

Key to Performance Status:

Mitigating Control:	Review overdue	Red	Amber	Green	Completed
Risks:	Review overdue (0+)	Very high (21+)	High (13+)	Medium (10+)	Low (1+)

Risk Code and Status	Scope of risk	Current Position, Action being taken, and Accountable Officer
Risk Code: TG 15 CRR Inherent Status: Very high (30) Current Status: Very high (30) Last Review Date: 23/12/2014	<u>Reduction in funding affects service delivery in event of financial problems at external body</u> Potential loss of funding affecting DCC service delivery in the event of financial problems arising with an external funding body such as a Clinical Commissioning Group.	Risk Owner: Tim Golby Accountable Officer: Jennie Stephens Mitigating Control: Green Governing body of the CCG Amber Joint Commissioning Executive Group
Risk Code: TCS 1 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 05/03/2015	<u>Public Transport Support Budget</u> Additional Cost/ budget pressure due to: (a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services. (b) Risk of higher tender prices, given a prolonged period of lower tender prices. (c) funding reductions resulting in significant cuts in bus services. Refer to Cabinet report 10 June 2015	Risk Owner: Damien Jones Accountable Officer: John Smith Mitigating Control: Red Operational, policy and administrative efficiencies Red Operational, policy and administrative efficiencies
Risk Code: HTM 1 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 12/06/2015	<u>Failure to maintain C class and unclassified roads effectively.</u> Deterioration of highway network due to insufficient planned and routine maintenance.	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: Amber Communication with stakeholders Green Highway Monitoring Green Safety repairs Green Value for Money solutions
Risk Code: HTM 3 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 10/03/2015	<u>Lack of capacity or capability to effectively respond to Extreme weather events</u> Flooding and structural damage to the highway affecting citizens and property	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: Green Asset Management Green Delivery of Planned works Green Highway Monitoring Green Preparedness Green Winter Service and Emergency Plan

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Risk Code: HTM 2 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 10/03/2015	<u>Lack of capacity or capability to respond effectively to highway safety related issues</u> 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.	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: <table border="1" data-bbox="1346 236 2136 375"> <tr> <td>Green</td> <td>Highway Monitoring</td> </tr> <tr> <td>Green</td> <td>Programme flexibility</td> </tr> <tr> <td>Amber</td> <td>Safety repairs</td> </tr> </table>	Green	Highway Monitoring	Green	Programme flexibility	Amber	Safety repairs								
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Risk Code: TG 11 CRR Inherent Status: Very high (30) Current Status: Very high (24) Last Review Date: 27/04/2015	<u>Market Capacity: Adult Social Care</u> The supply of personal care is currently stretched in some parts of Devon increasing the risk that we cannot maintain all people who require it safely in their own homes, achieve safe discharge from hospital and with the potential to increase admissions to residential and nursing care.	Risk Owner: Paul Collinge Accountable Officer: Ian Hobbs Mitigating Control: <table border="1" data-bbox="1346 491 2136 906"> <tr> <td>Amber</td> <td>a) Refresh of the Adult Social Care Services Market Position Statement</td> </tr> <tr> <td>Green</td> <td>b) Provider Engagement Network</td> </tr> <tr> <td>Green</td> <td>c) Performance monitoring of call off against the Framework Agreement</td> </tr> <tr> <td>Amber</td> <td>d) work with providers to address capacity shortfall</td> </tr> <tr> <td>Amber</td> <td>e) Investigation of new solutions/new ways of working</td> </tr> <tr> <td>Green</td> <td>Provider of last resort option</td> </tr> <tr> <td>Green</td> <td>Weekly SITREPS and escalation process</td> </tr> </table>	Amber	a) Refresh of the Adult Social Care Services Market Position Statement	Green	b) Provider Engagement Network	Green	c) Performance monitoring of call off against the Framework Agreement	Amber	d) work with providers to address capacity shortfall	Amber	e) Investigation of new solutions/new ways of working	Green	Provider of last resort option	Green	Weekly SITREPS and escalation process
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Risk Code: FIN 39 CRR Inherent Status: High (20) Current Status: High (20) Last Review Date: 16/04/2015	<u>Failure to deliver priority services as a result of significantly reduced finances</u> 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 2015/16 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	Risk Owner: Chris Phillips Accountable Officer: Mary Davis Mitigating Control: <table border="1" data-bbox="1346 1023 2136 1066"> <tr> <td>Red</td> <td>Medium Term Financial Plan</td> </tr> </table>	Red	Medium Term Financial Plan												
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<p>Risk Code: SPOC 15 CRR</p> <p>Inherent Status: High (20)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 19/01/2015</p>	<p><u>Failure to prevent discriminatory practice/adhere to the Equality Act & Public Sector Equality Duty</u></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>Risk Owner: Jo Hooper Accountable Officer: Roland Pyle Mitigating Control:</p> <table border="1"> <tr><td>Green</td><td>(Equality) Impact Assessment</td></tr> <tr><td>Green</td><td>Communications Toolkit</td></tr> <tr><td>Amber</td><td>Customer diversity monitoring</td></tr> <tr><td>Green</td><td>Discriminatory Incident Reporting</td></tr> <tr><td>Amber</td><td>Equality Framework for Local Government</td></tr> <tr><td>Green</td><td>Equality Objectives (Fair for all Programme)</td></tr> <tr><td>Green</td><td>Equality Policy</td></tr> <tr><td>Green</td><td>Equality Reference Group</td></tr> <tr><td>Green</td><td>Equality Standards in Procurement</td></tr> <tr><td>Green</td><td>Equality Training and Competencies</td></tr> <tr><td>Green</td><td>Hate Crime Prevention</td></tr> <tr><td>Green</td><td>Impact Assessment Performance Measures</td></tr> <tr><td>Green</td><td>Information (Evidence base)</td></tr> <tr><td>Green</td><td>Learning from Judicial Review Project - implementing the recommendations</td></tr> <tr><td>Green</td><td>Staff Surveys</td></tr> <tr><td>Green</td><td>Sufficient allocation of staff with responsibility for equality/impact assessment</td></tr> <tr><td>Amber</td><td>Supporting employment policies</td></tr> <tr><td>Green</td><td>Workforce diversity data</td></tr> </table>	Green	(Equality) Impact Assessment	Green	Communications Toolkit	Amber	Customer diversity monitoring	Green	Discriminatory Incident Reporting	Amber	Equality Framework for Local Government	Green	Equality Objectives (Fair for all Programme)	Green	Equality Policy	Green	Equality Reference Group	Green	Equality Standards in Procurement	Green	Equality Training and Competencies	Green	Hate Crime Prevention	Green	Impact Assessment Performance Measures	Green	Information (Evidence base)	Green	Learning from Judicial Review Project - implementing the recommendations	Green	Staff Surveys	Green	Sufficient allocation of staff with responsibility for equality/impact assessment	Amber	Supporting employment policies	Green	Workforce diversity data
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<p>Risk Code: SPOC 1 CRR Inherent Status: Very high (30) Current Status: High (16) Last Review Date: 27/05/2015</p>	<p><u>Failure to realise opportunities and insight derived from successful collaboration with key partners</u> - 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>Risk Owner: Simon Kitchen Accountable Officer: John Smith Mitigating Control:</p> <table border="1" data-bbox="1346 240 2136 363"> <tr> <td data-bbox="1346 240 1451 316">Amber</td> <td data-bbox="1451 240 2136 316">Communications between Partners (key individual networks)</td> </tr> <tr> <td data-bbox="1346 320 1451 363">Amber</td> <td data-bbox="1451 320 2136 363">Leadership and governance arrangements</td> </tr> </table>	Amber	Communications between Partners (key individual networks)	Amber	Leadership and governance arrangements						
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<p>Risk Code: SPOC 16 CRR Inherent Status: Very high (30) Current Status: High (16) Last Review Date: 08/06/2015</p>	<p><u>Failure to properly implement Impact Assessment in effective decision making</u> Continuing issues with poor consideration of impacts, and the potential for legal challenge and further judicial reviews. There may continue to be staff who consider there to be 'no need' to do an impact assessment or are unaware of the need, or ignore guidance and produce poor quality assessments as a result; this would be reinforced if proposals are accepted at senior level without evidence of an impact assessment of sufficient quality. We may also encounter active resisters to change (in particular where we need to influence a change over other templates, guidance, procedures etc. Occurrence of this operational risk will remove an effective mitigation from the Council's risk management approach and equality practice and threatens change programmes.</p>	<p>Risk Owner: Jo Hooper Accountable Officer: Roland Pyle Mitigating Control:</p> <table border="1" data-bbox="1346 724 2136 954"> <tr> <td data-bbox="1346 724 1451 767">Green</td> <td data-bbox="1451 724 2136 767">Escalation</td> </tr> <tr> <td data-bbox="1346 772 1451 815">Green</td> <td data-bbox="1451 772 2136 815">Facilitation</td> </tr> <tr> <td data-bbox="1346 820 1451 863">Amber</td> <td data-bbox="1451 820 2136 863">Governance</td> </tr> <tr> <td data-bbox="1346 868 1451 911">Green</td> <td data-bbox="1451 868 2136 911">Monitoring and feedback</td> </tr> <tr> <td data-bbox="1346 916 1451 959">Green</td> <td data-bbox="1451 916 2136 959">Programme Management</td> </tr> </table>	Green	Escalation	Green	Facilitation	Amber	Governance	Green	Monitoring and feedback	Green	Programme Management
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<p>Risk Code: TG 12 CRR Inherent Status: Very high (25) Current Status: High (16) Last Review Date: 23/12/2014</p>	<p><u>Care Act</u> That the Authority will not be in an appropriate position to respond to the proposed changes arising from the Bill, which will confer new duties, e.g. prevention and sufficiency of markets; new responsibilities for carers, an increased drive for Health and Social Care integration and a cap on the life time costs of care (Dilnot Review). Risks relate to organisational capacity, financial consequences and the ability of the market to respond.</p>	<p>Risk Owner: Tim Golby Accountable Officer: Jennie Stephens Mitigating Control:</p> <table border="1" data-bbox="1346 1246 2136 1378"> <tr> <td data-bbox="1346 1246 1451 1289">Amber</td> <td data-bbox="1451 1246 2136 1289">a) Project in place to take forward the changes</td> </tr> <tr> <td data-bbox="1346 1294 1451 1337">Amber</td> <td data-bbox="1451 1294 2136 1337">b) Better care fund</td> </tr> <tr> <td data-bbox="1346 1342 1451 1378">Amber</td> <td data-bbox="1451 1342 2136 1378">c) Joint commissioning coordinating group</td> </tr> </table>	Amber	a) Project in place to take forward the changes	Amber	b) Better care fund	Amber	c) Joint commissioning coordinating group				
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<p>Risk Code: FF 2 CRR Inherent Status: High (20) Current Status: High (16) Last Review Date: 16/03/2015</p>	<p><u>CAMHS (Child and Adolescent Mental Health Services)</u> Insufficient CAMHS tier 4 service to meet presenting needs of children and young people</p>	<p>Risk Owner: Fiona Fitzpatrick Accountable Officer: Jennie Stephens Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1350 240 1503 316">Green</td> <td data-bbox="1503 240 2136 316">a) Case managers appointed to facilitate bed finding</td> </tr> <tr> <td data-bbox="1350 320 1503 363">Completed</td> <td data-bbox="1503 320 2136 363">b) National bed state produced weekly</td> </tr> <tr> <td data-bbox="1350 368 1503 443">Amber</td> <td data-bbox="1503 368 2136 443">c) Assertive outreach service being commissioned from Virgin Care by CCQ's</td> </tr> <tr> <td data-bbox="1350 448 1503 555">Amber</td> <td data-bbox="1503 448 2136 555">d) Specialist commissioners working with Somerset Partnership Trust to reopen tier 4 beds</td> </tr> </table>	Green	a) Case managers appointed to facilitate bed finding	Completed	b) National bed state produced weekly	Amber	c) Assertive outreach service being commissioned from Virgin Care by CCQ's	Amber	d) Specialist commissioners working with Somerset Partnership Trust to reopen tier 4 beds						
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<p>Risk Code: TG22 Inherent Status: High (20) Current Status: High (16) Last Review Date: 23/12/2014</p>	<p><u>Adult mental health services: lack of acute psychiatric bed capacity</u> Lack of acute psychiatric bed capacity locally and nationally is having a detrimental impact on acutely unwell people accessing hospital care increasing the risk to themselves, carers and public.</p>	<p>Risk Owner: Terry Grace Accountable Officer: Sally Slade Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1350 671 1503 715">Amber</td> <td data-bbox="1503 671 2136 715">Commissioning arrangements under development</td> </tr> <tr> <td data-bbox="1350 719 1503 794">Green</td> <td data-bbox="1503 719 2136 794">Mental Health Concordaat agreed by peninsula partners</td> </tr> </table>	Amber	Commissioning arrangements under development	Green	Mental Health Concordaat agreed by peninsula partners										
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<p>Risk Code: HRO 1 CRR Inherent Status: Very high (30) Current Status: Medium (12) Last Review Date: 03/06/2015</p>	<p><u>Health and Safety</u> Failure to deliver our statutory service delivery duties and legal obligations in respect to health and safety requirements</p>	<p>Risk Owner: Margaret Bullock Accountable Officer: John Smith Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1350 911 1503 954">Green</td> <td data-bbox="1503 911 2136 954">Consultation and monitoring arrangements</td> </tr> <tr> <td data-bbox="1350 959 1503 1002">Green</td> <td data-bbox="1503 959 2136 1002">Devon Health and Safety Panel</td> </tr> <tr> <td data-bbox="1350 1007 1503 1050">Green</td> <td data-bbox="1503 1007 2136 1050">Devon Health, Safety and wellbeing Service</td> </tr> <tr> <td data-bbox="1350 1054 1503 1098">Green</td> <td data-bbox="1503 1054 2136 1098">Health & Safety Management Audit System</td> </tr> <tr> <td data-bbox="1350 1102 1503 1145">Green</td> <td data-bbox="1503 1102 2136 1145">Policies, procedures and risk assessment</td> </tr> <tr> <td data-bbox="1350 1150 1503 1193">Green</td> <td data-bbox="1503 1150 2136 1193">The Annual Health Safety and Wellbeing Report</td> </tr> <tr> <td data-bbox="1350 1198 1503 1241">Green</td> <td data-bbox="1503 1198 2136 1241">Workforce Wellbeing</td> </tr> </table>	Green	Consultation and monitoring arrangements	Green	Devon Health and Safety Panel	Green	Devon Health, Safety and wellbeing Service	Green	Health & Safety Management Audit System	Green	Policies, procedures and risk assessment	Green	The Annual Health Safety and Wellbeing Report	Green	Workforce Wellbeing
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<p>Risk Code: HM12 CRR</p> <p>Inherent Status: High (20)</p> <p>Current Status: Medium (12)</p> <p>Last Review Date: 10/03/2015</p>	<p><u>Failure to maintain the A and B road network effectively leading to reduced surface life</u></p> <p>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>Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control:</p> <table border="1" data-bbox="1346 240 2136 454"> <tr> <td data-bbox="1346 240 1451 284">Amber</td> <td data-bbox="1451 240 2136 284">Assessment of Highway Drainage</td> </tr> <tr> <td data-bbox="1346 284 1451 327">Green</td> <td data-bbox="1451 284 2136 327">Highways Asset Strategy</td> </tr> <tr> <td data-bbox="1346 327 1451 370">Amber</td> <td data-bbox="1451 327 2136 370">Materials Selection</td> </tr> <tr> <td data-bbox="1346 370 1451 454">Amber</td> <td data-bbox="1451 370 2136 454">Re-evaluation of our approach to preventative maintenance</td> </tr> </table>	Amber	Assessment of Highway Drainage	Green	Highways Asset Strategy	Amber	Materials Selection	Amber	Re-evaluation of our approach to preventative maintenance
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<p>Risk Code: SP 1 CRR</p> <p>Inherent Status: High (20)</p> <p>Current Status: Medium (12)</p> <p>Last Review Date: 09/06/2015</p>	<p><u>Flood Risk Management</u></p> <p>Devon County Council became the Lead Local Flood Authority as defined by Flood and Water Management Act (FWMA) 2010 and, as a consequence, is responsible for managing the risk of local flooding from surface water run-off, groundwater and ordinary watercourses. The Act sets out a number of specific roles for the LLFA. This includes the risks associated with the obligations and expectations associated with this LLFA role, particularly in the light of the major flooding experienced in Devon in 2012 / early 2013 and the impending implementation of Schedule 3 of FWMA 2010 relating to Sustainable Drainage Systems (SuDS) [Note: no specific consideration here to the risk of flooding to DCC assets or the huge costs of responding to / recovering from flood events, particularly linked to highway flooding.]</p>	<p>Risk Owner: Martin Hutchings Accountable Officer: Dave Black Mitigating Control:</p> <table border="1" data-bbox="1346 571 2136 774"> <tr> <td data-bbox="1346 571 1509 614">Green</td> <td data-bbox="1509 571 2136 614">Capacity of the Flood Risk Management Team</td> </tr> <tr> <td data-bbox="1346 614 1509 692">Green</td> <td data-bbox="1509 614 2136 692">Consider options for operation of Sustainable Drainage Approvals Body</td> </tr> <tr> <td data-bbox="1346 692 1509 774">Completed</td> <td data-bbox="1509 692 2136 774">Flood Risk Management Strategy / Flood Resilience Community Pathfinder project</td> </tr> </table>	Green	Capacity of the Flood Risk Management Team	Green	Consider options for operation of Sustainable Drainage Approvals Body	Completed	Flood Risk Management Strategy / Flood Resilience Community Pathfinder project		
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