

AUDIT SCRUTINY COMMITTEE

CHAIRMAN: Cllr Chris Clarence

DATE: 13 December 2018

REPORT OF: Business Improvement and Development

SUBJECT: Strategic & Corporate Risk review

PART I

1. PURPOSE

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

2. 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 form part of the Strategic Risk Register and 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 form part of the Corporate Risk Register and are 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) should include an analysis of risks so these are considered when important decisions are made. Major projects or service changes should also have risk registers. These may be referred for inclusion in the Corporate or Strategic Risk Registers if they are likely to be significant issues.

The Strategic and Corporate Risk review will be submitted to Audit Scrutiny Committee twice a year in July and December. Strategic and Corporate risks are reviewed on a regular basis by the risk owner. Reviews are prompted by automatic email reminders according to the risk's unmitigated score:

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Unmitigated Risk Status Score	Review Interval
9	Monthly
6	Quarterly
3-4	Twice a Year
1-2	Annually

The Risk Report

This includes an overview report showing the current mitigated status, any recommended changes to risks are included together with any project or service risks that need to be included in the Corporate or Strategic Risk Registers.

Overview

There are 25 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', that apply to many sections of the council and we have corporate processes in place to deal with them.

Of these 37 risks 6 have a Very High unmitigated risk score 9 (3x3). The risk Responsible Officers have actions in place to reduce these risks.

The risk matrix below shows how many risks have very high (9), high (6), medium (3-4) or low (1-2) mitigated risk score.

- No risks have a high impact and high likelihood score of 9 (3x3)
- No risk have a medium impact and high likelihood score of 6 (2x3)

Risk Likelihood	3 - High	No Risks	No Risks	No Risks
	2 - Medium	No Risks	10 Risks	8 Risks
	1 - Low	No Risks	7 Risks	12 Risks
		1 - Low	2 - Medium	3 - High
		Risk Impact		

Risk reviews

A programme for the review of each risk and its mitigations is in place. This includes a meeting with the responsible officer and those managing the risk to review the scope of the risk, causes and impact, and mitigations.

Since the last report in July a further 2 risks reviews have been completed with the responsible officers and SLT and a new risk added:

- i) **ST01** Accident leading to injury or death & **ST11** Failure to comply with Health & Safety legislation where **ST01** was archived and its mitigations moved into **ST11**, the description refreshed and 2 new mitigations added as follows:
 - Adequate Health & Safety resources available
 - Health & Safety Manager provided

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- ii) **ST44** Flooding risk management and resilience which was split into 2 risks: **ST44** Flood risk management and **ST45** Flood risk resilience
The risk descriptions were revised, the mitigations divided and reviewed and 1 new mitigation added to both risks.
- Local flood risk management strategy
- iii) **ST46** Failure of ICT security measures leading to a cyber attack
- Description: Failure to identify, assess and put in place ICT security measures that protect from cyber attack the network and information systems that support essential service delivery. This could lead to financial loss, service delivery failure, disruption, damage/corruption of data a loss in public confidence and reputation
 - 11 Mitigations: Information governance group; User awareness; Cyber security awareness training; ICT cyber security lead; ICT Business continuity plan; Communications plan; Incident response policy; Mobile device/agile working policy; Cyber security risk management regime; Strata monthly report; Internal audit review
- iv) In addition to the above, the titles of 5 risks have been changed so that their scope and purpose is clearer, 1 new mitigation added and a mitigation updated to **CP01** Attacks on staff and a further mitigation added to **ST37**
- **ST37** Failure of the jointly owned ICT company, Strata, to provide IT services, to **ST37** Failure of ICT infrastructure and systems not meeting business needs or not being fit for purpose and a new mitigation
 - Business continuity plans – new mitigation
 - **ST02** Financial Uncertainty to **ST02** Failure to control and monitor finance
 - **ST29** Inability to Respond to or Manage Change, to **ST29** Failure to maintain sufficient management capacity and capability to deliver business as usual and implement change
 - **ST09** Inadequately prepared to deal with a major disaster to **ST09** Inadequately prepared to deal with a civil emergency
 - **ST21** Provision and Recording of Poor quality data, inaccurate information and advice to **ST21** Failure to ensure data quality
 - **CP01** Attacks on staff new mitigations
 - First Responder – mitigation updated
 - Incident Support Responders – new mitigation

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Major projects/service changes

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

T10	Title	Description	Responsible Officer(s)	Up to date Risk Register in place
GP	Energy Services Company	Formation of a public sector joint venture energy company to provide district heating networks	Simon Thornley	Yes
GP	GESP	Joint Local Plan with Exeter, East Devon & Mid Devon	Simon Thornley	See ST40, 41, 43
IIP	Newton Abbot Town Centre Development and Market Walk	Newton Abbot town centre masterplan focussing on the re-development of the Markets area, Bradley Lane and Cricketfield Road car park	Tony Watson, Tom Butcher	Yes
IIP	Brunswick Street, Teignmouth re-development	Delivery plan in process, focusing on re-development of vacant Brunswick Street sites, George St & Northumberland Place	Tony Watson, Donna Best	Yes
OAA	Leisure Strategy	First stage of Leisure Strategy Development	Lorraine Montgomery	Yes
'One Teignbridge' Project				
WE	<i>Digital Platform</i>	<i>Digital platform to improve digital access to services and streamlining of processes. Mobile access for officers in the field</i>	<i>Kay O'Flaherty, Amanda Pujol</i>	Yes
WE	<i>Midland iTrent</i>	<i>HR/Payroll data management IT system</i>	<i>Martin Flitcroft, Tim Slater</i>	Yes
WE	<i>Open Portal</i>	<i>A project allowing customers to register online to view their personal "dashboard" containing council tax, NNDR and benefit information</i>	<i>Tracey Hooper, Rob Duddle</i>	Yes

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4. RISK REPORT

Guide to risk status:

Risk scores are calculated by multiplying the risk **impact** with the risk **likelihood** on a scale of 1 to 3. A status score of 6 to 9 is a high risk, 3 to 4 medium risk and 1 to 2 low risk.

Guide to mitigation status:

- **Action completed** the mitigating action is a one-off action that has been completed and will not be repeated at any time in the future
- **Action ongoing** the mitigating action is in place and effective but needs to carry on being done
- **Action needed** when a mitigating action has not started or is not fully effective

Risk report with mitigations – Appendix A attached

A risk overview report is provided which includes details of the risk, its description, mitigations, unmitigated and mitigated risk scores and responsible officer(s).

5. MAIN IMPLICATIONS

None

6. GROUPS TO BE CONSULTED

None

7. WITNESSES TO BE CALLED

None

8. TIME-SCALE

9. 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 and provide a continuity of service.

10. RECOMMENDATION

Review and approve the report.

Wards affected	ALL
Contact for any more information	Kay O'Flaherty/Liz Gingell
Background Papers (For Part I reports only)	Appendix A – Risk overview report
Key Decision	No
In Forward Plan	No
In O & S Work Programme	No