



devon**audit**partnership



CIR Risk Management

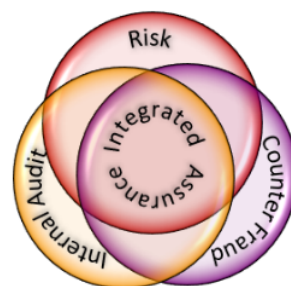
AWARDS 2022

shortlisted

Risk Management

Annual Report for 2022/23

June 2023



Audit Committee

JUSTOMER
SERVICE
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Support, Assurance & Innovation

Introduction

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.

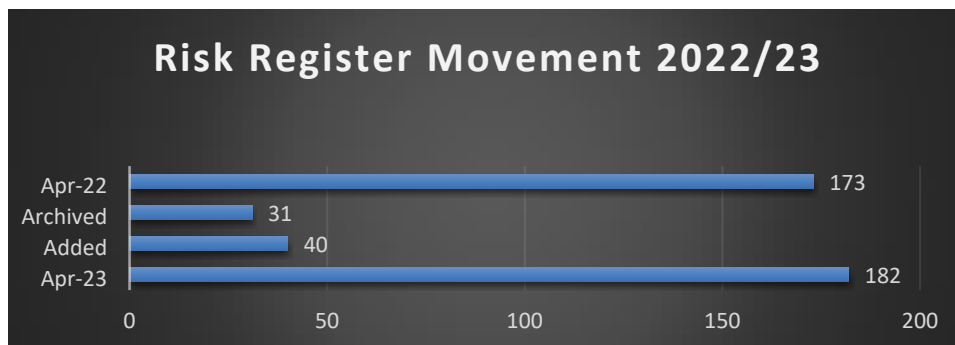
The Audit Committee is responsible for ensuring that the council's Risk Management process is carried out effectively. It will not normally examine specific risks to objectives in detail but satisfy itself that risks are being monitored appropriately by the risk owner and relevant Scrutiny Committee. 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.

2022/23 Risk Movements

Changes during 2022/23 resulted in a net increase of nine risks during 2022/23 as per the chart below.



Reasons for increases in risk recording include:- changes in the risks facing the Council such as risks relating to the Economic situation, including in relation to increased cost of living, cost of fuel; changes to budget book risks; an increased awareness of risk management; and additional service areas using the risk management system.

Reasons for archiving risks include the Current Risk Score falling below that set in the Risk Management Policy for monitoring risks, and risks evolving and being replaced by or merged with others. Also, amendments to budget book risks (as per above). Further information on the risks archived in 2022/23 is shown in the chart below.



Key – TP&R Transformation Performance and Resources, CYPF Children and Young People's Futures, IASC Integrated Adult Social Care, CEE&T Climate Change, Environment and Transport; P&SD Policy and Strategic Development.

Further actions, changes and events during the year

Other notable actions and changes linked to risk management during the year include:

- Work in support of the Council's Disaster and Emergency Management System Tactical Development Group, including in relation to identification of shared/council-wide risks.
- Risk analysis input in support of the Council's approaches to PROTECT and Corporate Parenting duties.
- Work with service areas and Risk Champions to develop and populate risks for inclusion on the Risk Register, including in relation to new in-year budget book risks. Fraud risk awareness.
- Support to service areas in developing and managing risks relating to the impact of the 'Cost of Living' crisis. Including updates made to budget book risks impacted by cost of living increases.
- Development of Cause-Event-Impact risk models for new risk areas, including relating to the use of Drones.
- Continuation of the development of a Budget Book Risk Register to support the monitoring of risks directly linked to the budget setting and monitoring processes.
- Regional Risk Management Group - Working together to identify cross-cutting Regional Risks and share good practice, including in relation to Regional Risk identification.
- Work shortlisted for the CIR Risk Management Awards 2022, in the category Risk Management Team of the Year Public Sector.

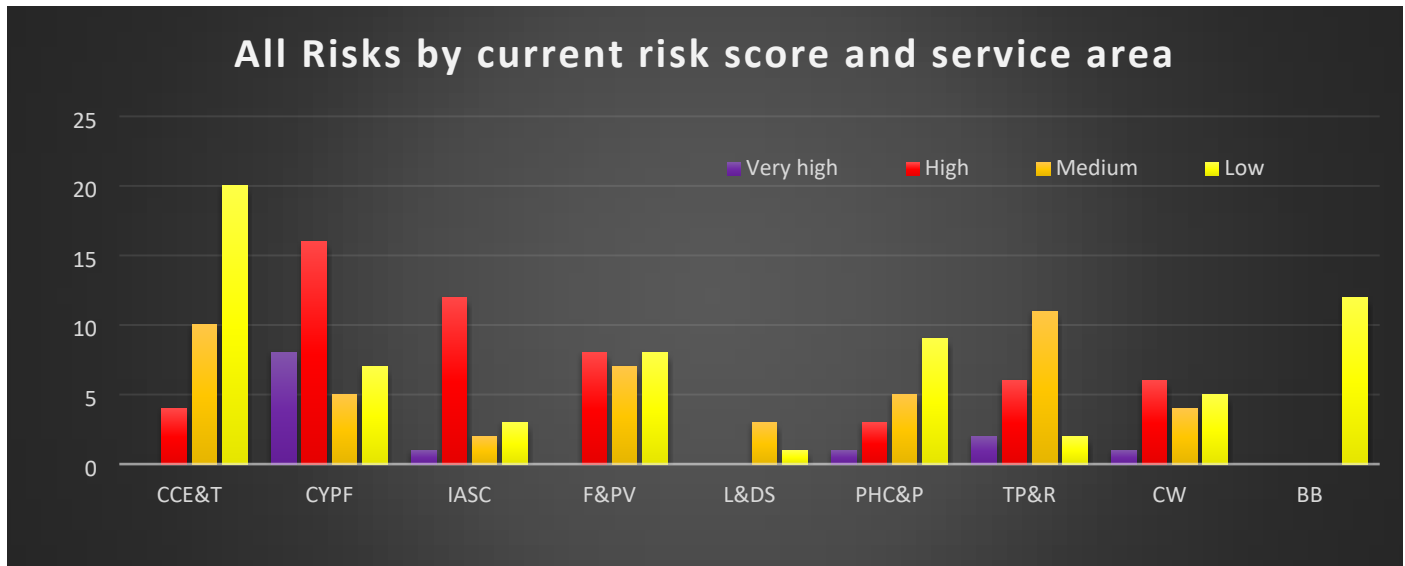
The management and reporting of risks during 2022/23 has continued to evolve and build on the positive culture of expectation around risk information. This has led to greater interaction and requests for enhancements, further growing levels of reporting, expectation and overall risks management.

The Council's Risk Management Policy and Risk Management Strategy 2020-25 is published at [Manage risks - tasks and guides \(devon.gov.uk\)](https://www.devon.gov.uk/management-risks-tasks-and-guides). The Risk Management Policy has been reviewed and minor updates made. No change is required to the Strategy. The updated Policy document is attached at Appendix D. Any comments on the Policy can be sent to finance.riskmanagement-mailbox@devon.gov.uk

Current Risk Position (May 2023)

There are 182 risks recorded in the Risk Register as of 12th May 2023. Of these, twenty-six were initially assessed to be Very High; however, following the application of mitigating controls by management the Current risk score for seventeen had been reduced to High, and two to Medium. Seven risks (relating to Children's and Young People's Futures, Integrated Adult Social Care, Covid-19, and Cyber attack) remain as Very High.

Of the 182 risks, thirteen risks show a Current Risk score of **Very High**, being in relation to Children's and Young People's Futures, Integrated Adult Social Care, Covid-19, Cyber attack, and Economy, Enterprise and Skills. Fifty-five showed a Current Risk Score of High, forty-seven Medium and sixty-seven Low. The following chart shows the risks by their Current (Residual) risk score on 12th May 2023 by service area.



Key – CCE&T Climate Change, Environment and Transport; CYPF Children and Young People's Futures; IASC Integrated Adult Social Care; F&PV Finance and Public Value; L&DS Legal and Democratic Services; PHC&P Public Health, Communities and Prosperity; TP&R Transformation Performance and Resources; CW Council wide; BB budget book risks (outside of service area risk registers).

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

The 'direction of travel' of a risk is included. This is determined from the most recent risk review, comparing current risk score to the previous risk score (unchanged, increased or reduced), and corresponding change in score.

In some instances, a current risk score may be higher than the original 'inherent' risk score; for example, where circumstances beyond the Council's control, such as budget availability, have increased the original risk since its inception.

Risk Management in 2023/24

Impacts from climate change, world events (such as those in Russia and Ukraine) and the national and global economic situation will, amongst other areas, feed into the Council's risks and challenges, including the increases to living and fuel costs and their impact on communities, employees and the wider workforce.

Demand for Council services is anticipated to increase in many areas. Balancing limited financial resources with the demand for and delivery of services remains a key risk area for the Council.

Future Areas of Focus – Further consolidation and development of Risk Management activity will continue in 2023/24 building on the progress made to date. As we move through 2023/24 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:

- Updating the format of risk wording – This will allow easier description and wider understating 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. This will include the development of Corporate Risk scoring to assist with the scoring of cross-cutting and shared risks.
- 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, it's service and population. For example, the World Economic Forum, Global Risks Report 2023 identifies the top five most severe risks on a global scale over the next two years, as being Cost-of-living crisis,

Natural Disasters and extreme weather events, Geoeconomic confrontation, Failure to mitigate climate change, and Erosion of social cohesion and societal polarization; and the top five most severe risks on a global scale over the next ten years, as being Failure to mitigate climate change, Failure of Climate Change Adaptation, Natural Disasters and extreme weather events, Biodiversity loss and Eco-system collapse, and Large scale Involuntary Migration.

- Risk information will continue to 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. The Risk Management Power BI Dashboards will be updated in 2023/24 to include planned enhancements, including the functionality to report risks by their associated Strategic Plan priority theme.
- Prevention/Early Intervention and Horizon scanning. Building on our development of cause-event-impact risk models, we will continue to work with service areas to identify new and emerging risks and to identify and put mitigating actions in place to address and reduce risks before issues arise. This will include consideration of risks and opportunities pertaining to new technologies, such as Artificial Intelligence and Chat GPT.

Counter-fraud arrangements are a high priority for the Council and assist in the protection of public funds and accountability. During the year we will continue to implement our Joint Assurance arrangements involving close working between Internal Audit, Counter Fraud and Risk Management teams.

This brings a more organic approach to service delivery with the aim of improving depth and quality in all three areas. It includes actions such as updating risk information based on internal audit feedback, including in respect of mitigating actions, and internal audit planning taking into consideration the Council's risk position.



There will be a targeted review of existing risks with a focus on the potential for fraud, and an active programme of fraud risk assessment with the various service areas.

Council Priorities - Risk Management provides maximum value when it is driven by clear links to objectives, therefore we have linked the Council's risks to the Council's [Strategic Plan 2021-2025](#) priorities.

Devon County Council [priorities](#), as part of the strategic plan, are:

- [Respond to the climate emergency](#)
- [Be ambitious for children and young people](#)
- [Support sustainable economic recovery](#)
- [Tackle poverty and inequality](#)
- [Improve health and wellbeing](#)
- [Help communities be safe, connected and resilient](#)

Risk reporting in relation to Strategic Plan priorities will be used to inform the Annual Plan reporting and will be included in the risk management Power BI Dashboards.

Race Equality Audit outcomes - The CIRS Scrutiny Committee has oversight of the Council's [Race Equality Audit 2021](#) and [Race Equality Action Plan](#), and receives progress reports on a six monthly basis.

Risk Management Culture - Risk Management activity in 2022/23 will continue to support the enhancement of a positive risk management culture across the Council, including in support of the Council's [Core Principles and Behaviours](#)



Supporting Appendices

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

Appendix B – Risk Management Scoring Guidance

Appendix C – Power BI High Level Extract

Appendix D – Risk Management Policy

Appendix E – Project Risk guidance

Background Paper

The World Economic Forum, Global Risks Report 2023 referred to above, available at the following location

[Global Risks Report 2023 | World Economic Forum \(weforum.org\)](https://www.weforum.org/publications/global-risks-report-2023/)

Children and Young People’s Futures risks (sample extract of risks with a current score of High or above at 12th May 2023)

Risk Title	Inherent Score	Current Score	Risk Category	Risk Owner	Accountable Officer	Last Review	Change at Last Review
Education and Learning: High Needs Block/DSG Deficit	30 : Very High	24 : Very High	Financial	Jackie Ross	Julian Wooster	Feb 2023	↑ +8
Demand for Children’s Services exceeds the financial provision	24 : Very High	24 : Very High	Strategic	Karen Powlesland	Julian Wooster	Feb 2023	↔
Insufficient capacity of the High Needs Block to meet demand	20 : High	24 : Very High	Operational	Jackie Ross	Julian Wooster	Feb 2023	↔
SC1: Education and Learning Services budget availability	20 : High	24 : Very High	Operational	Damien Jones	Julian Wooster	Feb 2023	↔
Demand for Children’s Social Work	16 : High	24 : Very High	Operational	Jassi Broadmeadow	Julian Wooster	Jan 2023	↔
Death or Serious Injury to a Child or Young Person (Council-wide risk)	20 : High	20 : High	Operational	Julian Wooster	Leadership Group	Feb 2023	↔
Insufficient Capacity in Education and Learning Services to ensure the quality of education and safety of children subject to elective home-schooling	20 : High	20 : High	Operational	Rachel Shaw	Julian Wooster	May 2023	↔
Post ILCAS improvement	30 : Very High	16 : High	Strategic	Jassi Broadmeadow	Julian Wooster	Jan 2023	↑ +7
Insufficient staffing capacity to deliver full Public Health Nursing service offer	25 : Very High	16 : High	Operational	Victoria Howard	Kate Stephens	Apr 2023	↔
Failure to adhere to the statutory SEND Code of Practice: 0 to 25 Years	16 : High	16 : High	Compliance	Jackie Ross	Julian Wooster	Feb 2023	↔
Challenges in recruitment of permanent SW staff and managers (and implications)	16 : High	16 : High	Operational	Jassi Broadmeadow	Julian Wooster	Feb 2023	↔
Being able to meet our statutory responsibility for ensuring that enough AMHPs are available to carry out their roles under the Mental Health Act*	20 : High	16 : High	Operational	Jacqueline Sims	Steve Liddicott	Feb 2023	↑ +4

*Risk title is subject to update by the service area

↔ Current score unchanged at last review

↑ Current score increased at last review

↓ Current score reduced at last review

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)

The table below outlines the mitigations recorded against the current score Very High risks identified above. Each mitigation has been rated as Red, Amber, Green or Completed by the owner of the action. Guidance on RAG ratings is included at page 14.

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
Education & Learning: High Needs Block/DSG Deficit	24: Very High	Risk Description: The unmitigated risk of continuing to meet demand for EHC plans and independent/non-maintained sector placements would lead to topping out/cumulative deficit of £150 million by 22/23.The impact of mitigating this by stepping up early intervention and SEN Support would mean that children and young people's needs would be met earlier and locally. A significant number of young people would prepare for adulthood within their community with the development of the PFA pathway. The outcome would be a balanced budget of £138.9 million. This is our recovery plan agreed and scrutinised by DfE's safety valve intervention programme. The risks in relation to wider stakeholder engagement, parental confidence, joint work across education, health and social care, would be mitigated through collaborative working, and recruitment through a county wide drive.							
		Summary of Controls and Mitigations:-							
		Amber	Ongoing stakeholder engagement, strategically and operationally-establish High Needs Funding Subcommittee of the Schools Forum	Amber	Collaboration and joint ways of working are being promoted through the leadership group, who plan to oversee delivery.	Amber	Work closely with Education providers to ensure a robust offer is available. Including wrap around support from Health and social care.	Amber	Invest in building capacity now, develop process for ongoing oversight and support to ensure staff and teams are supported appropriately.
		Amber	Refresh Schools Forum approach to scrutiny of the High Needs Block and ensure greater collaboration between schools and the Authority.	Amber	Quality assurance of annual reviews-leader appointed and training underway.				
Demand for Children's Services exceeds the financial provision	24: Very High	Risk Description: Due to an increase in demand for the different services provided by the Children's Services teams, the budget set for the current financial year may be exceeded, resulting in a potential reduction of service delivery or the possibility of a failure to deliver statutory responsibilities.							
		Summary of Controls and Mitigations:-							
		Green	Regular review of Budgets to consider pressures and demand and to identify where costs can be reduced.	Amber	Ongoing recruitment initiatives		Lobbying of Government to increase funding in this area	Green	Inclusion of risks in register including CS Demand, SEN and High Need pressures as well as some linked to Education such as transport.
		Amber	Use of meaningful KPI's	Green	Provision of updates to Leadership Group				
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 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	Red	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	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 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	Green	SEND 100 Projects to reduce demand for EHCPs and demand for change of placements		

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
					confidence in mainstream sector and reduce need for specialist provision.				
SC1: Education and Learning Services budget availability	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>							
		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	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	<p>Risk Description: Demand for statutory children's social work and cost of social care increases and cannot be met within available resources.</p> <p>Summary of Controls and Mitigations:-</p>							
		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.	Completed	Market management, improved brokerage to ensure better value for money approaches.
		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.		

Integrated Adult Social Care risks (sample extract of risks with a current score of High or above at 12th May 2023)

Risk Title	Inherent Score	Current Score	Risk Category	Risk Owner	Accountable Officer	Last Review *	Change at Last Review
OSLT-CM1 – Failure of the Authority to meet its statutory obligations under The Deprivation of Liberty Safeguards (DoLS)	24 : Very High	24 : Very High	Operational	Sandra Geary	Gary Patch	May 2023	↔
OSLT-CM8 – Safeguarding Adults at Risk with Care and support needs	25 : Very High	20 : High	Operational	Tina Ramage	Keri Storey	May 2023	↔
OSLT-D4 - Insufficient financial resources to support people with eligible social care needs	25 : Very High	20 : High	Financial	Keri Storey	Tandra Forster	May 2023	↔
CSLT-D5 – Sub-optimal partnership working arrangements across the health and care system	20 : High	20 : High	Operational	Solveig Wright	Tandra Forster	May 2023	N/A
CSLT-CH1 – The Council fails to meet its Care Act market sufficiency duty for care homes	30 : Very High	16 : High	Operational	Nicola Tribble	Solveig Wright	May 2023	↔
CSLT-PC1 – The Council fails to meet its Care Act market sufficiency duty for personal care	30 : Very High	16 : High	Operational	Nicola Tribble	Solveig Wright	May 2023	↔
CSLT-D2 – Insufficient financial resources to meet increased demand for advocacy resulting from Liberty Protection Safeguards (LPS) legislation	20 : High	16 : High	Financial	Paul Giblin	Solveig Wright	May 2023	↔
CSLT-CH2 – The Council fails to meet its Care Act market sufficiency duty for care home places for people with dementia and complex care needs	20 : High	16 : High	Operational	Nicola Tribble	Solveig Wright	May 2023	↔
OSLT-CM5 – Challenge in recruiting appropriately qualified adult social care professionals to the in-house workforce	20 : High	16 : High	Operational	Tina Ramage	Keri Storey	Mar 2023	↔
OSLT-CM4 – Lack of assurance of the quality of social care practice which may result in increased risk, poor interventions and outcomes for service users	16 : High	16 : High	Operational	Tina Ramage	Keri Storey	Mar 2023	↑ +8
OSLT-CM2 – Delivery of short-term services fails to fully meet the reablement needs of users referred to the service	16 : High	16 : High	Operational	Gary Patch	Keri Storey	May 2023	↔
CSLT-D9 – Adult Social Care Reform: Government intervention and support resulting from a poor Care Quality Commission (CQC) performance assessment	20 : High	15 : High	Operational	Damian Furniss	Tandra Forster	May 2023	↔
Preventable death, injury or serious harm to an adult at risk as a result of institutional abuse (Council-wide risk)	20 : High	15 : High	Operational	Tandra Forster	Leadership Group	May 2023	↔
OSLT-CM7 – Capacity challenges and systems complexity in the preparing for adulthood process results in poor experiences for vulnerable young people and financial consequences to the Council	15 : High	15 : High	Operational	Amy Howard	Keri Storey	May 2023	↔

↔ Current score unchanged at last review

↑ Current score increased at last review

↓ Current score reduced at last review

Details on the controls and mitigations planned or in place for the risk 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)

The table below outlines the mitigations recorded against the current score Very High risks identified above. Each mitigation has been rated as Red, Amber, Green or Completed by the owner of the action. Guidance on RAG ratings is included at page 14.

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
OSLT-CM1 Failure of the Authority to meet its statutory obligations under The Deprivation of Liberty Safeguards (DoLS)	24: Very High	<p>Risk Description:</p> <p>Cause - 2014 Supreme Court judgement P v Cheshire West and Chester Council and P & 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>Impact - 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 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.</p> <p>Summary of Controls and Mitigations:-</p>							
		Green	CLT approved Prioritised plan remains in place to address both residential/nursing/hospital and community deprivations.	Completed	Assessments are prioritised where an individual or family / supporter is objecting to the place of residence and / or care and support plan. DCC is proactive in its positive obligation to support individuals to appeal to the Court of Protection.	Green	Requests on the waiting list are routinely re-screened to establish if there is any change in the individuals circumstances that would indicate higher risk such as objections. The Managing Authority (Hospital / Care home) is informed in writing on receipt of initial request of the need to ensure they notify us of changes in circumstances / objections.	Red	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 2023 is significantly reduced. Ongoing year on year additional resource would be required to maintain the performance levels attained during the project period.
		Red	Limited Temp BIA use to maximise the opportunities to ensure		Future mitigation: Mental Capacity	Amber	LPS Project / implementation Board in place	Amber	An updated paper has been prepared for

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
			individuals subject to existing Dol orders from the court are reviewed by the service and back with the Court within timescales. The number of cases requiring applications to the Court of Protection has increased year on year with cases of objection at around 33% of all applications received.		Amendment. The Liberty Protection Safeguards will replace DoLS and Community Dol process. Providing a one system approach to authorising a deprivation of liberty.		reports provided to Scrutiny and CHLT outlining significant changes and Risk / cost implications. Updates provided as required or as new risk becomes apparent.		Heads of Service outlining the implementation costs of LPS with a comparison of costs to right size the DoLS Service.

Corporate risks (sample extract of risks with a current score of High or above at 12th May 2023)

Risk Title	Inherent Score	Current Score	Risk Category	Risk Owner	Accountable Officer	Last Review	Change at Last Review
Communities							
Refugees and migrants are not adequately supported to access services and integrate into local communities (Council-wide risk)	20 : High	16 : High	Strategic	Simon Kitchen	Leadership Group	Mar 2023	↔
Digital Transformation and Business Support							
BI21 - Successful Cyber Attack	30 : Very high	24 : Very High	Operational	Robyn Dennis	Gary Dempster	May 2023	↔
ICT05 - Shadow IT in Devon County Council	16 : High	16 : High	Operational	Robyn Dennis	Gary Dempster	May 2023	↔
BI06 - Data Protection breaches	24 : Very high	15 : High	Compliance	Martin Lawrence	Gary Dempster	May 2023	↔
Economy Enterprise and Skills							
Animal Health Disease Control	16 : High	16 : High	Operational	Dolores Riordan	Fakir Osman	Apr 2023	↔
Finance and Public Value							
FIN05 - Failure to Prepare or Control Robust Budget	20 : High	20 : High	Operational	Matthew Thorpe	Angie Sinclair	May 2023	↔
FIN39: Failure to deliver priority services as a result of significantly reduced finances	20 : High	20 : High	Operational	Matthew Thorpe	Angie Sinclair	Apr 2023	↔
Finest	20 : High	20 : High	Operational	Jenny Ryding	Angie Sinclair	Feb 2023	↑ +4
PR11 - Lack of resource to support all early engagement requests	16 : High	16 : High	Operational	Justin Bennetts	Justin Bennetts	Feb 2023	↔
FIN06 - Failure to Properly Plan Finance Workforce Requirements	12 : Medium	16 : High	Operational	Matthew Thorpe	Angie Sinclair	Apr 2023	↔
Pre-Paid Cards – Direct Payments Delivery	24 : Very High	15 : High	Operational	Helena Freeman	Angie Sinclair	May 2023	↔
FIN40: Impact of reform of the Intermediaries Legislation (Off-Payroll working in the Public sector) (Council-wide risk)	18 : High	15 : High	Compliance	Raymond Rimes	Angie Sinclair	Feb 2023	↔
Council Tax arrears / Support charges	12 : Medium	15 : High	Financial	Alex Hosking	Leadership Group	Feb 2023	↔
Highways, Infrastructure, Development and Waste							
HTM1: Deterioration of minor road network due to insufficient maintenance	25 : Very high	20 : High	Strategic	Joe Deasy	Meg Booth	Feb 2023	↑ +8

Risk Title	Inherent Score	Current Score	Risk Category	Risk Owner	Accountable Officer	Last Review	Change at Last Review
HTM2: Lack of capacity or capability to respond effectively to highway safety related issues	24 : Very high	20 : High	Operational	Ian James	Meg Booth	Mar 2023	↔
HTM3: Lack of capacity or capability to effectively respond to extreme weather events	24 : Very high	20 : High	Operational	Joe Deasy	Meg Booth	Feb 2023	↔
Human Resources							
HR: Health and Safety	30 : Very high	16 : High	Strategic	Simon Bates	Maria Chakraborty	May 2023	↔
HR: Employee Services: System Failures	16 : High	16 : High	Operational	Zoe Robbins	Maria Chakraborty	Feb 2023	↔
Mental Health issues and absence (Council-wide risk)	18 : High	15 : High	Operational	Gemma Vine	Maria Chakraborty	May 2023	↔
HR: Recruitment and Retention	16 : High	15 : High	Operational	Andrew Owen	Maria Chakraborty	May 2023	↓ -5
Planning Transport and Environment							
Climate Change	30 : Very high	20 : High	Strategic	Doug Eltham	Meg Booth	May 2023	↔
Policy and Strategy Development							
SPOC16: Failure to properly implement Impact Assessment in decision making (Council-wide risk)	24 : Very high	16 : High	Compliance	Jo Hooper	Sarah Cretney	May 2023	↑ +4
Public Health							
Covid-19 Pandemic (Council-wide risk)	30 : Very high	24 : Very high	Operational	Steve Brown	Leadership Group	May 2023	↔
Potential Flu Pandemic (Council-wide risk)	15 : High	16 : High	Operational	<i>Risk to be re-assigned shortly</i>	Amanda Palmer	Feb 2023	↔

↔ Current score unchanged at last review

↑ Current score increased at last review

↓ Current score reduced at last review

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)


The table below outlines the mitigations recorded against the current score Very High risks identified above. Each mitigation has been rated as Red, Amber, Green or Completed by the owner of the action. Guidance on RAG ratings is included beneath the table.

Risk Title	Current Risk Score	Risk Description, and Controls and Mitigations							
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.	Green	Support to Council employees, through HR advice, Employee Assistance Programme etc.	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	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.	Green	Covid 19 booster vaccination programme was launched at the beginning of September by NHS colleagues.
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
		Green	Policy and Guidance	Green	Training and awareness	Green	New cyber security platform rolled out	Completed	Strategic Cyber Security Manager appointed

Guidance provided to officers for using the RAG ratings is as follows:

Mitigating Control RAG rating	
Not started	Where a control is planned but has not yet been put into action
Red	Where a control is in place but is not effective in reducing or mitigating the risk
Amber	Where a control is in place and is partially effective in reducing or mitigating the risk
Green	Where a control is in place and is effective in reducing or mitigating the risk
Completed	Where a control has been completed (for example a one-off event that has taken place)

Risk management scoring guidance

Risk Management - is a modern management discipline and is about getting the right balance between innovation and change on the one hand, and the avoidance of shocks and crises on the other.																																	
1. Identify your risks	2. Assess your risks																																
Risk: an event or action that will have affect our ability to achieve our objectives	Combination of the probability of an event and its consequences; Impact x Likelihood::																																
Opportunities and Threats	<table><tr><td rowspan="5">LIKELIHOOD</td><td>6</td><td>12</td><td>18</td><td>24</td><td>30</td></tr><tr><td>5</td><td>10</td><td>15</td><td>20</td><td>25</td></tr><tr><td>4</td><td>8</td><td>12</td><td>16</td><td>20</td></tr><tr><td>3</td><td>6</td><td>9</td><td>12</td><td>15</td></tr><tr><td>2</td><td>4</td><td>6</td><td>8</td><td>10</td></tr><tr><td></td><td colspan="5">IMPACT</td></tr></table>	LIKELIHOOD	6	12	18	24	30	5	10	15	20	25	4	8	12	16	20	3	6	9	12	15	2	4	6	8	10		IMPACT				
LIKELIHOOD	6		12	18	24	30																											
	5		10	15	20	25																											
	4		8	12	16	20																											
	3		6	9	12	15																											
	2	4	6	8	10																												
	IMPACT																																
Event leads to Impact	24 - 30 VERY HIGH (VIOLET)																																
Identify in groups - by those responsible for delivery of the objectives	<ul style="list-style-type: none">Immediate action																																
When:	15 - 20 HIGH (RED)																																
Setting strategic aims	<ul style="list-style-type: none">Regular review to seek better control																																
Setting business objectives	10 - 12 MEDIUM (AMBER)																																
Early stages of project planning & key stages	<ul style="list-style-type: none">Review current controls / incorporate into action plan																																
Entering partnerships	1 - 9 LOW (YELLOW)																																
Categories can help:	<ul style="list-style-type: none">Limited action - long term plans																																
Political, Economic/Financial, Social, Technological, Legislative/Legal, Environmental, Community, Professional/Managerial, Physical, Partnership/Contractual.																																	
3. Respond to risks	4. Monitor & Review																																
Concentrate on Top Risks:	Risk Registers:																																
Set risk appetite	Baseline data to be prepared and monitored regularly; these should clearly indicate impacts, responses and contingencies as well as the risk owner.																																
Proportionate and cost-effective response	Use early warning indicators.																																
Can we reduce likelihood?	Review Top Risks regularly as agenda item.																																
Can we reduce impact?	Report progress to senior management.																																
Can we change the consequences?																																	
Treat																																	
Transfer																																	
Tolerate																																	
Terminate																																	
Devise Contingencies																																	
Business Continuity Planning																																	

Impact Assessment Guide

	Health & Wellbeing	Service Users	Stakeholders	Reputation	Performance / quality standards	Legal	Financial	Pensions & Investments
1 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
2 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
3 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
4 Major	Significant impact on health and wellbeing affecting a 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
5 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.

Likelihood Guide

Consider the statements below as guides, choose scoring as appropriate to the risk being considered. For advice contact your [Risk Champion](#) or [Tony Rose](#)

Score	Likelihood	Threat/Risk (not all need apply)
2	Rare	It is never likely to occur and/or Very unlikely this will ever happen e.g. Once in 100 years.
3	Unlikely	May occur in exceptional circumstances and/or Not expected to happen, but is possible, e.g. Once in 25 years.
4	Possible	Could occur in certain circumstances and/or May happen occasionally, e.g. once in every 5 - 10 years and/or Has happened elsewhere.
5	Likely	Will probably occur in many circumstances and/or Will probably happen, but not a persistent issue, e.g. at least once every 1- 2 years. and/or Has happened in the past.
6	Almost Certain	Is expected to occur in most circumstances and/or Will undoubtedly happen, possibly frequently. and/or Imminent/near miss.

Appendix C – Power BI Extract

See PowerPoint document embedded below. The [Live link](#) is also in the body of the report above.

This is a point in time high level extract of the Power BI Risk Dashboard for the Audit Committee.



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 Dashboard will be updated in 2023/24 including to link risks to Strategic Plan priorities, to reflect the new Council structure and to incorporate Budget Book risks.

Appendix D – Risk Management Policy

See Risk Management Policy pdf document accompanying this report.

Appendix E – Project Risk Guidance

See Project Risk Guidance pdf documents accompanying this report.