

Annual Report of the Corporate Risk Management Group

Report of the Head of Services for Communities

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

Recommendation: It is recommended that Audit Committee:

- (a) Monitor the effective development and operation of risk management in the Council;**
- (b) Consider and note updates to risk registers.**

1. Summary

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

2. Introduction

The annual report is intended to support this Committee in carrying out its role in providing independent assurance of the adequacy of the risk management framework and the associated control environment.

3. General update

The current Risk Management Strategy runs from 2011 to 2015 – a revised policy will replace this from 2016. Much of the current strategy remains useful and will be retained but the new policy will be built on best practice from the UK Office of Government Commerce and the Management of Risk Guidance. Unlike the current strategy it will not have a defined end-date but will be regularly reviewed to ensure it remains fit for purpose.

The new policy will also more explicitly acknowledge the link between risk management and performance management as the council develops a new Performance Management Framework. Risks will be linked to one of the Better Together themes making it possible to review risks associated with, for example, “Safe” or “Connected” rather than simply by service area.

It is planned to add targets to risks to give a better understanding of whether the current risk exposure is above or below where we would like it to. Risks that are above target could, for example, have additional controls put in place to bring their level down to a more acceptable level.

Feedback suggests that the council’s risk recording tool – spar.net – does not meet the needs of users so work is underway to provide a replacement. This will be built using existing tools, such as Excel and SharePoint, and not be a completely new product.

The majority of risks identified and recorded on the Council’s risk registers are operational – risks related to how we operate on a day-to-day basis. Work has started to identify more

strategic level risks that may have an impact across the organisation. Corporate Leadership Team has identified topics of interest that are now being developed further.

The content of the refreshed Corporate, People, Place and Corporate Services risk registers are provided as Appendices A – D. These are regularly monitored at leadership teams and action taken to escalate or reduce the management of the risks to the appropriate level according to changes in perceived risk to the Council.

4. Risk management updates from Service areas

4.1 People

There is now a well embedded risk management culture within People with Heads of Service regularly reviewing service level risks, which are escalated on a monthly basis to the Leadership Team People for review of both the People and Corporate Risk Registers. Risks are proactively managed throughout the organisation with SPAR.net being the main tool used to monitor and manage risk.

Whilst a diverse range of risks are included within the People and Corporate Risk Registers, looking forward key risks to the Council relate to market capacity and the organisational skills and capacity to meet identified social care needs and outcomes for the people of Devon.

A number of market capacity risks are identified for both adult and children's social care, including tier 4 mental health services for children and young people and acute psychiatric bed capacity for adults. A range of mitigating actions, including re-tendering of the Personal Care Framework Agreements, market development work with providers and joint commissioning of specialist mental health placements are in place to support maintaining people safely in their own homes, achieving safe discharge from hospital and reducing risk of service user harm to themselves, carers and public.

There are increasing costs and challenges securing education and care provision for children with additional and complex needs due to a reducing market, stronger regulation and difficulty delivering personalised services for individual children. A Market Position Statement is being developed and commissioning arrangements are under continuous review to ensure needs are appropriately matched.

There is increasing difficulty in recruiting suitably qualified staff to a range of posts, including Social Workers and Practice Managers. Social work recruitment has become particularly difficult over the past two years resulting in lower skills mix in some areas. This, together with the current level of Social Worker vacancies, is causing acute service pressure. Mitigating actions include re-grading of adult Social Worker posts, workforce development and the reorganisation of adult care management. An Adult Social Care Workforce plan is currently being developed. However, without an Organisational Development Plan for the Authority, which includes succession planning for leaders and managers, there is an on-going risk of future skills shortages across key areas of the business, for example, Social Workers, Head Teachers and Teachers.

4.2 Place

Service Risks are formally reported to Place Leadership Team (PLT) on a six monthly basis or more regularly as significant risk items require escalating.

All identified risks have associated management action plans which are regularly reviewed by Heads of Service.

The Place risk register continues to be kept under review in order taking into account changes in central government policy or new initiatives that may result in new or additional risks to the Local Authority.

4.3 Public Health

The Public Health Leadership Team monitor any risks identified against the Local Authority's public health protection responsibilities on a monthly basis. Risks last year related to vaccination uptake, particularly influenza, measles, mumps and rubella (MMR) and the procurement of new services.

The procurement of new services and change of providers for other services had been identified as a potential risk and these are now monitored through contract arrangements.

Flu vaccination uptake rates in council staff have improved, as have rates of MMR vaccination and these have been removed from the register for the present time. Significant work has been targeted at promoting the influenza vaccination uptake locally in the last year which will continue this season and targeted work has taken place in areas of low MMR uptake.

Current risks centre around concerns about the capacity of the health protection response the timeliness and availability of monitoring data. Risks are being monitored through the joint Health Protection Committee of the Health and Wellbeing Boards of Devon County Council, Plymouth City Council and Torbay Council and through this there is a dialogue with Public Health England.

Emerging risks on a national level include pandemic influenza awareness and this is monitored locally with Public Health Devon taking part in appropriate emergency exercises together with emergency planning colleagues.

5. Risk management updates from areas of risk specialism

5.1 Finance

At its last meeting, the Audit Committee approved the 2014/15 Statement of Accounts. The Committee also received the External Auditor's report of findings which stated that the audit was substantially complete and it was anticipated that an unqualified opinion on the financial statements and the value for money conclusion would be provided.

This continues to demonstrate that financial reporting remains at a high standard and financial governance is robust.

Government's austerity programme continues to impact on the County Council. Cabinet budget monitoring reports outline in-year pressures which will require active management in future years. The Medium Term Financial Strategy outlines best estimates of financial resources, in the absence of firm data from Government. This indicates further requirements for annual revenue budget savings and reductions. The ongoing work within Services to provide cost savings or increased income generation continues and will be considered through the budget process involving Scrutiny Committees, Cabinet and County Council.

Finance Services will be required to achieve further financial savings, as part of the overall County Council budget reduction and the increased use of technology will assist with this programme. Service budgets will be assessed for their risk factor and volatility. Those

which are highly ranked will continue to receive finance service support whilst reduced input will be provided to low and very low risk assessed services.

5.2 Health and Safety

Health, Safety and occupational health risk management, when effectively undertaken, is a management discipline aimed at loss minimisation, increasing productivity and improving the quality of service delivery. Consequently effective health, safety and well-being risk management is critical to the success of the Council and the Council's Risk Management Strategy and the Council's Strategy for Improvement and Efficiency.

The annual report on progress for 2014-15 and a detailed action plan for 2015-16 was presented to the Devon Health & Safety Panel on 28 September 2015. The report identifies a number of achievements and initiatives throughout the Council since the previous report.

Headlines from the annual report include:

- The Internal Occupational health unit has been awarded the Safe effective quality occupational health services (SEQOHS) accreditation.
- No breaches of statutory duty occurred in the past 12 months (e.g any action taken against DCC from the Health and Safety Executive or other enforcing body).
- All actions identified following the May 2014 serious incident have been successfully completed and health and safety risk ranking has returned to its normal level.
- Employee assistance programme continues to provide support to employees and has reduced the Authorities overall counselling budget for a second year.
- An increase in accidents to employees reported centrally has occurred – up from 1106 to 1274. With the number of violent incidents being the most increased from 546 to 739 last year. Therefore one of the key targets for 15/16 is to continue to work on strategies to reduce workplace violent incidents.

5.3 Information Governance

What have we done/are we doing this year?

- The council has robust security incident management procedures in place which actively monitors and manages incidents as they occur. Staff are actively encouraged to report incidents when they occur.
- Feedback and an agreed action plan is provided to services following every incident on how they can improve their data handling practices to prevent similar incidents from re-occurring.
- The council's Senior Information Risk Owner, Rob Parkhouse (Head of Business Strategy & Support) is kept informed about the level and types of incidents occurring and mitigations carried out, on a regular basis.
- Information Governance team have delivered regular Data Protection and Information Sharing training across the council to promote good security practices.
- The Council has virtually completed all the actions from a voluntary ICO audit which was carried out in January 2015.
- The council has recently rolled out a new email encryption system called Egress Switch.
- Peer checking procedures being incorporated into the day to day handling procedures of certain front-line teams.

Risks for 2014/2015

- BI06 - Data Protection/Security Breaches.
- BI11 - Failure to adhere to Information Management standards.
- BI13 - Reputational damage from complaints.

Potential Impact of the Highlighted Risks

- Imperfect Sharing of information.
- Complaints.
- Legal Action.
- Fines.

Current Mitigation

- Staff training and awareness.
- Adherence to existing codes of practice and policies.
- Prioritisation of complaint resolution.
- Customer Relations Team pro-active involvement in resolving and appropriate learning and actions from complaints.
- Customer Relation team work with Services to appropriate REDRESS.

5.4 Insurance

An external review of our Insurance fund was undertaken earlier this year and concluded that the amount of money in the fund gives us good protection in respect of our outstanding claims and liabilities (past and present).

The premiums for DCC's insurance policy incurred a very small increase of 1% last year which was due to an increase in vehicle numbers and engineering plant requiring inspection.

The insurance renewal papers have been submitted to our brokers for 2016 and we are awaiting sight of the renewal terms. We have been informed that the premiums for 2016 should not increase by any substantial amount, however, as of 1 November 2015 the rate of Insurance Premium Tax (which is non-recoverable) will increase from 6% to 9.5% so we will have to allow for this when it comes to paying the premiums in January 2016.

2015 has been a very good year claims wise with just 447 new public liability claims received this year (this time last year we had already received 1157!) This is in part due to the fact that we have had a milder winter so fewer people have experienced damage to their property as a result of highway defects and also partly because we have tightened our claims procedure meaning that claimants need to provide a lot more information before they can submit a claim for vehicle damage, so it is probable that we are receiving fewer spurious claims.

The number of Employers Liability claims remains low with only 6 having been received for incidents this year.

5.5 Emergency Planning

The Emergency Planning Team continues to work closely with the Highways Operations Control Centre, the Flood Risk Management Team and the Council's social care infrastructure to ensure that the Council is able to respond to major incidents and emergencies in a speedy and effective way. It also liaises regularly with colleagues in Public Health and Animal Health specialists from Trading Standards.

Weather-wise the past 12 months have been relatively calm but the Emergency Planning team has still been active and responded to requests for assistance with extending mortuary capacity to cope with winter pressures on hospitals, pollution incidents, concern over spring tides, a siege situation, numerous evacuations and two suspect packages in Exeter.

Pandemic Flu remains the highest threat to the UK as a whole and in 2015 an exercise was held in conjunction with colleagues from Public Health which tested the response of the Council's senior management to an ever worsening scenario. The national pandemic exercise which was previously postponed due to Ebola is expected to take place in 2016.

The team continues to work with the blue lights and other responding agencies in the Local Resilience Forum to make sure Devon remains as safe as possible. The team has also started tweeted community resilience messages and helped increased followers to @devonalert by nearly 30%.

Members of the team continue to support work in districts both formally as part of an agreement, and informally, to ensure that there is a joined up approach to emergency planning across Devon. Discussions are underway with district colleagues to find more sustainable ways of working together in the future.

John Smith
Head of Services for Communities

Electoral Divisions: All

Local Government Act 1972: List of Background Papers

Contact for enquiries: Simon Kitchen

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Tel No: (01392) 382699

Background Paper	Date	File Ref.
None		

Appendices

Appendix A: Corporate Risk Register

Appendix B: Leadership Team People Risk Register

Appendix C: Place Leadership Team Risk Register

Appendix D: Corporate Services Leadership Team Risk Register

Corporate Risk Register - overview

Report for 2015

Filtered by Flag: Include: Corporate Risk Register
Exclude: Archive

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																		
<p>Risk Code: TG 15 CRR</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 20/10/2015</p>	<p><u>Reduction in funding affects service delivery in event of financial problems at external body</u></p> <p>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.</p>	<p>Risk Owner: Tim Golby</p> <p>Accountable Officer: Jennie Stephens</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>c) Recent announcement of Success Regime</td> </tr> <tr> <td>Green</td> <td>Governing body of the CCG</td> </tr> <tr> <td>Amber</td> <td>Joint Commissioning Executive Group</td> </tr> </table>	Amber	c) Recent announcement of Success Regime	Green	Governing body of the CCG	Amber	Joint Commissioning Executive Group												
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<p>Risk Code: TG23</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 20/10/2015</p>	<p><u>Workforce (People)</u></p> <p>Lack of Organisational Development Plan for the Authority which should include succession planning for leaders and managers could lead to future skills shortages across key areas of the business, for example, Social Workers, Head Teachers and Teachers. This needs to include contracted services for care where significant workforce recruitment and retention issues exist. Failure to address may result in market failure and statutory non-compliance with Care Act duties.</p>	<p>Risk Owner: Jennie Stephens</p> <p>Accountable Officer: Tim Golby</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Grading review: Adult Social Workers</td> </tr> <tr> <td>Amber</td> <td>HR data and dashboards under development</td> </tr> <tr> <td>Amber</td> <td>Multi-agency workforce discussions with NHS providers</td> </tr> <tr> <td>Amber</td> <td>Promoting care campaign launched with NHS providers and independent sector</td> </tr> <tr> <td>Amber</td> <td>Provider Engagement Network conversations and workshops</td> </tr> <tr> <td>Green</td> <td>Social Work Bursaries</td> </tr> <tr> <td>Amber</td> <td>Succession Planning</td> </tr> <tr> <td>Completed</td> <td>Test of Assurance</td> </tr> <tr> <td>Green</td> <td>Workforce Development</td> </tr> </table>	Green	Grading review: Adult Social Workers	Amber	HR data and dashboards under development	Amber	Multi-agency workforce discussions with NHS providers	Amber	Promoting care campaign launched with NHS providers and independent sector	Amber	Provider Engagement Network conversations and workshops	Green	Social Work Bursaries	Amber	Succession Planning	Completed	Test of Assurance	Green	Workforce Development
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<p>Risk Code: FF23</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 03/11/2015</p>	<p><u>Children's services budget pressures and allocation</u></p> <p>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>Risk Owner: None</p> <p>Accountable Officer: Fiona Fitzpatrick</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>a) Regular financial performance reporting to CLT</td> </tr> <tr> <td>Amber</td> <td>b) Weekly children's social care management meetings focussing on budget pressures</td> </tr> </table>	Amber	a) Regular financial performance reporting to CLT	Amber	b) Weekly children's social care management meetings focussing on budget pressures														
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		<p>Amber c) Focus of regular LTP discussion</p> <p>Amber d) Scrutiny reporting</p> <p>Amber e) Task Group led by Council Leader</p>
<p>Risk Code: FF9</p> <p>Inherent Status: Very high (25)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 20/10/2015</p>	<p>Devon Safeguarding Children Board</p> <p>DSCB lacks effectiveness to drive forward improvements to services for children, young people and families. (Previously RM7)</p>	<p>Risk Owner: Nicky Scutt</p> <p>Accountable Officer: Fiona Fitzpatrick</p> <p>Mitigating Control:</p> <p>Green a) Regional Sub-boards to encourage more emphasis on service improvement.</p> <p>Green b) Post-Ofsted Action Plan</p> <p>Completed c) New interim chair of DSCB appointed.</p> <p>Amber d) Reporting formats being revised to better support decision making</p> <p>Amber e) Improved partnership working required to sustain improvement in children's services</p>
<p>Risk Code: FF 13</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 20/10/2015</p>	<p>Care Leavers in Education, Employment and Training</p> <p>Failure to join up approach across People leads to continuing high numbers of Care Leavers not in education, employment and training.</p>	<p>Risk Owner: Fiona Fitzpatrick</p> <p>Accountable Officer: Jennie Stephens</p> <p>Mitigating Control:</p> <p>Green To join up activity across Heads of Service and Careers South West</p>
<p>Risk Code: SCC TG24</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 06/08/2015</p>	<p>HR Redesign Project: that the wider reorganisation of HR Services is not 'fit for purpose' to support</p> <p>Sub risks include: i) Review of provision of services to schools, academies and external customers: legal advice has resulted in slippage to the project timeline and the potential for the contract specification not meeting the on-going support requirements for schools and academies. ii) Implementation of an integrated HR Management System: potential to increase overheads for operational managers through</p>	<p>Risk Owner: Tim Golby</p> <p>Accountable Officer: Jennie Stephens</p> <p>Mitigating Control:</p> <p>Green Project Governance</p> <p>Green Project Management</p> <p>Amber Soft market testing of OHU service</p> <p>Amber Strategic reconsideration of decisions likely to impact on procurement of HRMS</p>

	the Self Service implementation and possible risk relating to quality and timeliness of information and advice. iii) Review of DCC Terms and Conditions of service: slippage in the project timeline re (i) above presents a risk to People service developments, e.g. extended working hours, implementation of 7 day working impacting on	
Risk Code: HTM 1 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 12/06/2015	Failure to maintain C class and unclassified roads effectively. Deterioration of highway network due to insufficient planned and routine maintenance.	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: <ul style="list-style-type: none"> 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: 18/08/2015	Lack of capacity or capability to effectively respond to Extreme weather events Flooding and structural damage to the highway affecting citizens and property	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: <ul style="list-style-type: none"> Amber Asset Management Green Delivery of Planned works Green Highway Monitoring Green Preparedness Green Winter Service and Emergency Plan
Risk Code: HTM 2 CRR Inherent Status: Very high (24) Current Status: Very high (24) Last Review Date: 18/08/2015	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.	Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control: <ul style="list-style-type: none"> Green Highway Monitoring Amber Programme flexibility Amber Safety repairs
Risk Code: SCC TG 11 CRR Inherent Status: Very high	Market Capacity: Adult Social Care The supply of personal care is currently stretched in most parts of Devon increasing the risk that we	Risk Owner: Paul Collinge Accountable Officer: Ian Hobbs Mitigating Control:

<p>(30) Current Status: Very high (24) Last Review Date: 20/10/2015</p>	<p>cannot maintain all people who require it safely in their own homes, achieve safe discharge from hospital and with the potential to increase admissions to residential and nursing care.</p>	<p>Green a) Refresh of the Adult Social Care Services Market Position Statement</p> <p>Green b) Provider Engagement Network</p> <p>Green c) Performance monitoring of call off against the Framework Agreement</p> <p>Amber d) work with providers to address capacity shortfall</p> <p>Amber e) Investigation of new solutions/new ways of working</p> <p>Amber Health provided domiciliary care</p> <p>Amber Provider of last resort</p> <p>Green Weekly SITREPS and escalation process</p>
<p>Risk Code: FF 15 Inherent Status: Very high (30) Current Status: High (20) Last Review Date: 20/10/2015</p>	<p>Attainment of Looked After Children Failure to join up approach across People leads to continuing poor attainment for children in the care of the Authority.</p>	<p>Risk Owner: Fiona Fitzpatrick Accountable Officer: Jennie Stephens Mitigating Control:</p> <p>Green Data analysis</p> <p>Green PEP impact</p> <p>Green Refocus of LDP</p> <p>Green To join up current activity across Heads of Service and LDP.</p> <p>Green virtual school</p>
<p>Risk Code: TCS 1 CRR Inherent Status: High (20) Current Status: High (20) Last Review Date: 09/11/2015</p>	<p>Public Transport Support Budget Additional Cost/ budget pressure due to: (a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services. (b) Risk of higher tender prices, given a prolonged period of lower tender prices. (c) funding reductions resulting in significant cuts in bus services. Refer to Cabinet report 10 June 2015</p>	<p>Risk Owner: Damien Jones Accountable Officer: John Smith Mitigating Control:</p> <p>Red Operational, policy and administrative efficiencies</p> <p>Red Operational, policy and administrative efficiencies</p>
<p>Risk Code: SPOC 15</p>	<p>Failure to prevent discriminatory practice/adhere</p>	<p>Risk Owner: Jo Hooper</p>

<p>CRR</p> <p>Inherent Status: High (20) Current Status: High (16)</p> <p>Last Review Date: 22/10/2015</p>	<p><u>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>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>Amber</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>Red</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	Amber	Staff Surveys	Green	Sufficient allocation of staff with responsibility for equality/impact assessment	Amber	Supporting employment policies	Red	Workforce diversity data
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<p>Risk Code: SPOC 1</p> <p>CRR</p> <p>Inherent Status: Very high (30) Current Status: High (16)</p> <p>Last Review Date: 27/05/2015</p>	<p><u>Failure to realise opportunities and insight derived from successful collaboration with key partners</u></p> <p>- 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</p>	<p>Risk Owner: Simon Kitchen Accountable Officer: John Smith Mitigating Control:</p> <table border="1"> <tr><td>Amber</td><td>Communications between Partners (key individual networks)</td></tr> <tr><td>Amber</td><td>Leadership and governance arrangements</td></tr> </table>	Amber	Communications between Partners (key individual networks)	Amber	Leadership and governance arrangements																																
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	<p>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 Code: FIN 39 CRR Inherent Status: High (20) Current Status: High (16) Last Review Date: 06/11/2015</p>	<p><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</p>	<p>Risk Owner: Chris Phillips Accountable Officer: Mary Davis Mitigating Control: Green Medium Term Financial Plan</p>
<p>Risk Code: HRO 1 CRR Inherent Status: Very high (30) Current Status: Medium (12) Last Review Date: 08/11/2015</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: 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</p>
<p>Risk Code: HM12 CRR Inherent Status: High (20)</p>	<p><u>Failure to maintain the A and B road network effectively leading to reduced surface life</u></p>	<p>Risk Owner: Joe Deasy Accountable Officer: David Whitton</p>

<p>Current Status: Medium (12) Last Review Date: 18/08/2015</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>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>Assessment of Highway Drainage</td> </tr> <tr> <td>Green</td> <td>Highways Asset Strategy</td> </tr> <tr> <td>Amber</td> <td>Materials Selection</td> </tr> <tr> <td>Amber</td> <td>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: SPOC 16 CRR Inherent Status: Very high (30) Current Status: Medium (12) Last Review Date: 22/10/2015</p>	<p>Failure to properly implement Impact Assessment in effective decision making 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"> <tr> <td>Green</td> <td>Decision making procedures</td> </tr> <tr> <td>Green</td> <td>Escalation</td> </tr> <tr> <td>Green</td> <td>Monitoring and feedback</td> </tr> <tr> <td>Green</td> <td>Programme Management</td> </tr> <tr> <td>Green</td> <td>Training and guidance</td> </tr> </table>	Green	Decision making procedures	Green	Escalation	Green	Monitoring and feedback	Green	Programme Management	Green	Training and guidance
Green	Decision making procedures											
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<p>Risk Code: SP 1 CRR Inherent Status: High (20) Current Status: Medium (12) Last Review Date: 09/06/2015</p>	<p>Flood Risk Management Devon County Council became the Lead Local Flood Authority as defined by Flood and Water Management Act (FWMA) 2010 and, as a consequence, is responsible for managing the risk of local flooding from surface water run-off, groundwater and ordinary watercourses. The Act sets out a number of specific roles for the LLFA. 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</p>	<p>Risk Owner: Martin Hutchings Accountable Officer: Dave Black Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Capacity of the Flood Risk Management Team</td> </tr> <tr> <td>Green</td> <td>Consider options for operation of Sustainable Drainage Approvals Body</td> </tr> <tr> <td>Completed</td> <td>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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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.]

Leadership Team People risk register - overview

Report for 2015

Filtered by Flag: Include: Leadership Team People Risk Register
Exclude: Archive

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																		
<p>Risk Code: TG 15 CRR</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 20/10/2015</p>	<p><u>Reduction in funding affects service delivery in event of financial problems at external body</u></p> <p>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.</p>	<p>Risk Owner: Tim Golby</p> <p>Accountable Officer: Jennie Stephens</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>c) Recent announcement of Success Regime</td> </tr> <tr> <td>Green</td> <td>Governing body of the CCG</td> </tr> <tr> <td>Amber</td> <td>Joint Commissioning Executive Group</td> </tr> </table>	Amber	c) Recent announcement of Success Regime	Green	Governing body of the CCG	Amber	Joint Commissioning Executive Group												
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<p>Risk Code: TG23</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 20/10/2015</p>	<p><u>Workforce (People)</u></p> <p>Lack of Organisational Development Plan for the Authority which should include succession planning for leaders and managers could lead to future skills shortages across key areas of the business, for example, Social Workers, Head Teachers and Teachers. This needs to include contracted services for care where significant workforce recruitment and retention issues exist. Failure to address may result in market failure and statutory non-compliance with Care Act duties.</p>	<p>Risk Owner: Jennie Stephens</p> <p>Accountable Officer: Tim Golby</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Grading review: Adult Social Workers</td> </tr> <tr> <td>Amber</td> <td>HR data and dashboards under development</td> </tr> <tr> <td>Amber</td> <td>Multi-agency workforce discussions with NHS providers</td> </tr> <tr> <td>Amber</td> <td>Promoting care campaign launched with NHS providers and independent sector</td> </tr> <tr> <td>Amber</td> <td>Provider Engagement Network conversations and workshops</td> </tr> <tr> <td>Green</td> <td>Social Work Bursaries</td> </tr> <tr> <td>Amber</td> <td>Succession Planning</td> </tr> <tr> <td>Completed</td> <td>Test of Assurance</td> </tr> <tr> <td>Green</td> <td>Workforce Development</td> </tr> </table>	Green	Grading review: Adult Social Workers	Amber	HR data and dashboards under development	Amber	Multi-agency workforce discussions with NHS providers	Amber	Promoting care campaign launched with NHS providers and independent sector	Amber	Provider Engagement Network conversations and workshops	Green	Social Work Bursaries	Amber	Succession Planning	Completed	Test of Assurance	Green	Workforce Development
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<p>Risk Code: FF23</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (30)</p> <p>Last Review Date: 03/11/2015</p>	<p><u>Children's services budget pressures and allocation</u></p> <p>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>Risk Owner: None</p> <p>Accountable Officer: Fiona Fitzpatrick</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>a) Regular financial performance reporting to CLT</td> </tr> <tr> <td>Amber</td> <td>b) Weekly children's social care management meetings focussing on budget pressures</td> </tr> </table>	Amber	a) Regular financial performance reporting to CLT	Amber	b) Weekly children's social care management meetings focussing on budget pressures														
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		<p>Amber c) Focus of regular LTP discussion</p> <p>Amber d) Scrutiny reporting</p> <p>Amber e) Task Group led by Council Leader</p>
<p>Risk Code: FF9</p> <p>Inherent Status: Very high (25)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 20/10/2015</p>	<p>Devon Safeguarding Children Board</p> <p>DSCB lacks effectiveness to drive forward improvements to services for children, young people and families. (Previously RM7)</p>	<p>Risk Owner: Nicky Scutt</p> <p>Accountable Officer: Fiona Fitzpatrick</p> <p>Mitigating Control:</p> <p>Green a) Regional Sub-boards to encourage more emphasis on service improvement.</p> <p>Green b) Post-Ofsted Action Plan</p> <p>Completed c) New interim chair of DSCB appointed.</p> <p>Amber d) Reporting formats being revised to better support decision making</p> <p>Amber e) Improved partnership working required to sustain improvement in children's services</p>
<p>Risk Code: FF 13</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 20/10/2015</p>	<p>Care Leavers in Education, Employment and Training</p> <p>Failure to join up approach across People leads to continuing high numbers of Care Leavers not in education, employment and training.</p>	<p>Risk Owner: Fiona Fitzpatrick</p> <p>Accountable Officer: Jennie Stephens</p> <p>Mitigating Control:</p> <p>Green To join up activity across Heads of Service and Careers South West</p>
<p>Risk Code: TG20</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Very high (25)</p> <p>Last Review Date: 04/08/2015</p>	<p>Market capacity adult social care</p> <p>The supply of residential and nursing care is currently stretched in some parts of Devon increasing the risk that we cannot maintain all people who fully require it safely and achieve safe discharge from hospital</p>	<p>Risk Owner: Tim Golby</p> <p>Accountable Officer: Ian Hobbs</p> <p>Mitigating Control:</p> <p>Amber a) Refresh of adult social care Market Position Statement</p> <p>Green b) Provider engagement network</p> <p>Amber c) Work with providers to address capacity shortfalls</p> <p>Amber d) Investigation of new solutions/ways of working</p>

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<p>Risk Code: SCC TG24 Inherent Status: Very high (30) Current Status: Very high (25) Last Review Date: 06/08/2015</p>	<p>HR Redesign Project: that the wider reorganisation of HR Services is not 'fit for purpose' to support Sub risks include: i) Review of provision of services to schools, academies and external customers: legal advice has resulted in slippage to the project timeline and the potential for the contract specification not meeting the on-going support requirements for schools and academies. ii) Implementation of an integrated HR Management System: potential to increase overheads for operational managers through the Self Service implementation and possible risk relating to quality and timeliness of information and advice. iii) Review of DCC Terms and Conditions of service: slippage in the project timeline re (i) above presents a risk to People service developments, e.g. extended working hours, implementation of 7 day working impacting on</p>	<p>Risk Owner: Tim Golby Accountable Officer: Jennie Stephens Mitigating Control:</p> <table border="1"> <tr><td>Green</td><td>Project Governance</td></tr> <tr><td>Green</td><td>Project Management</td></tr> <tr><td>Amber</td><td>Soft market testing of OHU service</td></tr> <tr><td>Amber</td><td>Strategic reconsideration of decisions likely to impact on procurement of HRMS</td></tr> </table>	Green	Project Governance	Green	Project Management	Amber	Soft market testing of OHU service	Amber	Strategic reconsideration of decisions likely to impact on procurement of HRMS				
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<p>Risk Code: FF22 Inherent Status: High (25) Current Status: High (25) Last Review Date: 03/11/2015</p>	<p>Market Capacity Children's Services Increasing costs and challenges securing education and care placements for children with additional and complex needs due to a reducing market, stronger regulation and difficulty delivering personalised services for individual children.</p>	<p>Risk Owner: None Accountable Officer: Fiona Fitzpatrick Mitigating Control:</p> <table border="1"> <tr><td>Green</td><td>a) Placement Strategy</td></tr> <tr><td>Green</td><td>b) Peninsular Framework Agreement</td></tr> <tr><td>Amber</td><td>c) Single Education Health and Care Plans</td></tr> <tr><td>Amber</td><td>d) Greater efficiency re joint agency placements</td></tr> <tr><td>Amber</td><td>e) Children's Market Position Statement in development</td></tr> <tr><td>Green</td><td>f) Commissioning arrangements with Virgin</td></tr> </table>	Green	a) Placement Strategy	Green	b) Peninsular Framework Agreement	Amber	c) Single Education Health and Care Plans	Amber	d) Greater efficiency re joint agency placements	Amber	e) Children's Market Position Statement in development	Green	f) Commissioning arrangements with Virgin
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		Care and other providers																
Risk Code: TG26 Inherent Status: High (25) Current Status: High (25) Last Review Date: 20/10/2015	Assistive Technology 2 Failure to make best use of assistive technology through potentially missed opportunities impacts on people's independence and safety at home leading to additional costs due to the procurement of more costly service solutions	Risk Owner: None Accountable Officer: Tim Golby Mitigating Control: <table border="1"> <tr> <td>Completed</td> <td>Catalogue review Group</td> </tr> <tr> <td>Green</td> <td>Community Equipment Service (prescriptions/stock items/non-stock items)</td> </tr> <tr> <td>Green</td> <td>Community Equipment Service operational meetings</td> </tr> <tr> <td>Green</td> <td>Contract monitoring arrangements</td> </tr> </table>	Completed	Catalogue review Group	Green	Community Equipment Service (prescriptions/stock items/non-stock items)	Green	Community Equipment Service operational meetings	Green	Contract monitoring arrangements								
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Risk Code: SCC TG 11 CRR Inherent Status: Very high (30) Current Status: Very high (24) Last Review Date: 20/10/2015	Market Capacity: Adult Social Care The supply of personal care is currently stretched in most 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"> <tr> <td>Green</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>Amber</td> <td>Health provided domiciliary care</td> </tr> <tr> <td>Amber</td> <td>Provider of last resort</td> </tr> <tr> <td>Green</td> <td>Weekly SITREPS and escalation process</td> </tr> </table>	Green	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	Amber	Health provided domiciliary care	Amber	Provider of last resort	Green	Weekly SITREPS and escalation process
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Risk Code: SEND 2 Inherent Status: High (20) Current Status: Very high (24) Last Review Date: 05/08/2015	Residential Special School funding and inspection Funding beyond Dedicated Schools Grant (DSG) from alternative sources (e.g. social care and education) is confused and possibly unsustainable under the new funding formula resulting in the potential for withdrawal of delegation of funding and destabilisation	Risk Owner: Sue Clarke Accountable Officer: Jennie Stephens Mitigating Control: <table border="1"> <tr> <td>Amber</td> <td>Financial review completed at one residential special school</td> </tr> </table>	Amber	Financial review completed at one residential special school														
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	of service provision and outcomes for children and young people.	Amber Options appraisal to be undertaken to report on residential special schools
Risk Code: FF 15 Inherent Status: Very high (30) Current Status: High (20) Last Review Date: 20/10/2015	Attainment of Looked After Children Failure to join up approach across People leads to continuing poor attainment for children in the care of the Authority.	Risk Owner: Fiona Fitzpatrick Accountable Officer: Jennie Stephens Mitigating Control: Green Data analysis Green PEP impact Green Refocus of LDP Green To join up current activity across Heads of Service and LDP. Green virtual school
Risk Code: TG27 Inherent Status: High (20) Current Status: High (20) Last Review Date: 03/11/2015	Mental Health Services redesign with Devon Partnership Trust Adult mental health services performance and fundamentals of service are currently under review as there is potential that the needs of service users, including adults and families, are not being met in a timely and appropriate manner	Risk Owner: None Accountable Officer: Tim Golby Mitigating Control: Green a) Project in place to review future adult mental health delivery Red b) Possible recommissioning of service following review
Risk Code: TG25 Inherent Status: High (25) Current Status: High (16) Last Review Date: 20/10/2015	Assistive Technology 1 Financial and reputational risks presenting as a result of legal challenges to the award of the DILIS contract	Risk Owner: Alison Golby Accountable Officer: Tim Golby Mitigating Control: Green Legal support to the challenge to contract award

Place Leadership Team Risk Overview Report

Report for AY 2014-15

Filtered by Flag: Include: Place Leadership Team Risk Register
Exclude: Archive

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										
<p>Risk Code: TCS 1 CRR</p> <p>Inherent Status: Very high (24) Current Status: Very high (24)</p> <p>Last Review Date: 05/03/2015</p>	<p>Public Transport Support Budget</p> <p>Additional Cost/ budget pressure due to: (a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network thorough additional support for services. (b) Risk of higher tender prices, given a prolonged period of lower tender prices. (c) funding reductions resulting in significant cuts in bus services. Refer to Cabinet report 10 June 2015</p>	<p>Risk Owner: Damien Jones Accountable Officer: John Smith Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1337 336 1429 440">Red</td> <td data-bbox="1429 336 2157 440">Operational, policy and administrative efficiencies</td> </tr> <tr> <td data-bbox="1337 440 1429 544">Red</td> <td data-bbox="1429 440 2157 544">Operational, policy and administrative efficiencies</td> </tr> </table>	Red	Operational, policy and administrative efficiencies	Red	Operational, policy and administrative efficiencies						
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<p>Risk Code: HTM 1 CRR</p> <p>Inherent Status: Very high (24) Current Status: Very high (24)</p> <p>Last Review Date: 12/06/2015</p>	<p>Failure to maintain C class and unclassified roads effectively.</p> <p>Deterioration of highway network due to insufficient planned and routine maintenance.</p>	<p>Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1337 815 1458 871">Amber</td> <td data-bbox="1458 815 2157 871">Communication with stakeholders</td> </tr> <tr> <td data-bbox="1337 871 1458 927">Green</td> <td data-bbox="1458 871 2157 927">Highway Monitoring</td> </tr> <tr> <td data-bbox="1337 927 1458 983">Green</td> <td data-bbox="1458 927 2157 983">Safety repairs</td> </tr> <tr> <td data-bbox="1337 983 1458 1038">Green</td> <td data-bbox="1458 983 2157 1038">Value for Money solutions</td> </tr> </table>	Amber	Communication with stakeholders	Green	Highway Monitoring	Green	Safety repairs	Green	Value for Money solutions		
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<p>Risk Code: HTM 3 CRR</p> <p>Inherent Status: Very high (24) Current Status: Very high (24)</p> <p>Last Review Date: 18/08/2015</p>	<p>Lack of capacity or capability to effectively respond to Extreme weather events</p> <p>Flooding and structural damage to the highway affecting citizens and property</p>	<p>Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1337 1214 1458 1270">Amber</td> <td data-bbox="1458 1214 2157 1270">Asset Management</td> </tr> <tr> <td data-bbox="1337 1270 1458 1326">Green</td> <td data-bbox="1458 1270 2157 1326">Delivery of Planned works</td> </tr> <tr> <td data-bbox="1337 1326 1458 1382">Green</td> <td data-bbox="1458 1326 2157 1382">Highway Monitoring</td> </tr> <tr> <td data-bbox="1337 1382 1458 1437">Green</td> <td data-bbox="1458 1382 2157 1437">Preparedness</td> </tr> <tr> <td data-bbox="1337 1437 1458 1493">Green</td> <td data-bbox="1458 1437 2157 1493">Winter Service and Emergency Plan</td> </tr> </table>	Amber	Asset Management	Green	Delivery of Planned works	Green	Highway Monitoring	Green	Preparedness	Green	Winter Service and Emergency Plan
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Green	Winter Service and Emergency Plan											

<p>Risk Code: HTM 2 CRR</p> <p>Inherent Status: Very high (24) Current Status: Very high (24)</p> <p>Last Review Date: 18/08/2015</p>	<p><u>Lack of capacity or capability to respond effectively to highway safety related issues</u></p> <p>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>Risk Owner: Joe Deasy Accountable Officer: David Whitton Mitigating Control:</p> <table border="1"> <tr><td>Green</td><td>Highway Monitoring</td></tr> <tr><td>Amber</td><td>Programme flexibility</td></tr> <tr><td>Amber</td><td>Safety repairs</td></tr> </table>	Green	Highway Monitoring	Amber	Programme flexibility	Amber	Safety repairs																		
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<p>Risk Code: SPOC 15 CRR</p> <p>Inherent Status: High (20) Current Status: High (16)</p> <p>Last Review Date: 18/08/2015</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> </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
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<p>Risk Code: TS 1</p> <p>Inherent Status: High (16)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 07/04/2015</p>	<p>Animal Health Disease Control</p> <p>Additional costs and manpower requirements to respond to exotic animal disease spreading in the Devon and Somerset Communities</p>	<p>Risk Owner: Dolores Riordan</p> <p>Accountable Officer: Paul Thomas</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Contingency Plans & trained staff available via an emergency cascade system</td> </tr> <tr> <td>Green</td> <td>Contingency Plans & trained staff available via an emergency cascade system.</td> </tr> </table>	Green	Contingency Plans & trained staff available via an emergency cascade system	Green	Contingency Plans & trained staff available via an emergency cascade system.								
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<p>Risk Code: TS 3</p> <p>Inherent Status: High (16)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 03/08/2015</p>	<p>Potential legal costs/compensation for court cases or improper seizure or suspension of goods</p> <p>Potential of legal costs/compensation and damage to reputation of Service and Authority due to officers wrongly impounding goods etc.</p>	<p>Risk Owner: Steve Gardiner</p> <p>Accountable Officer: Paul Thomas</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Completed</td> <td>Staff Training</td> </tr> </table>	Completed	Staff Training										
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<p>Risk Code: SPOC 1</p>	<p>Failure to realise opportunities and insight</p>	<p>Risk Owner: Simon Kitchen</p>												

<p>CRR</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 27/05/2015</p>	<p><u>derived from successful collaboration with key partners</u></p> <p>- 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>Accountable Officer: John Smith</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>Communications between Partners (key individual networks)</td> </tr> <tr> <td>Amber</td> <td>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: LE 3</p> <p>Inherent Status: High (20)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 04/06/2015</p>	<p><u>Inadequate management of the Dartington C of E Primary school part rebuild</u></p> <p>Political / Reputational risk to DCC in having to undertake major remedial building work. Legal claim to recover costs on-going court papers issued. Regular governance board meetings set up to monitor progress.</p>	<p>Risk Owner: Chris Dyer</p> <p>Accountable Officer: David Whitton</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Red</td> <td>Project governance</td> </tr> </table>	Red	Project governance								
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<p>Risk Code: SPOC 16 CRR</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 08/06/2015</p>	<p><u>Failure to properly implement Impact Assessment in effective decision making</u></p> <p>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</p>	<p>Risk Owner: Jo Hooper</p> <p>Accountable Officer: Roland Pyle</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Decision making procedures</td> </tr> <tr> <td>Green</td> <td>Escalation</td> </tr> <tr> <td>Green</td> <td>Monitoring and feedback</td> </tr> <tr> <td>Green</td> <td>Programme Management</td> </tr> <tr> <td>Green</td> <td>Training and guidance</td> </tr> </table>	Green	Decision making procedures	Green	Escalation	Green	Monitoring and feedback	Green	Programme Management	Green	Training and guidance
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	the Council's risk management approach and equality practice and threatens change programmes.									
<p>Risk Code: ENP 1</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: Medium (12)</p> <p>Last Review Date: 11/08/2015</p>	<p>Rising Energy Costs</p> <p>Cumulatively, over the period to 2030/31, a further £47m could be required to pay DCC's energy costs on top of the existing £16m per annum. The annual energy costs in 2030/31 are forecast to be £21m. The set of mitigating measures, if implemented in full, will reduce the energy costs in 2030/31 to £10m, which is a 35% decrease on 2012/13 prices.</p>	<p>Risk Owner: Rob Parkhouse</p> <p>Accountable Officer: Doug Eltham</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Energy Policy and Strategy - managed by Environmental Performance Board</td> </tr> <tr> <td>Green</td> <td>Greenhouse Gas Emissions Reporting</td> </tr> <tr> <td>Green</td> <td>Integrated Impact Assessment Tool</td> </tr> </table>	Green	Energy Policy and Strategy - managed by Environmental Performance Board	Green	Greenhouse Gas Emissions Reporting	Green	Integrated Impact Assessment Tool		
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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: 18/08/2015</p>	<p>Failure to maintain the A and B road network effectively leading to reduced surface life</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</p> <p>Accountable Officer: David Whitton</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Amber</td> <td>Assessment of Highway Drainage</td> </tr> <tr> <td>Green</td> <td>Highways Asset Strategy</td> </tr> <tr> <td>Amber</td> <td>Materials Selection</td> </tr> <tr> <td>Amber</td> <td>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>Flood Risk Management</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</p>	<p>Risk Owner: Martin Hutchings</p> <p>Accountable Officer: Dave Black</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Capacity of the Flood Risk Management Team</td> </tr> <tr> <td>Green</td> <td>Consider options for operation of Sustainable Drainage Approvals</td> </tr> </table>	Green	Capacity of the Flood Risk Management Team	Green	Consider options for operation of Sustainable Drainage Approvals				
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	<p>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>	<table border="1"> <tr> <td data-bbox="1323 67 1541 124"></td> <td data-bbox="1541 67 2168 124">Body</td> </tr> <tr> <td data-bbox="1323 124 1541 284">Completed</td> <td data-bbox="1541 124 2168 284">Flood Risk Management Strategy / Flood Resilience Community Pathfinder project</td> </tr> </table>		Body	Completed	Flood Risk Management Strategy / Flood Resilience Community Pathfinder project
	Body					
Completed	Flood Risk Management Strategy / Flood Resilience Community Pathfinder project					
<p>Risk Code: PL 2</p> <p>Inherent Status: High (20)</p> <p>Current Status: Medium (12)</p> <p>Last Review Date: 03/06/2015</p>	<p>Fail to deliver the capital programme</p> <p>A number of pressures are building which can threaten delivery of capital funded infrastructure projects including: • Tender price inflation, • difficulties in switching external funding between projects • inability to increase developer contributions to reflect actual scheme costs • no headroom in the DCC Capital Programme • Scheme delays due to problems in securing third party approvals.</p>	<p>Risk Owner: Chris Dyer</p> <p>Accountable Officer: David Whitton</p> <p>Mitigating Control:</p> <table border="1"> <tr> <td data-bbox="1323 842 1460 900">Amber</td> <td data-bbox="1460 842 2168 900">Governance of capital programme</td> </tr> </table>	Amber	Governance of capital programme		
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CSLT Risk Overview Report

Appendix D
To SC/15/24

Report for 2015

Filtered by Flag: Include: Corporate Services Leadership Team Risk Register

Exclude: Archive

Key to Performance Status:

Mitigating Control:	Review overdue	Red	Amber	Green	Completed
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Risks:	Review overdue (0+)	Very high (21+)	High (13+)	Medium (10+)	Low (1+)
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Risk Code and Status	Scope of risk	Current Position, Action being taken, and Accountable Officer								
Risk Code: DFS 4 Inherent Status: High (20) Current Status: High (20) Last Review Date: 06/11/2015	<u>Failure to Oversee Financial Performance of Commercial Enterprises in which DCC has influence</u> Failure to oversee financial performance of various commercial enterprises in which DCC has a controlling influence eg PLUS, NPS, NORSE and LDP. Failure could lead to significant financial issues - eg contract performance - as well as consequent impact on Council's reputation.	Risk Owner: Chris Phillips Accountable Officer: Mary Davis Mitigating Control: <table border="1"> <tr> <td>Green</td> <td>Liaise with other stakeholders (ie Plymouth, Torbay and Somerset CC re PLUS) to ensure consistency</td> </tr> <tr> <td>Green</td> <td>Regular review of company business plans and budget</td> </tr> <tr> <td>Green</td> <td>Review existing governance arrangements for such enterprises and propose improvements where relevant</td> </tr> <tr> <td>Green</td> <td>Work more closely with Members/Officers who act as Co Directors ensuring info exchange</td> </tr> </table>	Green	Liaise with other stakeholders (ie Plymouth, Torbay and Somerset CC re PLUS) to ensure consistency	Green	Regular review of company business plans and budget	Green	Review existing governance arrangements for such enterprises and propose improvements where relevant	Green	Work more closely with Members/Officers who act as Co Directors ensuring info exchange
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Risk Code: BI 6 Inherent Status: Very high (24) Current Status: High (18)	<u>Data Protection breaches</u> The Council may incur fines and legal actions for damages following incidents of misuse, loss, accidental or deliberate disclosure.	Risk Owner: Amber Steer-Frost Accountable Officer: Colin MacKenzie Mitigating Control: <table border="1"> <tr> <td>Green</td> <td>Staff training and awareness</td> </tr> </table>	Green	Staff training and awareness						
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Last Review Date: 01/10/2015																																		
Risk Code: BI 11 Inherent Status: High (18) Current Status: High (18) Last Review Date: 01/10/2015	<u>Failure to set and maintain information management standards</u> Information is the main asset for DCC services and for the organisation and needs to be managed effectively. Failure to manage information lifecycles, find it when needed, share it appropriately and dispose of it when necessary can all create risks.	Risk Owner: Steve Howkins Accountable Officer: Colin MacKenzie Mitigating Control: <table border="1" data-bbox="1335 284 2157 480"> <tr> <td data-bbox="1335 284 1447 371">Amber</td> <td data-bbox="1447 284 2157 371">Electronic Documents and Records Management</td> </tr> <tr> <td data-bbox="1335 371 1447 427">Amber</td> <td data-bbox="1447 371 2157 427">Information asset registration</td> </tr> <tr> <td data-bbox="1335 427 1447 480">Amber</td> <td data-bbox="1447 427 2157 480">Information Standards</td> </tr> </table>	Amber	Electronic Documents and Records Management	Amber	Information asset registration	Amber	Information Standards																										
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Risk Code: SPOC 15 CRR Inherent Status: High (20) Current Status: High (16) Last Review Date: 22/10/2015	<u>Failure to prevent discriminatory practice/adhere to the Equality Act & Public Sector Equality Duty</u> 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).	Risk Owner: Jo Hooper Accountable Officer: Roland Pyle Mitigating Control: <table border="1" data-bbox="1335 608 2157 1505"> <tr> <td data-bbox="1335 608 1447 663">Green</td> <td data-bbox="1447 608 2157 663">(Equality) Impact Assessment</td> </tr> <tr> <td data-bbox="1335 663 1447 719">Green</td> <td data-bbox="1447 663 2157 719">Communications Toolkit</td> </tr> <tr> <td data-bbox="1335 719 1447 775">Amber</td> <td data-bbox="1447 719 2157 775">Customer diversity monitoring</td> </tr> <tr> <td data-bbox="1335 775 1447 831">Green</td> <td data-bbox="1447 775 2157 831">Discriminatory Incident Reporting</td> </tr> <tr> <td data-bbox="1335 831 1447 887">Amber</td> <td data-bbox="1447 831 2157 887">Equality Framework for Local Government</td> </tr> <tr> <td data-bbox="1335 887 1447 943">Green</td> <td data-bbox="1447 887 2157 943">Equality Objectives (Fair for all Programme)</td> </tr> <tr> <td data-bbox="1335 943 1447 999">Green</td> <td data-bbox="1447 943 2157 999">Equality Policy</td> </tr> <tr> <td data-bbox="1335 999 1447 1054">Green</td> <td data-bbox="1447 999 2157 1054">Equality Reference Group</td> </tr> <tr> <td data-bbox="1335 1054 1447 1110">Green</td> <td data-bbox="1447 1054 2157 1110">Equality Standards in Procurement</td> </tr> <tr> <td data-bbox="1335 1110 1447 1166">Green</td> <td data-bbox="1447 1110 2157 1166">Equality Training and Competencies</td> </tr> <tr> <td data-bbox="1335 1166 1447 1222">Green</td> <td data-bbox="1447 1166 2157 1222">Hate Crime Prevention</td> </tr> <tr> <td data-bbox="1335 1222 1447 1278">Green</td> <td data-bbox="1447 1222 2157 1278">Impact Assessment Performance Measures</td> </tr> <tr> <td data-bbox="1335 1278 1447 1334">Green</td> <td data-bbox="1447 1278 2157 1334">Information (Evidence base)</td> </tr> <tr> <td data-bbox="1335 1334 1447 1390">Green</td> <td data-bbox="1447 1334 2157 1390">Learning from Judicial Review Project - implementing the recommendations</td> </tr> <tr> <td data-bbox="1335 1390 1447 1445">Amber</td> <td data-bbox="1447 1390 2157 1445">Staff Surveys</td> </tr> <tr> <td data-bbox="1335 1445 1447 1505">Green</td> <td data-bbox="1447 1445 2157 1505">Sufficient allocation of staff with responsibility for equality/impact assessment</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	Amber	Staff Surveys	Green	Sufficient allocation of staff with responsibility for equality/impact assessment
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<p>Risk Code: SPOC 17</p> <p>Inherent Status: High (16)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 06/11/2015</p>	<p>Poor organisational practice of risk management</p> <p>Failure to conduct robust risk assessment consistently across the Council could result in gaps in control of risks and failure to deliver strategic and other priorities or realise opportunities.</p>	<p>Risk Owner: Mark Painter</p> <p>Accountable Officer: Simon Kitchen</p> <p>Mitigating Control:</p> <p>Green Corporate Risk Management Group</p> <p>Green Risk Registers</p> <p>Green Risk Strategy and Policy</p> <p>Green Risk training</p>
<p>Risk Code: SPOC 1 CRR</p> <p>Inherent Status: Very high (30)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 27/05/2015</p>	<p>Failure to realise opportunities and insight derived from successful collaboration with key partners</p> <p>- 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</p> <p>Accountable Officer: John Smith</p> <p>Mitigating Control:</p> <p>Amber Communications between Partners (key individual networks)</p> <p>Amber Leadership and governance arrangements</p>
<p>Risk Code: EP 1</p> <p>Inherent Status: High (20)</p> <p>Current Status: High (16)</p> <p>Last Review Date: 21/09/2015</p>	<p>Inadequate DCC access to diesel during a fuel crisis</p> <p>In light of disposal of fuel bunker holding c. 5,000 litres of fuel, c.6% of weekly consumption. E.g. 5k litres of fuel would be enough to keep 100 essential workers delivering services for a week. Further a tentative agreement with SW Highways to supply diesel from their 8 depots around Devon has not been</p>	<p>Risk Owner: Keith Reed</p> <p>Accountable Officer: Nicola Channon</p> <p>Mitigating Control:</p> <p>Completed Contact details for Designated Filling Stations</p> <p>Red Delays to the review of the national plan</p> <p>Amber Escalated concerns to LRF COG Sept</p>

	<p>agreed. Other mitigating controls in development with partners. These arrangements are themselves at risk and may in any case be inadequate.</p>	<table border="1"> <tr> <td>2015</td> <td></td> </tr> <tr> <td>Green</td> <td>Local LRF Planning</td> </tr> <tr> <td>Completed</td> <td>Mutual aid arrangements with others</td> </tr> <tr> <td>Amber</td> <td>National Fuel Plan</td> </tr> <tr> <td>Green</td> <td>Small Tanker/Bowser Solution</td> </tr> <tr> <td>Amber</td> <td>Use of the military</td> </tr> </table>	2015		Green	Local LRF Planning	Completed	Mutual aid arrangements with others	Amber	National Fuel Plan	Green	Small Tanker/Bowser Solution	Amber	Use of the military
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<p>Risk Code: FIN 39 CRR Inherent Status: High (20) Current Status: High (16) Last Review Date: 06/11/2015</p>	<p><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</p>	<p>Risk Owner: Chris Phillips Accountable Officer: Mary Davis Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Medium Term Financial Plan</td> </tr> </table>	Green	Medium Term Financial Plan										
Green	Medium Term Financial Plan													
<p>Risk Code: I&I ESR 9 Inherent Status: High (16) Current Status: High (16) Last Review Date: 09/11/2015</p>	<p><u>Inadequate Budget Setting Engagement</u> A shortfall in meaningful, proportionate and reasonable engagement provision to inform DCC's 2015/16 budget setting process. Local Authority services operate under a wide range of legal responsibilities and statutory duties. Some of these are specific to the delivery of a service (for example, the legal duty to provide residential care), some protect the wellbeing of individuals (for example, health and safety law, anti-discrimination protections within the Equality Act 2010), and others apply more generally to decision making including: - Public Sector Equality Duty, Section 149 of the Equality Act 2010. - Section 3(2) of the Local Government Act 1999 (Duty to Consult). DCC budget setting decision-making, detached and set in isolation from the needs of the communities it serves, will have failed to apply</p>	<p>Risk Owner: Tony Parker Accountable Officer: Jan Shadbolt Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>2014/17 Budget Setting Project</td> </tr> <tr> <td>Green</td> <td>Coordinated consultation support for individual service reviews</td> </tr> <tr> <td>Green</td> <td>Improved use of impact assessments</td> </tr> <tr> <td>Green</td> <td>Promote community interest</td> </tr> <tr> <td>Green</td> <td>Service Engagement Leads</td> </tr> </table>	Green	2014/17 Budget Setting Project	Green	Coordinated consultation support for individual service reviews	Green	Improved use of impact assessments	Green	Promote community interest	Green	Service Engagement Leads		
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Green	Service Engagement Leads													

	<p>established case law , i.e. the Brown principles, resulting in lack of consideration and application of the Public Sector Equality Duty (PSED) as well as failing to apply the Duty to Consult. This contradicts the values, credibility and successful delivery of DCC's Strategic Plan, Backing Devon and its engagement strategy, Engaging Devon.</p>													
<p>Risk Code: DFS 5 Inherent Status: High (15) Current Status: High (15) Last Review Date: 06/11/2015</p>	<p><u>Failure to Prepare or Control Robust Budget</u> Failure to prepare robust MTFP, managing cost pressures and preserving reserves and balances. Failure to develop financial management skills of budget managers, which could compromise budget control and service delivery. Failure to produce a balanced budget</p>	<p>Risk Owner: Chris Phillips Accountable Officer: Mary Davis Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Financial Literacy survey to obtain a benchmark of the level of understanding from budget managers</td> </tr> <tr> <td>Green</td> <td>Management Board and Senior Members Approve the Development of a MTFS</td> </tr> <tr> <td>Green</td> <td>Member / Director Input to Budget Process</td> </tr> <tr> <td>Green</td> <td>Monthly budget monitoring of key budgets, bi-monthly Budget Mngt Group meetings & Exec Reports</td> </tr> <tr> <td>Green</td> <td>Ongoing support from DFS</td> </tr> <tr> <td>Green</td> <td>Ongoing training provided to the budget managers within services</td> </tr> </table>	Green	Financial Literacy survey to obtain a benchmark of the level of understanding from budget managers	Green	Management Board and Senior Members Approve the Development of a MTFS	Green	Member / Director Input to Budget Process	Green	Monthly budget monitoring of key budgets, bi-monthly Budget Mngt Group meetings & Exec Reports	Green	Ongoing support from DFS	Green	Ongoing training provided to the budget managers within services
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<p>Risk Code: SPOC 16 CRR Inherent Status: Very high (30) Current Status: Medium (12) Last Review Date: 22/10/2015</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</p>	<p>Risk Owner: Jo Hooper Accountable Officer: Roland Pyle Mitigating Control:</p> <table border="1"> <tr> <td>Green</td> <td>Decision making procedures</td> </tr> <tr> <td>Green</td> <td>Escalation</td> </tr> <tr> <td>Green</td> <td>Monitoring and feedback</td> </tr> <tr> <td>Green</td> <td>Programme Management</td> </tr> <tr> <td>Green</td> <td>Training and guidance</td> </tr> </table>	Green	Decision making procedures	Green	Escalation	Green	Monitoring and feedback	Green	Programme Management	Green	Training and guidance		
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	<p>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 Code: ICT 3 Inherent Status: High (18) Current Status: Low (9) Last Review Date: 06/07/2015</p>	<p><u>Lack of ICT resources (finance, people)</u> Failure to deliver existing ICT services and deliver new leading to degradation of ICT support and projects.</p>	<p>Risk Owner: Gary Dempster Accountable Officer: Gary Dempster Mitigating Control: Green Management Plan</p>