

Strategic & Corporate Risk Overview Report

Report for 2018/19

Filtered by Folder: Strategic Leadership Team - 2. Corporate Risks (Risks), Strategic Leadership Team - 1. Strategic Risks (Risks)

Key to Performance Status:

Mitigation: Action needed Action ongoing Action completed No status set

Risks: Review overdue (0+) Very High (9+) High (6+) Medium (3+) Low (1+)

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer																						
Risk Code: CP01 Unmitigated Status: High (6) Mitigated Status: Medium (3) Last Review Date: 20/11/2018	Attacks on Staff Attacks on staff in relation to Teignbridge District Council core business matters. Risk of injury or death due caused by physical attacks and the risk of verbal and intuitive threats to staff while involved in any Council work or activity. This could be at anytime during the Council's hours of operation, at any location and either with others or alone, lone working and working from/at home	Risk Responsible Officer: John-Paul Bove, Paul Nicholls Mitigation: <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Annual Health & Safety Review</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Employee Protection Register</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>First responder</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Health & Safety Policy in place (current)</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Health and Safety Coordination</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Home Safeguard monitoring system</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Implementation of the Health & Safety Policy</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Incident Support Responders</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Local procedures (Teams or Services)</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Lone working procedure</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Staff training</td></tr> </table>	Action ongoing	Annual Health & Safety Review	Action ongoing	Employee Protection Register	Action ongoing	First responder	Action ongoing	Health & Safety Policy in place (current)	Action ongoing	Health and Safety Coordination	Action ongoing	Home Safeguard monitoring system	Action ongoing	Implementation of the Health & Safety Policy	Action ongoing	Incident Support Responders	Action ongoing	Local procedures (Teams or Services)	Action ongoing	Lone working procedure	Action ongoing	Staff training
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Risk Code: CP03 Unmitigated Status: Very High (9) Mitigated Status: High (6) Last Review Date: 13/11/2018	Partnership management Lack of partnership management that can lead to poor performance/effectiveness, breakdown in working relationships, council budget pressures, poor customer service & service delivery. Partnership includes risks associated with formal partnerships and those organisations we work with and provide funding for/advise/share information with, combined authorities, collaboration, devolution, Strata, Greater Exeter etc	Risk Responsible Officer: Kay O'Flaherty Mitigation: <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>A shared vision</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Management of partnership risk by services</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Partnership failure contingency</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Partnership governance</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Partnership list</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Partnership performance</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Review of the partnership toolkit</td></tr> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Rollout of the partnership toolkit</td></tr> </table>	Action ongoing	A shared vision	Action ongoing	Management of partnership risk by services	Action ongoing	Partnership failure contingency	Action ongoing	Partnership governance	Action ongoing	Partnership list	Action ongoing	Partnership performance	Action ongoing	Review of the partnership toolkit	Action ongoing	Rollout of the partnership toolkit						
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Risk Code: CP05 Unmitigated Status: High (6) Mitigated Status: Low (2) Last Review Date: 06/09/2018	Contractor Poor Performance/Failure 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.	Risk Responsible Officer: Lucy Ford Mitigation: <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="background-color: green; color: white;">Action ongoing</td><td>Actively promote the ten year Council Strategy when talking to suppliers/contractors</td></tr> </table>	Action ongoing	Actively promote the ten year Council Strategy when talking to suppliers/contractors																				
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Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing All new procurements have a standardised approach with standardised tendering practises</p> <p>Action completed Contract management is on the 3 year procurement improvement plan</p> <p>Action ongoing Contract Procedure Rules are in place and are reviewed annually</p> <p>Action ongoing Contracts are awarded to suppliers demonstrating the right mix of quality and value for money</p> <p>Action ongoing Factors that are proportionate to the nature of the contract will be evaluated at the tender stage</p> <p>Action ongoing Put relevant accreditation checks in place</p> <p>Action ongoing Seek quality assurance from contractors/suppliers</p> <p>Action ongoing The Corporate Procurement Officer (CPO) supports all procurements over the value of £50,000</p> <p>Action ongoing Training is provided, which emphasises the importance of value for money in procurement</p>
<p>Risk Code: CP07</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 12/09/2018</p>	<p>Failure to Collect or Loss of Income</p> <p>Failure to collect income due to poor internal control or loss of income due to fraud.</p>	<p>Risk Responsible Officer: Sue Heath</p> <p>Mitigation:</p> <p>Action ongoing Anti Fraud Theft and Corruption Strategy</p> <p>Action ongoing Bank Reconciliation / Waybill Reconciliation / Budget & SD Arrears Monitoring</p> <p>Action ongoing Cash Handling Procedures</p> <p>Action ongoing Cashless Council</p> <p>Action ongoing Code of Conduct</p> <p>Action ongoing Employee References</p> <p>Action ongoing Financial Instructions</p> <p>Action ongoing Fraud Awareness Guide for Managers</p> <p>Action ongoing Fraud Hotline / Web Form</p> <p>Action ongoing Internal Audit Function</p> <p>Action ongoing PCIDSS</p> <p>Action ongoing Prosecution of Offenders</p> <p>Action ongoing Secure Collection</p> <p>Action ongoing Staff Training</p> <p>Action ongoing Whistleblowing Policy</p>
<p>Risk Code: CP08</p> <p>Unmitigated Status: Medium (4)</p> <p>Mitigated Status: Low (2)</p> <p>Last Review Date: 14/11/2018</p>	<p>Future proofing the workforce (was Failure to Improve Staff Capability and Capacity)</p> <p>A lack of suitable staff with the relevant competencies, including senior managers, to meet future Council service provision needs</p>	<p>Risk Responsible Officer: Tim Slater</p> <p>Mitigation:</p> <p>Action ongoing Annual Learning and Development Needs Survey</p> <p>Action ongoing CPD & personal development support</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing Monitoring of salary levels</p> <p>Action ongoing Staff performance Reviews</p> <p>Action ongoing Succession planning</p>
<p>Risk Code: CP09</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 09/10/2018</p>	<p>Staff health and wellbeing (was Staff Absence/Stress/Morale)</p> <p>Poor workforce wellbeing leading to low morale, stress and absence and increased pressure on other staff which may result in reduced work productivity and loss of reputation as a good employer.</p>	<p>Risk Responsible Officer: Tim Slater</p> <p>Mitigation:</p> <p>Action ongoing Benchmarking with other LA's</p> <p>Action ongoing Health and Wellbeing Group</p> <p>Action ongoing Monitoring of staff absence rates & reporting to SLT / CMT</p> <p>Action ongoing Promotion of health & wellbeing</p> <p>Action ongoing Regular meetings with trade unions and staff forum</p> <p>Action ongoing Supporting managers to support staff</p> <p>Action ongoing Systems & procedures for short & long term absences</p>
<p>Risk Code: CP11</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 07/11/2018</p>	<p>Breach of Code of Conduct by Members</p> <p>Breach of code of conduct by Members conduct bringing the Council into disrepute. Steps are being taken to overview and update the code of conduct.</p>	<p>Risk Responsible Officer: Justin Price-Jones</p> <p>Mitigation:</p> <p>Action ongoing A database is kept of members interests</p> <p>Action ongoing Members' induction training</p> <p>Action ongoing Members sign up to the code</p> <p>Action ongoing Ongoing Guidance to Members</p> <p>Action ongoing Regular Reminders to Members</p> <p>Action ongoing Standards Committee appointment</p>
<p>Risk Code: CP12</p> <p>Unmitigated Status: Medium (4)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 10/09/2018</p>	<p>Breach of Code of Conduct by Staff</p> <p>Breach of code of conduct by staff leading to possible fraud, dishonesty, loss of reputation, poor performance.</p>	<p>Risk Responsible Officer: Tim Slater</p> <p>Mitigation:</p> <p>Action ongoing Benchmarking with other LA's</p> <p>Action ongoing Code of Conduct review & guidance issue</p> <p>Action ongoing Continuous monitoring and improvement</p> <p>Action ongoing Induction for new staff and managers</p> <p>Action ongoing Investigations undertaken</p>
<p>Risk Code: CP13</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 11/09/2018</p>	<p>Safeguarding</p> <p>All children, young people and adults have the right to be safe, happy and healthy and deserve protection from abuse. The council is committed to safeguarding from harm all children, young people and adults with care and support needs using any council services and involved in any of their activities, and to treat them with respect during their dealings with the council, our partners and contractors.</p>	<p>Risk Responsible Officer: Rebecca Hewitt</p> <p>Mitigation:</p> <p>Action ongoing Communication of safeguarding</p> <p>Action ongoing Compliance with the Safeguarding Policy</p> <p>Action ongoing DBS checks</p> <p>Action ongoing Existing staff with frequent contact with vulnerable people will receive Safeguarding Training .</p> <p>Action ongoing Joint Working</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing Raise awareness of Safeguarding Policy with all existing staff</p> <p>Action ongoing Safeguarding Policy Review</p> <p>Action ongoing Safeguarding protection policy in place</p> <p>Action ongoing Safeguarding training</p>
<p>Risk Code: CP14</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 16/11/2018</p>	<p>Non-compliance with the Data Protection Act and General Data Protection Regulations</p> <p>The GDPR and DPA place additional requirements on the council that include gaining consent for data processing, informing individuals how their data will be processed and greater rights for individuals to access their data and request deletion of their data. These cover all personal data including name, address, date of birth, telephone number, bank details, location data, Internet Protocol (IP) addresses and cookie IDs, plus sensitive personal data such as race, ethnicity, political opinions, physical or mental health conditions, religious or philosophical beliefs, trade union membership, sexual life/sexual orientation, genetic and biometric data.</p>	<p>Risk Responsible Officer: Sue Heath</p> <p>Mitigation:</p> <p>Action ongoing A dedicated Data Protection Officer to ensure compliance with the GDPR</p> <p>Action ongoing Advice and process for third party use of our data, not under contract</p> <p>Action ongoing Data Protection Impact Assessment (DPIA)</p> <p>Action ongoing Data protection training including changes due to GDPR</p> <p>Action ongoing GDPR clause in our contracts</p> <p>Action ongoing Information Asset register</p> <p>Action ongoing Information Management Group</p> <p>Action ongoing Personal data consent management</p> <p>Action ongoing Personal data processing</p> <p>Action ongoing Process or procedure in place to report, respond to and review a data breach.</p> <p>Action ongoing Promotion of data protection awareness and GDPR</p> <p>Action ongoing Records retention schedule</p> <p>Action ongoing Service Data Guardians</p> <p>Action ongoing Technical measures to ensure data security</p>
<p>Risk Code: CP15</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 05/09/2018</p>	<p>Project management</p> <p>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.</p> <p>Opportunities to improve efficiency, use of our assets, increase income, provide 24/7 online services, improve the customer experience.</p>	<p>Risk Responsible Officer: Kay O'Flaherty</p> <p>Mitigation:</p> <p>Action ongoing Corporate project management method</p> <p>Action ongoing Effective monitoring and reporting of project risks</p> <p>Action ongoing Key council projects risk management list</p> <p>Action ongoing Project assurance</p> <p>Action ongoing Project lessons learned</p> <p>Action ongoing Project management expertise</p> <p>Action ongoing Project risk management by services</p> <p>Action ongoing Project risk reporting to SLT and Audit Scrutiny</p> <p>Action ongoing Risk information provided for all key decisions</p>
<p>Risk Code: CP16</p> <p>Unmitigated Status: High (6)</p>	<p>Lack of Effective Risk Management</p> <p>The Council fails to manage its risks properly which impacts on its ability to achieve its goals.</p>	<p>Risk Responsible Officer: Philip Shears</p> <p>Mitigation:</p> <p>Action Audit of Risk Management</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
<p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 31/10/2018</p>		<p>ongoing Arrangements</p> <p>Action ongoing Review of Strategic and Corporate Risks and new emerging risks and opportunities</p> <p>Action ongoing Risk Management Arrangements for Partnerships</p> <p>Action ongoing Risk Management is Embedded</p> <p>Action ongoing Risk Management Strategy</p> <p>Action ongoing Risk Management Training</p>
<p>Risk Code: ST02</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 15/11/2018</p>	<p>Failure to control and manage finance</p> <p>Budget restraints/lack of finances, due to local & national changes in service demand that effect levels of spend or income leading to a budget imbalance</p>	<p>Risk Responsible Officer: Martin Flitcroft, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Budget Preparation</p> <p>Action ongoing Budget Report</p> <p>Action ongoing Budget Review</p> <p>Action ongoing Budget Risk Analysis</p> <p>Action ongoing General Reserves Monitoring</p> <p>Action ongoing Service Reviews</p>
<p>Risk Code: ST06</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 07/11/2018</p>	<p>Statutory Requirements Not Met</p> <p>Government requirements not being met (was legal challenge) leading to intervention by Central Gov. or other regulatory bodies leading to legal challenge, poor audit reports and compensation claims.</p>	<p>Risk Responsible Officer: Justin Price-Jones, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Commit adequate resources to achieving government requirements and reporting schedules</p> <p>Action ongoing Council's planned programme of Audit inspections</p> <p>Action ongoing Current scheme of delegation</p> <p>Action ongoing Ensure a current up to date set of Financial Procedure Rules are maintained</p> <p>Action ongoing Ensure appointment of appropriate professional and technical Officers</p> <p>Action ongoing Ensure that the Council's Constitution is fit for purpose</p> <p>Action ongoing Formal reports to Executive/Council/Committee to be reviewed by Legal & Finance</p> <p>Action ongoing Provision of in-house legal training</p>
<p>Risk Code: ST08</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 12/10/2018</p>	<p>Economic Uncertainty (formerly Economic Recession or Abnormal Inflation)</p> <p>Changes to the macro-economic situation will impact upon our ability to deliver of our Council Strategy and may lead to increased unemployment, a collapse of the housing market and an increased demand on Council services e.g. housing benefits.</p>	<p>Risk Responsible Officer: Martin Flitcroft, Philip Shears, Tony Watson</p> <p>Mitigation:</p> <p>Action ongoing Annual Review of the Council Strategy</p> <p>Action ongoing Assessing the Disposal/Acquisition of Assets</p> <p>Action ongoing Budget Set</p> <p>Action ongoing Council Reserves</p> <p>Action ongoing Financial Management</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing Monitor the Economic Situation</p> <p>Action ongoing Responding to redundancies</p>
<p>Risk Code: ST09</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 26/10/2018</p>	<p><u>Inadequately prepared to manage the impacts of a major emergency in the District</u></p> <p>Inadequately prepared to manage the impacts of an emergency affecting the public, business environment and/or organisation. An inadequate or inappropriate response to a major or environmental emergency affecting the civil community or the Council itself.</p>	<p>Risk Responsible Officer: Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Appointment of Emergency Planning Officer</p> <p>Action ongoing Devon Emergency Planning Services</p> <p>Action ongoing Multi agency working and intelligence sharing</p> <p>Action ongoing Publication and regular review of the Corporate Emergency Plan & Business Continuity Plan</p> <p>Action ongoing Publication of the Corporate Emergency Plan</p> <p>Action ongoing Reciprocal support agreement with other Devon LA's</p> <p>Action ongoing Research and Consultation on Emergency Response Procedures</p> <p>Action ongoing Training of Council staff</p>
<p>Risk Code: ST11</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 20/11/2018</p>	<p><u>Failure to Comply with Health & Safety Legislation</u></p> <p>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.</p>	<p>Risk Responsible Officer: Paul Nicholls, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Adequate Health and Safety resources available</p> <p>Action ongoing Approved Policies and procedures in place</p> <p>Action ongoing Health and Safety communication</p> <p>Action ongoing Health and Safety Manager provided</p> <p>Action ongoing Health and Safety training</p> <p>Action ongoing Overview of compliance</p> <p>Action ongoing Risk assessments in place</p> <p>Action ongoing Safety audits</p> <p>Action ongoing Systems to report, record, monitor accident and near miss reports</p>
<p>Risk Code: ST14</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 12/09/2018</p>	<p><u>Fraud and Corruption</u></p> <p>Risk of fraud and leading to loss and / or reputational damage to the Council.</p>	<p>Risk Responsible Officer: Sue Heath, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Anti Fraud & Corruption Leaflet</p> <p>Action ongoing Anti Fraud and Theft Strategy and Whistleblowing Policy</p> <p>Action ongoing Anti Fraud Guidance for Managers</p> <p>Action ongoing Anti Fraud, Theft and Corruption Strategy</p> <p>Action ongoing Bank Reconciliations</p> <p>Action ongoing Financial Instructions and Contract Procedure Rules</p> <p>Action ongoing Fraud Risk Analysis</p>

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		<p>Action ongoing Internal Audit</p> <p>Action ongoing Raising awareness of the Council's position of non-tolerance to fraud & corruption</p> <p>Action ongoing References are obtained for new employees</p> <p>Action ongoing Self Assessment against Best Practice</p> <p>Action ongoing Staff and Member Codes of Conduct</p> <p>Action ongoing Suppliers Notified of Whistleblowing Policy</p> <p>Action ongoing Whistleblowing Hotline and Anti Fraud Publicised</p>
<p>Risk Code: ST17</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 09/10/2018</p>	<p><u>Inability to Recruit and Retain Staff</u></p> <p>Getting the right people in the right job at the right time' so that any loss of staff does not have a significant or prolonged impact on service delivery and continuity.</p>	<p>Risk Responsible Officer: Philip Shears, Tim Slater</p> <p>Mitigation:</p> <p>Action ongoing Benchmarking with other LA's</p> <p>Action ongoing Consistent management to create 'Team Teignbridge'</p> <p>Action ongoing Council operates a pay agreement</p> <p>Action ongoing Enhancing recruitment practices</p> <p>Action ongoing Salary levels are monitored to ensure Council remains competitive.</p> <p>Action ongoing Screening of potential new employees</p> <p>Action ongoing Staff performance reviews</p> <p>Action ongoing Succession planning</p> <p>Action ongoing Voluntary Redundancy Programme</p>
<p>Risk Code: ST19</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 26/10/2018</p>	<p><u>Poor or Ineffective Business Continuity Management</u></p> <p>Inability to provide Council services</p>	<p>Risk Responsible Officer: Tony Watson</p> <p>Mitigation:</p> <p>Action ongoing Business Continuity Planning</p> <p>Action ongoing Management of service business continuity</p> <p>Action ongoing Regular business continuity health checks</p>
<p>Risk Code: ST20</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 16/10/2018</p>	<p><u>Poorly Managed Election</u></p> <p>Poorly managed election leading to embarrassment, loss of reputation and High Court challenge.</p>	<p>Risk Responsible Officer: Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Elections project plan</p> <p>Action ongoing Electoral guidance followed</p> <p>Action ongoing Electoral law & systems training</p> <p>Action ongoing External Performance Plan</p> <p>Action ongoing Key staff elections training</p> <p>Action ongoing Planning meetings</p> <p>Action completed Qualified Council Election's Co-ordinator</p> <p>Action ongoing Refresher/Awareness Training</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		Action ongoing Risk Management workshop
Risk Code: ST21 Unmitigated Status: High (6) Mitigated Status: Medium (3) Last Review Date: 15/10/2018	Failure to ensure data quality This includes inaccurate records/data recording/giving of advice; misinterpretation of 3rd party data or inaccurate data analysis and inaccurate reporting. which could lead to legal challenge, poor decisions, incorrect policy decisions, misallocation of resources and loss of reputation.	Risk Responsible Officer: Amanda Pujol Mitigation: Action ongoing Access to expert advice, senior practitioners, external professional services Action ongoing Commitment to and access to continuous professional development for professional staff Action ongoing Data Quality Policy Action ongoing Good project management practices Action ongoing Increase staff awareness of data quality through the Customer Access and Business Improvement Group Action ongoing Regular checks / auditing of data Action ongoing Systems and procedures to manage & monitor performance data quality Action ongoing Training of key staff on data quality
Risk Code: ST24 Unmitigated Status: Medium (4) Mitigated Status: Low (2) Last Review Date: 15/11/2018	Finance - Breach of Financial Instructions & Contract Rules Finance - non adherence to Financial Instructions & Contract Rules due to a lack of understanding of financial procedures leading to qualification on accounts, poor inspection reports, fraud, loss of income, poor VfM and poor budgetary control.	Risk Responsible Officer: Martin Flitcroft, Lorraine Montgomery, Amanda Pujol, Philip Shears, Tony Watson Mitigation: Action ongoing Automated controls included in corporate systems Action ongoing Bank and Waybill Reconciliations undertaken by Financial Services Action ongoing Financial Instructions Awareness and Contract Procedure Rules training Action ongoing Financial Instructions Format Action ongoing Financial Instructions Monitoring Action ongoing FMS Training Action ongoing Internal Audit / Procurement Officer Advice / Waiver Requests Action ongoing Monthly Management Accounts Action ongoing Procurement Officer Action ongoing Trained professional staff responsible for compiling annual accounts
Risk Code: ST25 Unmitigated Status: Medium (4) Mitigated Status: Low (2) Last Review Date: 05/06/2018	High Levels of Customer Dissatisfaction Inadequate customer contact standards and poor customer service leading to increased complaints and loss of reputation.	Risk Responsible Officer: Philip Shears Mitigation: Action ongoing Business Efficiency Service Transition (BEST) 2020 Action ongoing Complaints Review Board Action ongoing Customer Comments and Complaints system Action ongoing Customer Journey Mapping Action ongoing Customer Management Action ongoing Customer Services training for reception staff to NVQ lvl 3 Action Staff induction training and staff

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		ongoing handbook
Risk Code: ST26 Unmitigated Status: High (6) Mitigated Status: Low (2) Last Review Date: 26/09/2018	Poor Public Relations Management Poor reputation due to bad /inadequate/ inaccurate reporting.	Risk Responsible Officer: Philip Shears Mitigation: Action ongoing Comms Catch-ups Action ongoing Communications Strategy Action ongoing Devon Communications Group Action ongoing Raising awareness of good communications and reputation management Action ongoing Regular Media Enquiry Reports Action ongoing Regular monitoring of management performance through PR PDP's Action ongoing Regular Portfolio Holder meetings Action ongoing Social Media Policy Action ongoing Use of strategic issues management involving proactive PR planning Action ongoing Vuelio
Risk Code: ST28 Unmitigated Status: Medium (3) Mitigated Status: Low (2) Last Review Date: 05/06/2018	Major damage to our physical premises and/or working environment Major damage to our physical premises and/or working environment.	Risk Responsible Officer: David Eaton, Philip Shears Mitigation: Action ongoing Business Continuity Plan Action completed Identification of alternative premises Action ongoing Risk Analysis of Councils premises and infrastructure Action ongoing Salvage Plan
Risk Code: ST29 Unmitigated Status: High (6) Mitigated Status: Medium (3) Last Review Date: 14/11/2018	Failure to maintain sufficient management capacity & capability Failure to maintain sufficient management capacity & capability to deliver business as usual & implement change New income generation opportunities and a greater commercial focus leading to increased financial and reputational risk. Changes to services leading to poor service delivery	Risk Responsible Officer: Philip Shears Mitigation: Action ongoing Annual business efficiency and service transition reviews Action ongoing Continuing Professional Development opportunities Action ongoing Continuing review of staffing Action ongoing Due diligence Action ongoing External Officer networking and using the learning from others Action ongoing Internal and external auditing Action ongoing Leadership training programmes for managers and supervisors Action ongoing Meetings with PH/Leader that identify strengths, weaknesses, opportunities & threats Action ongoing Regular individual, team & service performance monitoring by Managers, Action ongoing Revised management structure to be considered by Council to enable the Council to respond to change Action ongoing Staff have the necessary skills for future new models of service delivery

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing Systems & procedures & policies to deal with underperformance/lack of capability</p>
<p>Risk Code: ST31 Unmitigated Status: Medium (4) Mitigated Status: Low (2) Last Review Date: 05/06/2018</p>	<p>Climate Change - the impact of not reducing our energy use and contribution to CO2 emissions The impact of not reducing our energy use and contribution to the levels of CO2. If unchecked, the Council's energy use will continue to rise unabated and will create:- • unnecessary financial pressure • loss of reputation as a community leader • loss or reduction of corporate goal</p>	<p>Risk Responsible Officer: Tony Watson Mitigation:</p> <p>Action ongoing Develop monitoring system for energy usage</p> <p>Action ongoing Improve procurement</p> <p>Action completed Recruit Energy Efficiency Officer</p> <p>Action ongoing Review service policies, Travel, IT, HR</p> <p>Action ongoing Service Leads to reduce energy consumption in the service area</p> <p>Action ongoing Training for all staff to reduce, reuse and recycle energy and resources</p>
<p>Risk Code: ST32 Unmitigated Status: Medium (4) Mitigated Status: Medium (4) Last Review Date: 05/06/2018</p>	<p>Non Compliance with Section 106 Agreements and CIL notices Non Compliance with Section 106 Agreements and CIL notices</p>	<p>Risk Responsible Officer: Philip Shears Mitigation:</p> <p>Action ongoing Meetings with departments</p> <p>Action ongoing Monitor issue of relevant CIL notices and receipt of CIL monies</p> <p>Action ongoing Monitor monies received from time constrained S106 agreements and not yet spent</p>
<p>Risk Code: ST37 Unmitigated Status: High (6) Mitigated Status: High (6) Last Review Date: 22/11/2018</p>	<p>Failure of ICT infrastructure and systems not meeting business needs or not being fit for purpose 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.</p>	<p>Risk Responsible Officer: Amanda Pujol Mitigation:</p> <p>Action ongoing Annual auditing</p> <p>Action ongoing Business plan approved annually</p> <p>Action ongoing Good communication</p> <p>Action ongoing ICT Requirements Board review meetings</p> <p>Action ongoing Monitoring and review of performance</p> <p>Action ongoing Robust governance</p> <p>Action ongoing Strata and Teignbridge DC Business Continuity Plans</p>
<p>Risk Code: ST40 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 17/09/2018</p>	<p>Local Plan - Infrastructure Delivery Delay Infrastructure delay; risk of not delivering infrastructure as per the Infrastructure Delivery Plan required for the successful delivery of the commitments in the Local Plan</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley Mitigation:</p> <p>Action ongoing Direct Involvement</p> <p>Action ongoing Funding Streams</p> <p>Action ongoing Ongoing Review of Infrastructure Delivery Plan</p> <p>Action ongoing Planning Application Process</p> <p>Action ongoing S.106 and Planning Conditions</p> <p>Action ongoing Work with Stakeholders</p>
<p>Risk Code: ST41 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date:</p>	<p>Local Plan - Planned Development Delayed or Not Happening Planned development is delayed or does not happen due to an economic downturn, infrastructure provision delay, unexpected delivery costs, landowners sitting on land and developers</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley Mitigation:</p> <p>Action ongoing Achievable Allocations</p>

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19/10/2018	having different priorities. This could lead to a loss of New Homes Bonus, shortage of employment growth, an impact on Business rate retention, an out of date local plan and under-delivery of the 5 yr supply leading to a possible loss of appeals.	<p>Action ongoing Infrastructure Investment</p> <p>Action ongoing Viability Evidence</p> <p>Action ongoing Work with Developers, Landowners and other Stakeholders</p>
<p>Risk Code: ST42</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 31/10/2018</p>	<p>Failure to deliver the Council Strategy</p> <p>Failure to deliver the key objectives and outcomes of the Council Strategy due to: no money to deliver, no capacity to deliver, a loss of political willingness, change of political direction – local and national, a change of view and priorities by our partners, loss of key staff and local intelligence, unreliable data leading to poor decisions & direction, a lack of engagement of staff, unforeseen issues outside of our control, , too broad a spread of actions, poor leadership, poor planning, governance and monitoring of performance leading to: missed opportunities, moving out of scope of the project, duplication, lost opportunities due to sole focus on the strategy objectives, a loss of reputation, customer satisfaction and trust, unplanned changes, a lack of co-ordination and direction and the risk of over promising and under delivering.</p>	<p>Risk Responsible Officer: Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Budget planning</p> <p>Action ongoing Clear links to other Council and partner strategies and plans</p> <p>Action ongoing Communication planning</p> <p>Action ongoing Ensure adequate staff resources</p> <p>Action ongoing Overall project and programme oversight</p> <p>Action ongoing Partnership relationship management</p> <p>Action ongoing Programme Managers/Business Managers meetings with Portfolio Holders</p> <p>Action ongoing Project planning</p> <p>Action ongoing Regular progress monitoring</p> <p>Action ongoing Review mechanism</p>
<p>Risk Code: ST43</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 19/10/2018</p>	<p>Failure to adopt Local Plans: Greater Exeter Strategic Plan and Teignbridge Local Plan Review</p> <p>Councillors do not agree to the plan's contents, or in the case of the GESP no agreement between councils can be reached. The Local Plan Inspector finds the local plan unsound or legally flawed and cannot recommend its adoption</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley</p> <p>Mitigation:</p> <p>Action ongoing Appropriate SEA and HRA</p> <p>Action ongoing Conformity with GESP</p> <p>Action ongoing Consultation</p> <p>Action ongoing Critical review of plans and policies</p> <p>Action ongoing Duty to cooperate agreements</p> <p>Action ongoing Duty to cooperate processes</p> <p>Action ongoing Evidence</p> <p>Action ongoing National Planning Policy</p> <p>Action ongoing Political support</p> <p>Action ongoing Qualified staff</p> <p>Action ongoing Review other plans</p> <p>Action ongoing Training</p>
<p>Risk Code: ST44</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date:</p>	<p>Flood risk management</p> <p>A lack of appropriate flood risk management of Council land and/or property. A lack of management of flood risk associated with new development through increased surface water runoff or development in flood risk areas through</p>	<p>Risk Responsible Officer: Tony Watson</p> <p>Mitigation:</p> <p>Action ongoing - Local Flood Risk Management Strategy</p> <p>Action Coastal flood and Erosion works</p>

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14/11/2018	the lack of planning guidance. A lack of working with partners such as the Environment Agency, Devon County Council and other Risk Management Authorities.	<p>ongoing</p> <p>Action ongoing Flood risk management schemes</p> <p>Action ongoing Planning guidance and application review</p> <p>Action ongoing Regular meetings with key partners</p>
Risk Code: ST45 Unmitigated Status: High (6) Mitigated Status: High (6) Last Review Date: 14/11/2018	Flood risk resilience A lack of flood risk management plans including supporting of Community Plans and Emergency Flood Response plans. A lack of flood risk resilience associated with new development through increased surface water runoff or inappropriate development in flood risk areas through the lack of planning guidance. A lack of working with partners such as the Environment Agency, Devon County Council and other Risk Management Authority.	Risk Responsible Officer: Tony Watson Mitigation: <p>Action ongoing Local Flood Risk Management Strategy</p> <p>Action ongoing Local Resilience Forum</p> <p>Action ongoing Planning Guidance and Review</p> <p>Action ongoing Promotion of Flood Resilience schemes</p>
Risk Code: ST46 Unmitigated Status: Very High (9) Mitigated Status: High (6) Last Review Date: 22/11/2018	Failure of ICT security measures leading to a cyber attack 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	Risk Responsible Officer: Amanda Pujol Mitigation: <p>Action ongoing Communications Plan</p> <p>Action needed Cyber security awareness training</p> <p>Action ongoing Cyber security risk management regime</p> <p>Action ongoing ICT Business Continuity Plan</p> <p>Action ongoing ICT cyber security lead</p> <p>Action ongoing Incident response policy</p> <p>Action ongoing Information governance group</p> <p>Action ongoing Internal audit review</p> <p>Action needed Mobile device/agile working policy</p> <p>Action ongoing Strata Monthly Report</p> <p>Action ongoing User awareness</p>