

Strategic & Corporate Risk Overview Report

Report for 2017/18

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

Key to Performance Status:

Mitigation: Action needed Action ongoing Action completed No status set

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

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
Risk Code: CP01 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 05/10/2017	<u>Attacks on Staff</u> Attacks on staff in relation to Teignbridge District Council core business matters. Risk of injury or death due caused by physical attacks and the risk of verbal and intuitive threats to staff while involved in any Council work or activity. This could be at anytime during the Council's hours of operation, at any location and either with others or alone, lone working and working from/at home	Risk Responsible Officer: Paul Nicholls Mitigation: <ul style="list-style-type: none"> Action ongoing Annual Health & Safety Review Action ongoing Employee Protection Register Action ongoing First responders Action ongoing Health & Safety Policy in place (current) Action ongoing Health and Safety Coordination Action ongoing Home Safeguard monitoring system Action ongoing Implementation of the Health & Safety Policy Action ongoing Local procedures (Teams or Services) Action ongoing Lone working procedure Action ongoing Staff training
Risk Code: CP02 Unmitigated Status: High (6) Mitigated Status: High (6) Last Review Date: 21/09/2017	<u>Breach of the Data Protection Act including Confidentiality</u> Breach of the Data Protection Act including confidentiality - Confidential information knowingly or unwittingly being made public leading to loss of reputation and possible legal challenge.	Risk Responsible Officer: Neil Aggett Mitigation: <ul style="list-style-type: none"> Action ongoing Data breach response Action ongoing Data Protection Officer Action ongoing Data Protection Training Action ongoing End Point Security Action ongoing Induction training and staff handbook covers Data

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		<p>Protection</p> <p>Action ongoing Promote awareness through intranet and internet</p> <p>Action ongoing Reviewing Data Breaches</p> <p>Action ongoing Security Access Levels managed through Active Directory</p>
<p>Risk Code: CP03</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 06/11/2017</p>	<p>Partnership management</p> <p>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</p>	<p>Risk Responsible Officer: Kay OFlaherty</p> <p>Mitigation:</p> <p>Action ongoing A shared vision</p> <p>Action ongoing Management of partnership risk by services</p> <p>Action ongoing Partnership failure contingency</p> <p>Action ongoing Partnership governance</p> <p>Action ongoing Partnership list</p> <p>Action ongoing Partnership performance</p> <p>Action ongoing Review of the partnership toolkit</p>
<p>Risk Code: CP05</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Low (2)</p> <p>Last Review Date: 04/10/2017</p>	<p>Contractor Poor Performance/Failure</p> <p>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.</p>	<p>Risk Responsible Officer: Lucy Ford</p> <p>Mitigation:</p> <p>Action ongoing Actively promote the ten year Council Strategy when talking to suppliers/contractors</p> <p>Action ongoing All new procurements have a standardised approach with standardised tendering practises</p> <p>Action completed Contract management is on the 3 year procurement improvement plan</p> <p>Action ongoing Contract Procedure Rules are in place and are reviewed annually</p> <p>Action ongoing Contracts are awarded to suppliers demonstrating the right mix of quality and value for money</p> <p>Action ongoing Factors that are proportionate to the nature of the contract will be evaluated at the tender stage</p> <p>Action Put relevant accreditation</p>

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		<p>ongoing checks in place</p> <p>Action ongoing Seek quality assurance from contractors/suppliers</p> <p>Action ongoing The Corporate Procurement Officer (CPO) supports all procurements over the value of £50,000</p> <p>Action ongoing Training is provided, which emphasises the importance of value for money in procurement</p>
<p>Risk Code: CP07</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 23/10/2017</p>	<p><u>Failure to Collect or Loss of Income</u></p> <p>Failure to collect income due to poor internal control or loss of income due to fraud.</p>	<p>Risk Responsible Officer: Sue Heath</p> <p>Mitigation:</p> <p>Action ongoing Anti Fraud Theft and Corruption Strategy</p> <p>Action ongoing Bank Reconciliation / Waybill Reconciliation / Budget & SD Arrears Monitoring</p> <p>Action ongoing Cash Handling Procedures</p> <p>Action ongoing Cashless Council</p> <p>Action ongoing Code of Conduct</p> <p>Action ongoing Employee References</p> <p>Action ongoing Financial Instructions</p> <p>Action ongoing Fraud Awareness Guide for Managers</p> <p>Action ongoing Fraud Hotline / Web Form</p> <p>Action ongoing Internal Audit Function</p> <p>Action ongoing PCIDSS</p> <p>Action ongoing Prosecution of Offenders</p> <p>Action ongoing Secure Collection</p> <p>Action ongoing Staff Training</p> <p>Action ongoing Whistleblowing Policy</p>
<p>Risk Code: CP08</p> <p>Unmitigated Status: Medium (4)</p> <p>Mitigated Status:</p>	<p><u>Future proofing the workforce (was Failure to Improve Staff Capability and Capacity)</u></p> <p>A lack of suitable staff with the relevant</p>	<p>Risk Responsible Officer: Kate Davies</p> <p>Mitigation:</p> <p>Action ongoing Annual Learning and Development Needs Survey</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
Medium (4) Last Review Date: 14/06/2017	competencies, including senior managers, to meet future Council service provision needs	Action ongoing CPD & personal development support Action ongoing Monitoring of salary levels Action ongoing Staff performance Reviews Action ongoing Succession planning
Risk Code: CP09 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 14/09/2017	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 Responsible Officer: Kathryn Chidzey-Jones, Kate Davies Mitigation: Action ongoing Benchmarking with other LA's Action ongoing Health and Wellbeing Group Action ongoing Monitoring of staff absence rates & reporting to CLT / CLTe Action ongoing Promotion of health & wellbeing Action ongoing Regular meetings with trade unions Action ongoing Supporting managers to support staff Action ongoing Systems & procedures for short & long term absences
Risk Code: CP11 Unmitigated Status: Low (2) Mitigated Status: Low (1) Last Review Date: 16/05/2017	Breach of Code of Conduct by Members Breach of code of conduct by Members conduct bringing the Council into disrepute.	Risk Responsible Officer: Neil Aggett Mitigation: Action ongoing A database is kept of members interests Action ongoing Members' induction training Action ongoing Members sign up to the code Action ongoing Ongoing Guidance to Members Action ongoing Regular Reminders to Members Action ongoing Standards Committee appointment
Risk Code: CP12 Unmitigated Status: Medium (4) Mitigated Status: Medium (4) Last Review Date: 14/06/2017	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 Responsible Officer: Kathryn Chidzey-Jones, Kate Davies Mitigation: Action ongoing Benchmarking with other LA's Action ongoing Code of Conduct review & guidance issue Action ongoing Continuous monitoring and

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		<p>ongoing improvement</p> <p>Action ongoing Induction for new staff and managers</p> <p>Action ongoing Investigations undertaken</p>
<p>Risk Code: CP13</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 13/10/2017</p>	<p>Safeguarding</p> <p>All children, young people and adults have the right to be safe, happy and healthy and deserve protection from abuse. The council is committed to safeguarding from harm all children, young people and adults with care and support needs using any council services and involved in any of their activities, and to treat them with respect during their dealings with the council, our partners and contractors.</p>	<p>Risk Responsible Officer: Rebecca Hewitt</p> <p>Mitigation:</p> <p>Action ongoing Communication of safeguarding</p> <p>Action ongoing Compliance with the Safeguarding Policy</p> <p>Action ongoing DBS checks</p> <p>Action ongoing Existing staff with frequent contact with vulnerable people will receive Safeguarding Training .</p> <p>Action ongoing Joint Working</p> <p>Action ongoing Raise awareness of Safeguarding Policy with all existing staff</p> <p>Action ongoing Safeguarding Policy Review</p> <p>Action completed Safeguarding protection policy in place</p> <p>Action ongoing Safeguarding training</p>
<p>Risk Code: CP14</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 08/11/2017</p>	<p>Non-compliance with the Data Protection Act and General Data Protection Regulations</p> <p>From 25 May 2018 the Data Protection Act (DPA) will be replaced by the General Data Protection Regulations (GDPR). The GDPR principles are much the same as the current DPA with additional requirements 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</p>	<p>Risk Responsible Officer: Neil Aggett</p> <p>Mitigation:</p> <p>Action ongoing A dedicated Data Protection Officer to put in place the GDPR requirements</p> <p>Action ongoing Advice and process for third party use of our data, not under contract</p> <p>Action ongoing Data protection training including changes due to GDPR</p> <p>Action ongoing GDPR clause in our contracts</p> <p>Action ongoing Information Asset register</p> <p>Action ongoing Information Management Group</p> <p>Action ongoing Out of date or unused personal data stored</p>

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	<p>union membership, sexual life/sexual orientation, genetic and biometric data. The risks are a breach of the DPA and GDPR, a breach of confidentiality and insufficient awareness of and preparatory work for compliance with the new GDPR. Opportunity to be smarter in our management of personal data, what we have, where it is stored and how we use it and to reduce the amount of personal data held.</p>	<p>Action ongoing Personal data consent management</p> <p>Action ongoing Personal data processing</p> <p>Action completed Process or procedure in place to report, respond to and review a data breach.</p> <p>Action ongoing Project plan to prepare for GDPR</p> <p>Action ongoing Promotion of data protection awareness and GDPR</p>
<p>Risk Code: CP15</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 21/11/2017</p>	<p>Project management</p> <p>Poor project planning and management lead to failure of the project. Either failure of the whole project or part of it and the outcomes and efficiencies expected are not achieved. Opportunities to improve efficiency, use of our assets, increase income, provide 24/7 online services, improve the customer experience.</p>	<p>Risk Responsible Officer: Kay O'Flaherty</p> <p>Mitigation:</p> <p>Action ongoing Corporate project management method</p> <p>Action ongoing Effective monitoring and reporting of project risks</p> <p>Action ongoing Key council projects risk management list</p> <p>Action ongoing Project assurance</p> <p>Action needed Project lessons learned</p> <p>Action ongoing Project management expertise</p> <p>Action ongoing Project risk management by services</p> <p>Action ongoing Project risk reporting to CLT and Audit Scrutiny</p> <p>Action ongoing Risk information provided for all key decisions</p>
<p>Risk Code: ST01</p> <p>Unmitigated Status: Very High (9)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 26/10/2017</p>	<p>Accident Leading to Major Injury or Death</p> <p>Accident leading to major injury or death in connection with a Teignbridge District Council activity.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Accident & Near miss reporting procedure</p> <p>Action ongoing Health and Safety Coordination</p> <p>Action ongoing Health and Safety Policy & Procedures</p> <p>Action ongoing Risk assessment</p> <p>Action ongoing Site specific risk audits</p> <p>Action ongoing Staff training</p>
<p>Risk Code: ST02</p> <p>Unmitigated Status:</p>	<p>Financial Uncertainty</p> <p>Budget restraints/lack of finances, due to</p>	<p>Risk Responsible Officer: Sue Aggett, Martin Flitcroft, Philip Shears</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
<p>Very High (9) Mitigated Status: Medium (3) Last Review Date: 03/11/2017</p>	<p>local & national changes in service demand that effect levels of spend or income leading to a budget imbalance</p>	<p>Mitigation:</p> <p>Action ongoing Budget Preparation</p> <p>Action ongoing Budget Report</p> <p>Action ongoing Budget Review</p> <p>Action ongoing Budget Risk Analysis</p> <p>Action ongoing General Reserves Monitoring</p> <p>Action ongoing Service Reviews</p>
<p>Risk Code: ST06 Unmitigated Status: Very High (9) Mitigated Status: Medium (3) Last Review Date: 15/11/2017</p>	<p>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.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Commit adequate resources to achieving government requirements and reporting schedules</p> <p>Action ongoing Council's planned programme of Audit inspections</p> <p>Action ongoing Ensure a current up to date set of Financial Procedure Rules are maintained</p> <p>Action ongoing Ensure appointment of appropriate professional and technical Officers</p> <p>Action ongoing Ensure that the Council's Consitution is fit for purpose</p> <p>Action ongoing Formal reports to Executive/Council/Committee to be reviewed by Legal & Finance</p> <p>Action ongoing Provision of in-house legal training</p>
<p>Risk Code: ST08 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 15/09/2017</p>	<p>Economic Uncertainty (formerly Economic Recession or Abnormal Inflation) Changes to the macro-economic situation will impact upon our ability to deliver of our Council Strategy and may lead to increased unemployment, a collapse of the housing market and an increased demand on Council services e.g. housing benefits.</p>	<p>Risk Responsible Officer: Sue Aggett, Martin Flitcroft, Philip Shears, Tony Watson</p> <p>Mitigation:</p> <p>Action ongoing Annual Review of the Council Strategy</p> <p>Action ongoing Assessing the Disposal/Acquisition of Assets</p> <p>Action ongoing Budget Set</p> <p>Action ongoing Council Reserves</p> <p>Action Financial Management</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>ongoing</p> <p>Action ongoing Monitor the Economic Situation</p> <p>Action ongoing Responding to redundancies</p>
<p>Risk Code: ST09</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 25/08/2017</p>	<p><u>Inadequately prepared to deal with a major disaster</u></p> <p>An inadequate or inappropriate response to a major or environmental emergency affecting the civil community or the Council itself.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Appointment of Emergency Planning Officer</p> <p>Action ongoing Devon Emergency Planning Services</p> <p>Action ongoing Multi agency working and intelligence sharing</p> <p>Action ongoing Publication and regular review of the Corporate Emergency Plan & Business Continuity Plan</p> <p>Action ongoing Publication of the Corporate Emergency Plan</p> <p>Action ongoing Reciprocal support agreement with other Devon LA's</p> <p>Action ongoing Research and Consultation on Emergency Response Procedures</p> <p>Action ongoing Training of Council staff</p>
<p>Risk Code: ST11</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Low (2)</p> <p>Last Review Date: 06/10/2017</p>	<p><u>Failure to Comply with Health & Safety Legislation</u></p> <p>Failure to comply with Health & Safety legislation due to a poor communication of Health & Safety law & principles leading to accident/injury/death, possible corporate manslaughter, high insurance cost and loss of reputation.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Annual Health & Safety audits of departments</p> <p>Action ongoing Approved Policies and procedures in place and revised</p> <p>Action ongoing Health and Safety coordination</p> <p>Action ongoing Health and Safety corporate training programme</p> <p>Action ongoing Overview of compliance by Business Lead</p>
<p>Risk Code: ST14</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (4)</p> <p>Last Review Date: 23/10/2017</p>	<p><u>Fraud and Corruption</u></p> <p>Risk of fraud and leading to loss and / or reputational damage to the Council.</p>	<p>Risk Responsible Officer: Sue Aggett, Sue Heath, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Anti Fraud & Corruption Leaflet</p> <p>Action ongoing Anti Fraud and Theft Strategy and Whistleblowing</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p data-bbox="933 123 1516 163">Policy</p> <p data-bbox="933 172 1516 248">Action ongoing Anti Fraud Guidance for Managers</p> <p data-bbox="933 257 1516 333">Action ongoing Anti Fraud, Theft and Corruption Strategy</p> <p data-bbox="933 342 1516 418">Action ongoing Bank Reconciliations</p> <p data-bbox="933 427 1516 504">Action ongoing Financial Instructions and Contract Procedure Rules</p> <p data-bbox="933 512 1516 589">Action completed Fraud Investigation Resource (post SFIS)</p> <p data-bbox="933 598 1516 674">Action ongoing Fraud Risk Analysis</p> <p data-bbox="933 683 1516 759">Action ongoing Internal Audit</p> <p data-bbox="933 768 1516 898">Action ongoing Raising awareness of the Council's position of non-tolerance to fraud & corruption</p> <p data-bbox="933 907 1516 983">Action ongoing References are obtained for new employees</p> <p data-bbox="933 992 1516 1068">Action ongoing Self Assessment against Best Practice</p> <p data-bbox="933 1077 1516 1153">Action ongoing Staff and Member Codes of Conduct</p> <p data-bbox="933 1162 1516 1238">Action ongoing Suppliers Notified of Whistleblowing Policy</p> <p data-bbox="933 1247 1516 1323">Action ongoing Whistleblowing Hotline and Anti Fraud Publicised</p>
<p data-bbox="38 1332 331 1373">Risk Code: ST17</p> <p data-bbox="38 1382 331 1435">Unmitigated Status: High (6)</p> <p data-bbox="38 1444 331 1498">Mitigated Status: Medium (4)</p> <p data-bbox="38 1507 331 1583">Last Review Date: 17/10/2017</p>	<p data-bbox="338 1332 927 1373">Inability to Recruit and Retain Staff</p> <p data-bbox="338 1382 927 1543">Getting the right people in the right job at the right time' so that any loss of staff does not have a significant or prolonged impact on service delivery and continuity.</p>	<p data-bbox="933 1332 1516 1408">Risk Responsible Officer: Philip Shears</p> <p data-bbox="933 1417 1516 1471">Mitigation:</p> <p data-bbox="933 1480 1516 1556">Action ongoing Benchmarking with other LA's</p> <p data-bbox="933 1565 1516 1641">Action ongoing Consistent management to create 'Team Teignbridge'</p> <p data-bbox="933 1650 1516 1727">Action ongoing Council operates a pay agreement</p> <p data-bbox="933 1736 1516 1812">Action ongoing Enhancing recruitment practices</p> <p data-bbox="933 1821 1516 1897">Action ongoing Salary levels are monitored to ensure Council remains competitive.</p> <p data-bbox="933 1906 1516 1982">Action ongoing Screening of potential new employees</p> <p data-bbox="933 1991 1516 2067">Action ongoing Staff performance reviews</p> <p data-bbox="933 2076 1516 2152">Action ongoing Succession planning</p>

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		<p>Action ongoing Voluntary Redundancy Programme</p>
<p>Risk Code: ST18 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 04/09/2017</p>	<p><u>Lack of Effective Risk Management</u> The Council fails to manage its risks properly which impacts on its ability to achieve its goals.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears Mitigation:</p> <p>Action ongoing Monitoring and Reporting of Risk Management Arrangements</p> <p>Action ongoing Review of Strategic and Corporate Risks</p> <p>Action ongoing Risk Management Arrangements for Partnerships</p> <p>Action ongoing Risk Management is Embedded</p> <p>Action ongoing Risk Management Strategy</p> <p>Action ongoing Risk Management Training</p>
<p>Risk Code: ST19 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 05/09/2017</p>	<p><u>Poor or Ineffective Business Continuity Management</u> Inability to provide Council services</p>	<p>Risk Responsible Officer: Sue Aggett Mitigation:</p> <p>Action ongoing Business Continuity Planning</p> <p>Action ongoing Management of service business continuity</p> <p>Action ongoing Regular business continuity health checks</p>
<p>Risk Code: ST20 Unmitigated Status: High (6) Mitigated Status: Medium (3) Last Review Date: 15/09/2017</p>	<p><u>Poorly Managed Election</u> Poorly managed election leading to embarrassment, loss of reputation and High Court challenge.</p>	<p>Risk Responsible Officer: Philip Shears Mitigation:</p> <p>Action ongoing Elections project plan</p> <p>Action ongoing Electoral guidance followed</p> <p>Action ongoing Electoral law & systems training</p> <p>Action completed External Performance Plan</p> <p>Action ongoing Key staff elections training</p> <p>Action completed Planning meetings</p> <p>Action completed Qualified Council Election's Co-ordinator</p> <p>Action ongoing Refresher/Awareness Training</p> <p>Action ongoing Risk Management workshop</p>
<p>Risk Code: ST21 Unmitigated Status:</p>	<p><u>Provision and Recording of Poor Quality Data, Information and Advice</u></p>	<p>Risk Responsible Officer: Sue Aggett Mitigation:</p>

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<p>High (6) Mitigated Status: Medium (3) Last Review Date: 05/09/2017</p>	<p>This includes giving inaccurate records/data recording/advice resulting in legal challenge, poor results and loss of reputation. It also includes the use of incorrect demographic information due to a reliance on 3rd party data or inaccurate data analysis and inaccurate reporting leading to incorrect policy decisions and allocation of resources.</p>	<p>Action ongoing Access to expert advice, senior practitioners, external professional services</p> <p>Action ongoing Commitment to and access to CPD for professional staff</p> <p>Action ongoing Customer Access and Business Improvement Group</p> <p>Action ongoing Project Management by Business Improvement & Development Team</p> <p>Action ongoing Regular checks / auditing of data</p> <p>Action ongoing Regular staff meetings where legislation and good practice are discussed</p> <p>Action ongoing Systems and procedures to manage & monitor compliance with data quality</p>
<p>Risk Code: ST24 Unmitigated Status: Medium (4) Mitigated Status: Low (2) Last Review Date: 27/10/2017</p>	<p>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.</p>	<p>Risk Responsible Officer: Sue Aggett, Martin Flitcroft, Philip Shears Mitigation:</p> <p>Action ongoing Automated controls included in corporate systems</p> <p>Action ongoing Bank and Waybill Reconciliations undertaken by Financial Services</p> <p>Action ongoing Financial Instructions Awareness and Contract Procedure Rules training</p> <p>Action ongoing Financial Instructions Format</p> <p>Action ongoing Financial Instructions Monitoring</p> <p>Action ongoing FMS Training</p> <p>Action ongoing Internal Audit / Procurement Officer Advice / Waiver Requests</p> <p>Action ongoing Monthly Management Accounts</p> <p>Action ongoing Procurement Officer</p> <p>Action ongoing Trained professional staff responsible for compiling annual accounts</p>
<p>Risk Code: ST25 Unmitigated Status: Medium (4) Mitigated Status:</p>	<p>High Levels of Customer Dissatisfaction Inadequate customer contact standards and poor customer service leading to</p>	<p>Risk Responsible Officer: Philip Shears Mitigation:</p> <p>Action ongoing Business Efficiency Service Transition (BEST) 2020</p>

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Low (2) Last Review Date: 08/11/2017	increased complaints and loss of reputation.	Action ongoing Complaints Review Board Action ongoing Customer Comments and Complaints system Action ongoing Customer Journey Mapping Action ongoing Customer Management Action ongoing Customer Services training for reception staff to NVQ lvi 3 Action ongoing Staff induction training and staff handbook
Risk Code: ST26 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 05/09/2017	Poor Public Relations Management Poor reputation due to bad /inadequate/ inaccurate reporting.	Risk Responsible Officer: Philip Shears Mitigation: Action ongoing Comms Catch-ups Action ongoing Communications Strategy Action ongoing Devon Communications Group Action ongoing Raising awareness of good communications and reputation management Action ongoing Regular Media Enquiry Reports Action ongoing Regular monitoring of management performance through PR PDP's Action ongoing Regular Portfolio Holder meetings Action ongoing Use of strategic issues management involving proactive PR planning Action ongoing Vuelio
Risk Code: ST28 Unmitigated Status: Medium (3) Mitigated Status: Low (2) Last Review Date: 20/11/2017	Internal Disaster (Premises) Major damage to our physical premises and/or working environment.	Risk Responsible Officer: Philip Shears Mitigation: Action ongoing Business Continuity Plan Action ongoing Identification of alternative premises Action ongoing Risk Analysis of Councils premises and infrastructure Action ongoing Salvage Plan
Risk Code: ST29 Unmitigated Status: High (6)	Inability to Respond to or Manage Change New income generation opportunities	Risk Responsible Officer: Sue Aggett, Philip Shears Mitigation:

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<p>Mitigated Status: High (6) Last Review Date: 07/11/2017</p>	<p>and a greater commercial focus leading to increased financial and reputational risk. Changes to services leading to poor service delivery</p>	<p>Action ongoing Annual business efficiency and service transition reviews</p> <p>Action ongoing Continuing Professional Development opportunities</p> <p>Action ongoing Due diligence</p> <p>Action ongoing External Officer networking and using the learning from others</p> <p>Action ongoing Internal and external auditing</p> <p>Action ongoing Leadership training programmes for managers and supervisors</p> <p>Action ongoing Meetings with PH/Leader that identify strengths, weaknesses, opportunities & threats</p> <p>Action ongoing Regular individual, team & service performance monitoring by Managers,</p> <p>Action ongoing Staff have the necessary skills for future new models of service delivery</p> <p>Action ongoing Systems & procedures & policies to deal with underperformance/lack of capability</p>
<p>Risk Code: ST31 Unmitigated Status: Medium (4) Mitigated Status: Low (2) Last Review Date: 22/05/2017</p>	<p>Climate Change - the impact of not reducing our energy use and contribution to CO2 emissions The impact of not reducing our energy use and contribution to the levels of CO2. If unchecked, the Council's energy use will continue to rise unabated and will create:- • unnecessary financial pressure • loss of reputation as a community leader • loss or reduction of corporate goal</p>	<p>Risk Responsible Officer: Sue Aggett Mitigation:</p> <p>Action ongoing Develop monitoring system for energy usage</p> <p>Action ongoing Improve procurement</p> <p>Action ongoing Recruit Energy Efficiency Officer</p> <p>Action ongoing Review service policies, Travel, IT, HR</p> <p>Action ongoing Service Leads to reduce energy consumption in the service area</p> <p>Action ongoing Training for all staff to reduce, reuse and recycle energy and resources</p>
<p>Risk Code: ST32 Unmitigated Status: Medium (4) Mitigated Status: Low (1) Last Review Date: 19/09/2017</p>	<p>Non Compliance with Section 106 Agreements and CIL notices Non Compliance with Section 106 Agreements and CIL notices</p>	<p>Risk Responsible Officer: Philip Shears Mitigation:</p> <p>Action ongoing Meetings with departments</p> <p>Action ongoing Monitor issue of relevant CIL notices and receipt of CIL monies</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>Action ongoing Monitor monies received from time constrained S106 agreements and not yet spent</p>
<p>Risk Code: ST37 Unmitigated Status: High (6) Mitigated Status: Medium (3) Last Review Date: 15/11/2017</p>	<p>Failure of the jointly owned ICT company, Strata The key outcomes of the projects are: • Reduce cost...through economies of scale and reduced duplication of effort • Reduce risk...by having a larger ICT team with less reliance on key individuals and more time to manage new complex technologies • Improve capability for change...through creating capacity within the ICT team for transformation effort rather than just "business as usual" The risks arising following the formation of a new company, Strata Service Solutions Ltd, wholly owned by Teignbridge DC, Exeter CC and East Devon DC to deliver and manage ICT services for all 3 Councils. Failure of the shared service and failure by Strata to provide the ICT service required.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears Mitigation:</p> <p>Action ongoing Annual auditing</p> <p>Action ongoing Business plan approved annually</p> <p>Action ongoing Compliance with statutory legislation</p> <p>Action ongoing Good communication</p> <p>Action ongoing ICT Requirements Board review meetings</p> <p>Action ongoing Monitoring of performance</p> <p>Action ongoing Robust governance</p>
<p>Risk Code: ST40 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 22/09/2017</p>	<p>Local Plan - Infrastructure Delivery Delay Infrastructure delay; risk of not delivering infrastructure as per the Infrastructure Delivery Plan required for the successful delivery of the commitments in the Local Plan</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley Mitigation:</p> <p>Action ongoing Direct Involvement</p> <p>Action ongoing Funding Streams</p> <p>Action ongoing Ongoing Review of Infrastructure Delivery Plan</p> <p>Action ongoing Planning Application Process</p> <p>Action ongoing S.106 and Planning Conditions</p> <p>Action ongoing Work with Stakeholders</p>
<p>Risk Code: ST41 Unmitigated Status: High (6) Mitigated Status: Medium (4) Last Review Date: 22/09/2017</p>	<p>Local Plan - Planned Development Delayed or Not Happening Planned development is delayed or does not happen due to an economic downturn, infrastructure provision delay, unexpected delivery costs, landowners sitting on land and developers 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</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley Mitigation:</p> <p>Action ongoing Achievable Allocations</p> <p>Action ongoing Infrastructure Investment</p> <p>Action ongoing Viability Evidence</p> <p>Action ongoing Work with Developers, Landowners and other Stakeholders</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
<p>Risk Code: ST42</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 04/09/2017</p>	<p>appeals.</p> <p>Failure to deliver the Council Strategy</p> <p>Failure to deliver the key objectives and outcomes of the Council Strategy due to: no money to deliver, no capacity to deliver, a loss of political willingness, change of political direction – local and national, a change of view and priorities by our partners, loss of key staff and local intelligence, unreliable data leading to poor decisions & direction, a lack of engagement of staff, unforeseen issues outside of our control, , too broad a spread of actions, poor leadership, poor planning, governance and monitoring of performance leading to: missed opportunities, moving out of scope of the project, duplication, lost opportunities due to sole focus on the strategy objectives, a loss of reputation, customer satisfaction and trust, unplanned changes, a lack of co-ordination and direction and the risk of over promising and under delivering.</p>	<p>Risk Responsible Officer: Sue Aggett, Philip Shears</p> <p>Mitigation:</p> <p>Action ongoing Budget planning</p> <p>Action ongoing Clear links to other Council and partner strategies and plans</p> <p>Action ongoing Communication planning</p> <p>Action ongoing Ensure adequate staff resources</p> <p>Action ongoing Overall project and programme oversight</p> <p>Action ongoing Partnership relationship management</p> <p>Action ongoing Programme Managers/Business Managers meetings with Portfolio Holders</p> <p>Action ongoing Project planning</p> <p>Action ongoing Regular progress monitoring</p> <p>Action ongoing Review mechanism</p>
<p>Risk Code: ST43</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: Medium (3)</p> <p>Last Review Date: 16/11/2017</p>	<p>Failure to adopt Local Plans: Greater Exeter Strategic Plan and Teignbridge Local Plan Review</p> <p>Councillors do not agree to the plan's contents, or in the case of the GESP no agreement between councils can be reached. The Local Plan Inspector finds the local plan unsound or legally flawed and cannot recommend its adoption</p>	<p>Risk Responsible Officer: Philip Shears, Simon Thornley</p> <p>Mitigation:</p> <p>Action ongoing Appropriate SEA and HRA</p> <p>Action ongoing Conformity with GESP</p> <p>Action ongoing Consultation</p> <p>Action needed Critical review of plans and policies</p> <p>Action needed Duty to cooperate agreements</p> <p>Action ongoing Duty to cooperate processes</p> <p>Action ongoing Evidence</p> <p>Action ongoing National Planning Policy</p> <p>Action ongoing Political support</p> <p>Action Qualified staff</p>

Risk Code and Status	Description	Current Position, Action being taken, and Risk Responsible Officer
		<p>ongoing</p> <p>Action ongoing Review other plans</p> <p>Action ongoing Training</p>
<p>Risk Code: ST44</p> <p>Unmitigated Status: High (6)</p> <p>Mitigated Status: High (6)</p> <p>Last Review Date: 07/11/2017</p>	<p>Flood risk management and resilience</p> <p>A lack of appropriate management of Council land and/or property resulting in flood damage caused by rising sea levels, more frequent extreme weather events, or surface water due to excess rainfall, or a burst water main. A lack of resilience to flooding caused by new development and more surface water run off or development on floodplains, both due to a lack of planning guidance A lack of community flood management plans.</p>	<p>Risk Responsible Officer: Philip Shears, Tony Watson</p> <p>Mitigation:</p> <p>Action ongoing Beach management plans for Teignbridge</p> <p>Action ongoing Coastal flood defence works on our own assets</p> <p>Action ongoing DCC Community flood management plans</p> <p>Action ongoing Flood risk management schemes on our own assets</p> <p>Action ongoing Land management guidance to reduce flood risk through partners</p> <p>Action ongoing Planning guidance and application review</p> <p>Action ongoing Planning practice guidance - sustainable drainage guidance</p> <p>Action ongoing Regular meetings with key partners</p>