

Teignbridge District Council
Audit Scrutiny Committee
18th December 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.

Martin Flitcroft
Director of Corporate Services
Email: Martin.Flitcroft@teignbridge.gov.uk

Legal Implications

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

Paul Woodhead
Monitoring Officer
Email: Paul.Woodhead@teignbridge.gov.uk

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.

Amanda Pujol
Director of Customer Services and Transformation
Email: Amanda.Pujol@teignbridge.gov.uk

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.

William Elliot

Climate Change Officer

Email: william.elliott@teignbridge.gov.uk

Report Author

Jack Williams

Data & Performance Analyst

Email: Jack.Williams@teignbridge.gov.uk

Executive Member

Corporate Resources – John Parrott

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

Corporate & Strategic Risk Matrix – Mitigated Risks				
Risk Likelihood	3 - High	No Risks	3 Risks CP11, ST41, ST11	No Risks
	2 - Medium	1 Risk CP12	10 Risks ST02, CP09, ST17, CP08, ST25, ST19, ST32, CP15, ST46, ST40	6 Risks CP01, ST29, ST08, ST20, ST42, ST45
	1 - Low	1 Risk CP05	11 Risks ST14, CP13, CP07, ST24, ST31, ST09, ST06, ST28, CP14, ST26, ST37	4 Risks CP16, ST44, ST43, CP17,
		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: 16.10.2024

Risk unmitigated status: 6 – high

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

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Health & Safety Policy in place (current)	Policy in place but will always need maintaining & review Health & Safety policy in place, maintained and reviewed. This includes policies & guidance on Violence & Aggression, Lone Working, Panic Alarm Function, Employee Protection Register (EPR), and Incident Reporting & Investigation. Staff wellbeing which is an important mitigation remains an HR responsibility and procedure
Action needed	Health and Safety Committee	Group to be established and maintained to ensure a co-ordinated response to all risks to staff. Meets quarterly.
Action needed	Home Safeguard lone worker monitoring	Home Safeguard will provide the initial call handling for the Mobile Worker app which is available for TDC staff lone worker monitoring. They require the TDC staff member to be set up formally on the MW app by STRATA and for the

		Lone Worker notification form to be completed. http://tdcintranet/content/health-and-safety/lone-worker-guidance/lone-worker-monitoring-form/
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	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	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.

Review note:

Policy and services level practices remain/are in place. Approaches are not consistent, but this reflects the wide range of activities, locations experience and interactions/expectations of "others".

The provision of suitable and sufficient resources (Persons & tools) at the place and time of any need remains the primary concern.

Personal attack alarms were being trialled (supplied by EDDC) but they have been withdrawn as these were end of life. The Strata MW App has been upgraded the EDDC Home Safeguard part of the process is not effective. Strata have commenced a review of alternative LW Apps, no timeframe for a suitable solution and or implementation/rollout is currently in prospect.

Awareness training has been rolled out and further courses are planned.

Risk: CP05 Contractor Poor Performance / Failure

Description: Contractor poor performance/failure resulting in the Council being put under unnecessary risk of failing to deliver public services and not achieving efficiency or value for money.

Last reviewed: 06.11.2024

Risk unmitigated status: 6 – high

Current mitigated status: 1 – low (previous review was 1 – low)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	Contract Procedure Rules are in place and are reviewed annually	Contract Procedure Rules are in place to support the financial regulations within Teignbridge and are reviewed annually to ensure that they are contemporary with procurement legislation and policy
Action needed	Training is provided, which emphasises the importance of value for money in procurement	Corporate Procurement provides training on procurement, which emphasises the importance of value for money, which extends to ensuring that the right supplier is selected for the contract and service provider and that the contract is adequately managed.

Review note:

Training on the new Procurement Act 2023 is starting to roll out but we haven't covered everyone. Contract Procedure Rules still need to be rewritten and submitted to council.

Risk: CP17 Health and Safety Compliance for Housing Stock

Description: Non-Compliance of Health and Safety Regulations in respect of Teignbridge District Council Housing Stock

Last reviewed: 13.11.2024

Risk unmitigated status: 6 – high

Current mitigated status: 3 – medium (previous review was 6 – high)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	KPIs reported quarterly to SLT	Key Performance Indicator dashboard to be constructed and reported to SLT quarterly

Review note:

The status of this risk has been reduced as we now have a Housing Compliance Officer in place. New procedures and monitoring have been set up and the actions highlighted in the Internal Audit have been completed and reported back to Audit Scrutiny committee. Reporting to SLT yet to be agreed therefore detailed as "action needed"

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: 16.10.2024

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	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.

Review note:

H&S training needs of staff need to be consistently identified, and we need to ensure that this / these are delivered updated / provided on a regular basis in a suitable manner for the employees involved. A plan has been proposed to address this by reminding managers of their responsibilities and the HR review of the Induction process.

Incident reporting and Site inspection processes are under review, support for online H&S management software now delayed by referral to Strata project team.

Risk assessments must be consistently reviewed and/or managed re the risk to which their staff are exposed so as to mitigate these risks to their knowledge and satisfaction.

Participation and contribution to the TDC health & safety committee (HSC) is poor / has declined. There is a statutory requirement to consult, and it would be difficult to evidence that this Duty is being met.

Reporting structure for HSM changes the reporting lines and will need to be suitably resourced to ensure effectiveness.

Approvals & authorisation processes are in need of review, Arrangements are largely robust, but the provision / uptake of H&S information is a concern.

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: 18.11.2024

Risk unmitigated status: 6 – high

Current mitigated status: 3 – medium (previous review was 2 – low)

Table of mitigations with actions needed:

Mitigation Status	Mitigation	Info
Action needed	ICT Requirements Board review meetings	The corporate intelligent client function will be fulfilled by the ICT Requirements Board (IRB), a sub-group of CMT.
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
Action needed	Strata Business plan approved annually	The Strata Business Plan sets out the intended projects and identifies funding

Review note:

The Architecture Board is now in place to ensure that any requests for new systems are designed, and full needs requirements assessed and captured, prior

to any systems procurement. We are currently reviewing our own internal process and project board to ensure processes are clear for managers and it aligns with the new governance structure Strata has put into place. This should be completed by end of November. Consultation needs to commence to scope and agree the Strata business plan for 25/26 to ensure it meets the organisations priorities. With regards to business continuity, the priority systems have been agreed with the councils and the IT Disaster Recovery plan is now being prepared, which will feed into the Strata desktop disaster recovery exercise.

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	Alex Lessware	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.