

TEIGNBRIDGE DISTRICT COUNCIL
TEIGNBRIDGE DISTRICT COUNCIL

AUDIT SCRUTINY

19 DECEMBER 2019

PART I

Report Title	Corporate and Strategic 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: Note this report and 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, where the mitigation status shows as ongoing, and other risks including ST14 Fraud & corruption and ST24 Breach of finance and contract rules. Principal Technical Accountant & Deputy Chief Finance Officer Email: claire.moors@teignbridge.gov.uk
Legal Implications	No direct implications beyond effective risk management is key to meeting Council's legal duties. Monitoring Officer Email: Karen.trickey@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. Business Improvement Team Leader Email: Kay.Oflaherty@teignbridge.gov.uk
Environmental/ Climate Change Implications	See risk ST31 Climate change – the impact of not reducing our energy use and contribution to CO2 Environmental Protection Manager Email: David.Eaton@teignbridge.gov.uk
Report Author	Business Improvement Officer liz.qingell@teignbridge.gov.uk
Portfolio Holder	Corporate Resources – Cllr Alan Connett
Appendices / Background Papers	Appendix A – Detailed Corporate and Strategic risk report

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1. INTRODUCTION / 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 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) i.e the risk if we took no action to reduce the risk. The risk Responsible Officers have actions (mitigations) 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 scores i.e. the risk score taking into account the effectiveness of actions (mitigations) to reduce the risk.

- No risks have a high impact and high likelihood score of 9 (3x3)
- 6 risks have a high impact and medium likelihood score of 6 (3x2)

Risk Likelihood	3 - High	2 Risks <u>ST17, CP16</u>	No Risks	No Risks
	2 - Medium	No Risks	15 Risks <u>ST14, CP01, CP01, CP07, CP11, CP12, CP08, ST08, ST19, ST09, ST32, ST41, ST40, CP14, ST46</u>	6 Risks <u>CP09, ST26, ST11, ST20, ST42, ST45</u>
	1 - Low	No Risks	5 Risks <u>CP05, ST25, ST24, ST31, ST28</u>	10 Risks <u>CP13, ST02, ST29, ST21, ST06, ST37, CP03, ST44, ST43, CP15</u>
		1 - Low	2 - Medium	3 - High
		Risk Impact		

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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.

Details of changes to existing risks and new or deleted risks mitigations are below.

Risk	Review by	Changes
CP07	Sue Heath	Update to mitigation: Financial Instructions: The Council's Financial Instructions specify the rules for income collection, including points of sale as well as debtor accounts. Debt collection statistic are monitored. Irregularities must be notified immediately to the Section 151 Officer (Internal Audit)
CP14	Sue Heath	Update to mitigation: Information Governance Group: Officer group in place to promote best practice and processes, reviewing risk and data breaches. The group includes Strata and Audit.
ST06	Karen Trickey	New mitigation: Review of constitution: Fundamental review of constitution underway involving group leaders and senior officers commenced in summer 2019. First detailed report submitted and recommendations on changes to Constitution framework approved by full Council in September 2019. Review of delegations and procedural rules to be considered at next meeting of working group in December 2019.
ST26	SLT	New mitigation: Communications Officer in post: Communications Officer in post
ST46	Sue Heath	Update to mitigation: Information Governance Group: An Information Governance Group that has periodic meetings inclusive of a discussion on cyber risk and reports to SLT on cyber risk

Risk Reports

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

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Risk mitigations with Action needed status - explanatory notes

ST26 Poor Public Relations Management

Mitigation Status	Mitigation	Info
Action needed	Comms Catch-ups	Regular meeting with Business Leads and Managers to discuss all corporate communication and PR issues surrounding their service. Happen on rolling basis covering each service every 8 weeks approx.
Action needed	Communications Officer in post	Communications Officer in post
Action needed	Devon Communications Group	Sharing of best practice and intelligence with Devon-wide group of public sector PR professionals, flagging up issues early, ensuring joint-approach to major issues, and improving knowledge of regional issues.

Review Note: Currently have temporary cover for the Comms Officer, the recruitment process is in progress.

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

Mitigation Status	Mitigation	Info
Action needed	Business plan approved annually	The business plan sets out the intended projects and identifies funding

Review Note: We are waiting for a copy of the Business plan to approve.

ST46 Failure of ICT security measures leading to a cyber attack

Mitigation Status	Mitigation	Info
Action needed	Cyber security awareness training	All staff to complete e-learning/awareness training on cyber security
Action needed	Mobile device/agile working policy	Mobile device/agile working policy that includes guidance on working outside of our managed offices areas and the use of own devices/pc's/laptops

Review Note: Cyber security awareness training - Strata have sourced a cost effective solution for the three partner councils which is currently being evaluated. Mobile device and agile working risks will be incorporate in an all-encompassing Acceptable Use Policy which is still in draft. Management comments to be sought and move to final version for release to staff by mid-November.

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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.

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	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
IIP	Sherbourne House	Delivery of NHS hub and 10 apartments	Donna Best, Tom Butcher	Yes
IIP	East Street and Drake Road	Development of two Council owned parcels of land to deliver 7 social rented homes. Approved by Full Council 19 th November 2019. Updated risk register contained as part of Full Council Report which was acknowledged and approved.	Graham Davey, Pete Briscoe	Yes
OAA	Leisure Centre Refurbishment	New Project - Delivery phase of Leisure centre refurbishment for Broadmeadow and Dawlish to be developed	James Teed/ Leigh Florence	To be developed
'One Teignbridge' Project				
WE	Digital Platform	<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	Midland iTrent	<i>HR/Payroll data management IT system</i>	<i>Martin Flitcroft, Tim Slater</i>	Yes
WE	Anywhere 365	<i>Cutting edge contact centre telephony & reporting</i>	<i>Amanda Pujol, Karen Land (STRATA)</i>	Yes

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2. ALTERNATIVE OPTIONS

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

3. 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.