

Teignbridge District Council
Audit Scrutiny Committee
26 June 2024
Part i

Strategic and Corporate Risk Report

Purpose of Report

To provide Members with an overview of the current status of the Strategic & Corporate risks.

Recommendation(s)

The Committee RESOLVES to:

- (1) Note the actions being taken to reduce risks to the achievement of the council's objectives.

Financial Implications

The financial implications are contained within risk ST02 Failure to control and manage finance and other risks including ST14 Fraud & corruption and ST24 Breach of finance and contract rules.

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Legal Implications

No direct implications beyond effective risk management are key to meeting Council's legal duties.

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Risk Assessment

Effective risk management will aid decision making, focus and make better use of resources, provide a duty of care, comply with legislation, reduce costs, provide a continuity of service and reduce the risk of not meeting the council's objectives.

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Environmental/ Climate Change Implications

Environmental and climate change implications have been identified alongside mitigating actions within the Report; the most relevant risks include:

ST31 – the impact of not reducing our energy use and contribution to CO₂. ST42 – Failure to deliver the council strategy. ST44 – Flood risk resilience. ST45 – Flood risk management.

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Executive Member

Corporate Resources – Richard Keeling

Appendices/Background Papers

Appendix A – Risk report

PURPOSE

To provide Members with an overview of the current status of the Council's corporate and strategic risks.

BACKGROUND

There are 3 types of risk to manage, and these are:

Strategic Risks – these are the big issues that impact heavily on our service delivery or are fundamental changes in the district or something that may cause a lot of bad publicity. These risks are managed by Business Leads and Business or Service Managers.

Corporate Risks – also called 'common risks' because they apply to many sections of the Council, and we have corporate processes in place to deal with them e.g. Attacks on staff. These risks are also managed by Business or Service Managers.

Service Risks - These are risks and opportunities that apply primarily to a service and that generally won't have too many consequences on the rest of the Council. These are managed by Business or Service Managers and Team Leaders.

In addition, reports to decision makers (both Members and the Strategic Leadership Team) for major projects or service changes, should include an analysis of risks so these are considered when important decisions are made. These risks may be referred for inclusion in the Corporate or Strategic Risk Registers if they are likely to be significant issues.

RISK OVERVIEW

There are currently 24 risks in the Strategic Risk register which are the risks we consider could impact heavily on our ability to deliver essential services and meet important objectives. In addition, there are 12 corporate risks, ‘common risks’, which apply to many sections of the council, and we have corporate processes in place to deal with them.

Of these 36 risks 4 have a very high unmitigated risk score 9 (3x3) i.e. the risk if we took no action to reduce the risk. The risk Responsible Officers have actions (mitigations) in place to reduce the risk scores.

The risk matrix below shows how many risks have very high (9), high (6), medium (3-4) or low (1-2) mitigated risk score, which considers the effectiveness of actions (mitigations) to reduce the risk.

- 0 risks have a high impact and high likelihood score of 9 (3x3)
- 2 risks have a medium impact and high likelihood score of 6 (2x3)
- 9 risks have a high impact and medium likelihood score of 6 (3x2)

Corporate & Strategic Risk Matrix – Mitigated Risks				
Risk Likelihood	3 - High	No Risks	2 Risks CP11, ST41	No Risks
	2 - Medium	No Risks	9 Risks CP01, ST02, CP12, CP09, CP08, ST19, ST32, ST40, ST46,	9 Risks ST29, ST17, ST08, ST11, ST20, ST42, ST44, ST45, CP17
	1 - Low	1 Risk CP05	13 Risks ST14, CP13, CP07, ST26, ST25, ST24, ST31, ST09, ST06, ST28, ST37, CP14, ST43,	2 Risks CP16, CP15,
		1 – Low	2 – Medium	3 - High
		Risk - Impact		

Risk reviews

These are carried out by the risk Responsible Officer monthly for very high (9) risks, quarterly for high (6) twice a year for medium risk (3-4) risks and once a year for low (2) risks. This includes a review of each risk, its mitigations and risk impact and likelihood scores.

In addition to the regular reviews, meetings with the Risk Responsible officer and those managing the risk are held to review the scope of the risk, causes and impact, and mitigations in more depth.

RISK REPORTS

A report listing the Corporate & Strategic risks is provided as Appendix A

Details of those risks with 'Action needed' mitigations statuses or a very high mitigated status of 9, are provided below. The 'Action needed' statuses are colour coded to match the risk matrix above.

Risk: CP01 Attacks on Staff

Description: Failure to comply with Health and Safety Legislation leading to damage of property or equipment, loss, injury, or death of staff or public, risk of corporate manslaughter, prosecution, loss of reputation and high insurance costs.

Last reviewed: 12.04.2024

Risk unmitigated status: 6 – high

Current mitigated status: 4 – medium (previous review was 4 – medium)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Implementation of the Health & Safety Policy	All managers to be responsible for implementing the Health & Safety Policy as detailed in respective health & safety procedures within the policy document Action needed Action ongoing Action completed No status set
Action needed	Local procedures (Teams or Services)	To be developed and implemented by teams/services as they will have differing ways of implementing control measures, they formulate resulting from risk assessment.
Action needed	Health & Safety Policy Committee	Group to be established and maintained to ensure a co-ordinated response to all risks to staff. Meets quarterly.
Action needed	Lone working procedure	Lone working procedure in place that includes the provision of mobile phones, personal attack alarms and lone worker record updating
Action needed	Staff training	Staff training program in place but will always need maintaining & review A Staff Induction programme in place. Training is included in the PDP process

		undertaken by line managers and should include training as identified by risk assessment.
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Review note:

The assault on the porter has been investigated, a report was taken to SLT in January and an action plan developed for consideration by SLT. A request for support from STRATA on the provision of a suitable lone worker device is due to be considered at the Architecture Board.

Diffusion training delivered by the Corporate Health and Safety Manager and Anti-Social Behaviour Officer is being developed and when ready will be offered to medium/high risk staff.

Risk: CP15 Project Management

Description: Poor project planning and management lead to failure of the project. Either failure of the whole project or part of it and the outcomes and efficiencies expected are not achieved. Opportunities to improve efficiency, use of our assets, increase income, provide 24/7 online services, improve the customer experience.

Last reviewed: 23.05.2024

Risk unmitigated status: 3 – medium

Current mitigated status: 3 – medium (previous review was 3 – medium)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Project lessons learned	Ensure lessons learned from running major projects are captured and reported to CMT

Review note:

A recent exercise has been undertaken to ensure all risk registers are up to date on all major projects for Audit Scrutiny. Action is needed to ensure lessons learnt are captured and shared at the end of projects

Risk: ST11 Failure to Comply with Health & Safety Legislation

Description: Failure to comply with Health and Safety Legislation leading to damage of property or equipment, loss, injury, or death of staff or public, risk of

corporate manslaughter, prosecution, loss of reputation and high insurance costs.

Last reviewed: 29.05.2024

Risk unmitigated status: 9 – high

Current mitigated status: 6 – medium (previous review was 6 – medium)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Adequate Health and Safety resources available	The Council makes available adequate time, money and resource for measures necessary for health and safety to be carried out.
Action needed	Approved Policies and procedures in place	Health and Safety Policy and procedures in place and subject to regular revisions.
Action needed	Health and Safety communication	Annual reports produced each year. Regular Health and Safety Committee meetings take place.
Action needed	Health and Safety Manager provided	Health and Safety Manager in post to advise managers on how to comply with their duties.
Action needed	Overview of compliance	Health & Safety Manager to escalate to Head of Service or Managing Director where managers are not properly managing health and safety duties/responsibilities
Action needed	Risk assessments in place	Managers produce risk assessments and have access to advice from H&S Manager. H&S manager audits risk assessments as necessary.
Action needed	Safety audits	Periodic H&S audits of teams and services based on hazard and risk carried out through self-assessment programme co-ordinated by H&S manager.
Action needed	Systems to report, record, monitor accident and near miss reports	Reporting policy in place and effectively being applied

Review note:

Internal Health & Safety (IHS) is supporting TDC's HR department in its review of the onboarding and induction process. This is awaited. Recommendations have been made regarding each managers responsibility to identify and facilitate the initial and ongoing Health and Safety training needs of each member of their staff so as to ensure that their staff are fully competent and effectively supervised.

H&S Audits are undertaken on an ad hoc (risk based) basis across TDC services seeking to ensure that compliance with all relevant H&S Regulation is established,

maintained and effective. This is supported by Services reporting concerns and or seeking support / assistance. Additionally, IHS have sought to engage with TDC’s recognised unions to undertake regular formal workplace inspections. It was hoped that this might contribute reports quarterly, but as yet none have been forthcoming.

The recent Audit and Audit Report of IHS recognised the need to identify and clarify the H&S related Roles & Responsibilities of TDC managers. To formally appoint & resource “Duty Holders” as well as ensure the ongoing training and development of suitably competent persons. The Annual H&S report provides actions plans / priorities for consideration to support and deliver this.

The TDC Health & Safety Committee (HSC) has met twice this year and IHS has sought support for this being a quarterly by reviewing & consulting re the constitution of the committee.

H&S Manager in post to provide assistance re H&S. IF services do not seek assistance, then compliance can perhaps unwittingly falter which creates risks to TDC staff and reputation.

Existing TDC H&S Policy, Arrangements and Procedures remain largely fit for purpose. However, there is concern that staff and or managers are not accessing or familiar with the existing provision. A rolling program to update the content and or formatting is planned.

Risk: ST25 High Levels of Customer Dissatisfaction

Description: Inadequate customer contact standards and poor customer service leading to increased complaints and loss of reputation

Last reviewed: 09.05.2024

Risk unmitigated status: 4 – medium

Current mitigated status: 2 – low (previous review was 2 – low)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Complaints Review Board	The Complaints Review Board was set up in February 2016. The role of the group is to review and close all complaints on a quarterly basis. Complaints will be reviewed to identify any corporate lessons learned that can be shared in order to reduce similar

		<p>complaints happening in the future. Training is being provided across the council to ensure a consistent approach to handling customer complaints.</p>
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Review note:

New Customer Feedback Policy and Procedure drafted in line with Local Government Ombudsman and Housing Ombudsman best practice guidance. Currently undertaking internal and external review before training to all staff. – underway no set completion date at the moment by anticipate delivery within Q2

Introduced increased data gathering at first point to aid in identification of customer led improved service initiatives, developing reporting on this
 Introduced quality standards (firstly for telephone interactions) and developing technical training to ensure delivery of consistency at first point – ongoing delivery.

Developed customer service and customer feedback training for the induction programme.

Reviewing customer charter and customer service standards with customers centric. Aiming to complete this Q1.

Risk: ST37 Failure of ICT infrastructure and systems not meeting business needs or not being fit for purpose

Description: The key outcomes of the projects are:

- Reduce cost...through economies of scale and reduced duplication of effort
- Reduce risk...by having a larger ICT team with less reliance on key individuals and more time to manage new complex technologies
- Improve capability for change...through creating capacity within the ICT team for transformation effort rather than just "business as usual"

The risks arising following the formation of a new company, Strata Service Solutions Ltd, wholly owned by Teignbridge DC, Exeter CC, and East Devon DC to deliver and manage ICT services for all 3 Councils.

Failure of the shared service and failure by Strata to provide the ICT service required.

Last reviewed: 29.04.2024

Risk unmitigated status: 6 – high

Current mitigated status: 2 – low (previous review was 4 – medium)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Good communication	Good communication to all staff about the changes, the impact on staff and engagement with staff on their views and needs
Action needed	Strata and Teignbridge DC Business Continuity Plans	Strata Business Continuity Plan in place for each LA to link into. This will ensure continuity in ICT services and an emergency website facility

Review note:

Strata are reviewing the current processes they have in place for new ICT projects with the client leads. They have employed a Systems Architect and implemented an Architecture Board to approve all new systems and project requests. This minimises the risk of a system not meeting user requirements or the business needs. As part of Modern 25 work TDC also have a digital specialist to work with services to understand their requirements and business needs prior to any work requests being submitted to Strata.

Internal processes are also being reviewed to ensure there is sufficient user testing taking place before systems go live to ensure business requirements are met. With regards to ICT failure there is ongoing work being undertaken by Strata and TDC with regards to business continuity planning to minimise the impact of any ICT failure.

Major projects/service changes

The current major council projects are listed in the table below, which provides assurance that project risks have been assessed and registers or strategic risks are in place and being managed.

The One Teignbridge Transformation Board meets monthly to review major systems and the digital platform projects. This includes a review of the project risk registers. The Capital Review Group meets every other month to review projects in the capital programme including key risks and issues.

T10	Project	Service	Responsible Officer	Current Risk Register
VVC	Modern 25 Programme	Business Transformation	Amanda Pujol	Yes
VVC	Modern 25 Strategic Portfolio	Business Transformation	Sarah Knight	Yes
VVC	Financial Management System	Finance	Martin Flitcroft	Yes
VVC	Income Management system	Finance	Martin Flitcroft	Yes

CS	Fleet Decarbonization	Waste & Recycling	Chris Braines	Yes
IIP	UK Shared Prosperity Fund	Economy	Fergus Pate	No register, but comprehensive issues log is actively used for programme
AROOH	Local Authority Housing Fund: Refugee Accommodation	Housing	Graham Davey	Yes
IIP	Dawlish link road and bridge	Spatial Planning	Charles Acland	Yes
IIP	Ridgetop Countryside Park	Green Spaces & Active Leisure	Estelle Skinner	Yes
IIP	Future High Street Fund project: Market Improvements	Economy	Tom Phillips	Yes
OAA	Broadmeadow Sports Centre Decarbonisation Phase 2 and Refurbishment	Leisure	James Teed	Yes
IIP	Future High Street Fund project: Gateway to the Town Centre and Queen Street	Economy	Tom Phillips	Yes
IIP	George Street Car Park	Economy	Tom Phillips	Yes
AROOH	Teignbridge 100: Social/Affordable housing - Sherborne House	Housing	Graham Davey	Yes

ALTERNATIVE OPTIONS

None, risk management is a mandatory function of the Council.

CONCLUSION

Effective risk management will aid decision making, focus and make better use of resources, provide a duty of care, comply with legislation, reduce costs, provide a continuity of service and reduce the risk of not meeting the council's objectives.