

2019/20 Risk Management Annual Report

Report of the County Treasurer

Please note that the following recommendations are subject to confirmation by the Committee before taking effect.

Recommendations:

- i. that members view the movement of risks during 2019/20;
- ii. that members view the changes and updates to the risk management process as supported by Devon Audit Partnership;
- iii. that members note the plans for further enhancements for Risk Management for 2020/21.
- iv. that members view the summary risk position for current risks.
- v. that members view the 13 risks currently ranked the highest (Appendix A).
- vi. That members endorse the Risk Management Policy 2020, which has been updated to reflect the revised Risk Management Strategy 2020-2025.

The attached report sets out the changes to risk management during 2019/20 and confirms the role of the Audit Committee as per the Council's Risk Management Policy. It further summarises the existing risk position and links to visual reporting of detailed information via Power BI.

Appendix A Shows the top risks at the time of writing this report along with the mitigating actions.

Appendix B Shows the Risk Management overview and reporting schedule for 2020/21.

Mary Davis

Electoral Divisions: All
Local Government Act 1972

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Background Paper Date File Ref

Nil

There are no equality issues associated with this report



devon**audit**partnership

Risk Management

CIR Risk Management
AWARDS 2018
shortlisted

Risk Management

Annual Report for 2019/20

July 2020



Audit Committee

CUSTOMER
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Support, Assurance & Innovation

Introduction

The purpose of this report is to summarise the activity around the management of risk in the 2019/20 financial year and outline expectations for risk management in 2020/21.

2019/20 will be remembered as the start of the coronavirus pandemic; this report provides a brief opportunity to update members on the current risk management position, including in the risk mitigating action taken in relation to Covid19.

Devon Audit Partnership (DAP) continues to support and facilitate the development of the Council's Risk Management Framework and Processes. This support is designed to assist members, senior management and staff in identifying risks, recognising and recording the "true" risk, mitigation thereof and promote effective monitoring and reporting of those risks.

Background

The Risk Management Policy includes a description of the Roles and Responsibilities in relation to risk management. In respect of the Audit Committee the wording is shown below.

The Audit Committee is responsible for ensuring that the council's Risk Management process is carried out effectively. It will not normally examine specific risks to objectives in detail but satisfy itself that risks are being monitored appropriately by the risk owner and relevant Scrutiny Committee. The Audit Committee may also consider the "top ten" risks to ensure that action is being taken to mitigate these risks. The Audit Committee will receive bi-annual reports on new "High" risks and other key developments within risk management.

In practical terms this is achieved through the receipt, review and discussion of the Risk Management Reports presented periodically to the Committee, enhanced by the subsequent actions determined by the Committee.

As communicated in previous reports the system used to record risks (the Risk Register) continues to be developed to ensure that risks can be recorded, reviewed and managed and the data used. Furthermore, work continues across the Council to ensure that the data within the risk registers is clear, accurate, relevant and importantly, linked to organisational objectives.

COVID 19 Update

As would be expected there have been further changes to the Risk Register since 1st April 2020 with the addition of further risks, some of which directly link to the COVID 19 Pandemic.

The response to the pandemic impacted on risk management activity for "business as usual" operations, as would be expected, with officers focussing time/resources on responding to the crisis. As a consequence, a higher number of risks have fallen outside of the review expectations within the Risk Management Policy. As at 16th July 2020 (and based on the Current Risk Score) this consisted of 2 Very High, 15 High, 6 Medium and 6 Low; however, it should be noted that this is an improvement on figures from earlier in the Pandemic.

Within the existing risk data there are Circa 60 risks for which Covid has relevance/impact and this ranges from Data Protection and the different ways of working, to Disaster Recovery and Delivery of the Capital Programme. There has also been the addition of specific Covid 19 risks to recognise the challenges it brings to the Council in delivery of services.

As and when the Council moves to a *Recovery Phase* it is important that normal risk management activity resumes; as it is unlikely that existing risks are no longer relevant, although some will have evolved during the crisis. Therefore, these risks should continue to be managed and mitigated with suitable regularity.

2019/20 Risk Movements

Changes during 19/20 resulted in a net reduction of five risks as per the chart below.



Reasons for archiving risks include; the Current risk score falling below that set in the Risk Management Policy for monitoring, or risks evolving and been replaced by or merged with others. Further information on the risks archived is shown in the chart below.



Further actions, changes and events during the year

Other notable actions and changes linked to risk management during the 2019/20 financial year included:

- Work with service areas and Risk Champions to further develop and populate risks for inclusion on the Risk Register, including presentation at annual Devon Finance Services employee events.
- DCC cross-cutting Risk Management audit completed by Devon Audit Partnership.
- Risk Management presentations given to the Devon Pension Board.
- Regional Risk Management Group - steps taken to create a Regional Risk Register with initial conversations linked to Workforce in the South West.

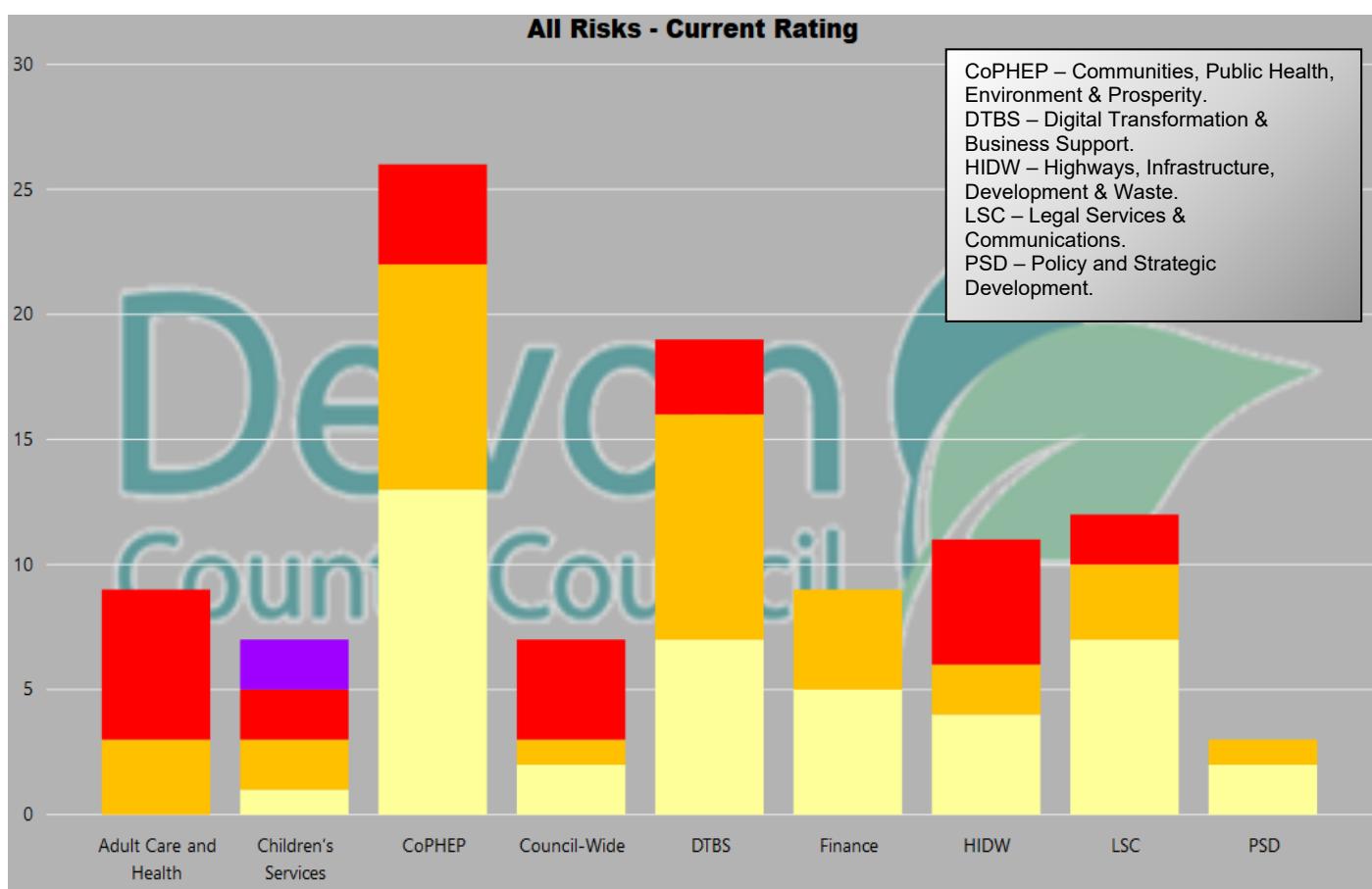
The management and reporting of risks during 2019/20 continued to evolve and build on the positive culture of expectation around risk information. This led to greater interaction and requests for enhancements, further growing levels of reporting, expectation and overall risks management.

The Council's Risk Management policy has been updated to reflect the Risk Management Strategy 2020-25, both of which were ratified by the Council's Leadership Group in June 2020 and can be provided on request. Any comments on the policy can be sent to tony.d.rose@devon.gov.uk.

Current Risk Position (July 2020)

There were 106 risks recorded in the Risk Register as at 8th July 2020. Of these, 13 were initially assessed to be Very High; following the application of mitigating controls by management the Current risk score for 10 has been reduced to High and 3 to Medium.

Of the 106 risks, 2 have a Current risk score of Very High, 28 High, 35 Medium and 41 Low. The following chart shows these risks by their Current (Residual) risk score and Service Area.



Summary information for the highest rated risks (based on their Current Risk Score) can be found in the table in Appendix A. The information provided includes a brief description of the risk, the Inherent and Current score, the Responsible and Accountable officers, along with when the risk was last reviewed.

Further more detailed information on the latest position of existing risks can be found using the following link to Power BI Reporting [Power BI – Current Risk Data](#).

Should any members not have access or require support in using the Power BI report this can be arranged via the [Risk Management Mailbox](#) or via Tony Rose tony.d.rose@devon.gov.uk.

Most recent risk score changes (July 2020)

The Following table outlines for the Committee the risks where there has been a change in score following the most recent review. This information is shown for risks with a Current Risk rating of Medium or higher.

Risk Title	Inherent score	Current score	Risk Owner	Accountable Officer	Score change since last review
Insufficient capacity of the High Needs Block to meet demand	20: High	24: Very high	Julia Foster	Dawn Stabb	+4
The council fails to meet its statutory market sufficiency requirement for nursing care	20: High	20: High	Tim Golby	Tim Golby	+5
The council fails to meet its statutory market sufficiency requirement for personal care	20: High	20: High	Ian Hobbs	Tim Golby	+4
HR: Health and Safety	30: Very high	16: High	Simon Bates	Jacky Wilson	+4
Deterioration of minor road network due to insufficient maintenance	25: Very high	16: High	Joe Deasy	Meg Booth	-4
Impact of reform of the Intermediaries Legislation (Off-Payroll working in the Public sector)	18: High	15: High	Raymond Rimes	Mary Davis	-3
Brexit (Financial Impact Only)	16: High	12: Medium	Matthew Thorpe	Mary Davis	-4
Waste Growth	12: Medium	12: Medium	Annette Dentith	Meg Booth	-3
Education and Learning Services budget availability	18: High	12: Medium	Damien Jones	Dawn Stabb	-12
Failure to properly implement Impact Assessment in decision making	24: Very high	12: Medium	Jo Hooper	Roland Pyle	+4

Risk Management in 2020/21

Further consolidation and development of Risk Management activity will continue in 2020/21 building on the progress made to date. Future areas of focus will include:

- Supporting the identification of risks linked to the Covid 19 pandemic.
- Updating the format of risk wording (Cause – Event – Impact) – This will allow easier description and wider understanding of risks, along with a greater ability to clearly link the mitigations to the different aspects of each risk.
- Risk Scoring – Continued work to ensure that there is consistency of risk scoring across all areas, in turn allowing easier comparison and prioritisation of risks and response actions.
- Risk Appetite – Work with service areas to develop Risk Appetite Statements for the various areas of the Council, in turn supporting consistent approaches and expectations for risk management.

- Consideration of global, national and regional 'external' risks and their impact on the Council, its service and population. For example, the World Economic Forum, Global Risks Report 2020 gives the top 5 Global Risks in Terms of Likelihood as Extreme weather, Involuntary migration, Natural disasters, Terrorist attacks and Data fraud or theft. The report gives the top 5 Global Risks in Terms of Impact as Weapons of mass destruction, Extreme weather, Water crises, Natural disasters and Climate action failure.
- Risk information will be provided to Members of the Scrutiny Committees and Audit Committee via Power BI dashboards, which will provide Members with a link to 'live' risk register information.

Risk management activity in 2020/21 will continue to support the enhancement of a positive risk management culture across the Council in line with the policy and strategy.

Supporting Appendices

Appendix A – Risk Register Extract (See also the link above for access to the latest risk register information).

Appendix B – Risk Management Diagram and 2020/21 Reporting Schedule.

Risk Management Policy 2020 (provided separately).

The Risk Management Strategy can be provided on request.

Background Paper

The World Economic Forum, Global Risks Report 2020 referred to above is available at the following location.

<https://www.weforum.org/reports/the-global-risks-report-2020>

Inherent Limitations

The information contained within this report is based on analysis on the risk data produced and maintained by officers from across the Council. Devon Audit Partnership does not own the risks (unless directly linked).

Acknowledgements

We would like to express our thanks and appreciation to all those who provided support and assistance during the preparation of this report and any supporting documents.

**Robert Hutchins
Head of Partnership**

This table includes an extract of the Highest Rated Current Risks (at the time of compiling this report)

Risk Title	Description	Service area	Inherent score	Current score	Risk Owner	Accountable Officer	Latest review	Change direction
Challenges in recruitment of permanent SW staff and managers (and implications)	Ability to further stabilise and develop workforce impacts on performance improvement and creates financial pressure.	Children's Social Care	16: High	24: Very High	Daryl Freeman	Daryl Freeman	June 2020	
Insufficient capacity of the High Needs Block to meet demand	Due to the ongoing HNB deficit budget and changes in the SEND Code of Practice including age range, Element 3 payments to maintained schools, cost of independent sector places and increases in capacity for Special Schools, funding remains insufficient to meet the demand to deliver the statutory requirements, resulting in reduced SEND outcomes for 0-25, reputational damage including fault found by Ombudsman, and legal challenges through SENDIST.	Education and Early Help	20: High	24: Very High	Julia Foster	Dawn Stabb	Mar 2020	
Covid 19	The Covid-19 pandemic impacts the delivery of DCC Services including in relation to staff members being unable to perform their usual functions for reasons relating to illness, self-isolation, impact of lock-down restrictions, caring responsibilities, and Council offices being closed - resulting in the functions of the Council and services provided to the Community being reduced. DCC Services may also be impacted by key partners and suppliers being unable to fulfil their roles.	Council Wide	30: Very High	20: High	Leadership Group	leadership Group	July 2020	
Covid 19 – Capital Contracts	Disruption to existing service, contract delivery delay, early warning notices under NEC3 for additional time, cost and expense to DCC capital contracts. Lack of staff availability to deliver due to sickness absence.	Highways, Infrastructure Development & Waste	20: High	20: High	Chris Dyer	Meg Booth	Apr 2020	
Insufficient staffing capacity to deliver full Public Health Nursing service offer	Insufficient staffing capacity to deliver full Health Visiting and School Nursing Services caused by a national shortage of nurses qualified in these areas and historical factors relating to budget and transferring organisations. This has resulted in a reduced service offer to the local population of Devon, which may have the following impacts: <ul style="list-style-type: none">• Inability to deliver commissioned service• Inability to deliver the core contacts within the service specification• Reduced continuity of care• Reduction in staff morale• Potential for increased demand for support from clients to other professional partners• Potential for reputational damage• Potential adverse impact to the CQC domain of Leadership, Safety, Caring, Responsiveness and Effectiveness.	Public Health Nursing	25: Very High	20: High	Julie Wilcockson	Kate Stephens	Apr 2020	
Climate Change	Cause: Climate change is projected to increase global temperatures by 1.5 degree Celsius as a minimum. Two to three degrees is likely based on the present level of international commitments to halt greenhouse gas emissions. Impacts for Devon include potential sea-level rise of 90cm by the end of the 21st century, current extremes of weather becoming the norm, greater flooding risk and impacts on biodiversity that could lead to a reduction in natural services such as pollination. Event: In Devon, this will lead to up to 1m sea level rise; drier, hotter summers; warmer, wetter winters; and more intense storm events. Impacts: <ul style="list-style-type: none">• Health – Increased heat-related morbidity, vector-borne disease, mental health issues• Reputation – DCC is being looked to as a community leader. 25% of local authorities have now declared climate emergencies.• Legal – There is no direct legal requirement on the authority to reduce carbon emissions or adapt to climate change, but not acting will make it more difficult to meet other legal requirements due to the impact of climate change on our services and infrastructure.• Financial – The Stern Review identifies the cost of climate change to the global economy to be 5% - 20% per year. The costs of mitigating the worst effects can be delivered for just 1% of GDP.• Performance Standards – Climate change will affect many of the council's performance standards.• Stakeholders – Climate change will affect all of the authority's stakeholders and partners.• Service Users – Climate change will affect all of DCC's services and its service users.	Planning, Transport and Environment	30: Very High	20: High	Doug Eltham	Dave Black	Apr 2020	

This table includes an extract of the Highest Rated Current Risks (at the time of compiling this report)

Risk Title	Description	Service area	Inherent score	Current score	Risk Owner	Accountable Officer	Latest review	Change direction
Brexit - The UK's exit from the European Union results in pressures which directly impact the Council's delivery of services	<p>Cause: Referendum Decision to Leave the EU.</p> <p>Event: New arrangements need to be agreed for the relationship between the UK and the EU from 01st January 2021.</p> <p>Impacts:</p> <ul style="list-style-type: none"> No agreement. • Return to WTO Rules, reduced trading. • Return to WTO Rules, increased cost of trading. • Increased uncertainty on employment and residency for EU citizens. • Decrease in labour market availability to support care needs. • Impacts on supplies of food, fuel and medicine. • Civil disorder and disobedience. • Increased demand for services. • Reduced capacity to provide services. <p>Brexit with Deal.</p> <ul style="list-style-type: none"> • Additional work to ensure future compliance with EU Rules and Regulations that may still be in force or require adherence to for specific activities. • Increased costs to ensure compliance with all future legislation. <p>Both</p> <ul style="list-style-type: none"> • Increased costs due to lost funding to EU funded programmes, including economic growth and regeneration, employment, environmental protection, research and development • Impact on local business / population and knock on effect to areas such as business rates and council tax • Greater pressure on labour markets if EU nationals are not available to fill posts <p>The full implications for Devon County Council from the UK leaving the EU are not yet known or understood, causing uncertainty in Council business, planning, and service delivery</p> <p>There is also the potential for opportunities where regulation changes</p>	Council-wide Policy and Strategic Development	20: High	20: High	Keri Denton	Leadership Group	Mar 2020	↔
BI21 - Successful Cyber Attack	Successful Cyber Attack on the Authority.	Digital Transformation and Business Support	30: Very High	20: High	Martin Lawrence	Gary Dempster	Apr 2020	↔
HTM2: Lack of capacity or capability to respond effectively to highway safety related issues	Potential for fatal and severe accidents to citizens due to lack of effective and timely repair or replacement of highway assets. This could be brought about by deteriorating highway condition, inability to meet policy level of service, inadequate procedures or poor staff/contract performance.	Highways and Traffic	24: Very High	20: High	Joe Deasy	Meg Booth	June 2020	↔
HTM3: Lack of capacity or capability to effectively respond to extreme weather events	Flooding, obstruction and structural damage to the highway or other transport infrastructure affecting citizens and property causing traffic disruption, economic and health impacts.	Highways and Traffic	24: Very High	20: High	Joe Deasy	Meg Booth	July 2020	↔
TG20: The council fails to meet its statutory market sufficiency requirement for nursing care	<p>Cause: Insufficient availability of nursing care supply in certain parts of the County.</p> <p>Event: Inability to secure nursing home placements close to home.</p> <p>Impact: In certain circumstances people are being placed in nursing homes outside of their local communities away from family and friends. People are being delayed in hospital whilst nursing home placements are being sourced contributing to whole system pressures. Placements being procured at higher cost due to sufficiency and demand pressures.</p>	Adult Commissioning and Health	20: High	20: High	Tim Golby	Tim Golby	Jan 2020	↑
TG11: The council fails to meet its statutory market sufficiency requirement for personal care	<p>Cause: Lack of available service capacity due to inability to secure sufficiency of personal care supply in certain parts of the County.</p> <p>Event: Inability of Prime and other providers to recruit and retain appropriately qualified care workers to meet demand for personal care services in certain parts of the County.</p> <p>Impact: In certain circumstances people are at home with inappropriate levels of personal care support to meet their needs, which may include reliance on family and friends. People are delayed in hospital whilst care packages are sourced to support safe discharge contributing to whole system pressures. More costly alternatives are being secured, e.g. short-term residential placements, to support people safely.</p>	Adult Commissioning and Health	20: High	20: High	Ian Hobbs	Tim Golby	Jan 2020	↑

This table includes an extract of the Highest Rated Current Risks (at the time of compiling this report)

Risk Title	Description	Service area	Inherent score	Current score	Risk Owner	Accountable Officer	Latest review	Change direction
Prevention and Detection of Fraud	<p>Cause/s</p> <ul style="list-style-type: none"> The Covid19 Pandemic has put considerable pressure on council staff to respond to immediate request for financial assistance – The figures involved are considerable, running into many millions. A need to do things quickly leads to them being done poorly. Lack of or poorly designed and implemented management practices/processes. Providers, clients and / or staff deliberately updating or providing fraudulent data/information. Coercion and challenging personal circumstance. <p>Event: Fraud and/or corruption</p> <p>Impact/s</p> <ul style="list-style-type: none"> Significant Financial Loss. Reputational Damage. Reduced Delivery of services. Legal action. 	Council-wide Devon Finance Services	18: High	20: High	Ken Johnson	Rob Hutchins	June 2020	➡➡

Details on the controls and mitigations planned or in place for the risks show above can be found on the following pages.

Risk Mitigations (RAG rated as per the Risk Register Entry)

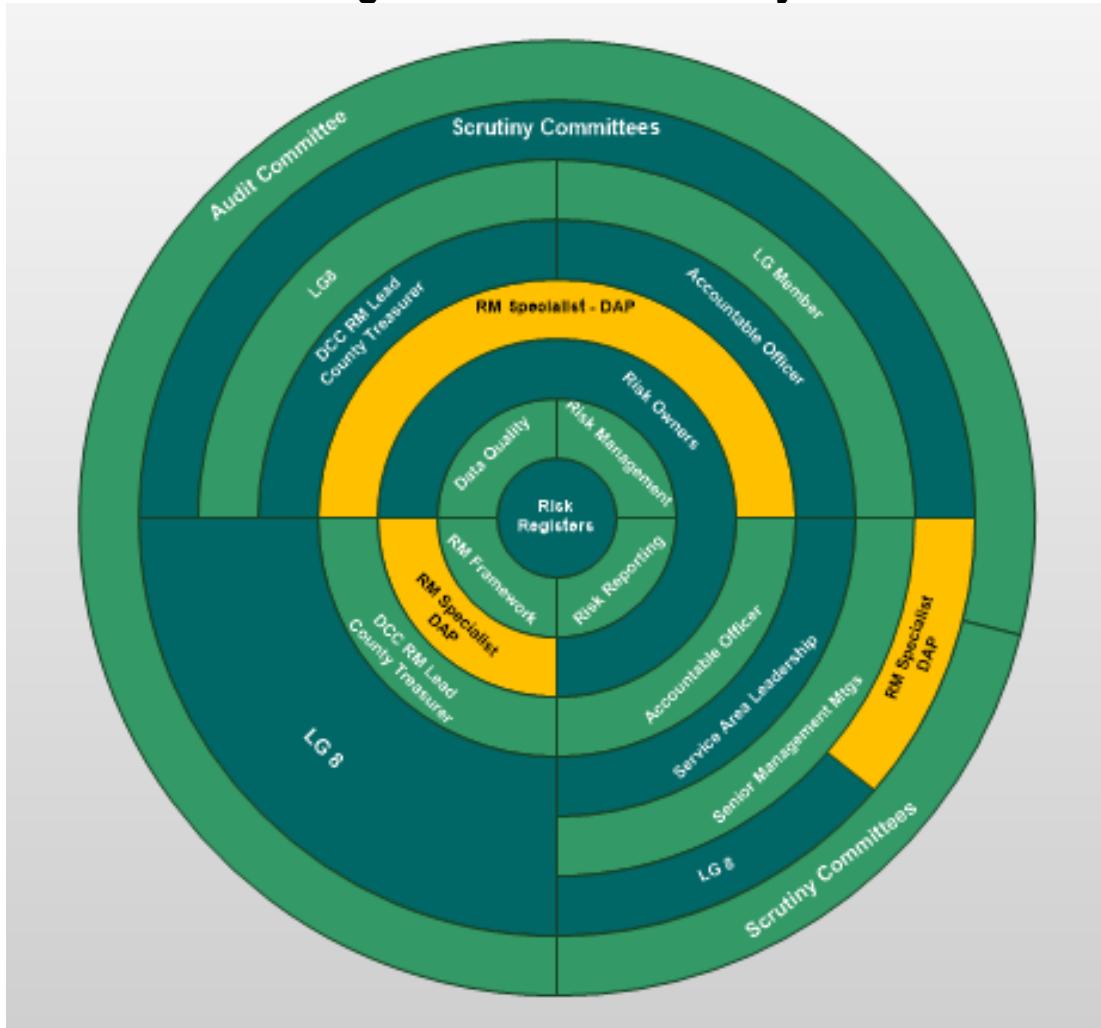
The table below outlines the mitigations recorded against the risks identified above. Each mitigation has been rated as Red, Amber, Green or Completed by the owner of the action.

Risk Title	Current Risk Score	Controls and Mitigations									
Challenges in recruitment of permanent SW staff and managers (and implications)	24: Very High	Green	Comprehensive approaches to recruitment.	Green	Retention and workforce development.	Completed	Review of Overseas Recruitment.	Amber	Exit from MOU in exceptional circumstances agreed.	Green	Develop a clear career progression scheme for social workers.
Insufficient capacity of the High Needs Block to meet demand	24: Very High	Amber	A reduction in placements in the Independent sector, (management action has set a target to reduce by 40), achievement of this target is adversely affected by statutory protection given to parental preference.	Green	Quality assurance of provision and strategic market management. Good QA processes in place - recently confirmed in Independent review of EHCP policy and process.	Completed	Capping of element 3 payments, Practice is implemented in mainstream schools, completion date of Dec 2018 planned.	Completed	Increased capacity in maintained special schools. Forward plans proposed in SEN Strategic Review, additional capacity added over 130 places in last two years.		
		Amber	New Special School settings to be agreed Free school (Glendinning House) start date postponed by DfE to Sep 2020 New school (ACE Tiverton) agreed opening Sep 2019 with additional 30 places rising to 72 over next three years.		Cost analysis of Independent sector placements to achieve value for money in contracts with providers. Block contracting arrangements with preferred providers under discussion in Summer 2019.		Amber	Review of options for specialist units in mainstream schools to avoid Independent placements.	Amber	HNB Task Group looking at moderation and consistent models of funding independent placements.	

Risk Title	Current Risk Score	Controls and Mitigations											
Covid 19	20 High	Green	The situation is being monitored at the highest levels within the Council and through the Pandemic Incident Management team (PIMT).	Green	Support to Council employees, through HR advice, Employee Assistance Programme etc. Remote and home-working capabilities in place.	Green	Support to key suppliers through temporary fee uplifts (Adult Social Care) and via the PPN02 process.	Green	Payments of grants to organisations and District Councils.				
		Green	Council colleagues assisting with the prevention and recovery effort.	Green	Internal and external communications to confirm Government advice and local support.	Green	Liaison with central Government and delivery in conjunction with Devon District Councils.	Green	Provision of PPE to relevant front-line colleagues.				
		Completed	PIMT and SIMT Structure for Response.	Amber	Formation of Recovery Group.	Green	Creation of Local Outbreak Management Plans and associated Strategic, Tactical and Operational Structure.						
Covid -19 – Capital Contracts	20: High	Amber	Reduce exposure by limiting face to face contact.										
Insufficient staffing capacity to deliver full Public Health Nursing service offer	20: High	Amber	Use information from midwife to determine level of service. Prioritise new birth visits and escalate / increase as required.	Green	Continue with rolling recruitment process.	Green	Ensure staff have the right skills and support to deliver safe, evidence-based practice.	Amber	Continuous Demand and Capacity reviews with adjustment of staffing levels across the county as required to ensure equity of service.	Green	Provision of Website; Chat Health texting service and clinicians telephone access We have extended use of telephone and video consultation during Covid 19 pandemic. It is likely that the most effective of these will be retained post CV19.	Green	Use of vulnerable children's list as a means of cross-checking vulnerability, and collaboration with Children's Centres.
Climate Change	20: High	Amber	Operation of a corporate Environmental Policy and Performance system which provides a process for individual services to review the risks to them from climate change.	Amber	Use of corporate Impact Assessment process when developing policies, projects and programmes.	Amber	The Devon Climate Emergency project which is bringing together over 25 organisations to prepare a Devon Carbon Plan (by a Net-Zero Task Force) with community input and developing a Devon Adaptation Plan (by the Climate Impacts Group).						
Brexit - The UK's exit from the European Union results in pressures which directly impact the Council's delivery of services	20: High	Green	Establish a Devon County Council Brexit website for key messages and signposting. Continue communications to DCC Members, staff, and Trade Unions.	Green	Continue to engage with MHCLG via the Chief Executives' regional communications network for the South West.	Green	Update, revise, prepare and publish business and service continuity plans.	Green	Support DCC staff who are EU citizens to register through the Government's EU Settlement Scheme.				
		Green	Participation in the Heart of the South West Resilience and Opportunities Group to help business and communities.	Amber	Responding to the Government's forthcoming and long-awaited consultation on the UK Shared Prosperity Fund.	Green	Situation reporting template available for DCC service leads to enable reporting to the Cornwall and Devon Local Resilience Forum.	Completed	At its meeting on 25 July 2019, the full Council considered a report from the Cabinet Member for Economy and Skills on the impacts of, and preparation for Brexit.				
BI21 - Successful Cyber Attack	20: High	Green	Annual PSN Compliance process.	Green	Business Continuity Planning.	Amber	Disaster Recovery Plan.	Amber	Communication and Reporting.				
		Amber	Policy and Guidance.	Green	Training and awareness.	Green	New cyber security platform rolled out.						
HTM2: Lack of capacity or capability to respond effectively to highway safety related issues	20: High	Green	Highway Monitoring.	Amber	Safety repairs.	Green	Programme flexibility.	Green	Staff training and audit procedures.	Amber	Highway serviceability repairs.		
HTM3: Lack of capacity or capability to effectively respond to extreme weather events	20: High	Green	Highway Monitoring. Systems in place for public and staff reporting. Term contractor available to resource and respond. safety inspection cycle to identify repairs.	Green	Regularly review and update Winter Service and Emergency Plan to ensure risks from severe weather are well managed.	Green	Timely planning, programming and delivery of drainage and structural works to address damage on the network.	Green	Preparedness. Ensuring processes and procedures are in place to be proactive in response thereby reducing the effect of severe weather damage.	Amber	Regularly review Asset Management approach to ensure that damage repairs and reactive action are prioritised with regard to impact on economy and traffic usage.	Amber	Availability of resources.
TG20: The council fails to meet its	20: High	Green	Improving relationship with the market via engagement	Amber	Nursing homes sufficiency and needs analysis underway to	Amber	Workforce development programme being extended to private sector	Amber	Joint quality assurance with NHS.	Amber	Bed Bureau development at locality level.		

Risk Title	Current Risk Score	Controls and Mitigations												
statutory market sufficiency requirement for nursing care			approach to address the issue jointly.		ensure we fully understand the gaps.		focussed on recruitment and retention of registered nurses.							
TG11: The council fails to meet its statutory market sufficiency requirement for personal care	20: High	Amber	New Living Well at Home Contract let jointly with NHS has largely secured sufficiency in Northern/Mid Devon and parts of West Devon.	Amber	Performance monitoring of contract maintains high vigilance and actions.	Green	Weekly whole system escalation call. manages risk and agrees actions.	Amber	Strength based approach to reduce demand.	Green	Rigorous review and prioritisation of people waiting for care ensures appropriate contingencies are in place to ensure safety.	Amber	Work with providers to address capacity issues.	
Prevention and Detection of Fraud	20: High	Amber	Ongoing application of internal controls, and reviews by Internal Audit of higher risk areas and their controls.	Amber	Audit Assistance with immediate issues, requiring urgent processing outside of normal arrangements.	Amber	Guidance to staff to obtain assurance from 3rd parties that funds will be used for the intended purpose – with the ability for future audit and verification.	Amber	Review and update of internal processes.	Amber	Update Anti-Fraud, Bribery and Corruption Policy.			
		Amber	Random Sampling - Is a targeted fraud detection and measurement exercise programme. The purpose of Random Sampling is twofold. Firstly, it is to test by investigating potentially high-risk areas of spend to see if there are undetected losses in those areas. Secondly, Random Sampling is used to broaden the range of estimated losses known by measuring new areas, and to determine the likely extent of those losses.	Amber	Proactive use of DAP Counter Fraud services.	Green	Wider training on fraud awareness and eLearning.	Amber	Compulsory eLearning for managers.	Green	Create a separate Anti-Fraud, Bribery and Corruption Strategy and Response Plan so that everyone's responsibility and duty is made clear.			

Risk Management in Devon County Council



Leadership Group

The schedule for reporting to the Leadership Group is based on the provision of information prior to drafting reports to Members, along with regular updates during the year, ideally at least quarterly.

In year update reporting the Leadership Group will contain information on the position of risks at that time along with relevant background and detailed actions linked to the further enhancement of Risk Management across the Council.

The Annual Report will highlight changes that have taken place in the previous year, detail the risk position at that point in time and make note of future plans for the development of Risk Management.

Member Committees

The reporting schedule for Member Committees takes the form of in-year update papers provided to Scrutiny Committee Members, which will continue to further utilise Power BI reporting capability. These papers will focus on relevant risks for that area.

Reporting to the Audit Committee comprises an Annual Report and one in-year update (mid-year report). These reports will focus on the overall risk management process and identify the highest rated risks at that point in time.

The reports to the Audit committee will normally follow the timeline for reporting to the Council's Leadership Group.