

Risks: Corporate Risk Register

Risk status
(score)

Overdue (0 - 0)	Low (1 - 9)	Medium (10 - 14)	High (15 - 23)	Very high (24 - 30)
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Mitigating controls

Completed	Green	Amber	Red
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Risk details	Status and Risk owner	Mitigating controls
<p>IO23: Children's and Adult services budget pressures and allocation</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>Inherent status: 30 Very high</p> <p>Current status : 30 Very high</p> <p>Risk owner: Jo Olsson</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 01 Jun 2016</p>	<p>Green Regular financial performance reporting to CLT</p> <p>Green Weekly children's social care management meetings focussing on budget pressures</p> <p>Green Focus of regular LTP discussion</p> <p>Green Scrutiny reporting</p>
<p>TG23: Workforce (People)</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, Headteachers, Teachers and Health Workers. This needs to include contracted services for care where significant workforce recruitment and retention issues exist. Failure to address may result in market failure and statutory non-compliance with Care Act duties.</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 30 Very high</p> <p>Risk owner: Tim Golby</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 01 Jun 2016</p>	<p>Completed Test of Assurance</p> <p>Completed Succession Planning</p> <p>Completed Grading review: Adult Social Workers</p> <p>Green Workforce Development, including potential impact of devolution ask</p>

<p><u>SC1: School Transport</u></p> <p>Rising overspend on home to school transport is having deleterious effects on Education and Learning Core budgets and initiatives which are currently absorbing the substantial overspend. Action to address overspend has had limited short term impact against rising costs due to increased expectations and the complexity of individual transport requested.</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 30 Very high</p> <p>Risk owner: Sarah Aggett</p> <p>Accountable officer: Sue Clarke</p> <p>Last review: 01 Jun 2016</p>	<p>Amber TCS</p> <p>Amber Management actions within TCS including route analysis and efficiency savings</p> <p>Green TCS monitoring and regular review across all areas of spend</p> <p>Green Policy regularly reviewed and adjusted to reduce areas of discretionary spend</p> <p>Green Actions identified through corporate transport project board</p>
<p><u>TG15: Reduction in Government funding affects service delivery</u></p> <p>Potential loss of funding affecting DCC service delivery in the event of changes made in the Comprehensive Spending Review and subsequent local government settlement given inflationary pressures in market and demographic growth. Also, potential judicial risk, e.g. Supreme Court cases on separating nursing costs from care costs</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 25 Very high</p> <p>Risk owner: Tim Golby</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 07 Jun 2016</p>	<p>Completed Governing body of the CCG</p> <p>Completed Joint Commissioning Executive Group</p> <p>Completed Recent announcement of Success Regime</p> <p>Green Option of 2% precent</p> <p>Amber Increase in BCF funding</p>
<p><u>SC16: National Funding Formula and implications of the White Paper</u></p> <p>impact of consultation proposals to remove funding allocation for school improvement from September 2017. Potential time lag between changes in LA roles and responsibilities and reduction in Education Support Grant. Corporate budget implications and potential impact on School Improvement support for maintained schools. The White Paper sets out the Government's</p>	<p>Inherent status: 25 Very high</p> <p>Current status : 25 Very high</p> <p>Risk owner: Sue Clarke</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 01 Jun 2016</p>	<p>Amber Awareness raised at CLT</p> <p>Amber Full council debate on white paper</p>

<p>intention for universal academisation by 2022 . LA financial resources will be removed earlier than when responsibilities change bringing a number of risks for maintained schools requiring support and the removal of capacity within DCC. Significant costs to DCC to facilitate each academy conversion. Transfer all school sites and other wider education assets to the DfE. Greater discretion for the Regional Schools Commissioner who will determine future arrangements for schools.</p>		
<p><u>IO13: Care Leavers in Education, Employment and Training</u></p> <p>Failure to join up approach across People leads to continuing high numbers of Care Leavers not in education, employment and training.</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 25 Very high</p> <p>Risk owner: Jo Olsson</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 01 Jul 2016</p>	<p>Green To ensure regular reporting and sharing of data on care leavers with appropriate partners</p> <p>Amber to ensure the offer from Careers South West is sufficiently bespoke to the needs of this group of y</p> <p>Amber to develop use of POPP to support care leavers</p> <p>Amber to work with business to develop the apprentice and internship provision</p>
<p><u>TG11: Market Capacity: Adult Social Care (Personal Care)</u></p> <p>The supply of personal care of the right quality 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.</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 24 Very high</p> <p>Risk owner: Paul Collinge</p> <p>Accountable officer: Ian Hobbs</p> <p>Last review: 01 Jun 2016</p>	<p>Green Refresh of the Adult Social Care Services Market Position Statement</p> <p>Green Provider Engagement Network</p> <p>Green Performance monitoring of call off against the Framework Agreement</p>

<p>Additionally, the CCG's planned closure of community hospitals presents a further market capacity risk with regard to intermediate care.</p>		<p>Green Work with providers to address capacity shortfall</p>
<p><u>HTM1: Failure to maintain C class and unclassified roads effectively.</u></p> <p>Deterioration of highway network due to insufficient planned and routine maintenance.</p>	<p>Inherent status: 24 Very high</p> <p>Current status : 24 Very high</p> <p>Risk owner: Joe Deasy</p> <p>Accountable officer: David Whitton</p> <p>Last review: 04 May 2016</p>	<p>Green Value for Money solutions</p> <p>Green Highway Monitoring</p> <p>Green Safety repairs</p> <p>Green Communication with stakeholders</p>
<p><u>HTM2: 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>Inherent status: 24 Very high</p> <p>Current status : 24 Very high</p> <p>Risk owner: Joe Deasy</p> <p>Accountable officer: David Whitton</p> <p>Last review: 04 May 2016</p>	<p>Amber Highway Monitoring</p> <p>Amber Safety repairs</p> <p>Green Programme flexibility</p>
<p><u>HTM3: Lack of capacity or capability to effectively respond to extreme weather events</u></p> <p>Flooding and structural damage to the highway affecting citizens and property</p>	<p>Inherent status: 24 Very high</p> <p>Current status : 24 Very high</p> <p>Risk owner: Joe Deasy</p> <p>Accountable officer: David Whitton</p> <p>Last review: 04 May 2016</p>	<p>Green Highway Monitoring</p> <p>Green Winter Service and Emergency Plan</p> <p>Green Delivery of Planned works</p> <p>Green Preparedness</p> <p>Green Asset Management</p>
<p><u>PR01 - Supplier failure: financial and other pressures</u></p>		

<p><u>leading to the failure of supply markets</u></p> <p>Failure of DCC to adequately manage and support supply markets, defined as 3rd parties undertaking contractual work for DCC to fulfil our strategic objectives and legislative duties, could lead to the failure of those markets.</p>	<p>Inherent status: 20 High</p> <p>Current status : 20 High</p> <p>Risk owner: Kevin Balding</p> <p>Accountable officer: Justin Bennetts</p> <p>Last review: 22 Apr 2016</p>	<p>Green Integrated Category Management</p> <p>Completed Integrated Procurement Category Management (IPCM)</p> <p>Green Corporate Strategy for procurement performance 2008-11</p>
<p><u>KS20: Care management capacity and effectiveness</u></p> <p>Potential that pressures currently experienced by the care management service impact adversely on service user experience</p>	<p>Inherent status: 20 High</p> <p>Current status : 20 High</p> <p>Risk owner: Keri Storey</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 07 Jun 2016</p>	<p>Amber Demand management work</p> <p>Amber Productivity work alongside demand management work</p> <p>Green Additional capacity in extended hours</p> <p>Amber Supported Living Project</p>
<p><u>JO15: Attainment of Looked After Children</u></p> <p>Lack of stability of care or school placements has a significant impact on education outcomes.</p> <p>White paper implications:</p> <ul style="list-style-type: none"> • In a fully Academised system the Local authority's capacity to intervene, and assess impact or influence practice, especially around exclusions is likely to be more limited. • Funding for AP being passed to schools may impact on our ability to provide short term intervention or bespoke packages to meet the needs of pupils with challenging behaviour or emotional/medical needs. • The addition of support for adopted children to the role of the Virtual school could, depending on expectations, have a significant impact on the capacity 	<p>Inherent status: 30 Very high</p> <p>Current status : 20 High</p> <p>Risk owner: Jo Olsson</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 01 Jun 2016</p>	<p>Green To join up current activity across Heads of Service and LDP.</p> <p>Green Refocus of LDP</p> <p>Green Data analysis</p> <p>Green virtual school</p>

of the virtual school team		
<p><u>KS19: Continuing Health Care (CHC)</u></p> <p>Significant delays in assessments and determinations of eligibility leading to operational inefficiencies and financial risk to the Council as well as impact on individuals and families</p>	<p>Inherent status: 25 Very high</p> <p>Current status : 20 High</p> <p>Risk owner: Keri Storey</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 07 Jun 2016</p>	<p>Amber Issues escalated to NEW Devon CCG and some actions agreed which may mitigate.</p> <p>Amber Formal disputes now being raised and Disputes Protocol redraft but not yet signed off.</p> <p>Green Training event planned for June/July for Adult Social Care Managers</p> <p>Green Learning Disability Nurses to be 'unassigned' by July</p>
<p><u>TG29: Budget Management</u></p> <p>That a broader corporate overview of timing, impact or scope of service or policy changes gives rise to review or reconsideration of proposals</p>	<p>Inherent status: 25 Very high</p> <p>Current status : 20 High</p> <p>Risk owner: Tim Golby</p> <p>Accountable officer: Jennie Stephens</p> <p>Last review: 08 Jun 2016</p>	<p>Green Thoroughness on consultation on proposals</p> <p>Green Thorough impact and risk assessment of plans and policy change</p>
<p><u>TCS1: Public Transport Support Budget</u></p> <p>Additional Cost/ budget pressure due to:</p> <p>(a) withdrawal of commercial services, requiring DCC to respond to fill gaps in the bus network through additional support for services.</p> <p>(b) Risk of higher tender prices, given a prolonged period of lower tender prices.</p> <p>(c) funding reductions resulting in significant cuts in bus services.</p> <p>Refer to Cabinet report 10 June 2015</p>	<p>Inherent status: 20 High</p> <p>Current status : 20 High</p> <p>Risk owner: Damien Jones</p> <p>Accountable officer: John Smith</p> <p>Last review: 11 May 2016</p>	<p>Amber Operational, policy and administrative efficiencies</p>

<p><u>PR09 - Supplier brings a successful challenge in relation to a procurement</u></p> <p>Risk of successful challenge against DCC. (procurement challenge or Judicial review) Increasing propensity to challenge.</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: <u>Justin Bennetts</u> Accountable officer: <u>Justin Bennetts</u> Last review: 22 Apr 2016</p>	<p>Green Awareness</p>
<p><u>PR06 - Inflationary pressure across markets impacts upon service delivery and budget pressures</u></p> <p>Impact on the authority (budgets) generally by global and local inflationary pressure Cost reduction and impact on markets Public sector service cuts over the coming years having a destabilising effect on local and national markets in the short term</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: <u>Kevin Balding</u> Accountable officer: <u>Justin Bennetts</u> Last review: 22 Apr 2016</p>	<p>Green Manage Expectations Amber Understand Markets</p>
<p><u>BI06 - Data Protection breaches</u></p> <p>The Council may incur fines and legal actions for damages following incidents of misuse, loss, accidental or deliberate disclosure.</p>	<p>Inherent status: 24 Very high Current status : 16 High Risk owner: <u>Carol Reece</u> Accountable officer: <u>Colin MacKenzie</u> Last review: 22 Apr 2016</p>	<p>Green Staff training and awareness</p>
<p><u>PR05 - Specifications and commissioning strategies not clearly defined service on behalf of the Council.</u></p> <p>Service specification not being sufficiently clearly defined to ensure value for money and optimal service outcomes. The tender specification is written around particular products and in some cases this may not actually be what other users require.</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: <u>Kevin Balding</u> Accountable officer: <u>Justin Bennetts</u> Last review: 22 Apr 2016</p>	<p>Green Compliance with Council Code of Conduct Amber Communication and training</p>

<p><u>FIN39: Failure to deliver priority services as a result of significantly reduced finances</u></p> <p>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>Inherent status: 20 High Current status : 16 High Risk owner: Chris Phillips Accountable officer: Mary Davis Last review: 16 May 2016</p>	<p>Amber Medium Term Financial Plan</p> <p>Completed Service Prioritisation 2011-12</p> <p>Completed Programme Devon</p> <p>Completed Work of "Meeting the Challenge" Group</p>
<p><u>SPOC15: 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>Inherent status: 16 High Current status : 16 High Risk owner: Jo Hooper Accountable officer: Roland Pyle Last review: 06 May 2016</p>	<p>Green (Equality) Impact Assessment</p> <p>Amber Equality Training and Competencies</p> <p>Green Equality Objectives (Fair for all Programme)</p> <p>Green Equality Reference Group</p> <p>Green Equality Framework for Local Government</p> <p>Amber Staff Surveys</p> <p>Green Discriminatory Incident Reporting</p> <p>Green Equality Policy</p> <p>Green Supporting employment policies</p> <p>Green Sufficient allocation of staff with responsibility for equality/impact assessment</p>

		<p>Green Information (Evidence base)</p> <p>Amber Customer diversity monitoring</p> <p>Green Equality Standards in Procurement</p> <p>Green Hate Crime Prevention</p> <p>Green Communications Toolkit</p> <p>Red Workforce diversity data</p> <p>Completed Learning from Judicial Review Project - implementing the recommendations</p> <p>Green Impact Assessment Performance Measures</p>
<p><u>Reduction in Public Health funding</u></p> <p>Clawback of Public Health reserve funds this year means that Public Health no longer have funding available to respond to immediate Public Health demands. It also may presage future reductions in the recurring funding which could impact on commissioned services</p>	<p>Inherent status: 15 High</p> <p>Current status : 15 High</p> <p>Risk owner: Mark Kealy</p> <p>Accountable officer: Tracey Polak</p> <p>Last review: 09 Jan 2016</p>	
<p><u>BI11 - Failure to adhere to information management standards</u></p> <p>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.</p>	<p>Inherent status: 18 High</p> <p>Current status : 15 High</p> <p>Risk owner: Carol Reece</p> <p>Accountable officer: Colin MacKenzie</p> <p>Last review: 22 Apr 2016</p>	<p>Amber Information asset registration</p> <p>Amber Information Standards</p> <p>Amber Electronic Documents and Records Management</p>
<p><u>SP1: 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.</p> <p>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)</p> <p>[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>Inherent status: 20 High</p> <p>Current status : 12 Medium</p> <p>Risk owner: Martin Hutchings</p> <p>Accountable officer: Dave Black</p> <p>Last review: 11 Jan 2016</p>	<p>Green Capacity of the Flood Risk Management Team</p> <p>Completed Flood Risk Management Strategy / Flood Resilience Community Pathfinder project</p> <p>Green Consider options for operation of Sustainable Drainage Approvals Body</p>
<p>SPOC16: Failure to properly implement Impact Assessment in effective decision making</p> <p>The County Council has a legal duty under the Equality Act 2010 to publish information about people affected by its policies and practices. It also has a legal duty to give due regard to the need to eliminate discrimination, advance equality and foster good relations across nine protected characteristics. The County Council's method for meeting these duties is through the Impact Assessment report. Risks to the organisation of not adhering to the Duty are Judicial Review or lack of</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 12 Medium</p> <p>Risk owner: Jo Hooper</p> <p>Accountable officer: Roland Pyle</p> <p>Last review: 06 May 2016</p>	<p>Green Monitoring and feedback</p> <p>Green Training and guidance</p> <p>Green Decision making procedures</p> <p>Green Escalation</p>

<p>consideration of community impacts which could result in harm, poor community relations, complaints about discrimination etc.</p>		
<p><u>SPOC1: 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 value-added benefits through co-operation with other agencies and place-based budgets. The following link defines partnerships in a RM context. http://staff.devon.gov.uk/services-for-communities/strategicintelligence/risk-management/devonway-riskmanagement/risk-management-partners/risk-management-in-partnerships.htm</p>	<p>Inherent status: 16 High</p> <p>Current status : 12 Medium</p> <p>Risk owner: Simon Kitchen</p> <p>Accountable officer: John Smith</p> <p>Last review: 21 Jan 2016</p>	<p>Green Leadership and governance arrangements</p> <p>Amber Communications between Partners (key individual networks)</p>
<p><u>HM12: 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>Inherent status: 20 High</p> <p>Current status : 12 Medium</p> <p>Risk owner: Joe Deasy</p> <p>Accountable officer: David Whitton</p> <p>Last review: 04 May 2016</p>	<p>Amber Highways Asset Strategy</p> <p>Amber Assessment of Highway Drainage</p> <p>Green Materials Selection</p> <p>Green Re-evaluation of our approach to preventative maintenance</p>

20 Jun 2016

