

# Risks: Corporate Services Risk Register

Risk status  
(score)

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

Completed	Green	Amber	Red
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Risk details	Status and Risk owner	Mitigating controls
<p><a href="#">PR06 - Inflationary pressure across markets impacts upon service delivery and budget pressures</a></p> <p>Impact on the authority (budgets) generally by global and local inflationary pressure Cost reduction and impact on markets Public sector service cuts over the coming years having a destabilising effect on local and national markets in the short term</p>	<p>Inherent status: 16 High Current status : 16 High Risk owner: <a href="#">Kevin Balding</a> Accountable officer: <a href="#">Justin Bennetts</a> Last review: 19 Oct 2016</p>	<p><span style="background-color: #90EE90; padding: 2px;">Green</span> Manage Expectations <span style="background-color: #FFA500; padding: 2px;">Amber</span> Understand Markets</p>
<p><a href="#">FIN39: Failure to deliver priority services as a result of significantly reduced finances</a></p> <p>Reductions in government funding over the next 3 years will necessitate reductions in local government spending and service provision. DCC has responded by identifying savings in 2016/17 and is identifying the impact of further reductions in subsequent financial years via its Medium Term Financial Planning process This risk covers both a failure to deliver priority services due to inadequate financial planning and an inability to respond to changes arising from significant reductions in Government Finance</p>	<p>Inherent status: 20 High Current status : 16 High Risk owner: <a href="#">Chris Phillips</a> Accountable officer: <a href="#">Mary Davis</a> Last review: 16 May 2016</p>	<p><span style="background-color: #90EE90; padding: 2px;">Green</span> Medium Term Financial Plan <span style="background-color: #90EE90; padding: 2px;">Completed</span> Annual Savings Plan approved by CLT <span style="background-color: #90EE90; padding: 2px;">Green</span> Purposeful Systems</p>

<p><b><u>PR01 - Supply market failure: Financial and other pressures leading to the failure of supply markets</u></b></p> <p>Failure of supply markets due to financial, capacity and other pressures particularly apparent in the social care market. Supply market failure could have a detrimental effect on the Council's ability to fulfil our legislative duties and strategic objectives.</p>	<p>Inherent status: 20 High  Current status : 16 High  Risk owner: <a href="#">Nicola Tribble</a>  Accountable officer: <a href="#">Justin Bennetts</a>  Last review: 19 Oct 2016</p>	<p><b>Completed</b> Integrated Category Management</p> <p><b>Completed</b> Integrated Procurement Category Management (IPCM)</p> <p><b>Completed</b> Corporate Strategy for procurement performance 2008-11</p> <p><b>Green</b> Attuned to markets</p> <p><b>Completed</b> Contract Strategy</p>
<p><b><u>HR: Workforce and Succession Planning</u></b></p> <p>DCC risks not having workforce plans in place to ensure that it has the 'right number of people with the right skills, in the right place at the right time to deliver short and long term organisational objectives' (Chartered Institute of Personnel &amp; Development definition of 'workforce planning'). This is exacerbated by:</p> <ul style="list-style-type: none"> <li>• The demographics of the workforce, given that around 45% of our current directly employed DCC workforce is over 50 years and over 60% is over 40 years.</li> <li>• The need for changing skills and behaviours in order to implement new ways of working</li> <li>• DCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf</li> <li>• Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention</li> <li>• Skills shortages in key areas including social work and teaching</li> </ul>	<p>Inherent status: 16 High  Current status : 16 High  Risk owner: <a href="#">Helen Marsh</a>  Accountable officer: <a href="#">Jacky Wilson</a>  Last review: 08 Aug 2016</p>	<p><b>Green</b> HR Strategy</p> <p><b>Green</b> HR Redundancy and Turnover Management Strategy</p> <p><b>Amber</b> HR Dashboard</p> <p><b>Green</b> Communication and cross working</p> <p><b>Amber</b> Workforce Planning roll-out</p>

<ul style="list-style-type: none"> <li>• Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff.</li> <li>• Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers.</li> </ul>		
<p><b><u>HR: Employee Services: System Failures</u></b></p> <p>System failure due to technical problems may result in employees not being paid on time or accurately</p>	<p>Inherent status: 16 High</p> <p>Current status : 16 High</p> <p>Risk owner: <a href="#">Wendy Smith</a></p> <p>Accountable officer: <a href="#">Jacky Wilson</a></p> <p>Last review: 20 Oct 2016</p>	<p>Green Proactive controls</p> <p>Amber HRMS Project</p> <p>Green Collaborative working</p> <p>Green HR and ICT Business Continuity Plans</p> <p>Amber Review of hardware and implementation of changes to processor</p>
<p><b><u>Reduction in Public Health funding</u></b></p> <p>Clawback of Public Health reserve funds this year means that Public Health no longer have funding available to respond to immediate Public Health demands. It also may presage future reductions in the recurring funding which could impact on commissioned services</p>	<p>Inherent status: 15 High</p> <p>Current status : 15 High</p> <p>Risk owner: <a href="#">Mark Kealy</a></p> <p>Accountable officer: <a href="#">Tracey Polak</a></p> <p>Last review: 08 Aug 2016</p>	<p>Green Retaining a targeted health check programme for those most at risk</p> <p>Amber New Healthy Lifestyle service and voluntary service directory</p> <p>Green One You</p> <p>Green Change4Life</p> <p>Amber Making every contact count</p> <p>Amber Specialist smoking service</p>

		<p>Amber Working with partners to access new sources of funding</p> <p>Completed</p>
<p><b>HR: Health and Safety</b></p> <p>Failure to deliver our statutory service delivery duties and legal obligations in respect to health and safety requirements. This leads to reputational and service delivery impact and costs.</p>	<p>Inherent status: 30 Very high</p> <p>Current status : 12 Medium</p> <p>Risk owner: <a href="#">Simon Bates</a></p> <p>Accountable officer: <a href="#">Jacky Wilson</a></p> <p>Last review: 18 Oct 2016</p>	<p>Green Health &amp; Safety Management Audit Systems</p> <p>Green Policies, procedures and risk assessment</p> <p>Green Provision of Competent Advice via the Devon Health &amp; Safety Service</p> <p>Green Consultation and monitoring arrangements</p> <p>Green The Annual Health Safety and Wellbeing Report</p> <p>Green Workforce Wellbeing</p>
<p><b>HR: Employee Services Safer Recruitment</b></p> <p>Failure to appropriately identify safeguarding issues during the recruitment process</p>	<p>Inherent status: 25 Very high</p> <p>Current status : 10 Medium</p> <p>Risk owner: <a href="#">Wendy Smith</a></p> <p>Accountable officer: <a href="#">Jacky Wilson</a></p> <p>Last review: 09 Aug 2016</p>	<p>Green Policies, procedures and risk assessment</p> <p>Green Provision of DCC safer recruitment team</p> <p>Green Dealing with agency appointments</p>
<p><b>HR: Industrial Relations Climate</b></p> <p>Developments at local, regional or national level might impact upon the industrial relations climate, particularly the relationship with the recognised trade unions. Industrial action leads to both short term impact, i.e. inability to provide services due to strike action by</p>	<p>Inherent status: 12 Medium</p> <p>Current status : 9 Low</p> <p>Risk owner: <a href="#">Helen Marsh</a></p> <p>Accountable officer: <a href="#">Jacky Wilson</a></p> <p>Last review: 08 Aug 2016</p>	<p>Green Management of Employee Relations</p>

employees and may also have a longer/wider ranging impact on the local industrial relations climate		
<p><a href="#">HR: Employment and Local Government Legislative Changes</a></p> <p>The way the council deploys, manages and rewards its staff is shaped in part by the legislative framework within which DCC has to operate. This includes general employment, HR policies, health and safety and equality legislation but also local government specific legislation such as the Equality Duty, the annual Pay Policy Statement and the Data Transparency Code. It includes government decisions like the introduction of the National Living Wage and Government consultations, such as those relating to Exit Payments. The HR Strategy will help DCC to plan for these changes.</p>	<p>Inherent status: 12 Medium</p> <p>Current status : 6 Low</p> <p>Risk owner: <a href="#">Helen Marsh</a></p> <p>Accountable officer: <a href="#">Jacky Wilson</a></p> <p>Last review: 08 Aug 2016</p>	<p>Green Responding to Government consultations</p> <p>Green Monitoring legislative/policy changes</p> <p>Green Updating Pay Policy Statement/Data Transparency Code</p>

10 Nov 2016