest Centres) reviewed Dec 2011 (D.M-B - resources at Rest Centres to cater for stranded motorists	Simon Kitchen	25/11/2009	05/01/2012
Completed	DCC Winter Service and Emergency Plan 2011/12	This document describes how DCC receives warnings and what action is taken to deal with severe weather events. Reviewed and published Oct 2011 with 37 primary salting routes following a route optimisation process. Policy changes agreed by Cabinet in November and include improved safety procedures for gritter drivers. Some changes to salting network. Snow Warden scheme developed to improve local resilience at parish level with free salt available to parishes and more grit bins installed.	Chris Cranston	12/11/2009	05/01/2012

Review Note: Winter mild so far but severe winter weather risk remains. Storms continue

Corporate Risk Register

Risk: Safeguarding - Adults

Risk Code: CRR 21

Risk of failure of the duty to care for vulnerable adults including compliance with MCA and DoLS.

Impact: The impact could be: deaths, significant harm, neglect, abuse of vulnerable adults. Reputational risks in relation to the public, media, political and regulators (CQC) assessment of DCC's performance could all arise through failures to protect vulnerable adults. There would be a financial risk, with the possible increase of serious case reviews having an impact on budget and staff resources.

Historical Context & Likelihood: DCC has the lead for all agencies in Devon. Awareness of issues is rising nationally and is a focus for regulators CQC and Audit Office. Failure or shortcoming in services provided or commissioned or response to concerns in partner organisations all need to be considered. There were 1306 safeguarding Adults Alerts in 2010/2011 a 7% increase upon 09/10 figures. Significant improvements continue to be made to the process of safeguarding adults in Devon which has improved management and investigation of alert, capability and capacity, but there is a need to prioritise prevention through ensuring quality of services provided and commissioned. Duties under Mental Capacity Act and Deprivation of Liberty Safeguards - DLS, include carrying out complex statutory assessments within statutory time scales. This requires the availability and deployment of specially trained and qualified staff. Rates of applications for DLS assessments are increasing in line with government expectations and other LAs.

Inherent Status: Very high (20)

Inherent Risk Impact: 5 - Catastrophic

Inherent Risk Likelihood: 4 - Likely

Current Status: High (12)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 3 - Possible

Accountable Officer: Rory McCallum

Risk Owner: Paul Grimsey

Service: Adult Services

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Improve reporting on outcomes of safeguarding investigations	Data on outcomes reporting has been incomplete, new recording and reporting processes and guidance have been developed to improve information available on outcomes on safeguarding investigations.	Paul Grimsey	13/01/2011	31/01/2012
Amber	Mental Capacity Act and Deprivation of Liberty Safeguards action plans	Action plans will continue to be lead and coordinated by the Safeguarding Adults Team and the MCA sub group of the Safeguarding Adults Board	Paul Grimsey	27/04/2011	31/01/2012
Amber	Monitoring by SLT	Quarterly reports to senior management and additional reporting to the multi agency safeguarding adults board.	Paul Grimsey	30/06/2009	31/01/2012
Amber	Safeguarding adults board business plan	A multi agency plan to coordinate and develop safeguarding adults work across agencies in Devon.	Paul Grimsey	13/01/2011	31/01/2012
Amber	Safeguarding adults team business plan	To coordinate and develop safeguarding adults services provided by Devon CC (ACS).	Paul Grimsey	13/01/2011	31/01/2012

Review Note: Monitoring continues by Safeguarding Team and Safeguarding Adults Board and by the Head of Child & Adult Protection. The complications caused by the new national data reporting requirements are beginning to be resolved. Safeguarding alerts and complex whole service investigations continue to increase, fuelled by increasing media attention to high profile safeguarding adult's cases. A number of recent particularly complex and high-profile cases and the continuing increase in alerts and DoLS applications continue to present some resource pressure on specialist staff within Safeguarding Team and Community Social Care teams and Business Support. A separate risk to monitor non-compliance of MCA is now on the service group risk register. The Safeguarding Adults Board has a new independent chair and the Board are currently reviewing their business plan. The team has had a temporary increase in resources to manage demands mentioned above. Agreement for next year's budget to see if this resource will continue will be decided after April. Therefore the risk should remain at Medium (12)

Corporate Risk Register

Risk: Safeguarding - Children and Young People

Risk Code: CRR 29

Risk of failure of the duty to care for children and young people.

Impact: Deaths, unexplained/ accidents/ deliberate; Injuries, serious/minor; Personal Harm; Bullying; Self-harm.

Increased responsibilities and accountabilities for LA and it's partners in safeguarding children and young people along with high profile cases such as Baby Peter present significant risk for the potential of loss of reputation of DCC along with the impact of inadequate safeguarding practices on Devon's annual rating. Possible cost implications of legal proceedings should cases be taken to court.

Inability to recruit qualified social workers / national shortage of social workers / reliance on agency staff - impacts on stability of workforce and growth of expertise of experienced staff.

Workforce development - Insufficient training and CPD to ensure workforce appropriately skilled to meet requirements of 21st century safeguarding / social work practice.

ICT - poor operating performance of IT systems and the ICS solution impacting on social work time spent with children and families. Failure to access to relevant safeguarding policies / procedures.

Funding pressures being experienced in the context of increasing demand - CIC / CP Plans.

Impact of significant restructuring by key partners; LA, CYPS, PCT has potential to shift focus from primary child protection responsibilities.

Lack of a suitable range of placements for young people, aged 13+, who are often presenting in crisis need for accommodation with challenging and high risk behaviours.

Potential impact of budgetary pressures will lessen the ability of DCC to ensure young people over 18 are "staying put" in placement.

Historical Context & Likelihood: The directorate provide targeted and universal services to children and young people some of which present significant challenges, including behavioural management issues.

Young people through our confidential processes may report safeguarding incidents relating to their own history which require further investigation.

Young People may make allegations about the behaviour of staff members in our services which then require independent scrutiny and investigation.

Staff may be concerned about the conduct of colleagues which requires independent scrutiny and investigation.

Inability to recruit and retain suitably qualified social workers with appropriate skill and capability to meets the needs of the service.

Functionality of Care First and associated working practices as highlighted by the recent Ofsted Report.

Diversity of Schools - Lack of power/mandate/access by LA

Inherent Status: Very high (20)

Inherent Risk Impact: 5 - Catastrophic

Inherent Risk Likelihood: 4 - Likely

Current Status: High (12)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 3 - Possible

Accountable Officer: Rory McCallum

Risk Owner: Chris Dimmelow

Service: Independent Safeguarding & Reviewing Unit

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Care First controls	To form a strategic group to consider the implications and report on actions necessary to resolve the issue Potential increase in Family Care Work numbers plus increased numbers of dual registered fostercare/DYPAS placements. Careful planning with each YP on transition to forecast more accurately their care pathway and ensure adequate resources are available to meet this need.	Dave Simpkins	01/11/2009	22/05/2012
Green	Child Safeguarding training	Regular reporting to DCSF based on set targets around the 5 ECMs. Access for all staff to externally delivered safeguarding awareness and procedural guidance training	Rory McCallum	01/11/2009	22/05/2012
Green	Council has designated front-line social workers exempt from vacancy management	Service prioritisation programme being undertaken. Audited process to ensure other critical posts impacting on safeguarding functions are recruited to. Remodelling of services / deeper integration to ensure safeguarding functions maintained within reducing financial envelope.	Rory McCallum	03/09/2010	22/05/2012
Green	CYPS procedures and practice guidance	Internal policy, procedure & practice guidelines for staff. Hardcopy procedures available to staff on all units & specific flowchart guidance for dealing with incidents. Regular programme of review.	Rory McCallum	01/11/2009	22/05/2012
Green	Development of ICT systems	Development of TRIM / DSCB website / SWCPP to ensure ease of access to relevant guidance. CYPS led ICT Commissioning and development board overseeing ICT improvements / options appraisals	Rory McCallum	02/09/2010	22/05/2012
Completed	DSCB Safeguarding procedures	Multi-agency guidance for the management of multi-agency child and young person safeguarding activity. Web-link to DSCB web-site available.	Rory McCallum	01/11/2009	22/05/2012
Completed	Local Authority Designated Officer (LADO) procedure	Statutory procedure for providing independent specialist advice and guidance following allegations involving staff and others working with children and young people. Multi-agency strategy meetings	Rory McCallum	01/11/2009	22/05/2012
Amber	Prioritisation Programme	DSCB to ensure that child protection requirements remain robust both during and after restructuring process.	Rory McCallum	03/09/2010	22/05/2012
Green	Reg 33 visits; Ofsted visits	Each child in our care has an individual Care Plan subject to independent statutory review chaired by Independent Reviewing Officer at regular intervals determined by statutory guidance	Rory McCallum	01/11/2009	22/05/2012
Amber	Social Worker recruitment arrangements	Rolling programme of recruitment / creation of new CYPS Social Work career structure / TEAM remodelling together with the development of a retention policy.	Rory McCallum	01/11/2009	22/05/2012
Green	Staff training programme and regular updates and guidance	Structured training programme for all staff in relation to internal procedures, including use of restraint and control. Workforce development programme / DSCB training provision / SW improvement fund	Rory McCallum	01/11/2009	22/05/2012

Review Note: Further re-structuring as a consequence of the Munro report will impact upon these risks.
children's Social Care is also due an Ofsted inspection in June 2012.

Corporate Risk Register

Risk: Fail to meet 60% attainment target

Insufficient attention to effective practice and improved performance for all children and in all schools could lead to the County Council missing this target. The Academies Bill, together with the White Paper, 'The Importance of Teaching' can be argued to move the emphasis, (despite the title of the White Paper), away from effective action in the classroom by teachers, to a focus instead on structural change in the education system. Whilst new forms of leadership and types of schools promise much for the future, there is no evidence as yet that these new forms are any more successful in raising educational standards. Indeed to the extent to which they distract schools from a relentless focus on improved learning and teaching, these changes could add to the risk.

Risk Code: CRR 30

Impact: Inconsistent improvements overall, with the result that we miss the 60% attainment target. In 2013 the risk relates to a cohort of approximately 7,600 young people. For each percentage point by which the target is missed, 76 young people risk reduced life-chances. The impacts will be to their employability and earning potential. This poses a risk to the economic development of the county as well as possibly impacts in relation to health and crime, given their links to joblessness and poverty.

Historical Context & Likelihood: Schools will be challenged by budget constraints to effectively provide the tuition and curriculum support needed to deliver this pledge. There are also still areas of inconsistent and outdated educational philosophy and practice around how young people learn, in particular in relation to lifelong and vocational learning.

Grant funding for LA National Strategies Consultants ends in March 2011, and it is these advisors who provide the required focus and challenge for schools.

Current attainment level is 51.6% (academic year 2008/09), an increase of 2.3% from the previous year.

Inherent Status: High (16)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 4 - Likely

Current Status: High (12)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 3 - Possible

Accountable Officer: Jennie Stephens

Risk Owner: David Lowes

Service: Learning & Development Partnership

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Red	Building Schools for the Future (BSF) objective to transform learning for the 21st century.		David Lowes	07/10/2010	15/12/2011
Green	New 14-19 learning pathways.		Julia Foster	07/10/2010	15/12/2011
Green	School Improvement Programme	Identify schools (through the Schools Improvement Programme process) needing to maximise pupil progress, Gaining Ground1 schools (coasting) and schools where performance varies from year to year.	David Lowes	07/10/2010	15/12/2011
Green	Support to schools to develop and employ learning-centred methodologies.		David Lowes	07/10/2010	15/12/2011

Review Note: Risk has not decreased. This is because many schools have now converted to academy. Learners at these schools are 'out of reach' of the LA.

Corporate Risk Register

Risk: Failure to deliver priority services due to inadequate financial planning

Risk Code: CRR 39

Reductions in government funding over the next 4 years have necessitated reductions in local government spending and service provision. DCC has responded by prioritising services and developing a medium term financial plan to deliver savings for 2011-12 to 2012-13. However, there is still further work required to close the gap for 2013-14 and beyond.

Impact: The Council is required to set a balanced budget. Further review of the mechanisms to achieve this is necessary in future years in order to minimise the impact on those who receive services and other stakeholders. A combination of existing measures including proposals to restructure and modernise the way the Council operates as well as developing innovative service delivery models to ensure better value for money, will provide the means to achieve this.

Historical Context & Likelihood: Service prioritisation in 2011-12 has enabled DCC to develop a medium term financial plan which outlines savings to be made during this financial year and 2012/13. Our confidence in developing effective plans to deal with the situation is high. As plans for 2013/14 and beyond are put in place the likelihood and impact scores will both be able to be reduced to reflect the reduction and eventual elimination of the gap for the future years.

Inherent Status: Very high (25)

Inherent Risk Impact: 5 - Catastrophic

Inherent Risk Likelihood: 5 - Almost certain

Current Status: High (12)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 3 - Possible

Accountable Officer: Mary Davis

Risk Owner: Chris Sanders

Service: Devon Finance Services

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Amber	Medium Term Financial Plan	The MTFP provides the means of measuring progress towards the necessary savings and for identifying any outstanding shortfalls in future years to be planned for.	Chris Sanders	21/07/2011	08/05/2012
Amber	Service Prioritisation 2011-12	Service prioritisation provided the opportunity to target various savings through discontinuation or reduction in service delivery and changed future delivery models for others. This provides for substantial savings over the first two years but not into 2013/14 and beyond.	Chris Sanders	21/07/2011	08/05/2012

Review Note: Programme Devon has been wound up subject to review of key outsourcing / significant organisational developments. The MTFP continues to be developed for 2013/14 and will reflect the uncertainty surrounding public finances generally and the imminent changes to the local government financing regime. As a result a risk matrix has been developed to explore and quantify uncertainty and service prioritisation is being reviewed to ensure a flexible approach to any financial threats which may result from the identified level of uncertainty. The fundamentals of the MTFP process are unchanged.

Corporate Risk Register

Risk: Failure to capitalise on opportunities presented by Coalition government's Localism policies

Coalition government's approach to Localism, Big Society and other policy initiatives brings opportunities due to decentralisation of power and deregulation of administrative burdens, giving people and communities opportunities for self-determination.

Risk Code: CRR 36

Impact: • Failures of DCC community leadership role in taking this agenda forward will provide the potential for increased vulnerability of individuals and communities. • Communities may feel disenfranchised due to reductions in service provision, unequal outcomes, unintended consequences, less effective partnership working due to disconnect and spiralling reactive service costs, resulting in damage to DCC reputation and customer dissatisfaction. • We would be unable to meet Government requirements for accountability back to communities and citizens.

Historical Context & Likelihood: • Coalition government elected in May 2010 has rapidly raised expectations in some quarters, brought about changes and triggered substantial reforms across the policy spectrum. • Local authorities need to respond decisively, however budgets have been cut significantly and the level of detail available is limited, thus it is not clear what impact these policy reforms and cuts will have on communities. • DCC has a strong track record of reaching out to its communities and produced the 28 Devon Town Areas profiles in 2006. These have been augmented and provide a helpful insight into the "make up" of the 28 localities. • Since 2007 we have been conducting a range of innovative pilots to explore better ways of engaging locally. • In emergency planning we have a number of initiatives to encourage communities to develop their own emergency response arrangements, documented in a community emergency plan. E.g. the recent initiative on snow wardens.

Inherent Status: High (16)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 4 - Likely

Current Status: Medium (9)

Current Risk Impact: 3 - Moderate

Current Risk Likelihood: 3 - Possible

Accountable Officer: John Smith

Risk Owner: Roland Pyle

Service: Policy, Partnership & External Affairs

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Amber	Co-production of engagement arrangements with Districts and town and parish councils	It is important to secure the most cost-effective arrangements which means having one engagement vehicle shared with the others in the local government family of councils.	Roger Grainger	18/01/2012	18/01/2012
Green	External Affairs	Need to be able to influence national policy-makers to avoid unintended consequences	Roger Grainger	15/07/2011	18/01/2012
Amber	Policy analysis	Impacts of policies need to be analysed in a co-ordinated, consistent way	Roger Grainger	15/07/2011	18/01/2012
Amber	Programme Devon	Programme Devon needs to enable effective commissioning	John Smith	15/07/2011	18/01/2012
Green	Stimulate local solutions	Decisive political leadership is needed in order to stimulate local solutions	John Hart (Cllr)	15/07/2011	18/01/2012

Review Note: DCC Strategic Plan 2011-2015, adopted in Dec 2011, includes a series of commitments in relation to localism to deliver the priority to "help communities help themselves". Management of risk: SFC PPEA 2 'Failure to engage effectively with and build capacity in communities', absorbed into this risk.

Risk: Failure to achieve effective political relationships with District Councils

The overlap in areas of responsibility and accountability often creates disagreement and tensions between councils, leading to a resistance to collaboration that could preclude effective shared approaches and prevent synergies being realised.

Risk Code: CRR 37

Impact: Potential for citizens to have poor perception of local government, damage to reputation in terms of being perceived as wasteful, inefficient and competitive. Real loss of opportunity in terms of efficiencies and shared services. Less well-informed investments and use of community budgets/resources. Fragmented community leadership and failure to meet community needs and priorities. Conflicting political leadership could damage community confidence and impede the development of additional social capital.

Historical Context & Likelihood: The diversity and complexity of Devon's Councils makes it a challenge to come to a consensus on any policy issue. Around two thirds of County Councillors are also District Councillors. The debate around Local Government Reorganisation 2006-2009 accentuated disparities and polarised opinion.

Inherent Status: Very high (20)

Inherent Risk Impact: 4 - Major

Inherent Risk Likelihood: 5 - Almost certain

Current Status: Medium (9)

Current Risk Impact: 3 - Moderate

Current Risk Likelihood: 3 - Possible

Accountable Officer: John Smith

Risk Owner: Roland Pyle

Service: Policy, Partnership & External Affairs

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Strong political leadership	Improving levels of trust and respect between councils will create the necessary climate to begin to overcome the resistance to sharing services and working more effectively together	John Hart (Cllr)	15/07/2011	18/01/2012

Review Note: Productive meetings of the Devon Local Government Steering Group. Autumn/Winter 2011 "Tough Choices" consultation including Leader's Roadshow signalled commitment to development of political relationships with district local authorities. DCC Strategic Plan commitment to establish collaborative arrangements to replace County Committees

Corporate Risk Register

Risk: Health and Safety

Risk Code: CRR 32

Failure to deliver our statutory service delivery duties and legal obligations in respect to health and safety requirements

Impact: Failure to deliver our statutory service delivery duties and legal obligations in respect to health and safety requirements. Resulting in injuries to employees and third parties (including clients, pupils and the public), that lead to claims and prosecution (including Corporate Manslaughter) This leads to reputational and service delivery impact and costs.

Historical Context & Likelihood: Legislative and regulatory changes have placed an increased emphasis on how the council manages safety at both a strategic and operational level. Changes to other legislation (Localism Bill, etc) plus structural and service delivery changes increase the need for measures to ensure that direct and residual responsibilities remain managed.

Inherent Status: Very high (25)

Inherent Risk Impact: 5 - Catastrophic

Inherent Risk Likelihood: 5 - Almost certain

Current Status: Medium (8)

Current Risk Impact: 4 - Major

Current Risk Likelihood: 2 - Unlikely

Accountable Officer: Paul Jones

Risk Owner: Margaret Bullock

Service: HR Operations

Mitigating Control records

Mitigation Status	Mitigating Control	Info	Responsible Person	Date Identified	Last Review Date
Green	Consultation and monitoring arrangements	Directorate H&S committees meet regularly to consider directorate specific risks, outcomes from Health & Safety Management Audits, accident investigations and to agree priorities	Margaret Bullock	16/11/2009	13/06/2012
Green	Devon Health & Safety Service	Professional service providing advisory, policy, audit, investigation, emergency response and training service to all directorates to ensure consistency and policy applications.	Margaret Bullock	16/11/2009	13/06/2012
Green	Devon Health, Safety and Wellbeing Board	Comprising of senior directorate managers and elected member in place to monitor standards, agree policies and to set performance targets.	Margaret Bullock	16/11/2009	13/06/2012
Green	Health & Safety Management Audit System	Robust establishment level H&S Mgt Review (Audit) system put into place from September 2008 with associated action plans produced & monitored centrally where significant failings have been identified.	Margaret Bullock	16/11/2009	13/06/2012
Green	Policies, procedures and risk assessment	Policies, procedural documents and generic risk assessments covering full range of people (employees and service users) and premises related risks provided to managers and employees.	Margaret Bullock	16/11/2009	13/06/2012
Green	The Annual Health Safety and Wellbeing Report	The Annual Health, Safety & Wellbeing Performance Report details the achievement & continuous performance made & outlines the actions to be taken to meet remaining risks.	Margaret Bullock	16/11/2009	13/06/2012
Green	Workforce Wellbeing	Workforce occupational health strategy via Wellbeing@Work	Maria Chakraborty	16/11/2009	13/06/2012

Review Note: Overall status number reduced following first stage of Risk Mapping exercise which has identified key individuals, service responsibilities, consultation arrangements and additional control measures. Whilst the final stage of the exercise is not due until October, the work to date reduces the risk likelihood

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Appendix 4: Risk Dashboard - Corporate Risk Register - June 2012

Code	Title	Very high 20+	High 12+	Medium 8+	Low 1+	Change of band
CRR 22	Transforming Community Services					
CRR 29	Safeguarding Children & Young People					
CRR 21	Safeguarding Adults					
CRR 32	Health & Safety					
CRR 38	Residential Care Home Compliance					
CRR 39	Failure to deliver priority services due to inadequate financial planning					
CRR 37	Failure to achieve effective political relationships with District Councils					
CRR 16	Rising Energy Costs					
CRR 17	Flood Risk					
CRR 18	Extreme Weather					
CRR 30	Fail to meet the 60% attainment target					
CRR 36	Failure to capitalise on opportunities presented by Government's Localism policies					

Key:

	Inherent risk status.
	Current risk status.
	Current status band up since last review
	Current status band unchanged since last review
	Current status band down since last review