



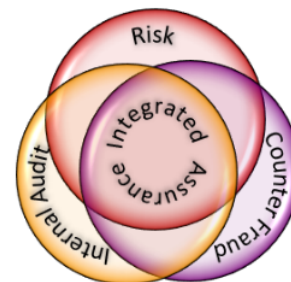
devon**audit**partnership

**Risk Management**

**CIR** Risk Management

AWARDS 2022

*shortlisted*



**Risk Management**

**Update Report**

**February 2023**



**Audit Committee**

**CUSTOMER  
SERVICE  
EXCELLENCE**



Support, Assurance & Innovation

## Introduction and purpose of this report

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 to promote the effective monitoring and reporting of those risks. Audit Committee members are requested to review the movement in the Council's Risk Register since last reported.

## Risk Update

In regard to the Devon County Council budget situation 2022/23, ways to reduce costs and make savings within services have been identified. Increasing needs and demand for services is expected to continue into 2023/24 and beyond. Cost of living and energy price increases and inflationary pressures will have a bearing on the Council's risk profile, as do on-going world events in Russia and Ukraine.

Service area risks have and will continue to be updated to reflect the Council's current financial position and demand for services, and Budget book risks are referred to further below.

We note the recent developments in relation to the Council's Race Equality Audit outcomes, including the development of procedures for risk assessing staff lone working in the community. These are Health & Safety risks assessments for which corporate guidance is provided.

We continue to work with officers to reflect any new and emerging risks, including in respect of Cost of Living increases and Financial Sustainability. Governance arrangements are in place in regard to corporate oversight of financial sustainability risk and to ensure that the risk is minimised. We are in contact with the Deputy Director of Finance and Public Value concerning this risk area.

We are developing guidance on project risk management. And support has been provided to the development of new risks, including in the Children and Young People's Future area.

As of 7<sup>th</sup> February 2023, there were 135 risks recorded in the Risk Register. Of these, twenty-five risks were initially assessed to have an Inherent status of Very High, with mitigations reducing ten of these risks to High, four to Medium, one to Low; ten risks remain as Very High. Overall, there are fifty-three risks with a Current (Mitigated) Risk Score of High or above, a small extract of which are shown in Appendix A.

Details on the controls and mitigations planned or in place for the risks with a current risk score of Very High are included in this report.

Work continues to enhance the Power BI reporting, to include reporting on risks linked to the Council's Strategic Priorities, in addition to supporting the regular review of risks against the specified priorities as part of the existing strategic plan review framework.

Details of the most up to date risk position can be seen in the [Power BI Dashboard](#). The Council's risk register can be viewed by Members at [Risk Recording | DCC Risk Management](#)

As previously advised, a budget book risk register has been established to support the monitoring of risks directly linked to the budget setting process for 2022/23.

The Budget Book risk register can be viewed by Members at [Budget Book risks | Services | Risk Recording \(devon.gov.uk\)](#). Please note that where a budget book Risk (as included in the published Budget Book) duplicates or overlaps with an existing service area risk, we have worked with officers to address this on the system and so avoid the effort in updating two risk records.

This approach has been taken for the Integrated Adult Social Care (IASC) Service Area, where budget book risks have been 'stood down.' The related budget book risk will show on the Budget Book Risk Register with a very low score not requiring review, and the Service Risk is linked to the Budget Book Risk Register.

We are continuing to work with the Director of Finance and Public Value to ensure that the process for monitoring Budget Book risks is robust and efficient. We are working with officers to support the monitoring

of risks directly linked to the budget setting and monitoring process. Budget Book risks as recorded on the risk management system and are subject to update by the relevant Head Accountant and service areas leads to reflect the 2022/23 budget position.

We note that Children and Young People’s Futures Budget Book risks are subject to review by Head Accountants in conjunction with the Service Area leads. These risks are subject to update and should therefore be treated accordingly

Occasionally, exceptions occur where risks have a Current (Mitigated) Score that is higher than the initial Inherent (Unmitigated) Score. This happens when the normal circumstances under which risks are scored suffer a temporary but significant change in context, with instances normally rare. It is of note that this inconsistency currently applies to the following risks, reflecting risk areas relating to demand for services and resource availability.

Risk Title	Inherent Score (Unmitigated)	Current Score (Mitigated)
Insufficient capacity of the High Needs Block to meet demand - Children’s Services	20: High	24: Very High
SC1: Education and Learning Services budget availability	20: High	24: Very High
Demand for Children’s Social Work - Children’s Services	16: High	24: Very High
HR Recruitment and Retention	16: High	20: High
Potential Flu Pandemic	15 : High	16 : High
FIN06 – Failure to Properly Plan Finance Workforce requirements	12 : Medium	16 : High
Staffing capacity risk of insufficient staff to meet service need (Adopt SW)	12 : Medium	16 : High
Council Tax Arrears / Support Charges	12 : Medium	15 : High

Additional mitigations may well be required to manage the risks and, in some cases, where there is a permanent change in context, the unmitigated score will also need to be reviewed and updated, where the above continue to remain as exceptions, we will work with the relevant Risk Champion to restructure the risk to reflect any “new normal” circumstances.

The management and reporting of risk continues to evolve and build on the positive culture of expectation around risk information. This leads to greater interaction and requests for enhancements, further growing levels of reporting, expectation, and an overall improvement in risk management.

The [Power Bi Dashboard](#) displays the change in risk scores and overall risk profile for the Council and shows where risks have both increased and decreased, this should provide both insight and assurance to the Committee that the risk management process is continuing to capture and update risks linked to current activities.

**Audit Committee Risk Dashboard** - Further information on the current position for existing risks can be found using this [link to Power BI reporting](#). The information within this dashboard is updated from the Risk Register every 7-14 days, providing the most up to date view of data. The Dashboard is evolving to ensure that the information held is presented in a clear and useable format. Training for Members on the use of Power BI reporting has recently been provided and is available on request.

## Risk Management 2022/23

Further consolidation and development of Risk Management activity continues to build on the progress made to date. As we move through 2022/23 and beyond the key areas of challenge include ***Demand for Services, Finance and Resource availability and Climate Adaptation***. The Council will need to tackle these areas, both in terms of the risks that they pose, and the opportunities that the changing UK context could present.

Risk Management activity across the Council continues to be focused on these and other emerging areas with planned activity including:

- New Risks (Internal) – Supporting in the prompt and accurate identification of new / emerging risks, as well as determining the impact of such risks and scoring as such.

- New Risks (External) – Gaining insight from other organisations to risks not yet affecting the Council.
- Risk Mitigation – Identification and recording of mitigating controls.
- Risk Reporting – Clear presentation of residual risks to senior management to enable effective and timely decision making to manage risk to acceptable levels. This includes alignment of risks to the Council’s Strategic Plan 2021-25 priorities, and associated reporting.
- Risk Scoring – Continuing 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. In particular we are looking to develop a Corporate Multiplier approach and will brief the committee on this at a future meeting. The Corporate Risk Management Group met to discuss the consistency of risk scoring and how to improve it further.
- Consideration of global, national, and regional ‘external’ risks and their impact on the Council, it’s service and population.

## Background – Policy and Process

The [Risk Management Policy](#) includes a description of the Roles and Responsibilities in relation to risk management. In practical terms this results in the submission of Risk Management reports to Members via the Audit Committees, and periodic sharing of risk information to Scrutiny Committees, including where risks cross over different scrutiny functions. To support the reporting to members and to comply with the Risk Management Policy and best practice, Leadership Group are provided with updates throughout the year.

## Supporting Appendices

- Appendix A – Extract of a Sample of some of the Highest Rated Risks (Based on Current Risk Score).
- Appendix B – DCC Impact Scoring Guide.
- Appendix C – Power BI Extract.

**Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.**

Risk Title	Linked Service Area	Inherent Rating	Current Rating	Risk Owner	Accountable Officer
<b>Corporate Services - Key Themes include Resource/Capacity, Cyber Security, Climate Change, Covid-19</b>					
BI21 - Successful Cyber Attack	Council Wide – Digital Transformation & Business Support	30: Very High	24: Very High	Robyn Dennis	Gary Dempster
Covid-19 Pandemic	Council Wide – Public Health	30: Very High	24: Very High	Steve Brown	Leadership Group
Climate Change	Council-wide - Planning, Transport and Environment	30: Very High	20: High	Dough Eltham	Meg Booth
FIN05 - Failure to Prepare or Control Robust Budget	Council Wide – Finance Services	20: High	20: High	Matthew Thorpe	Angie Sinclair
FIN39: Failure to deliver priority services as a result of significantly reduced finances	Council Wide - Finance Services	20: High	20: High	Matthew Thorpe	Angie Sinclair
HR: Workforce Recruitment and Retention	Human Resources	16: High	20: High	Samantha Mullins	Maria Chakraborty
Refugees and migrants are not adequately supported to access services and integrate into local communities	Council Wide – Communities	20: High	16: High	Simon Kitchen	Leadership Group
FIN06 - Failure to Properly Plan Finance Workforce Requirements	Finance Services	12: Medium	16: High	Matthew Thorpe	Angie Sinclair
Council Tax Arrears/Support Charges	Finance Services	12: Medium	15: High	Alex Hosking	Leadership Group
<b>Adult Social Care – Key Themes include Statutory Duties, Demand and Resource/Capacity, Cost of Living*</b>					
CSLT-PC1 – The council fails to meet its Care Act market sufficiency duty for personal care	Adult Commissioning and Health	30: Very High	25: Very High	Nicola Tribble	Solveig Wright
CSLT-CH1 - The council fails to meet its Care Act market sufficiency duty for care homes	Adult Commissioning and Health	30: Very High	25: Very High	Nicola Tribble	Solveig Wright
OSLT-D4 - Insufficient financial resources to support people with eligible social care needs	Adult Care Operations and Health	25: Very High	25: Very High	Keri Storey	Tandra Forster
CSLT-CH4: Adverse impact of cost of living increases on the Care Home market	Adult Commissioning and Health	25: Very High	25: Very High	Nicola Tribble	Solveig Wright
CSLT-D8 – ASC Charging Reform: capability to deliver the requirements of the Government’s ‘People at the heart of care’ social care charging reform	Adult Commissioning and Health	25: Very High	25: Very High	Damien Furniss	Solveig Wright
OSLT-CM8 - Safeguarding Adults at Risk with Care and support needs	Adult Commissioning and Health	25: Very High	25: Very High	Tina Ramage	Keri Storey
OSLT-CM1 Failure of the Authority to meet its statutory obligations under The Deprivation of Liberty Safeguards (DoLS)	Adult Care Operations and Health	24: Very High	24: Very High	Sandra Geary	Gary Patch

**Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.**

Risk Title	Linked Service Area	Inherent Rating	Current Rating	Risk Owner	Accountable Officer
CSLT-D1 - Changes in demand for services post-pandemic destabilise the market for adult social care	Adult Care Operations and Health	24: Very High	24: Very High	Nicola Tribble	Solveig Wright
CSLT-D6 - ASC Charging Reform: unknown financial implications of implementing the Government's 'People at the heart of care' social care charging reforms	Adult Commissioning and Health	25: Very High	20: High	Damien Furniss	Solveig Wright
OSLT-D7: ASC Charging Reform: capacity to deliver the requirements of the Government's 'People at the heart of care' social care charging reform	Adult Commissioning and Health	20: High	20: High	Damien Furniss	Solveig Wright
CSLT-UC2: Adverse impact of cost of living increases on the unregulated care market	Adult Commissioning and Health	20: High	20: High	Nicola Tribble	Solveig Wright
OSLT-CM5 – Challenge in recruiting appropriately qualified adult social care professionals to the in-house workforce	Adult Care Operations and Health	20: High	16: High	Tina Ramage	Keri Storey
<b>Children's Social Care – Key Theme include Demand and Resource/Capacity, Safeguarding, Statutory Duties</b>					
Insufficient capacity of the High Needs Block to meet demand	Children's Social Care	20: High	24: Very High	Jackie Ross	Julian Wooster
SC1: Education and Learning Services budget availability	Education and Early Help	20: High	24: Very High	Damien Jones	Julian Wooster
Demand for Children's Social Work	Children's Social Care	16: High	24: Very High	Jassi Broadmeadow	Julian Wooster
Demand for Children's Services exceeds the financial provision	Children's Social Care	24: Very High	20: High	Karen Powlesland	Julian Wooster
Insufficient Capacity in Education and Learning Services to ensure the quality of education and safety of children subject to elective home-schooling	Education and Early Help	20: High	20: High	Rachel Shaw	Julian Wooster
Death or Serious Injury to a Child or Young Person	Children and Young People's Futures; Council-wide	20: High	20: High	Julian Wooster	Leadership Group
Education and Learning: High Needs Block/DSG Deficit	Education and Early Help	30: Very High	16: High	Jackie Ross	Julian Wooster
Insufficient staffing capacity to deliver full Public Health Nursing service offer	Public Health Nursing	25: Very High	16: High	Victoria Howard	Kate Stephens
Failure to adhere to the statutory SEND Code of Practice: 0 to 25 Years	Education and Early Help	16: High	16: High	Jackie Ross	Julian Wooster

\*Please note that Adult Social Care risks (including risks CSLT-CH1, CSLT-D6, CSLT-D8 and OSLT-D7) relating to financial, capacity and capability challenges are currently subject to review by the service area. These risks are being reviewed in the context of the Reform Programme to ensure that they align appropriately to the challenges relating to charging reform, cost of care, regulation and Liberty Protection Safeguard changes.



Details on the controls and mitigations planned or in place for the risks with a current risk score of Very High (at the time of preparing this report) shown above can be found on the following pages - Risk Mitigations (RAG rated as per the Risk Register Entry)

### Additional Risk Detail

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.

#### Corporate Services

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
BI21 - Successful Cyber Attack	24: Very High	Risk Description: Successful Cyber Attack on the Authority							
		Summary of Controls and Mitigations:-							
		Amber	Annual PSN Compliance process	Amber	Business Continuity Planning	Amber	Disaster Recovery Plan	Amber	Communication and Reporting
Covid-19 Pandemic	24: Very High	Risk Description: 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.							
		Summary of Controls and Mitigations:-							
		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	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	Policy and Guidance	Green	Training and awareness	Green	New cyber security platform rolled out	Completed	Strategic Cyber Security Manager appointed

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
					capabilities in place				
		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	Green	Formation of Recovery Group	Green	Creation of Health Protection Board; Local Outbreak Management Plans published. Associated Tactical Management Group Structure and Tactical Resource Incident Management Group established.		

**Adult Social Care**

Risk Title	Current Risk Score	Controls and Mitigations
CSLT-PC1 – The council fails to meet its Care Act market sufficiency duty for personal care	25 : Very high	<p>Risk Description: Cause - Lack of available service capacity due to inability to secure sufficiency of personal care supply in certain parts of the County, coupled with the impact of Covid-19</p> <p>Event - Providers are unable to recruit and retain appropriately qualified care workers to meet demand for personal care services in certain parts of the County, coupled with levels of demand, changing patterns of need (e.g. higher care packages in personal care), changes required due to new infection control measures and impact on workforce.</p> <p>Impacts - 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. There may also be difficulty in accessing care home placements due to Covid impact and, in some sectors such as day services, previous models of service may no longer be viable. The consequences will include. people being delayed in hospital whilst care packages or placements 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. The impact of</p>



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Risk Title	Current Risk Score	Controls and Mitigations							
		Covid on unpaid carers has also been pronounced, with increased pressure arising from e.g., not being able to access certain forms of replacement care.							
		Summary of Controls and Mitigations:-							
		Amber	There are increasing numbers of people who are waiting for a package of care and at generally higher volumes. There is care home capacity but due to outbreaks and staffing challenges this is becoming more of an issue.	Amber	Performance monitoring of contract maintains high vigilance and actions	Green	Weekly whole system escalation call. manages risk and agrees actions	Green	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	Green	Capacity shortfalls being covered through the use of agency staff to backfill short term services c.a. 5,000 hours p.w.	Green	Block contract arrangements to cover winter pressures in place with the independent sector
		Red	Love Care campaign will over the medium-term help with recruitment and retention issues (medium term initiative)						
CSLT-CH1 - The council fails to meet its Care Act market sufficiency duty for care homes	25 : Very high	Risk Description: (currently under review / to be updated by the service area) Summary of Controls and Mitigations:-							
		Amber	Additional funding requirements included in the Medium-Term Financial Plan	Green	Short term funding available via IPC/RT grants and COMF funding bids	Red	LoveCare supporting workforce initiatives (ESF training/recruitment campaign/national campaign to get a fair pay deal for staff). (Current status - medium term impact).	Amber	NHS recruitment and active partnership with care homes

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations									
		Amber	Care homes fee model and placement process to be reviewed	Red	Considering capital investment to create additional capacity in the market and / or preventing further loss of capacity. (Medium-term initiative)	Amber	Conversations with providers new to the Devon area to secure block purchase of beds in new developments.				
CSLT-CH4: Adverse impact of cost of living increases on the Care Home market	25 : Very high	<p>Risk description: Cause - Sustained increases in the headline rate of inflation.</p> <p>Event - The increase in the energy cap from April 2022 will result in significant increases in the costs of electricity and gas adversely impacting the cost bases of buildings-based care providers. This position will be further exacerbated by the war in Ukraine which is resulting in further increases in costs and potential disruption to future supply. In addition, the headline rate of inflation is increasing adding additional cost pressure on essential commodities, e.g. food. The recently agreed inflationary uplift in fee rates for 2022-23 whilst based on the RPI makes no allowance for further in-year inflationary pressures.</p> <p>Impacts - Increasing cost pressures on buildings-based providers may result in financial instability and lead to:</p> <ul style="list-style-type: none"> <li>• Further funding requests from providers either individually or collectively</li> <li>• Increasing fee rates</li> <li>• Provider failure</li> <li>• Market instability</li> <li>• Market insufficiency</li> </ul> <p>Provider failure will result in the need to re-provision care home placements for service users which could lead to increased frailty and vulnerability adversely impacting on health and social care needs. In addition, care management capacity will need to be redirected to support the re-provisioning of placements adversely impacting on assessment, review and safeguarding capacity.</p> <p>Summary of Controls and Mitigations:-</p> <table border="1" data-bbox="472 1289 2145 1385"> <tr> <td data-bbox="472 1289 636 1385">Red</td> <td data-bbox="636 1289 999 1385">Care Home whole fee and fee model review (Care Homes Programme)</td> <td data-bbox="999 1289 1182 1385">Amber</td> <td data-bbox="1182 1289 2145 1385">Market Management Team support to the market to understand impact of 'cost of living' increases</td> </tr> </table>						Red	Care Home whole fee and fee model review (Care Homes Programme)	Amber	Market Management Team support to the market to understand impact of 'cost of living' increases
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Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations					
CSLT-D8 – ASC Charging Reform: capability to deliver the requirements of the Government's 'People at the heart of care' social care charging reform	25 : Very high	Risk description: <i>Subject to review by the Service area in light of Government policy/legislative change</i>					
		Summary of Controls and Mitigations:- <table border="1" data-bbox="472 288 2145 681"> <tr> <td data-bbox="472 288 591 681">Green</td> <td data-bbox="591 288 1046 681">Reform Board has been established and is providing the governance framework for this area of activity</td> <td data-bbox="1046 288 1180 681">Amber</td> <td data-bbox="1180 288 2145 681">Project Plan has been developed, which identifying the skills and resource requirements to deliver proposals</td> </tr> </table>				Green	Reform Board has been established and is providing the governance framework for this area of activity
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Risk Title	Current Risk Score	Controls and Mitigations							
OSLT-CM8 – Safeguarding Adults at Risk with Care and support needs.	25 : Very high	Risk Description: Increasing demand, capacity, and high risk/complexity pressures within and across the whole of the safeguarding adult system .  Summary of Controls and Mitigations:-							
		Green	Additional short-term investment in additional safeguarding capacity as part of pandemic response.	Green	Increased revenue budget provision 2022-23 to sustain additional safeguarding capacity.	Green	Safeguarding Adult Hub Escalation protocol operated at times of high waiting list numbers to reduced waiting list in the Safeguarding Adult hubs.	Green	Safeguarding Adult hubs regularly review safeguarding adult concerns that are on the waiting list, to reassess risk and priority.

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations							
		Green	Safeguarding Adult hubs regularly review safeguarding adult concerns and for those concerns with an identified CHSCT involved worker these are passed directly to the CHSCTs to triage and take action.	Green	Workforce and recruitment lead has been appointed to specifically focus on the recruitment of registered professionals. Regular reports are being developed and distributed around workforce pressures and a current action plan outlining the work of the workforce and recruitment lead is available.	Green	Working group set up from the Practice Working Group to develop supportive guidance for managers on managing workload pressures to support decision making.	Green	Developing TDSAP multi-agency agreed practice guidance for professional referrers to support decision making on when to refer safeguarding concerns pertaining to unwitnessed falls; resident on resident altercations; medication errors.
OSLT-CM1 Failure of the Authority to meet its statutory obligations under The Deprivation of Liberty Safeguards (DoLS)	24: Very High	<p>Risk Description: Cause - 2014 Supreme Court judgement P v Cheshire West and Chester Council and P &amp; Q v Surrey County Council” lowered the threshold for what amounts to a deprivation of liberty. Individuals who lack capacity in relation to their care, treatment and place of residence and are subject to continuous supervision and control, not free to leave their care setting and the care is imputable to the state, are deprived of their liberty.</p> <p>Event - Greater numbers of individuals likely to be experiencing a deprivation of their liberty than pre–Supreme Court ruling. Without assessment and authorisation under DoLS or applications to the Court those individuals are unlawfully deprived and not able to easily access safeguards such as Advocacy, regular review and independent oversight by specialist assessors and appeal to the Court.</p> <p>Impacts - The Council fails to meet its statutory obligations regarding the application of The Deprivation of Liberty Safeguards (DoLS) and Community Deprivations of Liberty. As a result, individuals are put at unacceptable risk of Human Rights breaches, overly restrictive practices and a lack of legal recourse to appeal to the Court of Protection. An inability to assess High Risk cases where</p>							

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations							
		the individual / family are objecting and cases which require recourse to the Court. Potential for high level fines / financial and reputational damage to the Organisation.							
		Summary of Controls and Mitigations:-							
		Green	CLT approved Prioritised plan remains in place to address both residential/nursing/hospital and community deprivations.	Completed	1-year additional funding provided in 2018 was highly successful with the completion of 1000 additional assessments. This reduced the risks associated with the high waiting list. The impact of this mitigation as of 2022 is significantly reduced. Ongoing year on year additional resource would be required to maintain the performance levels attained during the project period.	Green	Limited Temp BIA use to maximise the opportunities to ensure individuals subject to existing Dol orders from the court are reviewed by the service and back with the Court within timescales	Red	Future mitigation: Mental Capacity Amendment. The Liberty Protection Safeguards will replace DoLS and Community Dol process. Providing a one system approach to authorising a deprivation of liberty.
		Red	LPS Project / implementation Board in place reports provided to Scrutiny and CHLT outlining significant changes and Risk / cost implications. Updates provided as required or as new risk becomes apparent.						



Appendix A – An **extract of a sample** of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations							
CSLT-D1 - Changes in demand for services post-pandemic destabilise the market for adult social care	24: Very High	<p>Risk Description: Cause - The global Covid 19 pandemic resulted in a higher than usual level of deaths in care homes (albeit at a much lower level than most of the country) and also in the older population in general.</p> <p>Event - Heightened news coverage of care home infections and fatalities has resulted in families being reluctant to place their loved ones in these settings. In addition, people in receipt of personal care in their own homes were reluctant to maintain services for of contracting the infection, although this has now reversed. With more informal care available due to people being furloughed coupled with temporary financial packages to stabilise the market place these arrangements have been sustainable in the short term.</p> <p>Impact - Future demand for services remains unknown, but it is likely that the consequences of the media portrayal of care home outbreaks will result in fewer residential care home placements with care through the front door being the favoured choice. This therefore has the potential to destabilise the care homes market due to the non-financial viability of homes. It also places increased strain on an already pressurised personal care market, which is already being seen in the number of much larger packages of care that are being requested. Day services are badly impacted, with many either unable to reopen in the short term or needing to change their business model, with attendant increased demand in other sectors. Supported Living environments are also under pressure due to reduced activity and risk of infection transmission. Providers are reporting wider impact of Covid e.g. on availability of and cost of insurance. There will be further pressure on prices for this, PPE and other business costs.</p> <p>Summary of Controls and Mitigations:-</p>							
		Amber	Develop an understanding of demand for care home and personal care placements during the pandemic (January to June).	Amber	Scenario planning to understand the likely impact of future demand on the market.	Red	Revised requirements to be included in the Market Position Statement refresh and Sufficiency Assessment due in September.	Red	On-going market management work to reshape market to meet future requirements.
		Red	Future demand modelling required, accounting for (where possible) potential impact of any future phases of Covid-19						

Details on mitigations controls relating to risk OSLT-D4 are subject to input by the service area. Additional Adult Social Care high scoring risks can be viewed via the Power BI dashboard, including the risk relating to Preventable death, injury or serious harm to an adult at risk as a result of institutional abuse.

Children’s Social Care

Risk Title	Current Risk Score	Controls and Mitigations							
Insufficient capacity of the High Needs Block to meet demand	24: Very High	Risk Description: 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.  Summary of Controls and Mitigations:-							
		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. This is not being achieved - more and more demand for specialist placements exists - all maintained special schools places are full as of August 2018. Mitigating control is now looking at cost management in this sector.	Red	Quality assurance of provision and strategic market management. Good QA processes in place - recently confirmed in Independent review of EHCP policy and process.	Red	Capping of element 3 payments, Practice is implemented in mainstream schools, completion date of Dec 2018 planned.	Amber	Increased capacity in maintained special schools. Forward plans proposed in SEN Strategic Review, additional capacity added over 130 places in last two years
		Green	New Special School settings to be agreed. Free school (Glendinning House) start date postponed by DfE to Sep 2020. New school (ACE	Red	Cost analysis of Independent sector placements to achieve value for money in contracts with	Red	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

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations							
			Tiverton) agreed opening Sep 2019 with additional 30 places rising to 72 over next three years. New special SEMH School in Okehampton - 100 places for KS1 to KS4, planned opening Sep 2022 New special school in South Hams ASC with SEMH (in partnership with Plymouth). 140 places for aged 7 to 16. Date to be agreed with DfE		providers. Block contracting arrangements with preferred providers under discussion in Summer 2019				independent placements
		Green	New special school places funded through agreed corporate budget to increase places available within state funded sector to reduce future placements in Ind sector - 300 places to be created over 5 years from Sep 2020	Amber	Request to transfer funding from Schools Block to HNB to implement central outreach and support services to mainstream schools to increase confidence in mainstream sector and reduce need for specialist provision.	Green	SEND 100 Projects to reduce demand for EHCPs and demand for change of placements		
SC1: Education and Learning Services	24: Very High	<p>Risk Description: Continued growth in SEN number leading to increased costs for home to school transport (which is a statutory duty). This could lead to a budget overspend which would need to be absorbed within the Education and Learning Core budgets, reducing the ability to deliver other services and initiatives.</p> <p>Summary of Controls and Mitigations:-</p>							

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations							
budget availability		Amber	Management actions within TCS including route analysis and efficiency savings. Target for 2017/18 met but overspend remains due to ongoing SEN transport costs.	Green	TCS monitoring and regular review across all areas of spend to identify potential problems and overspend	Green	Policy regularly reviewed and adjusted to reduce areas of discretionary spend. Revised Post 16 Policy phased in from September 2017.	Completed	Actions were identified through corporate transport project board which have been implemented.
		Amber	Growth and market forces build into budget preparation and planning	Green	Additional budget allocated for 2020/21 with ongoing monitoring and growth predictions	Amber	Review of budget for 2021/22 taking into account continued growth in SEND transport request		Budget setting for 2022/23 identified significant gap (£5.5million) - TCS will review networks to identify efficiencies to free up capacity and reduce costs - Relook at discretionary areas of policy and review of fee levels - Transport linked to wider review of EHCP and SEND processes with transports input into decision making processes - Longer term budget planning to take into account future financial years

Appendix A – An extract of a sample of some of the Highest Rated Risks Based on Current (Mitigated) Risk Score.

Risk Title	Current Risk Score	Controls and Mitigations					
		Amber	Additional network review officers in place for 2022/23 to increase output	Red	Savings target for 2022/23 increased to £1.3million but this will not impact on the budget deficit of £5.6million identified at the start of the financial year		
Demand for Children's Social Work	24: Very High	Risk Description: Demand for statutory children's social work and cost of social care increases and cannot be met within available resources.					
		Summary of Controls and Mitigations:-					
		Completed	Development of Early Help offer to prevent needs from escalating.	Completed	Consideration of the impact and effectiveness of the relationship between Early Help and Social Care teams , including the MASH to be conducted.	Completed	Work with partners through the DCFP and MASH to reduce rates of referrals.
Green	Edge of care' model introduced to reduce adolescent entrants to care.	Completed	Development of an 'edge of care approach alongside a revised Sufficiency Strategy.	Amber	Introduce Edge of Care service (May/June 2020). For implementation November 2020.		

Additional Children's Services high scoring risks can be viewed via the Power BI dashboard, including the risk relating to Death or Serious Injury to a Child or Young Person.

**Impact Assessment Guide**

	Health & Wellbeing	Service Users	Stakeholders	Reputation	Performance / quality standards	Legal	Financial	Pensions & Investments
<b>1</b> Negligible	Insignificant impact on public's health and wellbeing. Very small number of the population affected.	Minimal impact or service disruption to customers. Contained within service area.	Affects only 1 group of stakeholders	Minimal and transient loss of public trust. Contained within the individual service area.	No impact on local standards.	No legal action is anticipated.	Under £25,000	Under £100,000
<b>2</b> Minor	Minor impact on health and wellbeing affecting a small number of the population. Likelihood of fatalities is negligible.	Minor impact to customers and customer. Limited service disruption.	Affects more than 1 group of stakeholders	Slight loss of trust with no lasting impact. Little adverse publicity.	Failure to meet local standards.	Tribunal / DCC legal team involvement required (potential for claim).	£25,000-£100k	£100k - £1m
<b>3</b> Moderate	Significant impact on health and wellbeing affecting a large number of the population. Fatalities not anticipated.	Moderate impact to customers and customer. Moderate service disruption.	Affect 2-3 groups of stakeholders	Moderate loss of trust that receives significant adverse publicity locally with no lasting impact.	Failure to meet national standards.	Defensible legal action anticipated.	£100k - £1m	£1m - £10m
<b>4</b> Major	Significant impact on health and wellbeing affecting large number of the population. Fatalities are anticipated.	Significant impact to customers and customer. Threat of legal action	Affects 4-5 groups of stakeholders	Significant loss of trust and receives local media attention with potential for lasting impact.	Failure to meet professional standards / statutory requirements	Criminal prosecution anticipated and or civil litigation (1 person).	£1m - £10m	£10m - £100m
<b>5</b> Catastrophic	Large impact on health and wellbeing affecting a very large number of the population. Multiple fatalities are anticipated.	Major service disruption. Significant customer opposition. Legal action. Long term public memory	Affects more than 5 groups of stakeholders	Significant loss of trust and receives national media attention with potential for persisting impact.	Sustained failure to meet professional standards or statutory requirements.	Criminal prosecution anticipated and or civil litigation (>1 person).	>£10m	>£100m

1. Choose the relevant columns and note the closest description of potential impact.
2. Then use the score from the most relevant column. For example, if there may be a high financial impact, but the initial impact may be loss of life, choose the Health and Wellbeing Score.



See Accompanying PowerPoint document or click on the version embed below. The [Live link](#) is also in the body of the report above.

**Note – This is a point in time extract, not a reflection of the data as it will be at the time of accessing via PowerBI.**



Audit Committee  
dashboard.pdf

*Please note that the data contained within the above pdf extract is representational. Please view the Power BI link for full risk information.  
The Power BI dashboard is subject to update including to reflect DCC Structure changes.*