

Strategic Risk Management Report (Incl. Mitigations)

Report for 2019/20

Filtered by Folder: Strategic Leadership Team - 1. Strategic Risks (Risks)
Not Including Child Projects records, Including Mitigation records

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+)

Strategic Risk Management Report (Incl. Mitigations)

Risk: Failure to control and manage finance 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					Risk Code: ST02
Unmitigated Status: Very High (9)		Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 3 - High		
Mitigated Status: Medium (3)		Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 1 - Low		
Date Identified: 01 Apr 2008			Risk Responsible Officer: Martin Flitcroft, Philip Shears		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Budget Preparation	The current budget setting process involved projecting Teignbridge's financial position over the next three years. There is a plan for income and expenditure which is monitored monthly. The three year plan was estimated taking account of the latest figures for reducing government grants. The plan and balanced was approved and published in February.	Martin Flitcroft	05/11/2009	08/11/2019
Action ongoing	Budget Report	An annual budget report to SLT, Executive and Council includes details of major changes & horizon scanning, used when setting the balanced budget	Martin Flitcroft	07/12/2016	08/11/2019
Action ongoing	Budget Review	The budget is subject to an ongoing review to identify areas of concern with a resulting monthly report to CMT and quarterly report to Executive. Budget proposals for the next three years are balanced.	Martin Flitcroft	05/09/2008	08/11/2019
Action ongoing	Budget Risk Analysis	Part of the budget process is a sensitivity and risk analysis where key factors are identified and assessed with a summary and conclusion by the Chief Finance Officer.	Martin Flitcroft	08/09/2008	08/11/2019
Action ongoing	General Reserves Monitoring	General Reserves are set annually and monitored regularly to ensure a minimum requirement is maintained to cover major budget variations. Reserves are being increased to approximately £2m for the next three years. This will allow us to take advantage of opportunities to increase income and deal with unexpected budget pressures.	Martin Flitcroft	08/09/2008	08/11/2019
Action ongoing	Service Reviews	Business challenge exercise (now BEST 2020) completed annually. This identifies budget pressures and savings, which are closely monitored.	Philip Shears	06/12/2010	08/11/2019
Review Note:					

Strategic Risk Management Report (Incl. Mitigations)

Risk: Statutory Requirements Not Met 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.

Risk Code: ST06

Unmitigated Status: Very High (9)

Unmitigated Risk Impact: 3 - High

Unmitigated Risk Likelihood: 3 - High

Mitigated Status: Medium (3)

Mitigated Risk Impact: 3 - High

Mitigated Risk Likelihood: 1 - Low

Date Identified: 19 Jul 2006

Risk Responsible Officer: Philip Shears, Karen Trickey, Paul Woodhead

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Commit adequate resources to achieving government requirements and reporting schedules	Commit adequate resources to achieving government requirements and reporting schedules	Philip Shears	17/06/2008	31/10/2019
Action ongoing	Council's planned programme of Audit inspections	Council's planned programme of Audit inspections to provide assurance to Senior Management	Sue Heath	17/06/2008	31/10/2019
Action ongoing	Current scheme of delegation	Ensure there is a current scheme of delegation that is kept up to date with all management changes	Karen Trickey	03/07/2018	31/10/2019
Action completed	Ensure a current up to date set of Financial Procedure Rules are maintained	Ensure a current up to date set of Financial Procedure Rules are maintained	Sue Heath	17/06/2008	31/10/2019
Action ongoing	Ensure appointment of appropriate professional and technical Officers	Ensure that appropriate professional and technical officers are appointed across the authority to ensure that legislative and procedural requirements are met	Tim Slater	17/06/2008	31/10/2019
Action ongoing	Ensure that the Council's Constitution is fit for purpose	Ensure that the Council's Constitution is fit for purpose	Karen Trickey	17/06/2008	31/10/2019
Action completed	Formal reports to Executive/Council/Committee to be reviewed by Legal & Finance	Formal reports to Executive/Council/Committee should be seen by Monitoring Officer and S.151 Officer	Karen Trickey	11/06/2008	31/10/2019
Action ongoing	Provision of in-house legal training	Provision of in-house legal training e.g Member Committee training, data protection e-learning	Karen Trickey	11/06/2008	31/10/2019
Action completed	Review of constitution	fundamental review of constitution underway involving group leaders and senior officers to ensure decision making framework is fit for purpose - initial report due to go to full Council in September submit to group leader SLT / sign off	Karen Trickey	09/08/2019	31/10/2019

Review Note:

Strategic Risk Management Report (Incl. Mitigations)

Risk: Economic Uncertainty Changes to the macro-economic situation will impact upon our ability to deliver 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.

Risk Code: ST08

Unmitigated Status: High (6)

Unmitigated Risk Impact: 2 - Medium

Unmitigated Risk Likelihood: 3 - High

Mitigated Status: Medium (4)

Mitigated Risk Impact: 2 - Medium

Mitigated Risk Likelihood: 2 - Medium

Date Identified: 01 Apr 2008

Risk Responsible Officer: Martin Flitcroft, Philip Shears, Tony Watson

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Annual Review of the Council Strategy	The Ten Year Council Strategy 2016-25 was approved by Council in April 2016. Quarterly monitoring report to O&S Committee.	Philip Shears	03/12/2008	30/08/2019
Action ongoing	Assessing the Disposal/Acquisition of Assets	We are continually reviewing our portfolio to assess those with development potential based on the current financial climate. The Asset Management Plan includes the review of opportunities for the acquisition of assets for redevelopment, regeneration and rental income.	Tony Watson	01/04/2008	30/08/2019
Action ongoing	Budget Set	Meetings held with Members the public & local businesses to discuss the levels of fees and charges, Council Tax and Business Rates.	Martin Flitcroft	24/11/2008	30/08/2019
Action ongoing	Council Reserves	The Council maintains reserves at a level that is able to cover major variations from budget in both expenditure and income. Full sensitivity and risk analysis included in the final budget which is approved by Council every year.	Martin Flitcroft	24/11/2008	30/08/2019
Action ongoing	Financial Management	Regular monitoring of revenue & capital budgets checking for major variations which impact on the level of reserves. This includes new homes bonus, community infrastructure levy, council tax support, and business rates retention monitoring. These can indicate fluctuations in the economy & lead to the requirement to re-align resources.	Martin Flitcroft	24/11/2008	30/08/2019
Action ongoing	Monitor the Economic Situation	Economy & Assets regularly monitor the economic climate and adjust plans accordingly to achieve the corporate goals, whilst maximising value for local people. Through the Economic Development Delivery Plan, economic trends for the district were identified and explored. The plan is subject to regular review so that it aligns with the Local Plan and current trends.	Tony Watson	01/04/2008	30/08/2019
Action ongoing	Responding to redundancies	Work with the Large Scale Voluntary Redundancy team at Job Centre Plus (JCP) to provide advice and support to businesses and employees where mass redundancies are made. Including joint working on retraining and upskilling plus matching skills to vacancies. For smaller scale redundancies, joint working to support people back to work as quickly as possible. Continued dialogue with JCP to monitor unemployment levels and understand when intervention and assistance from Council is required.	Tony Watson	15/09/2017	30/08/2019

Review Note:

Strategic Risk Management Report (Incl. Mitigations)

Risk: Inadequately prepared to manage the impacts of a major emergency in the District 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.

Risk Code: ST09

Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: Medium (4)	Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 01 Apr 2008		Risk Responsible Officer: Philip Shears

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Appointment of Emergency Planning Officer	To carry out the related tasks	David Eaton	01/04/2008	25/11/2019
Action ongoing	Devon Emergency Planning Services	Devon Emergency Planning Services started on 1st April and provides capacity and resilience to the authority.	David Eaton	01/04/2016	25/11/2019
Action ongoing	Multi agency working and intelligence sharing	Multi agency working and intelligence sharing through the Devon and Torbay Prevent Partnership	Rebecca Hewitt	17/12/2015	25/11/2019
Action ongoing	Publication and regular review of the Corporate Emergency Plan & Business Continuity Plan	Full review of the plan at regular intervals or after a significant incident	David Eaton	18/12/2014	25/11/2019
Action ongoing	Publication of the Corporate Emergency Plan	Identification of the Council's roles, responsibilities and tasks required in dealing with emergency incidents. Identifying the the interaction and cooperation required with the multi agency response	David Eaton	01/04/2008	25/11/2019
Action ongoing	Reciprocal support agreement with other Devon LA's	A Memorandum of Understanding exists signed by all Devon Chief Executives stating that reciprocal assistance and resources will be made available	David Eaton	01/04/2008	25/11/2019
Action ongoing	Research and Consultation on Emergency Response Procedures	Regular liaison with government agencies and local responders to distribute best practice and knowledge on common usage of equipment and communications systems	David Eaton	01/04/2008	25/11/2019
Action ongoing	Training of Council staff	Training and exercises on emergency response, roles, responsibilities and tasks	David Eaton	01/04/2008	25/11/2019

Review Note: Significant planning for potential impacts of BREXIT both within Teignbridge and working with partners across Devon. Planning started for winter preparedness.

Strategic Risk Management Report (Incl. Mitigations)

Risk: Failure to Comply with Health & Safety Legislation 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. **Risk Code: ST11**

Unmitigated Status: Very High (9) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 3 - High**

Mitigated Status: High (6) **Mitigated Risk Impact: 3 - High** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 01 Apr 2008 **Risk Responsible Officer: Paul Nicholls, Philip Shears**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	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.	Philip Shears	16/10/2018	11/11/2019
Action ongoing	Approved Policies and procedures in place	Health and Safety Policy and procedures in place and subject to regular revisions.	John-Paul Bove	16/10/2018	11/11/2019
Action ongoing	Health and Safety communication	Annual reports produced each year. Regular Health and Safety Committee meetings take place.	John-Paul Bove	01/11/2014	11/11/2019
Action ongoing	Health and Safety Manager provided	Health and Safety Manager in post to advise managers on how to comply with their duties.	John-Paul Bove	16/10/2018	11/11/2019
Action ongoing	Health and Safety training	Induction training is given at start of employment. Managers identify training needs and appropriate training given in house or by external provider.	John-Paul Bove	01/04/2008	11/11/2019
Action ongoing	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	John-Paul Bove	01/11/2014	11/11/2019
Action ongoing	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.	John-Paul Bove	16/10/2018	11/11/2019
Action ongoing	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.	John-Paul Bove	01/04/2008	11/11/2019
Action ongoing	Systems to report, record, monitor accident and near miss reports	Reporting policy in place and effectively being applied	John-Paul Bove	16/10/2018	11/11/2019

Review Note: H&S Training for Senior Leadership to be delivered Jan '20. Dates for Best 2020 managers' bespoke training set for Jan '20 to ensure all managers trained to the same adequate level.

Basic H&S Training being developed for all staff, aiming for Jan/Feb 20.

Three sessions covering all Waste staff in safe vehicle movements, asbestos, violence and aggression and mental health.

Reversing incidents still occurring but interventions have started to reduce numbers of incidents. Sites of incidents subject to risk assessment review and visit

New stand alone Banksman policy being created by Waste and Ops Managers.

Investigating risk/asset management systems to assist in monitoring health and safety information to enable risks to be more easily foreseen. Firmstep electronic reporting systems close to completion to be able to record and monitor near misses, accidents and violent incidents.

Accident investigation coaching to be carried out for Waste and Recycling supervisors.

Further details are provided in a separate report for SLT.

Strategic Risk Management Report (Incl. Mitigations)

Risk: Fraud and Corruption Risk of fraud and leading to loss and / or reputational damage to the Council.					Risk Code: ST14	
Unmitigated Status: High (6)		Unmitigated Risk Impact: 2 - Medium		Unmitigated Risk Likelihood: 3 - High		
Mitigated Status: Medium (4)		Mitigated Risk Impact: 2 - Medium		Mitigated Risk Likelihood: 2 - Medium		
Date Identified: 26 Jul 2006				Risk Responsible Officer: Sue Heath, Philip Shears		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Action ongoing	Anti Fraud & Corruption Leaflet	User friendly guide produced and distributed periodically.	Sue Heath	29/09/2006	27/09/2019	
Action ongoing	Anti Fraud and Theft Strategy and Whistleblowing Policy	Whistleblowing Policy exists to encourage staff to raise matters of concern in confidence. Anti Fraud and Corruption Strategy sets out Council's approach to fraud (zero tolerance). Both are publicised internally and externally.	Sue Heath	31/07/2006	27/09/2019	
Action ongoing	Anti Fraud Guidance for Managers	Managers' Anti Fraud Awareness guidance document has been produced and made available at all Council sites and to Managers.	Sue Heath	27/08/2009	27/09/2019	
Action ongoing	Anti Fraud, Theft and Corruption Strategy	Anti Fraud, Theft and Corruption Strategy sets out the steps it will take to deal with fraud.	Sue Heath	08/09/2008	27/09/2019	
Action ongoing	Bank Reconciliations	Bank and Waybill reconciliations are undertaken independently by Financial Services to detect losses of income for banking.	Martin Flitcroft	08/09/2008	27/09/2019	
Action ongoing	Financial Instructions and Contract Procedure Rules	We have Financial Instructions and Contract Procedure Rules as part of the Council's Constitution and these are reviewed annually to ensure that they are contemporary with the relevant legislation, policy and best practice.	Sue Heath	08/09/2008	27/09/2019	
Action ongoing	Fraud Risk Analysis	Fraud risk analysis maintained for awareness of fraud risks across the council.	Sue Heath	06/06/2014	27/09/2019	
Action ongoing	Internal Audit	Risk based internal audit plan includes fraud risk assessment.	Sue Heath	27/09/2006	27/09/2019	
Action ongoing	Raising awareness of the Council's position of non-tolerance to fraud & corruption	Where appropriate, instances of proven fraud are publicised to raise awareness of the Council's position of non-tolerance.	Sue Heath	08/09/2008	27/09/2019	
Action ongoing	References are obtained for new employees	References are obtained for new employees.	Tim Slater	08/09/2008	27/09/2019	
Action ongoing	Self Assessment against Best Practice	A self assessment against best practice checklists such as Protecting the Public Purse is undertaken periodically.	Sue Heath	27/11/2009	27/09/2019	
Action ongoing	Staff and Member Codes of Conduct	Staff and Members' Codes of Conduct set out standards required - these are issued at induction and available thereafter on the intranet.	Tim Slater	28/07/2006	27/09/2019	
Action ongoing	Suppliers Notified of Whistleblowing Policy	Suppliers that do business with the Council are advised of our Anti Fraud and Whistleblowing procedures.	Sue Heath	31/07/2006	27/09/2019	
Action ongoing	Whistleblowing Hotline and Anti Fraud Publicised	Freephone Whistleblowing Hotline is provided for anyone to advise us of Fraud. This is publicised to citizens through Teignbridge Connect Magazine and on the Internet	Sue Heath	29/11/2006	27/09/2019	
Review Note:						

Strategic Risk Management Report (Incl. Mitigations)

Risk: Inability to Recruit and Retain Staff 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.

Risk Code: ST17

Unmitigated Status: High (6)

Unmitigated Risk Impact: 3 - High

Unmitigated Risk Likelihood: 2 - Medium

Mitigated Status: Medium (3)

Mitigated Risk Impact: 1 - Low

Mitigated Risk Likelihood: 3 - High

Date Identified: 19 Mar 2008

Risk Responsible Officer: Philip Shears, Tim Slater

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Benchmarking with other LA's	Benchmarking/ joint working with HR partner councils on sharing good practice and reviewing policies etc	Rachel Shannon	03/05/2017	06/09/2019
Action ongoing	Consistent management to create 'Team Teignbridge'	Consistent management practices to create 'Team Teignbridge'; making sure managers are consistent in leading well and motivating their staff.	Philip Shears	03/05/2017	06/09/2019
Action ongoing	Council operates a pay agreement	Council operates a pay agreement that allows for the payment of market forces supplements for all posts.	Tim Slater	19/03/2008	06/09/2019
Action ongoing	Enhancing recruitment practices	Making sure recruitment targets the right audiences and promotes the benefits of working for Teignbridge	Tim Slater	03/05/2017	06/09/2019
Action ongoing	Salary levels are monitored to ensure Council remains competitive.	Salary levels are monitored to ensure Council remains competitive with other Councils. Hay Management scheme used for job evaluation	Tim Slater	19/03/2008	06/09/2019
Action ongoing	Screening of potential new employees	Screening of new employees including DBS checking where appropriate and taking up references	Tim Slater	03/05/2017	06/09/2019
Action ongoing	Staff performance reviews	All staff have performance reviews to identify training and development needs and have access to corporate and department training courses as recommended by the Investors in People report	Tim Slater	19/03/2008	06/09/2019
Action ongoing	Voluntary Redundancy Programme	Voluntary redundancy programme considers applications based on certain criteria which includes evaluation of the impact of skills lost.	Tim Slater	19/06/2011	06/09/2019
Action ongoing	Work Force planning	Work force planning identifies service people resourcing needs and plans for future recruitment and development activity. The Council also has a market forces policy to address difficult to recruit to roles.	Tim Slater	19/03/2008	06/09/2019

Review Note: On track managed through HR Business Plan

Risk: Poor or Ineffective Business Continuity Management Inability to provide Council services					Risk Code: ST19	
Unmitigated Status: High (6)		Unmitigated Risk Impact: 3 - High		Unmitigated Risk Likelihood: 2 - Medium		
Mitigated Status: Medium (4)		Mitigated Risk Impact: 2 - Medium		Mitigated Risk Likelihood: 2 - Medium		
Date Identified: 09 Jun 2008				Risk Responsible Officer: Tony Watson		
Mitigation records						
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date	
Action ongoing	Business Continuity Planning	Identification of the Council's critical services that must be maintained, the detail is contained within the Council's Corporate Emergency and Business Continuity Plan. Maintenance of a relevant manager's 'Business Continuity Checklist'	David Eaton	17/10/2008	25/11/2019	
Action ongoing	Management of service business continuity	Managers to manage the business continuity of their service(s)	Tony Watson	18/12/2014	25/11/2019	
Action ongoing	Regular business continuity health checks	Health check on the individual service area business continuity arrangements to ensure they have been implemented and are effective Provision of advice and training where needed	David Eaton	18/12/2014	25/11/2019	
Review Note: Ongoing work with Strata to develop an exercise to test their Disaster Recovery Plan. Also work to plan for a loss of power to Forde House.						

Strategic Risk Management Report (Incl. Mitigations)

Risk: Poorly Managed Election Poorly managed election leading to embarrassment, loss of reputation and High Court challenge.			Risk Code: ST20
Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium	
Mitigated Status: High (6)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 2 - Medium	
Date Identified: 12 Mar 2003		Risk Responsible Officer: Philip Shears	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Elections project plan	There is a project plan for elections	Cathy Ruelens	11/06/2008	06/09/2019
Action ongoing	Electoral guidance followed	The Council considers and acts on guidance issued by the Electoral Commission	Cathy Ruelens	11/06/2008	06/09/2019
Action ongoing	Electoral law & systems training	Members of staff have on-going training in Electoral law and the eXpress Election Management System	Cathy Ruelens	11/06/2008	06/09/2019
Action ongoing	External Performance Plan	The Returning Officer has to complete real time performance monitoring by the Electoral Commission	Cathy Ruelens	11/02/2013	06/09/2019
Action ongoing	Key staff elections training	There is a specific training programme for key staff involved in elections	Cathy Ruelens	11/06/2008	06/09/2019
Action ongoing	Planning meetings	Returning Officer and Deputy Returning Officer have regular meetings to plan in advance of major elections	Cathy Ruelens	01/09/2008	06/09/2019
Action completed	Qualified Council Election's Co-ordinator	The Council's Elections Co-ordinator is qualified to a standard recognised by the Association of Electoral Administrators	Cathy Ruelens	11/06/2008	06/09/2019
Action ongoing	Refresher/Awareness Training	Regular Officer attendance at Electoral Commission events to identify Best Practice and learn from others' experiences.	Cathy Ruelens	23/06/2010	06/09/2019
Action ongoing	Risk Management workshop	A Risk Management workshop is held as part of the preparation for major elections	Cathy Ruelens	11/06/2008	06/09/2019

Review Note: An unscheduled snap election is always a risk as only 25 working days notice have to be given. Experienced staff who are normally relied upon to help may not be available in these circumstances.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 Code: ST21

Unmitigated Status: High (6)

Unmitigated Risk Impact: 3 - High

Unmitigated Risk Likelihood: 2 - Medium

Mitigated Status: Medium (3)

Mitigated Risk Impact: 3 - High

Mitigated Risk Likelihood: 1 - Low

Date Identified: 19 Mar 2008

Risk Responsible Officer: Amanda Pujol

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Access to expert advice, senior practitioners, external professional services	Access to expert advice, senior practitioners, external professional services as required	Sue Heath	19/03/2008	06/09/2019
Action ongoing	Commitment to and access to continuous professional development for professional staff	Commitment to and access to CPD for professional staff	Tim Slater	19/03/2008	06/09/2019
Action ongoing	Data Quality Policy	Data Quality Policy in place a reviewed on a regular basis	Eve Bates	14/05/2018	06/09/2019
Action ongoing	Good project management practices	Good project management practices	Kay OFlaherty	01/04/2008	06/09/2019
Action ongoing	Increase staff awareness of data quality through the Customer Access and Business Improvement Group	Network of Officers from each service area who oversee customer access and business improvement within their services. They meet every 6-8 weeks to review the latest info all all aspects of customer access and improvement work such as ICT, risk, equality, consultation, data quality, performance improvement etc. and to share new 'big' ideas and innovation	Kay OFlaherty	19/03/2008	06/09/2019
Action ongoing	Regular checks / auditing of data	Regular checks / auditing of data on a risk basis	Sue Heath	01/04/2008	06/09/2019
Action ongoing	Systems and procedures to manage & monitor performance data quality	Systems and procedures in place to manage and monitor performance data compliance with data quality principles e.g sign-off procedures within the Councils performance management system	Kay OFlaherty	01/04/2008	06/09/2019
Action ongoing	Training of key staff on data quality	Training of key staff on data quality	Eve Bates	14/05/2018	06/09/2019

Review Note:

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 Code: ST24**

Unmitigated Status: Medium (4) **Unmitigated Risk Impact: 2 - Medium** **Unmitigated Risk Likelihood: 2 - Medium**

Mitigated Status: Low (2) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 1 - Low**

Date Identified: 01 Apr 2008 **Risk Responsible Officer: Martin Flitcroft, Lorraine Montgomery, Amanda Pujol, Philip Shears, Tony Watson**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Automated controls included in corporate systems	Automated controls are designed into corporate systems where possible eg: unable to raise order unless sufficient funds in budget.	Sue Heath	08/09/2008	08/11/2019
Action ongoing	Bank and Waybill Reconciliations undertaken by Financial Services	Bank and Waybill Reconciliations undertaken by Financial Services to detect income losses.	Martin Flitcroft	08/09/2008	08/11/2019
Action ongoing	Financial Instructions Awareness and Contract Procedure Rules training	Financial Instructions awareness is included at induction for new staff and thereafter available on intranet. Training on the Contract Procedure Rules is offered by the Corporate Procurement Officer.	Lucy Ford	08/09/2008	08/11/2019
Action ongoing	Financial Instructions Format	Financial Instructions are targeted at specific staff. They are set out in sections that correspond to who should read them.	Sue Heath	08/09/2008	08/11/2019
Action ongoing	Financial Instructions Monitoring	Financial Instructions are monitored and reviewed by Internal Audit and non compliance due to fraud is investigated under the Anti Fraud & Corruption Policy.	Sue Heath	08/09/2008	08/11/2019
Action ongoing	FMS Training	FMS training is provided both on-line and on a one-to-one basis. Financial Training package for managers is available.	Martin Flitcroft	08/09/2008	08/11/2019
Action ongoing	Internal Audit / Procurement Officer Advice / Waiver Requests	Internal Audit and the Procurement Officer provide advice on interpretation and deal with Waiver requests. Waivers are reported to the Audit Scrutiny Committee.	Sue Heath	08/09/2008	08/11/2019
Action ongoing	Monthly Management Accounts	Monthly management accounts are completed which should aid detection of irregularities.	Martin Flitcroft	08/09/2008	08/11/2019
Action ongoing	Procurement Officer	A dedicated Corporate Procurement Officer (CPO) assists with all procurement exercises over £50,000 and in instances where the value is under £50,000 but the responsible officer requires support and guidance. The CPO promotes compliance with the Contract Procedure Rules. A Procurement Champions group chaired by the Procurement Officer meets regularly to discuss contract and procurement matters and promote good practice.	Lucy Ford	18/06/2011	08/11/2019
Action ongoing	Trained professional staff responsible for compiling annual accounts	Trained professional staff responsible for compiling annual accounts with up to date knowledge of current accounting rules maintained through attendance at regular seminars and subscription to advisor	Martin Flitcroft	08/09/2008	08/11/2019

Review Note:

Strategic Risk Management Report (Incl. Mitigations)

Risk: High Levels of Customer Dissatisfaction Inadequate customer contact standards and poor customer service leading to increased complaints and loss of reputation.			Risk Code: ST25
Unmitigated Status: Medium (4)	Unmitigated Risk Impact: 2 - Medium	Unmitigated Risk Likelihood: 2 - Medium	
Mitigated Status: Low (2)	Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 1 - Low	
Date Identified: 01 Apr 2008		Risk Responsible Officer: Tracey Hooper, Kay OFlaherty, Philip Shears	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Business Efficiency Service Transition (BEST) 2020	The BEST2020 process identifies strengths and weaknesses in performance monitoring, customer satisfaction levels, financial management, technical solutions and demand management. Followed buy an in-depth process review this will ensure that all service areas are fit for purpose and designed around the needs of the customer. This should result in improved satisfaction levels.	Kay OFlaherty	10/03/2016	20/06/2019
Action ongoing	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 complaints happening in the future. Training is being provided across the council to ensure a consistent approach to handling customer complaints.	Kay OFlaherty	10/03/2016	20/06/2019
Action ongoing	Customer Comments and Complaints system (Firmstep)	Power BI reporting used to monitor and track complaints to ensure they are dealt with in a timely fashion. Can also be used to look at trends to focus on areas for improvement	Tracey Hooper	01/04/2008	20/06/2019
Action completed	Customer Journey Mapping	Customer Journey Mapping exercises are being carried out as part of ongoing service reviews. Customers are invited in to work through specific processes with officers from the service and representatives from the BID team. The customers will have the opportunity to highlight what their experience was at each stage of the process, this will help to ensure that reviewed processes are designed around customer needs.	Kay OFlaherty	10/03/2016	20/06/2019
Action completed	Customer Management	A range of initiatives are being rolled out to ensure effective customer service and a consistent approach to managing customer interaction. The Customer Charter is being re-issued to all staff, customer management training has been rolled out to all front facing staff and an e-learning module on customer service is now incorporated into the induction process.	Kay OFlaherty	10/03/2016	20/06/2019
Action ongoing	Customer Services training for reception staff to NVQ lvl 3 or similar	Customer Services training for reception staff to NVQ lvl 3 or similar	Tracey Hooper	01/04/2008	20/06/2019
Action ongoing	Customer Standards & Principles	2019-20 - A new set of standards and principles have been approved by SLT following the recommendations of the Customer Support Function Working Group. Work is in progress to imbed these across the Council. The Customer Charter is being reviewed as part of this process	Tracey Hooper	20/06/2019	20/06/2019
Action ongoing	Staff induction training and staff handbook	Staff induction training and staff handbook	Tim Slater	01/04/2008	20/06/2019

Review Note: Following the merger of the frontline Revenue & Benefits team with the Customer Service Team to form the new Customer Support Team staff have been asked to complete a self-assessment form to identify training needs. We are now preparing a training programme to upskill staff where appropriate to ensure the needs of our customers are properly met.

Strategic Risk Management Report (Incl. Mitigations)

Risk: Poor Public Relations Management Poor reputation due to bad /inadequate/ inaccurate reporting.		Risk Code: ST26
Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: High (6)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 19 Mar 2008		Risk Responsible Officer: Amanda Pujol, Philip Shears

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
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.	Amanda Pujol	04/11/2011	18/09/2019
Action needed	Communications Officer in post	Communications Officer in post	Amanda Pujol	18/09/2019	18/09/2019
Action ongoing	Communications Strategy	Strategy for members and staff to guide corporate communications, dealing with the media and how we communicate with customers. Reviewed and updates, as required and where appropriate, every four years.	Amanda Pujol	29/05/2014	18/09/2019
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.	Amanda Pujol	23/09/2010	18/09/2019
Action ongoing	Raising awareness of good communications and reputation management	Continued action to raise awareness of importance of good communications and reputation management at all levels throughout the Authority. This includes being part of CLT(e) as well as specific Task and Finish Groups for major projects.	Amanda Pujol	19/03/2008	18/09/2019
Action ongoing	Regular Media Enquiry Reports	Weekly media enquiry reports to CLT and all councillors detailing press queries and issuing press statements (reactive and proactive) through Vuelio software.	Amanda Pujol	25/11/2013	18/09/2019
Action ongoing	Regular monitoring of management performance through PR PDP's	Regular monitoring of management performance through PDP's of Chief Executive / Service Lead and Media & Comms Manager	Amanda Pujol	19/03/2008	18/09/2019
Action ongoing	Social Media Policy	The development and implementation of a Social Media Policy which sets out the requirements of staff when using social media for corporate purposes. Includes guidelines for use, roles and responsibilities.	Amanda Pujol	29/05/2014	18/09/2019
Action ongoing	Vuelio	A software system for logging press releases, queries, responses and interview requests; along with hosting Devonwide contacts, reporting functions and monitoring. Hosted securely offsite (approved for DP and by ICT), it is available from any internet-enabled device with a browser, and greatly improves TDC press office record-keeping.	Amanda Pujol	04/05/2012	18/09/2019

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

Strategic Risk Management Report (Incl. Mitigations)

Risk: Major damage to our physical premises and/or working environment Major damage to our physical premises and/or working environment. **Risk Code: ST28**

Unmitigated Status: Medium (3) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 1 - Low**

Mitigated Status: Low (2) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 1 - Low**

Date Identified: 01 Oct 2008 **Risk Responsible Officer: David Eaton, Philip Shears**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Business Continuity Plan	Detailed procedures for the recovery from emergency incidents affecting the Councils premises	David Eaton	15/01/2009	18/06/2019
Action ongoing	Identification of alternative premises	Alternative premises need to be identified should the normal council facilities be unavailable	David Eaton	15/01/2009	18/06/2019
Action ongoing	Risk Analysis of Councils premises and infrastructure	Regular monitoring of maintenance requirements and contractors eg fire alarms, generator, air conditioning	Daron Hand	15/01/2009	18/06/2019
Action ongoing	Salvage Plan	Map of the critical filing and storage to be prioritised for salvage	David Eaton	15/01/2009	18/06/2019

Review Note:

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 Code: ST29

Unmitigated Status: High (6) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 2 - Medium**
Mitigated Status: Medium (3) **Mitigated Risk Impact: 3 - High** **Mitigated Risk Likelihood: 1 - Low**
Date Identified: 19 Mar 2008 **Risk Responsible Officer: Philip Shears**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Annual business efficiency and service transition reviews	BEST 2020 business efficiency and service transition reviews carried out for every service each year.	Kay O'Flaherty	01/09/2015	20/11/2019
Action ongoing	Continuing Professional Development opportunities	Continuing CPD opportunities	Tim Slater	19/03/2008	20/11/2019
Action ongoing	Continuing review of staffing	Continuing review of staffing	Tim Slater	27/06/2018	20/11/2019
Action ongoing	Due diligence	Financial, legal, governance, organisational due diligence e.g for new investments, governance arrangements	Philip Shears	03/05/2017	20/11/2019
Action ongoing	External Officer networking and using the learning from others	Regular attendance at seminars, conferences, forums, groups etc to keep up to date with change and to seek guidance from peers and to use the learning from others	Philip Shears	05/11/2008	20/11/2019
Action ongoing	Internal and external auditing	Regular internal and external auditing of services provided directly and through partners/joint ventures	Sue Heath	03/05/2017	20/11/2019
Action ongoing	Leadership training programmes for managers and supervisors	Leadership training programmes for managers and supervisors	Tim Slater	19/03/2008	20/11/2019
Action ongoing	Meetings with PH/Leader that identify strengths, weaknesses, opportunities & threats	Meetings with PH / Leader that identify strengths, weaknesses, opportunities & threats, failure to perform / achieve targets / ineffectual management	Philip Shears	19/03/2008	20/11/2019
Action ongoing	Regular individual, team & service performance monitoring by Managers,	Regular PDP's to measure achievement of objectives/capability, regular review of team and services by CLTe, PH's and O&S	Philip Shears	19/03/2008	20/11/2019
Action completed	Revised management structure to be considered by Council to enable the Council to respond to change	Revised management structure to be considered by Council to enable the Council to respond to change	Philip Shears	27/06/2018	20/11/2019
Action ongoing	Staff have the necessary skills for future new models of service delivery	Staff have the necessary skills for future new models of service delivery	Tim Slater	03/05/2017	20/11/2019
Action ongoing	Systems & procedures & policies to deal with underperformance/lack of capability	Systems and procedures & policies in place to deal with underperformance / lack of capability	Tim Slater	19/03/2008	20/11/2019

Review Note: A commercialisation workshop for Officers and Members has been completed and a Commercial Plan developed to ensure due diligence for new investments. Interviews for the Communications & Engagement Officer have been held and interviews for the Head of Service are due shortly, ensuring continued management capacity. The review of staffing and restructuring of the council continues below SLT. Our Corporate Strategy has been reviewed and the Budget review process is in progress. CIPFA and LG Futures events have been attended by Officers.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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.

Risk Code: ST31

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 the Zero Heroes T10 Council Strategy programme

Unmitigated Status: Medium (4)

Unmitigated Risk Impact: 2 - Medium

Unmitigated Risk Likelihood: 2 - Medium

Mitigated Status: Low (2)

Mitigated Risk Impact: 2 - Medium

Mitigated Risk Likelihood: 1 - Low

Date Identified: 01 Apr 2008

Risk Responsible Officer: Tony Watson

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Deliver energy reduction projects to reduce our carbon footprint	Projects to reduce our carbon footprint include a replacement heating system for Forde House.	David Eaton	16/04/2019	11/10/2019
Action ongoing	Green travel options for staff	A current workplace travel plan	David Eaton	16/04/2019	11/10/2019
Action ongoing	Increase reliance on renewable energy resources	This includes PV (solar panels) on our buildings	David Eaton	16/04/2019	11/10/2019
Action ongoing	Monitor all utilities consumption (electricity, gas, water)	Monitor all utilities consumption (electricity, gas, water) ensuring that exceptions to the normal consumption are investigated	David Eaton	01/04/2008	11/10/2019
Action ongoing	Promote and encourage behaviour that reduce our environmental impact	This includes reducing our waste and energy consumption through behavioural changes such as switching of lights & PC's, using office recycling schemes	David Eaton	01/04/2008	11/10/2019
Action ongoing	Using technology to reduce miles travelled by the workforce to deliver services	Smarter use of mobile technology to reduce our mileage	David Eaton	16/04/2019	11/10/2019

Review Note: Progress on a number of actions has been approved by Full Council on the 24th September. This includes the appointment of a dedicated officer to lead the carbon reduction work.

Strategic Risk Management Report (Incl. Mitigations)

Risk: Non Compliance with Section 106 Agreements and CIL notices Non Compliance with Section 106 Agreements and CIL notices			Risk Code: ST32
Unmitigated Status: Medium (4)	Unmitigated Risk Impact: 2 - Medium	Unmitigated Risk Likelihood: 2 - Medium	
Mitigated Status: Medium (4)	Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium	
Date Identified: 09 Mar 2009		Risk Responsible Officer: Philip Shears	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Meetings with departments	Ongoing meetings with departments regarding spending of money	Rosalyn Eastman	21/08/2009	26/06/2019
Action ongoing	Monitor issue of relevant CIL notices and receipt of CIL monies	Monitor issue of relevant CIL notices and receipt of CIL monies	Tamsin Cook	28/03/2017	26/06/2019
Action ongoing	Monitor monies received from time constrained S106 agreements and not yet spent	Spread sheet provided by accountants used to monitor monies received and discuss with departments at meetings	Rosalyn Eastman	21/08/2009	26/06/2019

Review Note: Section 106 monies continue to be monitored closely by planning and accountants with outstanding balances chased and regular contact kept with departments regarding monies to be spent within timescales.

CIL monies are being recorded and monitored via Exacom software but we still have to dual run with the old system as we are awaiting completion of the finance link between Winnix and Exacom so that we can complete the Exacom project. This is expected to take place imminently

This leaves us open to some diminishing risk as the monies involved are significant we need this project to be completed as soon as possible.

Following the introduction of Exacom for CIL monies, we will be transferring S106 monitoring into the system as well to further increase the robustness of our monitoring and collection activities.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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.

Risk Code: ST37

Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: Medium (3)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 1 - Low
Date Identified: 18 Dec 2014	Risk Responsible Officer: Amanda Pujol	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action completed	Annual auditing	Annual auditing of Strata to be carried out (Devon Audit Partnership)	Sue Heath	18/12/2014	01/11/2019
Action needed	Business plan approved annually	The business plan sets out the intended projects and identifies funding	Paul Nicholls	04/07/2017	01/11/2019
Action ongoing	Good communication	Good communication to all staff about the changes, the impact on staff and engagement with staff on their views and needs	Emma Pearcy	18/12/2014	01/11/2019
Action ongoing	ICT Requirements Board review meetings	The corporate intelligent client function will be fulfilled by the ICT Requirements Board (IRB), a sub-group of CMT.	Philip Shears	18/12/2014	01/11/2019
Action ongoing	Monitoring and review of performance	Regular performance monitoring via agreed KPIs and customer satisfaction surveys to include finance. Regular review of performance.	Philip Shears	18/12/2014	01/11/2019
Action ongoing	Robust governance	Robust governance in place in accordance with the Shareholder Agreement for the ICT partnership. The Joint Executive Committee and Joint Scrutiny Committee are meeting bi-monthly, and the Strata Board meets every 4 weeks, with appropriate representation from Teignbridge at all levels	Philip Shears	18/12/2014	01/11/2019
Action ongoing	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	David Eaton	21/11/2018	01/11/2019

Review Note: The Strata IT Service Continuity Plan was produced in August and provided to all three Councils who are supported by Strata. A meeting of the Strata Business Continuity group is taking place next quarter.

During the last quarter there have been two service outages. The first incident in July related to the file service which was hanging and causing severe impact to Global Desktop performance. The mitigating action planned is to replace the file servers. This work is planned for November 2019. The second incident related to a VMware Virtual Centre Failure in September. This server controls the provisioning and distribution of Virtual desktops in the Global Desktop environment. It also controls the delivery of applications to the desktop. The Strata team worked overnight to rebuild the Global Desktop environment which highlighted the importance of the out of hours monitoring which takes place.

Work is planned for a Windows 10 upgrade for all desktops which will improve resilience in the systems that have caused outages over the last quarter and allow the updating of core systems and software.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 **Risk Code: ST40**

Unmitigated Status: High (6) **Unmitigated Risk Impact: 2 - Medium** **Unmitigated Risk Likelihood: 3 - High**

Mitigated Status: Medium (4) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 23 Oct 2012 **Risk Responsible Officer: Philip Shears, Simon Thornley**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Direct Involvement	Direct involvement in design, costing and provision of infrastructure as necessary.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Funding Streams	Ensure we are fully aware of all potential funding streams and make appropriate bids.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Ongoing Review of Infrastructure Delivery Plan	Keep Infrastructure Delivery Plan under review.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Planning Application Process	Planning application and pre-application process.	Rosalyn Eastman	24/10/2012	11/09/2019
Action ongoing	S.106 and Planning Conditions	Section 106 Agreements and Planning Conditions to be used.	Rosalyn Eastman	24/10/2012	11/09/2019
Action ongoing	Work with Stakeholders	Work with agencies, developers, land owners and other stakeholders.	Simon Thornley	24/10/2012	11/09/2019

Review Note: Progress continues on various transport and other infrastructure proposals.

Risk: 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 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. **Risk Code: ST41**

Unmitigated Status: High (6) **Unmitigated Risk Impact: 2 - Medium** **Unmitigated Risk Likelihood: 3 - High**

Mitigated Status: Medium (4) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 23 Oct 2012 **Risk Responsible Officer: Philip Shears, Simon Thornley**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Achievable Allocations	Ensure allocations are achievable and available in plan preparation.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Infrastructure Investment	Invest in infrastructure necessary for development via New Homes Bonus and Community Infrastructure Levy and through bids into other funds.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Viability Evidence	Prepare and take account of appropriate viability evidence.	Simon Thornley	24/10/2012	11/09/2019
Action ongoing	Work with Developers, Landowners and other Stakeholders	Work with developers, landowners and other stakeholders to encourage development.	Simon Thornley	24/10/2012	11/09/2019

Review Note: There is some indication that delivery of new homes in the current year has reduced compared with previous years - will need to keep an eye on that. Coincides with an increased housing target of 760 pa (up from 620) based on national planning policy.

Strategic Risk Management Report (Incl. Mitigations)

Risk: Failure to deliver the Council Strategy 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.

Risk Code: ST42

Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: High (6)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 20 Jul 2016	Risk Responsible Officer: Philip Shears	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Budget planning	Financial monitoring of each T10 and inclusion in the annual budget planning cycle	Steve Wotton	20/07/2016	25/11/2019
Action ongoing	Clear links to other Council and partner strategies and plans	Links to other strategies and plans to be monitored for changes/updates and the impact of these assessed on the relevant T10 programme	Simon Thornley	20/07/2016	25/11/2019
Action ongoing	Communication planning	Regular planned communications and engagement with Members, partners, the public	Emma Pearcy	20/07/2016	25/11/2019
Action ongoing	Ensure adequate staff resources	Adequate staff to be maintained to deliver the key objectives of the strategy	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Overall project and programme oversight	By CLT to, redirect resources, provide direction, avoid duplication and keep the T10 programmes on track	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Partnership relationship management	Good relationship maintenance with our partners, through keeping them up to date and involved where appropriate with T10 programme projects and PIs	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Programme Managers/Business Managers meetings with Portfolio Holders	Regular meetings between Business Leads and Portfolio Holders to keep them up to date with progress and any issues arising	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Project planning	Project management by the Business Improvement and Development (BID) team. Systems & procedures in place to ensure effective forward planning, evidence gathering, monitoring of outcomes etc	Liz Gingell	20/07/2016	25/11/2019
Action ongoing	Regular progress monitoring	Reporting to CLT, Informal Leadership & O&S on progress with the T10 programme outcomes, planning for changes to meet new requirements, external challenges/demands etc	Liz Gingell	20/07/2016	25/11/2019
Action ongoing	Review mechanism	To deal with significant changes	Simon Thornley	20/07/2016	25/11/2019
Review Note: The three year review of strategy currently in progress, involving consultation with customers, Members and officers. Until the review of the strategy is completed and the revised strategy approved the risk of not being able to deliver the strategy is higher.					

Strategic Risk Management Report (Incl. Mitigations)

Risk: Failure to adopt Local Plans: Greater Exeter Strategic Plan and Teignbridge Local Plan Review Councillors do not agree to the plan's contents, or in the case of the GESP no agreement between councils can be reached.

Risk Code: ST43

The Local Plan Inspector finds the local plan unsound or legally flawed and cannot recommend its adoption

Unmitigated Status: Very High (9)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 3 - High
Mitigated Status: Medium (3)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 1 - Low
Date Identified: 21 Sep 2017		Risk Responsible Officer: Philip Shears, Simon Thornley

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Appropriate SEA and HRA	Ensure that appropriate resources are put into SA/SEA and HRA during plan preparation and consider external review before submission	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Conformity with GESP	Ensure that work on the Teignbridge Local Plan review continues to take full account of emerging GESP strategy, and vice versa	Simon Thornley	15/11/2017	15/11/2019
Action ongoing	Consultation	Prepare consultation strategies for local plans and review before each proposed consultation stage, checking against SCI and legal requirements	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Critical review of plans and policies	Ensure that plans and policies are reviewed, internally and (where considered necessary) externally before publication and submission	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Duty to cooperate agreements	Ensure duty to cooperate statements are prepared and agreed with all relevant outside bodies at an appropriate level before plans are submitted	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Duty to cooperate processes	Setting up, maintaining and/or taking a full part in duty to cooperate discussions and maintaining appropriate records of discussions and agreements, including in particular the Devon DTC protocol	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Evidence	Preparing and maintaining a proportionate evidence base during the preparation of local plans. Critically assess the need to update and reflect evidence before submitting a plan.	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	National Planning Policy	Maintaining an up to date knowledge of national planning policies (NPPF, PPG, ministerial statements and white papers in particular)	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Political support	Ensure information to and involvement of leading and other councillors as appropriate during plan preparation	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Qualified staff	Employing sufficient numbers of suitably qualified and experienced staff within the spatial planning team	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Review other plans	Reviewing the progress of other local authorities' plans and inspector's comments/questions and reports to pick up on latest trends and policy interpretations	Simon Thornley	21/09/2017	15/11/2019
Action ongoing	Training	Ensuring that appropriate Continual Professional Development and other training is undertaken by spatial planning team members	Simon Thornley	21/09/2017	15/11/2019

Review Note: TDC has approved a new Local Development Scheme (timetable) covering Local Plan parts 1 and 2 and GESP. EDDC has agreed the GESP timetable and the other 2 GESP councils are due to follow suit after Purdah is over. GESP Member Forum and Teignbridge Local Plan Working Group meetings are ongoing and public consultations are due in the new year on the Local Plan pt1 (Draft, Proposed Submission and Submission) and GESP (Site Options and Draft Policies).

Strategic Risk Management Report (Incl. Mitigations)

Risk: Flood risk management 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 the lack of planning guidance.
 A lack of working with partners such as the Environment Agency, Devon County Council and other Risk Management Authorities.

Risk Code: ST44

Unmitigated Status: High (6) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 2 - Medium**

Mitigated Status: Medium (3) **Mitigated Risk Impact: 3 - High** **Mitigated Risk Likelihood: 1 - Low**

Date Identified: 15 Aug 2017 **Risk Responsible Officer: Tony Watson**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	- Local Flood Risk Management Strategy	Work in accordance to the principals set out in the Lead Local Flood Authority's Local Flood Risk Management Strategy for the management of flood risk within the district.	Richard Rainbow	05/11/2018	10/09/2019
Action ongoing	Coastal flood and Erosion works	Promote Coastal Flood and Erosion works within the district including improvement works on our own assets	Richard Rainbow	15/08/2017	10/09/2019
Action ongoing	Flood risk management schemes	Promote flood risk management schemes within the district together with improvement works to our own assets	Richard Rainbow	15/08/2017	10/09/2019
Action ongoing	Planning guidance and application review	Planning application review and associated provision of guidance to the planning authority with regard to flood risk management, surface water disposal and coastal erosion	Rosalyn Eastman	15/08/2017	10/09/2019
Action ongoing	Regular meetings with key partners	Regular meetings with key partners including the Environment Agency, Devon County Council and other Risk Management Authorities	Richard Rainbow	15/08/2017	10/09/2019

Review Note: Management of Flood Risk within the district together with our response and proactive measures is continually reviewed by the Drainage and Coastal team and funding opportunities are sought from various sources to proactively deal with any issues which come to light.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 Code: ST45

Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: High (6)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 05 Nov 2018		Risk Responsible Officer: Tony Watson

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Local Flood Risk Management Strategy	Work in accordance to the principals set out in the Lead Local Flood Authority's Local Flood Risk Management Strategy for the management of flood risk within the district associated with all sources	Richard Rainbow	05/11/2018	10/09/2019
Action ongoing	Local Resilience Forum	Work in accordance with the Multi-Agency Flood Plan and continued development of TDC's Flooding Response Plan	Richard Rainbow	05/11/2018	10/09/2019
Action ongoing	Planning Guidance and Review	Planning application review and associated provision of guidance to the planning authority with regard to flood risk management, surface water disposal and coastal erosion	Rosalyn Eastman	05/11/2018	10/09/2019
Action ongoing	Promotion of Flood Resilience schemes	Promotion of community flood plans and individual property protection schemes. Work with partner organisations to promote an increase in awareness of flood risk and promote resilience measures	Richard Rainbow	05/11/2018	10/09/2019

Review Note: Management of Flood Risk Resilience and its emergency response is continually reviewed jointly by the Drainage and Coastal team and the Emergency Planning Officer. Where appropriate resilience projects and funding opportunities are sought from various sources to proactively increase resilience in the district.

Strategic Risk Management Report (Incl. Mitigations)

Risk: 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 Code: ST46

Unmitigated Status: Very High (9)

Unmitigated Risk Impact: 3 - High

Unmitigated Risk Likelihood: 3 - High

Mitigated Status: Medium (4)

Mitigated Risk Impact: 2 - Medium

Mitigated Risk Likelihood: 2 - Medium

Date Identified: 14 Nov 2018

Risk Responsible Officer: Amanda Pujol

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action needed	Cyber security awareness training	All staff to complete e-learning/awareness training on cyber security	Tim Slater	14/11/2018	01/11/2019
Action ongoing	Cyber security risk management regime	Make sure that the 10 Steps to cyber security are followed	Robin Barlow	14/11/2018	01/11/2019
Action ongoing	ICT Business Continuity Plan	The ICT Business Continuity plan includes cyber risk together with our response to any cyber attacks	David Eaton	14/11/2018	01/11/2019
Action ongoing	ICT cyber security lead	ICT cyber security lead for Teignbridge DC	Sue Heath	14/11/2018	01/11/2019
Action ongoing	Incident response policy	There is an incident response policy that covers any security risks/ threats or incidents to premises and information, that defines the procedure to record these	Sue Heath	14/11/2018	01/11/2019
Action ongoing	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	Sue Heath	14/11/2018	01/11/2019
Action ongoing	Internal audit review	Testing and assurance on cyber risk is included in Strata's Internal Audit Plan.	Laurence Whitlock	14/11/2018	01/11/2019
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	Sue Heath	14/11/2018	01/11/2019
Action ongoing	Strata Monthly Report	An overview of threats and incidents is included in the Strata monthly performance report.	Laurence Whitlock	14/11/2018	01/11/2019
Action ongoing	User awareness	Regular messages and updates on cyber risk to staff. Clearly displayed posters and messages in workplaces	Jane Sanders	14/11/2018	01/11/2019

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.

Corporate Risk Management Report (Incl. Mitigations)

Report for 2019/20

Filtered by Folder: Strategic Leadership Team - 2. Corporate Risks (Risks)
Not Including Child Projects records, Including Mitigation records

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+)

Corporate Risk Management Report (Incl. Mitigations)

Risk: 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 Code: CP01

Unmitigated Status: High (6) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 2 - Medium**

Mitigated Status: Medium (4) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 01 Apr 2008 **Risk Responsible Officer: John-Paul Bove, Paul Nicholls**

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Annual Health & Safety Review	Annual Health & Safety Review (audit) undertaken with Managers by the Corporate Health & Safety Advisor NB: this may be by physical audit or self answer format	John-Paul Bove	26/01/2015	02/09/2019
Action ongoing	Employee Protection Register	Employee Protection Register to warn and inform staff and the review process	David Eaton	18/12/2014	02/09/2019
Action ongoing	First responder	Suitably trained and nominated person(s) to respond to incidents in Forde House. Security company employed to provide this function where appropriate, based on increased risk, and reviewed annually.	Amanda Pujol	18/12/2014	02/09/2019
Action ongoing	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	John-Paul Bove	01/04/2008	02/09/2019
Action ongoing	Health and Safety Coordination	Group to be established and maintained to ensure a co-ordinated response to all risks to staff. Meets quarterly.	John-Paul Bove	01/11/2014	02/09/2019
Action ongoing	Home Safeguard monitoring system	The Home Safeguard system is used for the provision of out of hours emergency cover and lone worker monitoring.	Paul Nicholls	18/12/2014	02/09/2019
Action ongoing	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	Tony Watson	18/12/2014	02/09/2019
Action ongoing	Incident Support Responders	Suitably trained and nominated person(s) to respond to incidents in Forde House to act in support of the first responder. Staff to be trained in de-escalation techniques	John-Paul Bove	16/11/2018	02/09/2019

Corporate Risk Management Report (Incl. Mitigations)

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	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.	Tony Watson	18/12/2014	02/09/2019
Action ongoing	Lone working procedure	Lone working procedure in place that includes the provision of mobile phones, personal attack alarms and lone worker record updating	John-Paul Bove	01/04/2008	02/09/2019
Action ongoing	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.	John-Paul Bove	01/04/2008	02/09/2019

Review Note: Individual teams have individual arrangements for the management of lone working and violence. Some teams are actively monitoring and reviewing arrangements - others less so. STRATA close to go live on a lone worker monitoring and emergency alarm solution. Provision of appropriate audit software would enable this process to be easier to monitor centrally.

Lone worker, violence and aggression and first responder policies and procedures currently under review and being consulted on by multiple departments. Once complete de-escalation training to be developed.

Basic health and safety training for all staff currently under development to include some violence and aggression information. Suite of health and safety training appropriate to relevant levels under review to ensure competence throughout the organisation.

Risk: 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 Code: CP03

Unmitigated Status: Very High (9)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 3 - High
Mitigated Status: Medium (3)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 1 - Low
Date Identified: 20 Jul 2016	Risk Responsible Officer: Kay OFlaherty	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	A shared vision	An agreed shared vision across different organisations that has benefits for both organisations and local people	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Management of partnership risk by services	Partnership risk management within those services working with partners	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Partnership failure contingency	Have in place recourse to an independent mediator or critical friend	Philip Shears	21/07/2016	25/11/2019
Action ongoing	Partnership governance	Work together on governance arrangements to regulate the operations of the partnership; to provide structure to the management of the partnership; to help to define roles and responsibilities; and to ensure accountability	Philip Shears	20/07/2016	25/11/2019
Action ongoing	Partnership list	List of current partnerships and those we work with, reviewed annually by the Corporate Management team	Kay OFlaherty	20/07/2016	25/11/2019
Action ongoing	Partnership performance	Partnership performance monitored and reviewed through: A shared plan; defined roles; financial monitoring; delivery of well defined outcomes; sufficient capacity and resources to deliver; efficient & effective service delivery; good value for money; performance management systems in place; good communication; well evidenced decision making	Philip Shears	21/07/2016	25/11/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: 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 Code: CP05**

Unmitigated Status: High (6) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 2 - Medium**

Mitigated Status: Low (2) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 1 - Low**

Date Identified: 01 Apr 2008 **Risk Responsible Officer: Rosie Wilson**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Actively promote the ten year Council Strategy when talking to suppliers/contractors	Actively promote ten year Council Strategy when talking to suppliers/contractors	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	All new procurements have a standardised approach with standardised tendering practises	All new procurements have a standardised approach with standardised tendering practises using an e-tendering system, (ProContract) as well as using standard documentation (including standard T&C's).	Rosie Wilson	01/04/2008	01/11/2019
Action completed	Contract management is on the 3 year procurement improvement plan	A contract management toolkit will be developed and implemented, as per the 3-year improvement plan, which will be rolled out to managers as a means of ensuring good contractor performance.	Lucy Ford	01/04/2008	01/11/2019
Action ongoing	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.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	Contracts are awarded to suppliers demonstrating the right mix of quality and value for money	Contracts are awarded to the most economically advantageous tenderer, which is a combination of quality and price.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	Factors that are proportionate to the nature of the contract will be evaluated at the tender stage	We will take quality factors that are proportionate to the nature of the contract as well as its risk and impact profile in to account when evaluating tenders to ensure that the right service provider is selected to complete the contract.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	Put relevant accreditation checks in place	We will seek to check relevant accreditation from contractors/suppliers during the tender stage, where it is proportionate to do so. Such accreditation may include ISO certification, relevant licensing or other certification.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	Seek quality assurance from contractors/suppliers	We will seek quality assurance from contractors/suppliers during tender evaluations. Such assurance may be in the form of certification (i.e. ISO 9001), quality policy or through the contractor's submitted method statement proposing how they will fulfil the contract.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	The Corporate Procurement Officer (CPO) supports all procurements over the value of £50,000	The CPO supports all procurements over the value of £50,000, as per the Contract Procedure Rules.	Rosie Wilson	01/04/2008	01/11/2019
Action ongoing	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.	Rosie Wilson	01/04/2008	01/11/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: Failure to Collect or Loss of Income Failure to collect income due to poor internal control or loss of income due to fraud. **Risk Code: CP07**

Unmitigated Status: High (6) **Unmitigated Risk Impact: 2 - Medium** **Unmitigated Risk Likelihood: 3 - High**

Mitigated Status: Medium (4) **Mitigated Risk Impact: 2 - Medium** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 01 Apr 2008 **Risk Responsible Officer: Sue Heath**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Anti Fraud Theft and Corruption Strategy	The Anti Fraud Theft and Corruption Strategy emphasises the Council's opposition to fraud theft and corruption and sets out the procedures for investigation and prevention.	Sue Heath	01/04/2008	27/09/2019
Action ongoing	Bank Reconciliation / Waybill Reconciliation / Budget & SD Arrears Monitoring	Financial Services undertake bank reconciliations to detect any banking irregularities. Waybills (used to record income from outlying activities) are also reconciled regularly.	Martin Flitcroft	12/08/2008	27/09/2019
Action ongoing	Cash Handling Procedures	Managers of income collection functions are required to obtain signed statements from their staff confirming that they have read and understood the cash handling requirements of their post	Sue Heath	12/08/2008	27/09/2019
Action ongoing	Cashless Council	The Council is reducing the volume of payments by cash and encouraging more automated payment.	Amanda Pujol	13/01/2017	27/09/2019
Action ongoing	Code of Conduct	The Council expects its employees and members to comply with their respective Codes of Conduct which are outlined on induction and provided on the intranet for reference.	Tim Slater	01/04/2008	27/09/2019
Action ongoing	Employee References	The Council obtains references from potential employees regarding their honesty and integrity before making an offer of employment.	Tim Slater	01/04/2008	27/09/2019
Action ongoing	Financial Instructions	The Council's Financial Instructions specify the rules for income collection, including points of sale as well as debtor accounts. Debt collection statistics are monitored. Irregularities must be notified immediately to the Section 151 Officer (Internal Audit).	Sue Heath	01/04/2008	27/09/2019
Action ongoing	Fraud Awareness Guide for Managers	Fraud awareness guidance has been produced for managers to alert them to the risks of fraud.	Sue Heath	08/04/2009	27/09/2019
Action ongoing	Fraud Hotline / Web Form	A freephone Fraud Hotline and Web Form are provided and publicised, to encourage both citizens and staff to report any concerns either in person or anonymously.	Sue Heath	01/04/2008	27/09/2019
Action ongoing	Internal Audit Function	The Council has an Internal Audit service which reviews declarations of interest and reviews the adequacy of controls designed to prevent loss of income and fraud within systems.	Sue Heath	01/04/2008	27/09/2019
Action ongoing	PCIDSS	The Council is compliant with the Payment Card Industry Data Security Standard.	Amanda Pujol	13/01/2017	27/09/2019
Action ongoing	Prosecution of Offenders	The Council prosecutes offences of theft wherever possible and publicises this as a deterrent to other staff.	Sue Heath	01/04/2008	27/09/2019
Action ongoing	Secure Collection	Secure collection services are used where appropriate.	Martin Flitcroft	11/03/2013	27/09/2019
Action ongoing	Staff Training	Managers have responsibility to ensure staff employed on income collection duties are properly trained in the required procedures and systems are properly documented.	Tim Slater	01/04/2008	27/09/2019
Action ongoing	Whistleblowing Policy	The Council has a Whistleblowing Policy to encourage staff to raise concerns about fraud, theft or corruption.	Sue Heath	01/04/2008	27/09/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: Future proofing the workforce (was Failure to Improve Staff Capability and Capacity) A lack of suitable staff with the relevant competencies, including senior managers, to meet future Council service provision needs **Risk Code: CP08**

Unmitigated Status: Medium (4)	Unmitigated Risk Impact: 2 - Medium	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: Medium (4)	Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 19 Mar 2008	Risk Responsible Officer: Tim Slater	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Annual Learning and Development Needs Survey	Annual Learning and Development needs are ascertained annually via corporate training needs survey and reported to CLT/CLTe	Tim Slater	29/11/2013	21/11/2019
Action ongoing	CPD & personal development support	CPD and other personal development opportunities are supported and prioritised by line managers	Tim Slater	05/11/2008	21/11/2019
Action ongoing	Monitoring of salary levels	Salary levels are monitored to ensure Council remains competitive. The Council operates a pay agreement that allows for the payment of market forces supplements for professional posts	Tim Slater	19/03/2008	21/11/2019
Action ongoing	Staff performance Reviews	All staff should have performance reviews to identify training and development needs and have access to corporate and department training.	Tim Slater	19/03/2008	21/11/2019
Action ongoing	Succession planning	Succession planning identifies areas for targeted support and development opportunities	Tim Slater	19/03/2008	21/11/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: Staff health and wellbeing (was Staff Absence/Stress/Morale) 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. **Risk Code: CP09**

Unmitigated Status: High (6) **Unmitigated Risk Impact: 3 - High** **Unmitigated Risk Likelihood: 2 - Medium**

Mitigated Status: High (6) **Mitigated Risk Impact: 3 - High** **Mitigated Risk Likelihood: 2 - Medium**

Date Identified: 19 Mar 2008 **Risk Responsible Officer: Tim Slater**

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Benchmarking with other LA's	Benchmarking/ joint working with HR partner councils on sharing good practice and reviewing policies etc	Rachel Shannon	03/05/2017	06/09/2019
Action ongoing	Monitoring of staff absence rates & reporting to SLT / CMT	Staff absence rates are monitored and reported to SLT / CMT. sickness figures are provided to a Business Lead on a monthly basis	Rachel Shannon	19/03/2008	06/09/2019
Action ongoing	Promotion of health & wellbeing	Providing staff opportunities to improve their physical and mental health and wellbeing, promoting achievements and good practices	Tim Slater	03/05/2017	06/09/2019
Action ongoing	Regular meetings with trade unions and staff forum	Regular meetings with trade unions and staff forums	Tim Slater	19/03/2008	06/09/2019
Action ongoing	Staff engagement	Involvement in staff developing behavioural competencies to support delivery of Council values. Staff communications survey and Managing Director drop ins and briefings.	Tim Slater	15/01/2019	06/09/2019
Action ongoing	Supporting managers to support staff	Providing a range of tools and coaching to equip managers to support and manage their staff effectively	Tim Slater	03/05/2017	06/09/2019
Action ongoing	Systems & procedures for short & long term absences	Systems and procedures in place to deal with short term and long term absences	Tim Slater	19/03/2008	06/09/2019

Review Note: Actions in place to mitigate.

Corporate Risk Management Report (Incl. Mitigations)

Risk: Breach of Code of Conduct by Members Breach of code of conduct by Members conduct bringing the Council into disrepute.			Risk Code: CP11		
Unmitigated Status: High (6)		Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium		
Mitigated Status: Medium (4)		Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium		
Date Identified: 05 Sep 2007			Risk Responsible Officer: Karen Trickey, Paul Woodhead		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	A database is kept of members interests	A database is kept of members interests. This will be reviewed following District Councillor Elections.	Karen Trickey	05/09/2007	30/09/2019
Action ongoing	Members' induction training	Members receive training upon election about probity ethics and the code of conduct following District Councillor elections in May 2019	Karen Trickey	05/09/2007	30/09/2019
Action ongoing	Members sign up to the code	The Council's Monitoring Officer has ensured all members have signed up to be bound by the code and issues advice to members following District Councillor elections in May 2019	Karen Trickey	05/09/2007	30/09/2019
Action ongoing	Ongoing Guidance to Members	The Monitoring Officer and the Deputy Monitoring Officer provide ongoing support and advice to members regarding the interpretation and application of the Code of Conduct.	Karen Trickey	29/08/2014	30/09/2019
Action ongoing	Regular Reminders to Members	Regular reminders are provided to members to keep their registers of interests up to date.	Karen Trickey	29/08/2014	30/09/2019
Action ongoing	Standards Committee appointment	The Council has a Standards Committee that is appointed in accordance with the regulations and members are trained. This Committee has responsibility to promote high standards of behaviour	Karen Trickey	05/09/2007	30/09/2019
Review Note: Review undertaken by Paul Woodhead.					

Risk: Breach of Code of Conduct by Staff Breach of code of conduct by staff leading to possible fraud, dishonesty, loss of reputation, poor performance.			Risk Code: CP12		
Unmitigated Status: Medium (4)		Unmitigated Risk Impact: 2 - Medium	Unmitigated Risk Likelihood: 2 - Medium		
Mitigated Status: Medium (4)		Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium		
Date Identified: 19 Mar 2008			Risk Responsible Officer: Tim Slater		
Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Benchmarking with other LA's	Benchmarking/ joint working with HR partner councils on sharing good practice and reviewing policies etc.	Rachel Shannon	03/05/2017	01/11/2019
Action ongoing	Code of Conduct review & guidance issue	Code of Conduct reviewed and updated following any breaches of it and guidance issued to staff	Tim Slater	19/03/2008	01/11/2019
Action ongoing	Continuous monitoring and improvement	Reporting to CLT and the implementation of lessons learned	Tim Slater	04/11/2016	01/11/2019
Action ongoing	Induction for new staff and managers	Induction for new staff and managers including code of conduct	Tim Slater	19/03/2008	01/11/2019
Action ongoing	Investigations undertaken	Investigations undertaken by trained managers, HR and Internal Audit. Disciplinary action taken when appropriate	Tim Slater	19/03/2008	01/11/2019
Review Note:					

Risk: Safeguarding 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. **Risk Code: CP13**

Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: Medium (3)	Mitigated Risk Impact: 3 - High	Mitigated Risk Likelihood: 1 - Low
Date Identified: 08 Nov 2007		Risk Responsible Officer: Rebecca Hewitt

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Communication of safeguarding	Engagement in local and national campaigns and promoting aspects of the Safeguarding Policy internally	Rebecca Hewitt	07/11/2016	22/11/2019
Action ongoing	Compliance with the Safeguarding Policy	All officers must have undertaken the E-Learning Safeguarding Training and read the Safeguarding Policy on the Bridge.	Tim Slater	08/11/2007	22/11/2019
Action ongoing	DBS checks	Designated job roles require a DBS check (Disclosure and Barring Service).	Tim Slater	08/11/2007	22/11/2019
Action ongoing	Existing staff with frequent contact with vulnerable people will receive Safeguarding Training .	All existing staff who have frequent or occasional contact with children and young people will receive a higher level of Safeguarding Training by Devon County Council Safeguarding Childrens Board every three years.	Tim Slater	27/11/2009	22/11/2019
Action ongoing	Joint Working	Devon Safeguarding Network set with all the local authorities that come under Devon- Led by Teignbridge.	Rebecca Hewitt	25/07/2012	22/11/2019
Action ongoing	Raise awareness of Safeguarding Policy with all existing staff	Link to Safeguarding Policy to be included in Chief Execs Bulletin periodically.	Rebecca Hewitt	08/08/2008	22/11/2019
Action ongoing	Safeguarding Policy Review	Safeguarding Policy to be regularly reviewed.	Rebecca Hewitt	27/11/2009	22/11/2019
Action ongoing	Safeguarding protection policy in place	Safeguarding policy in place	Rebecca Hewitt	08/11/2007	22/11/2019
Action ongoing	Safeguarding training	All new staff will receive Safeguarding training within 6 months of starting their job. Safeguarding training is offered on the corporate training programme	Tim Slater	08/11/2007	22/11/2019

Review Note: The first draft of the Teignbridge Safeguarding Policy has been produced and is currently under management review. The cross Devon Safeguarding Officers Network continues to meet and has now confirmed their terms of reference. This group is facilitating communication with the Devon Adults Board. Teignbridge continues to be part of the Senior Safeguarding Supervisors Network to ensure opportunities for complex case reviews and reflection. The First Mental Health First Aid courses are currently being procured. Safeguarding and Suicide Prevention inputs were delivered to 150staff during the Refuse and Cleansing training days. Corporate Resilience training has received very positive feedback

Risk: Non-compliance with the Data Protection Act and General Data Protection Regulations 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. **Risk Code: CP14**

Unmitigated Status: Very High (9)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 3 - High
Mitigated Status: Medium (4)	Mitigated Risk Impact: 2 - Medium	Mitigated Risk Likelihood: 2 - Medium
Date Identified: 22 Aug 2017	Risk Responsible Officer: Sue Heath	

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	A dedicated Data Protection Officer to ensure compliance with the GDPR	A dedicated Data Protection Officer to ensure compliance with legislation.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Advice and process for third party use of our data, not under contract	Advice and process for third party use of our data, not under contract	Marie Downey	22/08/2017	01/11/2019
Action ongoing	Data Protection Impact Assessment (DPIA)	DPIA's are undertaken for all new system changes to ensure Data Protection by Design principles are followed.	Sue Heath	06/07/2018	01/11/2019
Action ongoing	Data protection training including changes due to GDPR	Data protection training is mandatory for all staff. Data Guardians attained GDPR certificate.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	GDPR clause in our contracts	GDPR clause in our contracts to mitigate against data breaches by our contractors.	Marie Downey	22/08/2017	01/11/2019
Action ongoing	Information Asset register	Data asset register held by services including what personal data we hold, where it came from and who it is shared with.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Information Governance Group	Officer group in place to promote best practice and processes, reviewing risk and data breaches. The group includes Strata and Audit.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Personal data consent management	Processes or procedures for opting in/out of data storage & processing, in place, where applicable.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Personal data processing	Processes or procedures for personal data processing and record of what the processes and the lawful basis for processing, in place.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Process or procedure in place to report, respond to and review a data breach.	Review of breaches by the Information Management Group, reporting to SLT and incorporation of lessons learned into training points that staff are made aware of through their team meetings and Your newsletter.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Promotion of data protection awareness and GDPR	Through CMT, Information Governance Group, Audit Scrutiny, CABIG, Your newsletter, Metacompliance, Data Guardians etc.	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Records retention schedule	Out of date or unused personal data stored needing checks with records retention schedule and deleting if applicable	Sue Heath	22/08/2017	01/11/2019
Action ongoing	Service Data Guardians	Corporate responsibility for compliance with DPA and GDPR is shared across the organisation by trained Data Guardians.	Sue Heath	14/05/2018	01/11/2019
Action ongoing	Technical measures to ensure data security	Strata ensure data security for our IT including end point security and access levels management through Active Directory.	Amanda Pujol	14/05/2018	01/11/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: Project management 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.

Risk Code: CP15

Opportunities to improve efficiency, use of our assets, increase income, provide 24/7 online services, improve the customer experience.

Unmitigated Status: High (6)

Unmitigated Risk Impact: 3 - High

Unmitigated Risk Likelihood: 2 - Medium

Mitigated Status: Medium (3)

Mitigated Risk Impact: 3 - High

Mitigated Risk Likelihood: 1 - Low

Date Identified: 15 Nov 2017

Risk Responsible Officer: Kay O'Flaherty

Mitigation records

Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Corporate project management method	Ensure this is complied with for all projects using the project toolbox from small to medium projects and Prince 2 principles for large projects	Philip Shears	02/10/2017	14/10/2019
Action ongoing	Effective monitoring and reporting of project risks	Regular monitoring and formal reporting of all aspects of the project progress to SLT/CMT, PH's, the Capital Programme Review Board and One Teignbridge Transformation Board	Philip Shears	02/10/2017	14/10/2019
Action ongoing	Key council projects risk management list	Links to the current risk registers for key & major council projects	Liz Gingell	02/10/2017	14/10/2019
Action ongoing	Project assurance	Ensure that project assurance for major projects is provided by either an auditor or other suitably qualified officer	Philip Shears	02/10/2017	14/10/2019
Action ongoing	Project lessons learned	Ensure lessons learned from running major projects are captured and reported to CMT	Kay O'Flaherty	02/10/2017	14/10/2019
Action ongoing	Project management expertise	Make sure necessary and appropriate training is available for all those managing key council projects	Tim Slater	02/10/2017	14/10/2019
Action ongoing	Project risk management by services	Project risks (threats and opportunities) identified and assessed before the project starts and then managed and monitored by the project team	Philip Shears	02/10/2017	14/10/2019
Action ongoing	Project risk reporting to SLT and Audit Scrutiny	Reporting on key/major project risk to SLT and Audit Scrutiny	Liz Gingell	02/10/2017	14/10/2019
Action ongoing	Risk information provided for all key decisions	Risk information to be provided for all PH(Exec) & Council decisions, this to be included within the report templates.	Karen Trickey	02/10/2017	14/10/2019

Review Note:

Corporate Risk Management Report (Incl. Mitigations)

Risk: Lack of Effective Risk Management The Council fails to manage its risks properly which impacts on its ability to achieve its goals.		Risk Code: CP16
Unmitigated Status: High (6)	Unmitigated Risk Impact: 3 - High	Unmitigated Risk Likelihood: 2 - Medium
Mitigated Status: Medium (3)	Mitigated Risk Impact: 1 - Low	Mitigated Risk Likelihood: 3 - High
Date Identified: 01 Oct 2008		Risk Responsible Officer: Philip Shears

Mitigation records					
Mitigation Status	Mitigation	Info	Responsible Person	Date Identified	Last Review Date
Action ongoing	Audit of Risk Management Arrangements	Internal Audit review the risk management arrangements and report their findings to Corporate Leadership Team & Audit Scrutiny Committee who are responsible for monitoring the management of risk.	Sue Heath	16/10/2008	20/11/2019
Action ongoing	Review of Strategic and Corporate Risks and new emerging risks and opportunities	Strategic and Corporate risks are reviewed by Corporate Leadership Team & Audit Scrutiny Committee twice a year. This includes looking at new emerging risks and opportunities.	Liz Gingell	16/10/2008	20/11/2019
Action ongoing	Risk Management Arrangements for Partnerships	Risk Management arrangements in place for significant partnerships i.e. Building Control and Crime and Disorder Reduction Partnership.	Kay OFlaherty	27/08/2009	20/11/2019
Action ongoing	Risk Management is Embedded	Risk Management is embedded through the use of the corporate SPAR.net database with automatic reminders to prompt risk reviews; requirement for risks to be considered in decision making reports and capital programme PIDs (i.e. projects).	Liz Gingell	16/10/2008	20/11/2019
Action ongoing	Risk Management Strategy	A Risk Management Strategy is in place, is periodically reviewed and updated, and made available to staff.	Kay OFlaherty	16/10/2008	20/11/2019
Action ongoing	Risk Management Training	Risk Management training is available in the corporate training programme and guidance available on the intranet. Risk Management training is available to Members. The Customer Access & Improvement Group also receive regular risk management training/updates.	Liz Gingell	27/08/2009	20/11/2019

Review Note: The risk management strategy, risk management training notes and guidance are available on the intranet and risk training is available for teams or one to one on request. Corporate and Strategic risks continue to be reviewed by the Audit Scrutiny Committee and Strategic Leadership Team. Partnership risk registers are in place for our key partners such as Strata and the Building Control Partnership. The audit of risk management arrangements in April achieved a good audit assurance opinion.